



Homeland Security

**Science & Technology Directorate
University Programs – Scholars and Fellows Program**

DHS Homeland Security Science, Technology, Engineering, and Mathematics (HS-STEM) Career Development Grants

Funding Opportunity Number DHS-2008-ST-104-001

OVERVIEW INFORMATION

General Information

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

97.104

Program Title:

DHS Homeland Security HS-STEM Career Development Grants (CDG)

Synopsis of Program:

The Department of Homeland Security (DHS) Science and Technology Directorate (S&T) invites applications from colleges and universities with established homeland security-related science, technology, engineering and mathematics (HS-STEM) curricula in the research areas listed below to establish scientific career development awards to students in priority HS-STEM programs of study. DHS intends to establish an HS-STEM Career Development grants (CDG) program to enable colleges and universities to award scholarships and fellowships to qualified undergraduate and graduate students in HS-STEM disciplines who intend to pursue homeland security professional and scientific careers.

Recipients of the scholarships and fellowships must major in a STEM discipline or either minor in an HS-STEM research area, receive a certificate in an HS-STEM research area or declare their concentration in an HS-STEM research area from their home institution. Research areas eligible for support include: 1. Explosives Detection, Mitigation and Response; 2. Social, Behavioral, and Economic Sciences; 3. Risk and Decision Sciences; 4. Human Factors Aspects of Technology; 5. Chemical Threats and Countermeasures; 6. Biological Threats and Countermeasures; 7. Food and Agriculture Security; 8. Transportation Security; 9. Border Security; 10. Immigration Studies;

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11. Maritime and Port Security; 12. Infrastructure Protection; 13. Natural Disasters and Related Geophysical Studies; 14. Emergency Preparedness and Response; 15. Communications and Interoperability; 16. Advanced Data Analysis and Visualization.

Each institution may submit only one application per department. Institutions may submit applications from different departments. However, only one grant will be awarded to one department in each winning institution, and only for research in one of the sixteen HS-STEM areas listed above. Institutions that have received CDG awards in the past, or that will be applying for subsequent awards may only submit an application from the same department as the initial award. DHS intends to give preference to institutions included in the existing DHS Homeland Security Centers of Excellence program and its affiliated academic institutions., (for a list see <http://www.dhs.gov/xres/programs>) because it is both efficient and appropriate to train the next generation of scientists and HS-STEM professionals through research and education programs already funded by DHS to meet its HS-STEM needs.

As part of its mission, DHS S&T is responsible for developing scientific research and technology programs to protect the Nation from terrorist threats and the consequences of natural disasters. DHS S&T is also responsible for supporting United States leadership in science and technology. To ensure homeland security research programs continue into the future, DHS S&T will support grants to qualified undergraduate and graduate students in homeland security-related fields who will use their education and training to become the next generation of scientists and technology leaders. These grants will support the best programs that will train future homeland security-oriented scientists and technologists and ensure their placement in HS-STEM careers.

Program Officer:

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Eligibility Information

Eligible institutions include U.S. accredited colleges and universities with established homeland security-related science, technology, engineering and mathematics (HS-STEM) research and/or education programs. Preference will be given to institutions in the DHS Homeland Security Centers of Excellence program and its affiliated academic institutions.

Award Information

- **Award Type:** Grants
- **Anticipated Funding Amount:** Maximum of \$200,000 for up to two-year terms for undergraduate scholarships, and maximum of \$500,000 for up to

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three-year terms for graduate fellowships. Grants will be fully funded at the outset of the award. Up to \$3 million is estimated for all awards under this program.

- **Estimated number of awards:** 7-17 awards.

Due Date

- Application Deadline: May 16, 2008 (11:59PM, Eastern Time)

FULL PROGRAM DESCRIPTION

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I. FUNDING OPPORTUNITY DESCRIPTION

DHS S&T's Office of University Programs (UP) strives to create synergies between the homeland security professional and scientific communities, and students studying in science, technology, engineering, and mathematics (STEM) fields at the U.S. colleges and universities which are educating future generations of professionals who will be instrumental in supporting the DHS mission of protecting the homeland. Subject to the availability of funds, DHS will provide funding through this opportunity to institutions with established HS-STEM programs of study to compete for homeland security science, technology, engineering and mathematics (HS-STEM) career development grants. The recipient institutions must use these grants to support their undergraduate and graduate students in HS-STEM fields related to the DHS mission. UP would like to leverage the HS-STEM development efforts already made by U.S. colleges and universities, particularly those institutions included in the DHS Homeland Security Centers of Excellence program. DHS believes it is both efficient and appropriate to train the next generation of scientists and HS-STEM professionals through research and education programs already funded by DHS.

