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|--|--|---|--|
| 1. DATE ISSUED MM/DD/YYYY 01/12/2024 | | 1a. SUPERSEDES AWARD NOTICE dated except that any additions or restrictions previously imposed remain in effect unless specifically rescinded | |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. 24STADA00002-01-00 Formerly | | 5. TYPE OF AWARD Research | |
| 4a. FAIN 24STADA00002 | | 5a. ACTION TYPE New | |
| 6. PROJECT PERIOD From 01/12/2024 | | Through 06/30/2034 | |
| 7. BUDGET PERIOD From 01/12/2024 | | Through 06/30/2024 | |
| 8. TITLE OF PROJECT (OR PROGRAM) | | | |

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, Public Law 107-296, 6 U.S.C 188

| | |
|--|---|
| 8. TITLE OF PROJECT (OR PROGRAM) DHS, S&T, Office of University Programs (OUP), University of Alaska Anchorage (UAA), Arctic Domain Awareness Center (ADAC)-ARCTIC: A COE for Homeland Security in the Arctic | |
| 9a. GRANTEE NAME AND ADDRESS UNIVERSITY OF ALASKA ANCHORAGE 3211 Providence Dr Ak Center for Rural Health Anchorage, AK 99508-4614 | 9b. GRANTEE PROJECT DIRECTOR [REDACTED] 3211 Providence Drive ARCTIC Anchorage, AK 99508-4614 [REDACTED] |
| 10a. GRANTEE AUTHORIZING OFFICIAL [REDACTED] 3211 Providence Drive Anchorage, AK 99508-4614 [REDACTED] | 10b. FEDERAL PROJECT OFFICER [REDACTED] 7th And D Street SW Washington, DC 20407-0001 [REDACTED] |

ALL AMOUNTS ARE SHOWN IN USD

| | | | |
|---|--|---|--|
| 11. APPROVED BUDGET (Excludes Direct Assistance) | | 12. AWARD COMPUTATION | |
| I Financial Assistance from the Federal Awarding Agency Only | | a. Amount of Federal Financial Assistance (from item 11m) 4,600,000.00 | |
| II Total project costs including grant funds and all other financial participation | | 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 4,600,000.00 | |
| | | 13. Total Federal Funds Awarded to Date for Project Period 4,600,000.00 | |
| 14. RECOMMENDED FUTURE SUPPORT (Subject to the availability of funds and satisfactory progress of the project): | | | |
| 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

YEAR 1 BASE FUNDING: \$4,600,000 is awarded in base funding. Of this amount, \$150,000 is released for Management & Administration of the Center, participation in a Workplan Development Workshop and the development and submission of a workplan and budget justification following the workshop. All other funds will remain restricted contingent upon meeting the terms and conditions of this award. The following award-specific restrictions are in effect: See the attached Restriction Memo

GRANTS MANAGEMENT OFFICIAL:

[REDACTED]
7th and D Street, SW
Washington DC, DC 20407
[REDACTED]

| | | | | | |
|---------------------|----------------------------|---------------------|-----------------------|---------------------|--------------------|
| 17.OBJ CLASS 4102 | 18a. VENDOR CODE 926000147 | 18b. EIN 926000147 | 19a. UEI DZFTJ2KH9C43 | 19b. DUNS 076664986 | 20. CONG. DIST. 00 |
| FY-ACCOUNT NO. | DOCUMENT NO. | ADMINISTRATIVE CODE | AMT ACTION FIN ASST | APPROPRIATION | |
| 21. a. U24K70240803 | b. STADA00002A | c. ADA1 | d. \$4,600,000.00 | e. | |
| 22. a. | b. | c. | d. | e. | |
| 23. a. | b. | c. | d. | e. | |

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NOTICE OF AWARD (Continuation Sheet)

| | |
|------------------------------|---------------------------|
| PAGE 2 of 2 | DATE ISSUED 01/12/2024 |
| GRANT NO. 24STADA00002-01-00 | |

| Federal Financial Report Cycle | | | |
|--------------------------------|---------------------------|----------------|---------------------------|
| Reporting Period Start Date | Reporting Period End Date | Reporting Type | Reporting Period Due Date |
| 01/12/2024 | 12/31/2024 | Annual | 01/30/2025 |
| 01/01/2025 | 12/31/2025 | Annual | 01/30/2026 |
| 01/01/2026 | 12/31/2026 | Annual | 01/30/2027 |
| 01/01/2027 | 12/31/2027 | Annual | 01/30/2028 |
| 01/01/2028 | 12/31/2028 | Annual | 01/30/2029 |
| 01/01/2029 | 12/31/2029 | Annual | 01/30/2030 |
| 01/01/2030 | 12/31/2030 | Annual | 01/30/2031 |
| 01/01/2031 | 12/31/2031 | Annual | 01/30/2032 |
| 01/01/2032 | 12/31/2032 | Annual | 01/30/2033 |
| 01/01/2033 | 12/31/2033 | Annual | 01/30/2034 |
| 01/01/2034 | 06/30/2034 | Annual | 07/30/2034 |

AWARD ATTACHMENTS

UNIVERSITY OF ALASKA ANCHORAGE

24STADA00002-01-00

1. Welcome Letter
2. FY22 Arctic - AWARD LETTER_ARCTIC_1-12-24
3. FY 24_New COE Terms and Conditions
4. HSA_Year1 Restrictions



Homeland Security

DEPARTMENT OF HOMELAND SECURITY

Dear Awardee:

Congratulations on being selected as a recipient of the DHS-22-ST-061-ARCTIC Award Number: 24STADA00002.

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

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 semi-annual 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/>



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

January 12, 2024

[REDACTED]
University of Alaska Anchorage
Vice Chancellor for Research
3211 Providence Drive
Anchorage, AK 99508-4614

RE: Application Number: ADA2023000027
DHS-22-ST-061-ARCTIC
Award Number: 24STADA00002-01

Dear [REDACTED]

Congratulations! I am pleased to inform you that the Department of Homeland Security (DHS) has approved your application in the amount of \$4,600,000.00 for budget period 1/12/2024 - 6/30/2024. Subsequent budget periods will follow the established schedule for DHS COEs of July 1 to June 30 annually.

This will serve as the first budget period of a 10-year cooperative agreement, with a performance period of 7/1/2024 – 6/30/2034. Contingent upon appropriations and performance, DHS plans to award future years annually at approximately \$4,000,000 to \$5,000,000 per year during the performance period. To qualify for future funding, University of Alaska Anchorage must satisfactorily fulfill the terms and conditions of this award and individual projects must meet DHS biennial review standards. All funding is contingent on agreement with the terms and conditions of this award and approval of the first year's workplan and budget justification. Please see Appendices 1-3 for details.

Upon University of Alaska Anchorage's acceptance of this award, DHS will release \$150,000 for Management and Administration of the Center, participation in a Workplan Development Workshop and the development and submission of a workplan and budget justification following the workshop. All other funds will remain restricted contingent upon meeting the terms and conditions of this award.

