

1. DATE ISSUEDMM/DD/YYYY

09/20/2021

1a. SUPERSEDES AWARD NOTICE dated

except that any additions or restrictions previously imposed remain in effect unless specifically rescinded

2. CFDA NO.

97.010 - Citizenship Education and Training

3. ASSISTANCE TYPEBlock Grant

4. GRANT NO. 21CICET00183-01-00

Formerly

5. TYPE OF AWARD

Other

4a. FAIN 21CICET00183

5a. ACTION TYPE New

6. PROJECT PERIODMM/DD/YYYY

From10/01/2021

Through09/30/2023

7. BUDGET PERIODMM/DD/YYYY

From10/01/2021

Through09/30/2023

8. TITLE OF PROJECT (OR PROGRAM)

Catholic Charities of the Diocese of Santa Rosa's Citizenship Instruction & Naturalization Application Services 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)

Refugee Education Assistance Act of 1980, as amended, Title V, Section 501 C, Public Law 96-422, 94 Stat. 1809; Executive Order 12341,

9a. GRANTEE NAME AND ADDRESS

ROMAN CATHOLIC BISHOP OF SANTA ROSA, THE  
987 Airway Ct  
Santa Rosa, CA 95403-2048

9b. GRANTEE PROJECT DIRECTOR

987 Airway Ct  
Santa Rosa, CA 95403-2048

10a. GRANTEE AUTHORIZING OFFICIAL

987 Airway Drive  
Santa Rosa, CA 95403-2048

10b. FEDERAL PROJECT OFFICER

7th and D Street, SW  
Washington, DC 20407

ALL AMOUNTS ARE SHOWN IN USD

11. APPROVED BUDGET (Excludes Direct Assistance)

I Financial Assistance from the Federal Awarding Agency Only

II Total project costs including grant funds and all other financial participation

a. Salaries and Wages

160,279.00

b. Fringe Benefits

51,063.00

c. Total Personnel Costs

211,342.00

d. Equipment

0.00

e. Supplies

13,658.00

f. Travel

0.00

g. Construction

0.00

h. Other

39,591.00

i. Contractual

0.00

j. TOTAL DIRECT COSTS

264,591.00

k. INDIRECT COSTS

25,000.00

l. TOTAL APPROVED BUDGET

289,591.00

m. Federal Share

250,000.00

n. Non-Federal Share

39,591.00

12. AWARD COMPUTATION

a. Amount of Federal Financial Assistance (from item 11m)

250,000.00

b. Less Unobligated Balance From Prior Budget Periods

0.00

c. Less Cumulative Prior Award(s) This Budget Period

0.00

d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION

250,000.00

13. Total Federal Funds Awarded to Date for Project Period

250,000.00

14. RECOMMENDED FUTURE SUPPORT

(Subject to the availability of funds and satisfactory progress of the project):

YEAR

TOTAL DIRECT COSTS

YEAR

TOTAL DIRECT COSTS

a. 2

d. 5

b. 3

e. 6

c. 4

f. 7

15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:

a. DEDUCTION

b. ADDITIONAL COSTS

c. MATCHING

d. OTHER RESEARCH (Add / Deduct Option)

e. OTHER (See REMARKS)

b

16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY ON THE ABOVE TITLED PROJECT AND IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:

a. The grant program legislation.

b. The grant program regulations.

c. This award notice including terms and conditions, if any, noted below under REMARKS.

d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

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

REMARKS (Other Terms and Conditions Attached - ☒ Yes ☐ No)

Congratulations! I am pleased to inform you that DHS has approved your application for funding under the FY 2021 Citizenship and Integration Grant Program, for the period of October 1, 2021 – September 30, 2023. Included in this award package is the award letter, notice of award, terms and conditions, and GrantSolutions setup guide.

GRANTS MANAGEMENT OFFICIAL:

7th And D Street SW  
Washington, DC 20407-0001

17.OBJ CLASS	4102	18a. VENDOR CODE	942479393	18b. EIN	942479393	19. DUNS	847356318	20. CONG. DIST.	05
FY-ACCOUNT NO.		DOCUMENT NO.		ADMINISTRATIVE CODE		AMT ACTION FIN ASST		APPROPRIATION	
21. a.	OOC210003	b.	CICET00183A	c.	CET1	d.	\$250,000.00	e.	7010408
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

09/20/2021

GRANT NO. 21CICET00183-01-00

Federal Financial Report Cycle			
Reporting Period Start Date	Reporting Period End Date	Reporting Type	Reporting Period Due Date
10/01/2021	12/31/2021	Quarterly	01/30/2022
01/01/2022	03/31/2022	Quarterly	04/30/2022
04/01/2022	06/30/2022	Quarterly	07/30/2022
07/01/2022	09/30/2022	Quarterly	10/30/2022
10/01/2022	12/31/2022	Quarterly	01/30/2023
01/01/2023	03/31/2023	Quarterly	04/30/2023
04/01/2023	06/30/2023	Quarterly	07/30/2023
07/01/2023	09/30/2023	Final	12/29/2023

Performance Progress Report Cycle			
Reporting Period Start Date	Reporting Period End Date	Reporting Type	Reporting Period Due Date
10/01/2021	12/31/2021	Quarterly	01/30/2022
01/01/2022	03/31/2022	Quarterly	04/30/2022
04/01/2022	06/30/2022	Quarterly	07/30/2022
07/01/2022	09/30/2022	Quarterly	10/30/2022
10/01/2022	12/31/2022	Quarterly	01/30/2023
01/01/2023	03/31/2023	Quarterly	04/30/2023
04/01/2023	06/30/2023	Quarterly	07/30/2023
07/01/2023	09/30/2023	Final	12/29/2023

## AWARD ATTACHMENTS

ROMAN CATHOLIC BISHOP OF SANTA ROSA, THE

21CICET00183-01-00

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1. Award letter
2. 2021 GrantSolutions Getting Started
3. FY21 Terms and Conditions - revised
4. Risk Assessment Questionnaire



Homeland  
Security

September 20, 2021

[REDACTED]  
Chief Executive Officer  
Catholic Charities of the Diocese of Santa Rosa  
987 Airway Court  
Santa Rosa, CA 95403-2048

Re: Grant Number# 21CICET00183

Dear [REDACTED]

Thank you for your application in response to the Department of Homeland Security's Notice of Funding Opportunity (NOFO), CI-CET-21-002 "FY 2021 Citizenship and Integration Grant Program: Citizenship Instruction and Naturalization Services Program". I am pleased to inform you that DHS has approved your application for funding in the amount of **\$250,000** for the period of October 1, 2021 – September 30, 2023. A copy of the award document and the terms and conditions are enclosed.