UP seeks proposals from accredited U.S. academic institutions to create HS-STEM career development awards, which are scholarships and fellowships (S&F) for students studying and/conducting research in HS-STEM programs. The proposal/application must address the following area of programs requirements:

- An established HS-STEM research and/or education program
- Establishment of a bona fide HS-STEM career development program and dissemination of scholarship and fellowship awards to HS-STEM undergraduate, graduate, and post-doctoral researchers no later than September 30, 2008 for the spring or winter 2009 term. Awards may be given earlier (e.g., to students matriculating Fall 2008). Note: Scholarships and Fellowships awarded by the recipient institution and funded through these grants must be committed to qualified students for the duration of their tenure, up to two years for an undergraduate scholarship, or up to three years for a graduate fellowship.
- Development of a strategy to ensure that students seek and acquire HS-STEM employment. This strategy must describe the following elements: (1) A means to ensure that the scholar or fellow makes and honors a commitment to provide one year's service at a DHS-approved HS-STEM venue as a condition of receiving a grant. (2) A plan to ensure that rising juniors and seniors receiving scholarships experience a quality and relevant summer internship at a DHS affiliated facility, federal government laboratory, or other Federal, State, Local or Tribal agencies supported by a summer stipend from DHS. (3) A plan to ensure that students will have a paid service commitment, not funded by DHS, in a relevant HS-STEM field during or upon completion of their program. The students' employment must be appropriate for the degree they are pursuing (e.g. Bachelors, Masters, Doctorate). [Note: The one-year service commitment may be served during or

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immediately following the term of the scholarship or fellowship. Options for completing this service requirement at a DHS-approved STEM venue include full-time service for: (1) three trimesters, (2) two semesters and a summer session, (3) four summer sessions over consecutive years or (4) one continuous year].

- DHS is particularly interested in developing a well-trained corps of future homeland security scientists who transition into the homeland security scientific and technical community in the public agency, laboratory, university or private sectors.
- Student participation in at least one, and preferably two, DHS-funded 10-12 week topically relevant summer research experience(s) at DHS affiliated facilities, Federal laboratories, and other Federal, State, Local or Tribal agencies. DHS University Programs will not provide financial support for these internships, if they are served sequentially in lieu of a full year's service commitment.
- Internships and service commitments can be fulfilled at any DHS-approved venue, such as DHS and other federal agencies with HS-STEM missions, Federal research laboratories and technology development centers conducting research and development in one of the HS-STEM areas, the DHS Homeland Security Centers of Excellence program, and state/local/tribal homeland security offices.
- Development of an application and award process that will provide a criteria for fair review and awards of student applications submitted to an academic institution receiving a DHS award for this program. This process must include review panels for evaluation of student applications that include HS-STEM subject matter expert members to evaluate the students' applications.
- Development of a career development program evaluation process that includes assessments of student success (e.g., GPAs; number of students supported; degrees received and dates; student research accomplishments; post-award activity and post-graduation placements; student publications, presentations, poster sessions, and/or accomplishment of project milestones; and internship placement and experience).
- Assignment of qualified academic mentors for each recipient of a fellowship or scholarship award.
- Administrative costs for this program including indirect costs are limited to 8% of total direct costs and must be included in the maximum amount allowable under this program (maximum of \$200,000 for up to two-year terms for undergraduate scholarships, and maximum of \$500,000 for up to three-year terms for graduate fellowships).
- Awards institutions may make to students under this program may include tuition assistance and stipends but are limited to the maximum provided to recipients of DHS Scholarships and Fellowships. Currently the maximums provided to such recipients are, for undergraduates: tuition plus living stipends of \$1,000 per month for 9 months each year for two years plus a \$5,000 stipend for a summer

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internship, and for graduate students: \$2,300 per month for 12 months per year for up to three years.

- Criteria for awards must meet DHS minimum standards. Students must:
 - Be U.S. citizens.
 - Have and maintain a cumulative GPA of 3.30 or higher on a 4.00 scale, averaged over all academic terms. Students whose GPA falls below 3.0 in any one semester or quarter will forfeit the balance of their award.
 - Major in priority homeland security related STEM fields (see list of priority fields below).
 - Attend the annual DHS Scholars and Fellows Orientation meeting in Washington, DC (October 2008).

Why is DHS interested in this area of research and education?

As part of its mission, DHS/S&T is responsible for developing scientific research and technology programs to protect the Nation from terrorist threats and the consequences of natural disasters. DHS/S&T is also responsible for supporting United States leadership in science and technology. To ensure homeland security research programs continue into the future, UP supports qualified undergraduate and graduate students in homeland security-related fields who will use their education and training to become the next generation of scientists and technology leaders.

What specific education and research areas are of interest to DHS?

