



**Homeland
Security**

**Science and Technology Directorate
International Programs Division**

International Research in Homeland Security Science & Technology Mission Areas

**Funding Opportunity
DHS-08-ST-108-001**

OVERVIEW INFORMATION

General Information

Applicable Catalog of Federal Domestic Assistance (CFDA) Number:

97.108

Program Title:

International Research in Homeland Security Science & Technology Mission Areas

Synopsis of Program:

The Department of Homeland Security (DHS) Science and Technology (S&T) Directorate is soliciting applications for international research projects aligned with the mission and requirements of DHS S&T. These projects should be designed to augment and complement, through international research and collaboration, the depth and breadth of homeland security science and technology research.

Specifically, the S&T Directorate seeks proposals that will contribute to homeland security science and technology, including but not limited to:

- Evaluation of novel tools or approaches to confronting homeland security challenges;
- Basic research to provide data, understandings, or models that support S&T efforts or policy decisions; and
- S&T and operations research evaluations to support revolutionary improvements in DHS's mission and its component agencies' operations.

Program Officer:

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Eligibility Information

This funding opportunity is restricted to accredited institutions of higher education, both foreign and domestic, having the ability and capacity to conduct and facilitate substantial international research. A single institution must be identified as the lead and the entity for proposal submission and subsequent discussions. Additional institutions associated with the lead institution will be subawards from the lead institution. All proposals must include participation by both foreign and domestic institutions.

DHS Centers of Excellence (COEs) are eligible to apply for new research efforts under this funding opportunity. They may not apply for research efforts already being funded.

Award Information

- **Anticipated Type of Award:** Cooperative Agreements (a grant may be awarded based on the proposed research effort)
- **Estimated Number of Awards:** It is estimated that approximately 6-8 cooperative agreements will be awarded under this announcement.
- **Anticipated Funding Amount:** Subject to the availability of funds and receipt of its FY 2008 appropriation, DHS estimates that up to \$1,200,000 will be available including all direct and indirect costs.
- **Anticipated Award Date:** May 31, 2008

Due Dates

- **Application Deadline:** January 18, 2008 (11:59pm, EST)

FULL PROGRAM DESCRIPTION

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I. FUNDING OPPORTUNITY DESCRIPTION

The Department of Homeland Security (DHS) Science and Technology (S&T) Directorate, International Programs Division (IND) reserves the right to select for award all, some, or none of the proposals in response to this announcement. Applications (or any other material) submitted in response to this announcement will not be returned. It is the policy of DHS/IND to treat all applications as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

The United States does not have a monopoly on either the threats to homeland security—or on the solutions needed to address them. Our international partners provide unique perspectives and

capabilities to provide for both critically needed immediate solutions for our DHS customers—as well as longer-term game-changing improvements in U.S. and global homeland security.

The International Programs Division is seeking to leverage these unique international resources by inviting academic institutions worldwide to submit proposals for international research projects aligned with the mission and requirements of DHS S&T. Specifically, proposals should be designed to augment and complement, through international research and collaboration, the depth and breadth of homeland security science and technology research being managed by the S&T Directorate.

Focus of the research for this announcement: International science and technology efforts, from basic research through proof-of-concept evaluations in support of at least one of the S&T Directorate's six Divisions (Explosives; Chemical and Biological; Command, Control, and Interoperability; Borders and Maritime Security; Human Factors; and Infrastructure and Geophysical).

For this funding announcement, DHS/S&T is interested in supporting a broad range of potential efforts. Examples of types of proposals that will receive consideration are shown below. This list is intended solely to provide examples of research that will be considered—and is not intended to constrain proposed efforts or indicate priorities for funding. Examples of research that will be considered for funding include, but are not limited to:

- Evaluation of novel approaches to confronting homeland security challenges;
- Basic research to provide data, understanding, or models that support policy decisions by the Department of Homeland Security; and
- S&T and operations research evaluations promoting revolutionary concepts that align with DHS's mission and its component agencies' operations.

In accordance with priorities established by the S&T Directorate's customers – the operational components throughout the Department of Homeland Security – the S&T Directorate will consider funding research proposals within any of these disciplines. Below you will find brief descriptions of each division that include mission statements and current areas of research and development (R&D).

Applicants are encouraged to align their research proposals under a single division in order to focus future research activities and resources. However, multiple division topics will be given equal consideration due to the variety of crosscutting science & technology research topics.

Overview of DHS S&T

The terrible events of September 11, 2001 transformed our Nation. The 9/11 Commission Report, the President's *National Strategy for Homeland Security*, and bi-partisan Congressional vision made clear that the science and technology expertise we possess must be harnessed and brought together to counter both terrorist events and natural disasters.

The work carried out in the Science and Technology Directorate (S&T), in partnership (domestic and foreign) with the private sector, national laboratories, universities, and other government

agencies, helps push the innovation envelope and drives development and use of high technology in support of the Department's operational units.

To reach its goals, S&T is:

- A customer-focused, output-oriented, full-service S&T management organization that is consistent with its enabling legislation;
- Incorporating lessons learned since the start-up of DHS to sharpen its focus on executing mission-oriented programs; and
- Providing leadership and resources to develop the intellectual basis that is essential to future mission success.

S&T is focusing on enabling our customers—the DHS components—and *their* customers, including Border Patrol agents, Coast Guardsmen, airport baggage screeners, Federal Air Marshals, State, local and tribal emergency responders, and the many others teamed and committed to the vital mission of securing the Nation.

S&T is results-oriented—balancing risk, cost, impact, and time to delivery. We engage the most able researchers—urging them to look beyond the obvious and ask what comes next. We must get cutting-edge capabilities to the front lines, leveraging other Federal agencies, academia, industry, national labs, and international partners to develop the most urgently needed solutions—and must also provide for leap-ahead improvements in all homeland security mission areas.

Our six Divisions address critical needs spanning basic research through advanced technology development and transition. These divisions are supported by Directors of Research (University Programs and the Laboratories), Transition, and Innovation (HSARPA) who report directly to the Under Secretary, as well as Test & Evaluation and Standards, Interagency and International Programs, S&T Special Programs, and the Homeland Security Institute that assists DHS and S&T in addressing technical issues and risk analysis.

University Programs cultivates the next generation of scientists and engineers through mission-inspired research at colleges and universities. S&T also collaborates with the Department of Energy's *national laboratories*, throughout the country.

The Homeland Security Advanced Research Projects Agency (HSARPA) develops critical technologies rapidly by funding high-risk/high-payoff prototypes and applying innovative technologies to help us win the continuing war on terrorism.

DHS laboratories include the Chemical Security Analysis Center, Environmental Measurements Laboratory, National Biodefense Analysis and Countermeasures Center, Plum Island Animal Disease Center, and Transportation Security Laboratory.

Explosives Division

Explosives and other energetic materials are the weapons of choice for terrorists plotting to disrupt civil society and create mass casualties. S&T's *Explosives Division* focuses on the detection, mitigation, and response to explosives such as improvised explosive devices and suicide bombers.

S&T coordinates with Federal partners that include the Departments of Defense and Justice as well as the Federal Bureau of Investigation in supporting our primary customer, the Transportation Security Administration.

A broad range of existing and emerging approaches to detect and lessen the impact of explosive materials is being employed, from baggage-screening devices to those that can identify explosives residue.

High-priority technology needs identified by this Division include:

- Checkpoint Explosives Detection
- Standoff detection on persons (portable solutions)
- System solution for detection in baggage
- Explosives Detection in Air Cargo
- Capability to detect VBIED / large threat mass (container, trailer, ship, vessel, car, rail)
- Capability to detect homemade or novel explosives
- Capability to assess, render safe, and neutralize explosive threats
- Optimize canine explosive detection capability
- Blast mitigation

Chemical and Biological Division

Throughout history, pathogenic organisms and toxins have posed threats to human health, agriculture, and the food supply. Chemical warfare agents also present terrorists with the potential for inflicting mass casualties on an unsuspecting public.