In order to be effective with your federal award, the following information will be helpful in getting your grant award implemented and off to a good start. Please note, some areas do require expedited action; failure to respond in a timely manner may delay funding. Funding is restricted until the following actions are received.

#### **Pre-Award Risk Assessment**

The Department of Homeland Security requires that a fiduciary review be conducted to ensure proper stewardship of federal funds. To that extent, the Grants and Financial Assistance Division (GFAD) conducts a Pre-Award Risk Assessment that is completed by the financial representative of the applicant/awardee. This is required for all recipients. A copy has been provided in your award package. Completion of this document is due no later than Friday, October 1, 2021.

#### **GrantSolutions**

The Grants and Financial Assistance Division utilizes GrantSolutions, an online grants management tool. This is the official grant file of record for your federal award. 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 (program officer, financial staff, etc) be established no later than Friday, October 1, 2021.

#### **Payment Management System**

Payment of funds for this award will be made through the Department of Health and Human Services (DHHS) Payment Management System (PMS). PMS is a full service central payment and cash management system. I encourage immediate completion of the required PMS forms. You will not receive payment for any work performed on this grant until these forms are properly submitted to PMS and an account has been established. **If your organization has never received grant funds from my office**, 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.

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**Technical Assistance**

You will be assigned a CIS Program Officer by the Office of Citizenship if it is different from the individual listed on the Notice of Award document. Please reach out to your assigned Officer should you have any questions for your program.

For financial and all other technical matters (outside of GrantSolutions and PMS helpdesk assistance), your assigned DHS Grants Officer is



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

Sincerely,



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

Enclosures

cc (via email): DHS Program Officer



# Homeland Security

DEPARTMENT OF HOMELAND SECURITY

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Dear Awardee:

Congratulations on being selected as a 2021 recipient of the FY 2021 Citizenship and Integration Grant Program: Citizenship Instruction and Naturalization Services Program or Refugee and Asylee Integration Services Program.

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: [Getting Started – Request a User Account - GrantSolutions](#). Accounts should be established for the Program Director, Authorizing Official, and Financial officers 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](mailto: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/>



**Print Form**

## **Grant Recipient User Account Request Form**

Please use this form to request the following GrantSolutions Grant Recipient user account actions:

- Create a new account at an existing Grant Recipient organization
- Update information pertaining to an existing Grant Recipient account
- Close an existing Grant Recipient account

### **Create New User Account**

The new user's Supervisor or Authorized Official must approve all account requests.

1. The user must complete the form
2. The user who is receiving access must:
  - a. Sign and date Part 1 of the form (Rules of Behavior)
3. The Supervisor or Authorized Official must verify and sign Part 2 of the User Account Request Form

### **Update Existing User Account**

Should any information regarding an existing Grant Recipient user account change, please select "Request Type: Account Change" and complete the form in its entirety. Changes to existing accounts may include:

- Change of user's role
- Update of user's contact information

### **Close Existing User Account**

Should a user's account need to be closed, the user's Supervisor or Authorized Official should select "Request Type: Account Closure" and complete Part 2 of the form in its entirety or send an email requesting closure to [help@grantsolutions.gov](mailto:help@grantsolutions.gov).

### **Submission of the User Account Request Form**

The Supervisor or Authorized Official must submit all forms to the GrantSolutions Support Center. Completed forms should be submitted to the **GrantSolutions Support Center** by email or fax:

- Email: [help@grantsolutions.gov](mailto:help@grantsolutions.gov)
- Fax: (301) 998-7272

The Support Center will verify all account requests. Request forms sent via email must be scanned to include original signatures.

Account information will be sent to the new (or changed) user's email address. Upon initial login, the user will be required to change the temporary password assigned by the Support Center.

If you have any questions, please contact the GrantSolutions Support Center at [help@grantsolutions.gov](mailto:help@grantsolutions.gov) or toll-free at (866) 577-0771.

### **Role Authority Definitions**

Please note the following definitions of each Role Authority listed in Part 2 of the Grant Recipient User Account Request Form:

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**Authorizing Official/Authorizing Representative:** The Grantee Authorizing Official (ADO) is responsible for the oversight of activities performed by the Grantee Security Monitor. Listed as the Authorizing Official on the Notice of Award.

**Financial Officer:** The Grantee Financial Official (FO) is responsible for the oversight of activities performed by the Grantee Financial Support Staff.

**Financial Officer Support:** The Grantee Financial Support Staff (FSS) role is to assist the Grantee Financial Official in the grantee organization.

**Program Director/Principal Investigator:** The Principal Investigator/Program Director (PI/PD) is responsible for the oversight of activities performed by Support Staff.

**Support Staff:** The Grantee Support Staff's role is to assist the Principal Investigator or Program Director in the grantee organization.



## Grant Recipient User Account Request Form: Part 1

### Rules of Behavior

As a User granted Grant Recipient access in GrantSolutions, I agree to abide by the following:

- I will not disclose data from the GrantSolutions system to any unauthorized users.
- I will not make any unencrypted electronic copies of data from the GrantSolutions system.
- I will take all reasonable steps to ensure I do not violate the privacy and confidentiality of all data from the GrantSolutions systems as per the Privacy Act of 1974.
- I will ensure the proper disposal of data (in any format) and printed reports.
- I will access the GrantSolutions system only to the extent that my duties require such access.
- I will report inappropriate or malicious use of the GrantSolutions system to the GrantSolutions Help Desk (at [help@grantsolutions.gov](mailto:help@grantsolutions.gov) or toll-free at (866) 577-0771) and to the GrantSolutions Information System Security Officer at [jacob.kuruvilla@grantsolutions.gov](mailto:jacob.kuruvilla@grantsolutions.gov).
- I will immediately notify the GrantSolutions Help Desk of any account changes, including the need to close my account.