Institutional award recipients will be responsible for ensuring they have sound career development programs to educate students in the HS-STEM areas described below. Ninety-two percent of all awards must go directly to scholarships or fellowships to support students in these areas. Applications should describe the institution's existing programs in relevant social, biological or physical sciences, mathematics, and engineering in support of the following homeland security topics [The corresponding DHS S&T divisions are shown in brackets]:

- Explosives Detection, Mitigation and Response (e.g. the detection, mitigation, and response to explosives in a wide variety of contexts) [Explosives]
- Social, Behavioral and Economic Sciences (e.g. social and behavioral analyses of terrorist threats; community preparedness, response and recovery from catastrophic events; economic assessments of terrorism and catastrophic events; and economic and mathematical decision models of terrorist behavior) [Human Factors]
- Risk and Decision Sciences (e.g. applications of advanced methods and techniques to support decision making; quantitative analysis) [Cross Cutting]

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- Human Factors (e.g. integration of human factors concerns into homeland security technologies to improve usability and operator safety; assessments of public acceptance of homeland security technologies) [Human Factors]
- Chemical Threats and Countermeasures (e.g. assessment, characterization and prioritization of chemical-biological threats; detection and warning systems; agro-defense and food security; chemical countermeasures; and decontamination, restoration and medical response to chemical threat events) [Chemical/Biological]
- Biological Threats & Countermeasures (e.g. assessment, characterization and prioritization of chemical-biological threats; detection and warning systems; agro-defense and food security; biological countermeasures; and decontamination, restoration and medical response to biological threat events) [Chemical/Biological]
- Food and Agriculture Security (e.g. assessment, characterization and prioritization of chemical-biological threats; detection and warning systems; agro-defense and food security; biological or chemical countermeasures; and decontamination, restoration and medical response to biological or chemical threat events) [Chemical/Biological]
- Transportation Security (e.g. applications of advanced methods and techniques to support decision making; quantitative analysis; improving the Nation's preparedness in the event of a high consequence natural or man-made disaster, and developing best practices to alleviate the event's effects) [Explosives, Borders/Maritime, Infrastructure/Geophysical]
- Border Security (e.g. technologies and tools to monitor, survey and inspect cargo and people who cross our land and maritime borders and ports of entry; evaluation of the policies and procedures designed to secure the border while welcoming legitimate visitors and trade; studies of the incorporation of new immigrants into U.S. society and the consequences of successful/failed incorporation) [Borders/Maritime]
- Immigration Studies (e.g. technologies and tools to monitor, survey and inspect cargo and people who cross our land and maritime borders and ports of entry; evaluation of the policies and procedures designed to secure the border while welcoming legitimate visitors and trade; studies of the incorporation of new immigrants into U.S. society and the consequences of successful/failed incorporation) [Borders/Maritime]
- Maritime and Port Security (e.g. technologies and tools to secure national maritime borders and U.S. maritime interests, support global maritime awareness, defend maritime commerce and global supply chains, minimize

damage and expedite recovery from attacks or catastrophic events impacting maritime interests, and protect coastal population centers) [Borders/Maritime]

- Infrastructure Protection (e.g., assessment of relative threats and vulnerabilities of critical infrastructure; estimation of consequences of natural disasters or terrorist attacks to critical infrastructure; application of engineering technologies or tools to enhance DHS' ability to prepare for, predict, and minimize or prevent damage to critical infrastructure from natural hazards) [Infrastructure/Geophysical]
- Natural Disasters and Related Geophysical Studies (e.g., assessment of relative threats and vulnerabilities of critical infrastructure; estimation of consequences of natural disasters or terrorist attacks to critical infrastructure; application of engineering technologies or tools to enhance DHS' ability to prepare for, predict, and minimize or prevent damage to critical infrastructure from natural hazards) [Infrastructure/Geophysical]
- Emergency Preparedness and Response (e.g. decision support tools to aid in the preparation or response to catastrophic events; studies of public risk communication; training of first-responders to enhance capability to respond to mass casualty events) [Infrastructure/Geophysical]
- Communications and Interoperability (e.g., interoperable communication for emergency responders; cyber security) [Command, Control & Interoperability]
- Advanced Data Analysis and Visualization (e.g., information extraction, knowledge management, and visualization of large quantities of data to enhance data fusion, situational awareness, and threat detection) [Command, Control & Interoperability]

DHS plans to award grants in a number of these categories to ensure a balanced HS-STEM portfolio.

II. AWARD INFORMATION

- A. **Type of Award:** Grants.
- B. **Authorities:** 6 U.S.C. 188(b) and 6 U.S.C. 182(10).
- C. **Estimated Funding:** DHS estimates that up to \$3 million will be available to fund this program, including all direct and indirect costs, in FY 2008. Subject to the availability of funds and initial program results, DHS anticipates funding this as a continuing program.
- D. **Estimated Number of Awards:** 7-17 awards.

- E. **Anticipated Performance Period:** Two-year terms (for undergraduate scholarships) and three-year terms (for graduate fellowships), which will be fully funded at the outset of the grant. Funding for Scholarships and Fellowships awarded by the recipient institution through this grant must be committed at the outset of the grant for the duration of a qualified student's tenure, or up to two years for undergraduates and up to three years for graduate students.
- F. **Other:** Only one grant will be awarded to one department in each winning institution, and only for research in one of the sixteen HS-STEM areas listed above.

III. ELIGIBILITY INFORMATION

A. **Eligible Applicants**

Eligible institutions include U.S. accredited colleges and universities with established homeland security-related science, technology, engineering and mathematics (HS-STEM) research and/or education programs. Preference will be given to institutions in the DHS Homeland Security Centers of Excellence program and its affiliated academic institutions.

- B. **Cost Sharing.** There is no cost-share or match required for this funding.

C. **Non-responsive Applications:**

1. Proposals with budgets exceeding the total award limits will not be considered.
2. Proposals whose project narrative exceeds the page limit (ten pages) will not be considered.

IV. APPLICATION AND SUBMISSION INFORMATION

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

B. How to Submit an Application

**IMPORTANT! To avoid submission errors you must ONLY CREATE, SAVE, & SUBMIT applications Adobe Reader version 8.1.1. DO NOT SAVE unless you are Adobe Reader version 8.1.1 version ONLY.*

- 1. Applications must be submitted electronically through Grants.gov.**
2. To submit an application through Grants.gov, applicants use Adobe Reader. **You must use 8.1.1 of Adobe Reader.** Adobe Reader is available from Grants.gov at no charge.

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

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

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

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

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

C. Content and Form of Applications.

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

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

MANDATORY FILES:

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

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

2. Research and Related Budget Form and Budget Justification

SF 424 R&R - Applicants must complete a budget for each year, and a cumulative budget. Applicants must provide budgets by object class (salaries, fringe, travel, indirect, etc.). Funds may be requested as long as the item and amount are necessary to perform the proposed work and are not precluded by the cost principles or program funding restrictions (see Section IV.F). Attach your budget justification (see below) at Item K on this form.

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

- a. **PARTICIPANT/TRAINEE SUPPORT COSTS:** For scholarships and fellowships, include expected numbers of undergraduate and graduate students supported, funding amounts per student, elements of scholarships and fellowships to be included in funding, e.g., tuition/fees/health insurance, stipends, travel, subsistence. The institution, when applying for support under this program, is certifying that it is in compliance with applicable Federal laws governing foreign student participation in research programs (e.g., compliance with applicable visa requirements, deemed export control laws, and other applicable export control laws).

Students should plan on attending at least one meeting with DHS agency representatives per year to discuss their research, educational experience or pursue employment opportunities in the

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homeland security STEM community, and one other academic or research conference related to their program of study.

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

Any travel not authorized in the award must be approved in writing by DHS in advance of the travel.

Travel required in the performance of the duties approved in the award must comply with the applicable Office of Management & Budget (OMB) Cost Principles Circular.

Foreign travel using funds obtained under this award is not permitted provided that, under special circumstances, DHS may approve the use of funds obtained under this award for foreign travel. Foreign travel must be approved by DHS in advance and in writing.

- b. **ADMINISTRATIVE COSTS** for this program including the amount allowable using an approved indirect cost rate agreement are limited to 8% of total direct costs and must be included in the maximum amount allowable under this program (\$200,000 to \$500,000). Administrative costs may consist of the following:

- (1) Personnel. Description: Costs of employee salaries and wages.

Justification: Identify the Career Development Program Coordinator, or point of contact. For each staff person, provide the title, time commitment to the project (in months), time commitment to the project (as a percentage or full-time equivalent), annual salary, grant salary, wage rates, etc. The institution, when applying for support under this program, is certifying that it is in compliance with applicable Federal laws governing foreign student participation in research programs (e.g., compliance with applicable visa requirements, deemed export control laws, and other applicable export control laws).

- (2) Fringe Benefits. Description: Costs of employee fringe benefits unless treated as part of an approved indirect cost rate.

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

- (3) Travel. Description: Travel is limited to the designated Career Development Program Coordinator, or point of contact. Provide the costs of project-related travel.

Justification: For each proposed trip, provide the travel, purpose, travel origin and destination, number of days, and a breakdown of costs for airfare, lodging, meals, car rental, and incidentals. The basis for the airfare, lodging, meals, car rental, and incidentals must be provided, such as past trips, current quotations, Federal Travel Regulations, etc. Any travel not authorized in the award must be approved in writing by DHS in advance of the travel.

Travel required in the performance of the duties approved in the award must comply with the applicable Office of Management & Budget (OMB) Cost Principles Circular.

Foreign travel using funds obtained under this award is not permitted provided that, under special circumstances, DHS may approve the use of funds obtained under this award for foreign travel. Foreign travel must be approved by DHS in advance and in writing.

- (4) Other Direct Costs. Provide an itemized list with costs for any other item proposed as a direct cost and state the basis for each proposed item.
- (5) Indirect Costs. If claiming indirect costs, provide a copy of the latest rate agreement approved by a cognizant Federal government agency. If the applicant organization is in the process of initially developing or renegotiating a rate, upon notification that an award will be made, it should immediately develop a tentative indirect cost rate proposal based on its most recently completed fiscal year, in accordance with the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. When an indirect cost rate is requested, those costs included in the indirect cost pool should not also be

charged as direct costs to the grant or cooperative agreement. Also, if the applicant is requesting a rate which is less than what is allowed under the program, the authorized representative of the applicant organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

4. Certifications/Assurances.

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

5. R&R Senior/Key Person Profile

Applicants must complete a profile for the Principal Investigator/Program Director) as well as other Senior Key Personnel identified for this program. Provide biographical sketch(es) for each senior/key person that includes education and research activities and accomplishments and each individual's role in the proposed HS-STEM career development program. Each biographical sketch may not exceed one.