S&T's *Chemical and Biological Division* is conducting analyses to characterize and prioritize threats. It develops detection systems to provide early warning of a possible attack so as to minimize exposure and speed treatment of victims, conducts forensic analyses to support attribution, and works with our Federal partners who have lead responsibilities in decontamination and restoration, agrodefense, and food security.

High-priority technology needs identified by this Division include:

- Tools to detect and mitigate animal disease breakouts
- Improved tools for integrated chemical, biological, radiological, and nuclear (CBRN) risk assessment
- Incident characterization capability for response and restoration

- Improved chemical and biological forensic analysis capability
- National-scale detection architectures and strategies to address outdoor, indoor (e.g., highly trafficked transportation hubs) and critical infrastructure
- Consequence assessments of attacks on chemical facilities and Chem/Bio attacks on other critical infrastructure
- Integrated chemical, biological, radiological, nuclear, and explosive CBRNE sensor reporting capability
- Handheld rapid biological and chemical detection systems
- Detection paradigms and systems for enhanced, emerging and novel biological threats

Command, Control and Interoperability Division

The *Command, Control and Interoperability Division* focuses on operable and interoperable communications for emergency responders, security and integrity of the Internet, and development of automated capabilities that “connect the dots” to recognize potential threats.

The Command, Control and Interoperability Division is supporting DHS’s partners in Federal, State, local, and tribal emergency response; DHS operational components charged with predicting, detecting, and responding to all hazards; and DHS’s private sector partners (with the DHS S&T Infrastructure and Geophysical Division) who own, operate, maintain, and utilize much of the Nation’s cyber infrastructure.

High-priority technology needs identified by this Division include:

- Ability to access databases in which audio information is entered; provide analytical, reporting, and automated case deconfliction; classify, identify voice samples
- Secure internet protocols including standard security methods
- Improved capability to model the effects of cyber attacks and understanding of internet topography
- Comprehensive next-generation network modeling tools
- Composable and scalable secure systems
- Technologies and standards for managing identities, rights and authorities used in an organization’s information systems and networks
- Information system insider threat detection models and mitigation technologies
- Analytical techniques for assessing security across the IT system engineering life-cycle
- Process Control Systems (PCS) security
- Data fusion from multiple sensors and information sources into a Common Operating Picture (COP)
- Improved real-time data sharing of law enforcement information
- Management of user identities, rights and authorities
- Secure dissemination of information or intelligence products on a need-to-know basis
- Information sharing within/across sectors on terrorist threats
- Automated, dynamic, real-time data processing and visualization capability
- Analytic capabilities for structured, unstructured, and streaming data
- Situational awareness between US Coast Guard and its partners

- Sensor fusion between Law Enforcement and Intelligence Community partners
- Development and evaluation of Internet Protocol (IP) enabled backbones
- Test and evaluation of emergent wireless broadband data systems
- Acceleration of development and testing of P25 IP-based interfaces
- Identification and development of message interface standards
- Transition of Land Mobile Radio communication architectures to cellular based architectures
- Evaluation of communications access technologies; development of complementary test procedures

Borders and Maritime Security Division

The *Borders and Maritime Security Division* develops, evaluates, and demonstrates technologies and tools for better securing our land and maritime ports of entry. S&T is pilot-testing surveillance and monitoring capabilities to cover vast expanses of remote border and developing and testing security devices and inspection methods to secure the large volume of cargo entering U.S. ports daily.

S&T works with the Federal Aviation Administration and Federal Railroad Administration to develop and test identity verification tools, unmanned aerial vehicles (UAVs), unattended surveillance systems, and cargo security and inspection devices to achieve operational control of our borders and ports while allowing the flow of legitimate travel and commerce.

High-priority technology needs identified by this Division include:

- Improved ballistic protection via personal protective equipment
- Improve detection, tracking, and identification of all threats along the terrestrial and maritime border
- Non-lethal compliance measures for vehicles, vessels, or aircraft allowing for safe interdiction by law enforcement personnel
- Non-destructive tools that allow for the inspection of hidden or closed compartments to find contraband or security threats
- Improved analysis and decision-making tools that will ensure the development/implementation of border security initiatives
- Ability for law enforcement personnel to quickly identify the origin of gunfire and classify the type of weapon fired
- Ability for law enforcement officers to assure compliance of lawful orders using non-lethal means
- Enhanced screening and examination by non-intrusive inspection
- Increased information fusion, anomaly detection, Automatic Target Recognition capability
- Detect and identify WMD materials and contraband
- Capability to screen 100% of air cargo
- Test the feasibility of seal security; Detection of intrusion
- Track domestic high-threat cargo

- Harden air cargo conveyances and containers
- Positive ID of cargo & detection of intrusion or unauthorized access
- Wide-area surveillance from the coast to beyond the horizon; port and inland waterways region - detect, ID, and track
- Data fusion and automated tools for command center operations
- Vessel compliance through non-lethal compliance methods
- Enhanced capability to continuously track contraband on ships or containers
- Improved ballistic personal protective equipment for officer safety
- Improved WMD detection equipment for officer safety; improved screening capability for WMD for maritime security checkpoints

Human Factors Division

Supporting the mission needs of the Department of Homeland Security involves a thorough understanding of threats, vulnerabilities and resultant risks at a strategic level, as well as, the operational and tactical levels of security management. DHS needs to understand what motivates radical behavior and how such ideology can take root. Similarly, to detect, prevent and respond, DHS must understand why certain events trigger social disruption but others do not. How humans can best interact with increasingly complex technology and data to successfully accomplish missions is of interest.

S&T's *Human Factors Division* applies the social and behavioral sciences to improve detection, analysis, and understanding of threats posed by individuals, groups, and radical movements; supports the preparedness, response, and recovery of communities impacted by catastrophic events; and advances national security by integrating human factors into homeland security technologies.

High-priority technology needs identified by this Division include:

- Ability to determine non-intrusively the intent of subjects during questioning
- Breakthrough technologies to aid in the detection, prevention, and response to likelihood of individual, group, or community radical and/or violent behavior
- Identification and development of social and behavioral science principles, practices, and data associated with protection of homeland
- Non-invasive monitoring: Identifying and tracking unknown or potential threats from individuals at key checkpoints. Real-time detection of deception or hostile intent through integrated system of human and machine methods
- Capability in real-time for positive verification of individual's identity utilizing multiple biometrics
- Capability for secure, non-contact electronic credentials; contactless readers or remote interrogation technologies for electronic credentials
- Mobile biometrics screening capabilities, to include hand-held, wireless, and secure devices
- High-speed, high-fidelity ten-print capture capability

Infrastructure and Geophysical Division

The *Infrastructure and Geophysical Division* focuses on two main areas 1) identifying and mitigating the vulnerabilities of the 17 critical infrastructure and key assets that keep our society and economy functioning; and 2) advancing and developing incident response techniques and tools for the first responder community.

This Division models and simulates the Nation's critical infrastructures to determine how various scenarios will affect each sector, provide decision support tools to guide decision makers in identifying gaps and vulnerabilities, and develop predictive tools and methods to aid in preparing for and responding to various catastrophes. In addition the Division works to enhance the ability of the first responder to save lives efficiently and rapidly while protecting their own through improving personnel equipment and situational awareness at all levels of Federal, State, local, and tribal incident command.