User Name (Printed) \_\_\_\_\_

User Signature \_\_\_\_\_ Date \_\_\_\_\_



## Grant Recipient User Account Request Form: Part 2

Request Type: ☐ New Account ☐ Account Change ☐ Account Closure

### Partner Agency:

#### Department of Health & Human Services

- ☐ Administration for Children and Families
- ☐ Administration for Community Living
- ☐ Centers for Disease Control and Prevention
- ☐ Centers for Medicare & Medicaid Services
- ☐ Health Resources & Services Administration
- ☐ Indian Health Service
- ☐ Office of Head Start
- ☐ Office of the Assistant Secretary for Health
- ☐ Office of the Assistant Secretary for Preparedness and Response
- ☐ Office of the National Coordinator for Health Information Technology

#### Department of Homeland Security

- ☐ Citizenship and Immigration Services

#### Department of Transportation

- ☐ Federal Motor Carrier Safety Administration
- ☐ Federal Railroad Administration
- ☐ Office of the Secretary (AMJP)

#### Department of the Treasury

- ☐ Internal Revenue Service
- ☐ Office of Grant Community Relations

#### Other Agencies

- ☐ Bureau of the Fiscal Service
- ☐ Consumer Product Safety Commission
- ☐ Denali Commission
- ☐ Department of Agriculture
- ☐ Department of Housing and Urban Development
- ☐ Department of the Interior
- ☐ Environmental Protection Agency
- ☐ Gulf Coast Ecosystem Restoration Council
- ☐ Public Health Service
- ☐ Small Business Administration
- ☐ Social Security Administration
- ☐ Treasury – RESTORE Act
- ☐ Other:

Grant Recipient (Organization):

Address 1 (Organization):

Address 2 (Organization):

City:

State:

ZIP:

Grant Number(s):

DUNS:

User First Name:

User Last Name:

Title:

Phone:

Email:



**Role Authority:**

- |   |   |
|---|---|
| <input type="radio"/> Authorizing Official/Authorizing Representative | <input type="radio"/> Program Director/Principal Investigator |
| <input type="radio"/> Financial Officer                               | <input type="radio"/> Support Staff                           |
| <input type="radio"/> Financial Officer Support                       |   |

**Supervisor or Authorized Official Name:**

**Title:**

**Signature:**

**Note: The Supervisor or Authorized Official should sign requests.**

**GRANT TERMS AND CONDITIONS**  
**GRANTS AND FINANCIAL ASSISTANCE DIVISION (GFAD)**

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

**ARTICLE I. GENERAL ADMINISTRATIVE TERMS AND CONDITIONS**

**A. AWARD SPECIFIC TERMS AND CONDITIONS AND/OR RESTRICTIONS**

1. None

**B. 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 as a result of an extension.

**C. 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 ninety (90) days after the expiration of the Project Period, and shall be submitted via GrantSolutions using the help/Support guidance entitled, "Quicksheet: Add a Grant Note" guidance found here: <https://www.grantsolutions.gov/support/granteeUsers.html>

#### **D. FINANCIAL REPORTS**

1. Quarterly 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. Reports are due on 1/31, 4/30, 7/31, 10/31. The report shall be submitted electronically by selecting the GrantSolutions help/support guidance entitled, "Grantee Reporting Process: Federal Financial Report" found here: <https://www.Grantsolutions.gov/support/granteeUsers.html>
2. Final Federal Financial Report – the Recipient shall submit the final Federal Financial Report (SF-425) into the GrantSolutions system no later than 120 days after the end of the Project Period end date. The report shall be submitted electronically using the GrantSolutions help/support menu to access the submission guidance entitled, "Grantee Reporting Process: Federal Financial Report" found here: <https://www.Grantsolutions.gov/support/granteeUsers.html>
3. Quarterly Federal Financial Reports (Cash Transaction) – the Recipient shall submit the Federal Financial Report (SF-425) Cash Transaction Report to the Department of Health and Human Services, Payment Management System. Quarterly Cash Transaction reports shall be submitted no later than 1/30, 4/30, 7/30, and 10/30.

#### **E. PAYMENT**

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

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

#### **F. PERFORMANCE REPORTS**

1. Quarterly Performance Reports – The Recipient shall submit performance reports into the GrantSolutions system no later than thirty (30) days after the end of the reporting period end date. Reports are due on 1/31, 4/30, 7/31, 10/31. The report shall be submitted via [www.GrantSolutions.gov](http://www.GrantSolutions.gov) using the help/Support guidance entitled, "Quicksheet: Add a Grant Note" found here: <https://www.grantsolutions.gov/support/granteeUsers.html>. Please remember to include the program name, report type (ie, 1st Quarter Program) and award number in the note subject line.

a. Performance reports must provide information on the overall progress by quarter. These reports shall include:

- \* A comparison of actual accomplishments with the goals and objectives established for the period.
- \* Reasons why established objectives were not met, if applicable.
- \* Other pertinent information including, when appropriate, analysis and explanation of cost overruns.

b. If the performance report contains any information that is deemed proprietary, the Recipient will denote the beginning and ending of such information with asterisks (\*\*\*\*\*)

2. Final Performance Report – the Recipient shall submit the Final Performance Report into the GrantSolutions system no later than 120 days after the expiration of the Project Period. The report Final Performance Report shall be submitted via [www.GrantSolutions.gov](http://www.GrantSolutions.gov) using the help/Support guidance entitled, "Grant Recipient Report and Reference: Performance Progress Report."

## **G. PERIOD OF PERFORMANCE**

The approved Project and Budget Periods for the supported activity is contingent upon the following:

1. Acceptable performance of the project as determined by the Department of Homeland Security (DHS);
2. If applicable, acceptance and approval of each non-competing continuation application by the DHS;
3. Subject to the availability of annual DHS appropriated funds.

## **H. 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 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.

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

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

### B. COMPLIANCE ASSURANCE PROGRAM OFFICE TERMS AND CONDITIONS

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

CAPO collects and reviews relevant documentation pertaining to this Award on behalf of the Compliance Assurance Program Manager. Additional guidance regarding the review process is provided in the following sections, along with contact information for the TCO, RCO, and ECG. 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, and acquisition projects in compliance with all arms control agreements of the U.S., including the Chemical Weapons Convention (CWC) and the Biological Weapons Convention (BWC). DHS Directive 041-01, *Compliance With, and Implementation of, Arms Control Agreements*, requires all such projects to be systematically evaluated for compliance at inception, prior to funding approval, whenever there is significant project change, 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 new 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), which includes a Project Summary; a BWC Checklist; and/or a CWC Checklist.

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

The Recipient should contact the Treaty Compliance Office (TCO) at [treatycompliance@hq.dhs.gov](mailto:treatycompliance@hq.dhs.gov) to obtain the TCF template, submit the completed Form, or request additional guidance regarding TCO documentation and review requirements, as applicable to (1) new biological and/or chemical defense-related efforts, or (2) modifications to previously approved efforts. The TCO will review all submitted materials and provide written confirmation of approval to initiate work 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, until receipt of this written confirmation.**

## D. REGULATORY COMPLIANCE FOR BIOLOGICAL LABORATORY WORK

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

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

- a. Research protocol(s), research or project plan(s), or other detailed description of the biological laboratory work to be conducted;
- b. Documentation of project-specific biosafety review for biological laboratory work subject to such review in accordance with institutional policy;
- c. Institutional or laboratory biosafety manual (may be a related plan or program manual) for each facility/laboratory to be involved in the biological laboratory work;
- d. Biosafety training program description (should be provided as available in existing policies, plans, and/or manuals for all relevant facilities/laboratories where work is conducted;
- e. Documentation of the most recent safety/biosafety inspection(s) for each facility/laboratory where the biological laboratory work will be conducted;
- f. Exposure Control Plan, as applicable;
- g. Documentation from the most recent Occupational Safety and Health Administration (OSHA) or State Occupational Safety and Health Agency inspection report; a copy of the OSHA Form 300 *Summary of Work Related Injuries and Illnesses* or equivalent, for the most recent calendar year; and documentation of any OSHA citations or notices of violation received in the past five years; and
- h. Documentation from the most recent U.S. Department of Transportation (DOT) inspection report; and documentation of any DOT citations or notices of violation received in the past five years.

2. Requirements for Research Involving Recombinant or Synthetic Nucleic Acid Molecules. Laboratory activities involving recombinant or synthetic nucleic acid molecules research are defined by the *NIH Guidelines for Research Involving Recombinant DNA Molecules*, "NIH Guidelines". Each Recipient and any Recipient institution shall conduct all rDNA work in compliance with the NIH Guidelines. In addition to the documentation referenced in Section B.1 above, **each facility conducting research activities involving rDNA under this Award must submit copies of the following documentation to the RCO 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 rDNA research protocol(s); and
- d. Documentation of final IBC approval for each rDNA research protocol and all subsequent renewals and amendments as they occur.

3. Requirements for Activities Involving Biological Select Agents and Toxins (BSAT). Planned activities involving the possession transfer, and/or use of BSAT must be reviewed by the CAPO prior to initiation. This requirement also applies to activities involving select toxins that fall below the Permissible Toxin Limits, both at facilities registered with the National Select Agent Program and at unregistered facilities. Each Recipient and any Recipient institution shall conduct all BSAT work in compliance with all applicable regulations, including 42 C.F.R. § 73, 7 C.F.R. § 331, and 9 C.F.R. § 121, related entity- and laboratory-specific policies and procedures, and DHS Directive 026-03, Select Agent and Toxin Security. 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. Most recent APHIS/CDC inspection report(s), response(s), and attachment(s);
- c. Current versions of the Biosafety, Security, and Incident Response Plans required and reviewed under the Select Agent Regulations; and
- d. Documentation of the most recent annual BSAT facility inspection, as required of the Responsible Official under the Select Agent Regulations.

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

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

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

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

## **E. RESEARCH INVOLVING ANIMALS**

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

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

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

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

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

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

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 requirements for work involving animals. 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., Title 9, C.F.R, Chapter 1, Subchapter A; Public Health Service Policy on Humane Care and Use of Laboratory Animals; the Guide for the Care and Use of Laboratory Animals; and the Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching). The Recipient must provide CAPO documentation sufficient to illustrate this compliance. The CAPO will evaluate compliance measures for these institutions on a case-by-case basis to determine their sufficiency. The Recipient must not initiate nor provide funds for the conduct of work involving animals at foreign institutions under this Award without formal written approval from the CAPO.

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

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

1. Requirements for Research Using DURC Agents and Toxins. To ensure compliance with the USG DURC Policies, each facility conducting research involving the agents and toxins identified in sections III.1 and 6.2.1 of the USG DURC Policies under this Award must submit the following documentation for compliance review by CAPO prior to the initiation of such activities.
  - a. Institutional Review Entity (IRE) charter, and/or other available documentation of IRE policies and procedures, to include the contact information for the Institutional Contact for DURC (ICDUR);
  - b. Institution's project-specific risk mitigation plan, as applicable;
  - c. DURC training or education program description;
  - d. Formal annual assurance of compliance with the USG Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern;
  - e. A completed iDURC form and a Statement of Work.
2. Required Notifications to DHS:
  - a. Within thirty (30) calendar days of initial and periodic reviews of institutional review of research with DURC potential, notify CAPO of the results, including whether the research does or does not meet the DURC definition.
  - b. Report, in writing, any instances of noncompliance and mitigation measures to correct and prevent future instances of noncompliance within 30 calendar days to CAPO.
3. Flowdown Requirements: The Recipient shall include the substance of this section in all sub-awards/contracts at any tier where the sub-Recipient is performing work with agents or toxins identified in sections III.1 of the USG Policy for Oversight of Dual Use Research of Concern and 6.2.1 of the USG Policy for the Institutional Oversight of Dual Use Research of Concern.

The Recipient should contact CAPO at STregulatorycompliance@hq.dhs.gov to submit documentation or to request more information regarding the DHS regulatory documentation and compliance review requirements. CAPO will provide written confirmation of receipt of all required documentation to the designated Points of Contact. CAPO will evaluate the submitted materials. Additional documentation may be required in some cases and must be submitted upon request. CAPO will review all submitted materials and provide written confirmation to the Recipient once all requirements have been met. Upon receipt of this written confirmation, the Recipient may initiate approved projects under this award.

In order to meet the reporting requirements set forth in section IV.2 of the 2012 USG Policy for Oversight of Life Sciences Dual Use Research of Concern (the biannual DURC Data Call), the Recipient and any Recipient institution shall submit documentation regarding all active, planned or recently completed (within twelve months of the submission) unclassified intramural or extramural activities on Federally-funded or conducted life science research projects biannually on the first Monday in May and November. The Recipient should contact CAPO at STregulatorycompliance@hq.dhs.gov to submit documentation.

Documentation should include an update on all listed activities, including status, all agents or toxins incorporated by strain or surrogate name, performers, contract information, and sites of activities. Documentation should also include any changes to existing or completed projects since the most recent submission, including—but not limited to—the addition of agents, a change in performer, modifications to the scope of work, and/or changes to the technical approach. A supplemental report detailing all work involving low pathogenic avian influenza virus H7N9 (LPAI H7N9) and Middle East Respiratory Syndrome Coronavirus (MERS-CoV).

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.

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

- a. Research protocol, as approved by an Institutional Review Board (IRB), for any human subjects research work to be conducted under this Award;
- b. IRB approval letter or notification of exemption (see additional information below on exemption determinations), for any human subjects research work to be conducted under this Award;
- c. IRB-approved informed consent document(s) (templates) or IRB waiver of informed consent for projects involving human subjects research under this Award; and
- d. Federal-wide Assurance (FWA) number from the HHS Office for Human Research Protections (OHRP), or documentation of other relevant assurance, for all Recipient institutions (including Sub-recipients) involved in human subjects research under this Award.

2. Exemptions for Research Involving Human Subjects. Exemption determinations for human subject research to be conducted under this Award should only be made by authorized representatives of (1) an OHRP-registered IRB, or equivalent, or (2) the CAPO. Exemption determinations made by an OHRP-registered IRB, or equivalent, should be submitted to the CAPO for review and record-keeping. Program 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 [STregulatorycompliance@hq.dhs.gov](mailto:STregulatorycompliance@hq.dhs.gov) that includes the following:

- a. Research protocol or detailed description of planned activities to be conducted under this Award.
- b. Identification of the exemption category that applies to the project(s) to be conducted under this Award and explanation of why the proposed research meets the requirements for that category of exemption.

All documentation, as well as any questions or concerns regarding the requirements referenced above, should be submitted to the CAPO at [STregulatorycompliance@hq.dhs.gov](mailto: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 U.S. export controls—to include the Export Administration Regulations (EAR), the International Traffic in Arms Regulations (ITAR), and the Office of Foreign Assets Control (OFAC) Regulations. The Recipient and any Recipient institution will ensure that all legal requirements for compliance with U.S. export controls are met prior to transferring commodities, technologies, technical data, or other controlled information to a non-U.S. person or entity. Upon DHS request, the Recipient and any Recipient institution must provide to CAPO documentation and any other information necessary to determine satisfaction of this requirement.

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

## **I. CONTROLLED UNCLASSIFIED INFORMATION**

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

## **J. PATENT RIGHTS AND DATA RIGHTS**

### Patent rights.

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

### Data rights.

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

- a. Any data that is first produced under this Award and provided to the Government;
- b. Any data owned by third parties that 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:

- i. Produced under this Award, either as a Recipient or sub-recipient;
- ii. Used by the Government in developing an agency action that has the force and effect of law; and
- iii. Published, which occurs either when:
  - 1) The research data is published in a peer-reviewed scientific or technical journal; or
  - 2) DHS publicly and officially cites the research data in support of an agency action that has the force and effect of law

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

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

ii. Excludes:

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

d. Requirements for sub-awards: The Recipient agrees to include in any sub-award made under this Agreement the requirements of this award term (Patent Rights and Data Rights) and 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, {insert Award Number as outlined in Item #4 on Notice of Award}."
  - 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 registered or certified mail, return receipt requested. The Recipient's authority to incur new costs will be terminated upon arrival of the date of receipt of the letter or the date set forth in the notice. Any costs incurred up to the earlier of the date of the receipt of the notice or the date of termination set forth in the notice will be negotiated for final payment. Closeout of this Award will be commenced and processed pursuant to 2 C.F.R. §200.339.

#### **O. TRAVEL**

Travel required in the performance of the duties approved in this Award must comply with 2 C.F.R. § 200.474.

***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**

1. "Classified national security information," as defined in Executive Order (EO) 12958, as amended, means information that has been determined pursuant to EO 12958 or any predecessor order to require protection against unauthorized disclosure and is marked to indicate its classified status when in documentary form.
2. No funding under this award shall be used to support a contract, sub-award, or other agreement for goods or services that will include access to classified national security information if the award recipient itself has not been approved for and has access to such information.
3. Where an award recipient has been approved for and has access to classified national security information, no funding under this award shall be used to support a contract, sub-award, or other agreement for goods or services that will include access to classified national security information by the contractor, sub-awardee or other entity without prior written approval from the 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.
4. Such contracts, sub-awards, or other agreements shall be processed and administered in accordance with the DHS "Standard Operating Procedures, Classified Contracting by State and Local Entities," dated July 7, 2008; EOs 12829, 12958, 12968, as amended; the *National Industrial Security Program Operating Manual* (NISPOM); and/or other applicable implementing directives or instructions. All security requirement documents are located at: <http://www.dhs.gov/xopnbiz/grants/index.shtm>

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

DHS Office of Security ISPB contact information:

Telephone: 202-447-5346

Email: [DD254AdministrativeSecurity@dhs.Gov](mailto:DD254AdministrativeSecurity@dhs.Gov)

Mail: Department of Homeland Security  
Office of the Chief Security Officer  
ATTN: ASD/Industrial Security Program Branch  
Washington, D.C. 20528

**Q. GOVERNING PROVISIONS**

The following are incorporated into this Award by this reference:

31 C.F.R. 205	Rules and Procedures for Funds Transfers
2 C.F.R. 200	Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards
Application	Grant Application and Assurances dated as noted in file, as revised n/a.

**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-21-CIS-010-002/DHS-21-010-003, FY21 Citizenship and Integration
4. Application and Assurances dated as noted in file, as revised n/a.

# 2021 DHS Standard Terms and Conditions

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

## **Assurances, Administrative Requirements, Cost Principles, Representations and Certifications**

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

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

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

## **DHS Specific Acknowledgements and Assurances**

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

1. Recipients must cooperate with any compliance reviews or compliance investigations conducted by DHS.
2. Recipients must give DHS access to, and the right to examine and copy, records, accounts, and other documents and sources of information related to the federal financial assistance award and permit access to facilities, personnel, and other individuals and information as may be necessary, as required by DHS regulations and other applicable laws or program guidance.
3. Recipients must submit timely, complete, and accurate reports to the appropriate DHS officials and maintain appropriate backup documentation to support the reports.
4. Recipients must comply with all other special reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance.
5. Recipients of federal financial assistance from DHS must complete the *DHS Civil Rights Evaluation Tool* within thirty (30) days of receipt of the Notice of Award or, for State Administrative Agencies, thirty (30) days from receipt of the DHS Civil Rights Evaluation Tool from DHS or its awarding component agency. After the initial submission for the first award under which this term applies, recipients are required to provide this information once every two (2) years if they have an active award, not every time an award is made. Recipients should submit the completed tool, including supporting materials, to [CivilRightsEvaluation@hq.dhs.gov](mailto:CivilRightsEvaluation@hq.dhs.gov). This tool clarifies the civil rights obligations and related reporting requirements contained in the DHS Standard Terms and Conditions. Subrecipients are not required to complete and submit this tool to DHS. The evaluation tool can be found at <https://www.dhs.gov/publication/dhs-civil-rights-evaluation-tool>.

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

## **Standard Terms & Conditions**

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

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

### **II. Activities Conducted Abroad**

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

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

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

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

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

### **V. Best Practices for Collection and Use of Personally Identifiable Information**

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

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

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

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

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

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

## VIII. **Copyright**

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

## IX. **Debarment and Suspension**

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

## X. **Drug-Free Workplace Regulations**

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

## XI. **Duplication of Benefits**

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

## XII. **Education Amendments of 1972 (Equal Opportunity in Education Act) – Title IX**

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

## XIII. **Energy Policy and Conservation Act**

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

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

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

## XV. **Federal Debt Status**

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

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overpayments. (See [OMB Circular A-129](#).)

**XVI. Federal Leadership on Reducing Text Messaging while Driving**

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

**XVII. Flt America Act of 1974**

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

**XVIII. Hotel and Motel Fire Safety Act of 1990**

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

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

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

**XX. Lobbying Prohibitions**

Recipients must comply with [31 U.S.C. § 1352](#), which provides that none of the funds provided under a federal financial assistance award may be expended by the recipient to pay any person to influence, or attempt to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any federal action related to a federal award or contract, including any extension, continuation, renewal, amendment, or modification.

**XXI. National Environmental Policy Act**

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

**XXII. Nondiscrimination in Matters Pertaining to Faith-Based Organizations**

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

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

## **XXIII. Non-Supplanting Requirement**

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

## **XXIV. Notice of Funding Opportunity Requirements**

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

## **XXV. Patents and Intellectual Property Rights**

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

## **XXVI. Procurement of Recovered Materials**

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

## **XXVII. Rehabilitation Act of 1973**

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

## **XXVIII. Reporting of Matters Related to Recipient Integrity and Performance**

### **1. General Reporting Requirements**

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

### **2. Proceedings about Which Recipients Must Report**

Recipients must submit the required information about each proceeding that:

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

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procurement contract from the federal government;

- b. Reached its final disposition during the most recent five-year period; and
- c. One or more of the following:
  - 1) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;
  - 2) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;
  - 3) An administrative proceeding, as defined in paragraph 5, that resulted in a finding of fault and liability and the recipient's payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000; or
  - 4) Any other criminal, civil, or administrative proceeding if:
    - a) It could have led to an outcome described in this award term and condition;
    - b) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on the recipient's part; and
    - c) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

## 3. Reporting Procedures

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

## 4. Reporting Frequency

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

## 5. Definitions

For the purpose of this award term and condition:

- a. *Administrative proceeding*: means a non-judicial process that is adjudicatory in nature to decide fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the federal and state level but only in connection with performance of a federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.
- b. *Conviction*: means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

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- c. *Total value of currently active grants, cooperative agreements, and procurement contracts includes—*
  - 1) Only the federal share of the funding under any federal award with a recipient cost share or match; and
  - 2) The value of all expected funding increments under a federal award and options, even if not yet exercised.

## XXIX. **Reporting Subawards and Executive Compensation**

### 1. **Reporting of first tier subawards.**

- a. *Applicability. Unless the recipient is exempt as provided in paragraph 4 of this award term, the recipient must report each action that equals or exceeds \$30,000 in federal funds for a subaward to a non-federal entity or federal agency (See definitions in paragraph 5 of this award term).*
- b. *Where and when to report.*
  - 1) Recipients must report each obligating action described in paragraph 1 of this award term to the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS).
  - 2) For subaward information, recipients report no later than the end of the month following the month in which the obligation was made. For example, if the obligation was made on November 7, 2016, the obligation must be reported by no later than December 31, 2016.
- c. *What to report.* The recipient must report the information about each obligating action that the submission instructions posted at <http://www.fsrs.gov>.

### 2. **Reporting Total Compensation of Recipient Executives.**

- a. *Applicability and what to report.* Recipients must report total compensation for each of the five most highly compensated executives for the preceding completed fiscal year, if—
  - 1) The total federal funding authorized to date under this federal award equals or exceeds \$30,000 as defined in 2 C.F.R. § 170.320;
  - 2) In the preceding fiscal year, recipients received—
    - a) Eighty percent or more of recipients' annual gross revenues from federal procurement contracts (and subcontracts) and federal financial assistance subject to the *Federal Funding Accountability and Transparency Act* (Transparency Act), as defined at 2 C.F.R. § 170.320 (and subawards); and
    - b) \$25,000,000 or more in annual gross revenues from federal procurement contracts (and subcontracts) and federal financial assistance subject to the Transparency Act, as defined at 2 C.F.R. § 170.320 (and subawards); and
    - c) The public does not have access to information about the compensation of the executives through periodic reports filed under Section 13(a) or 15(d) of the *Securities Exchange Act of 1934* (15 U.S.C. 78m(a), 78o(d)) or Section

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6104 of the Internal Revenue Code of 1986. (See the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>. to determine if the public has access to the compensation information.)

- 3) *Where and when to report.* Recipients must report executive total compensation described in paragraph 2.a. of this award term:
  - a) As part of the recipient's registration profile at <https://www.sam.gov>.
  - b) By the end of the month following the month in which this award is made, and annually thereafter.

## 3. Reporting of Total Compensation of Subrecipient Executives.

- a. *Applicability and what to report.* Unless recipients are exempt as provided in paragraph 4. of this award term, for each first-tier subrecipient under this award, recipients shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if—
  - 1) In the subrecipient's preceding fiscal year, the subrecipient received—
    - a) Eighty percent or more of its annual gross revenues from federal procurement contracts (and subcontracts) and federal financial assistance subject to the Transparency Act, as defined at 2 C.F.R. § 170.320 (and subawards); and
    - b) \$25,000,000 or more in annual gross revenues from federal procurement contracts (and subcontracts), and federal financial assistance subject to the Transparency Act (and subawards); and
  - 2) The public does not have access to information about the compensation of the executives through periodic reports filed under Section 13(a) or 15(d) of the *Securities Exchange Act of 1934* (15 U.S.C. 78m(a), 78o(d)) or Section 6104 of the Internal Revenue Code of 1986. (See the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>. to determine if the public has access to the compensation information.)
- b. *Where and when to report.* Subrecipients must report subrecipient executive total compensation described in paragraph 3.a. of this award term:
  - 1) To the recipient.
  - 2) By the end of the month following the month during which recipients make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (*i.e.*, between October 1 and 31), subrecipients must report any required compensation information of the subrecipient by November 30 of that year.

## 4. Exemptions

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

- a. Subawards, and
- b. The total compensation of the five most highly compensated executives of any subrecipient

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

- a. **Federal Agency** means a federal agency as defined at 5 U.S.C. 551(1) and further clarified by 5 U.S.C. 552(f).
- b. **Non-Federal Entity:** means all the following, as defined in 2 C.F.R. Part 25:
  - 1) A Governmental organization, which is a state, local government, or Indian tribe;
  - 2) A foreign public entity;
  - 3) A domestic or foreign nonprofit organization;
  - 4) A domestic or foreign for-profit organization;
- c. **Executive:** means officers, managing partners, or any other employees in management positions.
- d. **Subaward:** means a legal instrument to provide support for the performance of any portion of the substantive project or program for which the recipient received this award and that the recipient awards to an eligible subrecipient.
  - 1) The term does not include recipients' procurement of property and services needed to carry out the project or program (for further explanation, see 2 C.F.R. § 200.331).
  - 2) A subaward may be provided through any legal agreement, including an agreement that a recipient or a subrecipient considers a contract.

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- e. *Subrecipient*: means a non-federal entity or federal agency that:
  - 1) Receives a subaward from the recipient under this award; and
  - 2) Is accountable to the recipient for the use of the federal funds provided by the subaward.
- f. *Total compensation*: means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (see 17 C.F.R. § 229.402(c)(2)):
  - 1) *Salary and bonus*.
  - 2) *Awards of stock, stock options, and stock appreciation rights*. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - 3) *Earnings for services under non-equity incentive plans*. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives and are available generally to all salaried employees.
  - 4) *Change in pension value*. This is the change in present value of defined benefit and actuarial pension plans.
  - 5) *Above-market earnings on deferred compensation which is not tax-qualified*.
  - 6) *Other compensation*, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## XXX. **SAFECOM**

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

## XXXI. **Terrorist Financing**

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

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

Trafficking in Persons.

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

- a. Recipients, the employees, subrecipients under this award, and subrecipients' employees may not—
  - 1) Engage in severe forms of trafficking in persons during the period of time the award is in effect;
  - 2) Procure a commercial sex act during the period of time that the award is in effect; or
  - 3) Use forced labor in the performance of the award or subawards under the award.

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- b. DHS may unilaterally terminate this award, without penalty, if a recipient or a subrecipient that is a private entity —
  - 1) Is determined to have violated a prohibition in paragraph 1.a of this award term; or
  - 2) Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph 1.a of this award term through conduct that is either—
    - a) Associated with performance under this award; or
    - b) Imputed to recipients or subrecipients using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 C.F.R. Part 180, "OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Nonprocurement)," as implemented by our agency at 2 C.F.R. Part 3000.

## **2. Provision applicable to recipients other than a private entity.**

- DHS may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity—
- a. Is determined to have violated an applicable prohibition in paragraph 1.a of this award term; or
  - b. Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph 1.a of this award term through conduct that is either—
    - 1) Associated with performance under this award; or
    - 2) Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 C.F.R. Part 180, "OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Nonprocurement)," as implemented by our agency at 2 C.F.R. Part 3000.

## **3. Provisions applicable to any recipient.**

- a. Recipients must inform DHS immediately of any information received from any source alleging a violation of a prohibition in paragraph 1.a of this award term.
- b. It is DHS's right to terminate unilaterally that is described in paragraph 1.b or 2 of this section:
  - 1) Implements TVPA, Section 106(g) as amended by 22 U.S.C. 7104(g)), and
  - 2) Is in addition to all other remedies for noncompliance that are available to us under this award.
- c. Recipients must include the requirements of paragraph 1.a of this award term in any subaward made to a private entity.

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

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

## XXXIII. **Universal Identifier and System of Award Management**

### 1. Requirements for System for Award Management and Unique Entity Identifier

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

### 2. Definitions

For purposes of this term:

- a. *System for Award Management (SAM)*: means the federal repository into which a recipient must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found on SAM.gov.
- b. *Unique Entity Identifier*: means the identifier assigned by SAM to uniquely identify business entities.
- c. *Entity*: includes non-Federal entities as defined at 2 C.F.R. § 200.1 and includes the following, for purposes of this part:
  - 1) A foreign organization;
  - 2) A foreign public entity;
  - 3) A domestic for-profit organization; and

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- 4) A federal agency.
- d. *Subaward*: means a legal instrument to provide support for the performance of any portion of the substantive project or program for which a recipient received this award and that the recipient awards to an eligible subrecipient.
  - 1) The term does not include the recipients' procurement of property and services needed to carry out the project or program (for further explanation, see 2 C.F.R. § 200.330).
  - 2) A subaward may be provided through any legal agreement, including an agreement that a recipient considers a contract.
- e. *Subrecipient* means an entity that:
  - 1) Receives a subaward from the recipient under this award; and
  - 2) Is accountable to the recipient for the use of the federal funds provided by the subaward.

## **XXXIV. USA PATRIOT Act of 2001**

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

## **XXXV. Use of DHS Seal, Logo and Flags**

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

## **XXXVI. Whistleblower Protection Act**

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



Homeland  
Security

**ADMINISTRATIVE AND FINANCIAL REVIEW QUESTIONNAIRE FOR NEW  
RECIPIENTS  
DHS Assistance Agreement Reviews**

**Introduction**

Your organization has been identified as a possible recipient of a federal award from the Department of Homeland Security (DHS), Grants and Financial Assistance Division (GFAD). As a recipient of federal funds, 2 C.F.R. 200.205 requires DHS perform a pre-award risk-based assessment of your organization's ability to perform its federal award obligations. This questionnaire asks about your organization's administrative and financial policies, procedures, accounting and management of federal assistance agreements.

This questionnaire requires "Yes" or "No" responses. Please check the appropriate box for each question. In some cases, a written response is required. Please type or write your responses in the question box. You may also use the space included on the last page and include or attach additional sheets if necessary to provide a full response.

This questionnaire and any necessary follow-up must be completed prior to issuance of a federal award. Therefore it is important that this questionnaire be completed, signed and returned **within 10 business days** of receipt.

<b>Recipient Name and Address:</b>	
<b>Website URL:</b>	

<b>Responding Individuals</b>			
<b>Name</b>	<b>Title</b>	<b>Phone Number(s)</b>	<b>E-mail</b>

<b>Name and Title of Responsible Individual</b>	
<b>Signature of Responsible Individual</b> <i>I certify that the information contained in this questionnaire is complete and correct to the best of my knowledge and understand that failure to provide complete and correct information may result in award termination or other remedies.</i>	<b>Date</b>

## I. PRIOR FEDERAL ACTIVITY

1. Has your organization received funding from any federal agencies? Yes ☐ No ☐

*If yes, list the awards for the last ten years below.*

Federal Agency	Funding Amount	Budget Period	Project Title

2. Does your organization have the following documents for each of your federal financial assistance agreements that are open or were closed within the past 3 years?

	Yes	No	N/A
a. Original application and certifications (SF 424, 424A, et al.);	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Work plans and/or statement of work;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Initial award and all amendment documents;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Request for and approvals of scope and/or budget changes;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Federal Financial Reports and reimbursement requests, if applicable;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Payment requests backed up by financial records to support the request;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. Progress/Performance reports;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h. Contracts/Subgrants;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
i. Purchases;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
j. Consultant agreements;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
k. Correspondence and approvals, including emails to and from federal award specialists	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**3. In the last 3 years, has a federal agency categorized your organization as “high risk”?** Yes ☐ No ☐

*If yes, provide a detailed explanation.*

**4. In the last 3 years, has a federal agency placed special terms and conditions, denied funding or increased monitoring on any of your federal awards due to your organization’s non-performance of its project obligations or any other reason?**

Yes ☐ No ☐

*If yes, provide a detailed explanation.*

**5. Has your organization ever had a federal award or subaward terminated or canceled “for cause” due to your organization’s non-performance of its project obligations or any other reason?**

Yes ☐ No ☐

*If yes, provide a detailed explanation.*

**6. Has your organization or any employees, students or agents who may serve as key personnel on a federal award ever been debarred, suspended or otherwise excluded from or found ineligible for participation in federally supported programs or activities?**

Yes ☐ No ☐

*If yes, provide a detailed explanation.*

## II. ACCOUNTING AND FINANCIAL MANAGEMENT

**1. Is your organization familiar with the Uniform Administrative Requirements, Cost Principles and Audit Requirements (2 CFR 200) for federal awards which outline the regulation and guidelines for the determination of costs in connection with federal assistance agreements?**

Yes ☐ No ☐

**2. OMB Uniform Guidance requires organizations receiving federal assistance agreements to have written policies and procedures for the following areas. Do your policies and procedures address the items described below?**

	Yes	No	N/A
<b>a.</b> Personnel, including qualifications for each position, duties and responsibilities, salary ranges, EEO, annual performance appraisals, types and levels of fringe benefits, and standards of conduct governing duties and responsibilities including disciplinary actions for not adhering to the standards, for employees engaged in the award and administration of grants.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>b.</b> Time reporting, tracked to each project;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>c.</b> Redistributions (Chargebacks); (i.e., other organizational department costs; written, established rates required);	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>d.</b> Payroll processing and internal controls;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>e.</b> Overtime (if allowed);	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>f.</b> Vacation and Sick Leave (if offered by your organization);	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>g.</b> Compensatory time (if allowed);	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>h.</b> Equipment and property purchases including cost and price analysis, purchase, use of, inventory and disposition of at the end project.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>i.</b> Electronic Funds Transfer (EFT) drawdowns from Federal payment accounts. Does your policy address who is authorized to request payment from the Federal Government; what procedures are used to verify that the requests are accurate; what support documents are required; and when drawdown of funds will occur?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>j.</b> Receipt and deposit of advance payments;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>k.</b> Records retention;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>l.</b> Travel authorizations, vouchering after the trip and, if required, trip reporting;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>m.</b> Procurement standards for supplies, expendable property, equipment, real property and services. Standards for contracting, purchasing, consultant agreements, sub-awards or grants (if applicable, especially for monitoring sub awardees) and other types of awards that transfer federal funds outside of your organization;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>n.</b> Provisions for utilizing Small Business, Minority Owned Firms, Women-Owned Business Enterprises, and Labor Surplus Area Firms (where possible);	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>o.</b> Program Income. Is it identified, authorized, accounted for, and are limitations placed on its use;	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>p.</b> Cost sharing, matching and In-Kind contributions. Is it identified, accounted for and reported?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

3. Does your organization's accounting and financial management system(s) follow Generally Accepted Accounting Principles (GAAP)? Yes ☐ No ☐
4. Does your organization have a written accounting manual or written policies and procedures for managing finances? Yes ☐ No ☐
5. Does your organization have written procedures to ensure that costs charged to federal grants are reasonable, allocable and allowable? Yes ☐ No ☐
6. Does your organization have requirements for adequate separation of duties or internal controls so that the funds are safeguarded and used only for allowable costs? Yes ☐ No ☐
7. Does your organization's financial management system(s) provide effective control over, and accountability for all funds, property and other assets, including ensuring that all such assets are used solely for purposes authorized by the awards? Yes ☐ No ☐
8. Does your financial management system identify the source and application of funds with records that show obligations, unobligated balances, assets, outlays, income and interest? Yes ☐ No ☐
9. Does your organization's financial management system track revenues and expenditures and provide financial results separately for each Federal assistance agreement project or program? Yes ☐ No ☐
10. Does your organization's financial system provide for the control and accountability of Federal funds, property/equipment and other assets, including controls to prevent expenditures in excess of approved, budgeted amounts? Yes ☐ No ☐
11. Does your organization monitor allowable costs to ensure they are charged to the grant within the specified period? Yes ☐ No ☐
12. Does your organization have procedures for receiving and depositing advanced payments or other federal funds into an interest bearing account and for minimizing the time elapsing between receiving the advanced funds and disbursing them (usually within 5 business days) for the intended expenditures? Yes ☐ No ☐
13. Does your organization maintain source documentation to support entries into your financial or accounting system? Yes ☐ No ☐

14. Does your organization have procedures for reporting and updating information for subrecipients (including executive compensation) receiving \$25,000 or more in assistance in the Federal Funding Accountability & Transparency Act Subaward Reporting System (FSRS)? ([www.fsrs.gov](http://www.fsrs.gov)) Yes ☐ No ☐

15. Does your organization have procedures for preparing and submitting Interim/Final Federal Financial Reports (SF-425) as required at least annually by a federal agency? Yes ☐ No ☐

16. Does your organization have a policy for retaining financial and supporting records for a minimum of 3 years after the award is closed? Yes ☐ No ☐

17. Has your organization ever received an independent certified public account (CPA) review or an audit? (If yes, please attach a copy of the most recent report and any management letters issued.) Yes ☐ No ☐

18. Did your organization expend more than \$750,000 of federal funds in the most recent fiscal year and subject to 2 CFR Part 200, Subpart F Single Audit (formerly A-133)? Yes ☐ No ☐

- a. If yes, has your Single Audit Report been uploaded to the Federal Audit Clearinghouse (FAC)? Yes ☐ No ☐ (If no, please attach a copy.)
- b. In the past 3 years have any material weaknesses been identified in your organization's single audit reports? Yes ☐ No ☐

**Use this section to provide additional relevant information.**

**CLEAR**

**SAVE**