Homeland Security

Science and Technology Directorate
Division of Research, Office of University Programs

OVERVIEW INFORMATION

Center for the Study of Terrorism and Behavior (CSTAB) – Center Lead

Funding Opportunity Number: DHS-11-ST-061-001A
Modification # 2, January 7, 2011

Catalog of Federal Domestic Assistance (CFDA) Number(s): 97.061

Due Dates

Application Deadline: **February 15, 2011**

MODIFICATION NOTES:

The purpose of this modification is to highlight that DHS is seeking applications to conduct research exclusively in the non-classified, non-sensitive domain with publicly releasable results. Under assistance awards (grants/cooperative agreements), DHS Centers of Excellence are not permitted to work with classified or sensitive information.

Applications submitted under this funding opportunity announcement (FOA) proposing to work with classified or sensitive information will be deemed "non-responsive" and will be returned without review. For additional information concerning this matter, please refer to Article VI.C.9 of the full FOA.

Homeland Security

Science and Technology Directorate
Division of Research, Office of University Programs

OVERVIEW INFORMATION

Center for the Study of Terrorism and Behavior (CSTAB) – Center Lead

Funding Opportunity Number: DHS-11-ST-061-001A
Modification # 1, December 3, 2010

Catalog of Federal Domestic Assistance (CFDA) Number(s): 97.061

Due Dates

Application Deadline: February 15, 2011

MODIFICATION NOTES:

The purpose of this modification is to extend the deadline date for receipt of applications from December 23, 2010 to February 15, 2011. The anticipated award date is changed from June 1, 2011 to November 1, 2011.

Homeland Security

Science and Technology Directorate
Division of Research, Office of University Programs

OVERVIEW INFORMATION

Center for the Study of Terrorism and Behavior (CSTAB) – Center Lead

Funding Opportunity Number: DHS-11-ST-061-001A

Catalog of Federal Domestic Assistance (CFDA) Number(s): 97.061

Due Dates

Application Deadline: December 23, 2010

General Information

Program Synopsis: DHS requests applications from U.S. colleges and universities to serve as a lead institution for a university-based Center of Excellence (COE) focusing on research and education in the study of terrorism and behavior (CSTAB). This funding opportunity announcement (FOA) requests applications to serve as a lead institution, i.e., Center Lead. Applicants for lead institution need to include in their application their proposed projects from their institution and their partner institutions.

DHS is also posting a separate FOA for eligible applicants to submit single project proposals for consideration as a partner to the CSTAB COE. The FOA will bear the title, "Center for the Study of Terrorism and Behavior (CSTAB)—Partner." See Section III for eligibility information for partner institutions. As appropriate to meet its needs, DHS may add partner institutions to the successful COE Lead institution from applications received for the Center Lead FOA or from the Partner FOA, provided the applicant's proposal successfully pass merit and DHS relevancy reviews.

The ability of DHS and other federal agencies to protect the country from attacks on U.S. soil hinges upon how well we understand our adversaries, that is, groups or individuals intent on

harming us, and their plans and capabilities. The social science foundation for accurately predicting and frustrating attacks is developing but still quite nascent. Much research in this topical area does not address policy applications and as a result, its results may be unusable to decision makers.

This COE will be a multi-disciplinary university-based research and education Center that will conduct rigorous, innovative and path-breaking research. DHS expects this COE to break new theoretical and empirical ground as well as adapt existing approaches to advance knowledge of the causes and prediction of terrorist activities. DHS intends to use this so that the agency may develop a suite of effective measures to counter terrorism. The COE should also improve DHS understanding of responses to terrorist attacks and their consequences. Research methods proposed under this funding opportunity should be rooted in rigorous science. Knowledge generated by this COE's research must be amenable to integration with other social science and behavioral models and tools, including economic and risk analyses where appropriate. Tools or models must be sufficiently user-friendly to facilitate adoption by analysts responsible for performing analyses to support decision makers. As a whole, the portfolio of projects proposed should hold the promise of generating substantial original and cutting edge research and provide results, tools and models of value to DHS and other relevant customers.

This COE should bring together interdisciplinary teams that might include sociologists, criminologists, psychologists, cultural anthropologists, historians, political scientists, economists and other social, biological or physical scientists or engineers to develop new approaches to understanding the causes and consequences of terrorism. DHS expects that the CSTAB COE will increase our capacity to understand, model, and predict terrorist behavior, including target choice and success probabilities, the likely behavioral responses to terrorist threats and government countermeasures, and the effectiveness of policies and programs aimed at encouraging citizens to prepare and respond to terrorist events. In addition, the CSTAB COE should have the capacity and intent to design, develop and disseminate data collection efforts. Finally, DHS expects the CSTAB COE to develop new and innovative content and learning approaches to enable students to understand and analyze terrorism and other behavioral aspects of catastrophic events. The CSTAB COE should produce a cadre of well-trained students with the skills the nation needs to better anticipate and counter risks to its well-being.

The DHS University Network is a consortium of COEs that provide cost-effective results to support the DHS mission by sharing resources and data, and collaborating on research projects. This COE will be a fully integrated component of the existing network of DHS COEs and will take advantage of the network's resources to develop mission-critical research and education programs. CSTAB COE applicants should plan to: (1) integrate proposed work with that of other COEs as appropriate; and (2) develop methods to ensure that CSTAB work leverages and complements, but does not duplicate the investigations or data collection efforts of other COEs.

NOTE: Applicants will be aided by familiarity with the range of recent research on these topics, including the extensive body of research that DHS has supported at the National Consortium for the Study of Terrorism and Responses to Terrorism at the University of Maryland, the National Consortium for Risk and Economic Analysis of Terrorism Events at the University of Southern

California, and the data analytics and visual analytics research conducted for DHS at Purdue and Rutgers through the Command, Control and Interoperability COE.

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Eligibility Information

The COE Lead organization designation is restricted to accredited public institutions of higher education and accredited private institutions of higher education in the United States. See III. Eligibility under the Full Program Description for full eligibility information for COE Lead and COE Partners.

Award Information

Award type: Cooperative agreement.

Authority: 6 U.S.C. 188(b)(2)

Anticipated funding: For 2011, DHS estimates that $3.3 million will be available for funding this COE including all direct and indirect costs and including any project selected from another lead or from partner applicants (DHS-11-ST-061-001B). DHS estimates that approximately $3 million will be available annually for years two-five. Subject to availability of funds, DHS estimates approximately $15.3 million to be available for the total costs for the five-year performance period. Annual funding amounts may be somewhat less than or greater than these amount, depending on many factors and are not guaranteed.

Anticipated Performance Period: Subject to the availability of funds and the evolution of DHS's research priorities, performance during each year of a five-year project period commences on the date of award. Within ninety days prior to the expiration of each budget year in the first five years of the project period, the recipient must submit an official notice requesting DHS support for the next budget year of the initial term. DHS may award funds for the next budget year of the initial term, but does not guarantee any such award. Additionally, DHS's agreement to extend the COE for another budget year in the initial project period may or may not include additional funding. DHS will base extension approvals on the availability of funds, acceptable performance, and the reason(s) for the requested extension.

Estimated number of awards: One or Two. DHS reserves the right to award co-lead institutions for this COE.

GUIDANCE for APPLICANTS

Based on DHS's experience with proposals for COE leads, applicants should read all instructions carefully. Pay careful attention – the DHS COEs are unlike other university centers and DHS is looking for more capabilities than other funding agencies request. Write clearly and in plain English. Clearly describe anticipated methods, data, expected outcomes, pathways to real world application and potential end users. Applications must be printed in 12 point font with one inch margins on all sides and a 12 point space between paragraphs.

FULL PROGRAM DESCRIPTION

TABLE OF CONTENTS			Page
I.	Funding Opportunity Description		
	A.	Background	6
	B.	Purpose	7
	C.	Research Focus/Themes	9
II.	Award Information		
	A.	Type of Award	16
	B.	Authorities	16
	C.	Estimated Funding	16
	D.	Estimated Number of Awards	16
	E.	Anticipated Performance Period	16
	F.	Application Deadline	17
	G.	Anticipated Award Date	17
	H.	Data Universal Numbering System (DUNS) and Central Contractor Registration (CCR) Requirement	17
	I.	Federal Financial Accountability and Transparency Act (FFATA) Subaward and Executive Compensation Reporting Requirement	18
III.	Eligibility Information		
	A.	Eligible Organizations	20
	B.	Non-responsive Applications	21
	C.	Cost-Sharing	21
	D.	Eligibility Restrictions	21
IV.	Application and Submission Information		
	A.	Address to Request Application Package	22
	B.	How to Submit an Application	22
	C.	Content and Form of Application	23
	D.	Submission Date and Time	30
	E.	Intergovernmental Review	30
	F.	Funding Restrictions	30
	G.	Other Submission Requirements	31
V.	Application Review Information		
	A.	Review Process and Criteria	31
	B.	Selection Decision	38
VI.	Award Administration Information		
	A.	Notice of Award	38
	B.	Compliance	38
	C.	Administrative, National Policy, and Other Requirements	39
	D.	Reporting Requirements	44
	E.	DHS Substantial Involvement	45
	F.	Trafficking in Persons	46
VII.	Department of Homeland Security Contacts		48

TABLE OF CONTENTS			Page
VIII.	Other Information		
	A.	Copyright and Data Rights	49
	B.	Technology Transfer	49
Attachments:			
	A.	Certification Regarding Drug-Free Workplace Requirements	50
	B.	Certification Regarding Debarment, Suspension and Other Responsibilities	54
	C.	Certification Regarding Lobbying	57
	D.	Budget Justification Requirements	58

I. FUNDING OPPORTUNITY DESCRIPTION

A. Background:

Centers of Excellence

The Homeland Security Act of 2002 granted the Department of Homeland Security (DHS) the authority to create university-based Centers of Excellence (COE).