High-priority technology needs identified by this Division include:

- Surveillance techniques that sense and interdict inappropriate intrusions to critical infrastructure and key resource (CI/KR) sites from all access points
- Self-learning sensors or automated measures that can self-diagnose and self-heal infrastructure
- Survivable monitoring systems that work in inclement conditions
- Systems that report the health, condition, and availability of CI/KR assets
- Large portal scanning systems that detect CBRNE and hostile intent rapidly in large crowds without slowing of crowds
- Real-time, high-fidelity decision-support modeling at multiple scales that fuses data from many sources and allows decision makers to evaluate options rapidly
- Dynamic economic models providing consequence information at an international scale
- Improved models of human behavior across the full spectrum of demographics to factor in better social and political aspects of decision making and communication
- Simplified numerical models of CI/KR against blast, projectile, and fire threats
- Affordable protective measures that prevent unacceptable levels of damage
- Innovative new threat-resistant materials
- Recheck existing infrastructure upgrade designs and models to see if new failure mechanisms have been triggered by the proposed upgrades
- Innovative, temporary, low-cost measures to continue to provide the services of CI/KR until permanent fixes can be made
- Integrated modeling and simulation capability for the Federal Emergency Management Agency to provide reliable estimates of a wide-range of hazards
- Route mapping to manage transportation assets effectively during evacuations or post-event flow of emergency supplies
- Emergency responder locator system
- Capability for physiological monitoring of firefighters
- A logistics management model that allows critical resources to be effectively managed and enhances real-time coordination and situational awareness across all areas of disaster response

II. AWARD INFORMATION

- A. **Type of Award:** Cooperative Agreements (a grant may be awarded based on the proposed research effort)
- B. **Authority:** Section 1901 of Public Law 110-53, “Implementing Recommendations of the 9/11 Commission Act of 2007” as codified 6 U.S.C. 317. .
- C. **Estimated Number of Awards:** It is anticipated that approximately 6-8 cooperative agreements will be awarded under this announcement.
- D. **Estimated Funding:** Subject to the availability of funds and receipt of its Fiscal Year 2008 appropriation, DHS estimates that up to \$1,200,000 will be available for funding under this announcement including all direct and indirect costs.
- E. **Maximum Award Size:** The maximum amount for an individual award made under this announcement will not exceed \$250,000 for total costs (direct and indirect costs).
- F. **Performance Period:**
1. The Performance Period will be for one year.
 2. Extensions to the Performance Period may be awarded, but are not guaranteed and may not include increased funding.

Applicants awarded a cooperative agreement or grant through this announcement will be expected to begin their research in accordance with their proposed project period or in accordance with a negotiated project period. DHS expects all applicants to be able to begin performance within thirty days of receipt of grant award. Institutions requiring additional post-selection preparation time are required to note this in their initial proposal. Ample consideration and consequent extensions may be given at the discretion of DHS if a proposal is unique or would have a particularly high impact as determined by the internal proposal review process.

DHS anticipates that all awards issued under this announcement will be in the form of cooperative agreements. Depending on the proposed research, a grant may be considered. Federal responsibilities under the cooperative agreement, in addition to the usual monitoring and technical assistance would vary depending on the proposed research effort but are expected to include:

- Coordination of and participation in a kickoff meeting with appropriate S&T Division staff prior to project initiation as well as a wrap-up meeting with appropriate S&T Division staff at the end of the Period of Performance;
- Ongoing monitoring of the activities of Recipient’s work plan and activities described in Recipient’s grant application through face-to-face and/or telephone meetings and the

review of progress reports and key objectives for activities funded under a cooperative agreement;

- Review and comment on project information prior to dissemination including:
 - Publications, brochures, presentation materials, products, documents, and technology transfer information to be shared with the public. The DHS Program Officer shall have 20 calendar days to review and comment upon such materials prior to dissemination.
 - Agendas for meetings, seminars and conferences. The DHS Program Officer shall have 20 calendar days to review and comment upon such agendas prior to dissemination.
- Assistance in the establishment of international and Federal or State interagency partnerships, collaboration, and cooperation that may be necessary for carrying out the project;
- Attendance and participation in appropriate meetings.

Additionally, DHS anticipates the following Special Terms and Conditions for any awardees under this effort:

- Recipient shall participate in a kickoff meeting with appropriate S&T Division staff prior to the commencement of research activities under this Award, as well as a wrap-up meeting with S&T Division staff at the end of the Period of Performance.
- Recipient shall submit project information to the DHS Program Officer prior to dissemination of such information by Recipient, including:
 - Publications, brochures, presentation materials, products, documents, and technology transfer information to be shared with the public. Forty-five (45) days prior to submission for publication, the recipient must submit a complete draft to the DHS Program Officer for review and comment. The materials described in this section must comply with the Security Requirements set forth in Section Article VI (Award Administration Information) of this Funding Opportunity Announcement.
 - Agendas for meetings, seminars, and conferences. Sixty (60) days prior to the event, the recipient must submit draft agendas and handouts to the DHS Program Officer for review and comment. The agendas described in this section must comply with the Security Requirements set forth in Section Article VI (Award Administration Information) of this Funding Opportunity Announcement. The Recipient is also responsible for: (1) including participant evaluations of the event; (2) providing an analysis of the participant evaluations to the DHS Program Officer 30 days following the date of the event; (3) providing meeting notes to the DHS Program Officer 14 days following the date of the event; and (4) submission

of original copies of the attendee/participant sign-in sheets that list participants, and includes signatures, email addresses, and phone numbers.

- Foreign travel must be approved by DHS in advance and in writing. Any request for foreign travel must be submitted to the DHS Grants Officer 60 days prior to the commencement of travel. Travel required in the performance of the duties approved in the cooperative agreement must comply with the applicable OMB Cost Principles Circular.

III. ELIGIBILITY INFORMATION

A. Eligible Applicants:

This funding opportunity is restricted to accredited institutions of higher education, both foreign and domestic. A single institution must be identified as the lead and the entity for proposal submission and subsequent discussions. Additional institutions associated with the lead institution will be subawards from the lead institution. All proposals must include participation by both foreign and domestic institutions.

DHS Centers of Excellence (COEs) are eligible to apply for new research efforts under this funding opportunity. They may not apply for research efforts already being funded.

Universities and educational institutions are subject to OMB Circular A-21, relocated to 2 CFR Part 220.

Eligible nonprofit organizations include any organizations that meet the definition of nonprofit in OMB Circular A-122, relocated to 2 CFR Part 230. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply.

National laboratories funded by Federal agencies may not apply. FFRDC employees may cooperate or collaborate with eligible applicants within the limits imposed by applicable legislation, regulations, and DHS policies. They may participate in planning, conducting, and analyzing the research directed by the principal investigator, but may not direct projects on behalf of the applicant organization or principal investigator. The principal investigator's institution, organization, or governance may provide funds through its assistance agreement with DHS to a FFRDC for reimbursable time spent by research personnel, supplies, equipment, and other expenses directly related to the research. However, salaries for FFRDC personnel may not be provided through this agreement.

Federal agencies and United States service academies are not eligible. Federal employees are not eligible to serve in a principal leadership role on a cooperative agreement or grant, may not advise applicants on their applications, and may not receive salaries or in other ways augment their agency's appropriations through awards made by this program.

B. Cost Sharing: Cost sharing is not required for this award.

C. Non-responsiveness: Applications must substantially comply with the application submission instructions and requirements set forth in this announcement or they will be rejected as non-responsive. In addition, where a page limitation is expressed with respect to parts of the application, pages in excess of the page limit will not be reviewed. Without exception, applications must be received by Grants.gov on or before the solicitation closing date and time in this announcement or they will be returned to the sender without further consideration. Also, applications exceeding the funding limits or project period term will be returned without review.

