1. DATE ISSUED MM/DD/YYYY	1a. SUPERSEDES AWARD NOTICE dated
11/01/2021	except that any additions or restrictions previously imposed remain in effect unless specifically rescinded

2. CFDA NO.
97.061 - Cooperative Agreements

3. ASSISTANCE TYPE Cooperative Agreement

4. GRANT NO. 22STESE00001-01-00 Formerly	5. TYPE OF AWARD Other	
4a. FAIN 22STESE00001	5a. ACTION TYPE New	
6. PROJECT PERIOD MM/DD/YYYY From 11/01/2021	Through	MM/DD/YYYY 06/30/2031
7. BUDGET PERIOD MM/DD/YYYY From 11/01/2021	Through	MM/DD/YYYY 06/30/2022

Department of Homeland Security

DHS Grants and Financial Assistance Division (GFAD)

301 7th Street, SW, RM 3051
Mail Stop 0115
Washington, DC 20528

NOTICE OF AWARD

AUTHORIZATION (Legislation/Regulations)
Homeland Security Act of 2002, Section 308, as amended, P.L. 107-296 codified at 6 U.S.C. 188

8. TITLE OF PROJECT (OR PROGRAM)
SENTRY – Soft Target Engineering to Neutralize the Threat Reality

9a. GRANTEE NAME AND ADDRESS
Northeastern University
360 Huntington Ave
Boston, MA 02115-5005

9b. GRANTEE PROJECT DIRECTOR
[redacted]
360 Huntington Ave
Boston, MA 02115-5005
[redacted]

10a. GRANTEE AUTHORIZING OFFICIAL
[redacted]
360 Huntington Ave, 540-177
Boston, MA 02115-5005
[redacted]

10b. FEDERAL PROJECT OFFICER
[redacted]
7th and D Street, SW
Washington, DC 20407
[redacted]

ALL AMOUNTS ARE SHOWN IN USD

11. APPROVED BUDGET (Excludes Direct Assistance)
I Financial Assistance from the Federal Awarding Agency Only
II Total project costs including grant funds and all other financial participation — II

a.	Salaries and Wages	735,976.00
b.	Fringe Benefits	139,713.00
c.	Total Personnel Costs	875,689.00
d.	Equipment	15,088.00
e.	Supplies	604.00
f.	Travel	14,000.00
g.	Construction	0.00
h.	Other	46,660.00
i.	Contractual	1,937,002.00
j.	TOTAL DIRECT COSTS	2,889,043.00
k.	INDIRECT COSTS	710,957.00
l.	TOTAL APPROVED BUDGET	3,600,000.00
m.	Federal Share	3,600,000.00
n.	Non-Federal Share	0.00

12. AWARD COMPUTATION

a. Amount of Federal Financial Assistance (from item 11m)	3,600,000.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION	3,600,000.00
13. Total Federal Funds Awarded to Date for Project Period	3,600,000.00

14. RECOMMENDED FUTURE SUPPORT
(Subject to the availability of funds and satisfactory progress of the project):

YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 2		d. 5	
b. 3		e. 6	
c. 4		f. 7	

15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:
a. DEDUCTION
b. ADDITIONAL COSTS
c. MATCHING
d. OTHER RESEARCH (Add / Deduct Option)
e. OTHER *(See REMARKS)*

b

16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY ON THE ABOVE TITLED PROJECT AND IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:
a. The grant program legislation
b. The grant program regulations.
c. This award notice including terms and conditions, if any, noted below under REMARKS.
d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS (Other Terms and Conditions Attached - ● Yes ○ No)
All the funds are restricted pending a revised budget and revised workplan

GRANTS MANAGEMENT OFFICIAL:
[redacted]
7th and D Street, SW
Washington DC , DC 20407
[redacted]

17.OBJ CLASS 4102	18a. VENDOR CODE 041679980	18b. EIN 041679980	19. DUNS 001423631	20. CONG. DIST. 07
FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
21. a. U02L70020803	b. STESE00001A	c. ESE1	d. $3,600,000.00	e.
22. a.	b.	c.	d.	e.
23. a.	b.	c.	d.	e.

Federal Financial Report Cycle			
Reporting Period Start Date	Reporting Period End Date	Reporting Type	Reporting Period Due Date
01/01/2022	03/31/2022	Quarterly	04/30/2022
04/01/2022	06/30/2022	Quarterly	07/30/2022
07/01/2022	09/30/2022	Quarterly	10/30/2022
10/01/2022	12/31/2022	Quarterly	01/30/2023
01/01/2023	03/31/2023	Quarterly	04/30/2023
04/01/2023	06/30/2023	Quarterly	07/30/2023
07/01/2023	09/30/2023	Quarterly	10/30/2023
10/01/2023	12/31/2023	Quarterly	01/30/2024
01/01/2024	03/31/2024	Quarterly	04/30/2024
04/01/2024	06/30/2024	Quarterly	07/30/2024
07/01/2024	09/30/2024	Quarterly	10/30/2024
10/01/2024	12/31/2024	Quarterly	01/30/2025
01/01/2025	03/31/2025	Quarterly	04/30/2025
04/01/2025	06/30/2025	Quarterly	07/30/2025
07/01/2025	09/30/2025	Quarterly	10/30/2025
10/01/2025	12/31/2025	Quarterly	01/30/2026
01/01/2026	03/31/2026	Quarterly	04/30/2026
04/01/2026	06/30/2026	Quarterly	07/30/2026
07/01/2026	09/30/2026	Quarterly	10/30/2026
10/01/2026	12/31/2026	Quarterly	01/30/2027
01/01/2027	03/31/2027	Quarterly	04/30/2027
04/01/2027	06/30/2027	Quarterly	07/30/2027
07/01/2027	09/30/2027	Quarterly	10/30/2027
10/01/2027	12/31/2027	Quarterly	01/30/2028
01/01/2028	03/31/2028	Quarterly	04/30/2028
04/01/2028	06/30/2028	Quarterly	07/30/2028
07/01/2028	09/30/2028	Quarterly	10/30/2028
10/01/2028	12/31/2028	Quarterly	01/30/2029
01/01/2029	03/31/2029	Quarterly	04/30/2029
04/01/2029	06/30/2029	Quarterly	07/30/2029
07/01/2029	09/30/2029	Quarterly	10/30/2029
10/01/2029	12/31/2029	Quarterly	01/30/2030
01/01/2030	03/31/2030	Quarterly	04/30/2030
04/01/2030	06/30/2030	Quarterly	07/30/2030
07/01/2030	09/30/2030	Quarterly	10/30/2030
10/01/2030	12/31/2030	Quarterly	01/30/2031
01/01/2031	03/31/2031	Quarterly	04/30/2031
04/01/2031	06/30/2031	Final	09/28/2031

AWARD ATTACHMENTS

Northeastern University 22STESE00001-01-00

1. FINAL_AWARD_ESE_LETTER
2. FINAL_2021 COE TERMS AND CONDITIONS
3. FY 2021 DHS Standard Terms and Conditions Version 11.4 Dated February 17 2021
4. INTRO TO GMM

U.S. Department of Homeland Security
Washington, DC 20528

Homeland Security

November 1, 2021

Electrical & Computer Eng.
College of Engineering
Attn: [redacted]
360 Huntington Avenue, 540-177
Boston, Mass 02115-5005

Re: Grant Number# 22STESE00001-01-00, (Award Amount $3,600,000- restricted)

Dear [redacted]

Thank you for your application in response to the Department of Homeland Security's Notice of Funding Opportunity (NOFO), DHS-21-ST-061-ESE-001." The amount of this award is $3,600,000 (three million six hundred thousand) dollars. The entire amount is restricted until an amendment is issued lifting the restrictions. The funds are restricted pending a revised budget and revised workplan.

The Department of Homeland Security's Grants and Financial Assistance Division (GFAD) utilizes the Payment Management system and the GrantSolutions grants management system to manage all financial assistance awards. Please see below for important information regarding account establishment and navigating the system.

Payment Management (PMS)

Payment of funds for this award will be made through the Department of Health and Human Services (DHHS) Payment Management System (PMS). PMS is a full service central payment and cash management system. I encourage immediate completion of the required PMS forms. You will not receive payment for any work performed on this grant until these forms are properly submitted to PMS and an account has been established. **If your organization has never received grant funds from my office**, the Direct Deposit Sign-up Form (SF1199A) and the PMS Access Form must be completed, scanned, and returned to PMS via email. These forms, along with instructions may be found at: https://pms.psc.gov/grant-recipients/access-newuser.html . When completing the SF1199A form, Section 2 should contain the following information: Department of Homeland Security, 245 Murray Lane, SW, Washington, DC 20528-0115. **If you have received grant funds through my office in the past**, you will not be required to submit these forms. However, do contact me to verify your account information prior to accessing funds.

GrantSolutions.gov

GrantSolutions is an online Federal grant management system. It provides a venue for the Department of Homeland Security (OPO/GFAD) to work with you, the grantee, to manage your grant. GrantSolutions is a web-based system, therefore you can access information about your grant anywhere you have Internet access. The benefits of this system are:

- Better services to grantees through improved internal coordination of activities;
- Grantees will be better able to manage projects because they will have more access to information held by the Federal government; and
- A more uniform way of processing grants for both grantors and grantees. Please note, that if your organization has grants with other Federal Departments or Agencies that use GrantSolutions, then you may also have access to these grants within your grant portfolio when you login to GrantSolutions.

All grantees will be able to access their grant portfolio, submit continuation applications, submit financial status reports, access grant related correspondence, and request amendments through GrantSolutions.

Grantee User Accounts

All users within the GrantSolutions system must have an account established. Please see the following link to access the Grantee User Account form: https://www.grantsolutions.gov/support/registration.html Accounts should be established for the Program Director and Authorizing Official at your organization as well as any other users who require access and notifications of award activity. All Grantee User Account forms should be submitted directly to the GrantSolutions Help Desk at help@grantsolutions.gov

GrantSolutions System Navigation

To help your organization become familiar with the GrantSolutions system, please share the following training link and attached Grantee User Guide with all relevant staff at your organization:

GranteeRecorded Webinar Link = http://hhs.adobeconnect.com/pr6yl3dk8fqu/

If you have questions concerning this award, please contact me at [redacted] or via e-mail at [redacted]

Congratulations on your success. I look forward to working with you in the coming year.

Sincerely,

[redacted]

Grants Officer
Grants and Financial Assistance Division (GFAD)
Office of Procurement Operations
Office of the Chief Procurement Officer

Enclosures

cc (via email): DHS Program Officer; [redacted]

CENTER OF EXCELLENCE (COE)
COOPERATIVE AGREEMENT TERMS AND CONDITIONS
GRANTS AND FINANCIAL ASSISTANCE DIVISION (GFAD)

In addition to the **DHS Standard Terms and Conditions** as outlined here: http://www.dhs.gov/publication/fy15-dhs-standard-terms-and-conditions , the following Terms and Conditions apply specifically to this award as administered by the Grants and Financial Assistance Division (GFAD):

ARTICLE I. ADMINISTRATIVE TERMS AND CONDITIONS

A. RESEARCH PROJECT AND MANAGEMENT AWARD SPECIFIC TERMS AND CONDITIONS AND/OR RESTRICTIONS

1. Recipient shall submit all projects and programs funded under this Award to DHS for review and approval.

2. Recipient shall compete fully and fairly, to the maximum extent practicable, all projects funded under this Award unless DHS has provided written approval otherwise.

3. Recipient shall submit annual work plans for the activities for this Award to DHS for review and approval ahead of the next budget period, including individual recipient activities or projects. Modifications to any project or program funded under this award should be submitted to DHS for review and approval before initiating new work.

a. Annual work plans must provide information on the overall activities of the Center. The work plan shall include:

i. Summary of the Center's strategic vision and activities;

ii. Summary of Center communication and transition activities;

iii. Summary of Center management efforts including management decision making apparatus and review process to monitor project progress;

iv. Detailed descriptions on each Center project (including sub-recipient projects) to include:

o Abstract (objectives, outcomes, value proposition)

o Objective/Purpose

o Baseline

o Methodology

o Project milestones

o Performance metrics used to evaluate progress & assessments of current concept of operations and baselines/state of the art in use

o Transition plans to include development steps, intellectual property management plans, & market specific considerations

o Stakeholder engagement

o Potential programmatic risks to completion; and,

o Project outcomes and outputs, including information on how project outcomes will advance or impact current policies, procedures, technologies or capabilities.

v. Budget information categorized by both object class and project, including budget justification. DHS requires Centers to submit a budget that maps to the key competencies and activities necessary for a Center to deliver useful technologies and knowledge products to the Department. The competency areas also align to the criteria DHS utilizes to evaluate its Centers of Excellence Program. Centers should allocate resources in the following categories: Administration & Execution, Research & Development, Education & Training, Customer Outreach & Communication, and Transition. The following categories should be included in the budget request. Centers should work with PM's to identify minimum expenditures in each category necessary to address Biennial Evaluation Criteria:

1. Administration and Execution (labor)
   a. Director
   b. Executive Director
   c. Professional Project Management Staff & Financial Staff
   d. Travel to sub-contractor sites

2. Research and Development
   a. Principal Investigator & supporting investigators (labor)
   b. Data acquisition (licenses, fees, etc.)
   c. Materials
   d. Supplies
   e. Equipment
   f. Facilities
   g. Project travel (consistent with iv. Customer outreach)

3. Education and Training
   a. Staff (labor)
   b. Scholarships
   c. Fellowships
   d. Internships
   e. Workforce development classes/webinars/seminars
   f. Course & curriculum development (labor)
   g. Summer workshops (labor, facilities, materials)
   h. MSI program support (labor)

4. Customer Outreach and Communication
   a. Professional Strategic Communications Expert (labor)
   b. Communications support staff (labor)
   c. Travel for all Center functions to DHS customers including project level travel
   d. Communication services, products, materials
   e. Annual meeting and outreach events – not including travel (technical and customer engagements)

5. Transition

a. Technology development professional (labor)
b. IP due diligence costs (labor legal)
c. Business planning evaluations – financial modeling to support stage gate decisions (labor business)
d. IP submission costs e.g. trademark, copyright expenses
e. Market assessments (labor)
f. Licensing costs for background IP
g. Initial operations and maintenance costs (vendor services)
h. Unit testing and evaluation – (labor , facilities, supplies/equipment/materials)
i. Concept or technology integration costs (in customer environments or to meet final customer requirements, e.g. FISMA accreditation)

4. Recipient shall organize and participate in technical reviews of the research and education efforts funded under this Award annually, at a minimum, or as determined by the DHS Program Officer.

5. Recipient shall participate in a DHS managed, biennial review of the Center's progress against milestones, scientific quality, and commitment from the end user for the activities funded under this Award. The DHS Program Officer will select a review panel of subject matter experts representing government, industry and academia, to the extent practicable.

6. Recipient shall participate in at least two DHS Science and Technology (S&T) outreach events per year for the purposes of sharing information on the research, development, and education efforts funded under this Award.

7. Recipient agrees to work with the technology transfer office of recipient's institution to engage in technology transfer and commercialization activities, as appropriate.

8. DHS has an interest in publications generated from DHS-funded research for program awareness. The Recipient shall include in progress reports a list of publications produced under this Award during the relevant budget period to the DHS Program Officer. DHS encourages Recipients to keep the DHS Program Officer informed about the anticipated release of significant publications. Please refer to Article II, Section L, for information on Enhancing Public Access to Publications.

9. Co-Authoring of Reports and Articles. Papers, presentations, or other documents co-authored by a DHS employee and a COE researcher will be subject to DHS's publications approval process prior to dissemination of the publication by the authors. Recipient shall submit these publications to the DHS author for DHS clearance at least sixty (60) days prior to dissemination of the publication. Recipient agrees to submit all required DHS clearances with the publication materials to the DHS Program Officer of Record.

10. Data Acquisition and Management Plan

a. Within thirty (30) days of initiating work on any research project that requires access to third party data, including data provided by DHS Component agencies, the Recipient must provide a plan for acquiring data as described in (b) below. The Recipient shall coordinate review of the plan with the University Privacy Officer prior to submission to DHS. The Recipient shall submit its plan to the DHS Program Officer for review and comment within thirty (30) days of initiating research. DHS will review the plan and notify the Recipient of any concerns that may be identified. The Recipient shall review the Data Acquisition and Management Plans at least annually and identify or update, as necessary, any new areas of research that require access to third party data.

b. The plan must include the following information for each project (See 11d for data definitions):

i. The purpose for collecting the data and characteristics of the data. If the data is deemed privacy sensitive, the Recipient must comply with the applicable federal, state, and local privacy laws, as well as DHS and university/research institute policies regarding the collection and use of personally-identifiable information (PII).
ii. The uses of the data.
iii. A written commitment from the data's owner(s) to provide the Recipient the required data and the conditions under which the data will be provided.
iv. A plan for the disposal or retention of the data after the research ends.

c. Flowdown Requirements: The Recipient shall include the substance of this section in all sub-awards/contracts at any tier where the sub-Recipient may use, generate or have access to government facilities and sensitive or classified information.

11. Information Protection Plan: The Parties agree that all research conducted under this Award is intended to have publicly releasable results. Accordingly, no research under this Award should involve, use, or generate sensitive information, which includes PII, and/or classified information (see Item d of this section for Definitions). As a condition of access to this Center of Excellence, DHS agrees not to provide the Recipient any data or information that is sensitive or classified, i.e., information or data that would not be released completely in response to a request under the Freedom of Information Act, 5 U.S.C. § 552. Should the Recipient receive any data or information from DHS that the Recipient has reason to believe may be sensitive or classified, within 24 hours, the Recipient shall (1) notify the DHS Grants Management Specialist named in the award documents; (2) shall send such data or information to the Grants Management Specialist, unless otherwise directed by DHS; (3) shall erase or otherwise destroy any vestige of such data or information in its records and computer systems; and (4) shall notify the Grants Management Specialist of the means and time of such destruction.

In order to ensure research under this Award does not involve, use, or generate sensitive or classified information, intentionally or accidentally, Recipient shall develop an Information Protection Plan that incorporates policies and procedures that properly define, recognize, and protect such sensitive or classified information. Recipient will submit its plan to the DHS Program Officer for review and comment within thirty (30) days of award. The Recipient will be notified of any concerns that may be identified once the plan is reviewed by DHS. The recipient will review the Information Protection Plan at least annually and update as necessary for new or existing areas of research that may involve sensitive information. Recipient will submit any updates to the Information Protection Plans along with annual reports to the DHS Program Officer for review and comment.

a. Recipient further understands and agrees that despite the best efforts of the Parties to avoid research under this Award that involves, uses, or generates sensitive or classified information, the possibility exists that such information could nonetheless be involved, used or generated and be subject to protection by law, executive order, regulation or applicable DHS policies. The Recipient is, therefore, responsible for compliance with all applicable laws, regulations and policies. Nothing in this Award shall be construed to permit any public disclosure of sensitive and/or classified information in violation of these restrictions.

b. The Information Protection Plan will ensure the Recipient identifies, secures, and prohibits public disclosure of "sensitive or classified information." Recipient maintains responsibility for their due diligence in identifying and properly marking any information governed by U.S. export controls regulations. For further information on applicable export controls, please see Article II, Section H of this award.

c. Required Notifications to DHS:

i. If Recipient determines that research under this Award involved, used, or generated sensitive or classified information, it agrees to secure the information in accordance with its Information Protection Plan and notify the DHS Program Officer immediately.

ii. The Recipient shall inform the DHS Program Officer in writing within 24 hours of the Recipient becoming aware of any potential security lapses involving either: the handling requirements for sensitive or classified information; or material failure of individuals to follow the Information Protection Plan.

d. Flowdown Requirements: The Recipient shall include the substance of this section in all sub-awards/contracts at any tier where the sub-Recipient may use, generate or have access to government facilities and sensitive or classified information.

e. Definitions: For purposes of this section.

i. 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:

o 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 Officer or his/her designee);

o 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

o Personally-Identifiable Information (PII). Any information that permits the identity of an individual to be directly or indirectly inferred, including any information that is linked or linkable to that individual, regardless of whether the individual is a U.S. citizen, legal permanent resident, visitor to the U.S., or employee or contractor to the Department.

o Sensitive PII is PII which if lost, compromised, or disclosed without authorization, could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual.

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

12. Information Technology Security

a. As a condition of access to this Center of Excellence, DHS agrees not to provide the Recipient any data or information that is sensitive or i.e., information or data that would not be released completely in response to a request under the Freedom of Information Act, 5 U.S.C. § 552. Should the Recipient receive any data or information from DHS that the Recipient has reason to believe may be sensitive or classified, within 24 hours, the Recipient shall (1) notify the DHS Grants Management Specialist named in the award documents; (2) shall send such data or information to the Grants Management Specialist, unless otherwise directed by DHS; (3) shall erase or otherwise destroy any vestige of such data or information in its records and computer systems; and (4) shall notify the Grants Management Specialist of the means and time of such destruction.

13. Foreign Participation Reporting Instructions

The admittance of foreign detailees, scientists, and students into DHS sponsored/funded academic and other programs may result in continuous exposure of DHS information, personnel, IT systems, technologies, facilities, resources, and programs by non-U.S. citizens. In order to mitigate this potential security risk, DHS Management Policy 121-08 stipulates all foreign detailees, scientist, professors, principle investigators, and student nominees involved in long-term (greater than 30 days) DHS sponsored/funded academic or other DHS programs must submit a DHS Form 11055 to the DHS Office of Chief Security Officer. The University is required to ensure all foreign investigators and students working on DHS sponsored/funded research or receiving tuition or travel support of any kind through this award, complete DHS Form 11055, to report all foreign national students/teaching assistants. Within the Form, Section I (Foreign National Information), Section II (Foreign National Information -Passport/Visa), and Section III (Foreign National Information (Employer Information) must be completed. Sponsor information will be completed internally at S&T.

Please complete, save and return Form 1105 by email to: Rebecca.Medina@hq.dhs.gov. Do Not Use the "Submit" button on the form. Form 11055 shall be submitted within 30 days of the end of the budget period for the upcoming annual workplan. For individual engagements with Foreign Nations, the Recipient will submit Form 11055 at least 30-days prior to the activity in which the foreign nationals participate. Please indicate your Center of Excellence affiliation and position title in the email.

14. Intellectual Property Management

a. It is vitally important that both Parties understand their respective intellectual property rights and applicable obligations under this Award.

b. Recipients should refer to both 2 CFR § 215 "Uniform Administrative Requirement for Grants and Agreements with Institutions for Higher Education, Hospitals" and 37 CFR § 401 "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements" for a complete summary of their rights and responsibilities.

c. Flowdown Requirements: The Recipient shall include the substance of this section in all sub-awards/contracts at any tier where the sub-Recipient may use, generate or have access to government facilities and sensitive or classified information.

d. Definitions: Please refer to Article II. Section J.

15. Research Safety Plan

a. DHS COE research addresses issues of importance to intelligence and counter-terrorism agencies, law enforcement, or emergency responders, all of which involve inherent risks. To ensure that researchers and research facilities funded through this Award meet the highest safety standards possible, DHS requires every Recipient of a COE award to develop a Research Safety Plan. The Recipient shall review the Research Safety Plan at least annually and identify or update, as necessary, any new areas of research or sub-recipients conducting research activities under this plan. This review will also ensure that all sub-recipients conducting research covered by this plan have developed and implemented appropriate safety plans and periodic safety training in accordance with their institutional policies and procedures. Recipient will submit any updates to the Research Safety Plan to the DHS Program Officer for review and comment.

b. The Research Safety Plan must include, at a minimum, the following:

i. Identification of possible research hazards associated with the types of research to be conducted under this Award;

ii. Research protocols or practices that conform to generally accepted safety principles applicable to the nature of the research;

iii. The Recipient's processes and procedures to ensure compliance with the applicable protocols and standards;

iv. The Recipient's processes and procedures to ensure the prevention of unauthorized activities conducted in association with this Award;

v. Faculty oversight of student researchers;

vi. Research safety education and training to develop a culture of safety;

vii. Access control, where applicable;

viii. Independent review by subject matter experts of the safety protocols and practices; and

ix. Demonstrated adherence to all safety-related terms and conditions contained elsewhere in this Award.

c. Flowdown Requirements: The Recipient shall include the substance of this section in all sub-awards/contracts at any tier where the sub-Recipient may conduct research where safety protocols are necessary to conduct safe research.

16. Public Communication: The Recipient shall update all required project information for entry into a DHS project database. Posting and updating Center and project level information is a condition for receiving further annual funding increments. Project updates follow pre-determined categories of information that must be populated at least annually.

17. <u>COE Science and Engineering Workforce Development:</u>

Should the COE work with DHS through this initiative, the recipient shall follow the below terms and conditions:

a. DHS must ensure that U.S. citizens are trained in homeland security-related science and engineering disciplines in order to maintain U.S. leadership in science and technology, as required by the Homeland Security Act of 2002. Only U.S. citizens can work with federal, state and local agencies in the agencies' secure offices and operating environments and can obtain security clearances and access to sensitive information needed to conduct research into homeland security issues.

b. Under this initiative, each COE may use COE Science and Engineering Workforce Development tuition assistance and stipends to support U.S. students studying the topics of and working on homeland security research projects of their COEs.

Ninety-two percent (92%) of funds must go directly to support undergraduates, graduates, or a combination of undergraduate and graduate, students who are U.S. citizens working in the recipient COE's research area.

c. All students supported by COE Workforce Development funds shall report directly to COE faculty or staff and shall work primarily on COE projects. Student participation in COE activities must take precedence to other research or employment for students to be eligible for COE support. COE activities include but are not limited to the following: supporting COE management activities, working on COE research projects, teaching, and experiential learning related to COE research topics.

d. Grants may be used to complement existing funding sources for students that are selected as participants but may not supplant or be used in lieu of other COE funds. DHS expects a net increase in the number of students supported in COE programs funded through this section. These funds must be awarded only to newly supported students.

e. All COEs working with DHS on this initiative must develop and submit a Workforce Development work plan to DHS Program Manager for review and approval ahead of the next budget period, including individual recipient activities or projects. Modifications to any project or program funded under this award should be submitted to DHS for review and approval before initiating new work.

The work plan shall include:

i. A description of the COE's established or proposed science and engineering research and coursework including how research experiences will be incorporated into the program.

ii. Details of an application and award process for selecting recipients. This process must include input from external subject matter experts (SMEs). Qualified students must meet the following minimum standards:

1. Must be U.S. citizens.
2. Must currently be in good academic standing and maintain good academic standing for the duration of participation in the program.
3. Must major in science and engineering-related discipline associated with the COE research areas. These funds may not be used to support the completion of professional degrees (law school, medical school, etc.)
4. NOTE: Many positions in the homeland security field require a background check. Therefore, the student selection process and program experiences should include plans to address these requirements.
5. A commitment to facilitate student attendance at a professional conference within a science and engineering-related field of study.
6. A description of how the COE will assign qualified academic mentors for each recipient from the student's field of study.
7. A plan to make awards within one year of receipt of funds. Recipient institutions must award tuition assistance and stipends to students attending COE-affiliated institutions and working on COE research, development or technology transition projects. The students must be supported for up to 2 years for undergraduates and 3 years for graduate students or for the duration of their studies whichever is less. COEs may adjust this amount to account for other monetary awards to individual students.

8. For undergraduates, awards shall cover up to 100% but not less than 50% of tuition and mandatory fees (or equivalent), plus a stipend of no more than $1,200 per month for twelve months. Stipends can be less than $1,200 per month if appropriate for the geographic region or if paid summer internships can be secured.

9. For graduate students, awards shall cover up to 100% but not less than 50% of tuition and mandatory fees (or equivalent), plus a stipend of no more than $2,700 per month for twelve months. Stipends can be less than $2,700 per month if appropriate for the geographic region or if paid internships can be secured.

iii. A plan for identifying and placing students in the two required ten week internships that complement DHS COE approved research or are operational venues that work in the COE field of study. Internships should take place away from the student's home institution. Students must receive a stipend and travel/lodging support to an internship location during summer months for 2 summers if paid internships cannot be secured. Funds budgeted for stipends during summer months may be re-budgeted if paid internships are secured.

iv. Details of a strategy to ensure supported students proactively seek and obtain paid employment within the Homeland Security Enterprise (DHS, federal/state/local government, etc.) for at least one year after graduation.

1. Employment requirement will be waived for those entering the military/military school, or with a commitment to teach Science and Engineering at the elementary or secondary level.
2. Undergraduate students will be allowed a deferment of the one-year service requirement if they have been accepted into a Science and Engineering related graduate program. Include a plan for managing and tracking this type of deferment.

v. An approach to evaluating student success

vi. A plan to monitor the activity of individual students to assure compliance with program requirements; develop a mitigation strategy; and establish procedures to ensure funds are used appropriately.

vii. A plan to monitor student's homeland security employment placement for up to six years after graduation from the program.

B. DHS PROGRAMMATIC INVOLVEMENT

In addition to the usual monitoring and technical assistance, the following identifies DHS responsibilities under this Award:

1. DHS shall determine if a kickoff meeting is required for proposed projects or proposed continuations of existing projects. DHS shall coordinate with appropriate DHS staff, Center staff and Center researchers prior to project initiation.

2. DHS shall approve or disapprove annual work plans and any modifications to the work plans for this Award (See Article 1, A.).

3. DHS shall conduct ongoing monitoring of the activities of Recipient's workplan and activities funded through this Award through face-to-face and/or telephone meetings and review of progress reports.

4. DHS shall coordinate biennial reviews in cooperation with the Recipient during the Project Period to provide guidance on how the research and education programs need to evolve to align with the needs of the Homeland Security Enterprise consistent with the COE mission. The biennial review evaluates the Center's long-term strategy, relevance of the research and education to DHS mission needs and technology gaps, stakeholder engagement, research quality, outreach efforts and management of the activities funded under this Award. The DHS Program Officer will select a review panel of subject matter experts representing government, industry and academia for the biennial review.

5. DHS coordination with the Recipient 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; and

   c. Creating awareness and visibility for this program.

6. DHS may modify this Award to support additional research projects funded by DHS or other sources provided that these projects meet three conditions:
   a. Are research for a public purpose that addresses homeland security research priorities;
   b. Fall within scope of the grant or cooperative agreement; and
   c. Conform to federal assistance agreements (grant and cooperative agreement) guidelines.

7. DHS employees may co-author publications with COE researchers. Any publication co-authored by DHS staff will be subject to DHS's publications approval process prior to dissemination of the publication as required under Item 9, in Section A.

8. DHS shall review and provide comments on the Recipient's Information Protection Plan as required under Item 11 in Section A.

9. DHS shall review and provide comments on the Recipient's Research Safety Plan as required under Item 14 in Section A.

10. DHS may create a Board of Directors that provides guidance and direction to the DHS Program Officer regarding the Recipient's research plan.

11. DHS may invite subject matter experts, end users, or stakeholders to assist in evaluating the Center's annual workplan, annual meetings, or other events for the purpose of reviewing project quality and/or providing relevant operational perspectives.

12. DHS shall facilitate initial engagement with Homeland Security Enterprise stakeholders, but recipient is expected to maintain ongoing engagement for research areas of interest to the stakeholders.

C. AMENDMENTS AND REVISIONS

1. Budget Revisions.

a. The Recipient shall obtain prior written approval from the DHS Grants Officer for transfers of funds between direct cost categories in the approved budget, when such cumulative transfers among those direct cost categories exceed ten percent of the total approved budget.

b. The Recipient shall obtain prior written approval from the DHS Grants Officer for any budget revision that would result in the need for additional resources/funds.

c. The Recipient is not authorized at any time to transfer amounts budgeted for direct costs to the indirect costs line item or vice versa, without prior written approval of the DHS Grants Officer.

2. Extension Request.

a. Extensions to the Period of Performance can only be authorized in writing by the DHS Grants Officer.

b. The extension request shall be submitted to the DHS Grants Officer sixty (60) days prior to the expiration date of the performance period.

c. Requests for time extensions to the Period of Performance will be considered, but will not be granted automatically, and must be supported by adequate justification to be processed. The justification is a written explanation of the reason or reasons for the delay; an outline of remaining resources/funds available to support the extended Period of Performance; and a description of performance measures necessary to complete the project. Without performance and financial status reports current and justification submitted, extension requests shall not be processed.

d. DHS has no obligation to provide additional resources/funding as a result of an extension.

D. EQUIPMENT

1. 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.

2. For equipment purchased with Award funds having a $5,000 or more per unit cost, the Recipient shall submit an inventory that will include a description of the property; manufacturer model number, serial number or other identification number; the source of property; name on title; acquisition date; and cost of the unit; the address of use; operational condition of the property; and, disposition data, if applicable. This report will be due with the Final Progress Report 120 days after the expiration of the project period, and shall be submitted via GrantSolutions using the help/support guidance found here: https://www.grantsolutions.gov/support/pfd/GrantRecipientProcessPerformanceProgressReport.pdf

E. FINANCIAL REPORTS

1. Annual Federal Financial Reports. The Recipient shall submit a Federal Financial Report (SF-425) into the GrantSolutions system no later than thirty (30) days after the end of the budget period end date. The report shall be submitted via GrantSolutions using the FFR submission guidance found here: https://www.grantsolutions.gov/support/granteeUsers.html.

2. Final Federal Financial Report. The Recipient shall submit the final Federal Financial Report (SF-425) into the GrantSolutions system no later than 120 days after the end of the reporting period end date. The report shall be submitted via GrantSolutions using the FFR submission guidance found here: https://www.grantsolutions.gov/support/granteeUsers.html.

3. Quarterly Federal Financial Reports (Cash Transaction). The Recipient shall submit the Federal Financial Report (SF-425) Cash Transaction Report to the Department of Health and Human Services, Payment Management System. Quarterly Cash Transaction reports shall be submitted no later than 1/30, 4/30, 7/30, and 10/30.

F. PAYMENT

The Recipient shall be paid in advance using the U.S. Department of Health and Human Services/Payment Management System, provided it maintains or demonstrates the willingness and ability to maintain written procedures to minimize the time elapsing between the transfer of the funds from the DHS and expenditure disbursement by the Recipient. When these requirements are not met, the Recipient will be required to be on a reimbursement for costs incurred method.

Any overpayment of funds must be coordinated with the U.S. Department of Health and Human Services/Payment Management System.

G. PERFORMANCE REPORTS

1. Annual Performance Reports. The Recipient shall submit semi-annual performance reports into the GrantSolutions system for review and acceptance by DHS as a condition for receiving further annual funding increments. Semi-Annual performance reports are due six (6) months after the start of each budget year (July 1) and no later than sixty (60) days after the end of the Center's budget period of each year. Annual reports must provide a summary of the activities conducted during the prior budget year. The report shall be submitted via www.GrantSolutions.gov using the performance reporting feature and submission guidance found here: https://www.grantsolutions.gov/support/granteeUsers.html

a. Performance reports must provide information on the overall progress of the Center based on the activities discussed in the corresponding work plan. These reports should map work plan activites (activities planned) to those activities performed during the year to include:

i. Summary reports on the Center's strategic vision and support justification

ii. Summary of Center communication and transition activities;

iii. Summary of Center management efforts including decision making apparatus;

iv. Performance reports on each Center Project should include:

- o Explanation of any changes from the initially approved workplan
- o Objective/Purpose
- o Baseline

o Methodology
o Project milestones
o Performance metrics used to evaluate progress & assessments of current concept of operations and baselines/state of the art in use
o Transition plans to include development steps, intellectual property management plans, & market specific considerations
o Stakeholder engagement
o Potential programmatic risks to completion; and,
o Progress against each milestone outcomes and outputs and explanation of why any items were not reached
o Unanticipated problems and plans for addressing them; and
o Information supported by data on how project outcomes will advance or impact current technologies or capabilities.

v. Budget information (narrative and figures) categorized by both object class and project as described in Article I, A, item 3.v.
vi. If applicable, include a certification that no patentable inventions were created during the budget period.
vii. Updates to the Center's Information Protection Plan and Researcher Safety Plan as needed.

b. If the performance report contains any information that is deemed proprietary, the Recipient will denote the beginning and ending of such information with the following heading:
******PROPRIETARY INFORMATION******

2. <u>Annual COE Science and Engineering Workforce Development Report</u>. COEs working with DHS through the COE science and engineering workforce development initiative will submit a separate Science and Engineering Workforce Development Annual Performance Report to the DHS Grants Officer.

a. The report shall compare actual accomplishments to the approved project objectives and shall include:

i. A program overview section on the goals, objectives and accomplishments to date; total number of students supported; total number of students graduated; total number of students still enrolled; number of graduate students supported; number of undergraduate students supported; total number of students currently employed full time in a Homeland Security related position

ii. A student report for each supported student including: student name; current status of student (graduated/enrolled); degree (masters, bachelors, PhD); major; dates of funding; total funding amount; description of complete internship/research experiences; workshops/conference attended; publications, presentations, poster sessions; other relevant accomplishments/success stories; copy of student resume.

3. Final Performance Report. The Recipient shall submit the Final COE Performance Report into the GrantSolutions system no later than 120 days after the expiration of the Project Period (See Section H). The report shall be submitted via GrantSolutions using the Grant Note submission guidance found here: https://www.grantsolutions.gov/support/pdf/GrantRecipientProcessPerformanceProgessReport.pdf.

a. The Final COE Performance Report shall include:

i. An executive summary and final summary abstracts for each sub-project across all years of the period of performance.

ii. Address the areas identified above in the annual report section.

4. The Final COE Science and Engineering Workforce Development Performance Report. COEs working with DHS through the COE science and engineering workforce development initiative will submit final reports within ninety (90) days after the expiration date of the performance period of this initiative to the DHS Grants Officer.

a. The Final COE Science and Engineering Workforce Development Performance Report shall include:

i. Post completion employment plans for each student scholar/fellow or an explanation for student leaving the program.

ii. Summary of research accomplishments and contributions, post-award activity and post-graduation placement, new skills or knowledge acquired

H. PERIOD OF PERFORMANCE

The Period of Performance is the Project Period approved for the supported activity and is comprised of one or more Budget Periods as reflected on the Notice of Award cover page.

1. Project Period. The Project Period is reflected in the Notice of Award, block 5 and the current budget period in block 7. All COEs' annual performance periods shall run from July 1 to June 30 of the following year. An exception is made for the first performance period, which will run from the date of award to June 30 of the following year. Subsequent years' funding is contingent on acceptable performance, as determined by the Department of Homeland Security's (DHS's), acceptance and approval of each non-competing continuation application, and the availability of the next year's annual DHS appropriations. The Recipient shall only incur costs or obligate funds within the Project Period for approved activities.

2. Budget Period. The Budget Period shall be for a period of 12 months, from July 1, through June 30 of the following year.

a. Additional funding will be provided for subsequent Budget Periods of the project, contingent on all of the following:

i. Acceptable performance of the project as determined by the DHS under this Award;

ii. Acceptance and approval by the DHS of each noncompeting continuation application;

iii. Acceptance and approval by the DHS of each previous Annual Performance Report and

iv. Subject to the availability of appropriated funds.

3. Non-Competing Continuation Requirements.

a. Ninety (90) days prior to the expiration date of each budget period, the Grants Officer will request submission of the annual incremental funding request details via www.GrantSolutions.gov. The Recipient shall submit a non-competing continuation application to request the next Budget Period's incremental funding and a separate request for any possible carryover of prior year funds.

The non-competing continuation application shall include:

i. An annual project work plan as described in Article A, Item 3

ii. Carryover of Funds. Recipients are required to submit a separate Carryover Application for the unobligated balances remaining from funds awarded in one budget period to be carried over to the next succeeding budget period. This submission is due to the DHS Grants Officer and DHS Program Manager 90 days prior to budget period expiration (e.g., March 31) and is a best estimate at the budget period expiration from the recipient (lead university and all sub-recipients). The Program Officer will review the Carryover justification, in consultation with the DHS Grants Officer, and provide input to the Grants Officer that the justification is reasonable and the carryover funds should be used to complete any objectives which remain unmet from the prior budget period. Requests for carryover of funds from one Budget Period to the next Budget Period shall be submitted separately via email to the DHS Grants Officer with an SF 424 (R&R) face page and shall include:

1. A brief description of the projects or activities and milestones to be carried forward,
2. The amount of funds to be carried over,
3. The reason the projects or activities were not completed in accordance with the project timeline, and
4. The impact on any future funding for the projects or activities.

iii. The DHS Program Officer will review the continuation application submission and provide input to the Grants Officer as to whether the Continuation Application is consistent with the approved work plan.

iv. COE Science and Engineering Workforce Development annual workplan and budget justification: COEs retain the ability to balance financial support as appropriate if students have or will receive other sources of funding. Should the COE work with DHS through this initiative, the recipient will submit an annual workplan described in Article 1, A, Item 16.

I. PRIOR APPROVAL REQUIRED

The Recipient shall not, without the prior written approval of the DHS, request reimbursement, incur costs or obligate funds for any purpose pertaining to the operation of the project, program, or activities prior to the approved Budget Period.

ARTICLE II. GENERAL TERMS AND CONDITIONS

A. ACCESS AND RETENTION TO RECORDS

The Recipient shall retain financial records, supporting documents, statistical records, and all other records pertinent to this Award for a period of three (3) years from the date of submission of the final expenditure report. The only exceptions to the aforementioned record retention requirements are the following:

1. If any litigation, dispute, or audit is started before the expiration of the 3-year period, the records shall be retained until all litigation, dispute or audit findings involving the records have been resolved and final action taken.
2. Records for real property and equipment acquired with federal funds shall be retained for 3-years after final disposition.
3. The DHS Grants Officer may direct the Recipient to transfer certain records to DHS custody when he or she determines that the records possess long term retention value. However, in order to avoid duplicate recordkeeping, the DHS Grants Officer may make arrangements for the Recipient to retain any records that are continuously needed for joint use.

DHS, the Inspector General, Comptroller General of the United States, or any of their duly authorized representatives, have the right of timely and unrestricted access to any books, documents, papers, or other records of the Recipient that are pertinent to this Award, in order to make audits, examinations, excerpts, transcripts and copies of such documents. This right also includes timely and reasonable access to Recipient's personnel for the purpose of interview and discussion related to such documents. The rights of access in this award term are not limited to the required retention period, but shall last as long as records are retained.

With respect to sub-recipients, DHS shall retain the right to conduct a financial review, require an audit, or otherwise ensure adequate accountability of organizations expending DHS funds. Recipient agrees to include in any sub-award made under this Agreement the requirements of this award term (Access to Records).

B. COMPLIANCE ASSURANCE PROGRAM OFFICE TERMS AND CONDITIONS

The Compliance Assurance Program Office (CAPO) is comprised of the DHS Treaty Compliance Office (TCO), Export Control Group (ECG), and the DHS Regulatory Compliance Office (RCO). The Compliance Assurance Program Manager (CAPM) is the DHS official responsible for overseeing CAPO and implementing procedures to ensure that the Recipient and any Recipient institutions/collaborators under this Award comply with international treaties, federal regulations, and DHS policies for Arms Control Agreements, Biosafety, Select Agent and Toxin Security, Animal Care and Use, the Protection of Human Subjects, Life Sciences Dual Use Research of Concern, and Export Controls.

CAPO collects and reviews relevant documentation pertaining to this Award on behalf of the CAPM. Additional guidance regarding the review process is provided in the following sections, along with contact information. This guidance applies to the Recipient and any/all Recipient institutions involved in the performance of work under this Award. The Recipient is responsible for ensuring that any/all Recipient institutions and collaborators comply with all requirements and submit relevant documentation, as outlined in sections C – G below, for work being performed under this Award.

C. TREATY COMPLIANCE FOR BIOLOGICAL AND CHEMICAL DEFENSE EFFORTS

The Recipient and any Recipient institution shall conduct all biological and chemical defense research, development, testing, evaluation, and acquisition projects in compliance with all arms control agreements of the U.S., including the Chemical Weapons Convention (CWC) and the Biological Weapons Convention (BWC). DHS Directive 041-01, Compliance With, and Implementation of, Arms Control Agreements, requires review of all such projects, including classified projects; projects involving biological and/or chemical agents, surrogates, or simulants; and non-laboratory activities related to biological and/or chemical agents (e.g., literature reviews, simulations, and/or modeling activities) to be systematically evaluated for compliance at inception, prior to funding approval, whenever there are any project changes, and whenever in the course of project execution an issue potentially raises a compliance concern.