GrantSolutions: The Grants and Financial Assistance Division utilizes GrantSolutions, an online grants management tool. Please find attached a GrantSolutions Welcome Letter with pertinent information on how to access your award and communicate with federal staff. We are requiring that relevant staff accounts be established no later than Friday, January 26, 2024.

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.

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Washington, DC 20528

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**, you must complete the New User and Account Establishment process directly on the PMS site. Additional information 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. If you have questions concerning this award, please contact me at [REDACTED]

All financial and performance reporting requirements outlined in the Terms and Conditions of award will be submitted in the GrantSolutions system. All required reports shall be submitted under the Manage Reports feature on or before the dates listed in the Award Terms & Conditions. The submission guidance found here: <https://www.grantsolutions.gov/support/granteeUsers.html>. Please review this guidance carefully and contact the GrantSolutions Help Desk if you experience any technical difficulties: help@grantsolutions.gov.

System for Award Management (SAM) Registration: Under the terms and conditions of this award, your organization must keep up an active SAM registration at <https://www.sam.gov/portal/public/SAM/> until you send the final financial report or you receive the final payment, whichever is later. If your organization's SAM registration expires during the required period, the Service will suspend payment under this and all other Service awards to your organization until you update your organization's SAM registration.

If you have questions concerning this award, please contact the appropriate DHS official listed below.

Program/Technical matters - [REDACTED]

Grant/Fiscal related matters - [REDACTED]

Sincerely,

[REDACTED]
Grants Officer



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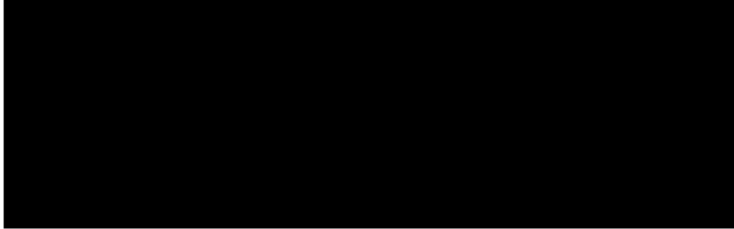
U.S. Department of Homeland Security
Washington, DC 20528

Grants and Financial Assistance Division
Office of Procurement Operations
Office of the Chief Procurement Officer
Department of Homeland Security

Attachments:

Notice of Award (NOA)
FY 2024 DHS COE Terms and Conditions
Appendix 1 – Award Specific Terms and Conditions
Appendix 2 – Selected Projects
Appendix 3 – Review Comments

Email:





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Washington, DC 20528

Appendix 1: Additional Award Specific Terms and Conditions for University of Alaska Anchorage

In addition to the FY 2024 DHS Standard Terms and Conditions posted at <https://www.dhs.gov/publication/fy15-dhs-standard-terms-and-conditions>, and the FY 2023 DHS COE Terms and Conditions, the following Award Specific Terms and Conditions apply specifically to this award as administered by the Grants and Financial Assistance Division (GFAD):

The University of Alaska Anchorage (UAA) will serve as the lead for the Center of Excellence for Homeland Security in the Arctic, Grant # GRANT13919856. The initial composition of the center's research and education portfolio will reflect the strongest elements of the selected proposal. The initial partners to be funded as proposed in University of Alaska Anchorage's application, pending proposed modifications, are listed in Appendix 2.

DHS recommends that UAA expand upon its proposed partnership with the University of Alaska Fairbanks (UAF) in order to incorporate strengths from that institution's proposal, especially regarding resilience projects, engagement with local and Indigenous communities, and highly relevant campus resources.

As the Center matures, DHS anticipates new projects developing and current projects reaching their logical conclusions throughout the Center's period-of-performance. UAA may propose additional partner institutions to improve the overall responsiveness of the program to address customer needs and priorities, particularly after the initial year. Please note that DHS requires the Center to hold broad, open competitions as part of establishing new partners.

DHS requires the following management and administrative terms:

Kick-Off Call

Within 15 business days of award, DHS will hold a kick-off call with UAA to discuss the terms and conditions of this award, the findings of the review and selection process, and next steps.

Center Workplan

Prior to an additional release of funds, UAA must submit for DHS approval project-specific workplans that incorporate input from review comments, as well as from a Workplan Development Workshop. DHS expects this workshop to occur within 90 days of the award. Overarching review comments on proposal strengths and weaknesses are provided in Appendix 3. DHS will provide project-specific review comments ahead of the workshop. If individual project teams are non-responsive to review comments, DHS will work with the Center Lead to compete, review, and award new research projects.

- The Center will work with OUP to organize a Workplan Development Workshop for researchers and educators to meet with key DHS stakeholders to develop and refine project workplans and budget justifications, to be submitted to OUP within 60 days



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following the workshop. OUP will work in close coordination with DHS components, UAA and its partners to prepare for and conduct the workshop.

- DHS recommends that prior to the workshop, UAA work in collaboration with UAF, and vice versa, to integrate strengths from that institution's proposal, especially regarding resilience, engagement with local and Indigenous communities, and highly relevant campus resources, in an effective, complimentary manner, and to present a shared envisioned path forward to stakeholders at the workshop. DHS views this recommendation as an opportunity for UAA to extend its applicability to address FEMA and CISA mission needs in addition to USCG mission needs, thereby addressing the intent of the funding opportunity announcement as well as weaknesses in UAA's proposal identified during the evaluation and selection process.
- Center annual workplans will include specific detailed performance metric outcomes and outputs for each project or activity along with planned activities and specific milestones for enabling the transition of research results into use by homeland security end users.
- After each initial workplan is approved, the Center leadership will meet with the OUP Program Manager and other stakeholders to discuss and clearly understand the starting baseline and how progress for each project will be measured against that baseline.

The Workplan Development Workshop and review comments may also address the management and administration of the Center. Following the workshop, and prior to an additional release of funds, UAA must submit a complete workplan for DHS approval that includes all Center management and administration, projects and activities to be funded through this award. The OUP Program Manager and Center leadership will meet to discuss additional guidance ahead of the submission of the complete workplan.

Center Budget Justification

Following the workshop, and prior to an additional release of funds, UAA must submit a budget justification for the Center in conjunction with the complete workplan. The budget justification should clearly indicate all individuals (i.e., personnel, principal investigators and partners) receiving funding to conduct work under this award and the total funding they will receive during the budget period.

Prior to submitting the budget justification, please ensure that all proposed individuals (i.e., personnel, principal investigators and partners) receiving funding to conduct work under this award are in compliance with DHS funding opportunity announcement, DHS-23-ST-061-ARCTIC, Section C "Eligibility Information, Item 1 "Eligible Applicants." This section specifies that no Federal salaries may be funded under this award. It also specifies restrictions on how COE funding may be used for collaborations with National laboratories and Federally Funded Research and Development Centers.

The budget justification should clearly indicate the total funding for each person supporting the management and administration of the Center and the total overall funding for management and



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administration of the Center. The OUP Program Manager and Center leadership will meet to discuss additional guidance ahead of the submission of the budget justification.



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Appendix 2: Selected Projects

DHS plans to award funding for the following proposed projects, with some modifications based on review comments and input from the Workplan Development Workshop:

Research Projects:

- Adapting, Assessing and Mitigating Risks to a Complex Future in the Arctic; A Multi-Stakeholder Framework
- Renewable Arctic Power Solutions (RAPS) and Intelligent Resilient Operational including nuclear (IRON) Energy Mgt
- A Systematic Framework Model to Assess the Feasibility and Environmental Impact of Wellhead Ignition Blowout
- Keyword Detection of VHF Ch 16 Distress Mariner Calls

Education and Workforce Development Projects:

- Investing in Future HSE Professionals: ADAC-ARCTIC Fellows Program
- Integrated Arctic Education
- Arctic Foundations: Building the Workforce of the Future Arctic Foundations: Building the Workforce of the Future
- Indigenous Elder, Knowledge Keeper, and Leader-in Residence Program
- Expansion of a Drone Community of Practice (DCoP) in the Bering Strait Region in support of DHS Operations (*Note: While this was submitted under the research portfolio, this project should be classified as an education and workforce development effort.*)



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Appendix 3: Review Comments

Overarching review comments on proposal strengths and weaknesses are provided here. DHS will provide project-specific review comments ahead of the Workplan Development Workshop.

External Scientific Quality Review

Research Program Originality

Strengths –

- This proposal is based on building upon the successful, years-long endeavor with ADAC that has produced an important foundation of application-based research for USCG and provides a proof-of-concept for the proposed center. The research program is extensive and aligns with the needs of DHS, focused on the delivery of applicable technology to support Arctic-related missions underway within DHS and its components. The applicant has done a background analysis to address common themes to advance home security in the Arctic, and all the projects have been carefully selected based on the themes of advancing all-domain situational awareness; enabling adaptation for resilience, improving understanding of risks and potential impacts, and expanding collaboration to benefit DHS missions in the Arctic.

Weaknesses –

- While emphasizing that it was the previous center, the proposal did not clearly distinguish a new direction or shift for the new center. There is little to connect the research program to the other DHS components beyond USCG that are active in Arctic research and the State of Alaska, namely FEMA, OSA, S&T, and CISA. The proposed projects display limited innovative, interdisciplinary, broadly applicable approaches and instead often propose to simply place existing technologies or methods into the Arctic. The projects are often industry-focused, such as nuclear power generation or wellhead blowout prevention and lack depth of theoretical concepts or avenues to generate high quality peer-reviewed data or outcomes. Few if any scientific theories are actually discussed or elaborated. Those projects that have a clearer academic focus and could result in novel theoretical concepts and methodologies remain vague and are not clearly defined. The focus on maritime risks and technology does not leave adequate room for the land-based Arctic research and technology needs, of which there are many. It also fails to connect land and sea-based systems -- domain awareness must not be separated by these geographies in such a strict manner.



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Project Goals and Methodologies

Strengths –

- The vision set forth by ADAC^{ARCTIC}, based on addressing rapid changes through technology, innovation, and collaboration is a strength. Overall, the research goals for the projects are clear and the package spans a number of current topics of interest in the region. The proposed collaborators and partners are extensive and reach well beyond the home institution. Partnerships seem to be strong, including DoD, Dept. Commerce, EPA, BOEM, Alaska Pacific University, and Ilisagvik College. The Project Transition Plans attempt to identify and explain Technology Development/Readiness Levels (TRL) and in some cases specify data, information, and knowledge products, as well as potential transfer and transition partners. Evidence is shown of past success in transition from research to operations and commercialization.

Weaknesses –

- The proposal did not have any stated goals or objectives on its themes, which limits the ability to evaluate it for scientific integrity and application. The mission uses generic discourse to describe needs and the overall approach but falls short on explaining what "cutting-edge approaches" mean and what specific methods and methodologies the center will use. This means that there is no cohesive, overarching framework through which the work of the center would be conducted. In some cases, goals remain vague or rely on e.g. untested/non-existent technology as in the case of modular nuclear reactors and as such the soundness of the proposed method of evaluation cannot always be assessed. Indigenous knowledge consideration was not clearly integrated into the project goals and methodologies. The proposal would be stronger with additional attention to Indigenous and community engagement with research projects.

Qualifications of Personnel and Suitability of Facilities

Strengths –

- A strength of the proposal is the impressive personnel qualifications and suitability of facilities to manage and execute the science. In particular, the team's credentials excel in relevant technical fields and also professional experience in DHS mission areas. The team also includes expertise in relevant social fields. The executive and research teams have sufficient experience, including oversight of academic and degree programs, experience in administering large-scale grants and awards similar in size as the proposed COE budget. The proposal includes an impressive list of COE partners in relevant sectors. These partnerships offer knowledge exchange, data sharing, and cross-disciplinary cooperation opportunities. The project describes adequate access to modern research facilities, with sufficient research and laboratory space.



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Weaknesses –

- There was no evidence of a role for including Indigenous knowledge in the key leadership roles in the center. Rather, the roles of the team members with social expertise are focused on the COE's role in education and workforce development and outreach/communication, and not on the science. There is a lack of detail on capacity to manage data beyond collection and storage. The partnerships and facilities do not provide evidence of sufficient capacity to support researcher goals to engage local communities for effective engagements during research (where applicable).

Education Program

Strengths –

- The education program is rooted in the successful education and workforce development of the previous ADAC center. The proposed education program describes an appropriate division between undergraduate and graduate research and education opportunities across a diverse student body and incorporates Indigenous knowledge. Multiple projects are proposed that are focused on students and professionals and building the workforce of the future. It also proposes sufficient cooperation with partnering institutions to reach an expansive range of students. The education program proposal includes thoughtful considerations of broader impacts including diversity, access via multi-model course design, coordination with various university certificate, fellowship, and undergraduate and graduate degree options, and deliberate efforts to align with DHS mission areas. The focus on vocational training is highly relevant. The ADAC Fellows portion of this proposal is the most impressive part. It is thought out and provides genuine advancement opportunities for students to both learn and engage professionally in paid work, while expanding their professional network through professional meetings, conferences, and DHS contacts.

Weaknesses –

- The mix between undergraduate and graduate level studies could be clearer and a stronger connection between the research program and the vocational/technician training could be established. Three of the four projects are led by the same PI, who does not appear to have an education or workforce development background and might be overcommitted in this project proposal. There is a lack of details about existing DHS-related curricula. Indigenous knowledge is incorporated at the project level, rather than present on the overall leadership / management of the education portfolio.



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Costs

Strengths –

- The proposed research and education costs seem appropriate and reasonable. There is existing institutional support which covers additional efforts. The proposal supports a broad geographical distribution of funding.

Weaknesses –

- There is a lack of detail where COE elements and activities appear to overlap (e.g., Test Bed), and in the cost documentation (e.g., lack of rationale for distribution of money for research vs. education, Indigenous leader in residence, PNNL and other partner budgets). The budget items for the Alaska Native engagement activities need further clarification, and there should be more budgeted for the travel that would be required to conduct the proposed work given increased travel costs.

Internal Mission Relevancy Review

Research Program Mission Relevance

Strengths –

- Overall, the proposal demonstrates a better than average understanding of the Department's challenges in the Arctic and builds on the ADAC experience and applies that experience to addressing the research themes. The research program is well-aligned to DHS mission and needs of DHS Components, particularly to the U.S. Coast Guard. The overall program also includes customers internal and external to the HSE, showing a good mix of potential impacts across the Department. There is a good set of research partners with expertise from across the United States, with an emphasis on multi-institution and multi-disciplinary partnerships. The applicant demonstrates a deep understanding of the unique role that DHS COEs play in contributing to DHS and the greater HSE. Most proposals outlined how researchers might transfer end products to DHS for use; several went into detail to demonstrate that how DHS can use these products with available technologies.

Weaknesses –

- The proposal leans heavily on previous work completed by ADAC, with less focus on innovation. The proposal has a strong mission relevance to the US Coast Guard but lacks a good understanding and plan to address other DHS Component mission needs such as CISA and FEMA. The proposal lacked a clear focus on community resilience and adaptation beyond power resilience. Some of the areas proposed related to technology such as drones, sensors, and distress alerting were not clearly articulated as research; they seemed less research and more suited for technology development with industry or lab partners. The proposal would be stronger with more information about ties to local communities and plans to



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incorporate Indigenous Knowledge into the decision-making process. The Management Team appears somewhat top-heavy (i.e., “director”-level) with no dedicated support for routine, administrative support functions which is a risk.

Communications and Integration with the HSE

Strengths –

- There is a clear communication plan, planned periodic meetings to track progress and milestones, and identified paths of coordination between different roles and activities as well as a well-defined organizational chart. The proposal includes a solid customer and stakeholder engagement approach. There was a relevant set of key partners identified as collaborators and transition partners. The proposal demonstrates strong communication with both components and Indigenous tribes through a number of planned initiatives. The plan provided extensive detail about how not only other DHS employees but also the public can learn more about the COE. All projects listed at least one, if not multiple, HSE champions. Where appropriate, technology transition plans include not only HSE partners but Indigenous groups as well, who may benefit from the data or other capabilities resulting from the research. The applicant demonstrates their long history working closely with relevant partners including USCG, and the recently established DoD-sponsored Ted Stevens Center for Arctic Security Studies. The center's ties to other US government institutions and contacts are a strength and will help the center better integrate with the Department and HSE. The proposed Consortium looks diverse and strong, bringing together a diverse group of academics and research organizations and aligning them with the key agencies in the HSE with interests in the Arctic. There was good discussion of how students would participate in research, and there was a solid attempt to engage and include the Indigenous community and leaders into the center.

Weaknesses –

- There was a general skew towards supporting USCG equities. Although USCG has a lot of activity in the Arctic, the proposal could have benefited from more robust engagement with other DHS Components. Some projects could have done better articulating how they plan to engage the HSE and their identified stakeholders to ensure projects are relevant and that outcomes provide something of tangible benefit to end-users. The inclusion of a test bed is intriguing, but the application did not adequately communicate how it would be structured or used to integrate the HSE and support transition. The project explained how the State and Local governments will be part of the coordination effort; however, the current plan fails to provide detailed explanation of how the Alaskan Native communities will be represented. The lean nature of the ADAC^{ARCTIC} [management] structure is positive from a cost perspective but also creates a risk regarding loss of corporate knowledge if a person departs.



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Workforce Development Mission Relevance

Strengths –

- This proposal had a very good approach to workforce engagement that incorporated a fellows program, Indigenous knowledge and leader in residence component, and an aspect toward integrated arctic education. The program also included vocational education to provide career pathways and to reach and meet the educational needs of a broader segment of the Arctic population.
- The workforce/education efforts appear to have strong potential to make significant contributions to the HSE and identify opportunities for students from underserved demographics. The applicant proposes to continue building upon its successful ADAC Fellows program that includes trusted partners and collaborators across the United States. The program pairs science, technology, engineering, and mathematics instruction with innovative, culturally responsive curricula. It links students and researchers to operational settings, teaches vital technology transition strategies, and improves and enhances the knowledge of HSE professionals while diversifying the DHS workforce. The education opportunities, taken together, present a holistic plan to offer tailored HSE-relevant education to many different possible HSE workers and students. The proposed workforce development activities crosscut a number of partners and opportunities which should provide a broad capability to improve and add to the workforce focused on HSE issues. There is a concerted effort to integrate students into the proposed research efforts. Individual project proposals indicate student engagement and identify the number of internships or fellowships envisioned. There is a mix of graduate and undergraduate opportunities for most projects. Projects showed a strong connection to the local, community level. The program also included vocational education to provide career pathways and to reach and meet the educational needs of a broader segment of the Arctic population.

Weaknesses –

- These projects have great potential, but for sustainability and project support purposes, it would be helpful for DHS employees to have more opportunities to be part of these projects and be offered more training and career development to support their roles in safeguarding the Arctic. It is unclear how the Center will inspire fellows to serve within DHS following their academic experience and/or provide them with meaningful contributions to the project. It is unclear how DHS will be able to evaluate the return on investment to the workforce. It is unclear how these programs will track students after graduation and whether there will be any student evaluations/feedback incorporated into program evolution. The program is heavily weighted toward development of HSE workforce and is reliant on outside institutions, with less emphasis on engaging with Indigenous communities and leveraging the knowledge and experience of these communities



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to develop the workforce. The proposed level of budget and resourcing was low for what was proposed and potential benefits.

Capability Gaps

Strengths –

- Overall, the proposal does a good job of addressing knowledge and capability gaps within the themes identified in the NOFO. The project summary explained the criteria to fill knowledge gaps and solve the toughest challenges in the Arctic during the projects research selection process. The proposal demonstrates a strong grasp of DHS missions and gaps in this region. The proposal spells out the gaps in education and how to provide support with individuals that are disadvantaged along with Alaska Native knowledge gathering and documenting.

Weaknesses –

- Certain projects do not clearly articulate the specific capability gap they intend to address. Projects were not always clear what other options exist in the marketplace. Overall, the proposal was weak in addressing some of the requirements around community resilience and adaption. The proposed research projects are largely focused on U.S. Coast Guard missions and do not reflect the growing homeland security mission in the Arctic.

Transition Strategy

Strengths –

- In general, the proposal demonstrates the Center's ability to work with partners to generate research topics, scope the efforts, and execute them in cooperation with DHS, industry and other partners. There was a notational timeline within the project descriptions for deliverable and dissemination of research results. The strategic approach to transfer and transition articulates the right issues and asks the right questions to ensure a successful transition. The lead institution has a technology transfer office to assist with transition of center results to use by stakeholders and HSE organizations and assigns a staff member as the Director of Transition. Most of the component projects identify the current TRL and the TRL at which transition is likely to begin. The proposal does make transition advances by looking to establish an Arctic Test Bed, though additional information is needed.

Weaknesses –

- Not all projects described the competitive landscape, transition risk, or clearly articulate IP protection and ownership (only that it would be handled by the University or a partner). Project transition plans would be stronger with more discussion about integration into the existing homeland security enterprise or subsequent sustainment. Projects did not always describe key performance metrics or how they will evaluate performance. There are concerns with the



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proposed transitioning of models in general, as they require a formal independent verification and validation process and require additional information on where the models will reside and how they will be managed and maintained. Transition of research products to use by Indigenous partners was not addressed.

Site Visit Review

Leadership and Project Management

Strengths –

- The proposal and site visit documented a well-developed leadership roster and a well-developed oversight structure with representation from multiple DHS components, assuring engagement and strategic guidance of the COE activities from day one. The proposed executive director has extensive experience in Alaska serving with the USCG and will be able to leverage relationships with other HSE stakeholders in the region – including FEMA, CISA, and CBP. The leadership team also includes a tribal outreach liaison, who will be tasked with ensuring project teams are connected and integrated with the broader Indigenous community. The Consortia described includes a geographically diverse, multidisciplinary team of investigators, representing 21 institutions (including universities, national labs, and industry). The applicant described a robust RFP evaluation process, which includes a multi-stage review for scientific quality and mission relevancy. The applicant described milestones and metrics at a high level for the proposed Center and stated that project specific metrics will be tailored to individual efforts. The applicant acknowledged the imperative for the new COE to expand the reach of projects and discussed some specific FEMA and CBP project areas that could be explored. The applicant referenced lessons learned from past experience and plans to incorporate improvements in future work.

Weaknesses –

- The applicant did not demonstrate a strong capability to represent the DHS communities outside of USCG. There was a lack of focus on other DHS mission spaces in this proposal.

Transition

Strengths –

- The applicant described a robust transition process, led by individuals with prior experience with DHS COEs, and a strong plan for engaging legacy customers with U.S. Coast Guard. The transition plan documented in the proposal included leveraging the institutional Business Enterprise Institute to support transitions allowing numerous transition pathways for R&D prototypes and products. Further, the applicant proposes developing an Arctic Research Test Bed to expand collaboration and cooperation across the Arctic, which would streamline and



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provide an efficiency and standardization to test procedures and expand opportunities for test integration between multiple technologies.

Weaknesses –

- The proposal has less clarity on working with DHS customers other than USCG or knowledge of transitioning products to regional partners. The applicant did not provide an in-depth overview of their relationships with Indigenous communities and how they would transition knowledge products to improve either resilience or economic opportunities through improved decision-making tools, critical infrastructure improvement or adaptation to climate change. Additionally, there was a missed opportunity for the applicant to explain its lessons learned from managing the previous DHS COE, especially in the realm of transition, which is challenging for all Centers.

MSI, Education and Workforce Development

Strengths –

- The proposal strongly leverages past successful endeavors in this area. The plan describes a wide range of education and workforce development activities that reach a broad target audience (apprenticeship, internships, applied learning, under-graduate, graduate, professionals) in a wide variety of settings and access opportunities (in person, virtual and field experiential learning). The applicant demonstrates a strong track record of students going on to work within the HSE post fellowship.

Weaknesses –

- The applicant did not demonstrate how this Center would develop students and expertise above and beyond what is already established through their emeritus status. The applicant is heavily reliant on previous work and did not propose anything new or unique given the new and expanded focus of the new Center.

Resource Commitment

Strengths –

- The proposal offers strong support from the university and other partners related to faculty, student engagement, capital investment and communications support. This includes securing a commitment from leadership of reduced overhead rates, resulting in an estimated 92 cents of every dollar going towards actual work, rather than overhead and other administrative expenses. The applicant plans to leverage resources either through in-kind contribution or outright funding agreements from outside sources and is currently working towards becoming a GSA provider for research services, which will improve access to the proposed COE, and seeking grants from other sources to provide a stable base of funding for a long-term Arctic COE effort.



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Weaknesses –

- The applicant's pursuit of alternative funding sources to build a long-term homeland security arctic research center could divert some effort from core COE activities covered under the award.

Outreach and Communication

Strengths –

- Overall, the applicant demonstrated a standing capability to communicate with partners, the Federal Government and the public on the Center's capabilities. The applicant provided a clear overview of its plans to conduct stakeholder outreach, outlining several avenues of communication, including quarterly newsletters, regular social media posts, and creation of an updated website. The applicant has nominated a point of contact to serve as the Center's tribal liaison and has also set aside funds for an Indigenous community leader to advise the COE to ensure they are in harmony with community needs and values. The applicant also expressed interest in engaging the international community, where appropriate.

Weaknesses –

- Communication materials seem overtly focused on visuals, and the content of material weaker than the appearance. The applicant's new communication team hires are positive but are focused on social and visual media efforts and less on content development. The applicant did not demonstrate a detailed plan to engage and communicate results to non-federal partners such as local and Indigenous communities.

Other Factors

Strengths –

- Overall, the applicant proposed a strong portfolio of partner institutions and research capabilities. The Center is very focused on providing the best quality teams to address DHS mission needs. The applicant is located in Anchorage, which is Alaska's most populated city, and a hub for other Federal, State, and local stakeholders, and accounts for 55 percent of total students enrolled in the University of Alaska system. The infrastructure to support travel at all times of year for research partners, students and business management staff is excellent for the geographic region.

Weaknesses –

- Much of the expanded partnership relies on standing COE ties versus expanding into new partnerships with understanding of the breadth of the new Center goals. The applicant did not delve into the needs of other parts of the HSE outside of those focused on maritime domain awareness. However, while noting that the RFP process for this proposal relied on their current USCG centered network of



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partners, the applicant acknowledged a need to expand the research proposals beyond the USCG mission sets. Notable areas that the applicant mentioned for portfolio expansion included human and drug trafficking in Alaska, and emergency management in the face of increasing climatic impacts.

Past Performance

Leadership

Strengths –

- ADAC leadership, project management and partnership building led several multidisciplinary projects involving a wide range of institutions, and spanning a wide range of TRL levels, from early, foundational projects generating knowledge products and reports, to the development and operational testing of tools and technologies. Having an Executive Director that was a former government official provided experience for matching research proposals with governmental needs. ADAC's approach of building and leveraging its consortium was outstanding and enabled a diverse academic brain trust to be called upon. ADAC hosted and participated in domestic and international workshops. Its Arctic IONS workshops were designed to help develop research questions in a collaborative way. ADAC ensured that Alaska Natives, State, DHS, national laboratories, other federal agencies, and international partners were not only invited, but also incorporated into the agenda to discuss their research, to share their technology and knowledge gaps, and encourage cultural considerations. This was helpful for identifying needs and resources across the HSE. Through ADAC's inclusive leadership approach, each year its consortium grew. ADAC's method of publishing research questions in Request for Proposals enabled academics from around the country to participate in open competition to have their proposed research proposals included. Milestones and metrics were identified and generally met during the period of performance.

Weaknesses –

- As the COE approached emeritus status, leadership communication with DHS and engagement in working groups and meetings noticeably tapered off which led to some questions about long term commitment to the research. While ADAC was conscientious of timelines, not all milestones were met. There was the unique problem of the pandemic, and toward the end of the center's tenure some of the projects were never able to get back on track to fully meet the anticipated milestone or deliverable.

Transition

Strengths –

- ADAC effectively and continuously engaged with its primary stakeholder, the USCG, throughout its tenure as an active center. ADAC worked to transition its



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research with various degrees of success via engagements with industry, DHS, CG, DoD, and State/Local/Tribal/Fed partners. In reviewing ADACs final “Cumulative Report” for 2012-2022, an impressive number of publications and conferences were used to share the finding of many of the products. The products were diverse ranging from basic research/low TRL to applied research/high TRL.

Weaknesses –

- Despite continuous engagement with USCG and other stakeholders, some key projects lacked effective communication between the center and USCG on transition pathways. For example, the publishing of data on the LRAUV technology presented challenges in patenting this technology, jeopardizing a key transition pathway – commercialization, which in turn may have inhibited USCG’s ability to utilize this system. ADAC would have benefited from establishing a dedicated transition organizational position, having more direct transition planning sessions with project sponsors, and budgeting additional funds to focus on this effort.

MSI, Education and Workforce Development

Strengths –

- ADAC really excelled in this area, and led very successful education and workforce development initiatives, which resulted in a steady pipeline of fellows and graduating students who went on to work in the federal government and homeland security workforce. The performer dedicated strong resources to develop a well acknowledged and received workforce development program, including a great internship program. An MBA program focusing on interdisciplinary studies was also a key milestone, though reach during the prior effort was limited to small initial classes of students. The ADAC Fellows program is particularly noteworthy. It provided strong individually tailored and group mentoring sessions, networking, scholarships, and research opportunities for students, within the consortium, MSI, and across the nation.

Weaknesses –

- No significant weaknesses.

Communications and Integration with the HSE

Strengths –

- ADAC’s external visual communications were extremely strong and cited as model for other centers. ADAC materials always look top notch. ADAC also had robust communications with partners, its PIs, the USCG, community members, consortium members, Alaska Natives, national laboratories, international Arctic partners, and congressional entities. Through its outreach efforts, ADAC became a well-respected domestic and international name. The center also did a great job of leveraging communication opportunities with the US Government to maximize



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its outreach efforts. ADAC leadership also participated in local outreach with Alaska Natives and on Arctic related workgroups- one example is ICE-PPR. ADAC's website is a noted success, where most of the knowledge products and reports could easily be found.

Weaknesses –

- Some technical reports, and content of internal reports tended to be on the weaker end of COE production. ADAC did not always provide complete material or all the required information which led to the need for much more engagement between the COE and the DHS staff to clarify or expand upon materials submitted.

Scientific Quality

Strengths –

- A number of ADAC projects were innovative in approach to solving HSE and USCG technology problems. The customer base within DHS, specifically USCG, was consistently pleased with the quality of the ADAC research. Additionally, ADAC produced a large number of peer reviewed publications. In reviewing ADACs final “Cumulative Report” for 2012-2022, an impressive number of publications and conferences were used to share the finding of many of the products, including Remote Unmanned Aircraft System (UAS) Inspection and Response Team Development in the Bering Strait Region, Oil Spill Modeling for Improved Response to Arctic Maritime Spills, and ICECON and ARCTICE projects. The products were diverse ranging from basic research/low TRL to applied research/high TRL. A number of ADAC projects were innovative in approach to solving HSE and USCG technology problems.

Weaknesses –

- The quality of the products produced by ADAC were inconsistent, and there were several projects on which ADAC reported no scientific publications. Some knowledge products did not reflect the DHS S&T funding source and did not meet the standard of quality for COE products.

Other Factors

Strengths –

- In general, ADAC leadership led a successful DHS COE, producing a wide array of products and deliverables, and serving as a central convening authority for its stakeholders, hosting multiple USCG and Arctic focused workshops over the years. ADAC did a great job of using its resources to both develop researching opportunities, managing the relationships between DHS and the researchers and branding itself as a trusted R&D entity for the Arctic and Domain Awareness. This filled a gap in the Department's arctic mission space and set the Department up for success as national security and resiliency topics in the Arctic became



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priorities for this Administration. One of ADAC's biggest strengths was its ability to build and connect Arctic domestic and international networks, and their inclusive communication style that brought stakeholders together.

Weaknesses –

- ADAC did not push research connections beyond its primary customer base (USCG and maritime security), so there was weakness in looking for ways to translate or convey the science beyond the direct scenarios provided.

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

In addition to the DHS Standard Terms and Conditions as outlined here: In addition to the DHS Standard Terms and Conditions shown in Article II, below, and at: 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. GENERAL 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 using Grantsolutions (Home - innovative Federal grants management services (grantsolutions.gov).
2. Recipient shall compete fully and fairly, to the maximum extent practicable, all projects funded under this Award unless DHS has approved 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. 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 Research Methodology, including proposed data sources and indication as to whether any of these sources hold any sensitivities (as outlined in Section A, 11)
 - 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 risk mitigations; 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 DHS Program Managers 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 review 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 assessment of customer relevance 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. 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 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. Information Protection Plan:

The Parties agree that all research conducted under this Award is intended to have publicly releasable results.

- a. Accordingly, no research under this Award should involve, use, or generate sensitive information, which includes PII, and/or classified information (see Item i of this section for Definitions).
- b. 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. (Note: any work that may involve, use sensitive or classified information from DHS should be discussed/scoped with the DHS Program Manager under the auspices of the Recipient's Basic Ordering Agreement which provides controls for these sensitive activities).

- c. Should the Recipient inadvertently 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 notify the DHS Grants Management Specialist and Program Manager named in the award documents to discuss what was received and plan for remediation.
- d. Each recipient shall develop an Information Protection Plan that incorporates policies and procedures that properly define, recognize, and protect sensitive or classified information.
 - i. Recipient will submit its plan to the DHS Program Officer for review and comment within 30 days of award. The Recipient will be notified of any concerns that may be identified once the plan is reviewed by DHS.
 - ii. 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.
 - iii. Recipient will submit their Information Protection Plan, noting any updates each year along with annual work plan submission to the DHS Program Officer for review and comment.
 - iv. All submissions of Information Protections Plans should include a signature page indicating document concurrence from the Center of Excellence Director and a representative from the University's Sponsored Research Office.
- e. 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.
- f. 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.
- g. 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.
- h. 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.
- i. Definitions: For purposes of this section.

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.

11. Data Acquisition and Management Plan

- a. Within thirty (30) calendar 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.

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, if the project continues, 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 11i 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. The conditions under which the data will be collected and provided to those on the research team
- iv. A plan for the disposal or retention of the data after the research ends.
- v. All plans must contain a signature page indicating document concurrence by the PI, and a representative from the University's Sponsored Research Office.

- c. Information collection activities performed under this award are the responsibility of the awardee, and DHS support of the project does not constitute agency approval of the survey design, questionnaire content or information collection procedures. The awardee shall not represent to respondents that such information is being collected for or in association with the Department

of Homeland Security or any other Government agency without the specific written approval of such information collection plan or device by the agency. This requirement, however, is not intended to preclude mention of DHS support of the project in response to an inquiry or acknowledgment of such support in any publication of this information.

- 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.

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, principal 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:

https://www.fletc.gov/sites/default/files/dhs_form_11055_foreign_national_screening.pdf. 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 11055 to by email to Rebecca.Medina@hq.dhs.gov. Do Not Use the "Submit" button on the form. Form 11055 shall be submitted within 30 calendar days from either project kick-off or from new foreign participants joining the project. For individual engagements with Foreign Nationals, Recipient will submit Form 11055 at least 30 calendar days prior to the activity in which the foreign national participates. 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 2 C.F.R. § 200.448 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.

B. DHS PROGRAMMATIC INVOLVEMENT

DHS staff are not meant to play a dominant role nor assume direction or primary responsibility for awardee activities. However, 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 on research relevance to the DHS Program Officer regarding the Recipient's research plan.
11. DHS may invite subject matter experts, customers, 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.
13. DHS shall ensure adherence to DHS privacy policies and requirements and include that recipients perform work in a manner consistent with DHS authorities.

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 shall obtain prior written approval from the DHS Grants Officer to transfer amounts budgeted for direct costs to the indirect costs line item or vice versa.

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 in order to be processed. The justification is a written explanation of the reason(s) 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. Extension requests shall not be processed

without up-to-date performance and financial status reports and adequate justification.

- d. DHS has no obligation to provide additional resources/funding due to an extension.

D. EQUIPMENT

1. Title to equipment acquired by the Recipient with Federal funds provided under this Award shall vest in the Recipient, subject to the conditions pertaining to equipment in the 2 CFR Part 200.
2. 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.
3. 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 no later than (120) days after the expiration of the Project Period, and shall be submitted via GrantSolutions using the guidance found here: [Grant Solutions Performance Progress Report](#).

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 guidance found here: [Grant Solutions Federal Financial Report](#)
2. Final Federal Financial Report – The Recipient shall submit a Federal Financial Report (SF-425) into the GrantSolutions system no later than 120 days after the end of the Project Period end date. The report shall be submitted via GrantSolutions using the guidance found here: [Grant Solutions Federal Financial Report](#)
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

1.
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 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.
2. Any overpayment of funds must be coordinated with the U.S. Department of Health and Human Services/Payment Management System.

G. PERFORMANCE REPORTS

1. **Performance Reports.** The Recipient shall submit semi-annual performance reports to the DHS Grants Officer for review and acceptance by DHS as a condition for receiving further annual funding increments. Semi-Annual performance reports are due 6 months after the start of each budget year (by January 1). Annual Reports must provide a summary of the activities conducted during the prior budget year. The report shall be submitted via GrantSolutions using the guidance found here, no later than sixty (60) calendar days after the end of the Center's budget period of year:

[www.grantsolutions.gov/support/pdf/GrantRecipientProcessPerformanceProgressReport .pdf](https://www.grantsolutions.gov/support/pdf/GrantRecipientProcessPerformanceProgressReport.pdf)

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 activities (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 to include progress met against them
 - 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 and expenditure (narrative and figures) categorized by both object class and project as described in Article 1, Item A.3.
- 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. **Final Performance Report.** The Recipient shall submit the Final COE Performance Report to the DHS Grants Officer and DHS Program Officer no later than 120 calendar days after the expiration of the Project Period (See Section H). The report shall be submitted via GrantSolutions using the guidance found here:

[https://www.grantsolutions.gov/support/pdf/GrantRecipientProcessPerformanceProgressReport .pdf](https://www.grantsolutions.gov/support/pdf/GrantRecipientProcessPerformanceProgressReport.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

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 referenced in the original award letter. 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) calendar days prior to the expiration date of each budget period, the Grants Officer will request submission of the annual incremental funding request details via Grants.gov website. 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 calendar days prior to budget period expiration (e.g., March 31 unless otherwise notified by DHS Grants and Financial Assistance Officers) 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 and a revised Center budget consistent with Article A. Item 3
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 workplan.

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 TO AND RETENTION OF RECORDS.

The Recipient shall retain financial records, supporting documents, statistical records, and all other records pertinent to this Award for a period of three 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 three (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.
4. 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 Group (TCG), DHS Export Controls Group (ECG), and the DHS Regulatory Compliance Group (RCG). The Under Secretary of Science and Technology (USST) is the DHS official responsible for the various portfolios under CAPO's purview and for 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 in Research, Life Sciences Dual Use Research of Concern, and Export Controls.

CAPO collects and reviews relevant documentation pertaining to this Award on behalf of the USST. 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, Arms Control Compliance for Chemical and Biological Defense Activities, 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 (or workplan). The Recipient should contact work with the DHS Program Manager to engage CAPO regarding treaty compliance issues. The DHS Program Manager should help them obtain the TCF, submit the completed TCF, and/or request additional guidance regarding treaty compliance documentation and review requirements. 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.

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, working with the DHS PM must notify CAPO of changes to include – but are not limited to—the addition of biological or chemical agents (including any additional strains/isolates of biological material, simulants, or surrogates), a change in performers or sub-performer(s), modifications to the scope of work, and/or changes to the technical approach per DHS Directive 041-01.

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, Biosafety; DHS Instruction 066-02-001, Instruction for Ensuring Biosafety Compliance; 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 engage the DHS Program Manager who will facilitate engagement with CAPO 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.

Requirements for All Biological Laboratory Work. Biological laboratory work includes, but not limited to, laboratory activities involving: (1) recombinant or synthetic nucleic acid molecules (DNA, RNA); (2) Biological Select Agents and Toxins or 'BSAT'; or (3) biological agents, toxins, surrogates, 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), standard operating procedures(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 (5) 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 5 years.

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 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.

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 DHS Program Manager who will work with CAPO 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 the CAPO with 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 FR20864, 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; and any additional requirements set forth in the DHS Directive for the Care and Use of Animals in Research (026-01). 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;
- d. Most recent USDA Inspection report covering all relevant species, facilities/laboratories involved in DHS-funded work; and
- e. 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 DHS Program Manager who will facilitate engagement with CAPO. 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 Review of Research Involving Nonhuman Primates. For research activities involving any nonhuman primates, each Recipient and any Recipient institutions will be further reviewed by the VMO and CAPO prior to the initiation of work.

3. 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 accreditation letter, 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.

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 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 Life Sciences Dual Use Research of Concern and USG Policy for the Institutional Oversight of Life Sciences 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. Under this award, 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, regardless of the funding source, must submit the following documentation outlined in this section for CAPO review.

Note that submission of an iDURC form for review is required for any recipient planning to conduct life sciences laboratory work, in order for CAPO to determine applicability of USG DURC policies. Additional documentation may be required once a determination that the submitted work falls within DURC policy is made. 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, regardless of funding source, must submit the following documentation for compliance review by CAPO prior to approval of funding:

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

2. Required Notifications to DHS:

- a. Within 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 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 Life Sciences Dual Use Research of Concern and 6.2.1 of the USG Policy for the Institutional Oversight of Life Sciences Dual Use Research of Concern.

The Recipient should contact the DHS Program Manager who will submit documentation or to request more information regarding the DHS regulatory documentation and compliance review requirements as requested by CAPO. CAPO will provide written confirmation of receipt of all required documentation to the DHS Program Manager. 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 must submit documentation to the DHS Program Manager who will submit to CAPO. 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 45 C.F.R. § 46, Subparts A-D, DHS Directive 026-04, Protection of Human Subjects, and any related DHS policies and instructions 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.

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:

1. Research protocol, as approved by an Institutional Review Board (IRB), for any human subjects research work to be conducted under this Award;
2. 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;
3. IRB-approved informed consent document(s) (templates) or IRB waiver of informed consent for projects involving human subjects research under this Award; and

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 managers, 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 managers (or institutions conducting human subjects' research under this Award) seeking an exemption determination from the CAPO should submit a request to [REDACTED] that includes the following:

1. Research protocol or detailed description of planned activities to be conducted under this Award.
2. 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 C.F.R. § 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 all U.S. export controls—to include but not limited to 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.

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.

Awards are intended for unclassified, publicly releasable research. The awardee will not be granted access to classified information. DHS does not expect that the results of the research project will involve classified information.

If, however, in conducting the activities supported under an award, the PI or co-PI is concerned that any of the research results involve potentially classifiable information that may warrant Government restrictions on the dissemination.

J. PATENT RIGHTS AND DATA RIGHTS

Patent rights

The Recipient is subject to applicable regulations governing patents and inventions, including government-wide regulations, 37 CFR Part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements."

Invention Disclosure and Related Requirements

The clause at 37 CFR 401.14, "Standard Patent Rights Clauses," is incorporated by reference herein. 37 CFR 401.14(c)(1) requires the disclosure of each subject invention to the Federal Agency within two months after the inventor discloses it in writing to contractor personnel responsible for patent matters. Under 35 U.S.C. 201(d), an invention means any invention or discovery which is or may be patentable or otherwise protectable under Title 35 of the U.S. Code, or any novel variety of plant which is or may be protectable under the Plant Variety Protection Act. Invention disclosure statements shall be made by creating an invention record 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 is incorporated in 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 requirements 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:
 - 1. Produced under this Award, either as a Recipient or sub-recipient;
 - 2. Published, which occurs either when:
 - a. The research data is published in a peer-reviewed scientific or technical journal; or
 - b. DHS publicly and officially cites the research data in support of an agency action that has the force and effect of law.

3. 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 the 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 C.F.R. Part 200.307, 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. 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, Award No 12345."
- 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. Enhancing Public Access to Publications. DHS Policy explicitly recognizes and upholds the principles of copyright. Authors and journals can continue to assert copyright in DHS-funded scientific publications, in accordance with current practice. The policy encourages authors to exercise their right to give DHS a copy of their final manuscript or software before publication. 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 public posting or 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. All notices are to be transmitted to the DHS Grants Officer via the email address identified on the Notice of Award. 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 C.F.R. §200.344.

O. TRAVEL

Travel required in the performance of the duties approved in this Award must comply with 2 C.F.R. § 200.

Foreign travel must be approved by DHS in advance and in writing. Requests for foreign travel identifying the traveler, 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. CLASSIFIED SECURITY CONDITION

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.

1. 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.
2. 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, subaward, 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 DHS 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.
3. 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.
4. 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:
- Email: [REDACTED]

Q. GOVERNING PROVISIONS

The following are incorporated into this Award by this reference: Testing of change T&C etc...

| | |
|----------------|--|
| 31 C.F.R.205 | Rules and Procedures for Funds Transfers |
| 2 CFR Part 200 | Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Award |
| Application | Grant Application and Assurances dated 6/19/2023 as revised 6/19/2023 |

R. ORDER OF PRECEDENCE

1. 2 C.F.R. 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, DHS-23-ST-061-ARCTIC, Center of Excellence for Homeland Security in the Arctic
4. Application and Assurances dated 6/19/2023 as revised 6/19/2023

Award Number: 24STADA00002-01 Remarks continued:

D. 1) **\$4,600,000** Year 1 base grant funding is awarded, with **\$4,450,000.00** restricted as specified below.

2023-2024 Approved Budget

| | |
|--------------------------------------|--------------------|
| (1) Year 1 Base Funding (FY22 funds) | \$4,600,000 |
| Total Budget | \$4,600,000 |

1) YEAR 1 BASE FUNDING: \$4,600,000 is awarded in base funding. Of this amount, **\$150,000** is released for Management & Administration of the Center, participation in a Workplan Development Workshop and the development and submission of a workplan and budget justification following the workshop. All other funds will remain restricted contingent upon meeting the terms and conditions of this award. The following award-specific restrictions are in effect:

| RESTRICTIONS | DATE ISSUED | DATE LIFTED |
|--|-------------|-------------|
| a) Workplan Development - \$4,350,000 is restricted pending receipt of revised Year 1 project workplans, budgets, and budget justifications that have addressed feedback from DHS, external and internal reviewers, as well as from the Workplan Development Workshop. | 1/12/2023 | |
| b) Management and Administration - \$100,000 is restricted pending DHS acceptance of Information Protection Plan, project-level Data Acquisition and Management Plans, Research Safety Plan, and submission of supporting materials required for any projects subject to DHS S&T Compliance Assurance Program Office (CAPO) review, per the Terms and Conditions of this award. | 1/12/2023 | |
| c) Human Subjects – No human subjects research or education activities may take place prior to DHS S&T Compliance Assurance Program Office review and approval, per the Terms and Conditions. | 1/12/2023 | N/A |