Additional criteria for responsiveness include the following. Applications that do not meet these criteria will be returned without review:

- i. Application must demonstrate substantive leveraging of international resources to address homeland security challenges.
- ii. Application must be relevant to a DHS S&T Division as shown in Section I. (For example, proposals that address medical countermeasures or radiological or nuclear detection will not be considered for funding.)
- iii. Application must include participation by both foreign and domestic institutions (e.g., at least one U.S. institution and at least one foreign institution).

Finally, proposals that propose the following will not be considered for funding and will be returned without review:

- i. Matching funds for other Federal grants, lobbying, or intervention in Federal regulatory or adjudicatory proceedings.
- ii. Radiological or nuclear activities, including but not limited to detection, countermeasures, or response.
- iii. Medical countermeasures, including but not limited to vaccines, therapeutics, and prophylaxis.
- iv. Water supply or system efforts, including but not limited to detection, monitoring, and decontamination.
- v. Clinical diagnostics.

D. Other: Applicants must present evidence of compliance with applicable U.S. statutes and regulations, including but not necessarily limited to the following:

- For proposals involving research with human subjects, applicants must present evidence of approved assurance from the Department of Health and Human Services' (HHS') Office for Human Research Protections (OHRP) as defined in 45 CFR Part 46. (For more information, please see <http://www.hhs.gov/ohrp/>).
- For proposals involving research with Select Agents as defined in 42 C.F.R. Part 73, 7 C.F.R. Part 331, and 9 C.F.R. Part 121, the applicants must present evidence of compliance with applicable HHS or U.S. Department of Agriculture final rules. (For more information, please see <http://www.cdc.gov/od/sap/>).

- For proposals involving research with animal subjects, applicants must present evidence of compliance with C.F.R., Title 9, Chapter 1, Subchapter A - Animal Welfare. (For more information, please see <http://www.nal.usda.gov/awic/legislat/usdaleg1.htm>)
- For proposals involving research with recombinant DNA, applicants must present evidence of compliance with HHS recombinant DNA regulations. (For more information, please see <http://www4.od.nih.gov/oba/rac/guidelines/guidelines.html>)
- All proposed efforts must ensure compliance with the Department of Commerce's Export Administration Regulations (EAR) and the Department of State's International Traffic in Arms Regulations (ITAR). (For more information, please see <http://www.gpo.gov/bis/index.html> and <http://www.pmdtc.state.gov/reference.htm>)

IV. APPLICATION AND SUBMISSION INFORMATION

Applications must be submitted through Grants.gov.

A. Address to Request Application Package.

Use Grants.gov to obtain application forms and instructions. Go to <http://www.grants.gov>, click "Apply for Grants," and then click "Download a Grant Application Package and Instructions." Enter the CFDA or the funding opportunity number (see the beginning of this announcement), and click the "Download Application Package" button. Click the "download" link for this opportunity and then follow the prompts to download the application package and the instructions package (if applicable).

B. How to Submit an Application

1. **Applications must be submitted electronically through Grants.gov.**
2. To submit an application through Grants.gov, applicants use Adobe Reader. **You must use either version 7.0.9 or version 8.1.1 of Adobe Reader; Grants.gov does not support any other version of Adobe Reader.** Adobe Reader is available from Grants.gov at no charge.

The applicant must have a DUNS number to submit an application through Grants.gov. See the Grants.gov website for information on how to obtain a DUNS number. In addition, the applicant must be registered with the Central Contractor Registry (CCR) to submit an application through Grants.gov. See the Grants.gov website for information on how to register with the CCR.

The applicant must be registered, credentialed and authorized at Grants.gov to submit an application through Grants.gov. See the Grants.gov website for information on how to register, obtain a credential and become authorized.

DHS strongly encourages applicants to obtain or update all registrations, credentials and authorizations related to Grants.gov well in advance of the deadline for submission.

If the applicant encounters difficulties, please contact the Grants.gov Help Desk at 1-800-518-4276 to report the problem and obtain assistance with the system.

3. **We may request that you provide original signatures on forms at a later date.**

C. Content and Form of Application

You must complete the mandatory forms for this announcement [includes the SF-424 (R&R) (Application for Federal Assistance), Research & Related Budget, Research & Related Senior/Key Person Profile, Research & Related Other Project Information, Research & Related Performance Site Locations], and other forms in accordance with the application instructions on Grants.gov and additional instructions below. If submitting any information that is deemed proprietary, please denote the beginning and ending of such information with asterisks (***)

All applications must be self-contained within specified page limitations, Internet web site addresses (URLs) may not be used to provide information necessary to the review because reviewers are under no obligation to view the Internet sites.

MANDATORY FILES:

1. **SF 424 (R&R) - Application for Federal Assistance**

Applicants must complete an SF 424 (R&R) application form. This form may be completed while on the Grants.gov Web site or it can be completed offline in its entirety. NOTE: Applications submitted through Grants.gov must use the SF 424 (R&R) provided by Grants.gov. The SF 424 (R&R) application form can only be viewed and downloaded once Adobe Reader has been installed. The SF 424 (R&R) application form on Grants.gov is formatted so applicants are only required to complete fields which are indicated with an asterisk (*) and color coded. Once the application is complete, close the document (you will then be prompted to save changes or not).

2. **Research & Related Budget Form**

Applicants must complete a budget for each year, and a cumulative budget. Applicants must provide budgets by object class (salaries, fringe, travel, indirect, etc.). Funds may be requested as long as the item and amount are necessary to perform the proposed work and are not precluded by the cost principles or program funding restrictions (see Section IV.F). Attach your budget justification (see below) at Item K on this form.

3. **Budget Justification File(s).** Budget detail is required for:

- a. **PERSONNEL:** Costs of employee salaries and wages. Identify project director/principal investigator and each staff person.

Justification: Identify the project director or principal investigator, if known. For each staff person, provide the title, time commitment to the project (in months), time commitment to the project (as a percentage or full-time equivalent), annual salary, grant salary, wage rates, etc. Do not include the costs of consultants.

- b. **FRINGE BENEFITS:** Costs of employee fringe benefits unless treated as part of an approved indirect cost rate. Provide the calculation method for fringe rates and amounts. If a fringe rate agreement has been negotiated with a cognizant Federal agency, provide it. If no agreement exists, provide the amounts and percentages of all items that comprise the fringe rate, and the basis for allocation.

Justification: Provide the method used to calculate the proposed rate amount. If a fringe benefit has been negotiated with, or approved by, a Federal government cognizant agency, provide a copy of the agreement. If no rate agreement exists, provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, FICA, retirement insurance, taxes, etc. Identify the base for allocating these fringe benefit expenses.

- c. **TRAVEL:** Costs of project-related travel by employees of the applicant organization (does not include costs of sub-contractor or consultant travel or participant/trainee travel costs, if applicable).

Justification: For each proposed trip, provide the purpose, number of travelers, travel origin and destination, number of days, and a breakdown of costs for airfare, lodging, meals, car rental, and incidentals. The basis for the airfare, lodging, meals, car rental, and incidentals must be provided, such as past trips, current quotations, Federal Travel Regulations, etc.

- d. **EQUIPMENT:** Any article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds the lesser of (a) the capitalization level established by the organization financial statement purposes, or (b) \$5,000. (Note: acquisition cost means the net invoice unit price of an item of equipment, including the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. Ancillary charges, such as taxes, duty, protective in-transit insurance, freight, and installation shall be included in or excluded from

acquisition cost in accordance with the organization's regular written accounting practices.)

Justification: For each type of equipment requested, provide a description of the equipment, the cost per unit, the number of units, the total cost, and a plan for use on the project, as well as use or disposal of the equipment after the project ends. An applicant organization that uses its own definition for equipment should provide a copy of its policy or section of its policy, which includes the equipment definition.