> "The Secretary, acting through the Under Secretary for Science and Technology, shall designate a university-based center or several university-based centers for homeland security. The purpose of the center or these centers shall be to establish a coordinated, university-based system to enhance the Nation's homeland security." – *as amended*

DHS selects COEs through a rigorous review process using a three-phased approach: scientific merit, DHS relevance, and program management and administration. The three phases and the evaluation criteria for each phase are described in Section V of this funding opportunity announcement (FOA).

DHS university-based COEs are managed by the Science & Technology (S&T) Directorate's Office of University Programs (OUP). OUP's charge is to bring together leading experts and researchers to conduct multidisciplinary research and develop education programs for homeland security. The program is building unprecedented homeland security expertise in the academic community; creating strategic partnerships among universities; public agencies and the private sector; and developing a homeland security workforce.

DHS COEs:

- Are DHS's pipeline into U.S. academia—open conduits of information, personnel and funding
- Are an extended network of high-quality, multi-disciplinary university-based research and education centers addressing a wide range of issues important to DHS's mission

- Focus on long-term difficult issues that universities can best address
- Provide the ability to respond quickly to high-priority problems by reaching out to any expert in a relevant field
- Provide the opportunity to efficiently use the expertise of other COE universities, DOE National Laboratories and other federally funded research and development centers
- Represent a non-parochial and efficient approach for sharing information, resources and personnel to achieve a better outcome
- Are the centerpiece for developing a homeland security-related science, technology, engineering and mathematics (HS-STEM) workforce

There are currently twelve COEs. Each Center is led by a university in collaboration with partners from other institutions, agencies, laboratories, think tanks, the private sector and international institutions. These Centers are aligned with DHS S&T's divisions and offices, creating linkages between DHS and other customers (federal, state and local agencies) and providing enduring crosscutting technology and fundamental research for DHS and the nation. Because DHS intends to grant a cooperative agreement to the winner of this competition, relationships with Federal agencies and federally funded research and development centers are limited by law.

For more information about the current Centers of Excellence, go to:
http://www.hsuniversityprograms.org/coe/current.cfm

For more information about the DHS Science & Technology Directorate, go to:
http://www.dhs.gov/xabout/structure/editorial_0530.shtm

B. Purpose

DHS requests applications from U.S. colleges and universities to serve as a lead institution for a university-based Center of Excellence (COE) focusing on research and education in the study of terrorism and behavior (CSTAB). This FOA requests applications to serve as a lead institution, i.e., Center Lead. Applicants for lead institution need to include in their application their proposed projects from their institution and their partner institutions.

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Partner FOA, provided the applicant's proposal successfully pass merit and DHS relevancy reviews.

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C. Research Focus/Themes

The CSTAB will engage in a range of activities including short term and long term basic and applied research, education initiatives, tool and knowledge development, expert advice, and the transition of research and technology to end users. The research topics and more detailed research questions described below are of particular interest to DHS. DHS will evaluate proposals based on the criteria stated in this FOA and in the context of the topical themes and research questions described in this section.

The primary topical theme areas that DHS needs this COE to investigate are:

1. The Role of Social, Cultural, Political, Financial/Economic, and Religious Factors on Radicalization and Violent Extremism

2. Understanding and Countering Terrorism within the United States

3. Social, Behavioral, Cultural, and Economic Factors Influencing Responses to and Recovery from Catastrophes

4. Research to Support Adversary Modeling and Methods

5. Optional: Innovative Investigator-Originated Terrorism Research
   Note: There are funding limitations to this category.

1. The Role of Social, Cultural, Political, Financial/Economic, and Religious Factors on Radicalization and Violent Extremism

Why is this research area important to DHS?

DHS and other federal agencies require an understanding of the influence of social, cultural, political, financial/economic, and religious factors on radicalization and violent extremism. With such knowledge, federal, state and local governments can develop effective strategies to anticipate and counteract terrorist threats. Elucidating the "environment" that contributes to radicalization and violent extremism would provide invaluable data to DHS. Research should address the influence of these factors on some or all of the following:

Individuals – Projects in this area might explore the influence of social, cultural, financial/economic and religious factors in determining an individual's path to radicalization, i.e. when, how, with whom, and why radicalization occurs.

Groups – Responsive proposals in this area might address the impact of these factors on terrorist group dynamics, i.e. group hierarchy, membership demographics, structure, adaptation, innovation, etc.

Motivations and Intentions – Research focusing on this subject may address how these key factors directly affect the motivations and intentions (i.e. targets of attacks, methods) of radicalized terrorists.

Response and Perception – This area addresses the role of these factors in determining external response to radicalization including response from family members, community, etc.

Support – Terrorism is often supported if not enabled financially, emotionally or otherwise by people who themselves would not commit a terrorist act. Projects in this area might focus on enhancing the understanding about the circumstances in which people who would not themselves engage in terrorism but will nonetheless support those who do, and about how such sources of support can be countered.

Representative research questions of interest to the Department of Homeland Security (not listed in priority order)

- What role do religious, cultural, political, and social factors have in the radicalization process? How do these factors affect the makeup of terrorist groups, their trajectories, target selection, planning efforts, and delivery methods? How can researchers represent these influences quantitatively for modeling and/or other purposes? If so, how can this be done most effectively?

- Which terrorist recruitment methods are effective and why? What jihadist recruitment techniques are most effective with Western citizens and why? What role do social media play in current recruiting efforts?

- Do factors that motivate individual radicalism/terrorism differ from those that motivate group radicalism/terrorism? If so how do motivations and strategies for countering them differ?

- De-radicalization: What factors lead to individual disengagement with terrorist activities? What leads radicals to become moderate?

- How do various communities, groups and the general public view terrorism and violent extremism? Do they distinguish between different types of terrorist groups?

2. Understanding and Countering Terrorism within the United States

Why is this research area important to DHS?

DHS seeks research that elucidates the role of a country's domestic situation in fomenting radicalization. Just as cultural and social factors may contribute to radicalization, domestic conditions influence the formation, nature and modus operandi of terrorist organizations. For example, terrorist organizations may operate freely in countries with weak security infrastructure. Domestic factors may also shape the relationships that terrorist organizations have with other organizations such as criminal operations, foreign nations or the host-country government. Policy-makers must consider all of these factors as they decide how to intervene effectively, particularly when terrorist organizations are state sponsored.

In the United States, domestic terrorism continues to challenge DHS and its partner organizations. DHS needs a better understanding of the underlying factors that cause domestic terror groups to form. U.S.-centric research should address those aspects of American society, culture, system and policies that are most likely to lead (or may have already led) to terrorism. Given the magnitude of America's cultural, social and political landscape, DHS seeks a robust profile of the domestic factors influencing radicalization and terrorism. To establish an evidence-based profile, the CSTAB COE should consider variables reflecting social, cultural, religious and regional factors, as they exist in the United States as well policies and actions that might affect terrorist motivation either positively or negatively that have led to or facilitated the formation of domestic terrorist organizations in the past. Research may also explore potential factors that may foment domestic terrorism in the future and help identify and assess the effectiveness of strategies and programs that may be implemented to counter radicalization and terrorism in the domestic context.

Representative research questions of interest to the Department of Homeland Security (not listed in priority order)

- What American cultural, social and regional factors might lead to radicalization and the formation of terrorist groups? How can federal, state, and local governments counter the influence of these factors?

- How does the integration of America's religious and cultural minorities make the United States more or less prone to domestic terrorism incidents? What does the future of U.S. relationships with religious and cultural minorities look like?

- To what extent does homegrown, non-religious terror groups (i.e. environmental, ideological, criminal) pose a threat? How might their attacks be developed and executed? For example, many domestic attacks to-date have not been religious based.

- To what extent are criminal organizations (i.e. drug cartels) and terrorist organizations working together, and how could it influence the development of terror plots? How

might these plots be executed against Western interests? In what areas do the respective abilities of each organization have the potential to combine with deadly effect (i.e. smuggling)?

