

DHS SCIENCE AND TECHNOLOGY

Arctic Domain Awareness Center of Excellence
Annual Meeting Theme: Transition

November 29-30, 2017



**Homeland
Security**

Science and Technology

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Office of University Programs

Science and Technology Directorate

Funding Opportunity Announcement - Transition

- Lead institutions are required to **develop and implement an overarching strategic approach** for transitioning their research and education results to end user organizations.
- A significant **focus of the Center will be on transitioning research outputs and outcomes for use by DHS operational components**, other homeland security end users, policy makers, decision-makers across all levels of government, first responders, and community leaders. The DHS COEs must **form teams of qualified professionals** with the complementary skills necessary to transition research results from the research laboratory into the hands of homeland security end users. This includes understanding customer relations, market assessments, intellectual property rights, commercialization, operations and maintenance, and training.

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- **Invite end users**, such as DHS component representatives or first responders, **to work with principal investigators** as they develop and implement their research and transition plans.
- Lead institutions are encouraged to develop proposals that include administrative support for facilitating transition, such as a staff member dedicated to assisting project leads with developing transition plans and the partnerships needed for successful transition, including with end users or the private sector. COEs are encouraged **to leverage capabilities and resources offered through their university technology transfer offices**, in order to protect intellectual property by filing invention disclosures, patents, and licensing agreements.

Administrative Terms and Conditions

Research Project and Management Award Specific Terms and Conditions and/or Restrictions:

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

General Terms and Conditions

Intellectual Property 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>.

General Terms and Conditions

Intellectual Property Data Rights:

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

- a. Any data that is first produced under this 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.

General Terms and Conditions

Additional Requirements:

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

General Terms and Conditions

Additional Requirements (continued):

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 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.

General Terms and Conditions

Additional Requirements (continued):

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

General Terms and Conditions

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

- a. **Acknowledgement.** “This material is based upon work supported by the U.S. Department of Homeland Security under Grant Award Number {insert Award Number as outlined in Item #5 on Notice of Award cover page}
- 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).

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

General Terms and Conditions

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



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