- e. **SUPPLIES:** Costs of all tangible personal property other than that included under the Equipment category.

Justification: Specify general categories of supplies and their costs. Show computations and provide other information that supports the amount requested.

- f. **CONTRACTUAL:** Costs of all contracts for services and goods except for those that belong under other categories such as equipment, supplies, construction, etc.

Justification: Demonstrate that all procurement transactions will be conducted in a manner to provide, to the maximum extent practical, open and free competition. Identify proposed subaward/sub-contractor work and the cost of each subaward/sub-contractor. Provide a detailed budget for each subawardee that is expected to perform work estimated to be \$25,000 or more. The subawardee budget should provide the same level of detail as that of the applicant (i.e., by Object Class Category/Cost Classification). In addition, the following information must be provided:

- (1) Subcontracts - Identify each planned subcontractor and its total proposed budget. Each subcontractor's budget and supporting detail should be included as part of the applicant's budget narrative. In addition, the applicant shall provide the following information for each planned subcontract: a brief description of the work to be subcontracted; the number of quotes solicited and received, if applicable; the cost or price analysis performed by the applicant; names and addresses of the subcontractors tentatively selected and the basis for their selection; e.g., unique capabilities (for sole source subcontracts), low bidder, delivery schedule, technical competence; type of contract and estimated cost and fee or profit; and, affiliation with the applicant, if any.
- (2) Subawardees – Identify each planned subawardee and its total proposed budget. Each subawardee's budget and supporting detail should be separate from the applicant's budget narrative.

Recipient may be required to make pre-award review and procurement documents available to DHS, including request for proposals or invitations for bids, independent cost estimates, etc. This may include procurements expected to exceed the simplified acquisition threshold fixed at 41 USC 403(11) (currently set at \$100,000) and expected to be awarded without competition or only one bid or offer is received in response to a solicitation.

All required flow down provisions in the award must be included in any subcontract or subaward.

- g. **OTHER DIRECT COSTS:** Any other items proposed as direct costs. Provide an itemized list with costs, and state the basis for each proposed item.
- h. **INDIRECT COSTS:** Provide a copy of the latest rate agreement negotiated with a cognizant Federal agency. If the applicant organization is in the process of initially developing or renegotiating a rate, upon notification that an award will be made, it should immediately develop a tentative indirect cost rate proposal based on its most recently completed fiscal year, in accordance with the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. When an indirect cost rate is requested, those costs included in the indirect cost pool should not also be charged as direct costs to the award. Also, if the applicant is requesting a rate that is less than what is allowed under the program, the authorized representative of the applicant organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

4. **Certifications/Assurances**

- a. Applicants must submit the SF 424B – Assurances – Non-Construction Programs form, which is a separate form in the application package.
- b. By signing and submitting an application under this announcement, the applicant is providing: Certification Regarding Debarment, Suspension, and Other Responsibility Matters – Primary Covered Transactions (see Attachment A); Certification Regarding Drug-Free Workplace Requirements (see Attachment B); and Certification that the applicant is not delinquent on any Federal debt.
- c. Attach the Certification Regarding Lobbying (Attachment C of this funding opportunity) to the Research & Related Other Project Information, at Item 11. If paragraph two of the certification applies then complete and

submit the SF-LLL Disclosure of Lobbying which is provided as an optional form in the application package.

5. Research & Related Senior/Key Person Profile

Applicants must complete a profile for the Principal Investigator(s) as well as other Senior Key Personnel identified for the project. Provide biographical sketch(es) for each senior/key person that includes education and research activities and accomplishments and each individual's role in the proposed project. Each biographical sketch may not exceed two, single-spaced pages using size twelve Times New Roman font. Attach biographical sketch(es) to this form.

6. Research & Related Other Project Information

- a. Applicants must complete the Other Project Information form, which includes information regarding use of human subjects, use of animal subjects, and proprietary information, among other things.
- b. The Project Summary/Abstract. Provide a summary description, not to exceed two pages, of the proposed activity suitable for dissemination to the public. It should be concise and accurate. It should identify: the Title of the project, the Principal Investigator, the Primary Institution, the International Participant(s) (i.e., foreign institutions(s), countries involved), Total Cost, Sub-award Amount(s), and the DHS S&T Division(s) the research will fall under (refer to Section I). This Abstract must not include any proprietary/confidential information. Attach the summary/abstract to Item 6 on the Research & Related Other Project Information form.
- c. The Project Narrative shall not exceed twenty-five pages, single spaced using size twelve Times New Roman font. Each page must be numbered. The Project Narrative section should contain a well-argued and specific proposal for activities that will address the elements in this funding opportunity. See the requirements identified under Section I, "Funding Opportunity Description" and evaluation criteria listed in Section V. Attach the Project Narrative to item 7 on the Research & Related Other Project Information form.

The Project Narrative should be organized in the following sequence:

- (1) Description of overall objectives and the need for assistance from DHS;
- (2) Description of major research areas;
- (3) Descriptions of planned projects within each proposed research area, including analytical approach and measurable goals and timelines; and,
- (4) Description of proposed organizational structure.

d. **Other Attachments.** Attach the following items at item 11 on the Research & Related Other Project Information form.

1. Indirect Cost Rate Agreement.
2. Negotiated Fringe Benefit Agreement or, if no agreement exists, the amounts and percentages of all items that comprise the fringe rate, and the basis for allocation.
3. Certification Regarding Lobbying.
4. Other document(s) not specifically identified elsewhere in this funding opportunity. (If you need more space to attach additional items, use the optional “Attachments” form (see below).

7. **Research & Related Project/Performance Site Locations**

Applicants must complete the Project/Performance Site Locations form.

8. **R&R Subaward Budget Attachment(s) Form**

This form is required if you are proposing subawards or subcontracts within your application.

9. **Attachments (Optional)**

Use the optional Grants.gov “Attachments” form if you need more room to attach any other document(s) not specifically identified elsewhere in this funding opportunity.

D. Submission Dates and Times.

Schedule of Events	
Event	Date
Full Proposals Due Date	January 18, 2008
Notification of Award	Anticipated award date of May 31, 2008

Applications not received by the deadline will not be considered for funding.

E. Intergovernmental Review:

This program is not subject to Executive Order 12372, “Intergovernmental Review of Federal Programs.”

F. Funding Restrictions. DHS grant funds may only be used for the purpose set forth in the agreement, and must be consistent with the statutory authority for the award. Grant funds may not be used for matching funds for other Federal grants, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.

1. Construction costs are not allowable under this funding opportunity.
2. Profit or fee is not allowable except when subcontracting for routine goods and services with commercial organizations.
3. Funds awarded under this program may not be used for the renovation or refurbishment of research or education space nor the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.
4. Pre-award costs are allowable only with the written consent of DHS and included in the award agreement.
5. Equipment.
 - a. Prior to the purchase of equipment in the amount of \$5,000 or more per unit cost, the recipient must obtain the written approval from DHS.
 - b. Maintenance and insurance will be the responsibility of the Recipient.
 - c. Title of equipment will remain with the Recipient until closeout when disposition will be provided in writing by DHS within 120 days of submission of final reports.
6. Funding for direct reimbursement of proposal development costs are not allowable.

G. Other Submission Requirements. Please see <http://www.grants.gov> for guidance on submitting your research proposal electronically.

V. APPLICATION REVIEW INFORMATION

A. Review Criteria:

DHS will use the following criteria to evaluate proposal submissions through an Objective Review Process. Each of the four evaluation criteria described below are listed in no order of importance and are of equal weighting with respect to DHS's evaluation of the proposal submissions.