1. Requirements for Initial Treaty Compliance Review. To ensure compliance with DHS Directive 041-01, for each biological and/or chemical defense-related effort (including non-laboratory activities related to biological and/or chemical agents) to be conducted under this Award, **the Recipient must submit the following documentation for compliance review and certification prior to funding approval**: a completed Treaty Compliance Form (TCF) and a Statement of Work.

2. Requirements for Ongoing Treaty Compliance Review. To ensure ongoing treaty compliance for approved biological and/or chemical defense-related efforts funded through this Award, **the Recipient must submit the following documentation for review and approval prior to any project modification and/or whenever in the course of project execution an issue potentially raises a compliance concern**: an updated Treaty Compliance Form and an updated Statement of Work detailing the proposed modification. The proposed project modification must receive written approval from CAPO prior to initiation. Examples of project modifications include – but are not limited to—the addition of agents, a change in performer, modifications to the scope of work, and changes to the technical approach.

The Recipient should contact the CAPO regarding treaty compliance issues at treatycompliance@hq.dhs.gov to: obtain the TCF, submit the completed Form, and/or request additional guidance regarding treaty compliance documentation and review requirements, as applicable to (1) new biological and/or chemical defense-related efforts, or (2) modifications to previously approved efforts. The CAPO will review all submitted materials and provide written confirmation of approval to the Recipient once the treaty compliance certification process is complete. **The Recipient and any Recipient institution shall not initiate any new activities, or execute modifications to approved activities, prior to receipt of this written confirmation.**

D. REGULATORY COMPLIANCE FOR BIOLOGICAL LABORATORY WORK

The Recipient and any Recipient institution shall conduct all biological laboratory work in compliance with applicable federal regulations; the latest edition of the CDC/NIH Biosafety in Microbiological and Biomedical Laboratories; DHS Directive 066-02, Rev 01, Biosafety; DHS Instruction 066-02-001, Biosafety; ; and any local institutional policies that may apply for Recipient institution facilities performing work under this Award. The CAPO will review the submitted Treaty Compliance Form (TCF) for planned work under this Award to determine the applicability of the requirements outlined in this section. **The Recipient must contact the CAPO at STregulatorycompliance@hq.dhs.gov for guidance on the requirements, and then submit all required documentation based on CAPO guidance, prior to the initiation of any biological laboratory work under this Award.**

1. Requirements for All Biological Laboratory Work. Biological laboratory work includes laboratory activities involving: (1) recombinant or synthetic nucleic acid molecules; (2) Biological Select Agents and Toxins or 'BSAT'; or (3) biological agents, toxins, or other biological materials that are not recombinant, synthetic, or BSAT. Each Recipient and any Recipient institution to be conducting biological laboratory work under this Award must submit copies of the following documentation, as required by the CAPO after review of the TCF(s), for review prior to the initiation of such work:

a. Research protocol(s), research or project plan(s), or other detailed description of the biological laboratory work to be conducted;

b. Documentation of project-specific biosafety review for biological laboratory work subject to such review in accordance with institutional policy;

c. Institutional or laboratory biosafety manual (may be a related plan or program manual) for each facility/laboratory to be involved in the biological laboratory work;

d. Biosafety training program description (should be provided as available in existing policies, plans, and/or manuals for all relevant facilities/laboratories where work is conducted;

e. Documentation of the most recent safety/biosafety inspection(s) for each facility/laboratory where the biological laboratory work will be conducted;

f. Exposure Control Plan, as applicable;

g. Documentation from the most recent Occupational Safety and Health Administration (OSHA) or State Occupational Safety and Health Agency inspection report; a copy of the OSHA Form 300 *Summary of Work Related Injuries and Illnesses* or equivalent, for the most recent calendar year; and documentation of any OSHA citations or notices of violation received in the past five years; and

h. Documentation from the most recent U.S. Department of Transportation (DOT) inspection report; and documentation of any DOT citations or notices of violation received in the past five (5) years.

2. Requirements for Research Involving Recombinant or Synthetic Nucleic Acid Molecules. Laboratory activities involving recombinant or synthetic nucleic acid molecules research are defined by the *NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules, "NIH Guidelines"* . Each Recipient and any Recipient institution shall conduct all such work in compliance with the NIH Guidelines. In addition to the documentation referenced in Section B.1 above, **each facility conducting research activities involving recombinant or synthetic nucleic acid molecules under this Award must submit copies of the following documentation to the CAPO for review prior to the initiation of such activities:**

a. Institutional Biosafety Committee (IBC) Charter, and/or other available documentation of IBC policies and procedures;

b. Most recent Office of Biotechnology Activities (OBA) acknowledgement letter of the annual IBC Report;
c. IBC-approved recombinant or synthetic nucleic acid molecules research protocol(s); and
d. Documentation of final IBC approval for each recombinant or synthetic nucleic acid molecules research protocol and all subsequent renewals and amendments as they occur

3. Requirements for Activities Involving Biological Select Agents and Toxins (BSAT). **Planned activities involving the possession transfer, and/or use of BSAT must be reviewed by the CAPO prior to initiation.** This requirement also applies to activities involving select toxins that fall below the Permissible Toxin Limits, both at facilities registered with the National Select Agent Program and at unregistered facilities. Each Recipient and any Recipient institution shall conduct all BSAT work in compliance with all applicable regulations, including 42 C.F.R. § 73, 7 C.F.R. § 331, and 9 C.F.R. § 121, related entity- and laboratory-specific policies and procedures, and DHS Directive 026-03, Rev 01, Safeguarding Select Agents and Toxins; and DHS Instruction 026-03-001, Safeguarding Select Agents and Toxins. **In addition to the documentation referenced in Section B.1 above, each facility conducting activities involving BSAT under this Award must submit copies of the following documentation to the CAPO for review prior to the initiation of such activities:**

a. Current APHIS/CDC Certificate of Registration;
b. Current versions of the Biosafety, Security, and Incident Response Plans required and reviewed under the Select Agent Regulations; and
c. Documentation of the most recent annual BSAT facility inspection, as required of the Responsible Official under the Select Agent Regulations.

The Recipient should contact the CAPO at STregulatorycompliance@hq.dhs.gov to obtain the CAPO Documentation Request Checklist, submit documentation, or request more information regarding the DHS CAPO documentation and compliance review requirements. The CAPO will provide written confirmation of receipt of all required documentation to the designated Point(s) of Contact. The CAPO will evaluate the submitted materials, along with available documentation from any previous reviews for related work at the Recipient and Recipient institution. Additional documentation may be required in some cases and must be submitted upon request. The CAPO will review all submitted materials and provide written confirmation to the Recipient once all requirements have been met.

CAPO review of submitted materials may determine the need for further compliance review requirements, which may include documentation-based and on-site components. The Recipient, and any Recipient institutions conducting biological laboratory work under this Award, must also comply with ongoing CAPO compliance assurance and review requirements, which may include but are not limited to initial and periodic documentation requests, program reviews, site visits, and facility inspections.

The Recipient must promptly report the following to the CAPO, along with any corrective actions taken: (1) any serious or continuing biosafety or BSAT program issues as identified by the APHIS/CDC National Select Agent Program, other compliance oversight authorities, or institutional-level reviews (e.g., IBC or equivalent, laboratory safety/biosafety inspections); (2) any suspension or revocation of the APHIS/CDC Certificate of Registration; and (3) any for-cause suspension or termination of biological, rDNA, or BSAT activities at the laboratories/facilities where DHS-sponsored work is conducted.

Foreign Contractors/Collaborators and U.S. Institutions with Foreign Subcomponents. Foreign organizations (including direct Contractors, Subcontractors, Grant Recipients, Sub-recipients, and subcomponents or collaborating partners to U.S. Recipients) are subject to applicable DHS requirements for biological laboratory activities. All entities involved in activities under this Award must comply with applicable national and regional/local regulations, and standards and guidelines equivalent to those described for U.S. institutions (e.g., BMBL and NIH Guidelines). The Recipient must provide CAPO documentation sufficient to illustrate this compliance. The CAPO will evaluate compliance measures for these institutions on a case-by-case basis. The Recipient must not initiate work nor provide funds for the conduct of biological laboratory work under this Award without CAPO's formal written approval.

E. REGULATORY REQUIREMENTS FOR RESEARCH INVOLVING ANIMALS

The Recipient and any Recipient institution shall conduct all research involving animals under this Award in compliance with the requirements set forth in the Animal Welfare Act of 1966 (P.L. 89-544), as amended, and the associated regulations in 9 C.F.R., Chapter 1, Subchapter A; the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (which adopts the "U.S. Government Principles for the Utilization and Care of Vertebrate Animals used in Testing, Research, and Training", 50 FR 20864, May 20, 1985); the National Research Council (NRC) Guide for the Care and Use of Laboratory Animals; the Federation of Animal Science Societies (FASS) Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching; any additional requirements set forth in the DHS Directive 026-01, Rev 01, Care, Use, and Transportation of Animals in Research; and DHS Instruction 026-01-001, Care, Use, and Transportation of Animals in Research. **Each Recipient and any Recipient institution planning to perform research involving animals under this Award must comply with the requirements and submit the documentation outlined in this section.**

1. Requirements for Initial Review of Research Involving Animals. Research Involving Animals includes any research, experimentation, biological testing, and other related activities involving live, vertebrate animals, including any training for such activities. Each facility conducting research involving animals under this Award must submit copies of the following documentation to the CAPO for review **prior to the initiation of such research**:

   a. Institutional Animal Care and Use Committee (IACUC)-approved animal research protocol(s), including documentation of IACUC approval, any protocol amendments, and related approval notifications;

b. Public Health Service (PHS) Animal Welfare Assurance, including any programmatic amendments, and the most recent NIH Office of Laboratory Animal Welfare (OLAW) approval letter for each Recipient and Recipient institution; OR DHS Animal Welfare Assurance, if the Recipient is not funded by the PHS and does not have a PHS Assurance on file with OLAW. Any affiliated IACUCs must be established under the same requirements as set forth in the PHS Policy;

c. Most recent IACUC semiannual program review and facility inspection reports covering all relevant facilities/laboratories involved in DHS-funded work; and

d. Most recent Association for Assessment and Accreditation of Laboratory Animal Care (AAALAC) inspection report(s) for AAALAC-accredited institution(s) housing and/or performing work involving animals under this Award.

All documentation, as well as any questions or concerns regarding the requirements referenced above, should be submitted to the CAPO at STregulatorycompliance@hq.dhs.gov. Additional documentation may be required in some cases and must be submitted upon request. The CAPO will review all submitted materials and provide written confirmation to the Recipient once all documentation requirements have been met. Upon receipt of this written confirmation, the Recipient may initiate approved animal research projects under this Award but must address any potential compliance issues or concerns identified by the CAPO. **Research involving the use of nonhuman primates or international collaborations involving animal research will require more extensive review prior to approval and must not begin under this Award without first obtaining a formal certification letter from the CAPO.**

The Recipient, as well as any Recipient institution and partner institutions conducting animal research under this Award, shall also comply with ongoing CAPO compliance assurance functions, which may include but are not limited to periodic site visits, program reviews, and facility inspections.

2. Requirements for Ongoing Review of Research Involving Animals. For ongoing animal research activities, each Recipient and any Recipient institutions must submit updates to the CAPO regarding any amendments or changes to (including expiration, renewal, or completion of) ongoing animal protocols as they occur, and may be required to submit annual updates regarding the ACU program at Recipient and Recipient institutions. Annual updates may include, but are not limited to, the IACUC semiannual (program review and facility inspection) reports, the USDA inspection report, and the most recent AAALAC inspection report, as applicable.

The Recipient must promptly report the following to the CAPO, along with any corrective actions taken: (1) any serious or continuing noncompliance with animal care and use regulations and policies adopted by DHS (as referenced above); (2) any change in AAALAC accreditation status; (3) any USDA Notice of Violation; and (4) IACUC suspension of any animal research activity conducted under this Award.

3. Foreign Contractors/Collaborators and U.S. Institutions with Foreign Subcomponents. Foreign organizations (including direct Contractors, Subcontractors, Grant Recipients, Sub-recipients, and subcomponents or collaborating partners to U.S. Recipients) are subject to DHS approval for work involving animals. All entities involved in activities under this Award must comply with their own applicable national and regional/local regulations, standards and guidelines. The Recipient must provide CAPO documentation sufficient to illustrate this compliance. The CAPO will evaluate compliance measures for these institutions on a case-by-case basis to determine their sufficiency. The Recipient must not initiate nor provide funds for the conduct of work involving animals at foreign institutions under this Award without formal written approval from the CAPO.

F. REGULATORY REQUIREMENTS FOR LIFE SCIENCES DUAL USE RESEARCH OF CONCERN (DURC)

The Recipient and any Recipient institutions shall conduct all research involving agents and toxins identified in sections III.1 and 6.2.1 of the *USG Policy for Oversight of Dual Use Research of Concern* and *USG Policy for the Institutional Oversight of Dual Use Research of Concern* , respectively, in accordance with both policies referenced above and in accordance with any additional requirements set forth in related DHS policies and instructions. Each Recipient and any Recipient institutions planning to perform research involving agents and toxins identified in sections III.1 and 6.2.1 of the USG DURC policies under this award must submit the following documentation outlined in this section for CAPO review. Institutions were required to implement the policy on or by September 24, 2015.

1. Requirements for Research Using DURC Agents and Toxins. To ensure compliance with the USG DURC Policies, each facility conducting research involving the agents and toxins identified in sections III.1 and 6.2.1 of the USG DURC Policies under this Award must submit the following documentation for compliance review by CAPO prior to the initiation of such activities.

a. Institutional Review Entity (IRE) charter, and/or other available documentation of IRE policies and procedures, to include the contact information for the Institutional Contact for DURC (ICDUR);

b. Institution's project-specific risk mitigation plan, as applicable;
c. DURC training or education program description;
d. Formal annual assurance of compliance with the USG Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern;
e. A completed iDURC form and a Statement of Work.

2. Required Notifications to DHS:

a. Within thirty (30) calendar days of initial and periodic reviews of institutional review of research with DURC potential, notify CAPO of the results, including whether the research does or does not meet the DURC definition.
b. Report, in writing, any instances of noncompliance and mitigation measures to correct and prevent future instances of noncompliance within thirty (30) calendar days to CAPO.

3. Flowdown Requirements: The Recipient shall include the substance of this section in all sub-awards/contracts at any tier where the sub-Recipient is performing work with agents or toxins identified in sections III.1 of the *USG Policy for Oversight of Dual Use Research of Concern* and 6.2.1 of the *USG Policy for the Institutional Oversight of Dual Use Research of Concern*.
The Recipient should contact CAPO at STregulatorycompliance@hq.dhs.gov to submit documentation or to request more information regarding the DHS regulatory documentation and compliance review requirements. CAPO will provide written confirmation of receipt of all required documentation to the designated Points of Contact. CAPO will evaluate the submitted materials. Additional documentation may be required in some cases and must be submitted upon request. CAPO will review all submitted materials and provide written confirmation to the Recipient once all requirements have been met. Upon receipt of this written confirmation, the Recipient may initiate approved projects under this award.

In order to meet the reporting requirements set forth in section IV.2 of the 2012 USG Policy for Oversight of Life Sciences Dual Use Research of Concern (the biannual DURC Data Call), the Recipient and any Recipient institution shall submit documentation regarding all active, planned or recently completed (within twelve months of the submission) unclassified intramural or extramural activities on Federally-funded or conducted life science research projects biannually on the first Monday in May and November. The Recipient should contact CAPO at STregulatorycompliance@hq.dhs.gov to submit documentation. Documentation should include an update on all listed activities, including status, all agents or toxins incorporated by strain or surrogate name, performers, contract information, and sites of activities. Documentation should also include any changes to existing or completed projects since the most recent submission, including—but not limited to—the addition of agents, a change in performer, modifications to the scope of work, and/or changes to the technical approach. A supplemental report detailing all work involving low pathogenic avian influenza virus H7N9 (LPAI H7N9) and Middle East Respiratory Syndrome Coronavirus (MERS-CoV).

4. Foreign Contractors/Collaborators and U.S. Institutions with Foreign Subcomponents. Foreign organizations (including direct Contractors, Subcontractors, Grant Recipients, Sub-recipients, and subcomponents or collaborating partners to U.S. Recipients) are subject to the iDURC policy. The Recipient must provide CAPO documentation sufficient to illustrate this compliance. CAPO will evaluate compliance measures for these institutions on a case-by-case basis. The Recipient must not initiate work nor provide funds for the conduct of biological laboratory work under this Award without CAPO's formal written approval.

G. REGULATORY REQUIREMENTS FOR RESEARCH INVOLVING HUMAN SUBJECTS

The Recipient and any Recipient institutions shall conduct all Research Involving Human Subjects in compliance with the requirements set forth in 6 CFR. § 46, Subparts A, and 45 CFR. § 46, Subparts B-D, DHS Directive 026-04, Rev 01, Protection of Human Subjects, and DHS Instruction 026-04-001, Ensuring Human Subjects Research Compliance, prior to initiating any work with human subjects under this Award. Each Recipient and any Recipient institutions planning to perform research involving human subjects under this Award must submit the documentation outlined in this section for CAPO review.

1. Requirements for Research Involving Human Subjects. Each facility conducting work involving human subjects under this Award is required to have a project-specific Certification of Compliance letter issued by the CAPO. Each Recipient must submit the following documentation to the CAPO for compliance review and certification **prior to initiating research involving human subjects under this Award**:

a. Research protocol, as approved by an Institutional Review Board (IRB), for any human subjects research work to be conducted under this Award;
b. IRB approval letter or notification of exemption (see additional information below on exemption determinations), for any human subjects research work to be conducted under this Award;

c. IRB-approved informed consent document(s) (templates) or IRB waiver of informed consent for projects involving human subjects research under this Award; and
d. Federal-wide Assurance (FWA) number from the HHS Office for Human Research Protections (OHRP), or documentation of other relevant assurance, for all Recipient institutions (including Sub-recipients) involved in human subjects research under this Award.

2. **Exemptions for Research Involving Human Subjects.** Exemption determinations for human subject research to be conducted under this Award should only be made by authorized representatives of (1) an OHRP-registered IRB, or equivalent, or (2) the CAPO. Exemption determinations made by an OHRP-registered IRB, or equivalent, should be submitted to the CAPO for review and record-keeping. Program Officers, principal investigators, research staff, and other DHS or institutional personnel should not independently make exemption determinations in the absence of an IRB or CAPO review. DHS Program Officers (or institutions conducting human subjects' research under this Award) seeking an exemption determination from the CAPO should submit a request to STregulatorycompliance@hq.dhs.gov that includes the following:

a. Research protocol or detailed description of planned activities to be conducted under this Award.

b. Identification of the exemption category that applies to the project(s) to be conducted under this Award and explanation of why the proposed research meets the requirements for that category of exemption.

All documentation, as well as any questions or concerns regarding the requirements referenced above, should be submitted to the CAPO at STregulatorycompliance@hq.dhs.gov. The submitted documentation will be retained by the CAPO and used to conduct a regulatory compliance assessment. Additional documentation may be required in some cases to complete this assessment. The Recipient must provide this documentation upon request, and address in writing any compliance issues or concerns raised by the CAPO before a certification letter is issued and participant enrollment can begin under this Award. The CAPO will review all submitted materials and provide written confirmation to the Recipient once all documentation requirements have been met.

The Recipient and any Recipient institution shall submit updated documentation regarding ongoing research involving human subjects, as available and **prior to the expiration of previous approvals**. Such documentation includes protocol modifications, IRB renewals for ongoing research protocols ("Continuing Reviews"), and notifications of study completion.

The Recipient must promptly report the following to the CAPO, along with any corrective actions taken: (1) any serious or continuing noncompliance with human subjects research regulations and policies adopted by DHS (as referenced above); and (2) suspension, termination, or revocation of IRB approval of any human subjects research activities conducted under this Award.

Foreign Contractors/Collaborators and U.S. Institutions with Foreign Subcomponents. Foreign organizations (including direct Contractors, Subcontractors, Grant Recipients, Sub-recipients, and subcomponents or collaborating partners to U.S. Recipients) are subject to all DHS and CAPO requirements for research involving human subjects. All entities involved in activities under this Award must comply with applicable national and regional/local regulations, and standards and guidelines equivalent to those described for U.S. institutions (e.g., 45 CFR. § 46, including all Subparts, as relevant). The CAPO will evaluate compliance measures for these institutions on a case-by-case basis to determine their sufficiency. The Recipient must not initiate nor provide funds for the conduct of work involving human subjects at foreign institutions under this Contract without formal written approval from the CAPO.

H. COMPLIANCE WITH U.S. EXPORT CONTROLS

Activities performed by the Recipient and any Recipient institution under this Award may or may not be subject to U.S. export control regulations. The Recipient and any Recipient institution shall conduct all such activities, to include any and all DHS-funded research and development, acquisitions, and collaborations in full compliance with U.S. export controls—to include the Export Administration Regulations (EAR), the International Traffic in Arms Regulations (ITAR), and the Office of Foreign Assets Control (OFAC) Regulations. The Recipient and any Recipient institution will ensure that all legal requirements for compliance with U.S. export controls are met prior to transferring commodities, technologies, technical data, or other controlled information to a non-U.S. person or entity. Upon DHS request, the Recipient and any Recipient institution must provide to CAPO documentation and any other information necessary to determine satisfaction of this requirement.

All documentation, as well as any questions or concerns regarding export controls, should be submitted to the CAPO at exportcontrols@hq.dhs.gov.

I. CONTROLLED UNCLASSIFIED INFORMATION

The parties understand that information and materials provided pursuant to or resulting from this Award may be export controlled, sensitive, for official use only, or otherwise protected by law, executive order or regulation. The Recipient is responsible for compliance with all applicable laws and regulations. Nothing in this Award shall be construed to permit any disclosure in violation of those restrictions.

J. INTELLECTUAL PROPERTY, PATENT, AND DATA RIGHTS

Patent rights.

The Recipient is subject to applicable regulations governing patents and inventions, including government-wide regulations issued by the Department of Commerce at 37 CFR Part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements." The clause at 37 CFR 401.14 is incorporated by reference herein. All reports of subject inventions made under this Award should be submitted to DHS using the Interagency Edison system website at http://www.iedison.gov.

Data rights.

1. 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 Award and provided to the Government;

b. Any data owned by third parties that contributed in the data provided to the Government under this Award; or

c. Any data requested in paragraph 2 below, if incorporated in the Award.

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

2. Additional requirement for this Award.

a. Requirement: If the Government believes that it needs additional research data that was produced under this Award, the Government may request the research data and the Recipient agrees to provide the research data within a reasonable time.

b. Applicability: The requirement in paragraph 2.a of this section applies to any research data that are:

i. Produced under this Award, either as a Recipient or sub-recipient;

ii. Used by the Government in developing an agency action that has the force and effect of law; and

iii. Published, which occurs either when:

1) The research data is published in a peer-reviewed scientific or technical journal; or

2) DHS publicly and officially cites the research data in support of an agency action that has the force and effect of law

c. Definition of "research data:" For the purposes of this section, "research data:"

i. Means the recorded factual material (excluding physical objects, such as laboratory samples) commonly accepted in the scientific community as necessary to validate research findings.

ii. Excludes:

1) Preliminary analyses;
2) Drafts of scientific papers;
3) Plans for future research;
4) Peer reviews;
5) Communications with colleagues;
6) Trade secrets;
7) Commercial information;
8) Materials necessary that a researcher must hold confidential until they are published, or similar information which is protected under law; and
9) Personnel and medical information and similar information the disclosure of which would constitute a clearly unwarranted invasion of personal privacy, such as information that could be used to identify a particular person in a research study.

d. Requirements for sub-awards: The Recipient agrees to include in any sub-award made under this Agreement the requirements of this award term (Patent Rights and Data Rights) and **DHS Standard Terms and Conditions award term (Copyright).**

K. PROGRAM INCOME

Post-award program income:

In the event program income becomes available to the recipient post-award, it is the recipient's responsibility to notify the DHS Grants Officer to explain how that development occurred, as part of their request for guidance and/or approval. The Grants Officer will review approval requests for program income on a case-by-case basis; approval is not automatic. Consistent with the policy and processes outlined in 2 CFR Part 200, pertinent guidance and options, as determined by the type of recipient and circumstances involved, may be approved by the Grant Officer.

If approval is granted, an award modification will be issued with an explanatory note in the remarks section of the face page, concerning guidance and/or options pertaining to the recipient's approved request. All instances of program income shall be listed in the progress and financial reports.

L. PUBLICATIONS.

1. Publications. All publications produced as a result of this funding which are submitted for publication in any magazine, journal, or trade paper shall carry the following:

a. Acknowledgement. "This material is based upon work supported by the U.S. Department of Homeland Security under Grant Award Number 22STESE00001-01-00."

b. Disclaimer. "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."

Recipient agrees to include in any sub-award made under this Agreement the requirements of this award term (Publications).

2. Use of DHS Seal and DHS S&T Logo.
The Recipient shall not use the DHS seal. The Recipient shall acquire DHS's approval prior to using the DHS S&T logo.

3. Enhancing Public Access to Publications. Per Article I. Section A, DS requires that the Recipient shall forward one electronic (PDF) copy of all publications generated under this award to the Program Officer at the time of publication. The COE will make all publications publicaly available via the DHS storefront in PubMed Central (PMC): https://www.ncbi.nlm.nih.gov/pmc/funder/dhs in a manner consistent with copyright law no later than 12 months after the official date of publication. DHS Policy explicitly recognizes and upholds the principles of copyright. Authors and journals can continue to assert copyright in publications that include research findings from DHS-funded activities, in accordance with current practice. While individual copyright arrangements can take many forms, DHS encourages investigators to sign agreements that specifically allow the manuscript or software to be deposited with DHS for U.S. Government use after journal publication. Institutions and investigators may wish to develop particular contract terms in consultation with their own legal counsel, as appropriate. But, as an example, the kind of language that an author or institution might add to a copyright agreement includes the following: "Journal (or Software recipient) acknowledges that the Author retains the right to provide a final copy of the final manuscript or software application to DHS upon acceptance for Journal publication or thereafter, for public access purposes through DHS's websites or for public archiving purposes."

M. SITE VISITS

The DHS, through authorized representatives, has the right, at all reasonable times, to make site visits to review project accomplishments and management control systems and to provide such technical assistance as may be required. If any site visit is made by the DHS on the premises of the Recipient, or a contractor under this Award, the Recipient shall provide and shall require its contractors to provide all reasonable facilities and assistance for the safety and convenience of the Government representatives in the performance of their duties. All site visits and evaluations shall be performed in such a manner that will not unduly delay the work.

N. TERMINATION

Either the Recipient or the DHS may terminate this Award by giving written notice to the other party at least thirty (30) calendar days prior to the effective date of the termination. Failure to adhere to the terms and conditions may result in award termination. All notices are to be transmitted to the DHS Grants Officer via registered or certified mail, return receipt requested. The Recipient's authority to incur new costs will be terminated upon arrival of the date of receipt of the letter or the date set forth in the notice. Any costs incurred up to the earlier of the date of the receipt of the notice or the date of termination set forth in the notice will be negotiated for final payment. Closeout of this Award will be commenced and processed pursuant to 2 CFR §200.339.

O. TRAVEL

Travel required in the performance of the duties approved in this Award must comply with 2 CFR Part 200.474.

Foreign travel must be approved by DHS in advance and in writing. Requests for foreign travel identifying the travler, the purpose, the destination, and the estimated travel costs must be submitted to the DHS Grants Officer sixty (60) days prior to the commencement of travel.

P. GOVERNING PROVISIONS

1. "Classified national security information," as defined in Executive Order (EO) 12958, as amended, means information that has been determined pursuant to EO 12958 or any predecessor order to require protection against unauthorized disclosure and is marked to indicate its classified status when in documentary form.

2. No funding under this award shall be used to support a contract, sub-award, or other agreement for goods or services that will include access to classified national security information if the award recipient itself has not been approved for and has access to such information.

3. Where an award recipient has been approved for and has access to classified national security information, no funding under this award shall be used to support a contract, sub-award, or other agreement for goods or services that will include access to classified national security information by the contractor, sub-awardee or other entity without prior written approval from the DBS Office of Security, Industrial Security Program Branch (ISPB), or, an appropriate official within the Federal department or agency with whom the classified effort will be performed.

4. Such contracts, sub-awards, or other agreements shall be processed and administered in accordance with the DHS "Standard Operating Procedures, Classified Contracting by State and Local Entities," dated July 7, 2008; EOs 12829, 12958, 12968, as amended; the National Industrial Security Program Operating Manual (NISPOM); and/or other applicable implementing directives or instructions.

5. Immediately upon determination by the award recipient that funding under this award will be used to support such a contract, sub-award, or other agreement, and prior to execution of any actions to facilitate the acquisition of such a contract, sub-award, or other agreement, the award recipient shall contact ISPB, or the applicable Federal department or agency, for approval and processing instructions.

DHS Office of Security ISPB contact information:
Telephone: [redacted]
Email: [redacted]
Mail: Department of Homeland Security
Office of the Chief Security Officer
ATTN: ASD/Industrial Security Program Branch
Washington, D.C. 20528

Q. GOVERNING PROVISIONS

The following are incorporated into this Award by this reference:

31 C.F.R. Part 205	Rules and Procedures for Funds Transfers
2 C.F.R. Part 200	Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards
Application	Grant Application and Assurances dated March 10, 2021 as revised, N/A.

R. ORDER OF PRECEDENCE

1. 2 CFR Part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards."

2. The terms and conditions of this Award

3. The Funding Opportunity, ___'ST-ESE-21-001__________ , __'Engineering Secure Environments from

4. Application and Assurances dated 3/10/2021 , N/A

2021 DHS Standard Terms and Conditions

The 2021 DHS Standard Terms and Conditions apply to all new federal financial assistance awards funded in FY 2021. These terms and conditions flow down to subrecipients, unless an award term or condition specifically indicates otherwise. The United States has the right to seek judicial enforcement of these obligations.

Assurances, Administrative Requirements, Cost Principles, Representations and Certifications

DHS financial assistance recipients must complete either the Office of Management and Budget (OMB) Standard Form 424B Assurances – Non-Construction Programs, or OMB Standard Form 424D Assurances – Construction Programs, as applicable. Certain assurances in these documents may not be applicable to your program, and the DHS financial assistance office (DHS FAO) may require applicants to certify additional assurances. Applicants are required to fill out the assurances applicable to their program as instructed by the awarding agency. Please contact the DHS FAO if you have any questions.

DHS financial assistance recipients are required to follow the applicable provisions of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards located at Title 2, Code of Federal Regulations (C.F.R.) Part 200, and adopted by DHS at 2 C.F.R. Part 3002.

By accepting this agreement, the recipient and its executives, as defined in 2 C.F.R. § 170.315, certify that the recipient's policies are in accordance with OMB's guidance located at 2 C.F.R. Part 200, all applicable federal laws, and relevant Executive guidance.

DHS Specific Acknowledgements and Assurances

All recipients, subrecipients, successors, transferees, and assignees must acknowledge and agree to comply with applicable provisions governing DHS access to records, accounts, documents, information, facilities, and staff.

1. Recipients must cooperate with any compliance reviews or compliance investigations conducted by DHS.

2. Recipients must give DHS access to, and the right to examine and copy, records, accounts, and other documents and sources of information related to the federal financial assistance award and permit access to facilities, personnel, and other individuals and information as may be necessary, as required by DHS regulations and other applicable laws or program guidance.

3. Recipients must submit timely, complete, and accurate reports to the appropriate DHS officials and maintain appropriate backup documentation to support the reports.

4. Recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in programguidance.

5. Recipients of federal financial assistance from DHS must complete the *DHS Civil Rights Evaluation Tool* within thirty (30) days of receipt of the Notice of Award or, for State Administrative Agencies, thirty (30) days from receipt of the DHS Civil Rights Evaluation Tool from DHS or its awarding component agency. After the initial submission for the first award under which this term applies, recipients are required to provide this information once every two (2) years if they have an active award, not every time an award is made. Recipients should submit the completed tool, including supporting materials, to CivilRightsEvaluation@hq.dhs.gov. This tool clarifies the civil rights obligations and related reporting requirements contained in the DHS Standard Terms and Conditions. Subrecipients are not required to complete and submit this tool to DHS. The evaluation tool can be found at https://www.dhs.gov/publication/dhs-civil-rights-evaluation-tool.

The DHS Office for Civil Rights and Civil Liberties will consider, in its discretion, granting an extension if the recipient identifies steps and a timeline for completing the tool. Recipients should request extensions by emailing the request to CivilRightsEvaluation@hq.dhs.gov prior to expiration of the 30-day deadline.

Standard Terms & Conditions

I. **Acknowledgement of Federal Funding from DHS**

Recipients must acknowledge their use of federal funding when issuing statements, press releases, requests for proposal, bid invitations, and other documents describing projects or programs funded in whole or in part with federal funds.

II. **Activities Conducted Abroad**

Recipients must ensure that project activities carried on outside the United States are coordinated as necessary with appropriate government authorities and that appropriate licenses, permits, or approvals are obtained.

III. ***Age Discrimination Act of 1975***

Recipients must comply with the requirements of the *Age Discrimination Act of 1975*, Pub.L No. 94-135 (1975) (codified as amended at Title 42, U.S. Code, § 6101 *et seq.*), which prohibits discrimination on the basis of age in any program or activity receiving federal financial assistance.

IV. ***Americans with Disabilities Act of 1990***

Recipients must comply with the requirements of Titles I, II, and III of the *Americans with Disabilities Act*, Pub. L. No. 101-336 (1990) (codified as amended at 42 U.S.C. §§ 12101–12213), which prohibits recipients from discriminating on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities.

V. **Best Practices for Collection and Use of Personally Identifiable Information** Recipients who collect personally identifiable information (PII) are required to have a publicly available privacy policy that describes standards on the usage and maintenance of the PII they collect. DHS defines PII as any information that permits the identity of an individual to be directly or indirectly inferred, including any information that is linked or linkable to that individual. Recipients may also find the DHS Privacy Impact Assessments: Privacy Guidance and Privacy Template as useful resources respectively.

VI. ***Civil Rights Act of 1964 – Title VI***

Recipients must comply with the requirements of Title VI of the *Civil Rights Act of 1964* (codified as amended at 42 U.S.C. § 2000d *et seq.*), which provides that no person in the United States will, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance. DHS implementing regulations for the Act are found at 6 C.F.R. Part 21 and 44 C.F.R. Part 7.

VII. ***Civil Rights Act of 1968***

Recipients must comply with Title VIII of the *Civil Rights Act of 1968*, Pub. L. 90-284, as amended through Pub. L. 113-4, which prohibits recipients from discriminating in the sale, rental, financing, and advertising of dwellings, or in the provision of services in connection therewith, on the basis of race, color, national origin, religion, disability, familial status, and sex (see 42 U.S.C. § 3601 *et seq.*), as implemented by the U.S. Department of Housing and Urban Development at 24 C.F.R. Part 100. The prohibition on disability discrimination includes the requirement that new multifamily housing with four or more dwelling units—i.e., the public and common use areas and individual apartment units (all units in buildings with elevators and ground-floor units in

buildings without elevators)—be designed and constructed with certain accessible features. (See 24 C.F.R. Part 100, Subpart D.)

VIII. Copyright

Recipients must affix the applicable copyright notices of 17 U.S.C. §§ 401 or 402 and an acknowledgement of U.S. Government sponsorship (including the award number) to any work first produced under federal financial assistance awards.

IX. Debarment and Suspension

Recipients are subject to the non-procurement debarment and suspension regulations implementing Executive Orders (E.O.) 12549 and 12689, which are at 2 C.F.R. Part 180 as adopted by DHS at 2 C.F.R. Part 3000. These regulations restrict federal financial assistance awards, subawards, and contracts with certain parties that are debarred, suspended, or otherwise excluded from or ineligible for participation in federal assistance programs or activities.

X. Drug-Free Workplace Regulations

Recipients must comply with drug-free workplace requirements in Subpart B (or Subpart C, if the recipient is an individual) of 2 C.F.R. Part 3001, which adopts the Government-wide implementation (2 C.F.R. Part 182) of Sec. 5152-5158 of the *Drug-Free Workplace Act of 1988* (41 U.S.C. §§ 8101-8106).

XI. Duplication of Benefits

Any cost allocable to a particular federal financial assistance award provided for in 2 C.F.R. Part 200, Subpart E may not be charged to other federal financial assistance awards to overcome fund deficiencies; to avoid restrictions imposed by federal statutes, regulations, or federal financial assistance award terms and conditions; or for other reasons. However, these prohibitions would not preclude recipients from shifting costs that are allowable under two or more awards in accordance with existing federal statutes, regulations, or the federal financial assistance award terms and conditions.

XII. Education Amendments of 1972 (*Equal Opportunity in Education Act*) – TitleIX

Recipients must comply with the requirements of Title IX of the *Education Amendments of 1972*, Pub. L. 92-318 (1972) (codified as amended at 20 U.S.C. § 1681 *et seq.*), which provide that no person in the United States will, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any educational program or activity receiving federal financial assistance. DHS implementing regulations are codified at 6 C.F.R. Part 17 and 44 C.F.R. Part 19

XIII. Energy Policy and Conservation Act

Recipients must comply with the requirements of the *Energy Policy and Conservation Act*, Pub. L. 94- 163 (1975) (codified as amended at 42 U.S.C. § 6201 *et seq.*), which contain policies relating to energy efficiency that are defined in the state energy conservation plan issued in compliance with this Act.

XIV. *False Claims Act* and Program Fraud Civil Remedies

Recipients must comply with the requirements of the *False Claims Act*, 31 U.S.C. §§3729-3733, which prohibit the submission of false or fraudulent claims for payment to the federal government. (See 31 U.S.C. §§ 3801-3812, which details the administrative remedies for false claims and statements made.)

XV. Federal Debt Status

All recipients are required to be non-delinquent in their repayment of any federal debt. Examples of relevant debt include delinquent payroll and other taxes, audit disallowances, and benefit

overpayments. (See OMB Circular A-129.)

XVI. Federal Leadership on Reducing Text Messaging while Driving

Recipients are encouraged to adopt and enforce policies that ban text messaging while driving as described in E.O. 13513, including conducting initiatives described in Section 3(a) of the Order when on official government business or when performing any work for or on behalf of the federal government.

XVII. Fly America Act of 1974

Recipients must comply with Preference for U.S. Flag Air Carriers (air carriers holding certificates under 49 U.S.C. § 41102) for international air transportation of people and property to the extent that such service is available, in accordance with the *International Air Transportation Fair Competitive Practices Act of 1974*, 49 U.S.C. § 40118, and the interpretative guidelines issued by the Comptroller General of the United States in the March 31, 1981, amendment to Comptroller General Decision B-138942.

XVIII. Hotel and Motel Fire Safety Act of 1990

In accordance with Section 6 of the *Hotel and Motel Fire Safety Act of 1990*, 15 U.S.C. § 2225a, recipients must ensure that all conference, meeting, convention, or training space funded in whole or in part with federal funds complies with the fire prevention and control guidelines of the *Federal Fire Prevention and Control Act of 1974*, (codified as amended at 15 U.S.C. § 2225.)

XIX. Limited English Proficiency (*Civil Rights Act of 1964*, Title VI)

Recipients must comply with Title VI of the *Civil Rights Act of 1964*, *(42 U.S.C. § 2000d et seq.)* prohibition against discrimination on the basis of national origin, which requires that recipients of federal financial assistance take reasonable steps to provide meaningful access to persons with limited English proficiency (LEP) to their programs and services. For additional assistance and information regarding language access obligations, please refer to the DHS Recipient Guidance: https://www.dhs.gov/guidance- published-help-department-supported-organizations-provide-meaningful-access-people-limited and additional resources on http://www.lep.gov.

XX. Lobbying Prohibitions

Recipients must comply with 31 U.S.C. § 1352, which provides that none of the funds provided under a federal financial assistance award may be expended by the recipient to pay any person to influence, or attempt 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 any federal action related to a federal award or contract, including any extension, continuation, renewal, amendment, or modification.

XXI. National Environmental Policy Act

Recipients must comply with the requirements of the *National Environmental Policy Act of 1969, (NEPA)* Pub. L. 91-190 (1970) (codified as amended at 42 U.S.C. § 4321 *et seq.* and the Council on Environmental Quality (CEQ) Regulations for Implementing the Procedural Provisions of NEPA, which require recipients to use all practicable means within their authority, and consistent with other essential considerations of national policy, to create and maintain conditions under which people and nature can exist in productive harmony and fulfill the social, economic, and other needs of present and future generations of Americans.

XXII. Nondiscrimination in Matters Pertaining to Faith-Based Organizations

It is DHS policy to ensure the equal treatment of faith-based organizations in social service programs administered or supported by DHS or its component agencies, enabling those organizations to participate in providing important social services to beneficiaries. Recipients must comply with the equal treatment policies and requirements contained in 6 C.F.R. Part 19

and other applicable statues, regulations, and guidance governing the participations of faith-based organizations in individual DHS programs.

XXIII. Non-Supplanting Requirement

Recipients receiving federal financial assistance awards made under programs that prohibit supplanting by law must ensure that federal funds do not replace (supplant) funds that have been budgeted for the same purpose through non-federal sources.

XXIV. Notice of Funding Opportunity Requirements

All the instructions, guidance, limitations, and other conditions set forth in the Notice of Funding Opportunity (NOFO) for this program are incorporated here by reference in the award terms and conditions. All recipients must comply with any such requirements set forth in the program NOFO.

XXV. Patents and Intellectual Property Rights

Recipients are subject to the *Bayh-Dole Act*, 35 U.S.C. § 200 *et seq*, unless otherwise provided by law. Recipients are subject to the specific requirements governing the development, reporting, and disposition of rights to inventions and patents resulting from federal financial assistance awards located at 37 C.F.R. Part 401 and the standard patent rights clause located at 37 C.F.R. § 401.14.

XXVI. Procurement of Recovered Materials

States, political subdivisions of states, and their contractors must comply with Section 6002 of the Solid Waste Disposal Act, Pub. L. 89-272 (1965), (codified as amended by the *Resource Conservation and Recovery Act*, 42 U.S.C. § 6962.) The requirements of Section 6002 include procuring only items designated in guidelines of the Environmental Protection Agency (EPA) at 40 C.F.R. Part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition.

XXVII. Rehabilitation Act of 1973

Recipients must comply with the requirements of Section 504 of the *Rehabilitation Act of 1973*, Pub. L. 93-112 (1973), (codified as amended at 29 U.S.C. § 794,) which provides that no otherwise qualified handicapped individuals in the United States will, solely by reason of the handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.

XXVIII. Reporting of Matters Related to Recipient Integrity and Performance

1. General Reporting Requirements

If the total value of any currently active grants, cooperative agreements, and procurement contracts from all federal awarding agencies exceeds $10,000,000 for any period of time during the period of performance of this federal award, then the recipients during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS) about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under Pub. L.110-417, § 872, as amended 41 U.S.C. § 2313. As required by Pub. L. 111-212, § 3010, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for federal procurement contracts, will be publicly available.

2. Proceedings about Which Recipients Must Report

Recipients must submit the required information about each proceeding that:

a. Is in connection with the award or performance of a grant, cooperative agreement, or

procurement contract from the federal government;

b. Reached its final disposition during the most recent five-year period; and

c. One or more of the following:

1) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;

2) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of $5,000 or more;

3) An administrative proceeding, as defined in paragraph 5, that resulted in a finding of fault and liability and the recipient's payment of either a monetary fine or penalty of $5,000 or more or reimbursement, restitution, or damages in excess of $100,000; or

4) Any other criminal, civil, or administrative proceeding if:

a) It could have led to an outcome described in this award term and condition;

b) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on the recipient's part; and

c) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

3. **Reporting Procedures**
Recipients must enter the information that SAM requires about each proceeding described in paragraph 2 of this award term and condition in the SAM Entity Management area. Recipients do not need to submit the information a second time under financial assistance awards that the recipient received if the recipient already provided the information through SAM because it was required to do so under federal procurement contracts that the recipient was awarded.