- In what ways do U.S. policies and actions both as they actually exist and as they are perceived, influence terrorism? Are different terrorist groups motivated by different aspects of U.S. policies and actions?

- How do current perceptions influence western law enforcement and intelligence efforts at analysis and mitigation of terrorist attacks? What factors affect these perceptions? Could training in this area augment these perceptions?

3. Social, Behavioral, Cultural, and Economic Factors Influencing Response to and Recovery from Catastrophes

Why is this research area important to DHS?

As part of DHS resiliency strategy to anticipate, prepare for, counteract and mitigate the effects of terrorist attacks, DHS and its partner organizations require an understanding of the factors that determine the ability of an individual or a community to respond to catastrophic events. More specifically, DHS seeks research that addresses the impact of social, behavioral, cultural, and economic (SBCE) factors on resilience, meaning the ability and motivations of a person, organization, community or nation to prepare for and effectively respond to and recover from a catastrophe. Clarifying the link between preparation and response and these factors serves two closely linked functions for DHS:

- DHS must understand the influence of these factors on responses to terrorist attacks or other major disruptions in order to predict the impact that a catastrophic event (particularly a terrorist attack) may have on the public in the immediate aftermath.

- DHS must then incorporate this understanding into developing appropriate preparation, mitigation and recovery strategies that take the role of SBCE factors into account.

By understanding SBCE influences on responses to catastrophes, DHS can anticipate potential conflicts among first-responders and can develop response plans uniquely suited to a particular culture or setting. For example, plans for communities with a strong sense of collective action may incorporate public participation in recovery efforts differently than if pre-existing experience with collective action was weak. The CSTAB COE should focus on research exploring how to incorporate SBCE factors into better understanding preparation and response and how to best utilize these factors in developing plans for recovery.

Representative research questions of interest to the Department of Homeland Security (not listed in priority order)

- To what degree do SBCE factors influence behavior and attitude in a catastrophe?
- How do SBCE factors affect the likelihood that people, organizations and communities will be prepared to respond effectively to catastrophes? Who influences these factors?
- Can SBCE factors be used to predict behavioral responses in localized areas?
- How does the influence and importance of different SBCE factors change over the course of recovery?
- How do SBCE factors influence the exchange of information between governmental agencies and the general population in the wake of a catastrophe? How do SBCE factors influence the public's willingness to participate in government programs such as tip lines? How do SBCE factors temper the public's response to government information and warnings?

4. Research to Support Adversary Modeling and Methods

Why is this research area important to DHS?

Preventing terrorist attacks requires, at the most basic level, understanding our Nation's adversaries. Social and cultural factors are crucial in the radicalization and operations of terrorists and efforts to counteract these forces must rely on research derived from the social sciences. The problems these sciences must confront are, however, exceedingly difficult for reasons related to data quality, scientific maturity, and targets intent on thwarting efforts to contain them. Moreover, it is in the nature of the social and behavioral sciences that their theories and predictions are only stochastically true. A model or approach that works better than existing protocols to prevent terrorist attacks may occasionally fail or even be counterproductive. Consequently, incorporating the social sciences into actionable policy presents a challenge to policy makers.

Bearing these factors in mind, DHS requests applicants to propose novel analytical tools that incorporate sound social science methods and data to improve understanding of different terrorists' objectives, methods of operation, and resources. Some promising approaches would incorporate sound social science methods and data into sophisticated mathematical and economic models, discrete science applications, behavioral economics, hypothetical terrorism markets, massive multiplayer on-line (serious) games, etc. Reducing uncertainty, or narrowing error bounds, can represent a significant step forward in modeling terrorist behavior.

Although a number of predictive tools incorporating some social science knowledge exist, few research projects have examined whether current models succeed in modeling verifiable terrorist

behavior or how social science research can improve models' reliability. In addition to assessing and improving current terrorist behavior models, DHS requires additional research on how to use social science data and methods to better validate and incorporate models into decision-making processes and mitigation efforts. Understanding and capitalizing on the interface between behavioral, group dynamic and other models and decision-making is an essential part of DHS mission. Research in this area might investigate how DHS can best incorporate behavior models into response plans for federal, state, and local authorities. DHS also solicits research to catalog the capabilities of models already in existence, assess their efficiency at predicting desired outcomes, and identify remaining knowledge gaps. This particular area of research is likely to require the involvement of disciplines typically separate from sociology and psychology, such as business administration, organizational theory, public choice, etc.

Representative research questions of interest to the Department of Homeland Security (not listed in priority order)

- What methods, models or tools are best suited to meeting research and/or action needs in particular areas and how may they be most effectively developed?

- How can social science data be integrated into policy to maximize the utility of the data, and how are integration methods affected by whether data are qualitative or quantitative in character?

- What special challenges exist in modeling adversary action? How might adversary modeling encompass the areas below?

    - Inclination to attack vs. Ability to attack
    - Identification and implementation of motivations and objectives
    - Choice of technologies, weapons, time frame, and targets
    - Terrorist innovation and diffusion of ideas
    - Adversary reactions to unanticipated setbacks

- What are the best ways to validate models of adversary (terrorist) behavior?

- Can models, games and simulations be used to understand the following, or are other strategies more effective?

    - Terrorist recruitment strategies and effectiveness
    - De-radicalization
    - Counter-radicalization
    - Training and aiding first responders

- How can social science research programs be shaped to maximize the return on investment of federal dollars invested in the study of terrorism and behavior?

5. Optional: Innovative Investigator-Originated Terrorism Research

A strength of the COE system lies in the creativity that it unleashes in the service of homeland security. Hence, DHS invites applicants, at their option, to devote up to 15% of the proposed direct costs for the *research budget* on innovative terrorism research that does not clearly fit into one of the theme areas identified above. Any such proposal must, however, indicate the actionable results it will yield or the uses it will enable and must tie those uses to the needs of DHS and its constituent agencies and how these agencies will be engaged in the research from the outset. In addition, the proposed research must be radically innovative and use either completely original research methods and data or apply methods from other sciences that have previously not been used in social science research.

D. Additional Proposal Requirements and Considerations

End Users and Stakeholders

It is important to DHS that research funded under this COE meets DHS mission needs and addresses knowledge gaps, and is beneficial to DHS stakeholders. Each research theme proposed by the applicant should: (1) briefly identify and describe who will benefit from the research effort, (2) include, where possible, input from or involvement of stakeholders at the theme level, and (3) identify the DHS component that would be the most appropriate office to "champion" or assist the COE in dissemination and transition of research efforts.

Other Research Support

For any research project proposed under this FOA that is currently receiving external funding, or has been supported within the past two years, or is the topic of a pending grant application, the applicant should explicitly indicate this in the text or in a footnote to the project description. If appropriate, the applicant should explicitly describe how CSTAB funding would improve on what might be done with past, present or future funding.

Methods, Models and Tools

NOTE: This discussion of Methods, Models, and Tools is not an independent research topic. Rather the applicant should consider these concepts when developing projects responsive to the research topics of this FOA.

Researchers will have a number of methodologies at their disposal and a variety of ways in which their findings can be instantiated. Methods include at the most general level both quantitative and qualitative approaches, each of which subsumes many specific ways of proceeding. Quantitative approaches include parametric and non-parametric approaches to statistical modeling, theoretically- and empirically-driven approaches to data analysis, and various approaches to complex computational modeling, (e.g. agent-based, network-based, multi-level) many of which are on the cutting edge of modern social science. In fact, the

collection and analysis of reliable information is by itself often an invaluable contribution. Qualitative methods include such approaches as ethnographic fieldwork, literature or interview-based case studies, focus groups and linguistic analysis. Some methods like survey research can merge the two and qualitative data may be coded to allow for quantitative analysis. Moreover, social science research today often combines the two approaches as the strengths of one approach can fill gaps in the other.

In describing research projects in the theme areas described below, researchers should address ways in which the proposed research will enhance methods for terrorism research in general and/or to proposed methodological innovations that will generate new insight in a problem area. It is expected that the successful applicant will be able to show strengths in a variety of ways relating to the collection, assembly and analysis of social science data. Research aimed at the development of and innovations in modeling and tools that will enable effective and useful research in the identified theme areas, including data collection, may be proposed. This includes situations where successful application to a specific problem area is not the immediate object of the research and is contingent on model development.

II. AWARD INFORMATION

A. **Type of Award:** Cooperative Agreement

B. **Authorities:** 6 U.S.C. 188(b)(2)

C. **Estimated Funding:** For 2011, DHS estimates that $3.3 million will be available for funding this COE including all direct and indirect costs including any project selected from the companion CSTAB Partner FOA for single project applicants (DHS-11-ST-061-001B). DHS estimates up to $3 million annually for years two-five. Subject to availability of funds, DHS estimates approximately $15.3 million to be available for the total costs for the five-year performance period. Annual funding amounts are subject to many factors and are not guaranteed

D. **Estimated Number of Awards:** One or Two. DHS reserves the right to award co-lead institutions for this COE.

E. **Anticipated Performance Period:** Subject to the availability of funds and the evolution of DHS's research priorities, performance during each year of a five-year project period commences on the date of the budget period start date. Within ninety days prior to the expiration of each budget period, the recipient must submit an official application requesting DHS support for the next budget period of the project period. DHS may award funds for the next budget year of the initial terms, but does not guarantee any such award. Additionally, DHS's agreement to extend the COE for another budget year in the initial project period may or may not include additional funding. DHS will base extension

approvals on the availability of funds, acceptable performance, and the reason(s) for the requested extension.