1. Scientific Merit. The following questions may be considered during the evaluation: Is the research approach practical and technically defensible? Are the proposed research methods appropriate and adequate? Will the research contribute to scientific knowledge in the topic area? What are potential benefits

of the proposed research? Is the proposal well-prepared with supportive information that is self-explanatory or understandable?

2. **Mission Relevance.** The following criteria may be considered during the evaluation: Relevance to the stated mission of DHS S&T International Programs and to the DHS S&T Research Division mission areas as described in Article I. Potential impact of the proposed research on overall DHS mission areas. (e.g., the degree to which the proposed research focus can yield results that overcome existing and difficult technical limitations, or that offer the scientific basis to enable major technological advances in the foreseeable future.)
 3. **Leveraging International Capabilities.** Proposal must demonstrate substantive international collaboration to allow and to support international cooperative activity in support of homeland security. If the lead institution is located in the United States, the lead institution has demonstrated expertise in leveraging international resources to solve homeland security challenges (e.g., partnerships with international academic institutions and research institutions).
 4. **Resources.** Proposal must demonstrate evidence that the applicant(s) and their institution have the necessary resources (e.g., personnel, facilities, equipment, and timeframe) to complete the proposed effort. Additionally, evaluators will consider realism of the proposed costs and availability of funds. Although budget information does not reflect on the application's scientific merit, the evaluation will include the appropriateness and/or adequacy of the proposed budget and its implications for the potential success of the proposed research.
- B. Review and Selection Process:** Proposals will be reviewed by a panel of subject matter experts from inside the Federal government. All members of this panel will be screened for conflicts of interest. The final selection will be made by DHS's designated Selection Authority based upon the proposal and the review process. Any other materials, including external letters of support, are discouraged and **will not** be considered as part of the review process.
- C. Conflicts of Interest and Confidentiality** During the review process, extreme care will be taken to prevent any actual or perceived conflicts of interest that will impact review or evaluation of the proposals. For the purpose of determining conflicts of interest, potential reviewers are asked to complete and sign conflicts of interest and nondisclosure forms.

Names of submitting institutions, partner institutions and participants, as well as application content and internal evaluations, will be kept confidential, except to those involved in the review process. In addition, the identities of peer reviewers will remain confidential and will not be released to the extent permitted by law.

VI. AWARD ADMINISTRATION INFORMATION

A. **Notice of Award.** A grant award will be executed by a DHS Grants Officer authorized to obligate DHS funding. Unsuccessful applicants will be contacted as well and will be encouraged to apply for future grant award programs. Announcements for future programs will always be listed at <http://www.grants.gov>.

B. **Administrative and National Policy Requirements.**

The award is subject to the following administrative and national policy requirements.

1. **Administrative and Cost Principles.** The following Administrative and Cost Principles, as applicable, apply to the award:
 - a. OMB Circular A-110, relocated to 2 CFR Part 215. “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations.”
 - b. OMB Circular A-21, relocated to 2 CFR Part 220. “Cost Principles for Educational Institutions.”
 - c. OMB Circular A-133. “Audits of States, Local Governments, and Non-Profit Organizations.”

These publications may be viewed at:

http://www.whitehouse.gov/omb/grants/grants_circulars.html

2. **Nondiscrimination.** The award is subject to the following:
 - a. TITLE VI OF THE CIVIL RIGHTS ACT OF 1964. As amended, provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance. Title VI also extends protection to persons with limited English proficiency. (42 U.S.C. 2000d et seq.)
 - b. TITLE IX OF THE EDUCATION AMENDMENTS OF 1972. Provides that no person in the United States shall, on the basis of sex, be excluded from participation in, be denied benefits of, or be subject to discrimination under any education program or activity receiving Federal financial assistance. (20 U.S.C. 1681 et seq.)
 - c. THE AGE DISCRIMINATION ACT OF 1975. Provides that no person in the United States shall, on the basis of age, be excluded from participation in, be denied benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance. (42 U.S.C. 6101 et seq.)

- d. SECTION 504 OF THE REHABILITATION ACT OF 1973. Provides that no otherwise qualified individual with a disability in the United States, shall, solely by reason of his/her disability, be excluded from participation in, be denied benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance. (29 U.S.C. 794)
 - e. THE AMERICANS WITH DISABILITIES ACT OF 1990 ("ADA"). Prohibits discrimination on the basis of disability in employment (Title I), state and local government services (Title II), places of public accommodation and commercial facilities (Title III). (42 U.S.C. 12101-12213).
3. **Certifications and Assurances.** Certifications and assurances regarding the following apply:
- a. LOBBYING. Section 319 of Public Law 101-121 prohibits the use of funds in lobbying members and employees of Congress, as well as employees of Federal agencies, with respect to the award or amendment of any Federal grant, cooperative agreement, contract, or loan. DHS has codified restrictions upon lobbying at 6 CFR Part 9. (31 U.S.C. 1352)
 - b. DRUG-FREE WORKPLACE ACT. Requires the recipient to publish a statement about its drug-free workplace program and give a copy of the statement to each employee (including consultants and temporary personnel) who will be involved in award-supported activities at any site where these activities will be carried out. Also, place(s) where work is being performed under the award (i.e., street address, city, state and zip code) must be maintained on file. The recipient must notify the Grants Officer of any employee convicted of a violation of a criminal drug statute that occurs in the workplace. (41 U.S.C. 701 et seq.)
 - c. DEBARMENT AND SUSPENSION. Executive Orders (E.O.) 12549 and 12689 provide protection from fraud, waste, and abuse by debarring or suspending those persons that deal in an irresponsible manner with the Federal government. The recipient must certify that they are not debarred or suspended from receiving Federal assistance.
 - d. FEDERAL DEBT STATUS. The recipient may not be delinquent in the repayment of any Federal debt. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, and benefit overpayments. (OMB Circular A-129)
4. **Human Subjects:** Recipient of a cooperative agreement or grant must agree to meet all DHS and HHS requirements for studies using human subjects prior to implementing any work with these subjects. These requirements are given in 45 Code of Federal Regulations (CFR) Part 46, Subparts A-D. Subpart A of 45 CFR

Part 46 is HHS's codification of the Federal Policy for the Protection of Human Subjects (also known as The Common Rule) which represents the basic foundation for the protection of human subjects in most research conducted or support by U.S. Federal departments and agencies. No actual work involving human subjects, including recruiting, may be initiated before DHS has received a copy of the applicant's Institutional Review Board's (IRB) approval of the project or determination that it is exempt from human subjects requirements, and DHS has provided approval, although development of tools (e.g., survey instruments), protocols and data gathering approaches may proceed. Where human subjects are involved in the research, the recipient must provide evidence of subsequent IRB reviews, including amendments or minor changes of protocol, as part of annual reports.

Foreign organizations, whether direct awardees or part of a collaborative effort with a U.S. organization, are subject to all DHS policies regarding research involving human subjects.

5. **Animal Welfare:** Recipient of a cooperative agreement or grant must comply with the requirements set forth in the Animal Welfare Act of 1966 (P.L. 89-544), as amended, and the associated regulations in 9 C.F.R., Chapter 1, Subchapter A; the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (which adopts the "U.S. Government Principles for the Utilization and Care of Vertebrate Animals used in Testing, Research, and Training" (50 Federal Register 20864-20865. May 20, 1985)); the National Research Council (NRC) Guide for the Care and Use of Laboratory Animals; and all additional requirements set forth in DHS Management Directive 10200.1 (Care and Use of Animals in Research) prior to conducting any research; experimentation; biological testing; and other related activities involving animals, including any training for such activities.