4. **Reporting Frequency**
During any period of time when recipients are subject to the main requirement in paragraph 1 of this award term and condition, recipients must report proceedings information through SAM for the most recent five-year period, either to report new information about any proceeding(s) that recipients have not reported previously or affirm that there is no new information to report. Recipients that have federal contract, grant, and cooperative agreement awards with a cumulative total value greater than $10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

5. **Definitions**
For the purpose of this award term and condition:

a. *Administrative proceeding*: means a non-judicial process that is adjudicatory in nature to decide fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the federal and state level but only in connection with performance of a federal contract or grant. It does not include

audits, site visits, corrective plans, or inspection of deliverables.

b. *Conviction:* means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

c. *Total value of currently active grants, cooperative agreements, and procurement contracts* includes—

1) Only the federal share of the funding under any federal award with a recipient cost share or match; and

2) The value of all expected funding increments under a federal award and options, even if not yet exercised.

XXIX. Reporting Subawards and Executive Compensation

1. Reporting of first tier subawards.

a. *Applicability. Unless the recipient is exempt as provided in paragraph 4 of this award term, the recipient must report each action that equals or exceeds $30,000 in federal funds for a subaward to a non-federal entity or federal agency (See definitions in paragraph 5 of this award term).*

b. *Where and when to report.*

1) Recipients must report each obligating action described in paragraph 1 of this award term to the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS).

2) For subaward information, recipients report no later than the end of the month following the month in which the obligation was made. For example, if the obligation was made on November 7, 2016, the obligation must be reported by no later than December 31, 2016.

c. *What to report.* The recipient must report the information about each obligating action that the submission instructions posted at http://www.fsrs.gov.

2. Reporting Total Compensation of Recipient Executives.

a. *Applicability and what to report.* Recipients must report total compensation for each of the five most highly compensated executives for the preceding completed fiscal year, if—

1) The total federal funding authorized to date under this federal award equals or exceeds $30,000 as defined in 2 C.F.R. § 170.320;

2) In the preceding fiscal year, recipients received—

a) Eighty percent or more of recipients' annual gross revenues from federal procurement contracts (and subcontracts) and federal financial assistance subject to the *Federal Funding Accountability and Transparency Act* (Transparency Act), as defined at 2 C.F.R. § 170.320 (and subawards); and

b) $25,000,000 or more in annual gross revenues from federal procurement contracts (and subcontracts) and federal financial assistance subject to the Transparency Act, as defined at 2 C.F.R. § 170.320 (and subawards); and

c) The public does not have access to information about the compensation of the 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. (See the U.S. Security and Exchange Commission total compensation filings at *http://www.sec.gov/answers/execomp.htm.* to determine if the public has access to the compensation information.)

3) *Where and when to report.* Recipients must report executive total compensation described in paragraph 2.a. of this award term:

a) As part of the recipient's registration profile at https://www.sam.gov.

b) By the end of the month following the month in which this award is made, and annually thereafter.

3. Reporting of Total Compensation of Subrecipient Executives.

a. *Applicability and what to report.* Unless recipients are exempt as provided in paragraph 4. of this award term, for each first-tier subrecipient under this award, recipients shall 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, if—

1) In the subrecipient's preceding fiscal year, the subrecipient received—

a) Eighty percent or more of its annual gross revenues from federal procurement contracts (and subcontracts) and federal financial assistance subject to the Transparency Act, as defined at 2 C.F.R. § 170.320 (and subawards); and

b) $25,000,000 or more in annual gross revenues from federal procurement contracts (and subcontracts), and federal financial assistance subject to the Transparency Act (and subawards); and

2) The public does not have access to information about the compensation of the 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. (See the U.S. Security and Exchange Commission total compensation filings at *http://www.sec.gov/answers/execomp.htm.* to determine if the public has access to the compensation information.)

b. *Where and when to report.* Subrecipients must report subrecipient executive total compensation described in paragraph 3.a. of this award term:

1) To the recipient.

2) By the end of the month following the month during which recipients make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (*i.e.,* between October 1 and 31), subrecipients must report any required compensation information of the subrecipient by November 30 of that year.

4. Exemptions
If, in the previous tax year, recipients had gross income, from all sources, under $300,000, then recipients are exempt from the requirements to report:

a. Subawards, and

b. The total compensation of the five most highly compensated executives of any subrecipient

5. **Definitions** For purposes of this award term:

   a. Federal Agency means a federal agency as defined at 5 U.S.C. 551(1) and further clarified by 5 U.S.C. 552(f).

   b. *Non-Federal Entity:* means all the following, as defined in 2 C.F.R. Part 25:

      1) A Governmental organization, which is a state, local government, or Indian tribe;

      2) A foreign public entity;

      3) A domestic or foreign nonprofit organization;

      4) A domestic or foreign for-profit organization;

   c. *Executive:* means officers, managing partners, or any other employees in management positions.

   d. *Subaward*: means a legal instrument to provide support for the performance of any portion of the substantive project or program for which the recipient received this award and that the recipient awards to an eligible subrecipient.

      1) The term does not include recipients' procurement of property and services needed to carry out the project or program (for further explanation, see 2 C.F.R. § 200.331).

      2) A subaward may be provided through any legal agreement, including an agreement that a recipient or a subrecipient considers a contract.

e. *Subrecipient:* means a non-federal entity or federal agency that:

1) Receives a subaward from the recipient under this award; and

2) Is accountable to the recipient for the use of the federal funds provided by the subaward.

f. *Total compensation:* means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (see 17 C.F.R. § 229.402(c)(2)):

1) *Salary and bonus.*

2) *Awards of stock, stock options, and stock appreciation rights.* Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

3) *Earnings for services under non-equity incentive plans.* This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives and are available generally to all salaried employees.

4) *Change in pension value.* This is the change in present value of defined benefit and actuarial pension plans.

5) *Above-market earnings on deferred compensation which is not tax-qualified.*

6) *Other compensation*, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds $10,000.

XXX. SAFECOM

Recipients receiving federal financial assistance awards made under programs that provide emergency communication equipment and its related activities must comply with the SAFECOM Guidance for Emergency Communication Grants, including provisions on technical standards that ensure and enhance interoperable communications.

XXXI. Terrorist Financing

Recipients must comply with E.O. 13224 and U.S. laws that prohibit transactions with, and the provisions of resources and support to, individuals and organizations associated with terrorism. Recipients are legally responsible to ensure compliance with the Order and laws.

XXXII. *Trafficking Victims Protection Act of 2000* (TVPA)

Trafficking in Persons.

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

a. Recipients, the employees, subrecipients under this award, and subrecipients' employees may not—

1) Engage in severe forms of trafficking in persons during the period of time the award is in effect;

2) Procure a commercial sex act during the period of time that the award is in effect; or

3) Use forced labor in the performance of the award or subawards under the award.

b. DHS may unilaterally terminate this award, without penalty, if a recipient or a subrecipient that is a private entity —

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

2) Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph 1.a of this award term through conduct that is either—

a) Associated with performance under this award; or

b) Imputed to recipients or subrecipients using the standards and due process for imputing the conduct of an individual to an organization that are providedin 2 C.F.R. Part 180, "OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Nonprocurement)," as implemented by our agency at 2 C.F.R. Part 3000.

2. Provision applicable to recipients other than a private entity.
DHS may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity—

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

b. Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph 1.a of this award term through conduct that is either—

1) Associated with performance under this award; or

2) Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 C.F.R. Part 180,"OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Nonprocurement)," as implemented by our agency at 2 C.F.R. Part 3000.

3. Provisions applicable to any recipient.

a. Recipients must inform DHS immediately of any information received from anysource alleging a violation of a prohibition in paragraph 1.a of this award term.

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

1) Implements TVPA, Section 106(g) as amended by 22 U.S.C. 7104(g)),and

2) Is in addition to all other remedies for noncompliance that are available to us under this award.

c. Recipients must include the requirements of paragraph 1.a of this award term inany subaward made to a private entity.

4. **Definitions.** For the purposes of this award term:

   a. *Employee*: means either:

      1) An individual employed by a recipient or a subrecipient who is engaged in the performance of the project or program under this award; or

      2) 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 C.F.R. § 175.25. It includes:

      1) 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 C.F.R. § 175.25(b).

      2) A for-profit organization.

   d. *Severe forms of trafficking in persons*, *commercial sex act*, and *coercion* are defined in TVPA, Section 103, as amended (22 U.S.C. § 7102).

XXXIII. Universal Identifier and System of Award Management

1. **Requirements for System for Award Management and Unique Entity Identifier**
   Recipients are required to comply with the requirements set forth in the government-wide financial assistance award term regarding the System for Award Management and Universal Identifier Requirements located at 2 C.F.R. Part 25, Appendix A, the full text of which is incorporated here by reference.

2. **Definitions**
   For purposes of this term:

   a. *System for Award Management (SAM):* means the federal repository into which a recipient must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found on SAM.gov.

   b. *Unique Entity Identifier:* means the identifier assigned by SAM to uniquely identify business entities.

   c. *Entity:* includes non-Federal entities as defined at 2 C.F.R. § 200.1 and includes the following, for purposes of this part:

      1) A foreign organization;

      2) A foreign public entity;

      3) A domestic for-profit organization; and

4) A federal agency.

d. *Subaward:* means a legal instrument to provide support for the performance of any portion of the substantive project or program for which a recipient received this award and that the recipient awards to an eligible subrecipient.

1) The term does not include the recipients' procurement of property and services needed to carry out the project or program (for further explanation, see 2 C.F.R. § 200.330).
2) A subaward may be provided through any legal agreement, including an agreement that a recipient considers a contract.

e. *Subrecipient* means an entity that:

1) Receives a subaward from the recipient under this award; and

2) Is accountable to the recipient for the use of the federal funds provided by the subaward.

XXXIV. USA PATRIOT Act of 2001

Recipients must comply with requirements of Section 817 of the *Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001* (USA PATRIOT Act), which amends 18 U.S.C. §§ 175–175c.

XXXV. Use of DHS Seal, Logo and Flags

Recipients must obtain permission from their DHS FAO prior to using the DHS seal(s), logos, crests or reproductions of flags or likenesses of DHS agency officials, including use of the United States Coast Guard seal, logo, crests or reproductions of flags or likenesses of Coast Guard officials.

XXXVI. Whistleblower Protection Act

Recipients must comply with the statutory requirements for whistleblower protections (if applicable) at 10 U.S.C § 2409, 41 U.S.C. § 4712, and 10 U.S.C. § 2324, 41 U.S.C. §§ 4304 and 4310.

GrantSolutions
PARTNERS IN INNOVATION

GrantSolutions User Guide

INTRODUCTION TO THE GRANTSOLUTIONS GRANTS MANAGEMENT MODULE

Chapter 1

1

Introduction to the GrantSolutions Grants Management Module

TABLE OF CONTENTS

About this Guide

The GrantSolutions User Guide aims to support Partners in utilizing the GrantSolutions Grants Management Module (GMM). Each chapter is dedicated to a specific phase of the grants life cycle. For assistance performing tasks within the system, please refer to the appropriate chapter and section.

GUIDE COMPONENTS

Chapter	Description
Chapter 1: Introduction to the GrantSolutions Grants Management Module	Details how to begin using the GrantSolutions GMM - including requesting an account, logging in, navigating the menu bar, searching for applications and awards, adding grant notes, and making grant assignments.
Chapter 2: Pre-Award Processing	Details how to process New and Non-Competing applications prior to the creation of the Notice of Award.
Chapter 3: Award Processing	Details how to process an award in the GrantSolutions GMM.
Chapter 4: Post-Award: Amendments and Closeout	Details how to perform amendments, such as Carryover and Closeout.
Chapter 5: Financial Management	Details how to manage financial accounts, funds planning, create commitments, verify that funds are available, and certify that funds are available.

Lesson 1: Introduction to GrantSolutions

OBJECTIVES

At the end of this lesson, the user will be able to:

- Access the GrantSolutions Public Website
- Locate the User Account Request Form
- Identify Federal and Grantee Roles in the GrantSolutions Grants Management Module
- Contact the GrantSolutions Support Center and Submit a Help Request

OVERVIEW

GrantSolutions serves as one of three consortia leads under the Grants Management Line of Business (GMLoB) E-Gov initiative offering government-wide grants management system support services. GrantSolutions is managed by the Administration for Children and Families (ACF), within the Department of Health and Human Services, in partnership with several other Federal agencies.

The GrantSolutions Grants Management Module (GMM) is a web-based, comprehensive grants management system. The system is available to all Federal grant-making agencies as part of the Grants Management Line of Business (GMLoB) initiative. It services all grant types (service, training, demonstration, social research, and cooperative agreements) across all grant categories.

The GrantSolutions GMM incorporates all GMLoB grant award processes - for awarding agencies (Grantors) and recipients (Grantees), as well as extensive and flexible post-award reporting mechanisms.

Services cover the full life-cycle of the grants management business, which includes:

- Full life-cycle processing (pre-award through post-award) for all grant types.
- Funds control integration with financial systems, financial reports, and audit tracking.
- Flexible mechanisms for program-specific needs and performance reports.
- Standard system interfaces with Grants.gov and other external systems.

GRANTSOLUTIONS HOME PAGE

To access the GrantSolutions GMM, connect to the Internet and navigate to http://www.grantsolutions.gov from any preferred browser.

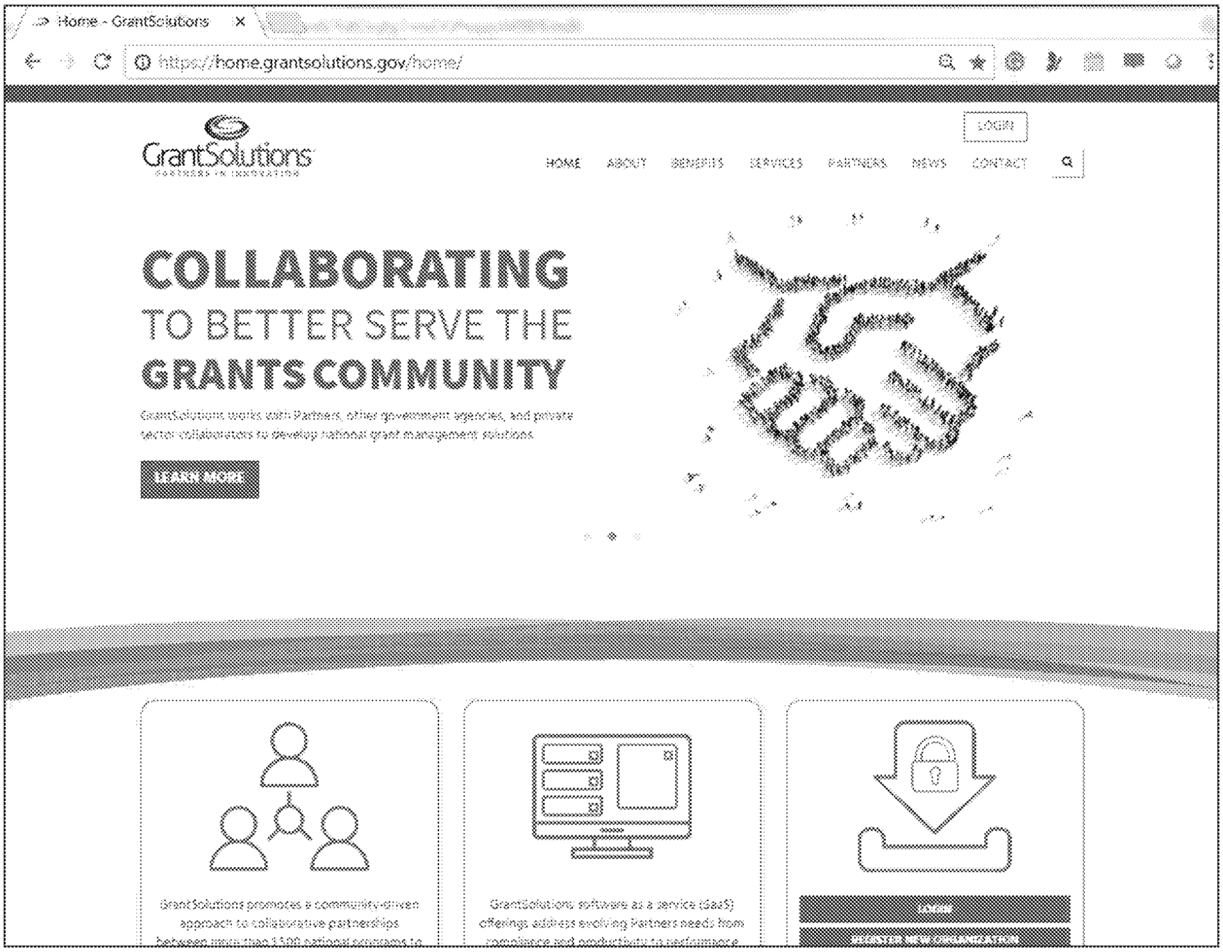

Figure 1: The GrantSolutions public website

The GrantSolutions public website appears. This screen contains links to useful information, such as:

- GrantSolutions GMM Grantee Training Videos
- User Account Request Forms
- Support Center Contact Information and Hours
- Frequently Asked Questions
- Login Button to GrantSolutions.gov
- News Articles

Getting Started – Request a User Account Form

When new employees arrive or when changes to existing accounts are needed, submit a *Federal User Account Request Form*. The form is available from the GrantSolutions website.

To access a copy of the form from the GrantSolutions website:

- Navigate to www.grantsolutions.gov.
- Scroll to the middle of the Home page (www.grantsolutions.gov) and click the **Request a User Account link from the section titled, "Let's Get You Started."**

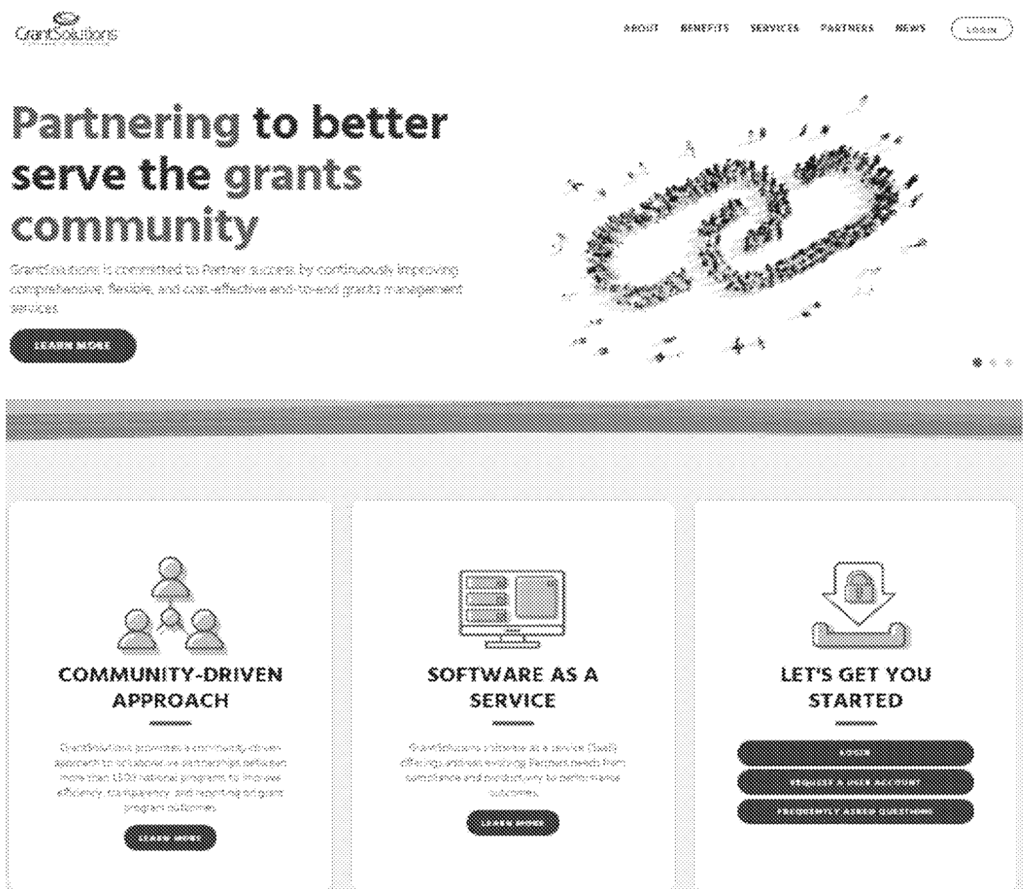

Figure 2: GrantSolutions Home page - Request a User Account link

- **The "Getting Started – Request a User Account" screen displays. Under the "Federal User"** heading, click the **Federal User Account Request Form** link.

Federal User

All account requests must be made by the prospective user's supervisor or other authorized Partner/Agency official.

1. The requester must complete and sign the first section of the Federal User Account Request Form.
2. The person who will be receiving access needs to:
   - Sign and date the second part of the form (Data Access/Security Compliance Statement)
   - Sign and date the main signature page and the Addendum signature page in the HHS Rules of Behavior. (Alternatively, you may substitute a signed copy of the Rules and Behavior form from your own Department/Agency)
   - Write your Government HSPD-12 Identification Card (PIV)
   - Have the authorizing official complete the authorizing section by verifying the Government HSPD-12 Identification Card (PIV) card
3. Email all required documents to the GrantSolutions Help Desk at help@grantsolutions.gov or fax to (301) 998-7272. Please note we cannot accept emails to the Help Desk over 5 MB in size. If you have questions, please call the Support Desk at (202) 401-5282 or (866) 577-0771.

Figure 3: Getting Started – "Request a User Account" screen

- Follow the instructions to complete and submit the form. Please note that the GrantSolutions Help Desk cannot accept emails over 5 MB in size.

Once an account is created, the user receives two automatically generated emails from GrantSolutions. The first email contains a username and a link to GrantSolutions.gov. The second email contains a temporary password.

Roles

The GrantSolutions GMM is a role-based system, which means users can only view and perform actions by permission. Each Federal agency designates required roles in their workflow. Please refer to an agency's business workflow diagram for more information.

The available roles in the GMM are as follows:

Federal Roles

Role	Actions
Grants Management Officer (GMO)	• Create new announcements and assign grants staff • Post and un-post announcements and non-competing application kits • Assign grants personnel for an announcement • Reject, concur, or not concur with funding memos • Confirm applications as Ineligible • Approve post-award actions and Prior Approval Memos • View applications in the Application Receipt Log • View Grant History and Post-Award Amendments • Verify submission and completion of an application. • Add Application and Grant Notes

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Role	Actions
	• Perform the Intake (Eligibility) Review for an application • Confirm the ineligibility of applications that are deemed not eligible • Close applications that are deemed not eligible • Perform the Business Review for an application • View Ranking and Approval Lists • Activate the Federal Financial Report (FFR) for a grant project • Accept, return, and submit Federal Financial Reports (FFR) • Review and Issue Notice of Awards (NOAs)
Grants Management Specialist (GMS)	• Edit, delete, and un-post Announcements and Non-Competing application kits • Create Application Kit templates • View applications in the Application Receipt Log • View Grant History and Post-Award Amendments • Perform the Grants Business Review • Generate and edit the draft NOA • Edit budget on Draft NOA for GMO review • Create prior approval memos • Perform Eligibility Review • Add Application and Grant notes • Update Terms & Conditions • View reports • Edit organization information • Accept, return, and submit Federal Financial Reports (FFRs)

Role	Actions
Program Officer (PO)	• Search and view grant announcements • Add/Upload program enclosures to be used in Application Kits • View and add Application and Grant Notes • View applications and the Application Receipt Log • Assign a disposition status to an application • Enter approved dollar amounts in the application Funding List • Enter recommended dollar amounts in the application Unfunded List • Create/Recommend Funding Memos • View and upload Technical Review documents for Non-Competing applications • View application Budget Worksheets • View application reviews • View grant history, terms and conditions, post-award amendments, and summary • View results reports for competing/non-competing/post-award amendment applications • Cannot Edit an NOA in *Draft* or *Review*, or participate in the NOA approval workflow
Grants Support Staff (GSS)	• View Announcements • View Application Kits • Create and edit Grant Enclosures included in Application Kits • View applications in the Application Receipt Log • View Grant History and Post-Award Amendments • Verify submission and completion of an application • Add Application and Grant Notes • Perform the Intake (Eligibility) Review of an application • View Ranking and Approval Lists • Process Federal Financial Report (FFR) paper submissions
Program Support Staff (PSS)	• Assists the Project Officer and has read-only access to most data • View Announcements • View Application Kits • View applications from the Application Receipt Log

Role	Actions
	• View Grant History and Amendments • Add Application and Internal Grant Notes
Program Budget Officer (PBO)	• View Announcements • View Application Kits • View applications in the Application Receipt Log • View Grant History and Post-Award Amendments • Add Application and Grant Notes • View Ranking and Approval Lists • Manage Funds Planning • Manage Financial Accounts • Accept, return, and submit Federal Financial Reports (FFR) • Create, edit, and delete commitments in Commitment Accounting • Perform a Budget Officer Review in the Award State workflow
Program Coordinator (PC)	• View Announcements • View Application Kits • Create and edit Program Enclosures included in Application Kits • View applications in the Application Receipt Log • View Grant History and Post-Award Amendments • Add Application and Grant Notes • View Ranking and Approval Lists • View Federal Financial Reports (FFR) • Perform a Coordinator Review in the Application Approval Workflow
Office Director (OD)	• View Announcements • View Application Kits • Create and edit Program Enclosures included in Application Kits • View applications in the Application Receipt Log • View Grant History and Post-Award Amendments • Add Application and Grant Notes • Assign a disposition status to an application • Enter the Recommended Federal and Non-Federal amounts for an application • View Ranking and Approval Lists

Role	Actions
	• View Federal Financial Reports (FFR)
Administrative Director (AD)	• View Announcements • View Application Kits • View Program Enclosures included in Application Kits • View applications in the Application Receipt Log • View Grant History and Post-Award Amendments • Add Application and Grant Notes • View Ranking and Approval Lists • View Federal Financial Reports (FFR) • Perform an Administrative Review in the Application Approval Workflow
Deputy Authorizing Official (DAO)	• View Announcements • View Application Kits • Create and edit Program Enclosures included in Application Kits • View applications in the Application Receipt Log • View Grant History and Post-Award Amendments • Add Application and Grant Notes • View Ranking and Approval Lists • View Federal Financial Reports (FFR) • Perform a Review in the Award State workflow
Authorizing Official (AO)	• View Announcements • View Application Kits • Create and edit Program Enclosures included in Application Kits • View applications in the Application Receipt Log • View Grant History and Post-Award Amendments • Add Application and Grant Notes • **Enter the Reviewers' Score for an application** • Assign a disposition status to an application • Enter the Recommended Federal and Non-Federal amounts for an application • View Ranking and Approval Lists • View Federal Financial Reports (FFR) • Close applications that are eligible but not approved for funding • Create, edit, and/or reopen the Funding Memo • Approve the Funding Memo

Role	Actions
	• Perform a Final Approval in the Award State workflow
Financial Management Officer (FMO)	• Create Financial Accounts • View the status of Financial Accounts • Issue an Advice of Allowance • Participate in Application/Funding Memo and NOA Approval workflows • View grant announcements • View results reports for competing/non-competing/post-award amendment applications • View grant history, terms and conditions, post-award amendments, and summary

Grantee Roles

Role	Actions
Grantee Administrative Official (ADO)	The Grantee Administrative Official (ADO) is responsible for the oversight of activities performed by the Grantee Security Monitor. • Accepts award on behalf of organization • Ability to submit Federal Financial Reports (FFR)
Principal Investigator/Program Director (PI/PD)	The Principal Investigator/Program Director (PI/PD) is responsible for the oversight of activities performed by the Grantee Support Staff. • Perform all Grantee Support Staff duties • Submit Federal Financial Reports (FFR)
Grantee Support Staff (GSS)	The Grantee Support Staff's role is to assist the Principal Investigator or Program Director (PI/PD) in the grantee organization. The Grantee Support Staff may: • View and submit applications/amendments • Enter Federal Financial Report (FFR) information but cannot submit
Grantee Financial Official (FO)	The Grantee Financial Official (FO) is responsible for the oversight of activities performed by the Grantee Financial Support Staff. The Grantee Financial Official may: • View awards • Submit Federal Financial Report (FFR)

Role	Actions
Grantee Financial Support Staff (FSS)	The Grantee Financial Support Staff (FSS) role is to assist the Grantee Financial Official in the grantee organization. The Financial Support Staff may: • Perform all Grantee Financial Official duties except submit the final Financial Status Report for an award

Note: Although roles permit a user to perform actions by default, some grant program configurations may limit the tasks a user can complete. **To determine the actions each user should take, refer to the office's workflow** diagram. **Grantee Actions by Role**

Role	View Awards	View Award History	View and Submit Applications/ Amendments	View/Add Application and Grant Correspondent Notes	Grantee Award Acceptance	View*/ Enter FFR Data	Submit FFR
Grantee Authorizing Official (ADO)	X	X	X	X	X	X	X
Principal Investigator/ Program Director (PI/PD)	X	X	X	X		X	X
Grantee Support Staff (GSS)	X	X	X	X			
Grantee Financial Official (FO)	X	X		X		X	X
Grantee Financial Support Staff (FSS)	X	X		X		X	

**Grantee Support Staff may view the FFR but cannot enter data or submit.*

GRANTSOLUTIONS SUPPORT

GrantSolutions support is available to assist Grantor and Grantee users with technical questions. Users can call or email the Help Desk, submit a Help Request directly from the system, or initiate a Live Chat session.

Help Desk Contact Information

Email: help@grantsolutions.gov
Phone: 202-401-5282 or 866-577-0771
Hours: Monday through Friday 7 a.m. to 8p.m. Eastern Time (ET) excluding Federal holidays

Locate Help Desk contact information in a variety of ways:

- From the **GrantSolutions "Home"** page, select **Contact Us** from the menu bar in the top right corner of the screen. **The "Contact Us" screen appears with** Help Desk information located on the right as well as in the bottom left corner of the page.

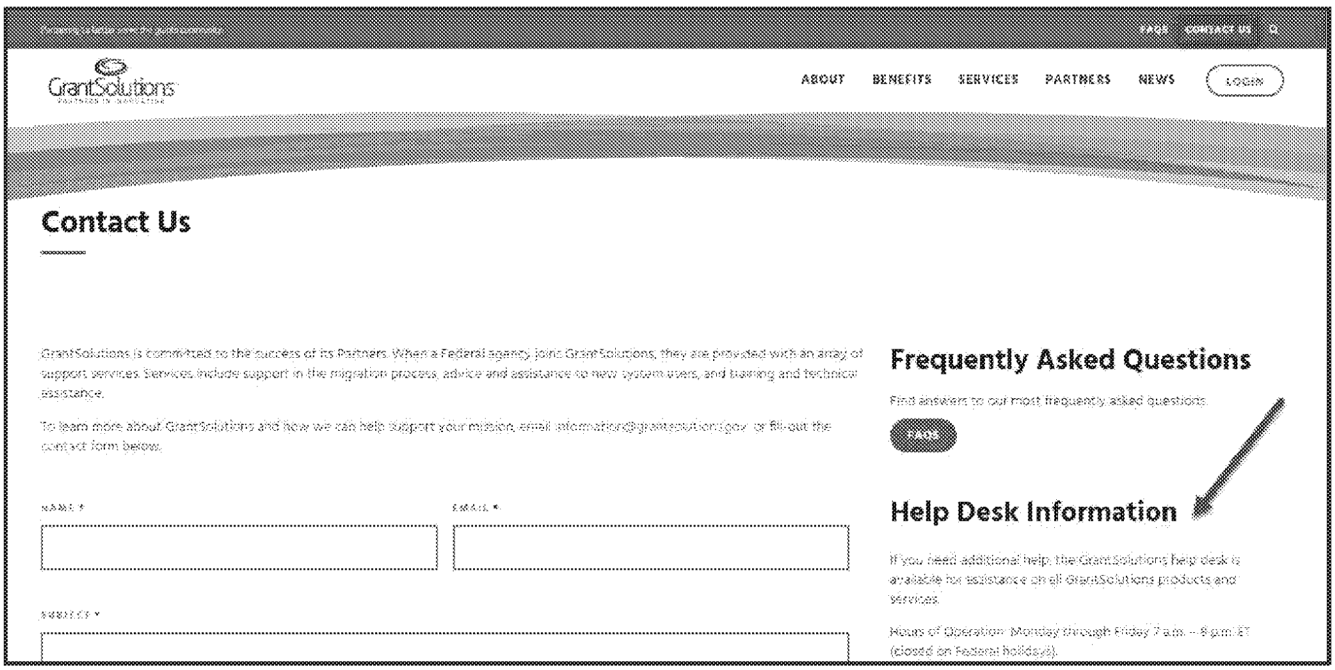


Figure 4: GrantSolutions "Contact Us" screen - Help Desk Information

When logged in to the GMM, contact information for the Help Desk is visible in the footer section of each screen.

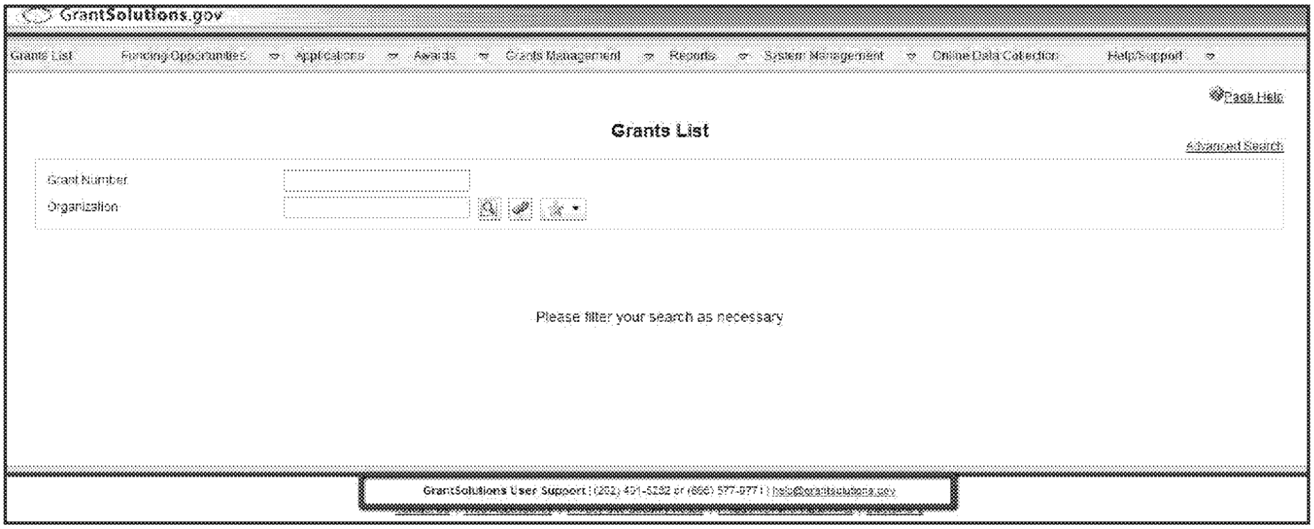


Figure 5: GrantSolutions "Grants List Simple Search" screen - Footer

Submit a Help Request

The "Submit a Help Request" tool provides users with a convenient way to send questions to the Help Desk directly from the GrantSolutions GMM. In addition to capturing a snapshot of the screen where the issue was encountered, the tool automatically populates a user's name, email, phone number, service office, and role.

To submit a Help Request from within the GMM:

- Log into the GrantSolutions GMM. From the menu bar, select **Help/Support → Submit a Help Request.**

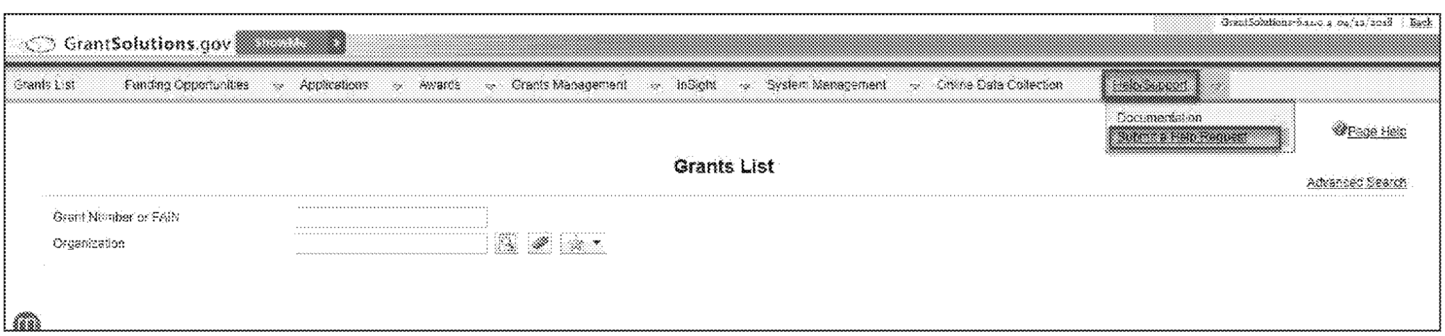


Figure 6: GMM Menu Bar - Navigate to Submit a Help Request

- **The "Help Request" screen appears in a new window.** From the *Service Office* drop-down list, select the appropriate **Program** or **Grants Service Office**.
- From the *Roles* drop-down list, select the appropriate **system role**.

- Enter a **subject** in the *Subject* field.

Enter a **description of the request** in the *Description* field. Please include all relevant information, including Grant number, Application number, etc.

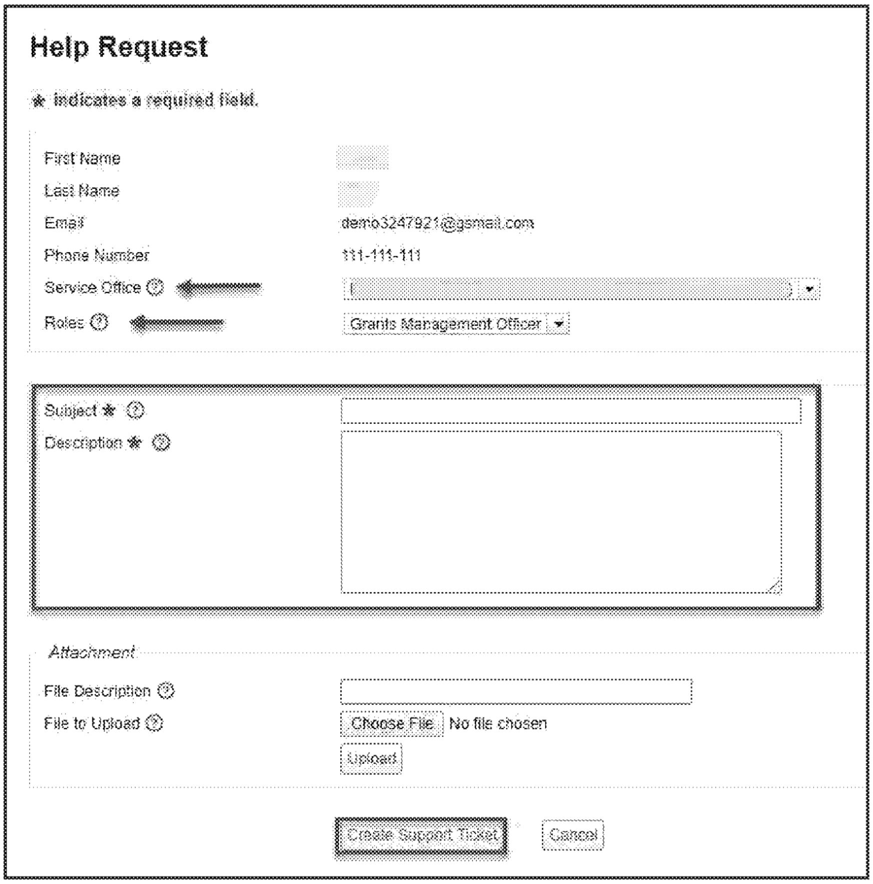


Figure 7: GrantSolutions GMM "Help Request" window

- When the Help Request is complete, click the **Create Support Ticket** button.
- A confirmation message appears containing the date and time the ticket was created.

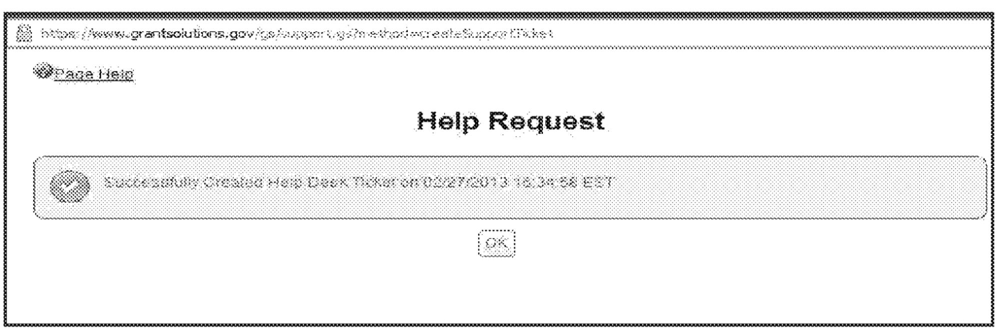
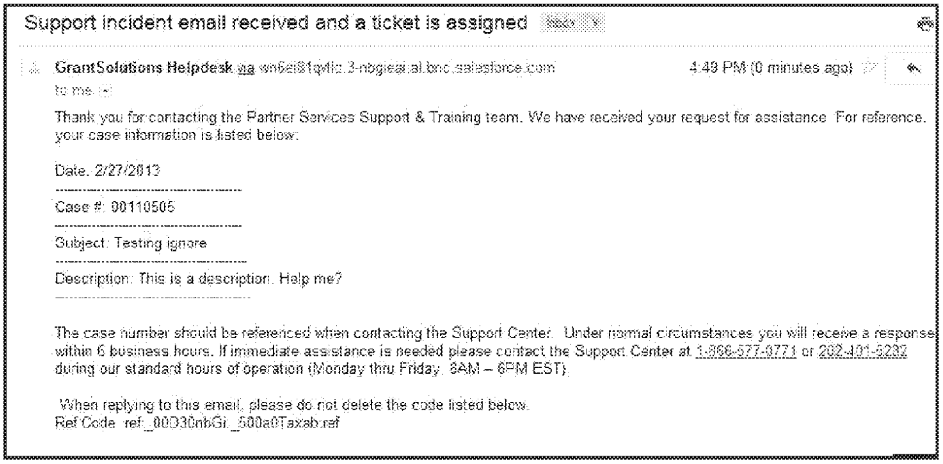


Figure 8: GrantSolutions GMM Help Request confirmation message

- An email containing an automatically generated ticket number is sent to the email address provided **in the user's profile**.


Support incident email received and a ticket is assigned

GrantSolutions Helpdesk via wn6ei81q4lc.3-nbgieai.al.bnc.salesforce.com 4:49 PM (0 minutes ago)
to me

Thank you for contacting the Partner Services Support & Training team. We have received your request for assistance. For reference, your case information is listed below:

Date. 2/27/2013

Case #: 00110505

Subject: Testing ignore

Description: This is a description. Help me?

The case number should be referenced when contacting the Support Center. Under normal circumstances you will receive a response within 6 business hours. If immediate assistance is needed please contact the Support Center at 1-866-577-0771 or 202-401-5282 during our standard hours of operation (Monday thru Friday, 8AM – 6PM EST).

When replying to this email, please do not delete the code listed below.
Ref Code: ref:_00D30nbGi._500a0Taxab:ref

Figure 9: Support Incident email message

Live Chat

Live Chat allows users to connect with a support agent online, in real time. Once an issue has been resolved, chats can be saved by the user for future reference.

To start a Live Chat session:

- Log into the GrantSolutions Grants Management Module (GMM).
- The "Chat Now" icon is visible in the bottom left corner of the screen. A green check mark appears on the icon when an agent is available. Click the **Chat Now** icon.

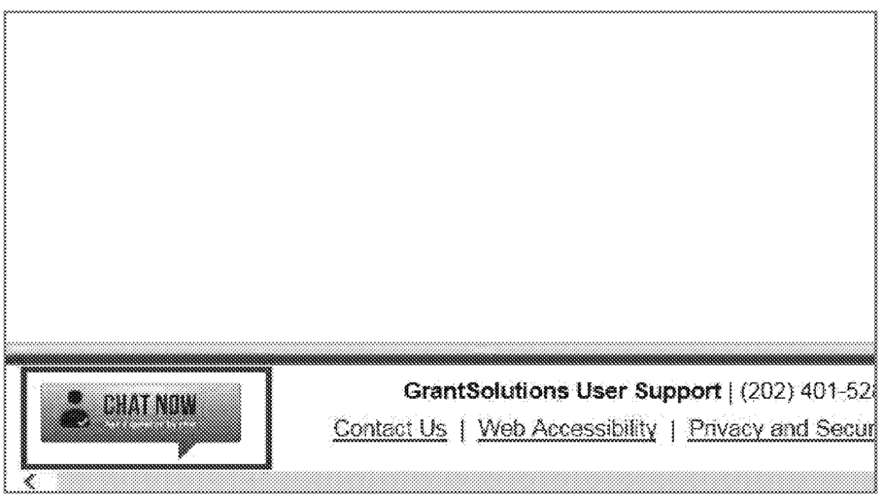


Figure 10: GrantSolutions GMM Chat Now icon

The "Pre-Chat Form" window appears containing automatically populated user information and provides the name of the screen where the chat originated. Verify the pre-populated fields and click the **Start Chat** button.

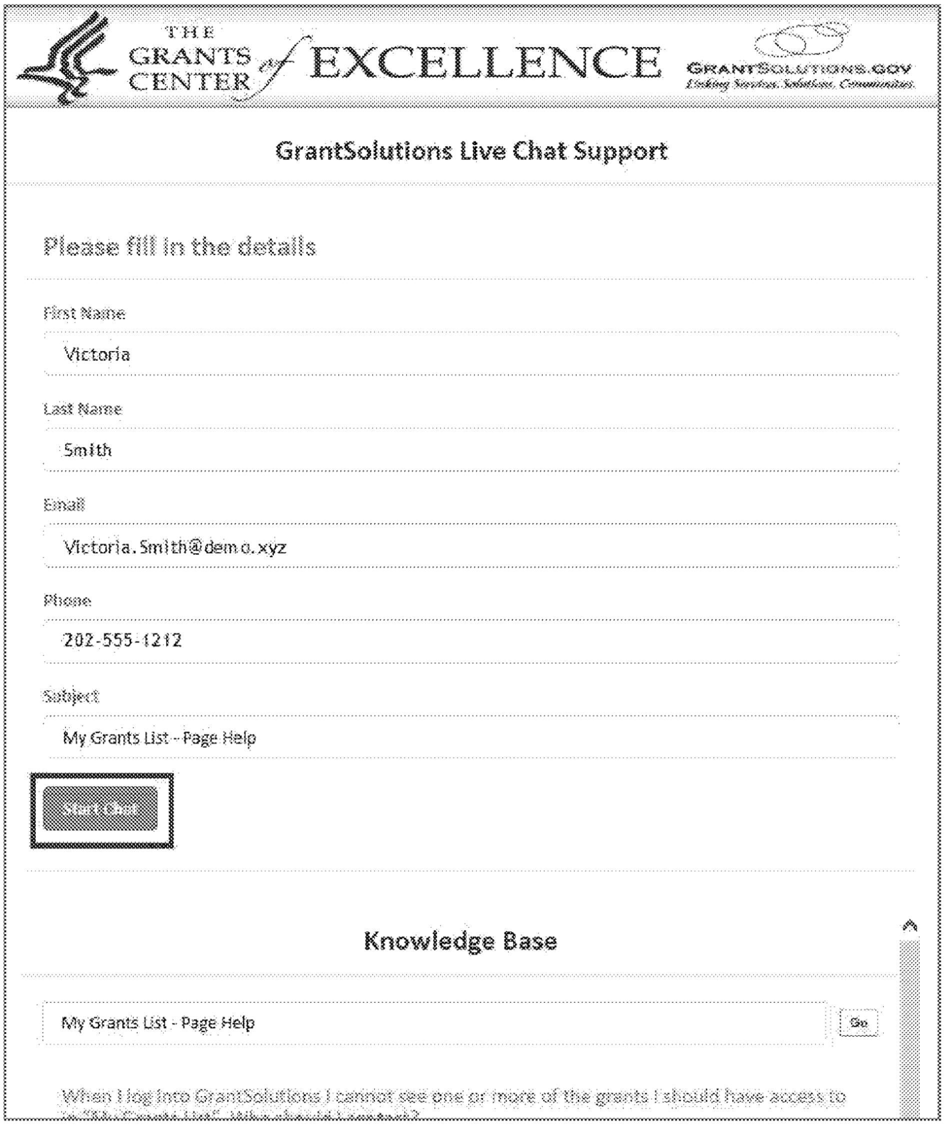


Figure 11: GrantSolutions Live Chat "Pre-Chat Form" - Start Chat button

<u>**Note:**</u> The Knowledge Base contains answers to frequently asked questions. Enter **search text** in the *Knowledge Base* field and click the **Go** button to locate possible answers.

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- **The** "GrantSolutions Live Chat Support" **window appears. Enter** a **question** using as much detail as possible.

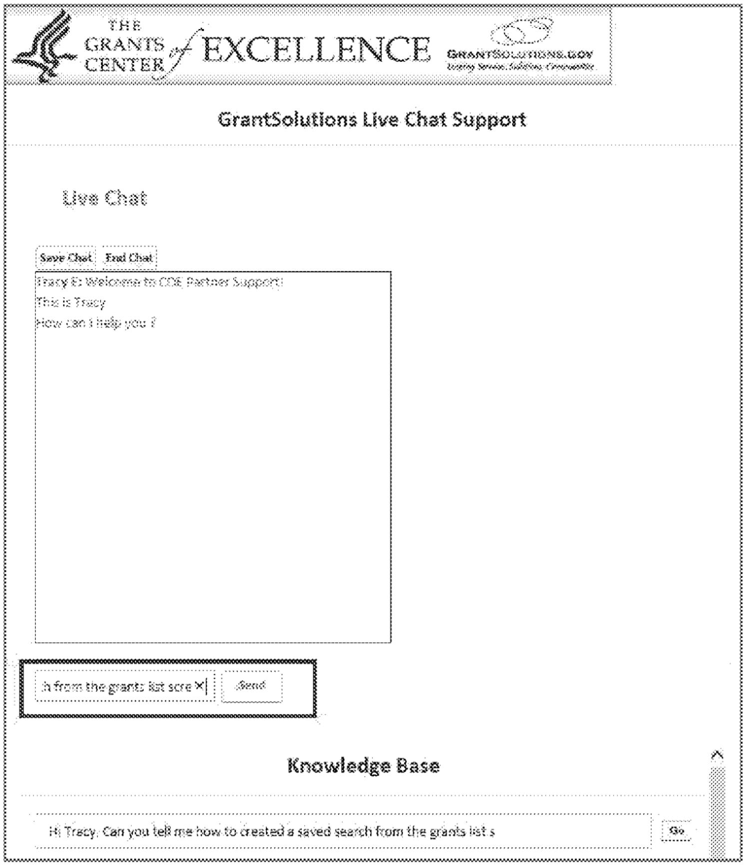

Figure 12: "GrantSolutions Live Chat Support" window - Entering and Sending Questions

Note: There may be a wait for an agent depending on how many users are in the Chat Request queue. If there is a wait, the window indicates the number of pending requests.

- The agent responds. Enter additional text as necessary. Once the issue is resolved, the chat session may be saved as a text file by clicking the **Save Chat** button.

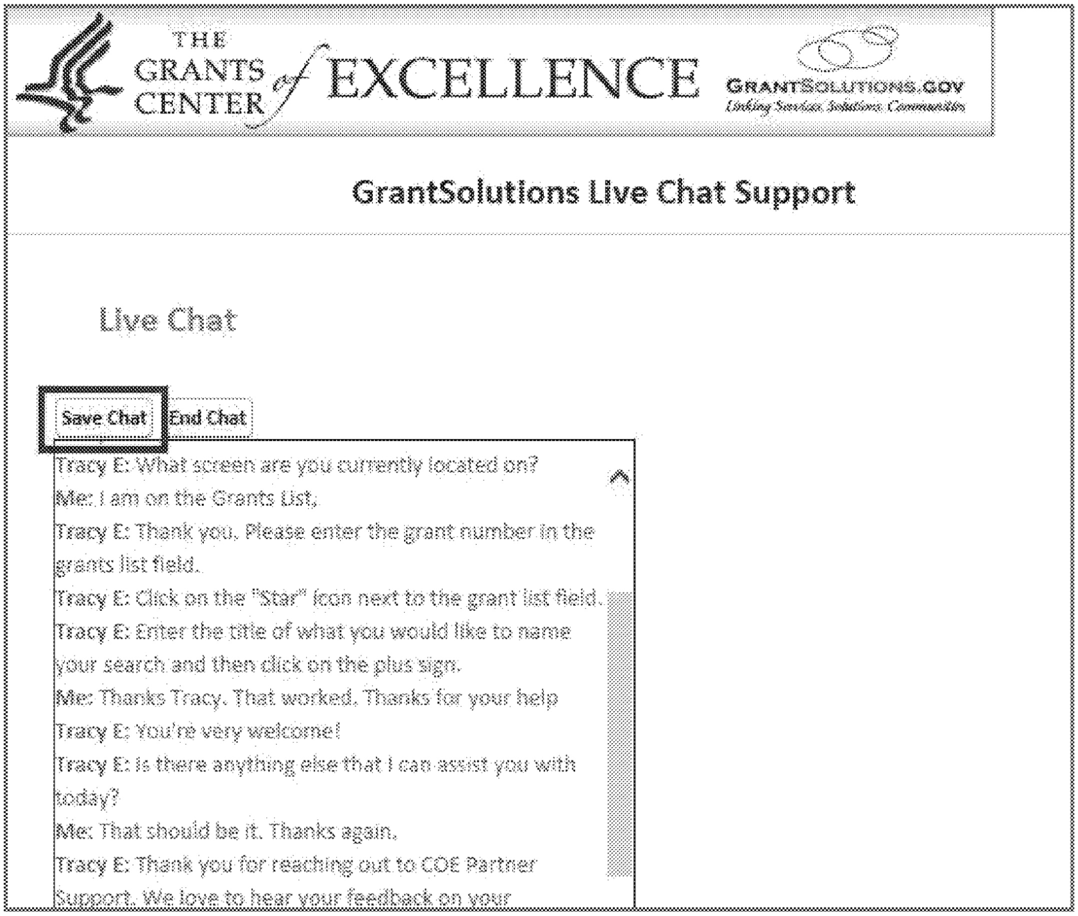

Figure 13: GrantSolutions GMM Live Chat window – "Save Chat" button

- A message appears prompting the user to **Open** or **Save** the chat as a text file.

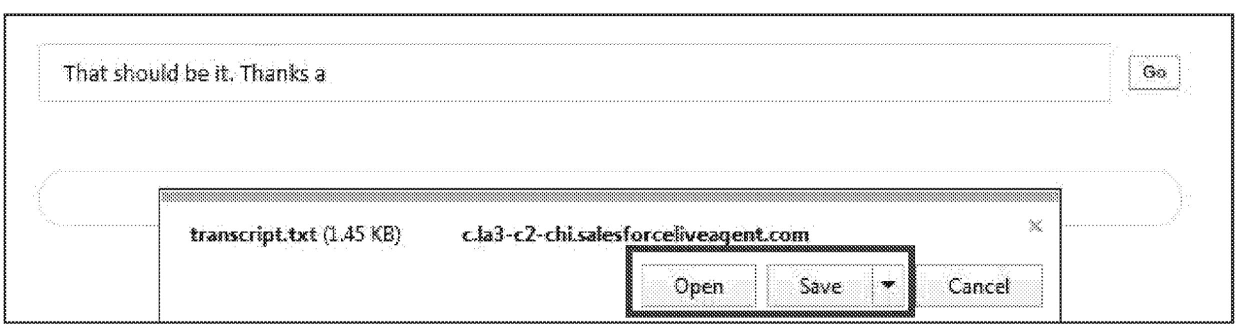

Figure 14: GrantSolutions GMM Message to Open or Save Chat text file

Note: The Open or Save message may look different depending on the browser used.

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LESSON 1 REVIEW QUESTIONS:

- What is the web address of the GrantSolutions public website?
- Where is the User Account Request form located on the GrantSolutions public website?
- Name one Federal and one Grantee role in the GrantSolutions GMM. What actions are those roles able to perform?
- List four possible ways to submit a help request to GrantSolutions.

Lesson 2: Login to the GrantSolutions Grants Management Module

OBJECTIVES

At the end of this lesson, the user will be able to:

- Access the GrantSolutions Login Screen
- Locate the List of Supported Browsers and Help Desk Contact Information
- Reset Password and Unlock Account
- Change Expiring Passwords

To begin working in the GrantSolutions Grants Management Module (GMM), navigate to the login screen.

- From an Internet browser (such as Internet Explorer), go to www.grantsolutions.gov.
- The GrantSolutions Home page appears. Click the **Login** button in the top right corner of the screen.

Figure 15: The GrantSolutions Home page

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- The GrantSolutions GMM login screen displays. Create a bookmark or favorite from the browser to navigate directly to this screen in the future.

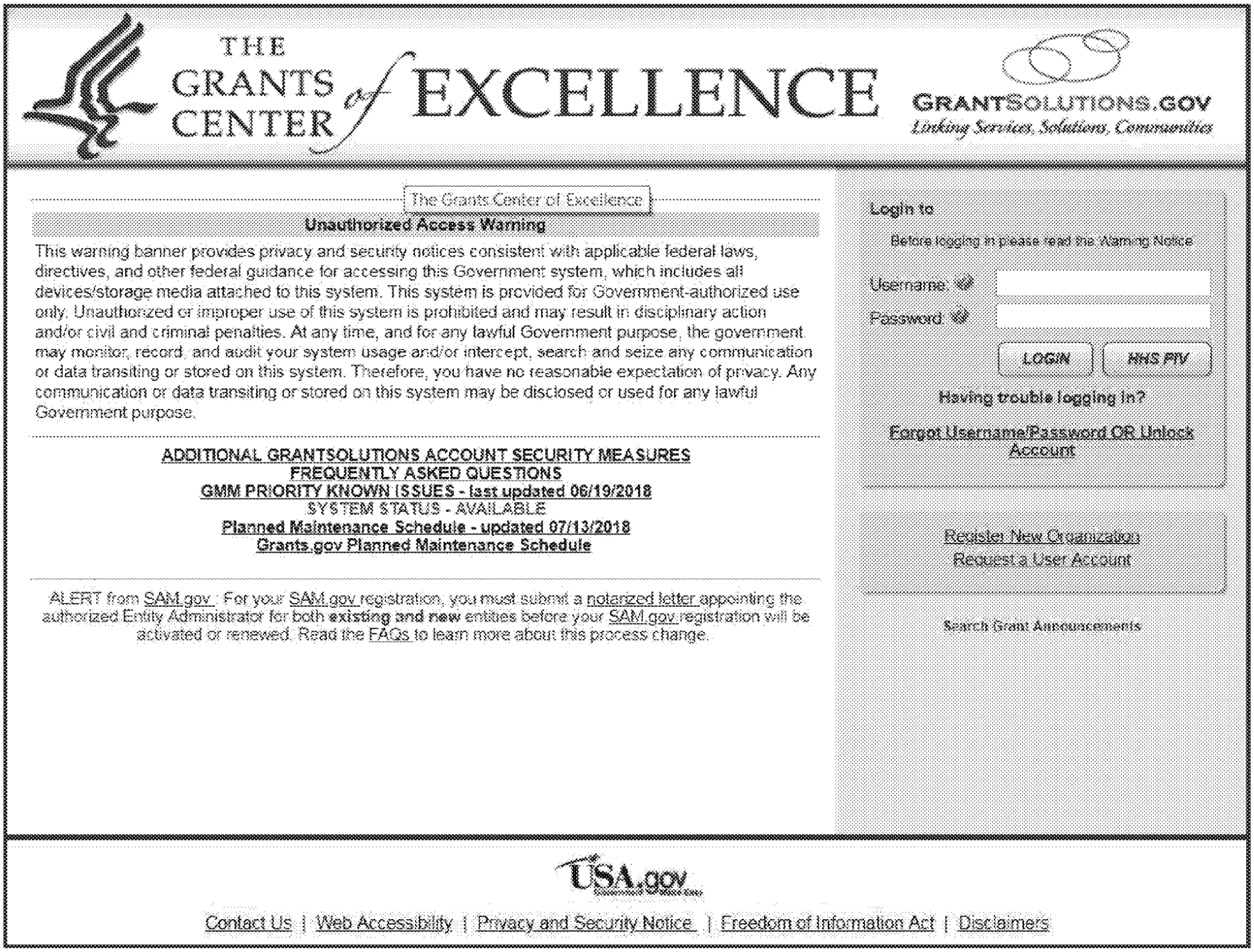

Figure 16: GrantSolutions GMM Login screen

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LOGIN SCREEN

The GrantSolutions GMM login screen contains useful information including the current system status, scheduled down times, Frequently Asked Questions, announcements, and links to request user accounts.

Once a new user receives their username and password via email, they can log into the system.

Some Partner agencies log into the GMM with only a username and password, while others are required to use Two-Factor Authentication. Two-Factor Authentication was implemented in the GrantSolutions GMM to provide a secure login method, protect federal data, and confirm the identification of users logging into the system. Two-Factor Authentication adds an additional layer of login security.

Currently, there are two forms of Two-Factor Authentication used by the GMM:

- PIV card plus Pin
- Username and password plus a randomly-generated key code. Options for receiving the randomly-generated code include:
    - Google Authenticator App: Requires a Smart Phone
    - Text Message: Requires a Mobile Phone with Texting Capability
    - Call Back: User selects one of the three phone numbers provided in the GrantSolutions GMM profile (Work Phone, Mobile Phone or Other). The phone number selected will receive a call with a randomly generated code

Login with Username and Password Only

To log into the GrantSolutions GMM:

- Enter a **username** in the *Username* field.
- Enter a **password** in the *Password* field.

Tip: Do not copy and paste the password from the email into GrantSolutions, as the password does not always copy correctly.

- Click the **Login** button.

Figure 17: GrantSolutions GMM Login screen

- The first time a user logs into the GrantSolutions GMM, they are required to change their password for security purposes.

Passwords must comply with the following policy requirements:

- The password must contain at least 8 characters.
- At least one upper-case, one lower-case, one number, and one special character must be used. Special characters include: @ # $ % & * = ? < >
- The password cannot begin with a numeric character
- Passwords are valid for 60 days. As the expiration date approaches, users receive daily prompts to change their password.

The "GrantSolutions Password Policy" screen appears. **Enter the** temporary **Current Password**, a **New Password**, and **Confirm New Password**. Click the **Submit** button.

Figure 18: GrantSolutions GMM "Change Password" screen

- **The GrantSolutions GMM "Login" screen reappears. Enter the Username** and the newly changed **Password** and click the **Login** button.

Figure 19: GrantSolutions GMM Login screen

- **The "Grants List" screen displays.**

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Login with PIV and Pin

Grantors from selective Partners can access GMM using a Personal Identity Verification (PIV) card.

Prior to logging in with a PIV card for the first time, please review the initial requirements below to ensure the required user account information and equipment are handy.

Initial Requirements:

- Active HHS issued HSPD-12 access card, also known as Personal Identity Verification (PIV) card
- **Active GrantSolutions GMM user account linked with user's PIV card**
- Personal Identity Number (PIN) for PIV
- HSPD-12 access card / PIV card reader with ActiveClient 6.2 software installed

Grantsolutions.gov can be accessed with a PIV card from the GrantSolutions GMM login page or the Access Management System (AMS) homepage (https://iam.hhs.gov).

To access the GMM directly from the AMS homepage, a first-time user must link the Grantsolutions.gov application to the AMS homepage.

Note: When PIV is used to log in, logging out of GrantSolutions returns the user to the AMS homepage.

To log into the GMM with a PIV card:

- Ensure the PIV card is properly inserted into the PIV card reader.
- From the GMM login page, click the **HHS PIV** button.

Figure 20: GrantSolutions login page - HHS PIV button

- The "Access Management System (AMS)" login page appears.

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- Click the **Login** button under the *HSPD-12 Access Cards* section.

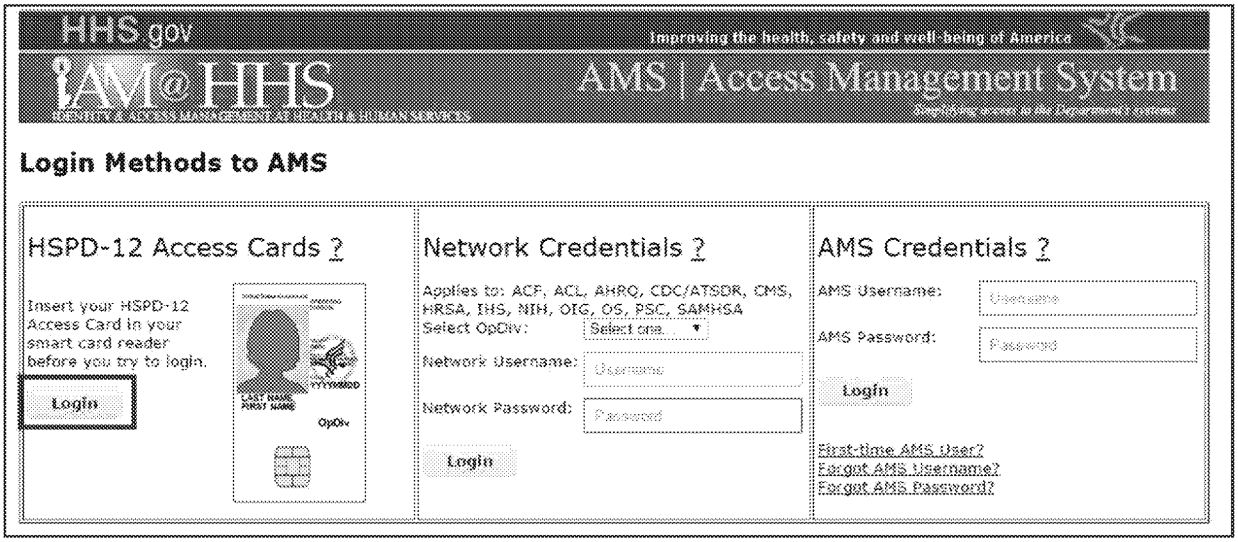

Figure 21: AMS Homepage - Login button

- Click the **Agree** button at the bottom of **the "Government Warning" pop**-up window.

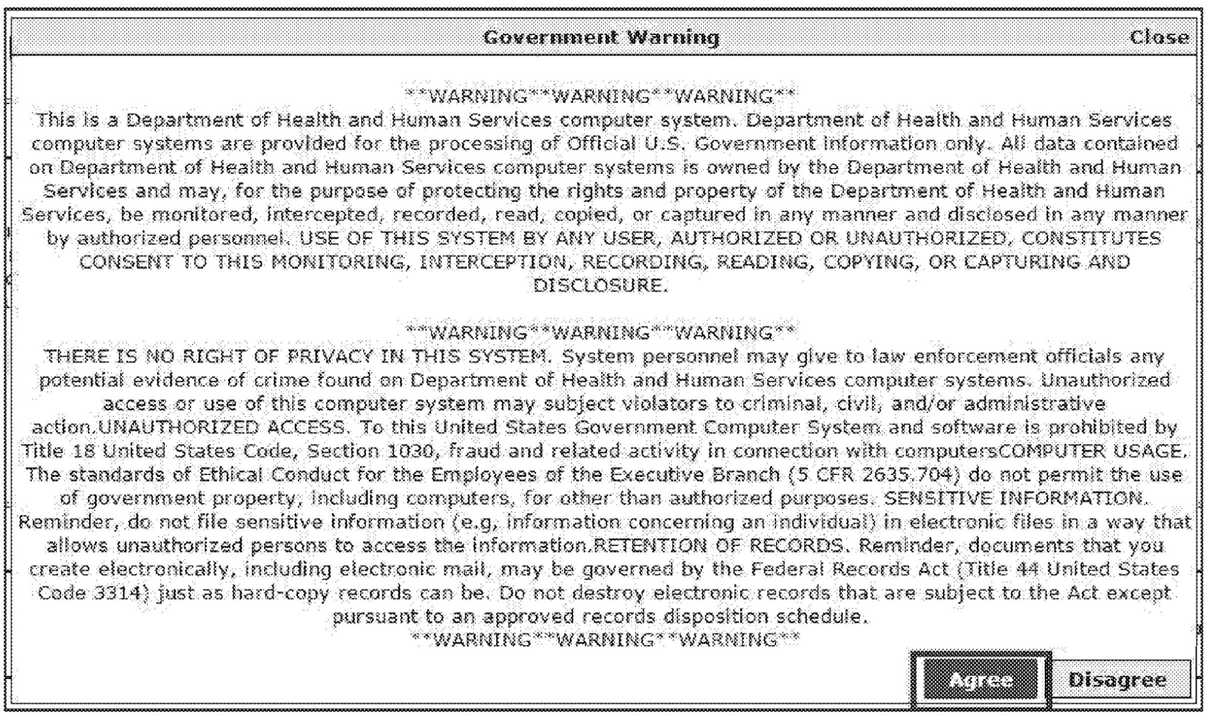

Figure 22: Government Warning pop-up window - Agree button

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- The PIV Reader detects the PIV and displays the certificate.
- Select the **certificate** and then click the **OK** button.

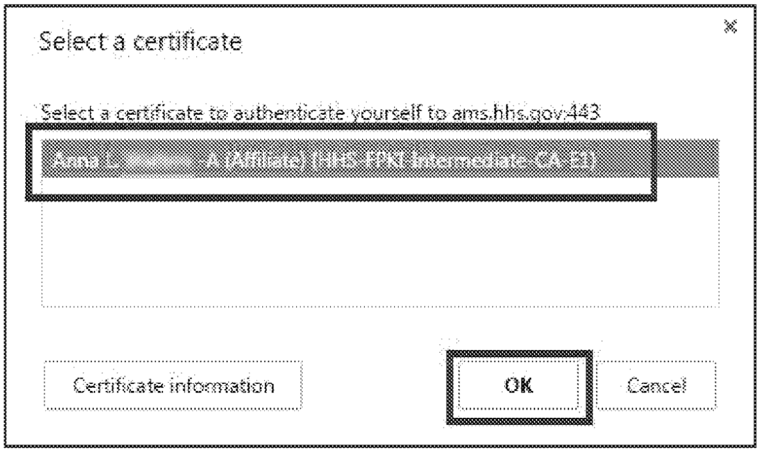

Figure 23: AMS "Select a Certificate" pop-up window

- <u>Note</u>: The display may be different based on the browser used.
- Enter the 6 or 8-digit **PIN** and click the **OK** button.

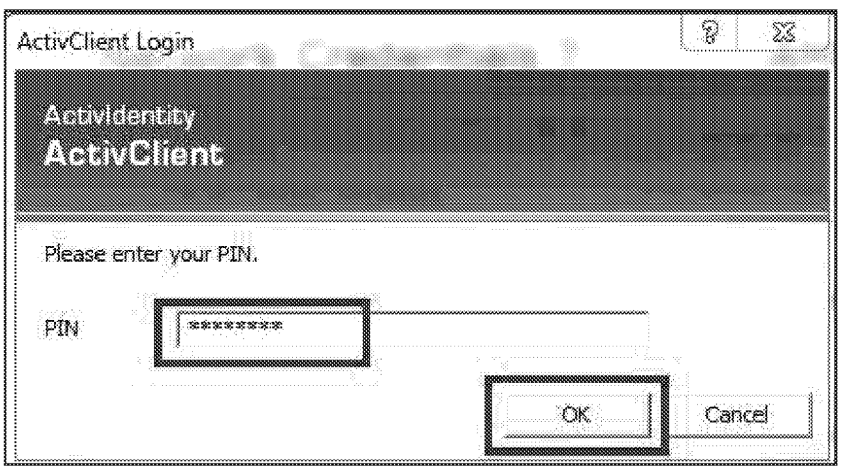

Figure 24: Active identity PIN pop-up window

- After successful authentication, **the GrantSolutions GMM "Grants List" screen** appears.
- **Note:** The username associated with the PIV card is displayed in the upper right-hand corner of the screen.

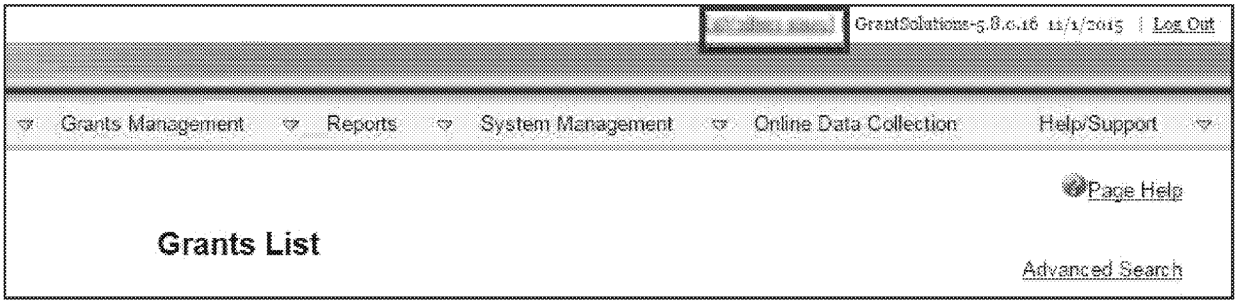

Figure 25: GrantSolutions GMM Grants List screen

Important! When a user is assigned to more than one GMM account, they must first select which account to **access from the "Select a Login Account" screen. This screen appears after the PIV Pin is entered.**

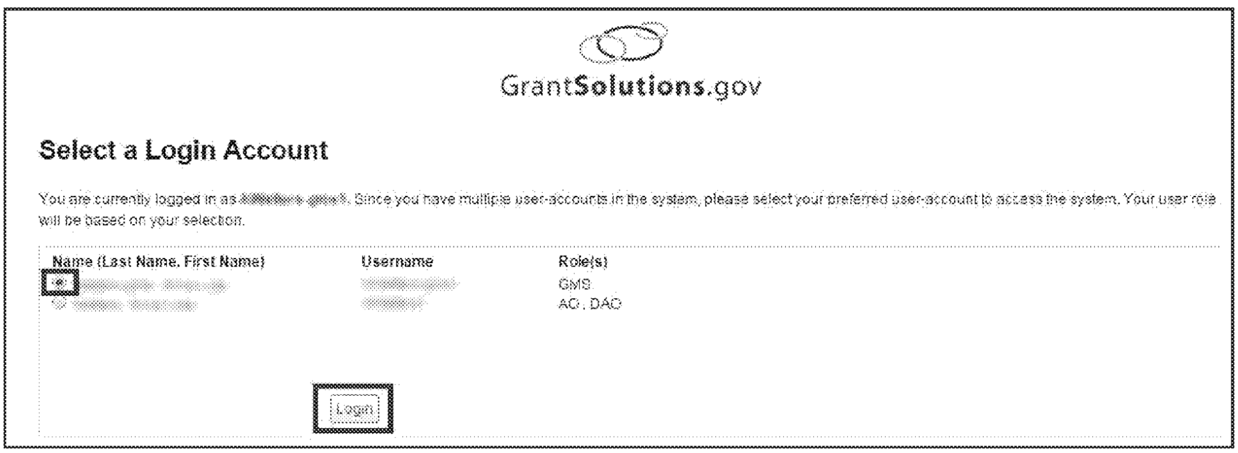

Figure 26: "Select a Login Account" screen

To log out of the GMM, click the **Log Out** link in the top right corner of the screen.

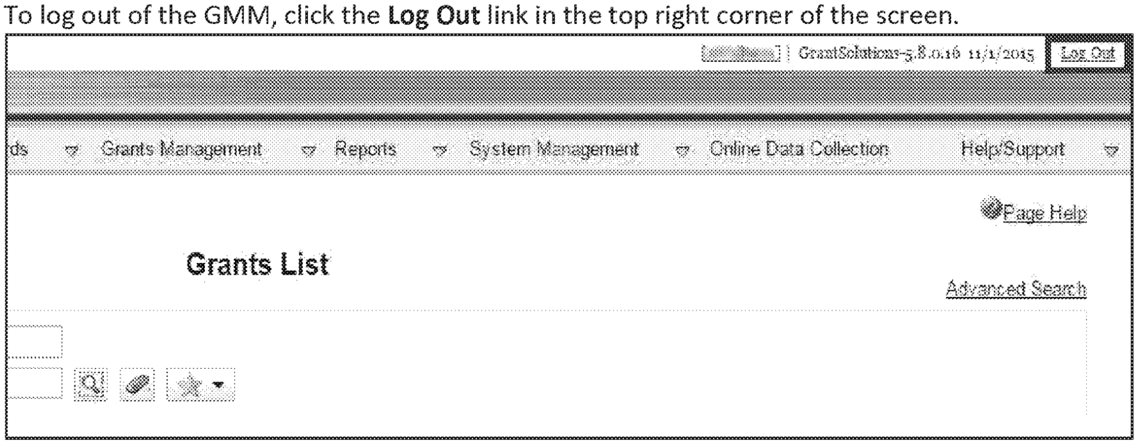

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Figure 27: Logout link from the Grants List screen

The AMS screen appears. Click the **AMS Logout** button to end the AMS session.

Alternatively, the user may start a new GrantSolutions session by clicking the **GrantSolutions.gov** link on the AMS **"Home" page**.

Link/Delink GrantSolutions Application in AMS Homepage

If a first-time user is unable to access the GrantSolutions.gov link from the AMS homepage, follow the instructions below:

- Select the **Link/Delink Applications** tab on the AMS Homepage.

Figure 28: AMS Link/Delink Application Tab

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- Click the **Link an Application** radio button.

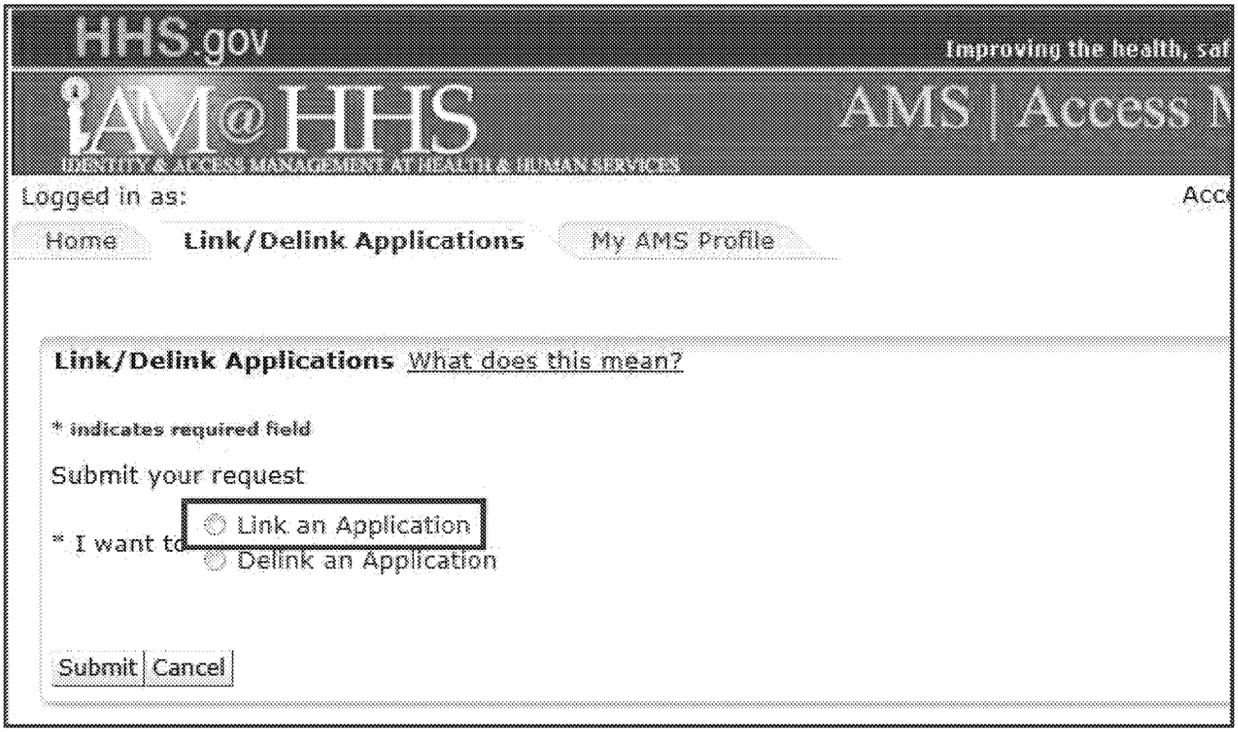

Figure 29: AMS Link/Delink Application tab – Link an Application radio button

- Select **GrantSolutions.gov** from the *Applications* drop-down list and click the **Submit** button.

Figure 30: AMS Link/Delink Application tab – Submit button

- A confirmation message appears. Click the **Continue** button.

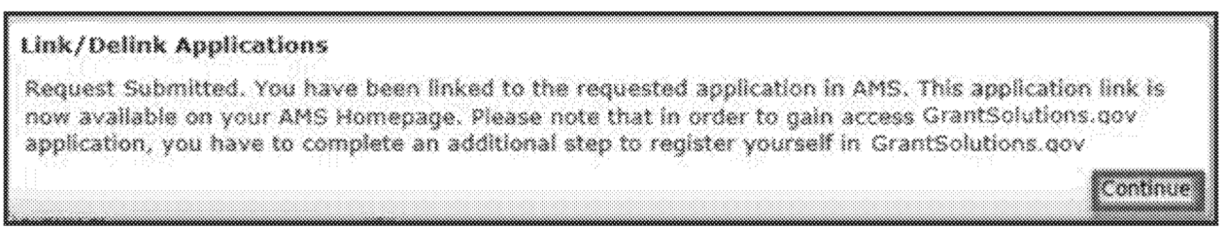

Figure 31: AMS Link/Delink Applications confirmation message

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- The "Home" **tab appears and GrantSolutions.gov is linked to the AMS users' profile.**
- Click the **GrantSolutions.gov** link to access the GrantSolutions GMM application.

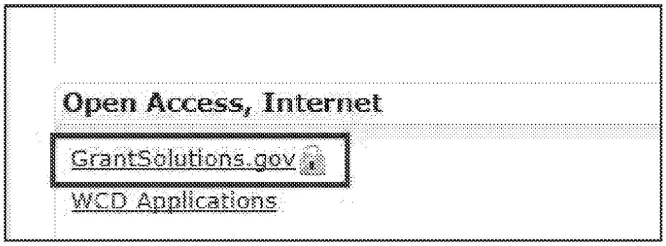

Figure 32: AMS homepage - GrantSolutions.gov link

- The GrantSolutions GMM opens in a new window.

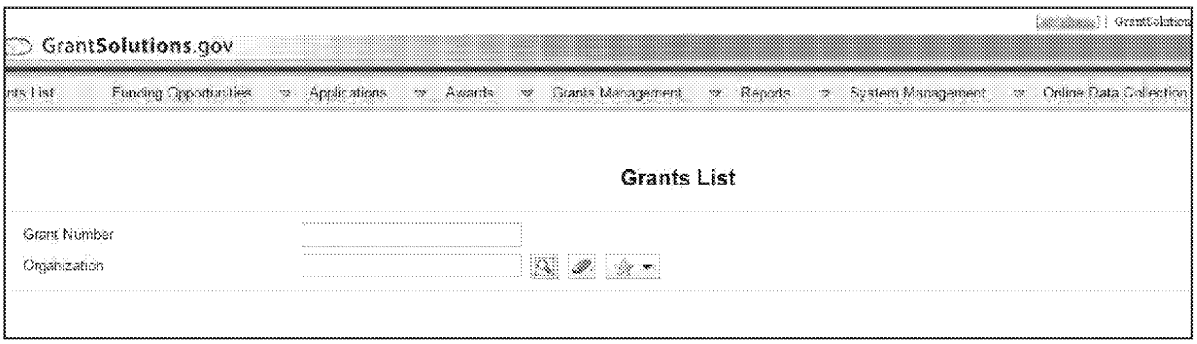

Figure 33: GrantSolutions GMM "Grants List" screen

Two-Factor Authentication – Username, Password, and Randomly Generated Passcode

To log into the GMM with a username, password, and randomly generated key code, it is first important to select a method for passcode generation.

Option 1: Authenticator App on Smart Phone

- Download the *Google Authenticator* app to an Android, Apple (iPhone, iPad, etc.), or Blackberry device.
- Log into the GMM with a username and password.

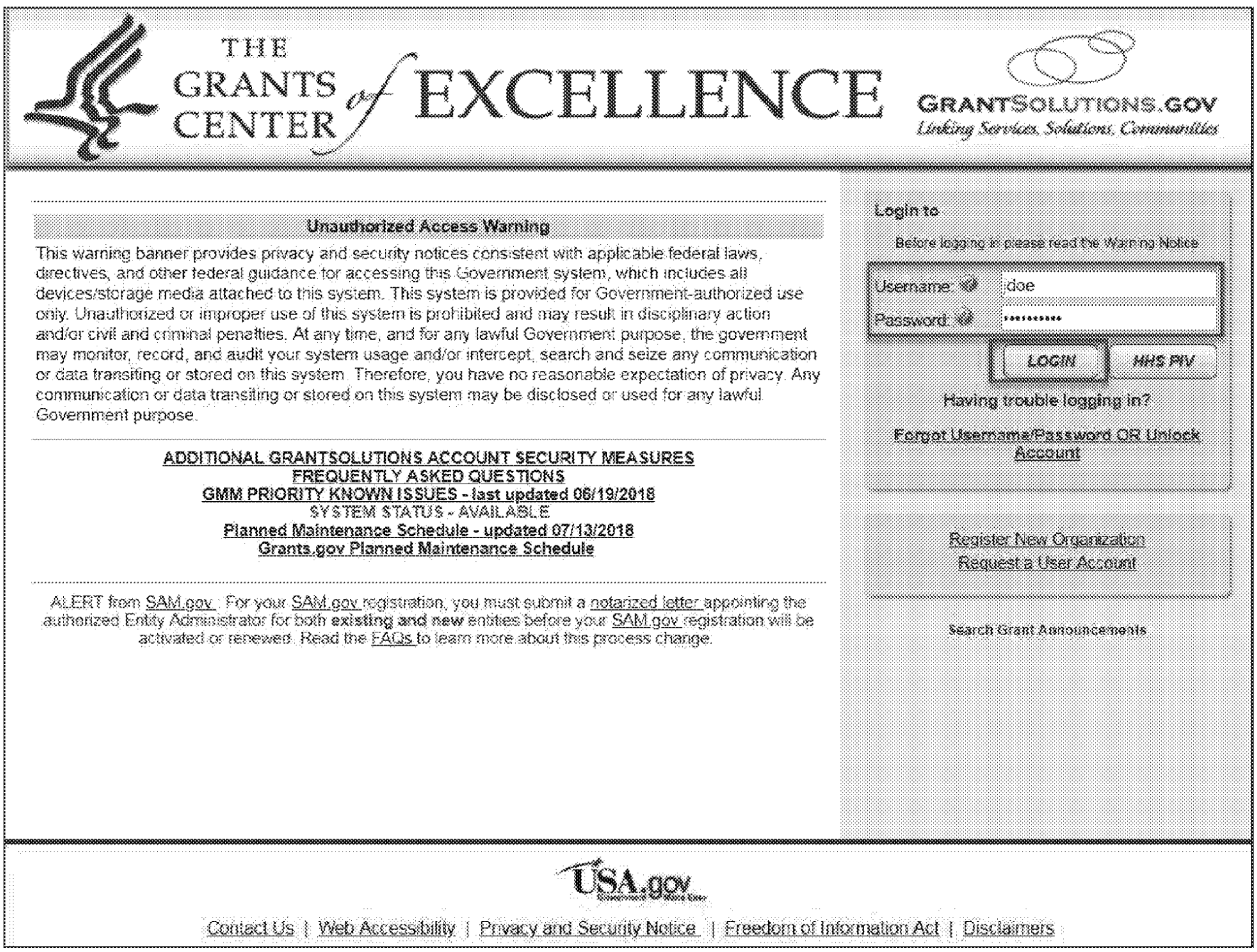

Figure 34: GMM Login screen

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- The “2 Factor Authentication” screen appears. Select the **Authenticator app (Smart mobile devices)** radio button.

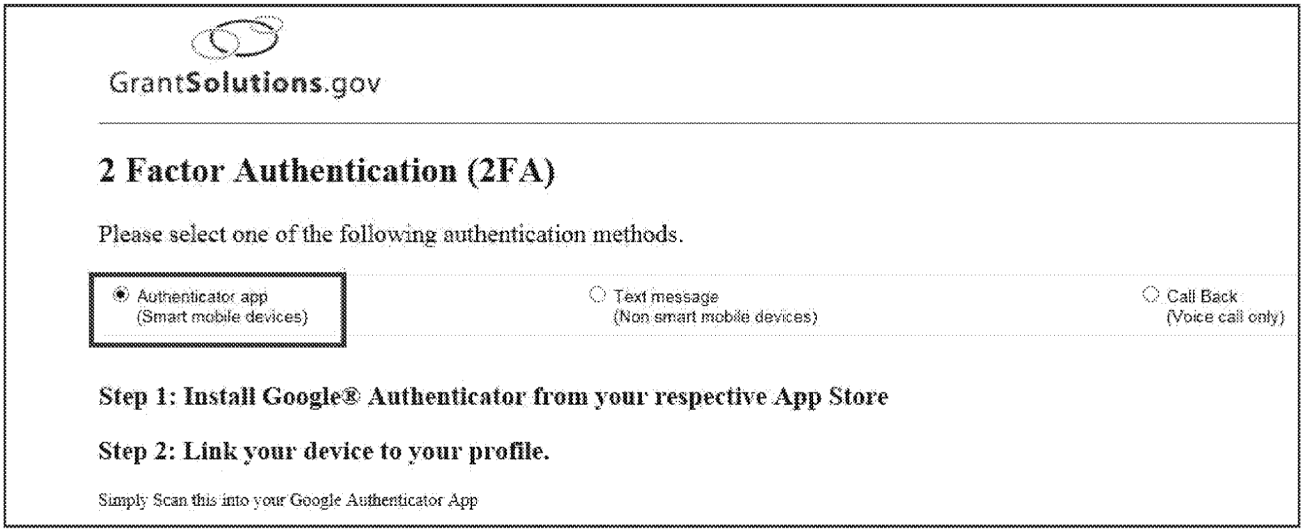

Figure 35: 2 Factor Authentication (2FA) screen

- The first time Two-Factor Authentication is used in the GMM, a barcode and Key are provided to link your GMM profile to Google Authenticator.

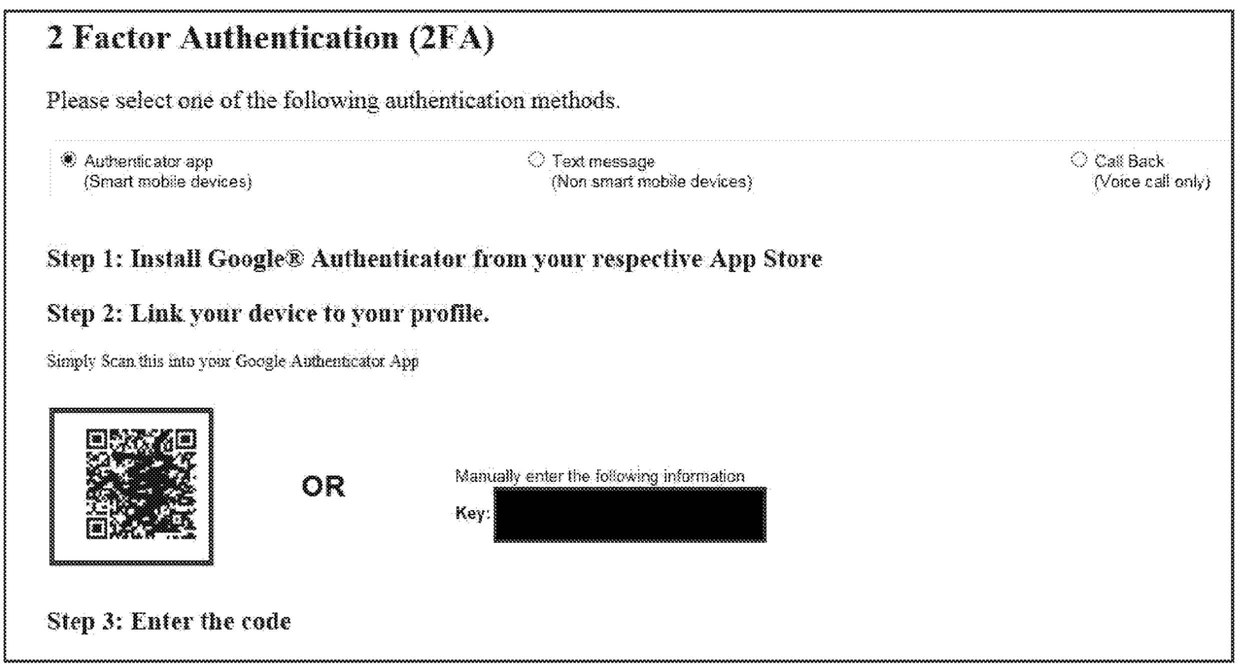

Figure 36: Two-Factor Authentication (2FA) screen - Barcode and Key

- From the **smart phone or other device's app store, download Google Authenticator**.
- From the *Google Authenticator* app, scan the barcode using the **device's camera or enter** a work email address and the Key provided from the GMM screen.

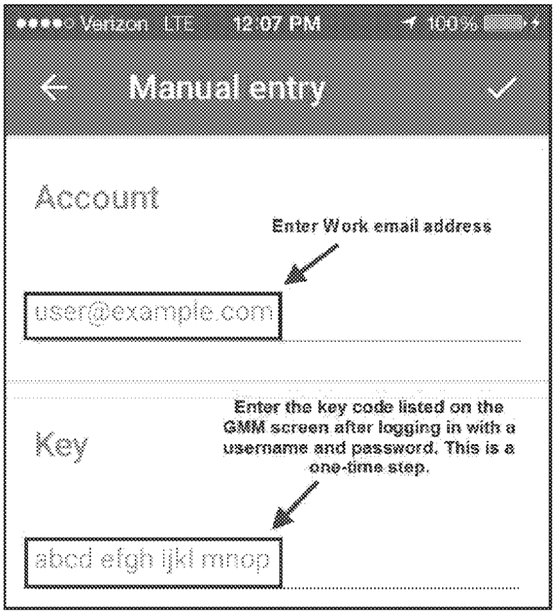

Figure 37: Google Authenticator App on iPhone - Key Setup

- The app is now ready to generate passcodes.

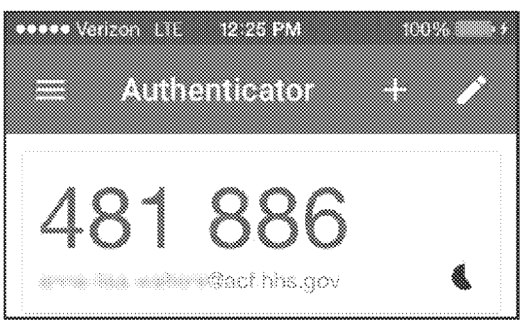

Figure 38: Google Authenticator App on iPhone -Randomly Generated Code

Note: The randomly generated code is valid for 30 seconds. After 30 seconds, a new code generates.

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- Enter the six digit, randomly generated **code** in the GMM *Passcode* field, and click **Submit**.

Figure 39: Two-Factor Authentication (2FA) screen – Passcode

- The "Grants List" screen appears.

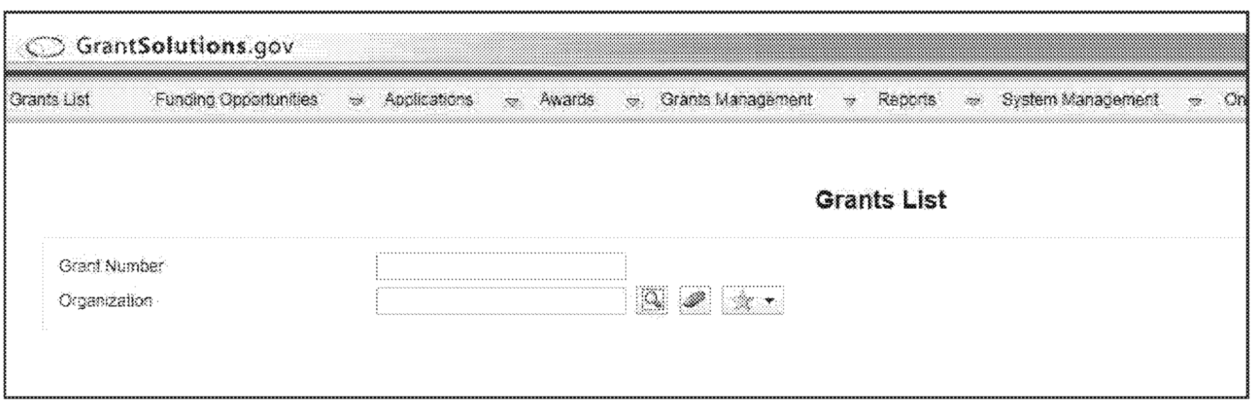

Figure 40: The GMM "Grants List Simple Search" screen

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Option 2: SMS Text

Users can update the GrantSolutions user profile to include a mobile phone number and carrier. This allows users to receive randomly generated passcodes via text message. If necessary, contact the Help Desk for assistance logging into the GMM.

To set up a GMM user profile to receive text messages:

- Log into the GMM.
- At the top of the screen, click the **username** link.

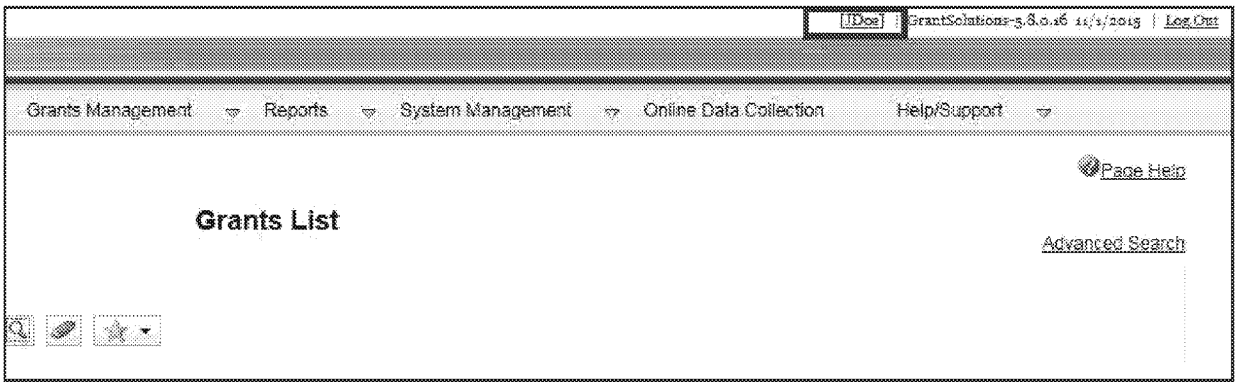

Figure 41: The GMM "Grants List Screen Simple Search" screen - Username link

- **The "Profile Update" screen appears.** Enter a **Mobile number** and select a **Carrier** from the drop-down list. Click the **Save** button.

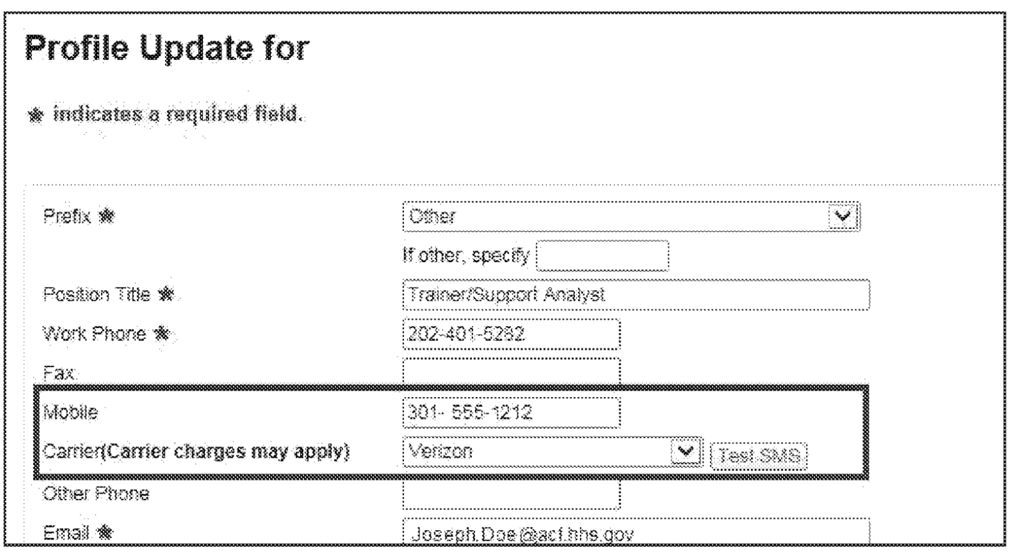

Figure 42: Profile Update screen - *Mobile* and *Carrier* fields

- The "Grants List" screen appears.

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To log into the GMM using Two-Factor Authentication via text message:

- Log into the GMM with a username and password.

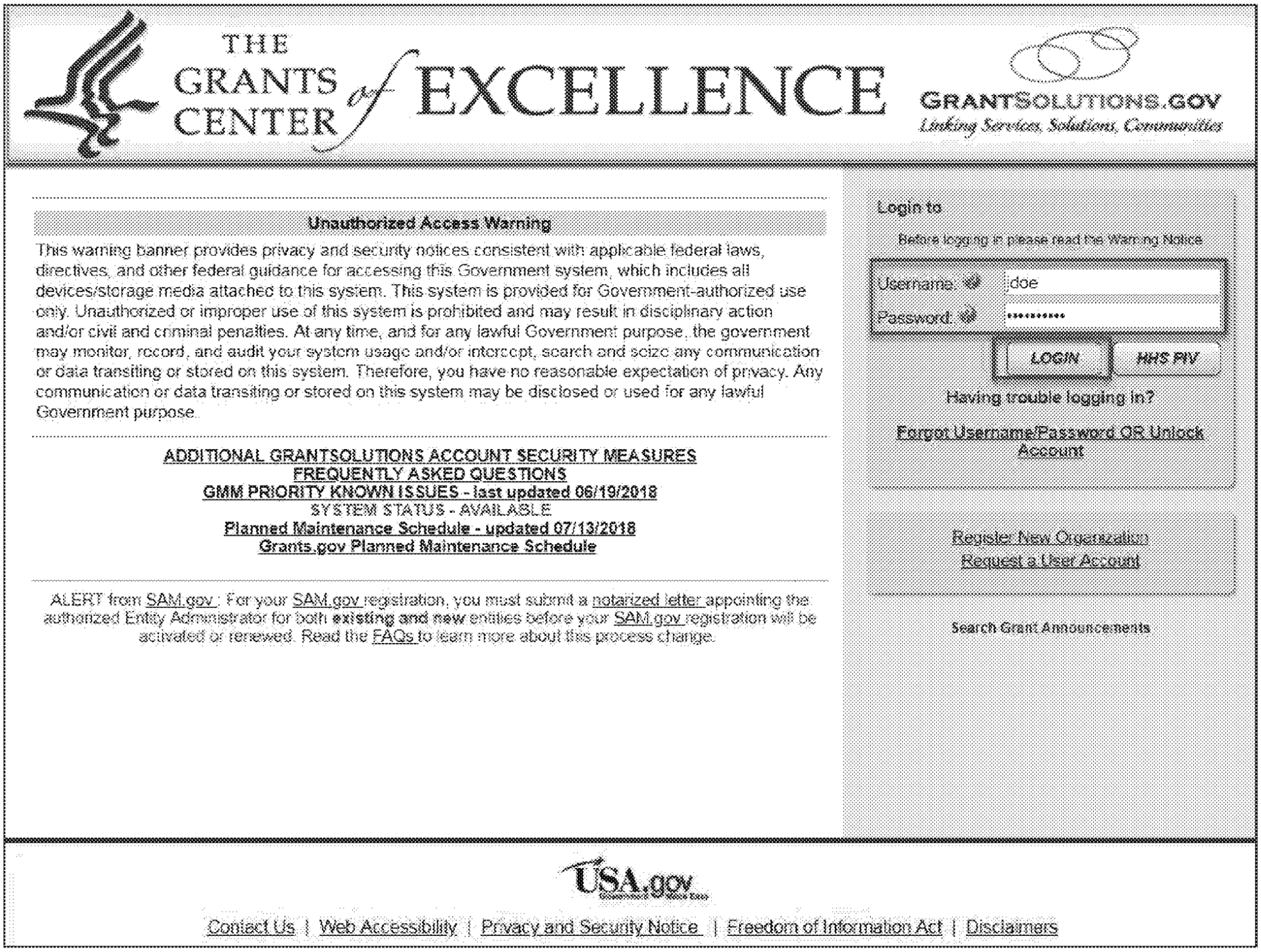

Figure 43: The GMM Login screen

- The "Two-Factor Authentication (2FA)" screen appears. Select the **Text Message (Non-smart mobile devices)** radio button.

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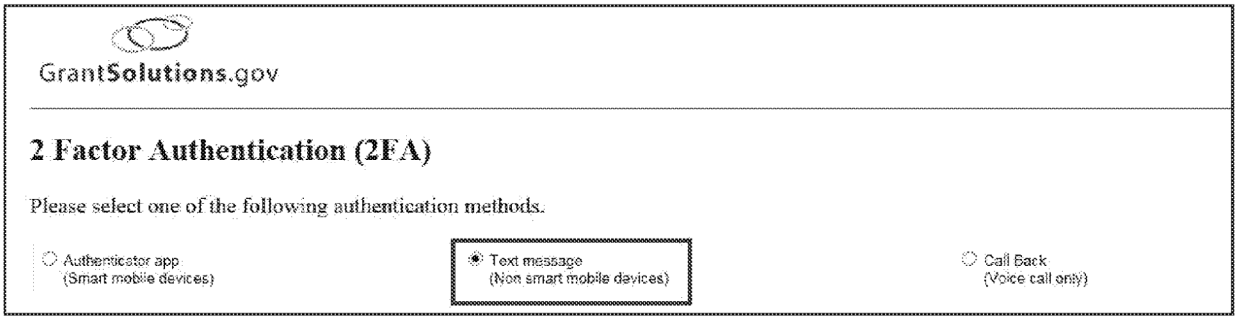

Figure 44: "Two-Factor Authentication (2FA)" screen - Text Message radio button

- The screen refreshes. Under step 1, click the **Send Passcode** button to receive the randomly generated code via text message.

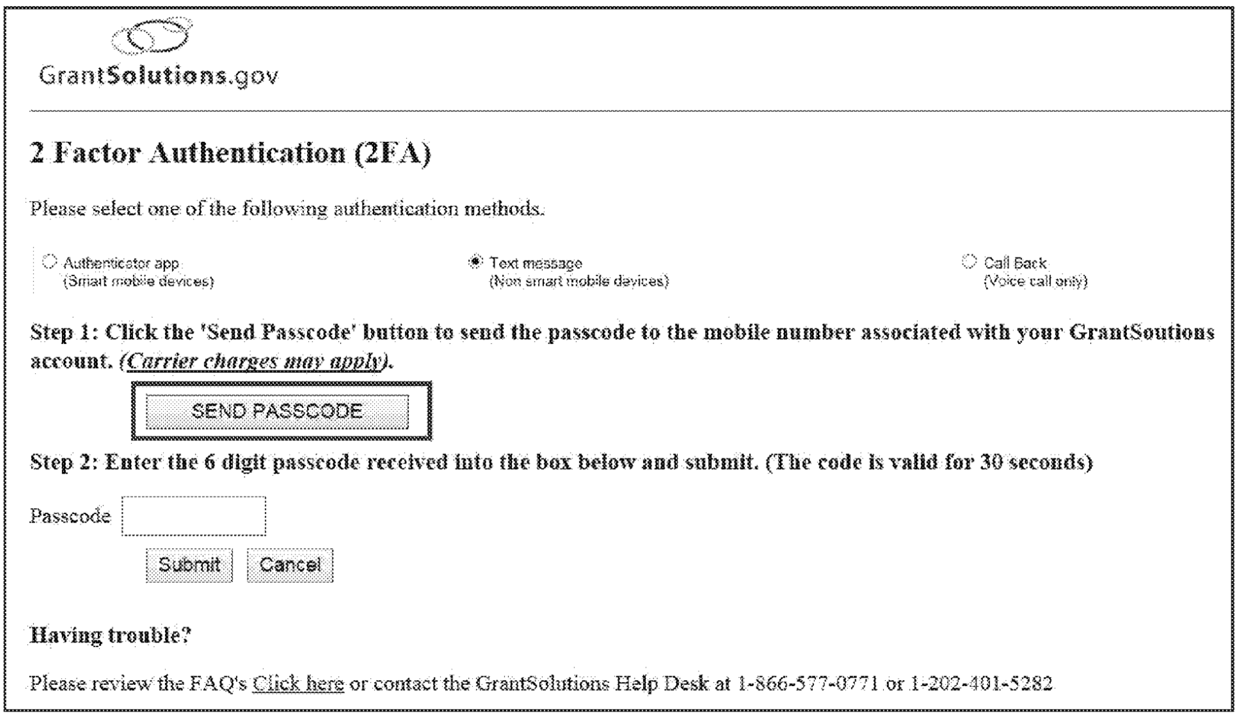

Figure 45: "Two- Factor Authentication (2FA)" screen - Send Passcode button

- Enter the code in the *Passcode* field. Click the **Submit** button.

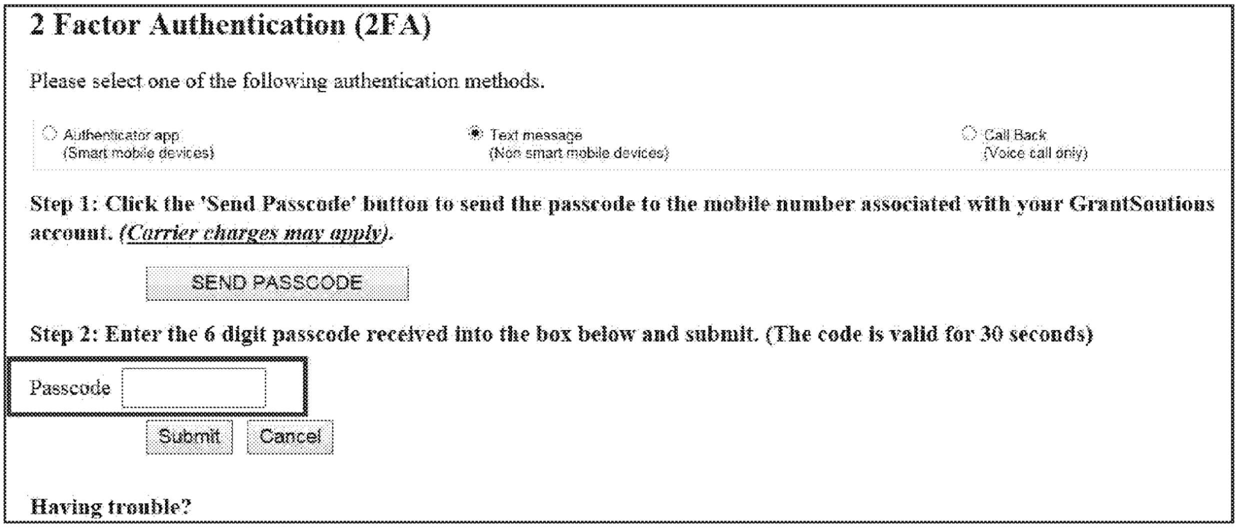

Figure 46: Two- Factor Authentication screen - *Passcode* field

- The "Grants List" screen appears.

Option 3: Call Back

The GrantSolutions user profile allows users to add up to three phone numbers. Users can select one of these three numbers to receive a computer-generated call with a passcode.

To set up the "Call Back feature:

- Log into the GMM.
- At the top of the screen, click the **username** link.

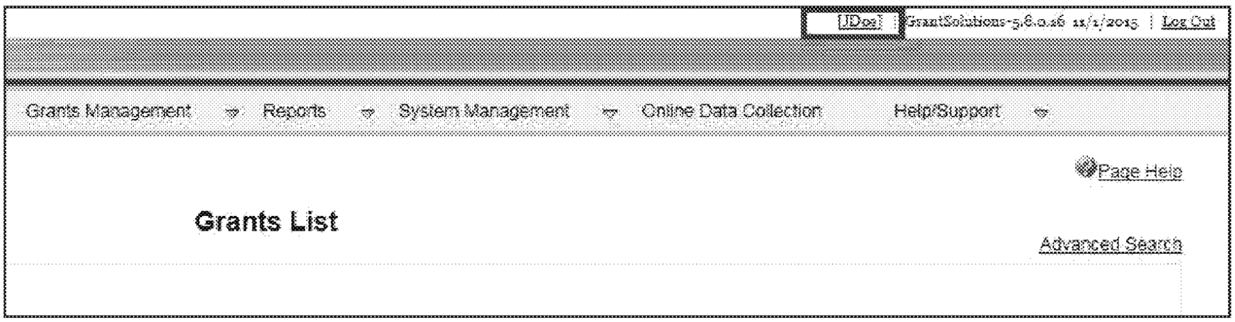

Figure 47: The GMM "Grants List Simple Search" Screen - Username link

- **The "Profile Update" screen appears. Enter up to three phone numbers** (Work Phone, Mobile, and Other Phone). Click the **Save** button.

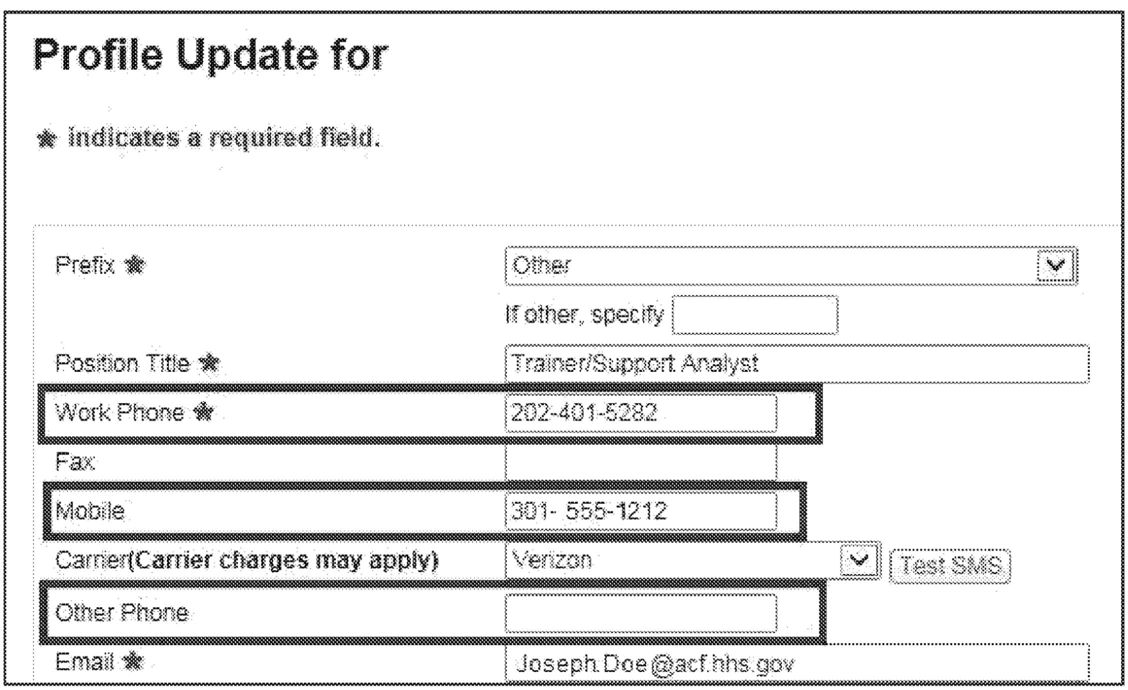

Figure 48: "Profile Update" screen – *Phone number* fields

- The Grants List screen appears.

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To log into the GMM using Two-Factor Authentication via Call Back:

- Log into the GMM with the username and password.

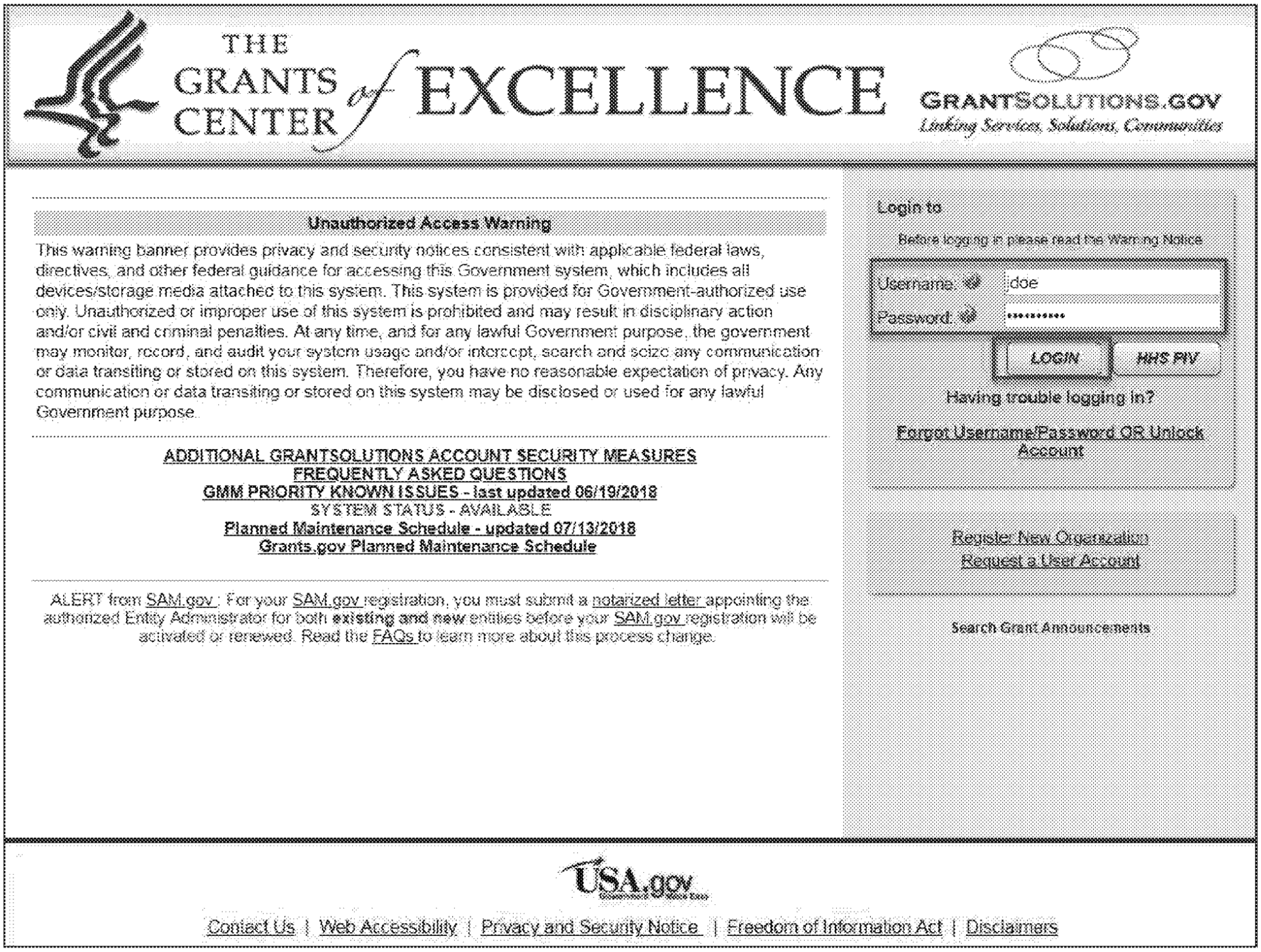

Figure 49: The GMM Login screen

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- **The** "Two- Factor Authentication (2FA)" screen appears. Select the **Call Back (Voice call only)** radio button.

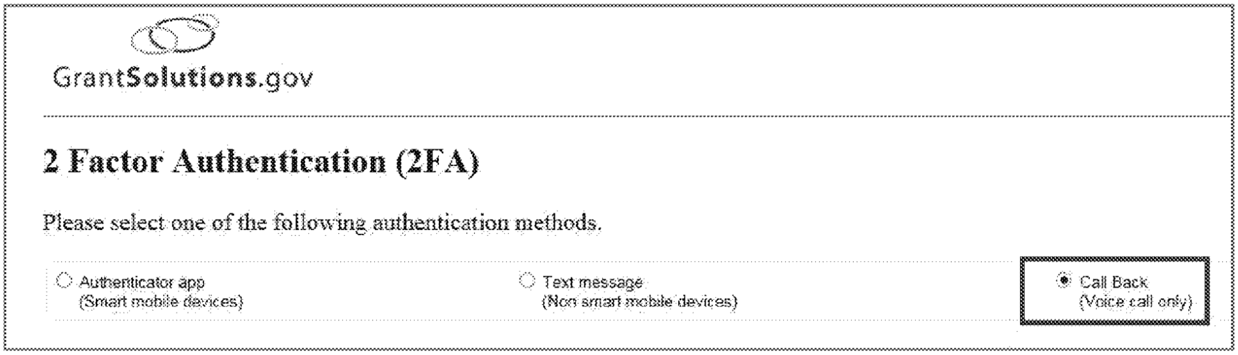

Figure 50: "Two- Factor Authentication (2FA)" screen - Call Back radio button

- The screen refreshes. In Step 1, select the **radio button** next to the desired Call Back number.

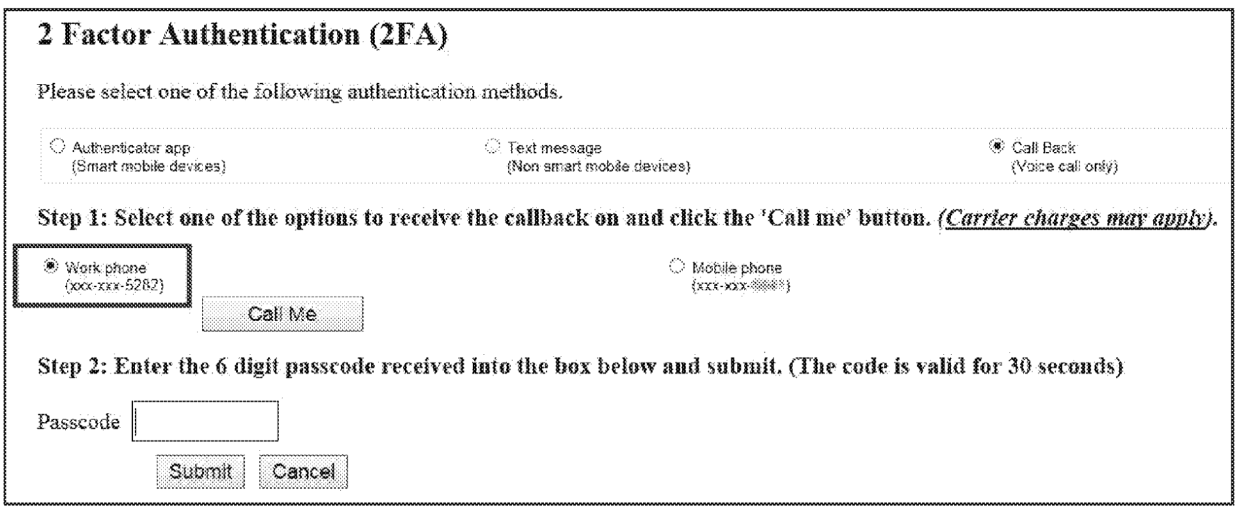

Figure 51: "Two- Factor Authentication (2FA)" screen - Work Phone radio button

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- Once the Call Back message is received, enter the **passcode** in the *Passcode* field and click the **Submit** button.

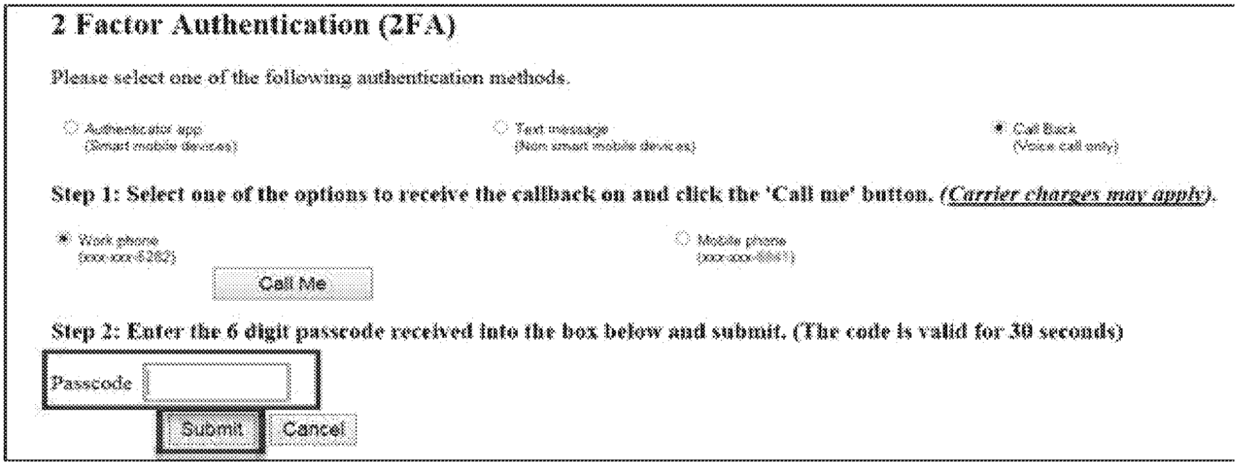

Figure 52: "Two- Factor Authentication (2FA)" screen - *Passcode* field

- **The "Grants List" screen appears.**

For more information about Two Factor Authentication, visit

http://support.grantsolutions.gov/articles/FAQ/Two-Factor-Authentication-FAQs

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RESET PASSWORD/UNLOCK ACCOUNT

When an incorrect Username and Password combination is entered, the system generates a Login error. Upon three unsuccessful login attempts, the account is locked for 2 hours.

To unlock an account, the user may call the GrantSolutions Help Desk for assistance, wait the 2 hours and try again, or click the **Reset Password/Unlock Account** link from the Login screen to reset a password.

To reset a password and unlock the account:

- From the GrantSolutions Login screen, click the **Reset Password/Unlock Account** link.

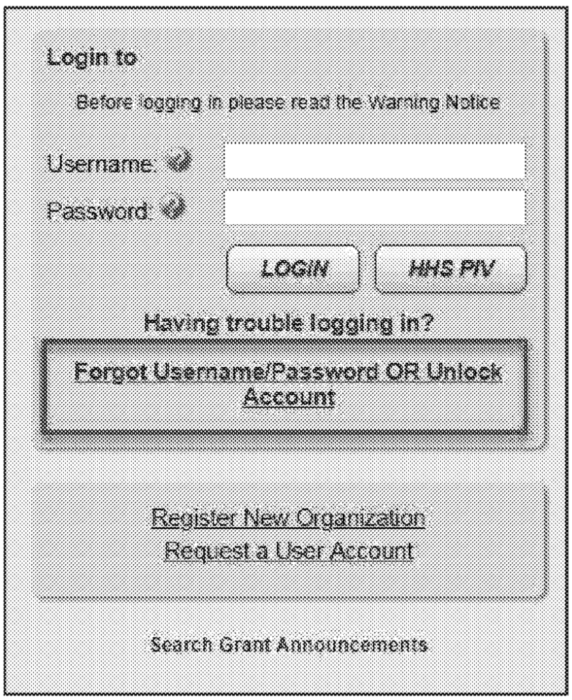


Figure 53: GrantSolutions GMM Login screen - Reset Password/Unlock Account link

- **The "Retrieve Your Password" screen appears.** Enter a **Username,** registered **Email address**, and click the **Reset Password** button.

Figure 54: "Reset/Recover Login Settings" screen

- A screen appears stating that the password has been reset and a new temporary password has been sent via email. The account is now unlocked.

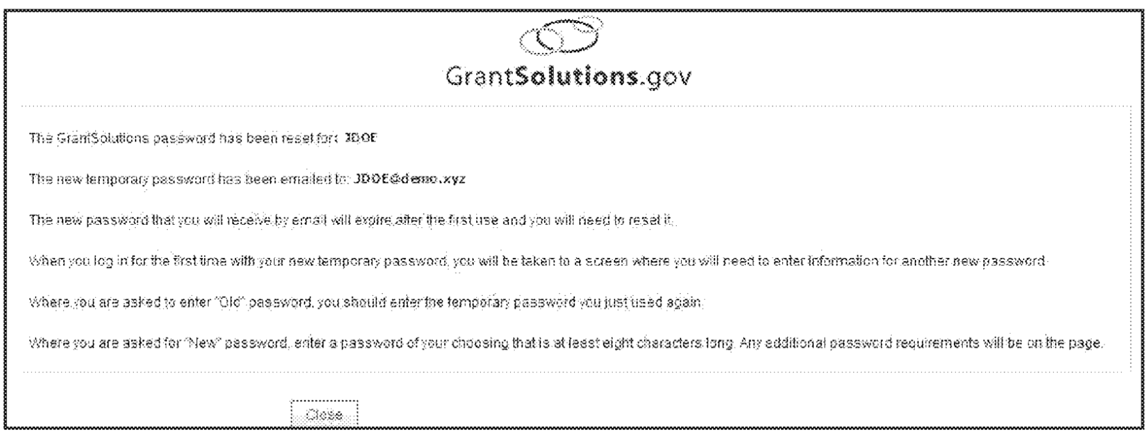
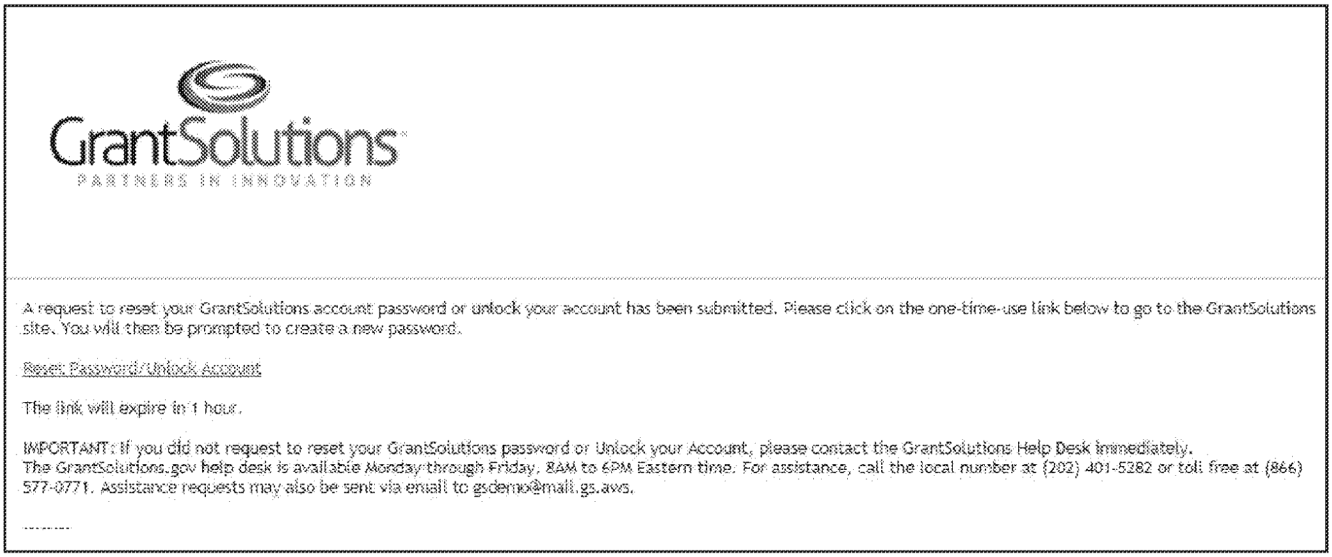


Figure 55: Password Reset confirmation screen

- The user receives an email with a temporary password from notification@grantsolutions.gov.
- **Tip**: Ensure emails from grantsolutions.gov are on the **email system's safe list so they do not get** blocked or sent to spam or junk folders.