F. **Application Deadline:** December 23, 2010

G. **Anticipated Award Date:** June 1, 2011

H. **Data Universal Numbering System (DUNS) and Central Contractor Registration (CCR) Requirement:**

NEW REQUIREMENTS: Final guidance provided by the Office of Management and Budget (OMB) in a Federal Register notice on September 14, 2010 established requirements for all financial assistance applicants, recipients and sub-recipients to maintain and use a DUNS number, and to require that applicants maintain a registration in the CCR.

1. Pursuant to 2 CFR Part 25, any entity applying through this Funding Opportunity Announcement (FOA) that is not exempt under 2 CFR 25.110 is required to:

a. Be registered in the CCR prior to submitting an application or plan;

b. Provide its DUNS number in each application or plan it submits to DHS. A DUNS number is the nine-digit number established and assigned by Dun & Bradstreet, Inc. (D&B) to uniquely identify business entities. You may obtain a DUNS number from D&B by telephone (currently 866–705–5711) or the Internet (currently at http://fedgov.dnb.com/webform); and

c. Maintain an active CCR registration with current information at all times during which it has an active award or an application or plan under consideration by DHS. To remain registered in the CCR database after the initial registration, the you must review and update on an annual basis from the date of initial registration or subsequent updates its information in the CCR database to ensure it is current, accurate and complete.

2. Effect of non-compliance.

a. Applicant: if, at time of award, the intended recipient has not complied with the requirements to provide a DUNS number and maintain an active CCR registration with current information, DHS will determine that the applicant is not qualified to receive an award; and will use that determination as a basis for making an award to another applicant.

b. Subrecipients: A sub-recipient is any entity that receives subawards directly from a recipient of DHS awards; and is accountable to the award recipient for the use of the Federal funds provided by the subaward.

i. Applicants that receive awards must notify potential subrecipients that no entity may receive a subaward from the applicant unless the proposed subrecipient has provided its DUNS number to the applicant.

ii. Applicants that receive awards may not make a subaward to an entity unless the proposed subrecipient has provided its DUNS number to the applicant.

iii. DHS will request the DUNS number(s) of proposed sub-recipients when an applicant has been selected for funding. DHS reserves the right to limit, restrict or otherwise place special conditions on an award under this Funding Opportunity Announcement to ensure that subrecipients have DUNS numbers.

3. All new grant and cooperative agreement awards issued by DHS will contain an award term that implements the OMB guidance.

I. Federal Financial Accountability and Transparency Act (FFATA) Subaward and Executive Compensation Reporting Requirement

NEW REQUIREMENTS: Interim final guidance provided by OMB in a Federal Register notice on September 14, 2010 established requirements for recipients' reporting of information on subawards and executives' total compensation, as required by the Federal Funding Accountability and Transparency Act of 2006. This guidance applies to all entities that apply for or receive DHS awards, or receive subawards under those awards, with certain exemptions and exceptions.

1. Exemption: If, in the previous tax year, your organization had gross income, from all sources, under $300,000, you are exempt from the requirements to report subawards, and the total compensation of the five most highly compensated executives of any subrecipient. DHS reserves the right to request authoritative documentation that would support a request to exercise this exemption.

2. Exception: 2 CFR 170.110 provides an exception from the executive compensation reporting requirements by a primary award recipient, or a sub-recipient's organization (in the case of reporting executive compensation for sub-recipient executives).

None of the requirements regarding reporting names and total compensation of an entity's five most highly compensated executives apply unless in the entity's preceding fiscal year, it received:

a. 80 percent or more of its annual gross revenue in Federal procurement contracts (and subcontracts) and Federal financial assistance awards subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); **AND**

b. $25,000,000 or more in annual gross revenue from Federal procurement contracts (and subcontracts) and Federal financial assistance awards subject to the Transparency Act, as defined at 2 CFR 170.320; **AND**

c. The public does not have access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986.

DHS reserves the right to request authoritative documentation that would support a request to exercise this exception.

Reporting of subawards is still required even if your organization meets these tests:

3. Subaward reporting: Unless your organization is exempt from reporting (see 1 above), you must report **each** action that obligates $25,000 or more in Federal funds for a subaward to an entity. The $25,000 threshold does not include Recovery funds (as defined in the American Recovery and Reinvestment Act of 2009, Pub. L. 111–5). You will report subaward information at http://www.fsrs.gov.

4. Reporting Executive Compensation - Primary award recipient. If your organization does not meet all of the requirements for the exception (see 2 above), you must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year. You will report this information as part of your registration profile at http://www.ccr.gov.

5. Reporting Executive Compensation - Subaward recipients. For each subaward recipient that does not meet all of the requirements for the exception (see 2 above), you must report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year. You will report subaward recipient executive compensation information at http://www.fsrs.gov.

6. All prime recipients awarded through this Funding Opportunity Announcement who do not have an exemption under 2 CFR 170.110 are required to have the necessary processes and systems in place to comply with the reporting requirements. DHS encourages you to visit www.fsrs.gov, which is the reporting portal for sub-recipient and executive compensation information. In addition, www.usaspending.gov has many resources available on the sub-recipient and executive compensation reporting requirements.

7. All new grant and cooperative agreement awards issued by DHS will contain an award term that implements the OMB guidance.

III. ELIGIBILITY INFORMATION

A. **Eligible Organizations:** Accredited public institutions of higher education and accredited private institutions of higher education located in the United States.

Proposals must be submitted by an accredited U.S. institution of higher education that, along with its chosen partners, has the ability and capacity to conduct the required research. An accredited public and private institution of higher education in the United States must be identified as the official lead for proposal submission and subsequent negotiations.

COEs may partner with other academic institutions, historically black colleges and universities (HBCUs) and/or other MSIs and institutions in states that are part of the Experimental Program to Stimulate Competitive Research (EPSCoR), public or private sector, and non-profit organizations, including 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.**

Partnering entities will generally be funded through subawards from the lead institutions.

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. FFRDC employees are not eligible to serve in a principal leadership role on a grant or cooperative agreement, and may not receive salaries or in other ways augment their agency's appropriations through awards made by this program. National lab employees1 may participate in planning, conducting, and analyzing the research directed by the COE 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 research personnel, supplies, equipment, and other expenses directly related to the research. However, salaries for permanent FFRDC employees may not be provided through this agreement.

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

1 DHS will use ORISE/ORAU as a contractor in the evaluation process for this FOA. Therefore, to avoid any potential institutional conflict of interest, the Oak Ridge National Laboratories is excluded from participation in applications submitted under this FOA.

Nonetheless, Federal employees may substantively interact with awardees in the form of "cooperation." **Cooperation** involves the sharing or comparing of samples, equipment, facilities, data, models or other support during the conduct of the research in which the interaction is **substantial** and requires the award of a cooperative agreement rather than a grant. Substantial involvement occurs when the collaboration or cooperation of a Federal employee or facility is **necessary** to achieving the overall goals of the research supported by a cooperative agreement.

B. Non-responsive Applications

1. **Deadlines.** DHS will not accept late applications. Without exception, applications must be received by Grants.gov on or before the deadline in this announcement or they will be returned to the sender without review.

2. **Non-responsive applications.** Applications that do not address the purpose of this announcement will be returned without review.

3. **Compliance and completeness.** Applications must substantially comply with the application submission instructions and requirements in this announcement or they will be returned without review.

4. **Funding limits.** Applications exceeding the funding limits will be returned without review.

5. **Project period.** Applications exceeding the project period term will be returned without review.

C. Cost Sharing

This announcement does not require cost share or matching; however, the ability to leverage DHS funds to enhance the research and educational agenda is a review criterion.

D. Eligibility Restrictions

Lead institutions for Centers of Excellence are limited to U.S. institutions of higher education, in accordance with 6 U.S.C. 188(b)(2)(A) which specifies: "The Secretary, acting through the Under Secretary for Science and Technology, shall designate a university based center or several university-based centers for homeland security." Note: partnerships with foreign institutions and investigations are permitted, but may require special justification and approval from DHS in certain circumstances.

IV. APPLICATION AND SUBMISSION INFORMATION

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 must use Adobe Reader. **You must use a version of Adobe Reader that is compatible with Grants.gov.** Adobe Reader is available from Grants.gov at no charge.

3. 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.

   Registration takes approximately 3-5 business days, but allow 4 weeks for completion of all steps.

   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 1-800-518-4726 to report the problem and obtain assistance with the system.

C. Content and Form of Application

The applicant must complete the mandatory forms for this announcement which include 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 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**

   Applicants must complete a budget for each year, and a cumulative 5-year budget. Applicants must provide budgets by object class (salaries, fringe, travel, indirect, etc.) for the Administrative/Management core as well as for each subaward/subcontract (including partner organizations). 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 at Item K on this form.

3. **Budget Justification File(s).** Budget detail in narrative format is required to support the budget identified in the Research & Related Budget form (see preceding item).

   The budget justification must be presented by budget category. Requirements for each budget category are identified in Attachment D of this funding opportunity. Only those budget categories for which you are requesting funding

should be completed. (A spreadsheet may also be included with the narrative to aid in presentation of information.)

Note: Refer to the Funding Restrictions section of this funding opportunity for budget costs that are either restricted or not allowable.

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. Attach the Certification Regarding Lobbying (Attachment C of this funding opportunity) to the 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 include education and research activities and accomplishments and each individual's role in the proposed project. Each biographical sketch may not exceed two (2) pages. Attach biographical sketch(es) to this form.

6. **Research & Related Other Project Information**

   a. Applicants must complete Other Project Information form, which includes information regarding use of human subjects, use of animal subjects, and proprietary information, among other things.

   b. Research Plan Summary/Abstract. Include the title of the project and provide a summary description that accurately and concisely reflects the project suitable for dissemination to the public. It should describe the objectives of the project, the approach to be used, and the results or benefits expected. This Summary/Abstract must not include any proprietary or confidential information. The summary description is limited to one single-spaced page (12-point line spacing) with 12-point font, and one-inch margins. Attach the Summary/Abstract to Item 6 on the Research & Related Other Project Information form.

   c. Research Plan Narrative. The Research Plan Narrative is limited to 50 single-spaced pages (12-point line spacing) with 12-point font, and one-inch margins. Applicants must adhere strictly to the page limits identified below (Not including abstract, budget and investigators' credentials, progress report

(incumbent only) or appendix). Pages in excess of the page limitations will not be reviewed, i.e., DHS will only review pages 1-50. Attach the Research Plan Narrative to Item 7 on the Research & Related Other Project Information form.

Since S&T expects this COE to become a fully integrated component of a network of DHS COEs and to take advantage of the network's resources, institutions should utilize the current and emerging capacities and outcomes of existing programs of research and education while introducing new activities that broaden both capabilities and results. Applicants should pay particular attention to the extensive body of research that DHS has supported at the Center for the Study of Terrorism and Responses to Terrorism at the University of Maryland, the National Center for Risk and Economic Analysis of Terrorism Events at the University of Southern California, and the data analytics and visual analytics research conducted for DHS at Purdue and Rutgers under the Command, Control and Interoperability COE. To achieve the aforementioned, proposals must contain a Research Plan. The Research Plan portion of the application must address the following requirements described below in sections (1) – (7).

(1) *Overview, 5 pages.* The COE must structure its activities around the research themes/focus areas as described in Section I.C of this FOA. In this section, applicants must identify and describe the overall focus (including a brief discussion of the research themes); the organizational structure of the proposed Center; participating institutions/organizations; and the role of all consortium members. Applicants must specify concrete five-year goals for each of the following areas: research, management, education and training, coordination and integration, and results transition. Specific objectives and metrics must be included in the respective sections below.

(2) *Management Plan, 5 pages.* Each Center must propose an administrative core, which is responsible for managing, coordinating, and supervising the entire range of Center activities; monitoring progress; and ensuring that the coordination and integration plan and its associated component plans are implemented. A well-developed administrative core is integral to the Center's success, and should be clearly described in the application. The Management Plan must identify and discuss: the structure and roles of administrative core personnel; the Center leadership team responsible for each major COE activity (e.g., management, research, education, business operations); the allocation and prioritization of fiscal and other resources; the facilitation of communications throughout the Center; and the structure and role of any major committees (e.g., Steering Committee) that will be instituted to help manage Center business. Organizational charts for the administrative core and the Center as a whole should be provided.

The management plan for the COE must include procedures for continually evaluating and selecting the most promising homeland security-related research. It is expected that research projects that have shown little potential will be discontinued and that new projects with greater potential will be initiated as the program evolves and matures. The addition, termination or major modification of projects will be reviewed and approved by the S&T program staff.

The administrative core director and staff are responsible for ensuring that all research activities are carried out in compliance with all federal regulations. The administrative core director and staff are also responsible for ensuring that appropriate systems are in place to provide for protection of human and animal subjects and for the safe conduct of laboratory and research efforts.

(3) *Research Program, 20 pages.*

The intent of the COEs is to support a substantial range of research, training and development activities, which utilize novel, multidisciplinary approaches that transcend customary thinking and organizational structures to address critical questions related to homeland security. The applicant must clearly describe the research themes of this COE including theoretical bases, methods and data. Proposed research projects and other activities should support and complement the theme area. The relationship of the individual proposed activities to the themes should be clearly defined and explicitly stated. In addition, research should complement federal research investments; therefore, a logical progression should exist from the research theme to national level priorities.

Each application must propose an in-depth research program for the first year specifically, and all years thereafter. It should include at least five (5) research projects, which together will enable the COE to contribute significantly to the homeland security mission. Total costs per year for each project proposed should be identified. Collectively, the projects should support the COE's coordination and integration plan and emphasize synergy and integration of overall themes. Each theme should have a lead investigator/coordinator that will monitor projects that relate to the theme and promote efforts that foster collaboration and synergy. Centers are expected to focus on and incorporate into the research projects state-of-the-art technology and approaches. Applicants are encouraged to carefully consider the scope and range of research proposed and develop a research program that is coherent overall and consistent with available resources and personnel. Research projects that are unsuccessful or failing to achieve their goals should be phased out and replaced. The COE leadership is responsible for having criteria and mechanisms to periodically assess productivity and success of research projects and for terminating those that do not meet their goals. These should be described in the management and evaluation plans.

A portion of the research portfolio is expected to include applied research that will lead to the eventual transition of research to user groups. Projects directed toward development of technologies, products, and platforms that can reduce the time and cost of creating new products, are particularly encouraged.

(4) *Education and Career Development Programs, 5 pages.*

The COE must include a consistent and significant commitment to education programs with the goal of providing the next level of science power for homeland security. This requirement reflects DHS S&T's enhanced emphasis on education and directly correlates to its COE model. The education and training activities should be closely linked to research to gain the maximum benefits of coupling education to cutting edge science. Linkages between the education and research functions must be clearly shown as part of the coordination and integration plan. The application must include at least two distinct examples.

Education and career development programs must include a description of: programs to develop enduring multi-disciplinary educational curricula in relevant homeland security-related fields of study for both students and professionals; plans to involve other institutions, including Minority Serving Institutions (MSIs) in both research and education programs; and plans to integrate with other COEs, DHS, federal, and state agencies.

(5) *Coordination and Integration Plan (CIP), 5 pages.* The purpose of the CIP is to establish over-arching themes and identify unique opportunities for the COE to contribute to risk, economics, and operations research, as well as to identify unmet homeland security research needs that may be addressed by the planned COE activities. In the CIP, applicants should provide a review of planning and priority setting processes that the consortium organizers used to develop the plan. The plan must include both short- and long-term goals, and must include descriptions of objective metrics that will be used to measure, assess and evaluate progress. The following framework is suggested for developing the CIP, with the 5 pages distributed as indicated:

(a) *Existing Programs, 3 pages*. Identify and describe existing collaborative programs of the proposed consortium, including research and development experience and expertise of proposed COE participants, and facilities and other research resources available. For those applicants who are currently supported by a COE award, the applicant must describe the strengths of the COE, including a brief summary of the COE's established infrastructure, its network of and history of contacts with federal agencies and other user groups, and lessons learned.

(b) *Opportunities, 2 pages.* Identify and evaluate the existing or potential opportunities to deliver high quality research, education, and training

programs using COE funds. COEs are encouraged to form associations with other federal agencies (including the National Laboratories); research laboratories; state and local homeland security and law enforcement agencies; and public and private entities. Collaborative research or education projects with existing COEs are also highly encouraged. As part of the planning process, the COE leadership should determine and describe which collaborations including foreign collaborations, will be further developed; target opportunities that can utilize the unique strengths within the consortium; and expand collaborations that will address the goals of homeland security research.

(6) *Results and Transition Plan, 7 pages.* In this section, applicants must summarize and develop a results and transition plan that outlines how the COE will implement its research program (see research program above), the major research projects to be pursued with COE funding and how they will be transitioned to user groups. Elements of the plan include: milestones for each thematic area; career development programs for new and existing faculty, research staff, and students; identification of potential user groups; description of how the research results will be transitioned to DHS and other federal and state agencies; and overall policies and procedures for the management of cores and other Center resources. Applied projects must have a defined product development plan, with milestones and mechanisms for monitoring progress.

(7) *Evaluation Plan, 3 pages.* The applicant must describe in detail an evaluation plan to monitor and track the conduct and progress of activities performed in achieving its specific objectives and the objectives of the COE program (refer to the five-year objectives required under the overview section above). The application must include a detailed evaluation plan to assess achievement of the short- and long-term COE goals and how the COE leadership will measure the achievement of theses objectives. Since the major purpose of the evaluation is to provide information to assist each Center with program planning and management, the plan should address both the administrative and scientific functioning and accomplishments of the Center. This plan should include the participation of individuals with expertise in technology transfer and the development of regulated products.

While evaluation should be a continuous process, a formal evaluation by an outside, independent group selected by the Center's leadership team and approved by DHS staff should be conducted at least every two years. The Evaluation Plan should include a description of how the evaluation will be conducted and include the principal measures and metrics to be used, as well as the potential sources of data. Implementation of the evaluation plan is a responsibility of the administrative core.

(8) *Progress Report (for renewal applications only - an additional 10 pages).* This section should focus on highlights of the existing COE's research and other activities during its first grant period. In addition to discussing selected individual projects, describe synergy and collaborations that occurred. Other points to include are: COE partners, education and outreach efforts, integration of center efforts in to homeland security, numbers of publications, patents, and additional funds, new courses, degrees and certificates, students and researchers brought into homeland security science, technology, engineering and math (HS-STEM) disciplines and careers, and how the COE was managed. Lessons learned may be appropriate.

References

- Public Law 107-296, as amended (Homeland Security Act of 2002)
- Public Law 108-7, 2003 amendments to Homeland Security Act of 2002
- Public Law 110-53, (Implementing Recommendations of the 9-11 Commission Act of 2007)
- Homeland Security Presidential Directives (http://www.dhs.gov/xabout/laws/editorial_0607.shtm)
- DHS Strategic Plan (http://www.dhs.gov/xlibrary/assets/DHS_StratPlan_FINAL_spread.pdf)
- National Response Framework (http://www.fema.gov/emergency/nrf/)
- Science & Technology Directorate (http://www.dhs.gov/xabout/structure/editorial_0530.shtm)
- Homeland Security Centers of Excellence (http://www.dhs.gov/files/programs/editorial_0498.shtm)
- University Programs (http://www.hsuniversityprograms.org/)

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).

Note: Letters of support from elected officials do not influence DHS's selection of a COE lead institution or partner and they create a substantial unproductive workload for DHS staff. DHS uses only the criteria described above to evaluate proposals. However, DHS welcomes supporting letters from agencies or firms that describe how these entities actually have used an applicant's research results in a practical mission-related homeland security context.

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

Applicants must the complete 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 Date and Time

Full Proposal Closing Date: December 23, 2010
All deadlines are 11:59p.m. Eastern Time.

Proof of timely submission is automatically recorded by Grants.gov. An electronic time stamp is generated within the system when the application is successfully received by Grants.gov. The applicant will receive an acknowledgement of receipt and a tracking number from Grants.gov with the successful transmission of their application.

E. Intergovernmental Review

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

F. Funding Restrictions

1. DHS grant or cooperative agreement 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 or cooperative agreement 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.

2. **Equipment purchases.**

   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. The Recipient shall maintain an annual inventory which will include a brief description which will include a brief description of the item, serial number and amount of purchase for equipment purchased with grant/cooperative agreement funds having a $5,000 or more per unit cost.

   c. Maintenance and insurance will be the responsibility of the Recipient.

   d. Title of equipment will remain with the Recipient until closeout when disposition will be provided in writing by the DHS within 120 days of submission of final reports.

3. **Profit/Fee.** Profit or fee is not allowable except when subcontracting for routine goods and services with commercial organizations.

4. **Foreign travel.** The DHS Grants Officer must approve all foreign travel in advance and in writing.

5. **Construction costs** are not allowable under this funding opportunity.

6. **Pre-award costs** are allowable only with the written consent of DHS and included in the award agreement.

G. **Other Submission Requirements**

DHS may request that you provide original signatures on forms at a later date.

V. APPLICATION REVIEW INFORMATION

A. **Review Process and Criteria: Lead COE.**

1. **Review Process.**

DHS S&T will use a review process with three distinct phases to select a lead institution for a Center of Excellence (COE). The phases are: (1) a scientific quality review by a panel of external peers, (2) internal relevancy review by a panel of DHS subject matter experts (SME) "relevancy" review, and (3) site visits by a team of DHS SMEs, usually a subset of the internal review panel. Only the best proposals

will be referred from the external to the internal review, and the best of those from the internal review to the site visits.

Each panel or team will be comprised of a set of reviewers and will focus on the evaluation criteria specific to that review phase, as described below. For the external and internal reviews, a minimum of three subject matter experts will review each proposal and provide comments and ratings based on the relevant criteria. Each phase of the review process will be rated separately. The weighting of each criterion is identified under each review phase.

Reviewers will consider the proposals in terms of strengths and weaknesses for evaluation criterion. DHS will rate each criterion using the following scale: 1=Poor, 2=Fair, 3=Good, 4=Very Good and 5=Excellent.

1 (poor):	A proposal where weaknesses far outweigh strengths.
2 (fair):	A proposal with strengths and weaknesses approximately equal.
3 (good):	A proposal where there are more strengths than weaknesses.
4 (very good):	A proposal with many strengths and few weaknesses.
5 (excellent):	A proposal where strengths far outweigh weaknesses.

Each reviewer's overall rating for a proposal will be calculated by first multiplying the weight for each criterion by its rating, then adding the weighted scores together for an overall proposal rating.

The charts below provide examples of how a single reviewer's overall rating for a proposal would be calculated at each review phase. The charts below represent an application with a rating above the threshold established for each review phase, which would qualify the hypothetical application to be forwarded to the next review phase.

Scientific Quality Review (External):

Evaluation Criteria/Weight (%)	Scaled Score	Weighted Score
Research Quality (75%)	5	3.75
Education Program (20%)	4	.80
Costs (5%)	3	.15
External Review Rating		**4.70**

Only those applications meeting the threshold rating for the External review phase will be forwarded to the Internal review phase.

DHS Relevancy Review (Internal):

Evaluation Criteria/Weight (%)	Scaled Score	Weighted Score
Mission Relevance (60%)	5	3.00
Demonstrated Capability (40%)	3	1.20
Internal Review Rating		**4.20**

Only those applications meeting the threshold rating for the Internal review phase will be forwarded to the Site Visit review phase.

Site Visit Review:

Evaluation Criteria/Weight (%)	Scaled Score	Weighted Score
Management/Administrative (30%)	4	1.20
Education (20%)	4	.80
MSI Commitment (10%)	3	.30
Resource Commitment (10%)	4	.40
Outreach and Communication (10%)	3	.30
Research Quality (20%)*	5*	1.00
Site Visit Review Rating		**4.00**

*Score from the Research Quality Criterion of the External Review

To summarize: Applications meeting the threshold from the External review phase are high scientific quality. Applications meeting the threshold of the Internal review phase represent high scientific quality and meet DHS needs. The Site Visit review identifies institutions that meet these two standards and have attributes required to be considered as a Center of Excellence.

For each proposal, DHS will calculate the mean and median rating for all reviewers to determine a final rating. DHS reserves the right to use either the mean or the median rating as the final rating for all applications.

A "natural" threshold level may be established for referral of applications from one review phase to the next review phase. DHS will select the threshold based on the ratings of applications for this funding opportunity. For example, if DHS receives six applications, three of which have a rating of 4.0 or higher in the external review phase, while the other three are less than 3.5, 4.0 will be the "natural" threshold for passing applications to the internal review phase. If its mean or the median rating is above the threshold established for the review phase, an application will be forwarded to the next review phase. Under no circumstances will an application be considered if both the mean and the median rating are below 3.0.

Applications must successfully compete in each phase in order to be considered for the next phase, i.e., application rating must be above the threshold for the External

Review to progress to the Internal Review and so on. DHS will use the rating from the Site Visit review phase to rank applicants for COE lead. DHS may select specific research projects or focus areas from other applications for lead or for partner.

Copies of all relevant proposals will be available for inspection by all of the members of each review team/panel upon request. Any reviewer who has read an entire proposal and has no conflict of interest may provide a rating.

2. Evaluation Criteria.

a. Scientific Quality Review (External). Reviewers will be asked to rate how the proposal addresses the following criteria, posed as questions. Reviewers will rate applications using numerical ratings of 1 to 5 (poor to excellent) and apply the percentage-weighting factor as indicated for an overall rating.

(1) Research Program: Research quality and influence (75%). Evaluate to what extent each of the following factors are met:

(a) Originality and/or Innovativeness (15%).

i. Is it original, e.g., does the proposed effort challenge and seek to shift current research or paradigms by utilizing novel theoretical concepts, approaches or methodologies?

ii. Is it innovative, e.g., is the proposal a novel refinement, improvement, or new application of theoretical concepts, approaches or methodologies proposed?

(b) Proposed Approach/Methodology (20%).

i. Is the theoretical basis for the research explained clearly?

ii. Is the theory sound?

iii. Are hypotheses clearly stated?

iv. Are the methods proposed clearly stated and appropriate for testing the hypotheses?

v. Are the data generation or collection approaches appropriate for the research methods?

(c) Influence, Program Balance and Cooperative Linkages (25%).

i. Does this research have the potential to generate influential publications in the scientific community or lead to new discoveries or areas of investigation?

ii. Does the application show a balance of effort among research areas described in this FOA (e.g. risk assessment, economic modeling)?

iii. Does the application show partnerships and cooperative initiatives with other institutions/organizations?

(d) Qualifications of Personnel and Suitability of Facilities (15%).

i. Does the investigative team have the qualifications - credentials and experience - to carry out the proposed research?

ii. Are the facilities adequate for the proposed research? Did the applicant secure the best facilities available?

(2) *Education Program (20%).* Determine the extent the application addresses the following criteria:

(a) Does the proposal demonstrate a sound education plan and the ability to establish a complete program of study for the relevant disciplines related to DHS's mission?
(b) Does the education program describe new courses and certificates or degrees that will be developed?
(c) Is there a plan to ensure the student population is diverse?
(d) Is the number of proposed students reasonable, and are theses supported/completed relevant to the disciplines and fields of interest to DHS?
(e) Is the mix between undergraduate and graduate studies appropriate?

(3) Costs (5%). Are the proposed research and research-related costs appropriate and reasonable for the proposed tasks?

b. DHS Relevancy Review (Internal). Reviewers will be asked to rate how the proposal addresses the following criteria, posed as questions. Reviewers will rate applications using numerical ratings of 1 to 5 (poor to excellent) and apply the percentage-weighting factor as indicated for an overall rating.

(1) *Mission Relevance* (60%).

(a) Are proposed research, education and outreach programs relevant to and support DHS mission and its stakeholders?
(b) Do proposed projects address the most important research and knowledge gaps that DHS has identified in this FOA?
(c) Does the proposed program complement - and not duplicate – existing research and development programs sponsored by DHS or others?
(d) Are the potential research outcomes and users of the research well described?

(2) *Demonstrated Capability* (40%): The following criteria refer to the applicant's existing programs and capabilities supported by DHS or any other funding source.

(a) *Collaboration/Partnerships* (15%).
i. Does the applicant have an existing collaboration-based program of cutting edge research?
ii. Has the value to the homeland security mission been demonstrated through established relationships between the applicant and key

homeland security stakeholders, e.g., appropriate governmental entities including National Laboratories, FFRDCs, industry, Minority Serving Institutions (MSIs)?

iii. Do partner institutions reflect a national scope for the COE, i.e., are several regions of the United States represented significantly?

(b) *Integration of Research, Education and Outreach (10%).*

i. Has the applicant successfully integrated homeland security-STEM curricula and research activities?

ii. Has the applicant held courses/workshops/training sessions that bring together relevant researchers and stakeholders?

(c) *Transitioning (10%).* Does the applicant have a track record of successfully transitioning research to appropriate stakeholders, specifically:

i. Developed or implemented software & decision tools,

ii. Established a strategic transition plan for applied research that demonstrates a commitment to product transition, and/or

iii. Demonstrated implementation of the knowledge transfer process (i.e. models from case studies to other areas) from academic to government end-users and other DHS customers.

(d) *Other (5%).* Are there other characteristics that would either enhance or impede the applicant's ability to complete research, deliver results, or communicate with stakeholders as a lead COE?

c. Site Visit Review. The site visit review team will examine the results of the External and Internal reviews and determine the extent to which the applicant's proposal and any site visit materials address the following criteria, posed as questions. Reviewers will rate applications using numerical ratings of 1 to 5 (poor to excellent) and apply the percentage-weighting factor as indicated for a final rating.

(1) *Management/Administrative (30%).*

(a) *Ability to Lead Interdisciplinary Efforts with a National Focus (10%).*

i. Has the applicant demonstrated its ability to lead interdisciplinary, collaborative team projects that are designed to address complex HS issues, and include industry, National Labs, other COEs, researchers outside the COE, international partners, and minority serving institutions?

ii. Does the composition of the COE reflect a national scope, i.e., are multiple regions and situations represented?

iii. Has the applicant developed or proposed a plan to sponsor open competitions for research projects?

(b) *Project Management (10%).*

i. Has the applicant a successful track record of submitting reports and completing research projects on time, and within budget?

ii. Are there other characteristics that would either enhance or impede the applicant's ability to complete research, deliver results, or communicate with stakeholders as a lead COE? Has the applicant demonstrated responsiveness to homeland security-related stakeholders when their expertise or assistance was requested?

(c) *DHS research programs and systems (5%).*

i. Has the applicant demonstrated its understanding of DHS's existing research programs, information systems and databases (e.g., Homeland Security University Programs website, http://www.hsuniversityprograms.org, and database)?

(d) *Other (5%).*

i. Any additional questions generated from the DHS External and Internal Reviews.

(2) *Education (20%).*

(a) Has the applicant initiated sound curricula linked to HS-related science and technology careers?

(b) Are there existing or planned university/industry/government partnerships for employment of the Center's students?

(3) *MSI Commitment (10%).*

(a) Does the applicant have a track record of, or demonstrate a credible plan for both significant and substantive support for accessing and building capabilities for both research and student transition to careers at minority serving institutions?

(4) *Resource Commitment (10%).*

(a) To what extent does the applicant demonstrate or propose a substantive commitment to supporting a DHS COE through:

i. University-supported faculty
ii. University-supported students
iii. Capital investments such as lab and office space
iv. Incentives (e.g., tenure and promotion procedures) that reward interdisciplinary and practical research?

(5) *Outreach and Communication (10%).*

(a) Quality of the applicant's plan or track record to effectively communicate results to homeland security stakeholders?

(6) *Research Quality and Influence (20%).*

(a) The score for this criterion is carried over from the scaled score for the Research Quality and Influence criterion given at the External review phase.

B. Selection Decision.

DHS's designated Selection Authority (SA) will make final funding decisions based upon the results of the evaluation. In making the final funding decisions, the SA may also consider program balance, availability of funds, Congressional mandates, and criteria including geographic distribution and the requirements of the Experimental Program to Stimulate Competitive Research (EPSCoR).

The applicant selected for funding may be required to provide additional information listed below under "Award Administration Information." Following the initial selection, and prior to award, DHS will negotiate budgets and research and education substance with the selected applicant(s).

VI. AWARD ADMINISTRATION INFORMATION

A. Notice of Award.

Customarily, applicants are notified about evaluation decisions within six months of the application closing date. A summary statement of the scientific review by the peer panel will be provided to each applicant with an award or declination letter.

DHS also requires successful applicants to provide responses to comments or suggestions offered by the peer reviewers and revise and resubmit their proposal accordingly. Successful applicants may also be requested to submit a revised budget. DHS will contact Principal Investigators to obtain these materials. Before or after an award, applicants may be required to provide additional quality assurance documentation.

A cooperative agreement award will be executed by a DHS Grants Officer authorized to obligate DHS funding.

B. Compliance. The recipient and any subrecipients must, in addition to the assurances made as part of the application, comply and require each of its contractors and subcontractors employed in the completion of the project to comply with all applicable statutes, regulations, executive orders, Office of Management and Budget (OMB) circulars, terms and conditions of the award, and the approved application.

C. **Administrative, National Policy, and Other Requirements.** Awards under this announcement are 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 terms.

   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' 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 supported 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.

5. **Animal Welfare.** A cooperative agreement or grant recipient must agree to comply with the Animal Welfare Act of 1966 (P.L. 89-544), as amended, 7 U.S.C. 2131-2156. The recipient must also agree to abide by 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).

6. **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.

7. **Disposal of Toxic or Other Waste.** Recipient shall be responsible for the removal from Government property of any and all toxic or other material used, provided, or generated in the course of performing this assistance agreement. Recipient shall obtain at its own expense all necessary permits and licenses as required by local, State, and Federal law and shall conduct such removal in a lawful and environmentally responsible manner.

8. **Research Safety Requirements**. Recipient and all subrecipients/sub-contractors are responsible for the safety of their faculty, students, and staff conducting activities funded under this FOA. To ensure that researchers and research facilities funded through this FOA meet the highest safety standards possible, the Recipient will be required to develop a Research Safety Plan. The Research Safety Plan must include: identification of possible research hazards associated with the types of research to be conducted under this FOA; research protocols or practices that conform to generally accepted safety principles applicable to the nature of the research; Recipient's processes and procedures to ensure compliance with the applicable protocols and standards; Recipient's processes and procedures to ensure the prevention of unauthorized activities conducted in association with funding under this FOA; faculty oversight of student researchers; research safety education and training to develop a culture of safety; access control, where applicable; independent review by subject matter experts of the safety protocols and practices; and demonstrated adherence to all safety-related terms and conditions contained elsewhere in this FOA. The Recipient is expected to flow down the substance of this section in all subawards/contracts at any tier where the subrecipient may conduct research where safety protocols are necessary to conduct safe research.

9. **Information Protection Plan**. Research conducted under this award is intended to be basic or fundamental research with publicly releasable results. Accordingly, no research funded under this FOA should involve, use, or generate sensitive or classified information. In order to ensure research funded under this FOA does not involve, use, or generate sensitive or classified information, intentionally or accidentally, the Recipient will be required to develop an Information Protection Plan by adopting policies and procedures that properly define, recognize, and protect such sensitive or classified information. The Information Protection Plan will ensure the Recipient identifies, secures, and prohibits public disclosure of "sensitive or classified information." The Recipient shall include the substance of this section in all subawards/contracts at any tier where the subrecipient may use, generate or have access to government facilities and sensitive or classified information.

   For purposes of this section the following definitions apply.

   - Sensitive Information.

     - General Definition. 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.

- Protected Critical Infrastructure Information (PCII)) 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 Program Manager or his/her designee);

- 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

- Information subject to export control as regulated by the International Traffic in Arms Regulations (22 CFR 120-130) and the Export Administration Regulations (15 CFR 730-774).

- Classified Information. Defined as information designated in accordance with Executive Order 12958.

10. **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 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.

11. **Publications.** DHS subject matter experts may co-author publications with COE researchers. Any publications co-authored by DHS staff will be subject to DHS's publications approval process.

12. **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 an award under this announcement 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 Agreement No. _____ awarded by the U.S. Department of Homeland Security. 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."

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

14. **Government Property/Furnished Equipment (GFE) and Facilities.** Each applicant must provide a very specific description of any equipment/hardware that it needs to acquire to perform the work. This description should indicate whether or not each particular piece of equipment/hardware will be included as part of a deliverable item under the resulting award. Also, this description should identify the component, nomenclature, and configuration of the equipment/hardware that it proposes to purchase for this effort. The purchase on a direct re-imbursement basis of special test equipment or other equipment will be evaluated for allowability on a case-by-case basis. Maximum use of Government integration, test, and experiment facilities is encouraged. Government research facilities and operational military units are available and should be considered as potential government furnished equipment/facilities. These facilities and resources are of high value and some are in constant demand by multiple programs.

D. Reporting Requirements.

1. Financial Reports.

a. The recipient shall submit annual financial reports (SF 425, Financial Status Report) to the DHS Grants Officer no later than 90 days following the one-year anniversary date of the performance period start date. All subsequent annual reports will be due on the anniversary of the first annual report.

b. The Recipient is required to submit a quarterly SF-425 (Cash Transaction section only) to the Department of Health and Human Services Division of Payment Management

c. The Recipient is required to submit a Final Financial Status Report (SF 425) to the 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.

b. The Recipient shall submit annual Performance Reports

c. Performance Reports shall:

(1) Describe accomplishments in terms of the approved project objectives. This includes reporting on the Center as a whole and on each funded sub-project with explanations of any changes from the initially approved project, budget expenditures and changes, and unanticipated problems.
(2) Certification whether patentable inventions were created during the reporting period.

d. Final Performance Reports shall be submitted 90 days after the expiration date of the Performance Period.

E. <u>DHS Substantial Involvement</u>.

1. Coordination of and participation in a kickoff meeting with appropriate S&T staff prior to project initiation, as well as a wrap-up meeting with appropriate S&T staff.

2. Ongoing monitoring of the activities of Recipient's work plan and activities described in Recipient's application through face-to-face and/or telephone meetings and the review of progress reports and key objectives for activities funded under the cooperative agreement.

3. Coordination between S&T and the COE will include, but is not limited to:

a. Providing strategic input as necessary on an ongoing basis.
b. Coordinating research and development activities that support the national research agenda.
c. Participating in semi-annual meetings of COE Directors' in Washington, D.C.
d. Participating in the annual DHS University Network Summit.
e. Creating awareness and visibility for this program.
f. Participating in COE teleconferences concerning Education Program and Communication Updates.

4. This cooperative agreement may be modified to support additional research projects funded by DHS and other sources provided that these projects meet three conditions:

first, they must be research for a public purpose that addresses fundamental scientific questions, second, they must fall within the scope of the grant or cooperative agreement, and third, they may be subject to an S&T-approved merit review process to ensure they are high-quality scientific research. The supplemental research projects must also conform to Federal assistance agreement (grants and cooperative agreements) guidelines.

5. DHS S&T may create a Federal Coordinating Council that reserves the right to provide guidance and direction to the COE's research and education work plan. Applicants should include in travel to attend a meeting in Washington, D.C. once each year.

6. DHS subject matter experts may co-author publications with COE researchers. These publications must be submitted to the DHS Program Officer for DHS clearance prior to dissemination of the publication.

F. Trafficking in Persons.

1. Provisions applicable to a recipient that is a private entity:

   a. The recipient, recipient's employees, sub-recipients under this award, and sub-recipients' employees may not:

      i. Engage in severe forms of trafficking in persons during the period of time that this Award is in effect
      ii. Procure a commercial sex act during the period of time that this Award is in effect or
      iii. Use forced labor in the performance of this Award or subawards under this award.

   b. DHS may unilaterally terminate this award, without penalty, if the recipient or a sub-recipient that is a private entity:

      i. Is determined to have violated a prohibition in paragraph 1.a. of this award; or
      ii. Has an employee who is determined by DHS to have violated a prohibition in paragraph 1.a of this Award through conduct that is either:

         - Associated with performance under this Award; or
         - Imputed to the recipient or the sub-recipient using the standards and due process for imputing the conduct of an individual to an organization that is provided in 2 CFR part 180, "OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement)."

2. Provision applicable to a recipient other than a private entity. DHS may unilaterally terminate this award, without penalty, if a sub-recipient that is a private entity:

   a. Is determined to have violated an applicable prohibition in paragraph 1.a of this award; or

   b. Has an employee who is determined by DHS to have violated an applicable prohibition in paragraph 1.a of this award through conduct that is either:

      i. Associated with performance under this award; or
      ii. Imputed to the sub-recipient using the standards and due process for imputing the conduct of an individual to an organization that is provided in 2 CFR part 180, "OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement)."

3. Provisions applicable to any recipient:

   a. The recipient and sub-recipient must inform DHS immediately of any information the recipient or sub-recipient receives from any source alleging a violation of a prohibition in paragraph 1.a of this award.

   b. DHS's right to terminate unilaterally that is described in paragraph 1.b or 2 of this section:

      i. Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)); and
      ii. Is in addition to all other remedies for noncompliance that are available to DHS under this Award.

   c. The recipient must include the requirements of paragraph 1.a of this Award in any subaward the recipient makes to a private entity.

4. Definitions for purposes of this award:

   a. "Employee" means either:

      i. An individual employed by the recipient or a sub-recipient who is engaged in the performance of the project or program under this award; or
      ii. Another person engaged in the performance of the project or program under this award and not compensated by the recipient including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.

   b. "Forced labor" means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for

labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

c. "Private entity" means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25.

Includes:

i. A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CRF 175.25(b).
ii. A for-profit organization.

d. "Severe forms of trafficking in persons," "commercial sex act," and "coercion" have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

VII. DEPARTMENT OF HOMELAND SECURITY CONTACTS

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

DHS Technical Point-of-Contact:
Marilyn J. Morgan
Department of Homeland Security
Science and Technology Directorate
Washington, DC 20528
Phone: 202-254-6469
E-mail: marilyn.morgan@dhs.gov

DHS Grants Officer (Grant and Process-related questions):
Larry Thompkins
Department of Homeland Security
Attn: Office of the Chief Procurement Officer/Office of Procurement Operations/Grants and Financial Assistance Division, Stop 0115
Washington, DC 20528
Phone: 202-447-5529
E-mail: larry.thompkins@dhs.gov

VIII. OTHER INFORMATION

A. 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:

   a. Any data that is first produced under this Agreement and provided to the Government; or
   b. 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.

B. 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.

Attachment A

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 –
   1. 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

2. 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.

Attachment B

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.

Attachment C

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 $10,00 0 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 subjec t to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

* APPLICANT'S ORGANIZATION	
* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE Prefix: * First Name: Middle Name: * Last Name: Suffix: * Title:	
SIGNATURE:	DATE:

Attachment D

BUDGET JUSTIFICATION REQUIREMENTS

1. **PERSONNEL**: Costs of employee salaries and wages.

   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.

2. **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.

3. **TRAVEL**: Costs of project-related travel by employees of the applicant organization (does not include costs of sub-contractor or consultant travel).

   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.

4. **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.

5. **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.

6. **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:

   - 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.

   - 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.

7. **OTHER DIRECT COSTS**: Any other items proposed as direct costs. Provide an itemized list with costs, and state the basis for each proposed item.

8. **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.