Foreign organizations, whether direct awardees or part of a collaborative effort with a U.S. organization, are subject to all DHS policies regarding research involving animals. Those foreign organizations currently operating without a PHS-approved Animal Welfare Assurance must obtain a DHS-approved Assurance of Compliance prior to initiation of research.

6. **Information and Data Quality:** Congress, through OMB, has instructed each Federal agency to implement Information Quality Guidelines designed to "provide policy and procedural guidance...for ensuring and maximizing the quality, objectivity, utility, and integrity of information, including statistical information, disseminated by Federal agencies." Information quality procedures may apply to data generated by grant or cooperative agreement recipients if those data are disseminated as described in the Guidelines. The Office of Management and Budget (OMB) Circular A-110 has been revised to provide public access to research data through the Freedom of Information Act (FOIA) under some circumstances. Data that is (1) first produced in a project that is supported in whole or in part with Federal funds and (2) cited publicly and officially by a

Federal agency in support of an action that has the force and effect of law (i.e., a regulation) may be accessed through FOIA. If such data are requested by the public, DHS must ask for it, and the awardee must submit it, in accordance with A-110 and applicable regulations at 40 C.F.R. 30.36.

7. **Biosafety and Select Agent Authority:** Recipient must conduct laboratory research in compliance with DHS Management Directive (MD) 10101, “Biosafety”, the latest edition of CDC/NIH Biosafety in Microbiological and Biomedical Laboratories (“BMBL”), NIH Guidelines for Research Involving Recombinant DNA Molecules (“NIH Guidelines”), and other applicable standards and guidelines pertaining to laboratory biosafety. For each research project involving recombinant DNA (as defined in the NIH Guidelines), the Recipient must submit documentation of protocol approval by an appropriately constituted Institutional Biosafety Committee (“IBC”). For work involving Biological Select Agents and Toxins (“BSAT”), the Recipient (and any constituent laboratories) will comply with applicable Federal laws and regulations and DHS policies pertaining to the possession and use of BSAT including, but not limited to, 42 CFR 73 “Select Agents and Toxins”, 7 CFR 331 “Possession, Use, and Transfer of Select Agents and Toxins”, 9 CFR 121 “Possession, Use, and Transfer of Select Agents and Toxins”, Public Law 107-56, Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism (USA Patriot Act) Act of 2001”, Public Law 107-188 “Public Health Security and Bioterrorism Preparedness and Response Act of 2002”, and DHS MD 10102 “Select Agent and Toxin Security”. If the Recipient will conduct research involving BSATs (see the HHS and USDA Select Agents and Toxins List, <http://www.cdc.gov/od/sap/docs/salist.pdf>) the Recipient must complete registration with CDC (or USDA, depending on the agent) before using DHS funds. No DHS funds can be used for activities involving BSAT if the final registration certificate is denied.

Before using DHS funds under a DHS cooperative agreement or grant for any work directly involving select agents at a foreign institution (e.g., a Subrecipient), the foreign institution must provide information satisfactory to DHS that requirements equivalent to those described for U.S. institutions in 42 C.F.R 73 shall be met for all select agent work sponsored by these funds. The foreign institution must be willing to address the following key elements: safety, security, training, accountability, oversight, procedures for ensuring that only approved/appropriate individuals have access to select agents, and any applicable laws, regulations, and policies equivalent to 42 CFR 73. If the work to be conducted under a DHS cooperative agreement or grant will not, in fact, involve select agents (e.g., excluded strains), and the foreign institution provides documentation satisfactory to DHS to confirm that the work does not now nor will it in the future (i.e., throughout the life of the award) involve select agents, then no further action will be necessary.

8. **Acknowledgement of DHS Support:** DHS’s full or partial support must be acknowledged in journal articles, oral or poster presentations, news releases,

interviews with reporters and other communications. Any documents developed under this agreement that are intended for distribution to the public or inclusion in a scientific, technical, or other journal shall include the following statement:

This publication [article] was developed under DHS Science and Technology Assistance Agreement No. _____ awarded by the U.S. Department of Homeland Security. It has not been formally reviewed by DHS. The views and conclusions contained in this document are those of the authors and should not be interpreted as necessarily representing the official policies, either expressed or implied, of the U.S. Department of Homeland Security. The Department of Homeland Security does not endorse any products or commercial services mentioned in this publication.

9. **Use of DHS Seal and Non-Endorsement.** Recipient shall require DHS's approval prior to using the DHS seal. DHS's funding of projects under an award does not equate to DHS's endorsement of such projects.

10. **Security Requirements.**

a. *Definitions.* For purposes of this Section, Sensitive Information means any information, the loss, misuse, disclosure, or unauthorized access to or modification of which could adversely affect the national or homeland security interest, or the conduct of Federal programs, or the privacy to which individuals are entitled under section 552a of title 5, United States Code (the Privacy Act), but which has not been specifically authorized under criteria established by an Executive Order or an Act of Congress to be kept secret in the interest of national defense, homeland security or foreign policy. This definition includes the following categories of information:

- i. Information designated as "For Official Use Only," which is unclassified information of a sensitive nature and the unauthorized disclosure of which could adversely impact a person's privacy or welfare, the conduct of Federal programs, or other programs or operations essential to the national or homeland security interest; and
- ii. Any information that is designated in writing as "sensitive" or subject to other controls, safeguards or protections in accordance with subsequently adopted homeland security information handling procedures.

For purposes of this Section, *Protected Critical Infrastructure Information* (PCII) is information as set out in the Critical Infrastructure Information Act of 2002 (Title II, Subtitle B, of the Homeland Security Act, Public Law 107-296, 196 Stat. 2135), as amended, the implementing regulations thereto (Title 6, Code of Federal Regulations, Part 29) as amended, and any supplementary guidance officially communicated in writing by an

authorized official of the Department of Homeland Security (including the PCII DHS Program Officer or his/her designee).

For purposes of this Section, *Sensitive Security Information* (SSI) is information as set out in Title 49, Code of Federal Regulations, Section 1520.5, which is information obtained or developed in the conduct of security activities, including research and development, the disclosure of which the Department of Homeland Security Transportation Security Administration has determined would (A) constitute an unwarranted invasion of privacy (including, but not limited to, information contained in any personnel, medical, or similar file); (B) reveal trade secrets or privileged or confidential information obtained from any person; or (C) be detrimental to the security of transportation.

- b. **Security Requirements.** The Recipient and sub-Recipients under a DHS cooperative agreement or grant shall use their own security procedures and protections to protect Sensitive Information, PCII, and SSI received or distributed under a DHS cooperative agreement or grant. The Recipient shall also establish procedures to provide reasonable assurance that no Sensitive Information, PCII, and SSI will be developed or generated under a DHS cooperative agreement or grant. Such security procedures should include procedures (e.g., security check forms, type of background check/investigations performed (if necessary) and requirements for successful adjudication of the type of background check/investigations performed) to determine the suitability of the Recipient's personnel and sub-Recipients' personnel requiring recurring access to government facilities or access to Sensitive Information, PCII, and SSI provided under a DHS cooperative agreement or grant. A copy of the security procedures and any proposed Non-Disclosure Agreement for the Recipient's personnel or sub-Recipients' personnel shall be submitted within three (3) weeks after the Budget Period start date. The Recipient will be notified of any concerns that may be identified once the security procedures are reviewed by DHS. The Recipient shall transmit their security procedures to the DHS Grants Officer.
- c. **Sensitive Information, PCII, and SSI.** Work under a DHS cooperative agreement or grant may involve access to Sensitive Information, PCII, or SSI from the Federal Government. Therefore, the Recipient shall not disclose, orally or in writing, any Sensitive Information, PCII, or SSI to any person unless authorized in writing by the Grants Officer. Further, the Recipient shall ensure that Sensitive Information, PCII, and SSI is protected in such a manner that it is safeguarded from public disclosure in compliance with local, state or Federal laws and with Recipient's and/or sub-Recipient's security procedures. For those Recipient or sub-Recipient personnel authorized access to Sensitive Information, PCII, and SSI, the Recipient must ensure that these persons receive training concerning the

protection and disclosure of Sensitive Information, PCII, and SSI both during and after the period of performance.