A request to reset your GrantSolutions account password or unlock your account has been submitted. Please click on the one-time-use link below to go to the GrantSolutions site. You will then be prompted to create a new password.

Reset Password/Unlock Account

The link will expire in 1 hour.

IMPORTANT: If you did not request to reset your GrantSolutions password or Unlock your Account, please contact the GrantSolutions Help Desk immediately.
The GrantSolutions.gov help desk is available Monday through Friday, 8AM to 6PM Eastern time. For assistance, call the local number at (202) 401-5282 or toll free at (866) 577-0771. Assistance requests may also be sent via email to gsdemo@mail.gs.aws.

Figure 56: Password Reset email message

Log into GrantSolutions with a **Username** and new temporary **Password**.

- The password must be changed for security purposes. As with changing a password for the first time, after the temporary password is changed, the user is returned to the login screen.

Password Expiration

Passwords expire every 60 days. As password expiry approaches, the following red countdown message appears at the top of every screen in GrantSolutions:

Your password will expire in xx day(s). Please Change Now

- Click the **Please Change Now link** to set a new password.

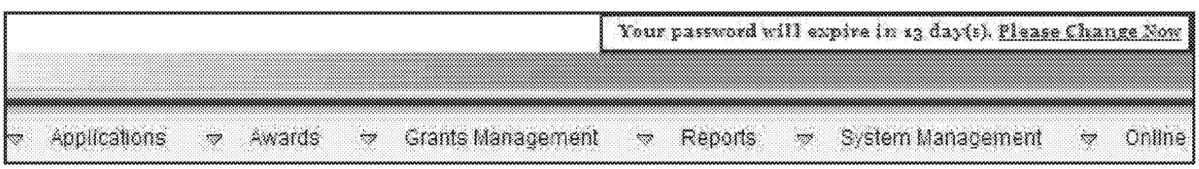


Figure 57: Password expiration prompt from within the GMM

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- **The "Change Password" screen appears. Enter the Current Password**, **New Password**, and **Confirm New Password**. Click the **Submit** button.

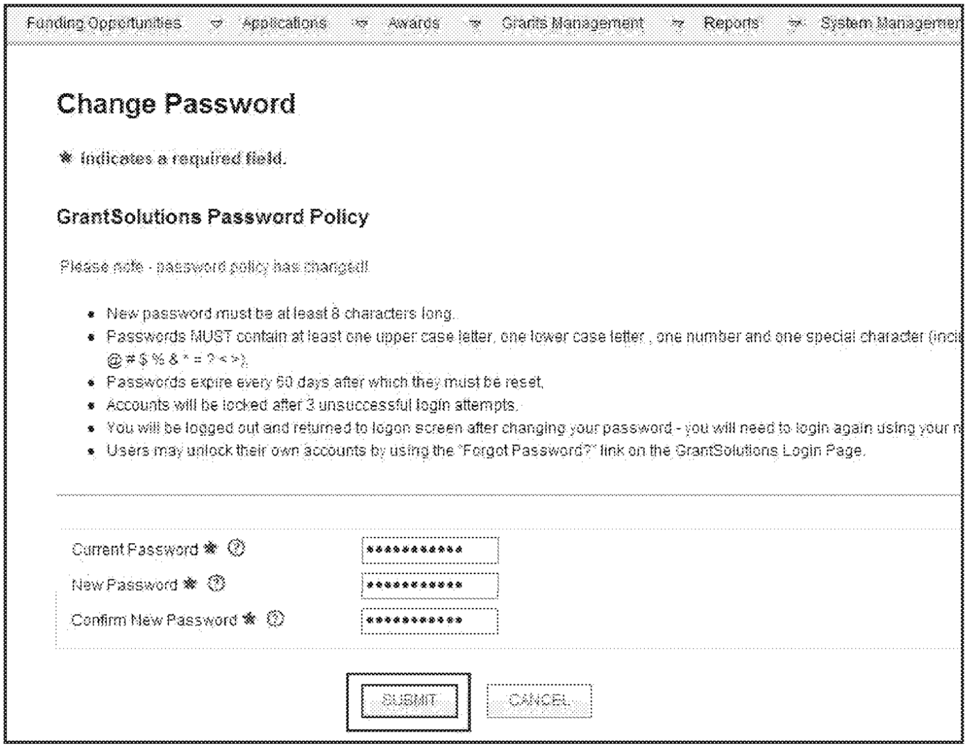

Figure 58: "Change Password" screen

- **The "Confirmation of New Password" screen displays. Click the Re-Login** button.

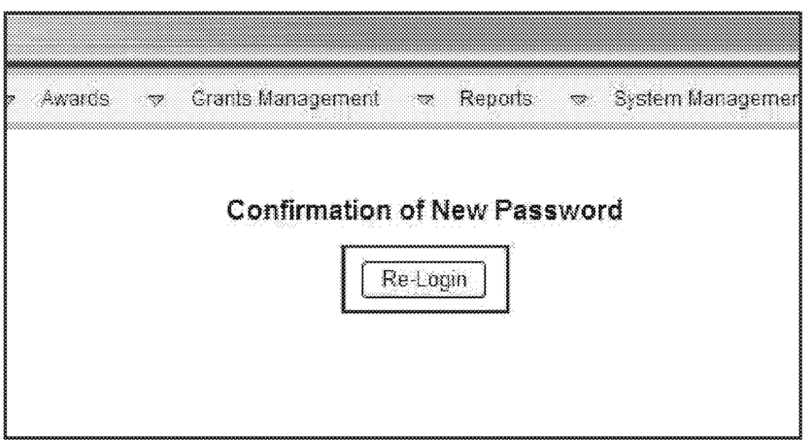

Figure 59: "Confirmation of New Password" screen

- **The GrantSolutions "Login" screen appears**. Log in using the newly reset password.
- **The "Grants List" screen displays.**

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Tip: A user's password can be reset from within GrantSolutions at any time by navigating to the System Management > Account Management > Change Password screen.

Account Deactivation

The GMM account policy for keeping accounts active is as follows:

Grantors: Accounts are disabled after 60 days of inactivity. E-mail messages are sent to the provided e-mail address 14 days, 7 days, and 24 hours prior to the disabling the account and immediately after the account has been disabled. The last message includes instructions on the process to re-activate the account.

Grantees: Accounts are disabled after 365 days of inactivity. E-mail messages are sent to the provided e-mail 14 days, 7 days, and 24 hours prior to the disabling the account and immediately after the account has been disabled. The last message includes instructions on the process to re-activate the account.

LESSON 2 REVIEW QUESTIONS

- What are the steps to access the GrantSolutions GMM Login screen?
- What are two browsers supported by the GrantSolutions GMM?
- What are two ways to reset a password and unlock the account?
- How often do passwords expire and need to be reset?

Lesson 3: GrantSolutions GMM Navigation and Menu Bar

Objectives

At the end of this lesson, the user will be able to:

- Identify elements of the GrantSolutions GMM screen, including the menu bar, quick links, and footer
- Use the menu bar to access various screens in the system
- Launch the Enterprise Reporting System

NAVIGATION

After logging into the GrantSolutions GMM, the landing page is **the "Grants List" screen. Each** GMM screen contains the main menu bar, the footer, and quick links to access **the user's profile** and log out of the system.

Username Quick Link

- Click the **username** link at the top of the screen to update the user profile.

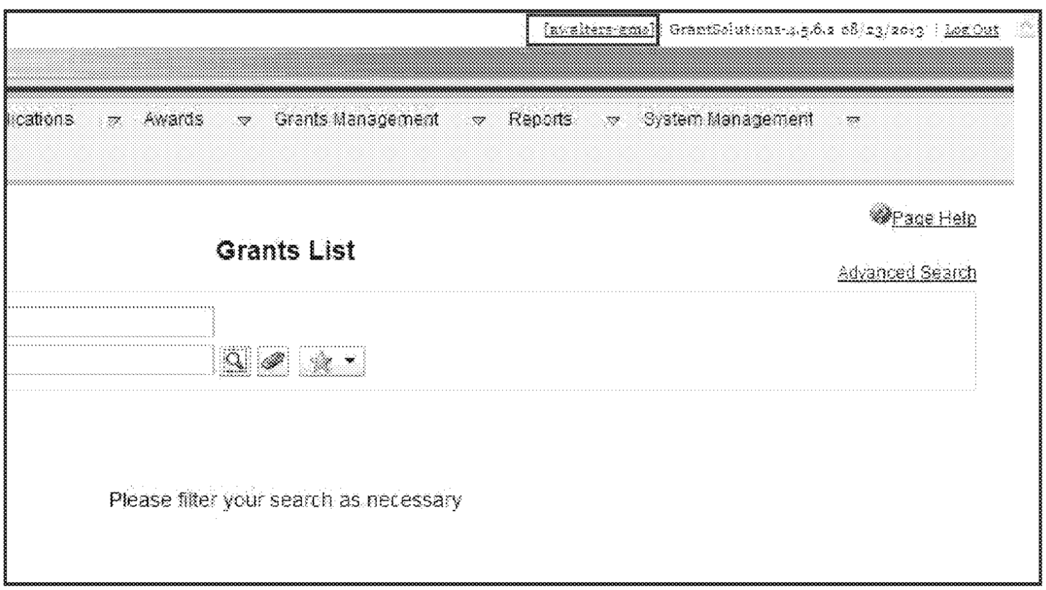

Figure 60: "Grants List Simple Search" screen - username quick link

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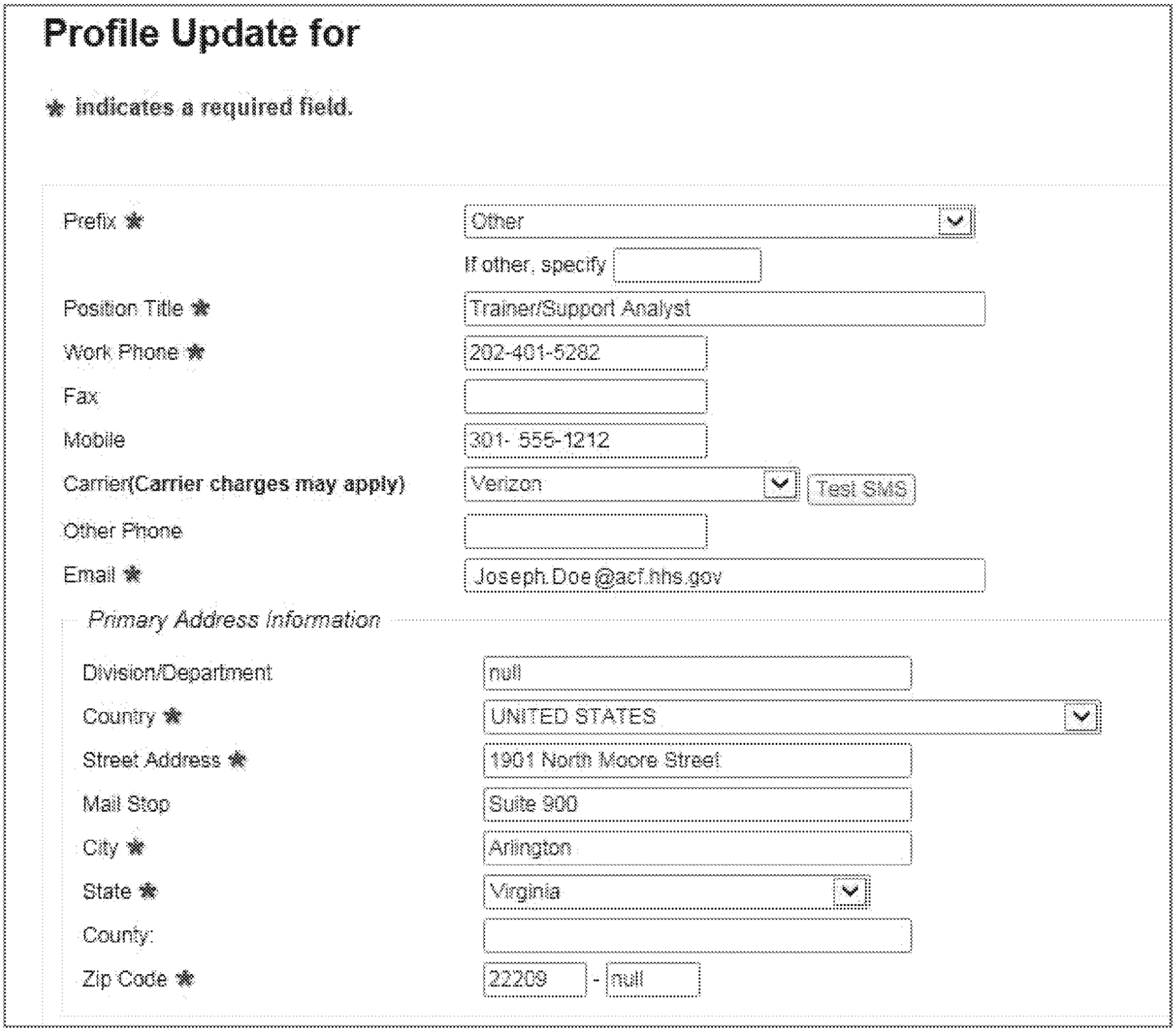
- **The "Profile Update"** screen appears. Make any desired changes and click the **Save** button.



Profile Update for

✱ **indicates a required field.**

Prefix ✱ Other
If other, specify
Position Title ✱ Trainer/Support Analyst
Work Phone ✱ 202-401-5282
Fax
Mobile 301- 555-1212
Carrier**(Carrier charges may apply)** Verizon Test SMS
Other Phone
Email ✱ Joseph.Doe@acf.hhs.gov

Primary Address Information

Division/Department null
Country ✱ UNITED STATES
Street Address ✱ 1901 North Moore Street
Mail Stop Suite 900
City ✱ Arlington
State ✱ Virginia
County:
Zip Code ✱ 22209 - null

Figure 61: "Profile Update" screen

Tip: The "Profile Update" screen may also be accessed from the Menu bar by selecting System Management > Account Management > Update Profile.

Log Out Quick Link

Click the **Log Out** link in the top right corner of the screen to properly exit the system.

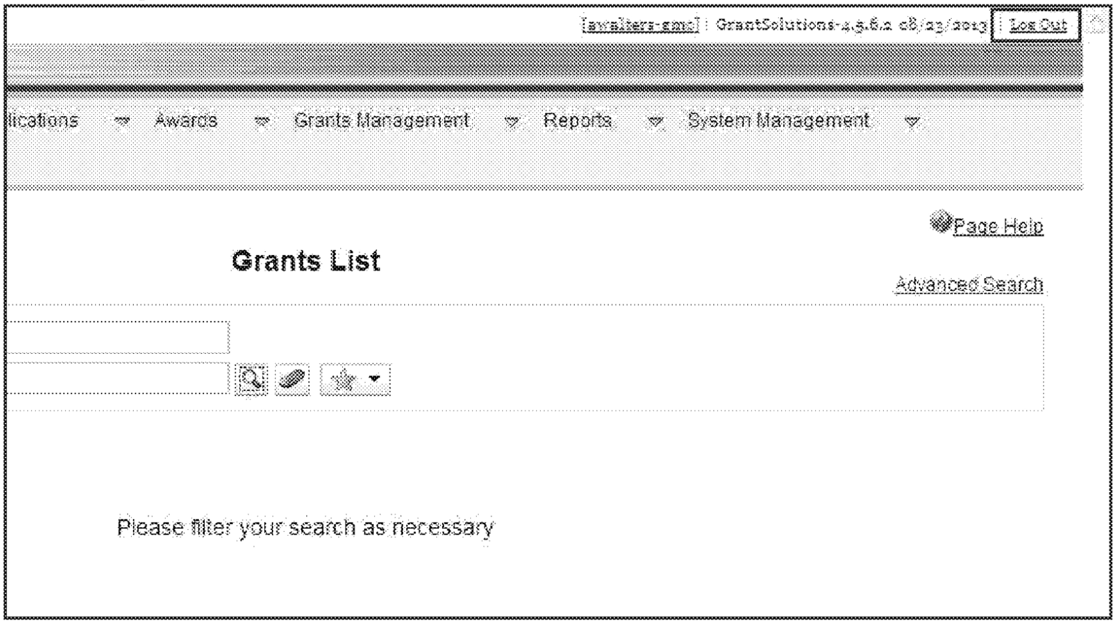


Figure 62: "Grants List" screen - Log Out link

GrantSolutions Footer

The footer is located at the bottom of every GMM screen.

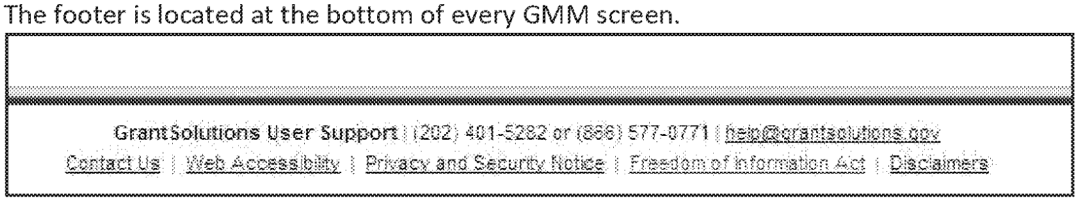


Figure 63: GrantSolutions footer

While user specific information depends on role and Partner, the footer section generally contains the following information:

- GrantSolutions Help Desk contact information
- A link to the GrantSolutions contact page
- The Web Accessibility policy
- The Privacy and Security Notice
- A link to the Freedom of Information Act website
- Disclaimers

MENU BAR

The GrantSolutions GMM menu bar is located at the top of each screen.

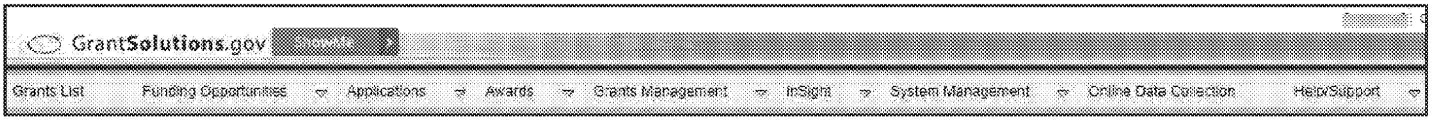


Figure 64: GrantSolutions GMM Menu bar

Use the mouse or keyboard to expand each menu item. The table below contains all menus and sub menus available in the GrantSolutions GMM.

Main Menu	Sub Menu	Tertiary Menu	Fourth Level	Description
Grants List				Houses all grants in GS
Funding Opportunities				
	Announcements			
		Manage Announcements		Search for or create announcements and funding opportunities
		Close Announcements		Close announcements (set end dates) for funding opportunities
	Application Kits			
		Program Enclosures		View or manage Program Enclosures
		Grant Enclosures		View or manage Grant Enclosures
		Application Kit Templates		Responsible staff sets up requirements for applications
	Funds Planning			
		Manage Funds Planning		Create and establish parameters for financial accounts by grant program
		Manage Financial Accounts		Add, transfer, or track funds within financial accounts
Applications				
	Application Receipt Log			Repository of submitted applications
	Application Screening			No longer used - consolidated into the Application Recommendation screen
	Application Recommendation			Screen, score, select recommended decision, and recommended funding for submitted applications
	Funding Memo			Funding decision for application process

Main Menu	Sub Menu	Tertiary Menu	Fourth Level	Description
	Amendments			Any actions that make a change to the original award
	Grants.gov			Login to accept or reject applications from Grants.gov within GrantSolutions
Awards				
	Award Processing			Further process actions leading to an awarded grant
	Funding Memo			Funding decision for application process (same as Funding Memo from the Applications menu)
	Issue Not Funded Notice			Prepare not funded form letters and issue the not funded notices for pre-award applications.
	NGA Components			
		Manage NGA Components		View, create, update, and delete global Notice of Grant Award components for a grant program.
		Manage NGA Templates		Create, edit, and remove Notice of Grant Award Templates.
Grants Management				
	Grant Portfolio			
		Amendments		Amendments Report screen – create a mini Amendments report based on search criteria. The report contains total amendments for a grant program, number of Amendments for the criteria entered, and total grants with active Amendments displayed.
		Grant Notes		Grant Notes List screen
		Track Terms & Conditions		Search for Terms and Conditions based on Grant Program and other criteria.
		Rescind Expanded Authority		Search by Grant Program and other criteria to view Grants that may or may not have expanded authority.
		Non-Competing Application Kits Management		Manage Non-Competing Continuation Kits
		Assign Grantee Task		Create Bulk Tasks screen

Main Menu	Sub Menu	Tertiary Menu	Fourth Level	Description
	Grantee Reporting			
		Manage FFR Reporting		Activate FFR reporting for Grantees, view submitted reports, accept reports, or submit reports on behalf of grantee
		FSR Processing		List of submitted Financial status reports from grantee, or enter report on behalf of grantee
	Post Award Actions			
		Post Award Actions Management		Edit, manage, or adjust amendment types at the partner level
		Post Award Action Kit Management		Establish kits for each type of amendment
	Project Assessment			
inSight				
	BI Dashboards			Develop meaningful analytics with a focus on outcomes. Particularly helpful for the Program Office
	ERS Reports			Standard and ad-hoc reporting using GrantSolutions data. Powered by Cognos, offers the ability to create custom reports
System Management				
	Search Preferences			Set project categories available in a search
	Account Management			
		Update Profile		User can edit their own information
		Change Password		User can manually change their own password
		User Roles and Assignments		User can view their roles and assignments
		Notification Preferences		User can set which notifications they choose to receive from a pre-defined list
	Staff Assignments			
		Program Office		Program Office Assignment List
		Grants Office		Grant Office Assignment List

Main Menu	Sub Menu	Tertiary Menu	Fourth Level	Description
	Data Reference			Look Up Table Maintenance for CFDA codes. Add, Edit, or Delete CFDA numbers.
Online Data Collection				Link to the Online Data Collection System
Help Support				
	Documentation			Link to a site containing help sheets and guides for GrantSolutions users
	Submit a Help Request			Submit a request to the Help Desk via GrantSolutions

MANAGE SYSTEM NOTIFICATIONS

When a user is assigned to a grant, the system sends important email notifications when an Application or Grant Note is added, when an action is ready to be performed, or when an action is completed. Although all notifications are turned on by default, the user can modify notification preferences.

To Modify Notification Preferences:

- From the menu bar, select System Management > Account Management > Notification Preferences.

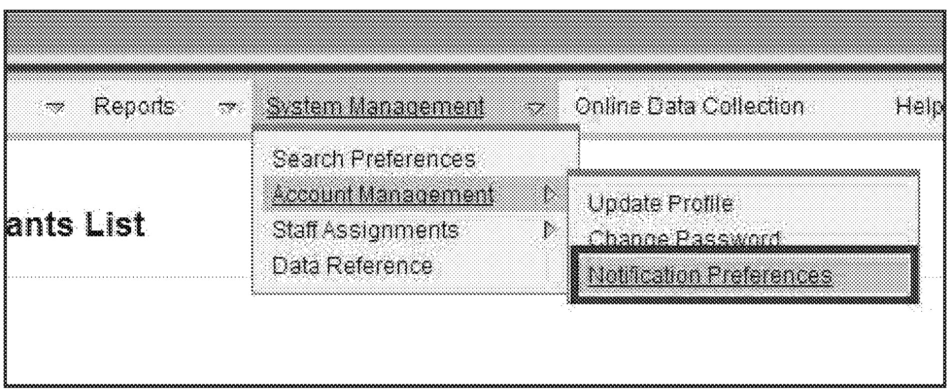


Figure 65: Navigation to Notification Preferences menu option

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- **The "Notification Preferences" screen displays. Make any desired** changes and click the **Save** button.

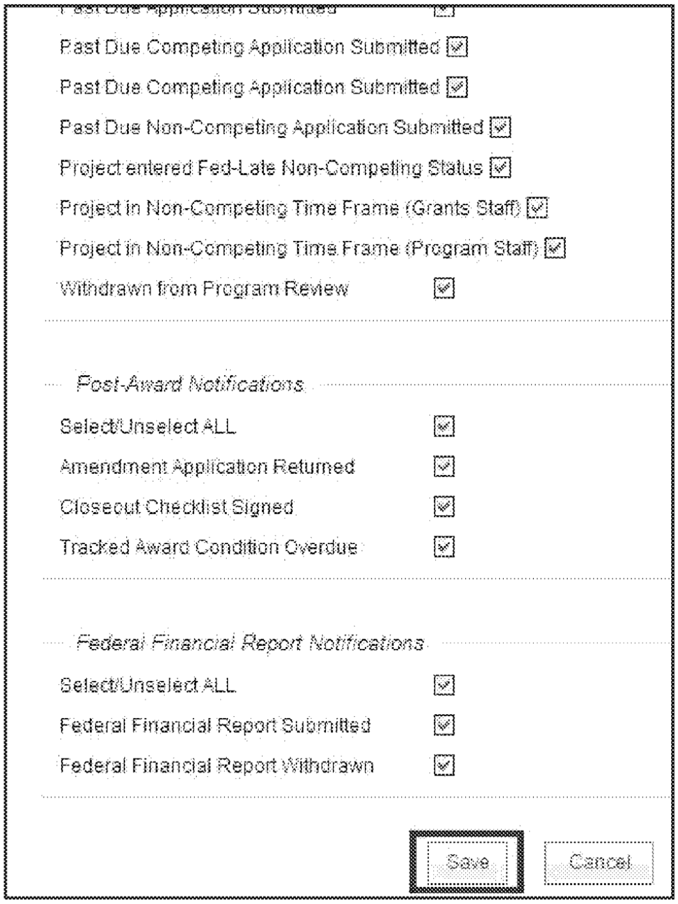

Figure 66: "Notification Preferences" screen

Tip: It is best practice to leave all notifications turned on until the user can truly determine which notifications are most useful.

INSIGHT

Through the inSight menu option, the GrantSolutions GMM offers Business Intelligence (BI) Dashboards and Enterprise Reporting System (ERS) reports. While BI dashboards are built on Tableau and ERS reports are powered by Cognos, both are used to extract and analyze data created or collected within GrantSolutions.

Business Intelligence (BI) Dashboards

The BI dashboards and reports allow users to develop meaningful analytics that highlight outcomes and impacts for the Program Office. Additionally, they help agencies better understand grants operations and the outcomes generated by their grant investments.

To access BI Dashboards:

- Log into the GMM with a username and password or PIV card
- From the menu bar, select **inSight > BI Dashboards**.

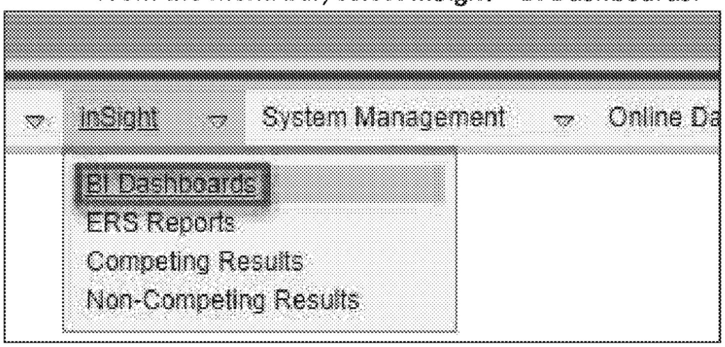

Figure 67: Navigating to BI Dashboards

- BI Dashboards open in a new window.

Enterprise Reporting System (ERS)ERS provides standard and ad-hoc reporting using GrantSolutions data. ERS contains a collection of predefined reports, such as the Ranking and Approval List, which can be run at any time. Partners with an ERS authoring liscense can build their own custom reports to analyze grant data by leveraging the extensive business analytics tools within the Cognos platform.

To access the ERS:

- Log into the GMM with a username and password or PIV card.
- From the menu bar, select **inSight → ERS Report**s.

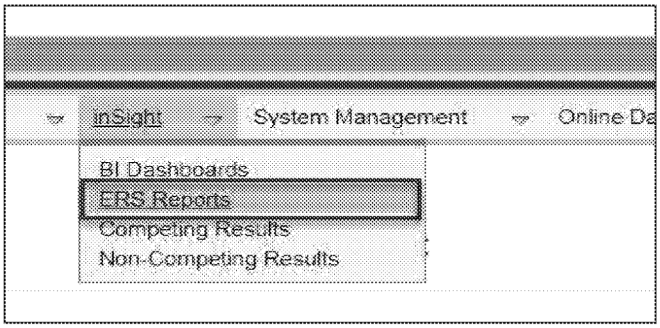

Figure 68: Navigating to ERS Reports

- The Enterprise Reporting System automatically opens in new window.

LESSON 3 REVIEW QUESTIONS

- What is one way to **navigate to the "Profile Update" screen?**
- How are system notifications managed?
- How would a user access the Enterprise Reporting System (ERS)?

Lesson 4: Grants List Screens

Objectives

At the end of this lesson, the user will be able to:

- Conduct a search using the Grants List Simple Search
- Initiate a search using the Grants List Advanced Search
- Save a search template

The "Grants List Simple Search**"** screen is the first screen users arrive at in the GMM. This screen allows users to search awarded grans by Grant Number, FAIN, or Organization.

GRANTS LIST SIMPLE SEARCH SCREEN

To conduct a search using the "Grants List" simple search screen:

- **Log into the GrantSolutions GMM. The "Grants List" simple search screen appears.**

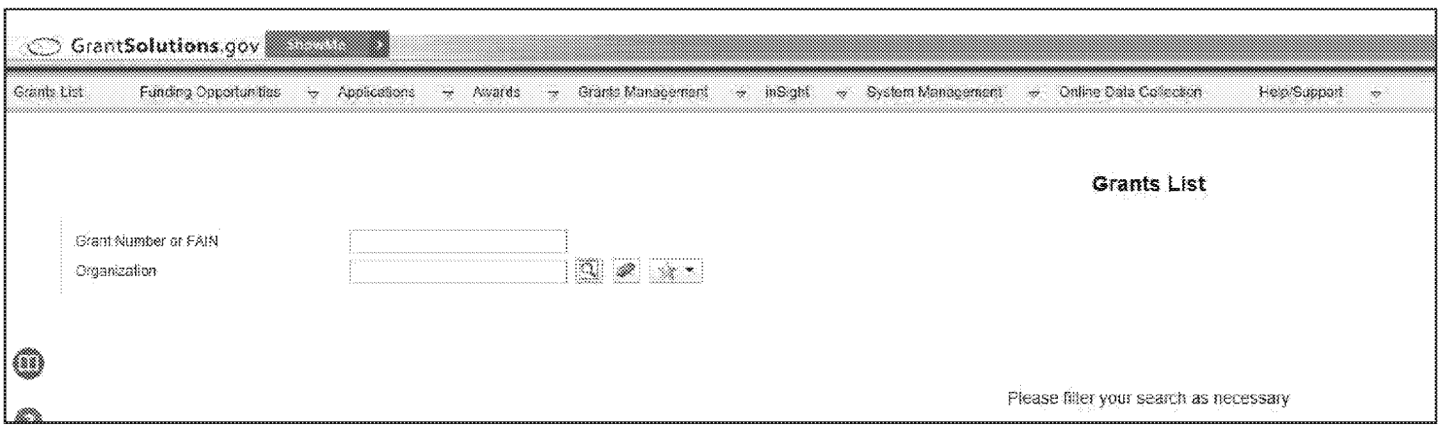

Figure 69: "Grants List Simple Search" screen

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- Search for a single grant by entering the **Grant Number, FAIN,** and/or grantee **Organization**. Click the **Search** icon (magnifying glass) to display the search results.

Tip: It is only necessary to enter a partial grant number or organization name (3 or more characters) when performing a search.

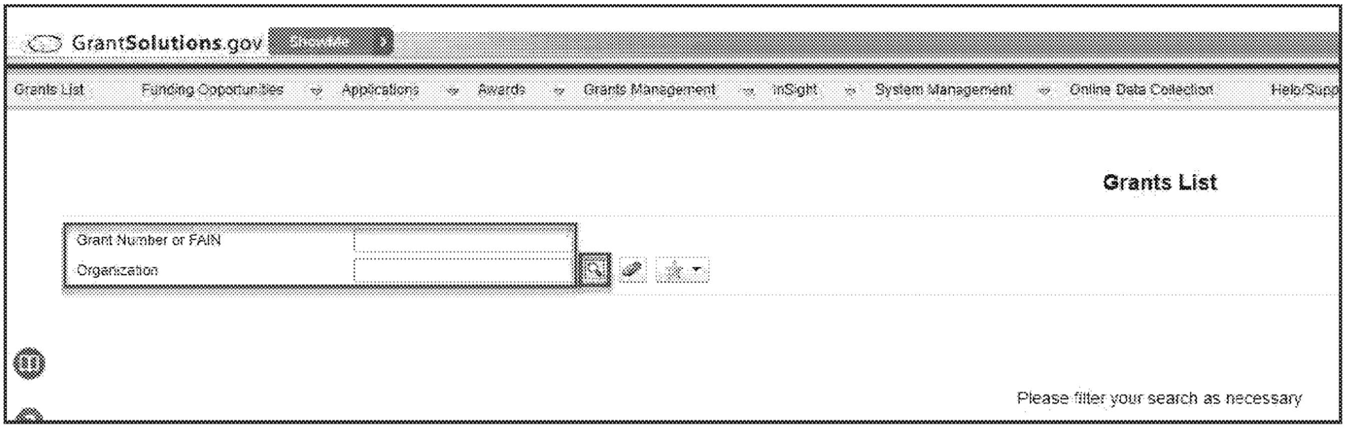

Figure 70: "Grants List Simple Search" screen – search fields and Search icon

- Results that meet the search criteria display in a table below the search fields.

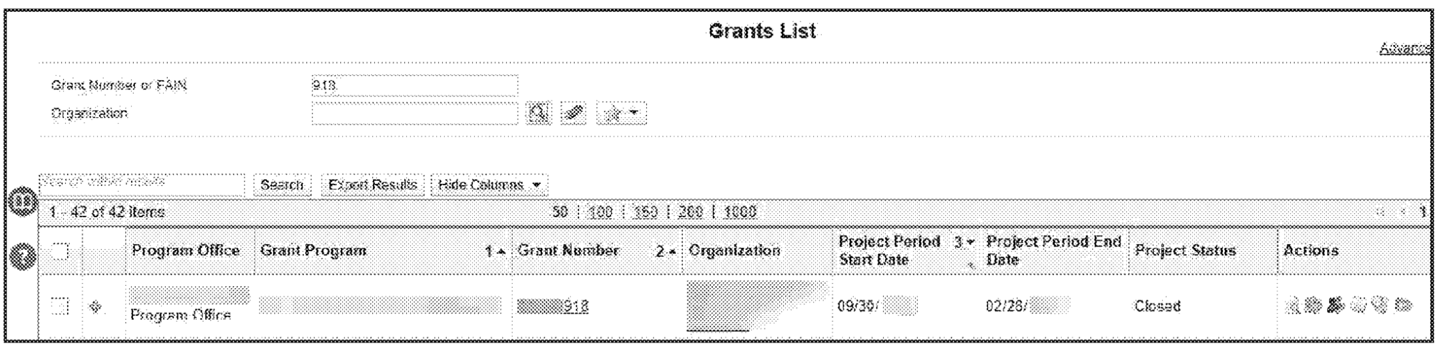

Figure 71: "Grants List Simple Search" screen with search results

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GRANTS LIST ADVANCED SEARCH SCREEN

To search for more than one grant at a time, or to search using additional criteria, navigate to the **"Grants List** Advanced Search" screen.

- Log into the GrantSolutions GMM. Click the **Advanced Search** link **on the right side of the "Grants List** Simple Search**" screen.**

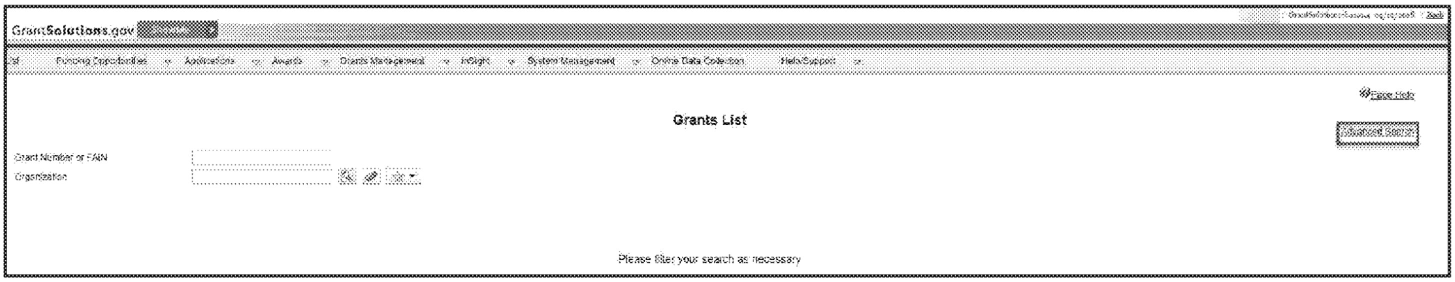

Figure 72: "Grants List Simple Search" screen – Advanced Search link

The "Grants List Advanced Search" screen appears.

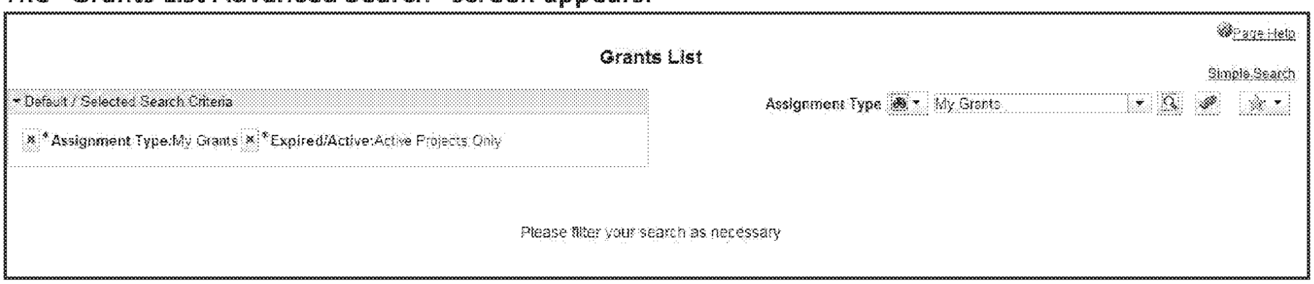

Figure 73: "Grants List Advanced Search" screen

By default, the *Default/Selected Search Criteria* box contains the filters:

- Assignment Type: My Grants
- Expired/Active: Active Projects Only

These filters are required and may not be turned off. However, the value can be changed.

- Assignment Type:
  - My Primary Grants: Shows grants the user is assigned to with a Primary role
  - My Grants: Shows grants the user is assigned to
  - All Grants: Shows all grants
- Expired/Active
  - Active Projects Only: Project Period End Date has not passed
  - Expired Projects, Not Closed
  - Include Expired Projects: All grants active and expired

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- Select a **filter option** from the *Search Criteria* drop-down list (binoculars icon). The filter, once selected, displays to the left of the Search Criteria icon (binoculars).

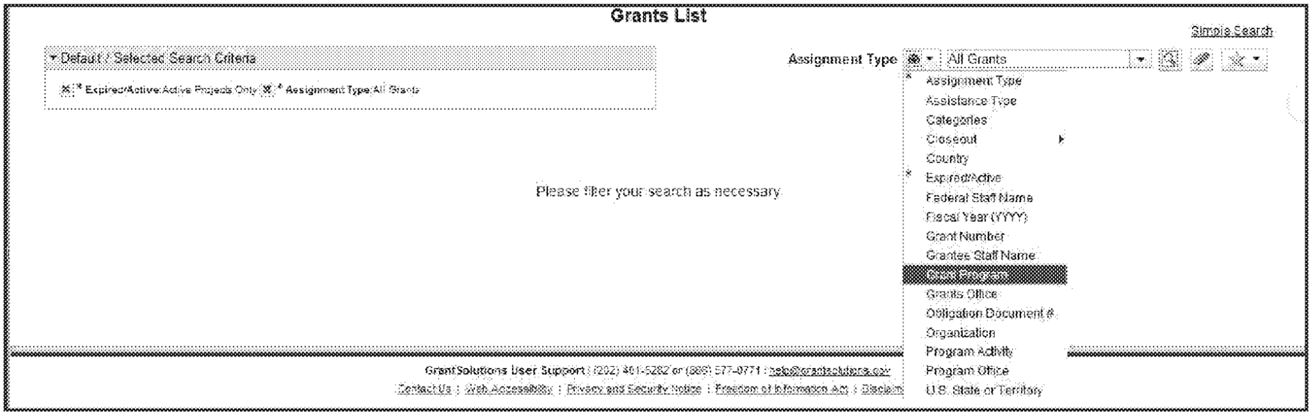

Figure 74: "Grants List Advanced Search" screen with drop-down list expanded

- Based on the filter selected, the drop-down list to the right is populated with possible values, a calendar widget, or a text box to enter search information.

Search Criteria and Filter Description

Search Criteria	Description
Assignment Type	• My Primary Grants • My Grants • All Grants
Assistance Type	Select from the drop-down menu: • Block Grant • Cooperative Agreement • Direct Loan • Direct Payment for Specified Use, as a Subsidy or Other • Direct Payment with Unrestricted Use • Formula Grant • Guaranteed/Insured Loan • Insurance • Other Reimbursable, Contingent, Intangible, or Indirect • Project Grant • Specified Direct Payment
Categories	Select a category from the drop-down list. The categories available for **selection depend on a user's Grant Program assignments**
Closeout	Select from the drop-down: • Closeout Type

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Search Criteria	Description
	○ All Closed ○ Marked As Closed ○ Ready To Close • Closed After Date - Calendar widget • Will Expire In ○ 30 Days ○ 60 Days ○ 90 Days
Country	Select a country from the drop-down list
Expired/Active	• Active Projects Only • Expired Projects, Not Closed • Include Expired Projects
Federal Staff Name	Enter name as text
Fiscal Year (YYYY)	Select the date from the drop-down list
Funding Opportunity #	Select the announcement Funding Opportunity Number from the drop-down list
Grant Number	Enter grant number as text
Grantee Staff Name	Enter name as text
Grant Program	Select Grant Program from the drop-down list
Grants Office	Select the Grants Office from the drop-down list
Obligation Document #	Enter number as text
Organization	Enter organization name as text
Program Activity	Select the Program Activity from the drop-down list
Program Office	Select the Program Office from the drop-down list
U.S State or Territory	Select the State or Territory from the drop-down list

- Once a value is selected or entered, it appears in the *Default/Selected Search Criteria* box. Add additional criteria to further filter results or click the **Search** icon (magnifying glass) to activate the search.

Figure 75: "Grants List Advanced Search" screen with Selected Search Criteria

Note: Default/Selected Search Criteria may be turned off by clicking the blue X to the left of the filter name. However, required filters (indicated by the red asterisks to the left of the filter) may only be changed, not removed.

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- The screen refreshes with results meeting the search criteria displayed below the search fields.

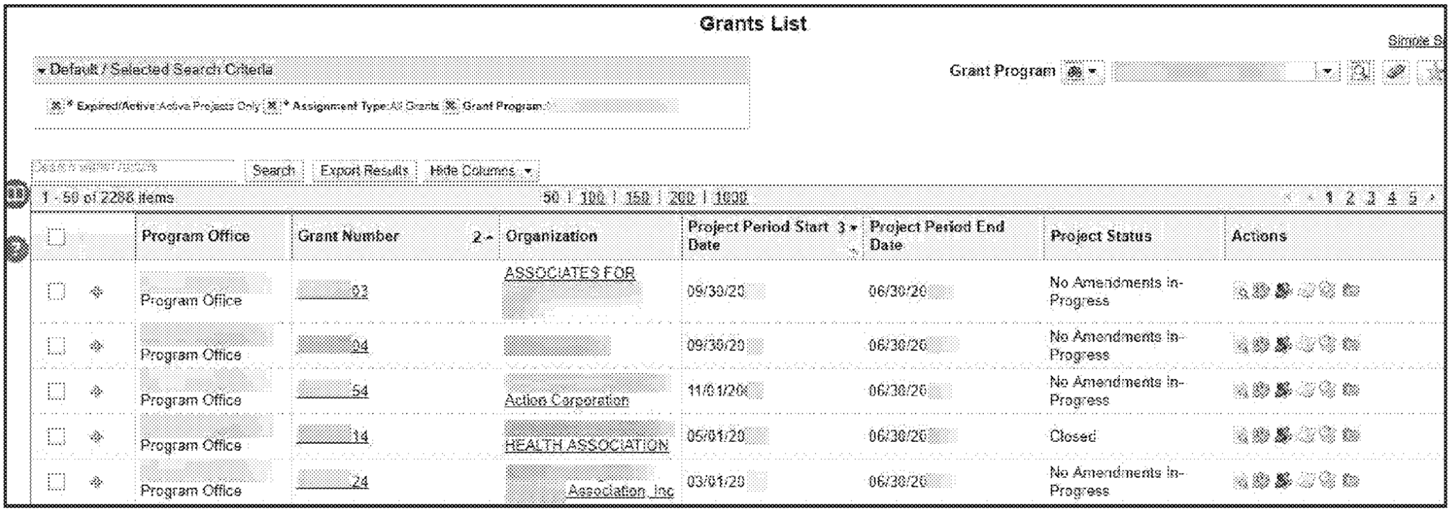
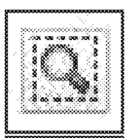


Figure 76: "Grants List Advanced Search" screen with the search results displayed

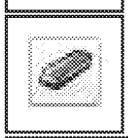
SEARCH OPTIONS

In addition to a one-time **search, the "Grants List Advanced Search"** screen provides additional features to make locating grants easier.

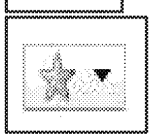
- **Search Button**



- **Clear/Remove Filter Button**



- **Saved Searches Button**



Saved Searches

The "Grants List" screen provides the ability to create custom search templates based on commonly used criteria. With this tool, frequently used searches can be quickly run at any time. .

To Create a Saved Search:

- Select the desired search criteria and click the **Search** icon (magnifying glass).

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- Once search results generate, click the **Star** icon in the upper right corner of the screen.

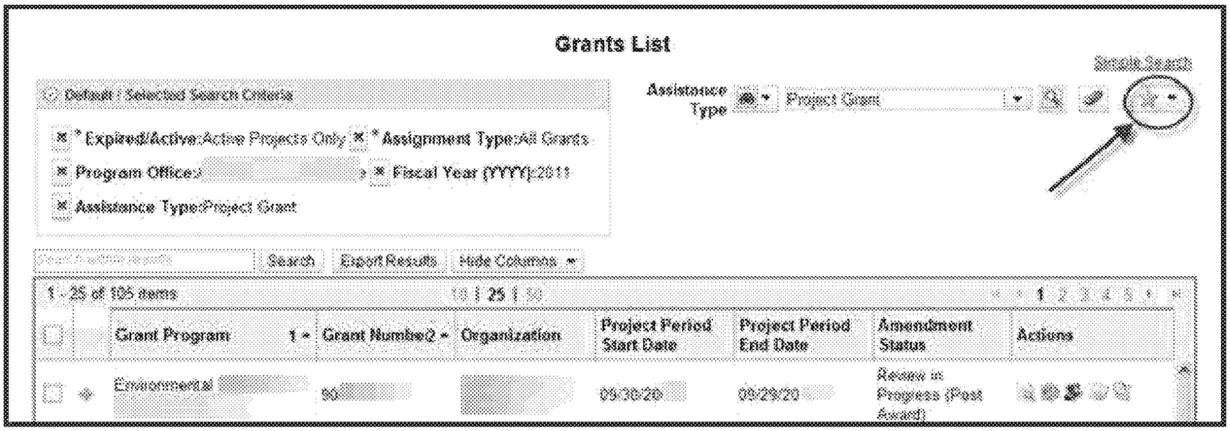

Figure 77: "Grants List Advanced Search" screen with the Saved Searches button

- **The "Saved Searches" box appears.** Enter a **descriptive name** in the *Save New Search* field.
- Next, click the blue **Plus Sign** to the right of the entry to save the template.

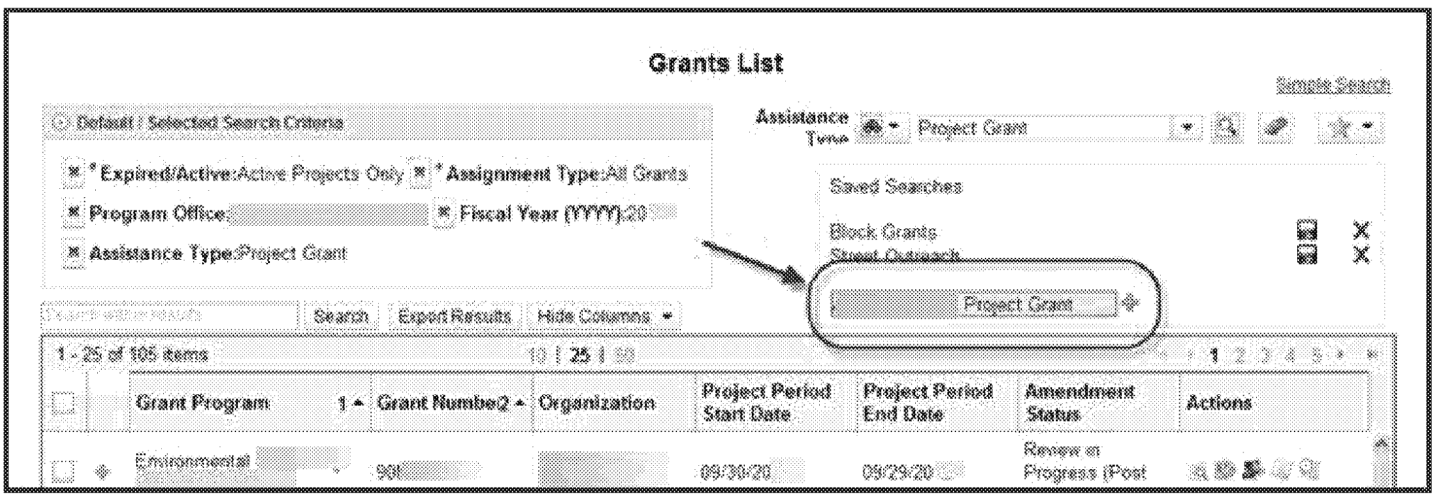

Figure 78: Saved Searches box with the Save New Search field

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- The *Saved New Search* message appears and the new search displays under the Saved Searches list.

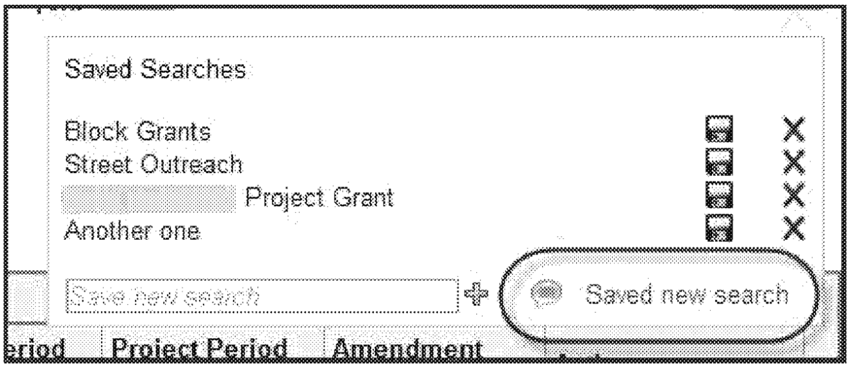

Figure 79: Saved New Search message

Tip: To close the Saved Searches box, click in the white space located outside of this box.

To Run a Saved Search:

Once a search is saved, the user can access it at any time.

- **Saved searches can be accessed from the "Grants List" Simple or Advanced Search screens.** Click the **Star** icon.
- From the *Saved Searches* box, select a saved template.

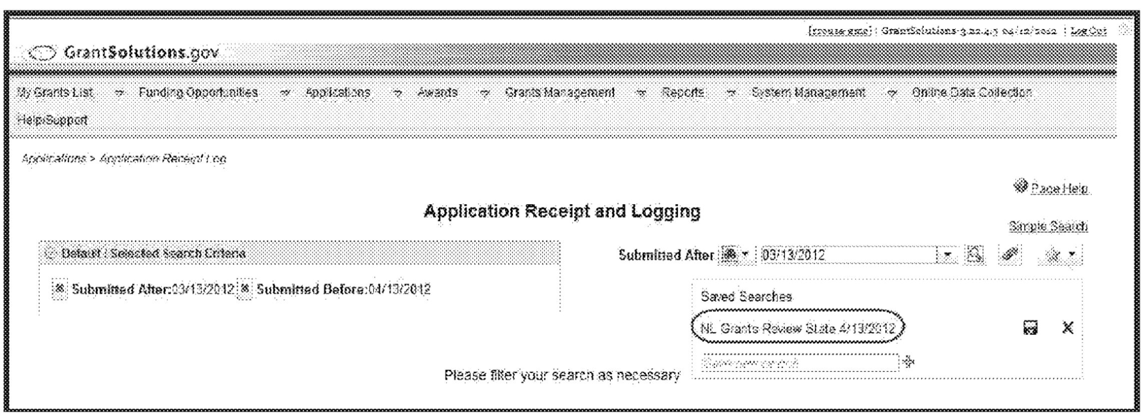

Figure 80: "Grants List Advanced Search" screen with the Saved Searches box expanded

- Upon selection, the system generates results based on the search criteria.

Tip: To make changes to the saved search, alter the search filters and then click the **Save** icon (diskette) to the right of the saved search title.

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Clear/Remove Filter

To remove all search criteria and reset the screen, click the **clear** (eraser) button.

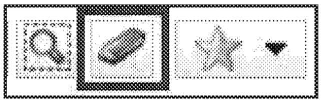

Figure 81: Clear button

Search within Results

After a search is run, the user can search within the results.

- In the *Search Within Results* box, enter **text** (letters or numbers) to locate a desired grant.
- Click the **Search** button.

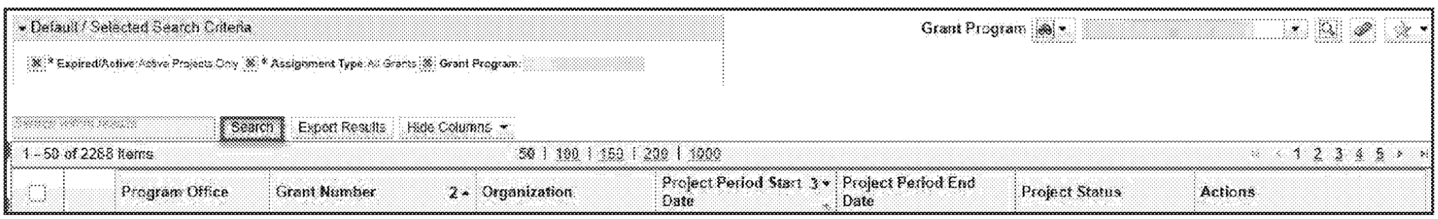

Figure 82: Search results table with the search results field

- The table of results jumps to the row containing matching text.

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Export Results

Search results can be exported **to an Excel workbook from the "Grants List" screen.**

- **After running a search on the "Grants List" screen,** click the **Export Results** button above the results table.

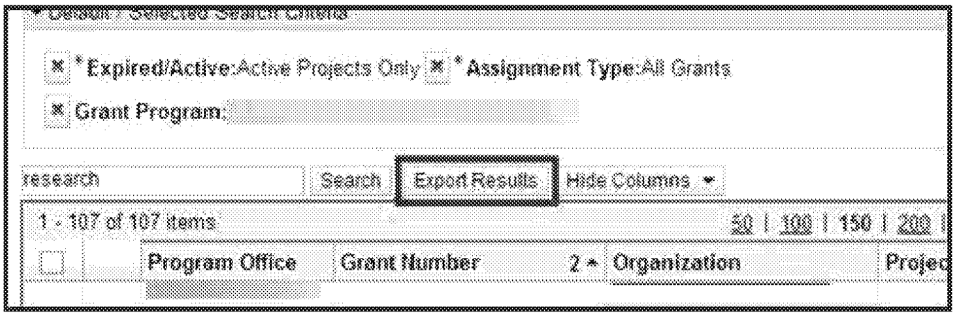

Figure 83: Export Results button

- A message appears asking to **Open** or **Save** the Excel Workbook. Choose the desired option.

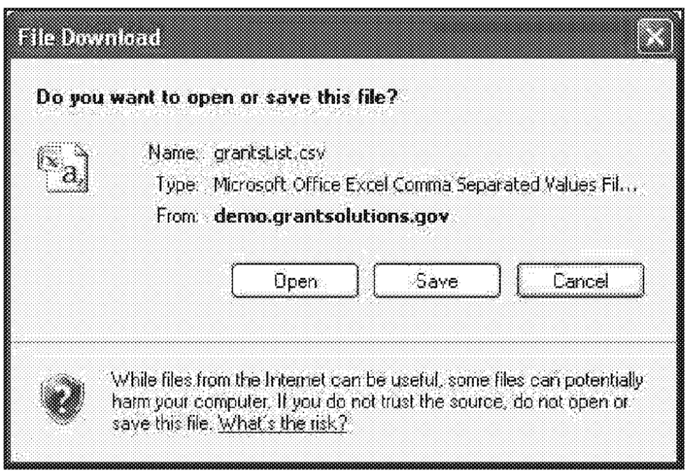

Figure 84: File Download message

<u>**Note:**</u> This message may appear at the bottom of the window depending on the browser.

- The spreadsheet now opens or is saved.

Hide Columns

The "Grants List" results table contains columns with useful information. However, users may hide unnecessary columns. To minimize the number of visible columns:

- Click the **Hide Columns** button.
- A drop-down menu displays. Uncheck columns that should be hidden.

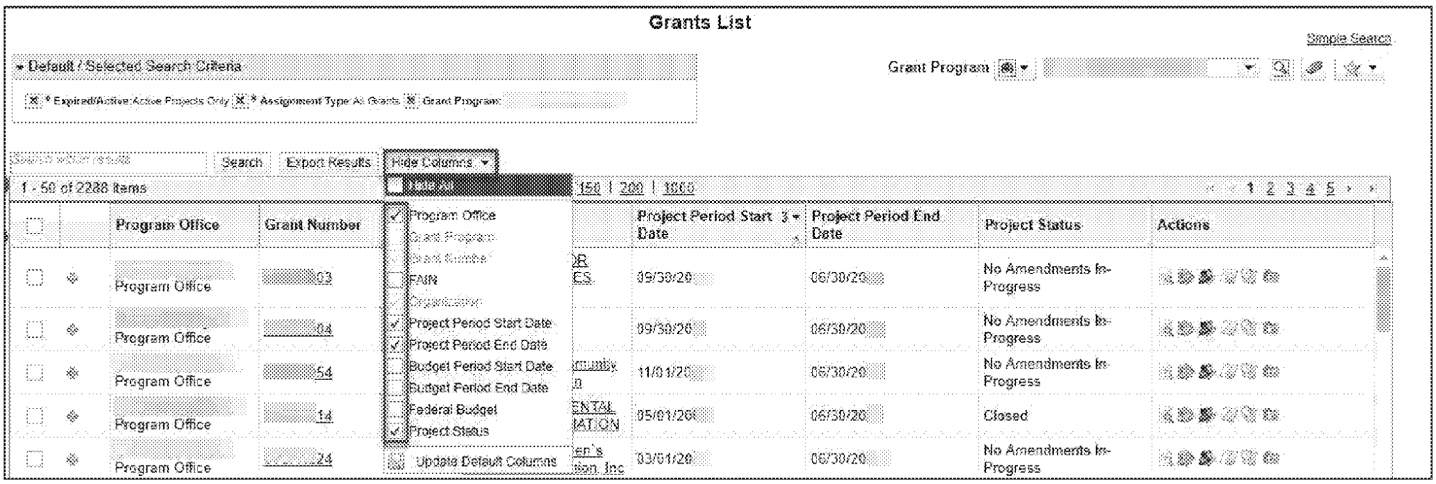

Figure 85: Hide Columns button

- The screen refreshes and the selected columns are temporarily removed from view. When the user conducts a new search, any previously hidden columns reappear. To hide the column consistently, click the option **Update Default Columns**.

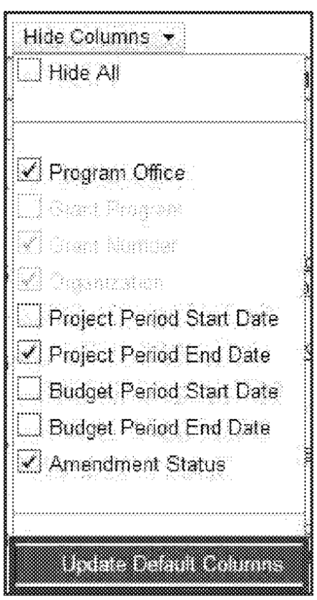

Figure 86: Hide Columns drop-down list with Update Default Columns selected

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- The new default is set. Follow the same steps to hide or unhide additional columns.

Grants List Results Table

The Grants List *Results Table* contains the following columns:

- Blue plus sign: Click to expand the grant row to view additional information and actions
- Program Office: Name of the Program Office
- Grant Number: Assigned Grant Number
- Organization: The Grantee organization name is a link that opens the Central Contractor Registry (CCR) information (including the DUNS number) in a new window
- Project Period Start Date: Start date of the project period
- Project Period End Date: End date of the project period
- Project Status: Tracks the status of Amendment applications. When no Amendments are currently in progress, the status is *No Amendments in Progress.* Additionally, *Closed* displays once a project is closed in the GMM
- Actions: Links to Grants List actions

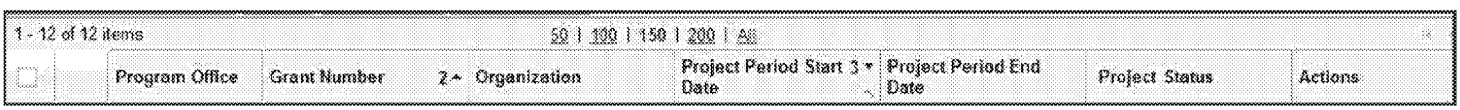

Figure 87: Grants List Results Table columns

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LESSON 4 REVIEW QUESTIONS

- **What are two ways to conduct a search using the "Grants List" Simple Search screen?**
- **What are the two required search criteria on the "Grants List" Advanced Search screen?**
- How would a user save a frequently used search?

Lesson 5: Grants List Actions

Objectives

At the end of this lesson, the user will be able to:

- Identify the "Grants List" Action buttons
- View or print the latest NOA
- Navigate to the Manage Amendments screen
- Make a Grant Assignment
- Add a Grant Note
- View the History of the Grant

The "Grants List" screen's results table contains an Action column for each awarded grant. The available actions are as follows:

View NGA

Manage Amendments

Grant Assignments

Grant Notes

History

Tip: Hover over an Action icon to view the icon description. Also, the icon legend is located towards the bottom of the "Grants List" screen.

VIEW NGA

The *View NGA* icon allows a user to open the latest version of the Notice of Grant Award (referred to as both NGA or NOA) in PDF format. The PDF may be saved or printed. To view the most recent NOA:

- Search the desired grant, and then click the **View NGA** icon.

50 | 100 | 150 | 200 | All

Grant Number 2 ▲	Organization	Project Period Sta3 ▾ Date	Project Period End Date	Project Status	Actions
CAPCA120080	The Swivel Chair Center	08/23/2012	08/23/2014	Submitted (Post Award)	

Figure 88: View NGA button

- The NOA appears as a PDF in a new window. To close the window, click the **X** in the upper right corner.

Tip: Mouse over the NOA to activate the PDF toolbar. The toolbar may be used to print or save the NOA.

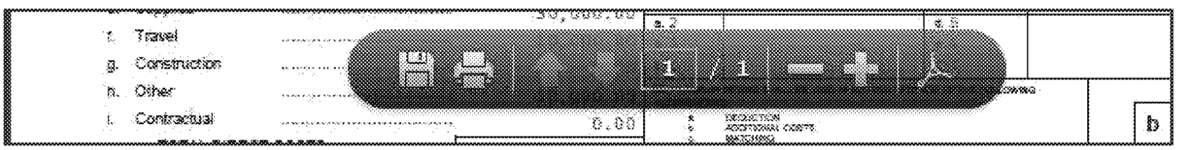

Figure 89: NGA with the PDF toolbar

MANAGE AMENDMENTS

Post-award actions such as Amendments may be viewed or initiated from the *Manage Amendments* icon. Amendment types may include, but are not limited to, supplements, change in staff, budget revisions, carryovers, and change in grantee address. Additionally, some amendments may be initiated by the grantee or by Federal staff.

To view Amendments in progress or to initiate a new Amendment, click the **Manage Amendments** icon.

50 | 100 | 150 | 200 | All

Grant Number 2 ▲	Organization	Project Period Sta3 ▾ Date	Project Period End Date	Project Status	Actions
CAPCA120080	The Swivel Chair Center	08/23/2012	08/23/2014	Submitted (Post Award)	

Figure 90: Manage Amendments icon

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PROJECT ASSIGNMENTS

The *Project Assignments* icon allows Federal Staff to designate which individual(s) serve in the various grantor and grantee roles for a grant. Without being assigned to a grant, a user does not receive automatic email notifications from the GMM when an action needs to be taken or when a Grant Note is added. Additionally, when the *Assignment Type: My Grants* filter is selected on the "Grants List" screen, only Grants the user is assigned to will appear in the *Results Table.*

Project **Assignments are made from the "Grants List" screen after the Notice of Award (NOA) is finalized and** edits or changes to the existing Project Assignments are required.

Manage Project Assignments for a Single Grant

To access Project Assignments from the "Grants List" screen:

- **Log into the GMM. The "Grants List" screen appears.**
- Search for one or more grants. From the *Results Table,* click the **Project Assignments** icon from the *Actions* column.

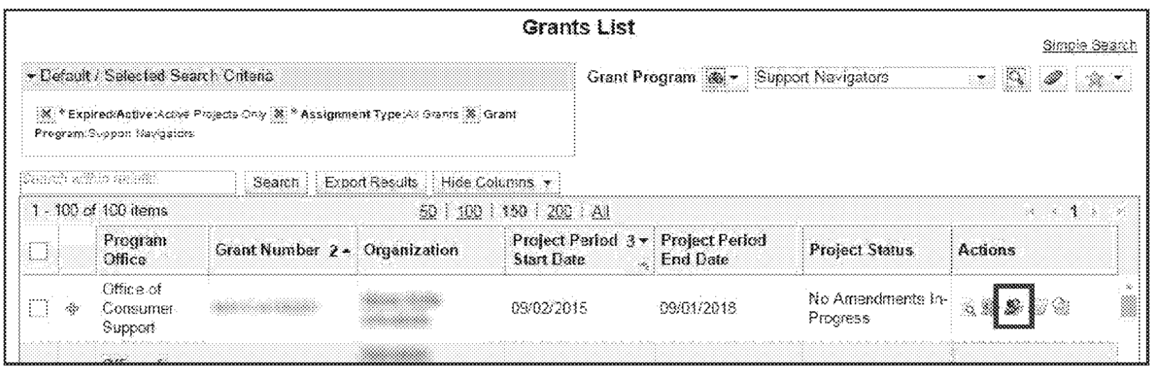

Figure 91: "Grants List" screen - Project Assignments icon

- **The "Project Assignments" screen opens in a new window.**

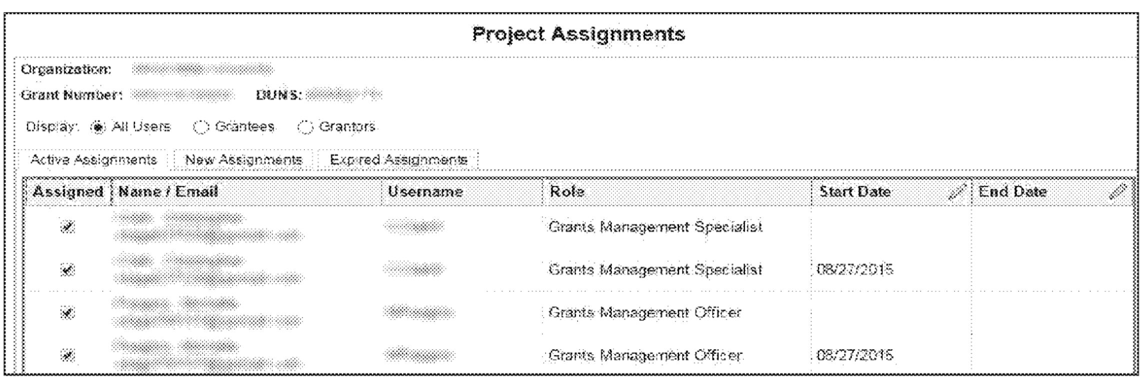

Figure 92: "Project Assignments" screen

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The "Project Assignments" screen lists the name of the grantee organization, application or grant number, and DUNS number towards the top of the screen.

It also contains radio buttons that filter the assignments displayed on the screen. The filter options are *All Users* (Grantees and Grantors), *Grantees*, and *Grantors*. The default is *All Users*.

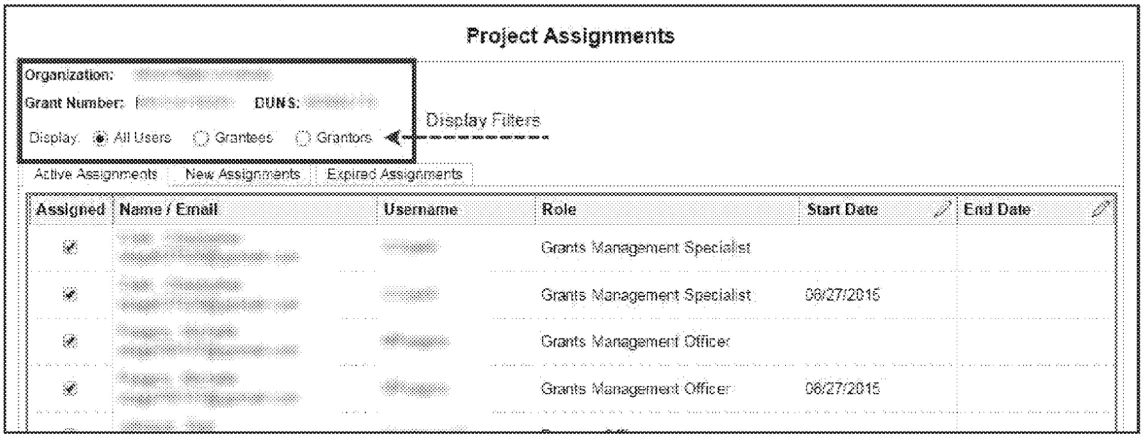

Figure 93: "Project Assignments" screen - Display radio buttons

The following tabs are found below the radio buttons:

- Active Assignments: List of users currently assigned to the project
- New Assignments: List of users available for assignment
- Expired Assignments: List of users that were previously assigned to the project but are no longer assigned

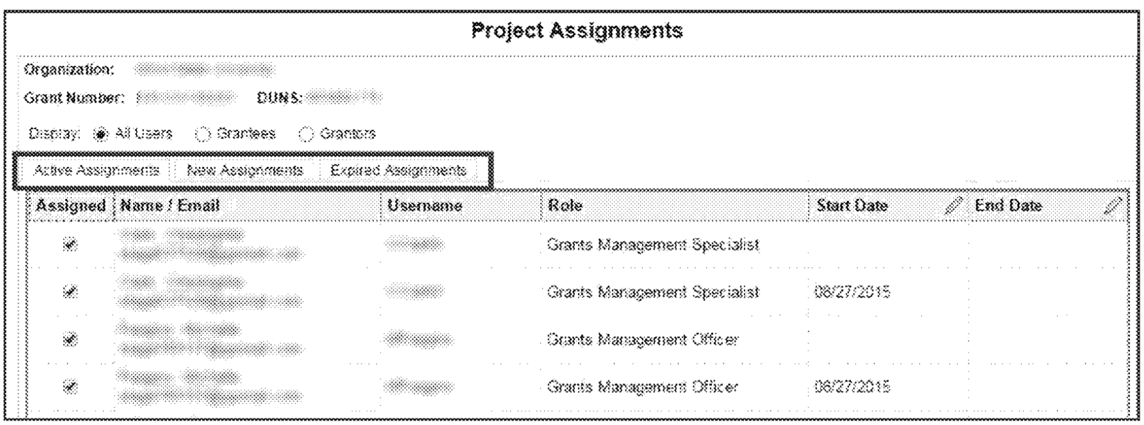

Figure 94: "Project Assignments" screen -Tabs

All users already assigned to the project appear in the *Active Assignments* tab. Use the display filters to view *All Users*, *Grantees*, or *Grantors*.

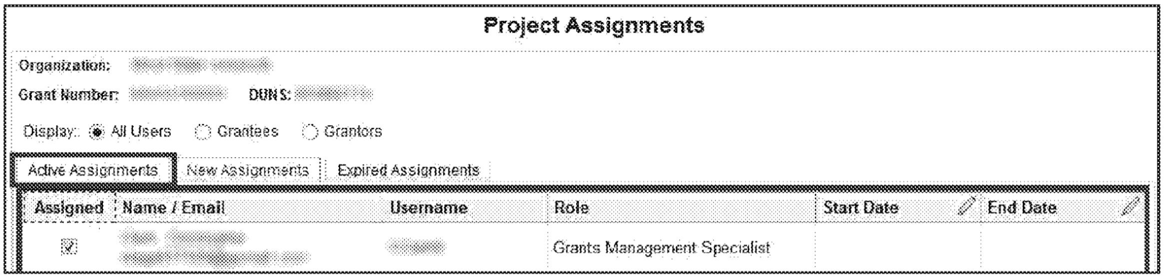

Figure 95: "Project Assignments" screen - Active Assignments tab

The *Active Assignments* tab includes the following columns and actions:

Column	Action/Information
Assigned	The *Assigned* box is checked next to each name. To remove an assignment, deselect the **checkbox** and click **Save**. When unassigned, the record is moved to both the *New Assignments* and the *Expired Assignments* tabs.
Name / Email	The first name, last name, and email address of the assignee.
Username	**The assignee's GMM username. When a grantee has a record in the GMM** but does not yet have an account (username and password), Grants staff may click the **Create Account** link from the *Username* column. Once clicked, the grantee receives two emails with their assigned username and temporary password.
Role	**The assignee's authority, such as Program Officer, Grants Management** Specialist, Financial Management Officer, PI/PD, etc.
Start Date	The date the assignment begins. It is possible to set a date in the future, so the assignment does not take immediate effect.
End Date	The date the assignment ends. Use this option if the assignment is temporary and needs to end on a certain date. Once the End Date passes, the assignment is moved to the *Expired Assignments* table.

All users available for assignment to a project appear under the *New Assignments* tab.

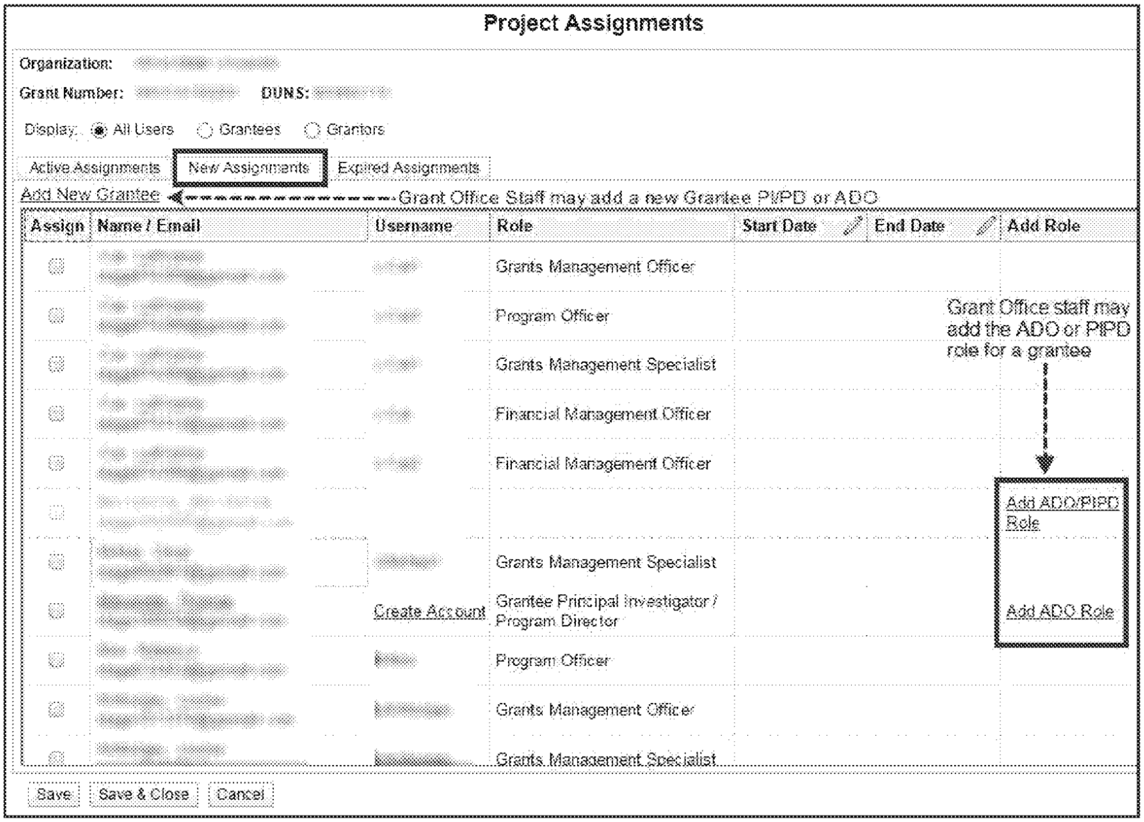

Figure 96: New Assignments Tab

Note: Program staff may view all assignments. However, Program staff can only assign themselves or other Program staff to a project, whereas Grants staff may assign grantor and grantee (PI/PD and ADO) roles.

The *New Assignments* tab includes the following columns and actions:

Column	Action/Information
Assign	Select the **Assign** checkbox next to the name(s) of individuals to assign them to the project. More than one assignment may be completed at a time. Click the **Save** button towards the bottom of the screen to move the record to the *Active Assignments* tab.
Name / Email	The first name, last name, and email address of the assignee.
Username	**The assignee's GMM username. When a grantee has a record in the GMM** but does not yet have an account (username and password), Grant Office staff may click the **Create Account** link from the *Username* column. Once clicked, the grantee receives two emails with their assigned username and temporary password.
Role	**The assignee's authori**ty, such as Program Officer, Grants Management Specialist, Financial Management Officer, PI/PD, etc.
Start Date	The date the assignment begins. It is possible to set a date in the future, so the assignment does not take immediate effect.
End Date	The date the assignment ends. Use this option if the assignment is temporary and needs to end on a certain date. Once the End Date passes, the assignment is moved to the *Expired Assignments* table.
Add Role	Only the grantee PI/PD and ADO roles may be assigned by Grants Staff. Additional grantee roles such as Support Staff and Financial Officer must be created by a member of the GrantSolutions Support Team.

To assign a user to the project:

- **From the "Project Assignments" screen** > *New Assignments* tab, click the **checkbox** to the left of each user to assign to the project.

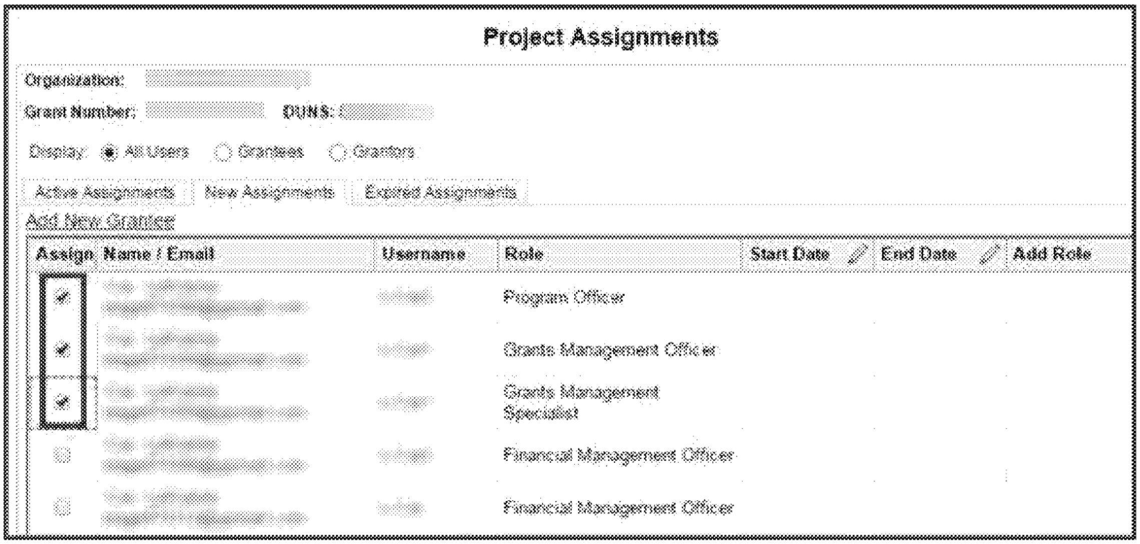

Figure 97: Project Assignments - New Assignments tab

- Towards the bottom of the screen, click the **Save** button to save the changes, or click the **Save & Close** button to save the changes and close the "Project Assignments" screen.

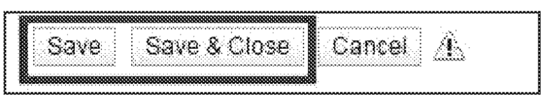

Figure 98: Save and Save & Close buttons

- The newly assigned user(s) is moved to the *Active Assignments* tab.

To assign one or more role authorities (PI/PD, ADO) to a grantee record that does not currently have a project **assignment, from the "Project Assignment" screen:**

- Select the **Grantees** radio button and the **New Assignments** tab.

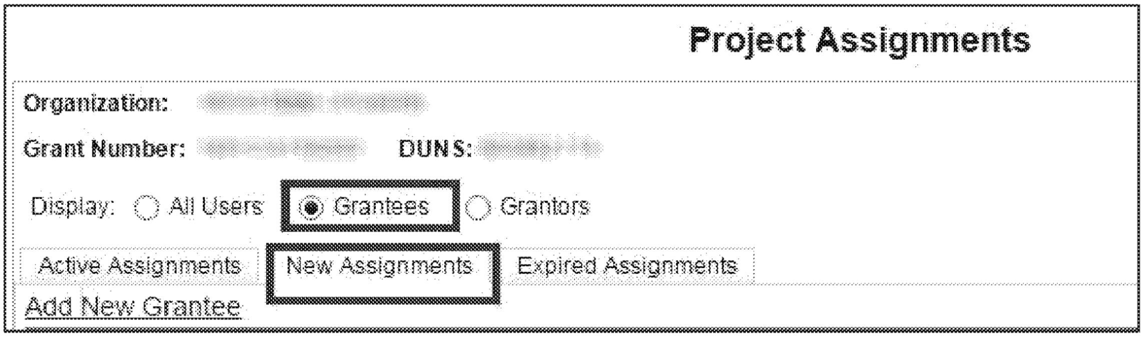

Figure 99: Project Assignments - New Assignments tab

- From the *Add Role* column, click the **Add ADO/PIPD Role** link.

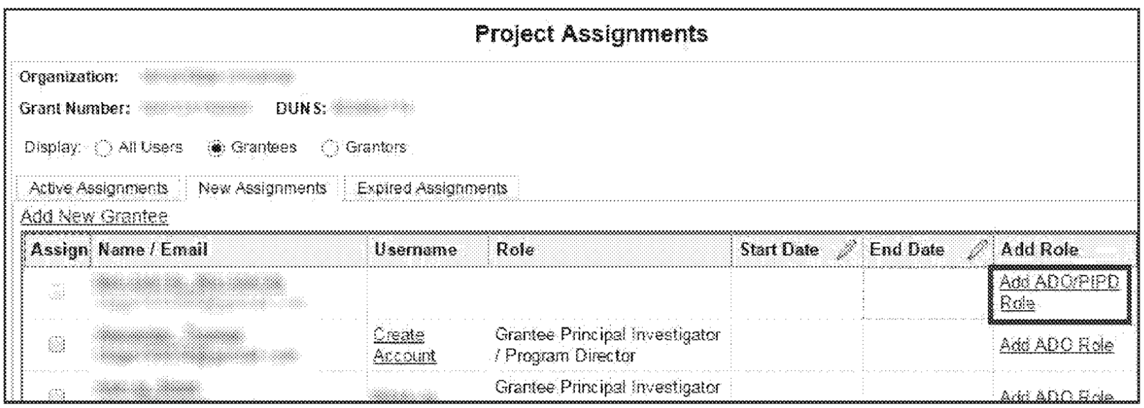

Figure 100: "Project Assignments" screen - Add ADO/PIPD Role link

- **The** "Assign Role" screen appears. Select one or both **checkboxes** (Grantee Principal Investigator / Program Director and/or Grantee Administrative Official / Grantee Authorizing Representative) and click the **Save** button.

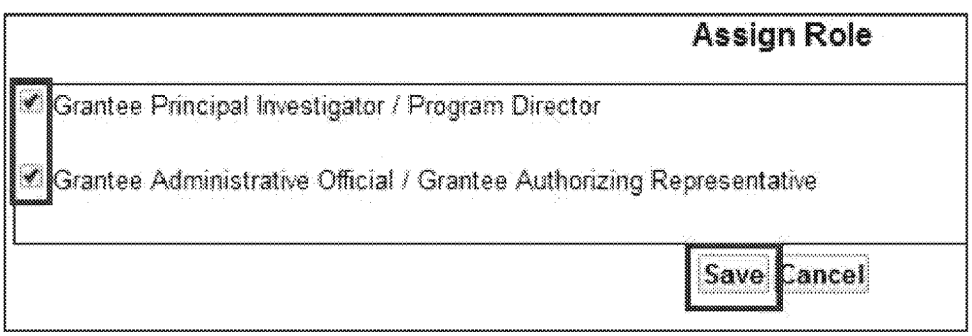

Figure 101: "Assign Role" screen

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- **The "Project Assignments** – New Assignments" screen reappears. The grantee is now assigned the PI/PD and ADO roles. Each role for the user is a new row in the *New Assignments* tab. The user may now be assigned to each role.

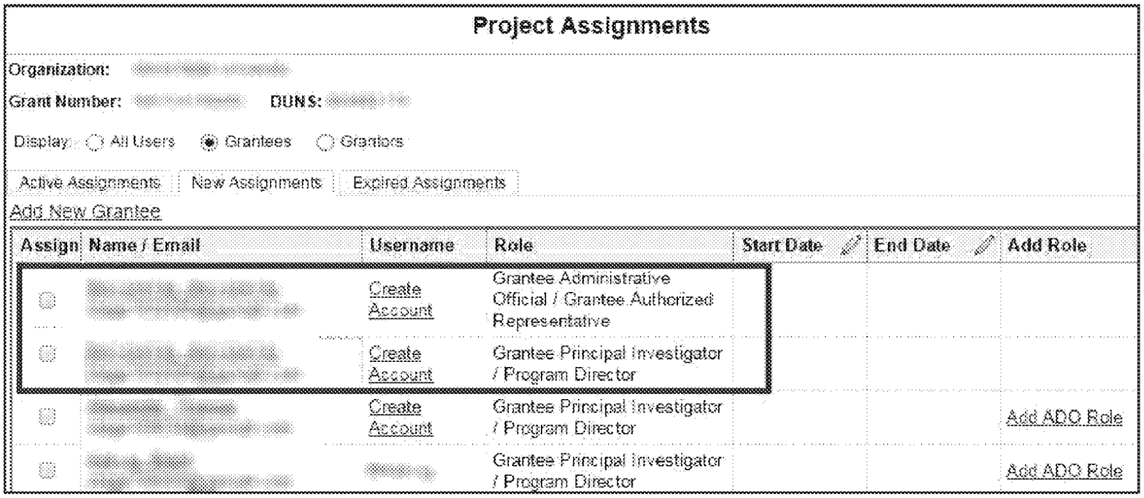

Figure 102: "Project Assignments – New Assignments" screen

To create a grantee user account:

- **From the** "Project Assignments" **screen, click the Create Account** link.

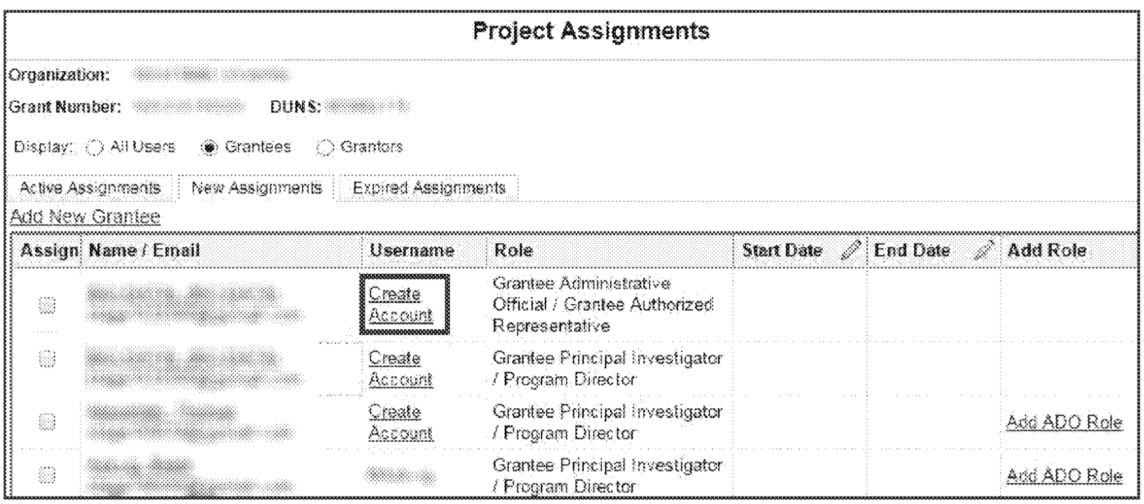

Figure 103: Project Assignments - New Assignments tab – Create Account link

- The screen refreshes and the account is created. The grantee receives two emails, the first with the assigned username and the second with a temporary password. The username assigned to the grantee is listed in the *Username* column.

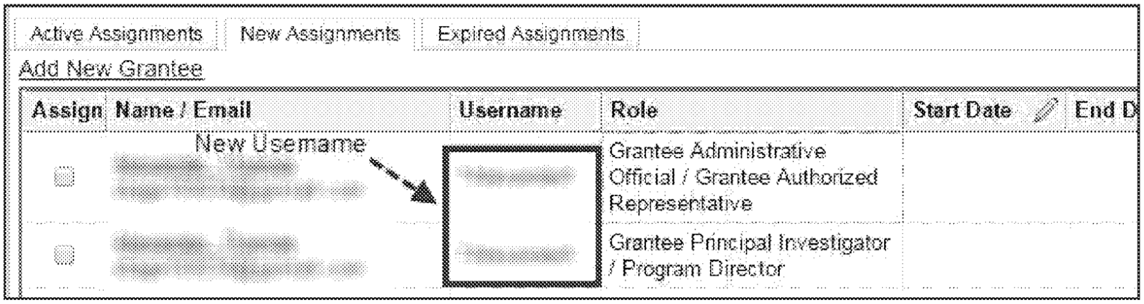

Figure 104: Project Assignments - Username column

- Click the **Save** or **Save & Close** button located towards the bottom of the screen.

Grant Office staff may add a new grantee user and assign the PI/PD role, ADO role, or both.

<u>**Note:**</u> Grants staff cannot delete grantee accounts. To delete a grantee account, grantees must submit a formal request to the GrantSolutions Help Desk.

To add a new grantee account:

- **From the "Project Assignments – New Assignments" screen, click the Add New Grantee** link.

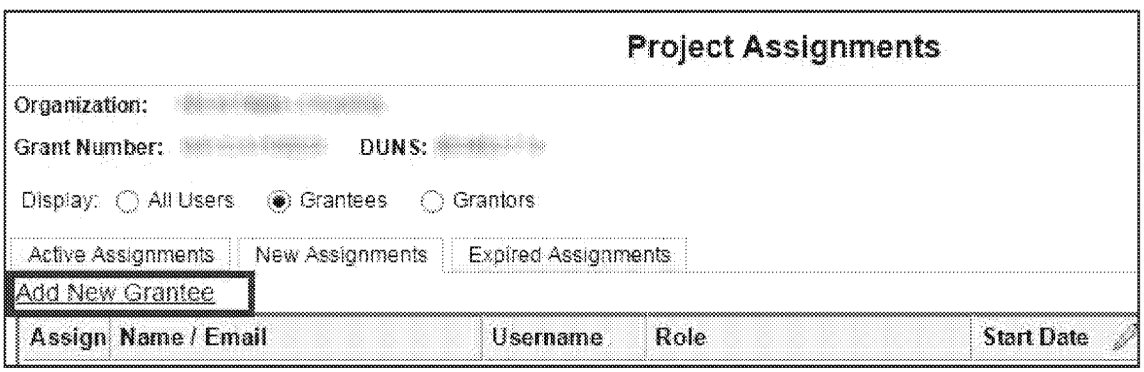

Figure 105: Project Assignments - Add New Grantee link

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- **The** "Add New Grantee**"** screen appears. Select the **Grantee Principle Investigation/Program Director** checkbox to assign the new grantee the PI/PD role. Select the **Grantee Administrative Official/ Grantee Authorized Representative** checkbox to assign the new grantee the ADO role.

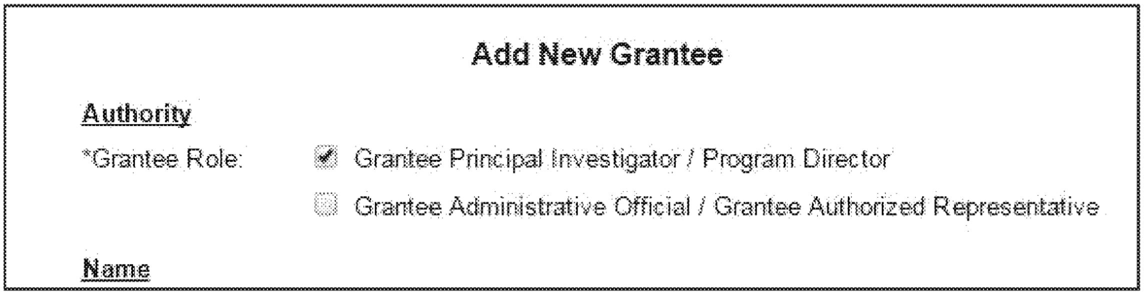

Figure 106: "Add New Grantee" screen

Enter **information** in the remaining fields.

Figure 107: "Add New Grantee" screen

- Towards the bottom of the screen, click the **Add** or **Add & Create User Account** button.

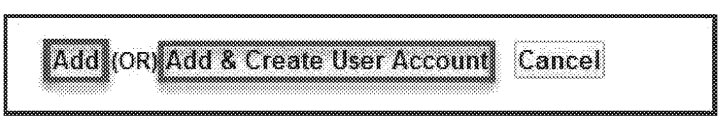

Figure 108: Add or Add & Create User Account buttons

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Note: Click the **Add** button to add a grantee record. Click the **Add & Create User Account** button to add the record and send the new grantee user their username and password via email.

- The "Project Assignments" screen reappears. Click the **Save** button.
- The new grantee person record and account (if selected on the previous screen) is created.

The *Expired Assignments* tab contains a list of all assignments where the end date has passed or where an assignment has been removed. This table is read-only; no action may be taken.

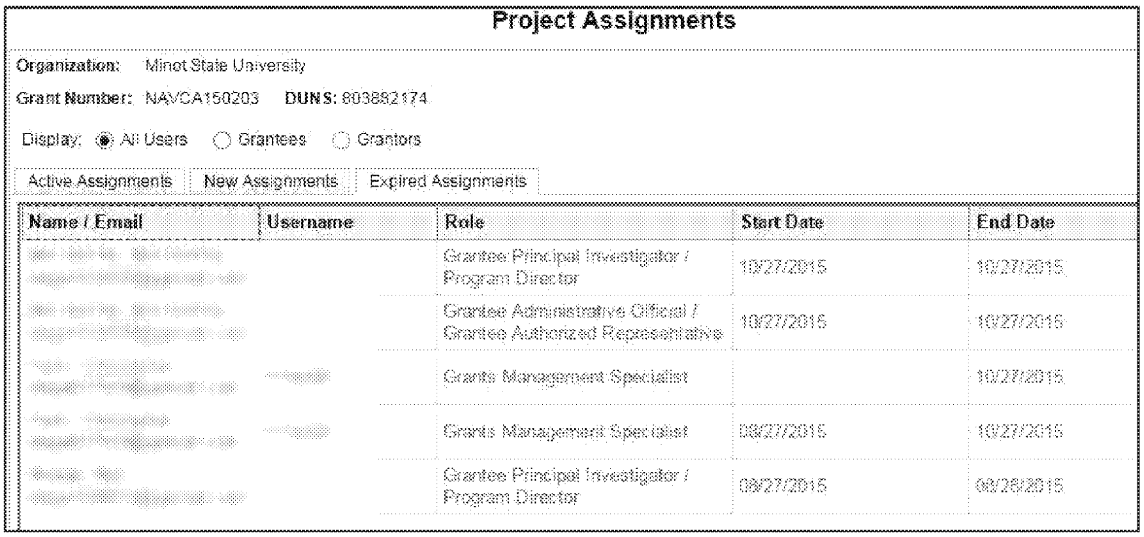

Figure 109: Project Assignments - Expired Assignments tab

The *Expired Assignments* tab includes the following columns and actions:

Column	Action/Information
Name / Email	The first name, last name, and email address of the assignee.
Username	**The assignee's GMM username.**
Role	**The assignee's authority, such as Program Officer, Grants Management** Specialist, Financial Management Officer, PI/PD, etc.
Start Date	The date the assignment began.
End Date	Date the assignment ended.

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Manage Assignments for Multiple Grants

The Bulk Assignments feature allows staff to make assignments for multiple grants for a single Grant Program in one action. Only Federal employees may be assigned using Bulk Assignments.

Assign Staff

- **Navigate to the** "Grants List Advanced Search" screen.
- **Search** for multiple grants. The *Grant Program* filter may be useful, as bulk assignments are limited to one grant program at a time.
- From the *Results* table, select the **checkbox** next to each grant that requires an assignment.
- Click the **Manage Assignments** button located below the *Results* table.

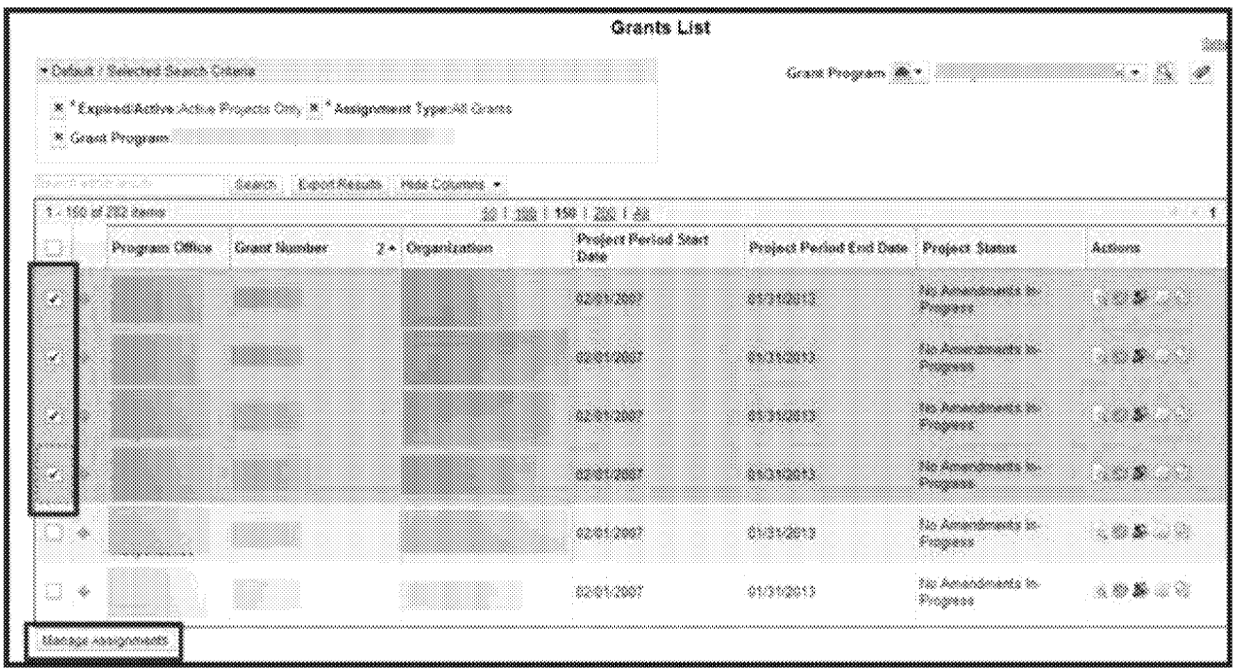

Figure 110: Bulk Assignments

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- The **"Person-Role Assignment"** screen opens in a new window.

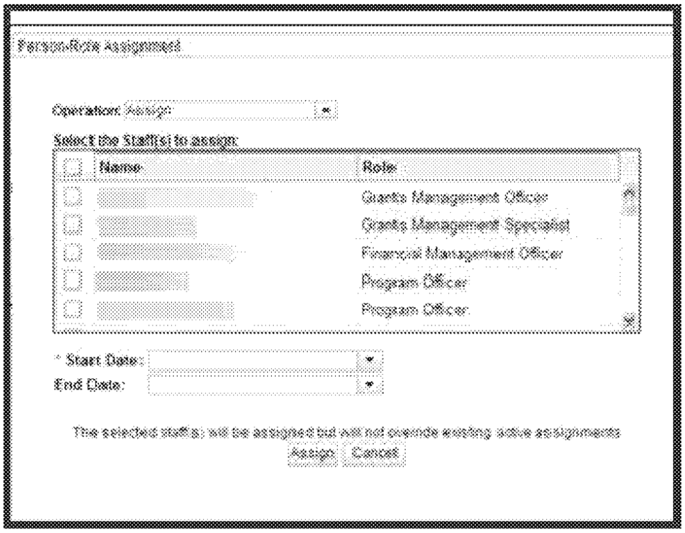

Figure 111: "Person-Role Assignment" screen

Tip: Names are not in alphabetical order. Click a **column header** to sort by Name or Role.

- To assign staff to grants, verify **Assign** is selected in the *Operation* drop-down menu.
- Click the **checkboxes** next to the name(s) of the staff to assign.
- Select a **Start Date** to begin the assignments.
- Selecting an End Date is optional. Only select an End Date if the assignment is temporary and an end date is known.

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- Click the **Assign** button.

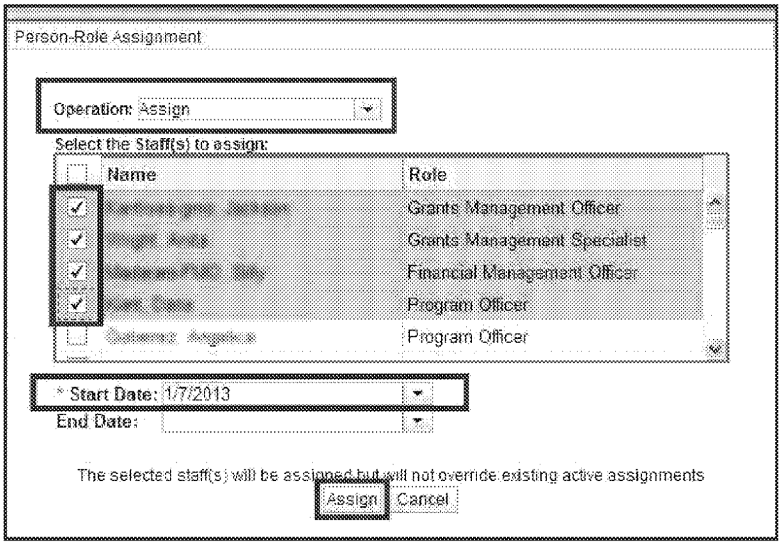

Figure 112: "Person-Role Assignment" screen with Operation drop-down menu

- A message displays asking, **"Are you sure you want to Assign the selected staff(s)?" Click OK**.
- **The "Grants List" screen** appears, and the assignments are made.

Unassign Staff

Bulk Assignments may be used to unassign staff from grants.

- **Navigate to the** "Grants List Advanced Search" screen.
- **Search** for multiple grants. The *Grant Program* filter may be useful, as bulk assignments are limited to one program at a time.

- From the *Results* table, select the **checkbox** next to each grant that requires an assignment change.

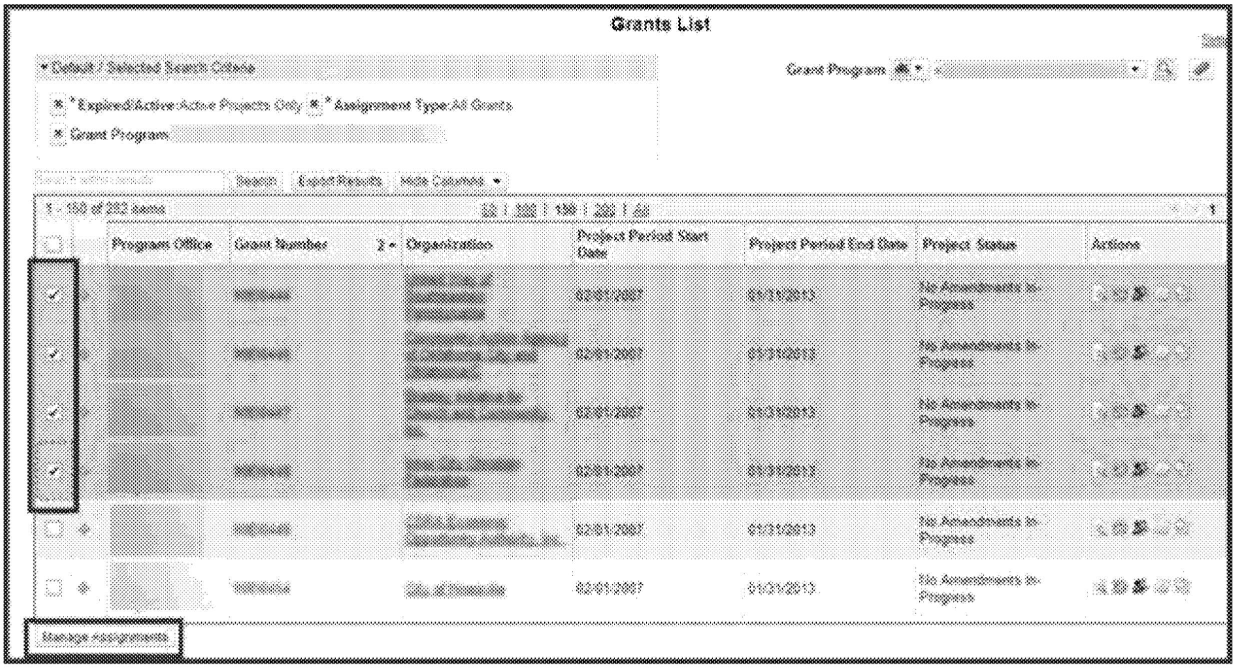

Figure 113: Grants List with checkboxes and the Manage Assignments button

- Click the **Manage Assignments** button located below the Search Results table.
- The **"Person-Role Assignment"** screen opens in a new window.
- From the *Operations* drop-down menu, select **Unassign**.

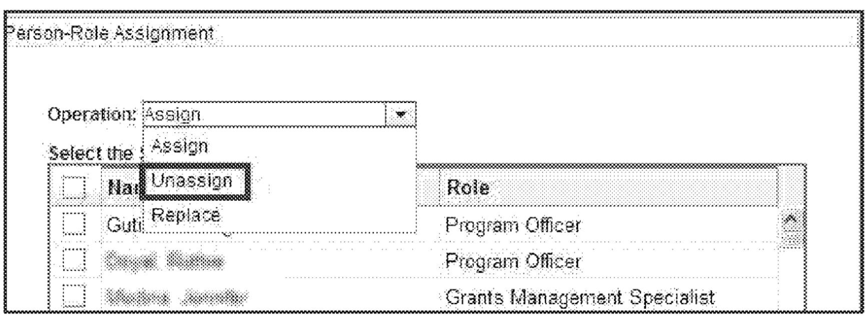

Figure 114: "Person-Role Assignment" screen

- The "Person-Role Assignment" window updates to display staff with existing assignments. Click the **checkboxes** next to the names of staff to be unassigned.
- Select an **End Date** to indicate when the assignments are terminated. A history of the previous assignments may be viewed from an individual grant's *Expired Grants* section.

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- Click the **Unassign** button.

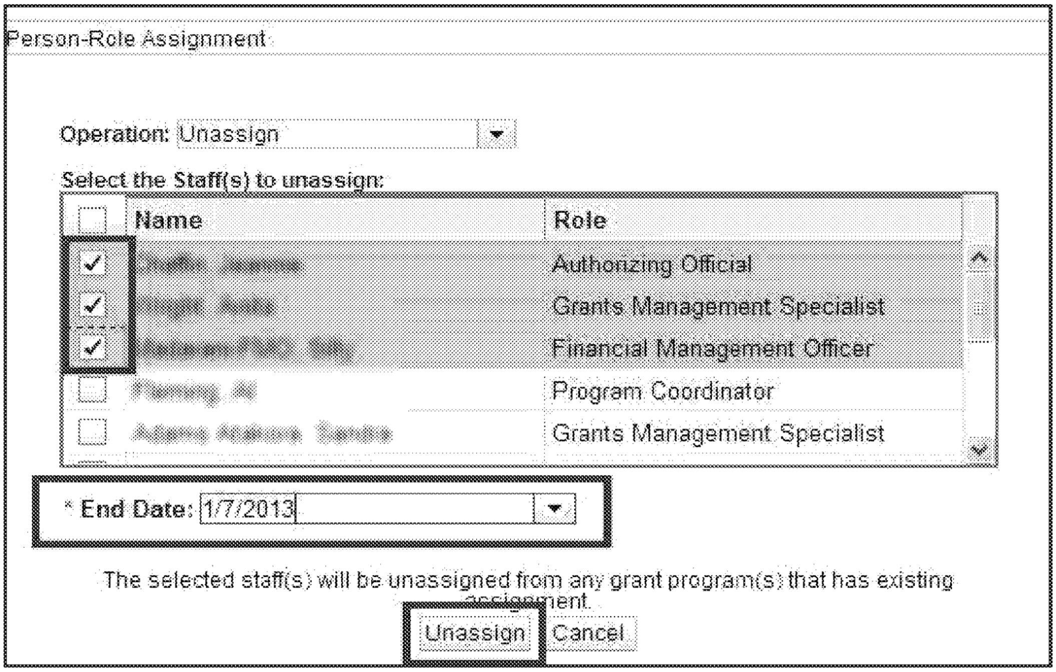

Figure 115: "Person-Role Assignment" screen with checkboxes, End Date, and Unassign button

- A message displays asking, **"Are you sure you want to Unassign the selected staff(s)**?" Click **OK**.
- **The "Grants List"** screen appears and the assignment changes are complete.

Replace Staff

The *Replace Staff* feature allows one Federal staff member to replace another staff member for all assigned Grant Programs.

- **Navigate to the** "Grants List Advanced Search" screen.
- Search for multiple grants. The *Grant Program* filter may be useful, as bulk assignments are limited to one program at a time.

- From the *Results* table, select the **checkbox** next to each grant that requires an assignment change.

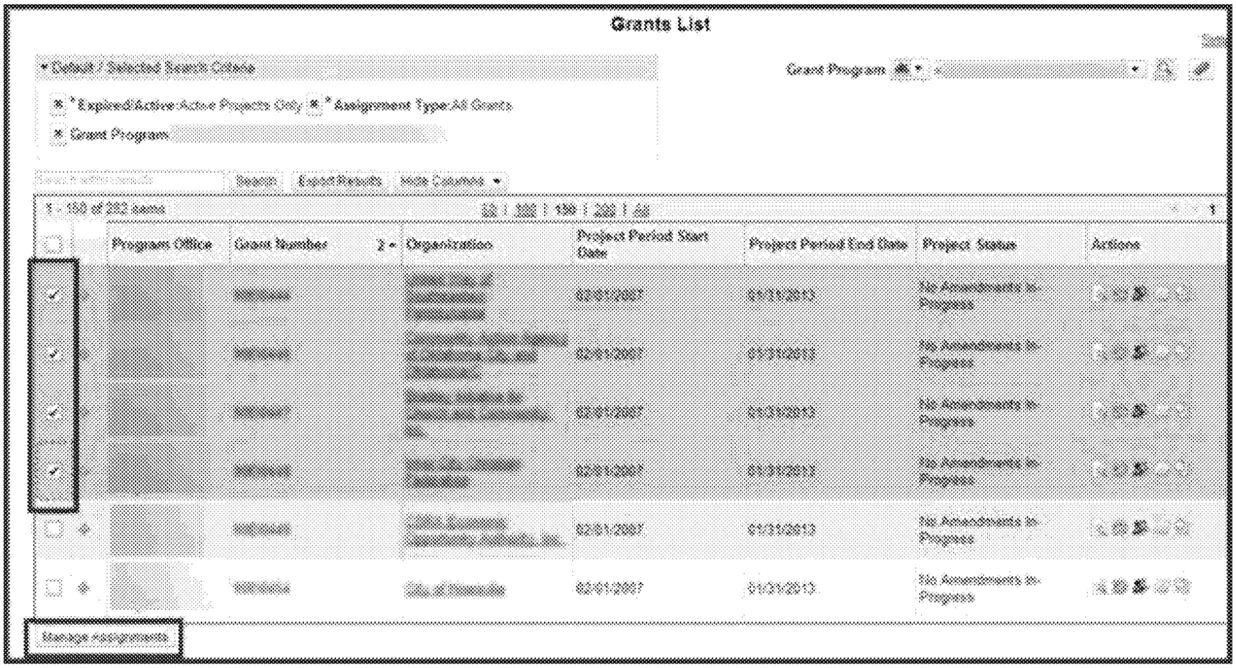

Figure 116: Grants List with checkboxes and the Manage Assignments button

- Click the **Manage Assignments** button located below the Search box.
- The **"Person-Role Assignment"** screen opens in a new window.
- From the *Operation* drop-down list, select **Replace**.

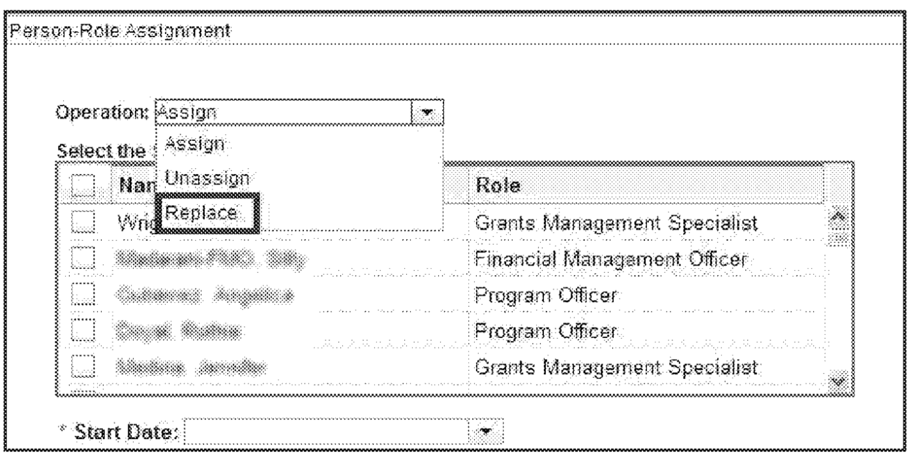

Figure 117: "Person-Role Assignment" screen

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- From *the Staff to be Replaced* drop-down list, select **Staff member**.
- From the *Replace With* drop-down list, select desired **Role**.
- Choose a **Start Date** to activate the replacement.
- Select an End Date if the replacement assignment has a known termination date.
- Click the **Replace** button.

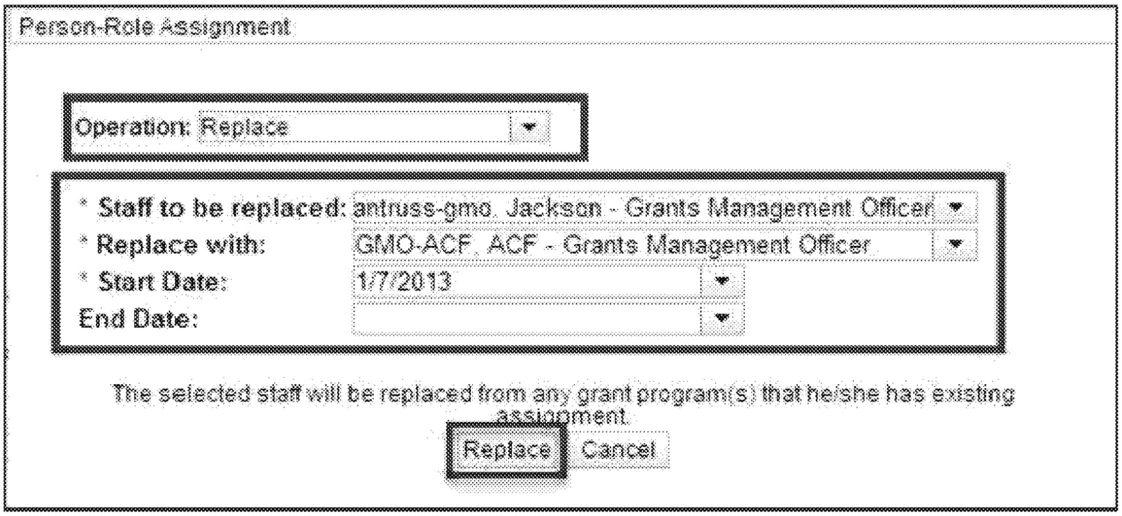

Figure 118: "Person-Role Assignment" screen

- A message displays asking, **"Are you sure you want to Replace the selected staff(s)?" Click OK**.
- **The "Grants List" screen appears and the assignments have been** replaced.

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GRANT NOTES

Grant Notes are used to add comments for internal and external audiences and to attach necessary documents to a grant record. To add a Grant Note:

- **Search for a grant from the "Grants** List" screen. From the *Actions* column, click the **Grant Notes** icon.

Grant Number 2	Organization	Project Period Start Date	Project Period End Date	Amendment Status	Actions
CAPCA120080	The Swivel Chair Center	08/23/2012	08/23/2014	Submitted (Post Award)	

Figure 119: Grant Notes icon

- **The "Grant Notes" screen appears. The top portion of the screen contains the** grant information. The middle section contains a search field that may be used to locate specific Grant Notes.

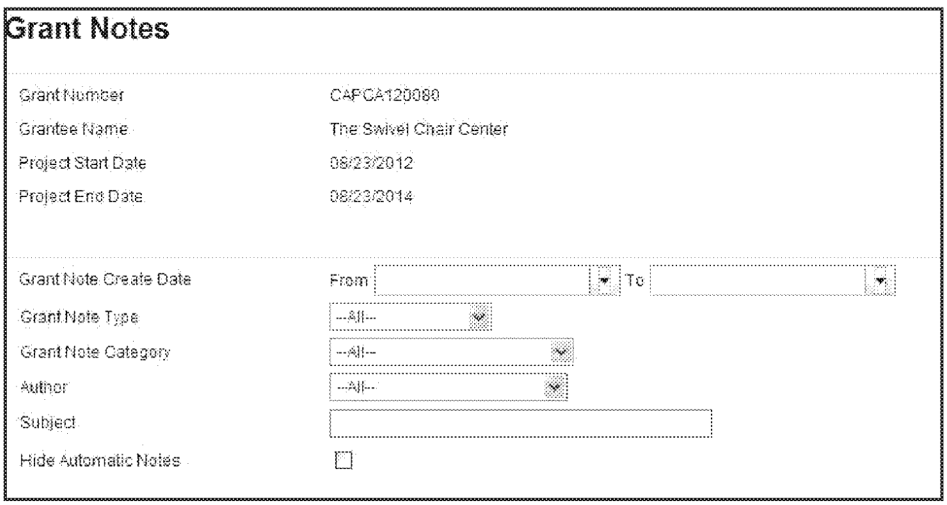

Figure 120: "Grant Notes" screen

The search fields are:

- Grant Note Create Date: From and To dates
- Grant Note Type: Internal or Correspondence
- Grant Note Category: Pre-defined by the Business Analyst and Federal Staff
- Author: Name of user that created the Grant Note
- Subject: Grant Note subject
- Hide Automatic Notes: Workflow notes automatically generated by the GMM are hidden by default

- Scroll down and click the **Add** button.

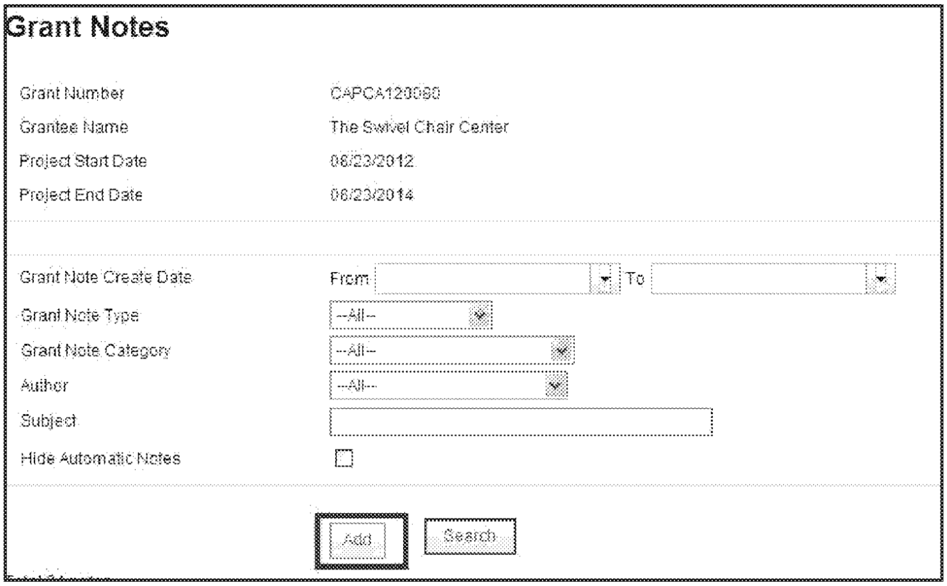

Figure 121: "Grant Notes" screen

- **The "Grant Notes-Add" screen displays. Enter information** in the required fields (indicated by a red asterisk).

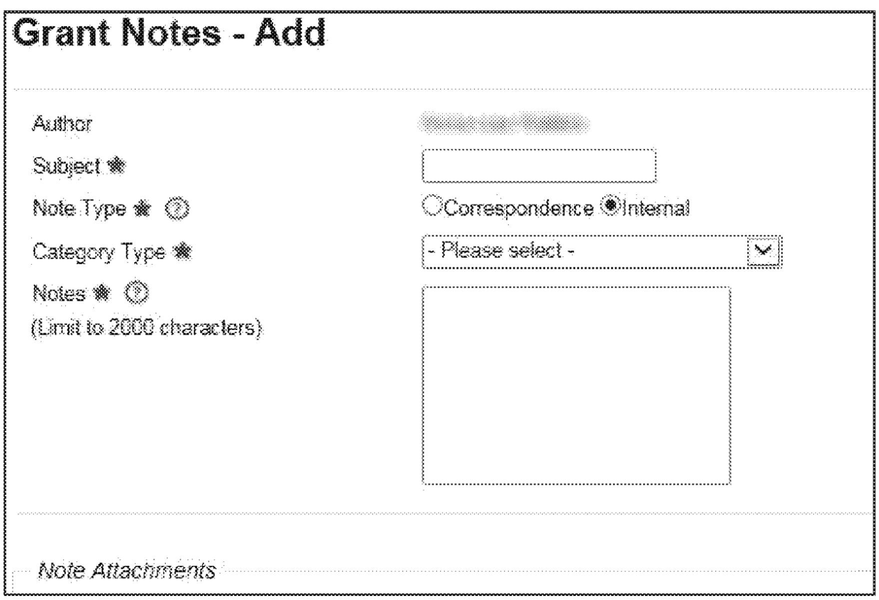

Figure 122: "Grant Notes – Add" screen

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The fields are as follows:

- Subject: Enter the subject of the note. Conform to any naming conventions set by the organization.
- Note Type: Radio buttons –
  - *Internal* (only visible to grantor)
  - *Correspondence* (visible to grantor and grantee – the Grantee will receive an email with a link to log in and view the note)
- Category Type: A pre-set list of categories. To add or remove custom categories for a grant program, please contact the Business Analyst
- Notes: Text field (limit of 2000 characters)
- *Optional*: Add a file description and upload any desired attachments.
- When done, click the **Submit** button.

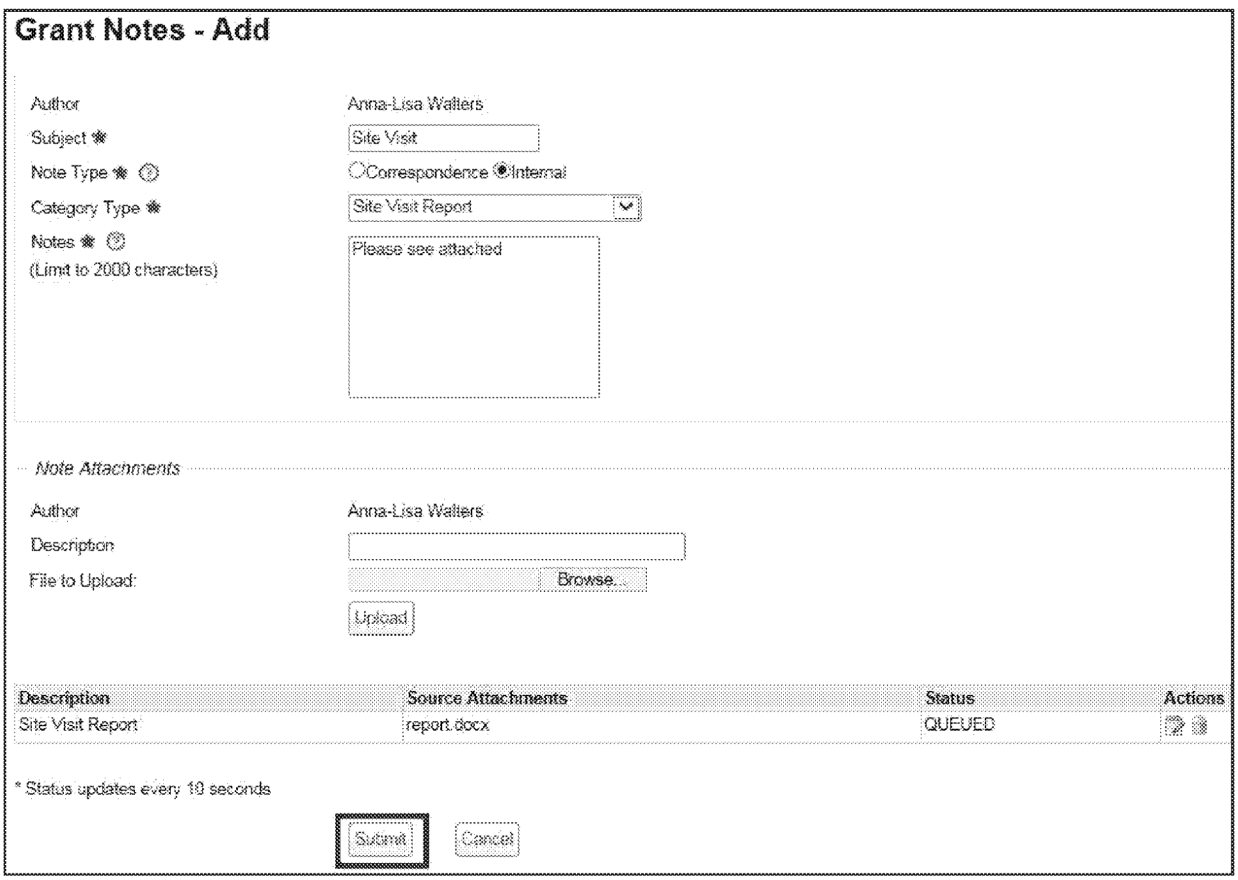

Figure 123: "Grant Notes – Add" screen

Notes:

- Once a note is submitted, it is viewable at any time.

- Only the author of a note can **Edit** or **Delete** the note.
- When email notification is sent to the staff with the Project Assignment, the Grant Note is not contained in the body of the email. The user must log in to the GMM to view the Grant Note.

HISTORY

The History icon allows users to view the entire history of an awarded grant, including all applications submitted and awarded.

- **From the "Grants List" screen, search for an awarded grant. Click the History** icon.

50 | 100 | 150 | 200 | All

Grant Number	Organization	Project Period Start Date	Project Period End Date	Project Status	Actions
CAPCA120080	The Swivel Chair Center	08/23/2012	08/23/2014	Submitted (Post Award)	

Figure 124: History icon

- **The "Grant History"** screen appears. The most recent application is listed at the top of the screen.

Grant History

Grantee Name	The Swivel Chair Center
Project Title	Affordable Care Act – Consumer Assistance Program Grants
Project Period	08/23/2012 to 08/23/2014
Budget Year	1

Application Number	Grant Number	Action Date	Project Period	Budget Period	Award Amount	Application Type	Status	Action
CAP2013000270		09/26/2013	08/23/2012 to 08/22/2013	08/23/2012 to 07/01/2013		Post Award Amendment (Request for use of Unobligated Funds)	(Amendment) Approved (Processing)	View Application View Memo
CAP2013000258	6 CAPCA120080-01-01 Amendment Number:1 Budget Period:1	07/02/2013	08/23/2012 to 08/23/2014	08/23/2012 to 07/01/2013	$50,000.00	Post Award Amendment (Budget Revision)	Awarded	View Application Budget Worksheet View Memo View NGA Award Summary Award Workflow History View Terms & Conditions

Figure 125: "Grant History" screen

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The "Grant History" screen contains the following information:

- Application Number: Link to the Application Control Checklist screen
- Grant Number
- Action Date
- Project Period
- Budget Period
- Award Amount
- Application Type
- Status
- Action
- View Application
- Budget Worksheet
- View Memo
- Award Summary
- Award Workflow History
- View Terms & Conditions

LESSON 5 REVIEW QUESTIONS

- What are the five Grants List action buttons?
- How would a user **view or print a grant's latest Notice of Grant Award?**
- How would a user access the "Manage Amendments" screen?
- Why are Project Assignments important?
- How would a user add a custom Grant Note category?
- How would a user access the history of a grant?