6. R&R Other Project Information

- a. Applicants must complete Other Project Information which includes information regarding use of human subjects, use of animal subjects, proprietary information, among other things.
- b. The Project Summary/Abstract. Provide a summary description, not to exceed one page, of the program, key research, education and training features. The program summary should include: the title of the program, the name of the program director, and the lead

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institution. Attach the summary/abstract to Item 6 on the Research & Related Other Project Information form.

- c. The Project Narrative. The Project Narrative section should contain a well-argued and specific proposal for activities that will address the elements in this funding opportunity. See Evaluation Criteria (may not exceed 10 pages). Attach the Project Narrative to item 7 on the Research & Related Other Project Information form.
- d. Other Attachments. Attach the following items at item 11 on the Research & Related Other Project Information form.

- (1) Departmental Letter. The relevant department or research/education center must provide a letter, not to exceed one page, that indicates its support and commitment to the proposed HS-STEM career development program.

- (2) Institutional Commitment. The dean or vice-president for research and/or education of the recipient institution also must provide a letter, not to exceed one page, that indicates institutional support and commitment to the proposed HS-STEM career development program.

- (3) Indirect Cost Rate Agreement.

- (4) Negotiated Fringe Benefit Agreement or, if no agreement exists, the amounts and percentages of all items that comprise the fringe rate, and the basis for allocation.

- (5) Certification Regarding Lobbying.

- (6) Other document(s) not specifically identified elsewhere in this funding opportunity. (If you need more space to attach additional items, use the optional "Attachment" form (see below).

7. Research & Related Project/Performance Site Locations

Applicants must complete Project/Performance Site Locations form.

- 8. Attachments (Optional).** Use the optional "Attachments" form if you need more room to attach any other document(s) not specifically identified elsewhere in this funding opportunity.

D. Submission Dates and Times.

Closing Date: May 16, 2008 (11:59PM, Eastern Time)

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

E. Intergovernmental Review.

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

F. Funding Restrictions.

1. DHS grant or cooperative agreement funds may only be used for the purpose set forth in the agreement, and must be consistent with the statutory authority for the award. Grant or cooperative agreement funds may not be used for matching funds for other Federal grants, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.
2. Construction costs are unallowable.
3. Awards institutions may make to students under this program may include tuition assistance and stipends but are limited to the maximum provided to recipients of DHS Scholarships and Fellowships. Currently the maximums provided to such recipients are, for undergraduates: tuition plus living stipends of \$1,000 per month for 9 months each year for two years plus a \$5,000 stipend for a summer internship, and for graduate students: \$2,300 per month for 12 months per year for up to three years.
4. Administrative costs for this program including indirect costs are limited to 8% of total direct costs and must be included in the maximum amount allowable under this program (\$200,000 for a two-year project, and \$500,000 for a three-year project).
5. Equipment is not an allowable cost under this program.
6. Pre-award Costs. Pre-award costs are allowable only with the written consent of DHS and included in the award agreement.

V. APPLICATION REVIEW INFORMATION

Review Process and Evaluation Criteria:

A. Review and Selection Process:

DHS will establish a review panel for these proposals. Copies of all proposals will be available for inspection by all of the members of the review panel, although a qualified subset of reviewers may review each application.

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

Confidentiality and Conflict of Interest:

Technical and cost proposals submitted under this funding opportunity will be protected from unauthorized disclosure in accordance with applicable laws and regulations. DHS may utilize one or more support contractors as subject matter experts or to evaluate cost proposals. However, proposal selection and award decisions are solely the responsibility of DHS Federal personnel.

DHS screens all panelists for potential conflicts of interest. To determine possible conflicts of interest, DHS requires potential reviewers to complete and sign conflicts of interest and nondisclosure forms. DHS will keep the names of submitting institutions and individuals, as well as the substance of the proposals confidential except to reviewers, and will destroy any declined proposals.

DHS discourages, and will not consider any materials submitted by or on behalf of the applicant other than those materials requested in this funding opportunity announcement.

B. Evaluation Criteria. DHS will use the following criteria to evaluate proposal submissions. Each of these criteria will be weighted equally, and all must be addressed by applicants.

To what degree does the proposal:

- Develop a competitive career development program that integrates scholarships and fellowships with internships, instruction, research and employment opportunities that foster meaningful interactions among participating students, faculty, outside scientists and homeland security professionals.
- Develop and implement a plan to ensure transition of students into the homeland security professional and scientific community.

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- Provide for career development opportunities, development of professional and inter-personal skills, and ability to work or conduct research in interdisciplinary environments.
- Develop an environment that exposes students to a broad-based and interdisciplinary foundation of state-of-the-art research instruments and equipment and educational tools and methodologies.
- Develop or implement an administrative plan and organizational structure that ensures effective management of the scholarship and fellowship resources.
- Ensure an on-going institutional commitment to facilitating and furthering the plans and goals of the HS-STEM program, to create a supportive environment for homeland security research and education.
- Present a plan to conduct ongoing evaluation of the career development program's success.

VI. AWARD ADMINISTRATION INFORMATION

A. Notice of Award.

1. Applicants will be notified about evaluation decisions on or about July 31, 2008.
2. A grant award will be executed by a DHS Grants Officer authorized to obligate DHS funding.

B. Administrative and National Policy Requirements.

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

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

2. Nondiscrimination. The award is subject to the following:

- a. TITLE VI OF THE CIVIL RIGHTS ACT OF 1964. As amended, provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance. Title VI also extends protection to persons with limited English proficiency. (42 U.S.C. 2000d et seq.)
- b. TITLE IX OF THE EDUCATION AMENDMENTS OF 1972. Provides that no person in the United States shall, on the basis of sex, be excluded from participation in, be denied benefits of, or be subject to discrimination under any education program or activity receiving Federal financial assistance. (20 U.S.C. 1681 et seq.)
- c. THE AGE DISCRIMINATION ACT OF 1975. Provides that no person in the United States shall, on the basis of age, be excluded from participation in, be denied benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance. (42 U.S.C. 6101 et seq.)
- d. SECTION 504 OF THE REHABILITATION ACT OF 1973. Provides that no otherwise qualified individual with a disability in the United States, shall, solely by reason of his/her disability, be excluded from participation in, be denied benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance. (29 U.S.C. 794)
- e. THE AMERICANS WITH DISABILITIES ACT OF 1990 ("ADA"). Prohibits discrimination on the basis of disability in employment (Title I), state and local government services (Title II), places of public accommodation and commercial facilities (Title III). (42 U.S.C. 12101-12213)

3. Certifications and Assurances. Certifications and assurances regarding the following apply:

- a. LOBBYING. Section 319 of Public Law 101-121 prohibits the use of funds in lobbying members and employees of Congress, as well as employees of Federal agencies, with respect to the award or amendment of any Federal grant, cooperative agreement, contract, or loan. DHS has codified restrictions upon lobbying at 6 CFR Part 9. (31 U.S.C. 1352)
- b. DRUG-FREE WORKPLACE ACT. Requires the recipient to publish a statement about its drug-free workplace program and give a copy of the statement to each employee (including consultants and temporary personnel) who will be involved in award-supported activities at any site where these activities will be carried out. Also, place(s) where work is being performed under the award (i.e., street address, city, state and zip code) must be

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- maintained on file. The recipient must notify the Grants Officer of any employee convicted of a violation of a criminal drug statute that occurs in the workplace. (41 U.S.C. 701 et seq.)
- c. **DEBARMENT AND SUSPENSION.** Executive Orders (E.O.) 12549 and 12689 provide protection from fraud, waste, and abuse by debarment or suspending those persons that deal in an irresponsible manner with the Federal government. The recipient must certify that they are not debarred or suspended from receiving Federal assistance.
 - d. **FEDERAL DEBT STATUS.** The recipient may not be delinquent in the repayment of any Federal debt. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, and benefit overpayments. (OMB Circular A-129, "Policies for Federal Credit Programs and Non-Tax Receivables")
4. **Human Subjects:** Recipient of a cooperative agreement or grant must agree to meet all DHS and HHS requirements for studies using human subjects prior to implementing any work with these subjects. These requirements are given in 45 Code of Federal Regulations (CFR) Part 46, Subparts A-D. Subpart A of 45 CFR Part 46 is HHS's codification of the Federal Policy for the Protection of Human Subjects (also known as The Common Rule) which represents the basic foundation for the protection of human subjects in most research conducted or support by U.S. Federal departments and agencies. No actual work involving human subjects, including recruiting, may be initiated before DHS has received a copy of the applicant's Institutional Review Board's (IRB) approval of the project or determination that it is exempt from human subjects requirements, and DHS has provided approval, although development of tools (e.g., survey instruments), protocols and data gathering approaches may proceed. Where human subjects are involved in the research, the recipient must provide evidence of subsequent IRB reviews, including amendments or minor changes of protocol, as part of annual reports.
 5. **Animal Welfare:** A cooperative agreement or grant recipient must agree to comply with the Animal Welfare Act of 1966 (P.L. 89-544), as amended, 7 U.S.C. 2131-2156. The recipient must also agree to abide by the "U.S. Government Principles for the Utilization and Care of Vertebrate Animals used in Testing, Research, and Training" (50 Federal Register 20864-20865. May 20, 1985)); the National Research Council (NRC) Guide for the Care and Use of Laboratory Animals; and all additional requirements set forth in DHS Management Directive 10200.1 (Care and Use of Animals in Research) prior to conducting any research; experimentation; biological testing; and other related activities involving animals, including any training for such activities.
 6. **Metric System** - Proposals shall use the metric system of weights and measures in accordance with the Omnibus Trade and Competitiveness Act of 1988.

7. **Information and Data Quality:** Congress, through OMB, has instructed each Federal agency to implement Information Quality Guidelines designed to "provide policy and procedural guidance...for ensuring and maximizing the quality, objectivity, utility, and integrity of information, including statistical information, disseminated by Federal agencies." Information quality procedures may apply to data generated by grant or cooperative agreement recipients if those data are disseminated as described in the Guidelines. The Office of Management and Budget (OMB) Circular A-110 has been revised to provide public access to research data through the Freedom of Information Act (FOIA) under some circumstances. Data that is (1) first produced in a project that is supported in whole or in part with Federal funds and (2) cited publicly and officially by a Federal agency in support of an action that has the force and effect of law (i.e., a regulation) may be accessed through FOIA. If such data are requested by the public, DHS must ask for it, and the awardee must submit it, in accordance with A-110 and applicable regulations at 40 C.F.R. 30.36.
8. **Biosafety and Select Agent Authority:** Recipient must conduct laboratory research in compliance with DHS Management Directive (MD) 10101, "Biosafety," the latest edition of CDC/NIH Biosafety in Microbiological and Biomedical Laboratories ("BMBL"), NIH Guidelines for Research Involving Recombinant DNA Molecules ("NIH Guidelines"), and other applicable standards and guidelines pertaining to laboratory biosafety. For each research project involving recombinant DNA (as defined in the NIH Guidelines), the Recipient must submit documentation of protocol approval by an appropriately constituted Institutional Biosafety Committee ("IBC"). For work involving Biological Select Agents and Toxins ("BSAT"), the Recipient (and any constituent laboratories) will comply with applicable Federal laws and regulations and DHS policies pertaining to the possession and use of BSAT including, but not limited to, 42 CFR 73 "Select Agents and Toxins", 7 CFR 331 "Possession, Use, and Transfer of Select Agents and Toxins", 9 CFR 121 "Possession, Use, and Transfer of Select Agents and Toxins", Public Law 107-56, Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism (USA Patriot Act) Act of 2001", Public Law 107-188 "Public Health Security and Bioterrorism Preparedness and Response Act of 2002", and DHS MD 10102 "Select Agent and Toxin Security". If the Recipient will conduct research involving BSATs (see the HHS and USDA Select Agents and Toxins List, <http://www.cdc.gov/od/sap/docs/salist.pdf>) the Recipient must complete registration with CDC (or USDA, depending on the agent) before using DHS funds. No DHS funds can be used for activities involving BSAT if the final registration certificate is denied.
9. **Acknowledgement of DHS Support:** DHS's full or partial support must be acknowledged in journal articles, oral or poster presentations, news releases, interviews with reporters and other communications. Any documents developed

under this agreement that are intended for distribution to the public or inclusion in a scientific, technical, or other journal shall include the following statement:

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

10. **Use of DHS Seal and Non-Endorsement:** Recipient shall require DHS's approval prior to using the DHS seal. DHS's funding of projects under an award does not equate to DHS's endorsement of such project.
11. Potential recipients under this announcement are reminded of the Export Administration Regulations, the International Traffic in Arms Regulations, and other Federal regulations restricting the release of critical technologies, including technical data, to foreign nationals.

12. Trafficking in Persons:

1. Provisions applicable to a Recipient that is a private entity.
 - a. The Recipient, Recipient's employees, subrecipients under this Award, and subrecipients' employees may not—
 - (1) Engage in severe forms of trafficking in persons during the period of time that this Award is in effect;
 - (2) Procure a commercial sex act during the period of time that this Award is in effect; or
 - (3) Use forced labor in the performance of this Award or subawards under this Award.
 - b. DHS may unilaterally terminate this Award, without penalty, if the Recipient or a subrecipient that is a private entity—
 - (1) Is determined to have violated a prohibition in paragraph 1.a. of this Award; or
 - (2) Has an employee who is determined by DHS to have violated a prohibition in paragraph 1.a of this Award through conduct that is either—
 - (a) Associated with performance under this Award; or

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- (b) Imputed to the Recipient or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement).”
- 2. Provision applicable to a Recipient other than a private entity. DHS may unilaterally terminate this Award, without penalty, if a subrecipient that is a private entity—
 - a. Is determined to have violated an applicable prohibition in paragraph 1.a of this Award; or
 - b. Has an employee who is determined by DHS to have violated an applicable prohibition in paragraph 1.a of this Award through conduct that is either—
 - (1) Associated with performance under this Award; or
 - (2) Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement).”
- 3. Provisions applicable to any Recipient.
 - a. The Recipient and subrecipient must inform DHS immediately of any information the Recipient or subrecipient receives from any source alleging a violation of a prohibition in paragraph 1.a of this Award.
 - b. DHS’s right to terminate unilaterally that is described in paragraph 1.b or 2 of this section:
 - (1) Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and
 - (2) Is in addition to all other remedies for noncompliance that are available to DHS under this Award.
 - c. The Recipient must include the requirements of paragraph 1.a of this Award in any subaward the Recipient makes to a private entity.
- 4. Definitions. For purposes of this Award:
 - a. “Employee” means either:

- (1) An individual employed by the Recipient or a subrecipient who is engaged in the performance of the project or program under this Award; or
 - (2) Another person engaged in the performance of the project or program under this Award and not compensated by the Recipient including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.
- b. “Forced labor” means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.
- c. “Private entity:”
- (1) Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25.
 - (2) Includes:
 - i. A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CRF 175.25(b).
 - ii. A for-profit organization.
- d. “Severe forms of trafficking in persons,” “commercial sex act,” and “coercion” have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

B. Reporting Requirements

1. Financial Reports.

- a. The recipient shall submit annual financial reports (SF 269, Financial Status Report) to the DHS Grants Officer no later than 90 days following the one-year anniversary date of the performance period start date. All subsequent annual reports will be due on the anniversary of the first annual report.
- b. The recipient is required to submit a quarterly Cash Transaction Report (SF 272) to the Department of Health and Human Services (HHS).

- c. The recipient is required to submit a Final Financial Status Report (SF 269) to the DHS Grants Officer within 90 days after the expiration date of the performance period.

2. Performance Reports.

- a. The recipient shall submit an annual performance report to the DHS Grants Officer no later than 90 days following the one-year anniversary date of the performance period start date. All subsequent annual reports will be due on the anniversary of the first annual report. The annual report shall compare actual accomplishments to the approved project objectives.
- b. The recipient institution shall submit a report on each supported student within 90 days of that student completing his/her tenure as a scholarship/fellowship recipient or graduating or leaving the program for any reason. The report should be no more than 5 pages, single-spaced, and should summarize each student's experience under the funding received. The report should include:
 - Degree received and date
 - A summary of research accomplishments and contributions
 - Post-award activity and post-graduation placement
 - Any new skills and/or knowledge acquired
 - Relevant conferences, seminars and/or lectures attended
 - Publications, presentations, poster sessions, and/or accomplishment of project milestones, if any
 - Internship placement and experience
- c. The final Performance Report is due to the DHS Grants Officer within 90 days after the expiration date of the performance period.

VII. DEPARTMENT OF HOMELAND SECURITY CONTACTS

DHS Program Officer:
Desiree Linson
Department of Homeland Security
Washington, DC 20528
Phone: 202-254-6309
e-mail: desiree.linson@dhs.gov

DHS Grants Officer:
Larry Thompkins
Mail Stop 0500
Department of Homeland Security

245 Murray Lane, SW, Bldg 410;
Washington, DC 20528
Phone: 202-447-5529
e-mail: larry.thompkins@dhs.gov

VIII. OTHER INFORMATION

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

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

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

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

"Data" means recorded information, regardless of form or the media on which

it may be recorded.

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

C. Technology Transfer:

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

Attachment A

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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

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

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

CFR 1308.11 through 1308.15);

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

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

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

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Awardees Other Than Individuals)

- A. The awardee certifies that it will or will continue to provide a drug-free workplace by:
- a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the awardee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - b. Establishing an ongoing drug-free awareness program to inform employees about –
 1. The dangers of drug abuse in the workplace;
 2. The awardee's policy of maintaining a drug-free workplace;
 3. Any available drug counseling, rehabilitation, and employee assistance programs; and
 4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - c. Making it a requirement that each employee to be engaged in the performance of the grant or cooperative agreement be given a copy of the statement required by paragraph (a);

- d. Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant or cooperative agreement, the employee will --
 - 1. Abide by the terms of the statement; and
 - 2. Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

- e. Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant or cooperative agreement activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant or cooperative agreement;

- f. Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted --
 - 1. Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - 2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
 - 3. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).
 - 4. The awardee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant or cooperative agreement:

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

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

B. Alternate II. (Awardees Who Are Individuals)

- a. The awardee certifies that, as a condition of the grant or cooperative agreement, he or she will not engage in the unlawful manufacture,

distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant or cooperative agreement;

- b. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant or cooperative agreement activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant or cooperative agreement.

Attachment B

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

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

Instructions for Certification

- 1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.**
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

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

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

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

public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

- c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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

1. Instructions for Certification

2. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
3. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
4. The prospective lower tier participant shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
6. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not

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

7. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and No procurement Programs.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Attachment C
CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

* APPLICANT'S ORGANIZATION	
<input style="width: 95%; height: 20px;" type="text"/>	
* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
Prefix: <input style="width: 80px;" type="text"/>	* First Name: <input style="width: 180px;" type="text"/>
	Middle Name: <input style="width: 150px;" type="text"/>
* Last Name: <input style="width: 220px;" type="text"/>	Suffix: <input style="width: 60px;" type="text"/>
	* Title: <input style="width: 180px;" type="text"/>
* SIGNATURE: <input style="width: 250px;" type="text"/>	* DATE: <input style="width: 150px;" type="text"/>