- d. **Public Dissemination of Sensitive Information.** Sensitive Information which may be presented by the Recipient's personnel or the sub-recipients' personnel in workshops, conferences, seminars, or other public venues shall be submitted to DHS within 90 days prior to the date of the event for the Grant Officer's review and written approval.
 - e. **Security Concerns/Violations.** The Recipient shall inform the DHS Grants Officer in writing within three (3) days of the Recipient being made aware of any security concerns with individuals having recurring access to government facilities or Sensitive Information, PCII, or SSI.
 - f. **In the event that Sensitive Information, PCII, or SSI is divulged in violation of Recipient's security procedures, the Recipient will immediately notify the DHS Grants Officer of the same and take appropriate law enforcement and legal action**
 - g. **Flow-through Requirements.** The Recipient shall include the substance of this clause in all sub-awards/contracts at any tier where the sub-Recipient may have access to government facilities and Sensitive Information.
11. **Non-Disclosure Agreements:** If it is determined that Sensitive Information (as defined above) is either provided to the recipient under a DHS cooperative agreement or grant, or if Sensitive Information is generated as a result of a DHS cooperative agreement or grant: The recipient shall require all employees and sub-recipients having access to information or materials pertaining to the cooperative agreement or grant to sign a Non-Disclosure Agreement (NDA) to protect against the misuses of information. In the event that information is divulged in violation of the terms of the NDA, the recipient will immediately notify DHS of the violation and take appropriate legal action.

C. Reporting Requirements.

1. Financial Reports.

- a. The Recipient shall submit biannual financial reports (SF 269, Financial Status Report) along with the biannual performance to the DHS Grants Officer. The budget period will end one year from the project start date.
- b. The Recipient is required to submit a Cash Transaction Report (SF 272) to the Department of Health and Human Services Division of Payment Management with a copy of the SF 272 to the DHS Grants Officer.
- c. The Recipient is required to submit a Final Financial Status Report (SF 269) to the DHS Grants Officer within 90 days after the expiration date of the Performance Period.

2. Performance Reports.

- a. Performance Reports will be submitted to the DHS Grants Officer, listed under Article VII, Department of Homeland Security Contacts.
- b. The Recipient shall submit a biannual Performance Report to the DHS Grants Officer. The budget period will end one year from the project period start date.
- c. Performance Reports shall describe accomplishments in terms of the approved project goals and objectives, as well as a list of all participants (foreign and domestic; individuals and their affiliations).
- d. Final Performance Reports shall be submitted in the required University Programs format 90 days after the expiration date of the Performance Period.

VII. DEPARTMENT OF HOMELAND SECURITY CONTACTS

All questions regarding any particular part of this grants announcement should be made to the following:

DHS Technical Point-of-Contact –
Paul Ragsdale, Ph.D.
International Programs Division (IND)
Department of Homeland Security
Science and Technology Directorate
Washington DC 20528
Phone: 202-254-6301
e-mail: S&T-InternationalPrograms@dhs.gov

DHS Grants Officer (Grant and Process-related questions) –
Tya Renwick
Department of Homeland Security
Attn: Office of the Chief Procurement Officer/Office of Procurement Operations/Grants and Financial Assistance Division, Stop 0500
Washington, DC 20528
Phone: 202-447-5602
e-mail: tya.renwick@dhs.gov

VIII. OTHER INFORMATION

Please note that the DHS S&T IND is not obligated to make any award as a result of this announcement. Only DHS Grants Officers can bind DHS to the expenditure of funds.

Please visit www.dhs.gov for information on the Department of Homeland Security.

A. Proprietary Information. If you are submitting any information that you deem proprietary, please denote the beginning and ending of such information with asterisks (***)

B. Copyright and Data Rights:

1. **Copyright:** The Recipient may publish, or otherwise exercise copyright in, any work first produced under this Agreement unless the work includes information that is otherwise controlled by the government (e.g. classified information or other information subject to national security or export control laws or regulations). For scientific, technical, or other copyrighted work based on or containing data first produced under this Agreement, including those works published in academic, technical or professional journals, symposia proceedings, or similar works, the Recipient grants the government a royalty-free, nonexclusive and irrevocable license to reproduce, display, distribute copies, perform, disseminate, or prepare derivative works, and to authorize others to do so, for government purposes in all such copyrighted works. The Recipient shall affix the applicable copyright notices of 17 U.S.C. 401 or 402, and an acknowledgment of government sponsorship (including award number) to any work first produced under this Agreement.

2. **Data Rights:**

General Requirements. The Recipient grants the Government a royalty-free, nonexclusive and irrevocable license to reproduce, display, distribute copies, perform, disseminate, or prepare derivative works, and to authorize others to do so, for Government purposes in:

- i. Any data that is first produced under this Agreement and provided to the Government; or
- ii. Any data owned by third parties that is incorporated in data provided to the Government under this Agreement.

"Data" means recorded information, regardless of form or the media on which it may be recorded.

Requirements for subawards. The Recipient agrees to include in any subaward made under this Agreement the requirements of the *Copyright and Data Rights* paragraphs of this article and of 37 C.F.R. 401.14.

C. Technology Transfer:

Recipient agrees to work with the technology transfer component of recipient's institution to engage in technology transfer and commercialization activities associated with recipient's research using the funding received under an assistance agreement issued

pursuant to this announcement.

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing Sections 5151-5160 of the Drug-Free Workplace Act of 1988 (P.L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 *et seq.*).

1. By signing and/or submitting this application or grant agreement, the Recipient is providing the certification set out below.
2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies.
4. For grantees who are individuals, Alternate II applies.
5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

- A. The grantee certifies that it will or will continue to provide a drug-free workplace by:
1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 2. Establishing an ongoing drug-free awareness program to inform employees about –
 - a. The dangers of drug abuse in the workplace;
 - b. The grantee's policy of maintaining a drug-free workplace;
 - c. Any available drug counseling, rehabilitation, and employee assistance programs; and
 - d. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 3. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph 1;
 4. Notifying the employee in the statement required by paragraph 1 that, as a condition of employment under the grant, the employee will –
 - a. Abide by the terms of the statement; and
 - b. Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
 5. Notifying the agency in writing, within ten calendar days after receiving notice under paragraph 4.b from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
 6. Taking one of the following actions, within 30 calendar days of receiving notice under paragraph 4.b, with respect to any employee who is so convicted –
 - a. Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

- b. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- 7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1, 2, 3, 4, 5, and 6.
- B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

- A. The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

This certification is required by the Department of Homeland Security implementing Executive Orders 12549 and 12689, Debarment and Suspension.

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower

tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

**Certification Regarding Debarment, Suspension, and Other Responsibility Matters--
Primary Covered Transactions**

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
 - A. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
 - B. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement,

theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

- C. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - D. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-- Lower Tier Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may

decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**Certification Regarding Debarment, Suspension, Ineligibility an Voluntary Exclusion--
Lower Tier Covered Transactions**

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

* APPLICANT'S ORGANIZATION <input type="text"/>	
* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
Prefix: <input type="text"/>	* First Name: <input type="text"/> Middle Name: <input type="text"/>
* Last Name: <input type="text"/>	Suffix: <input type="text"/> * Title: <input type="text"/>
SIGNATURE:	DATE: