

# DHS Science and Technology Directorate

## Compliance Assurance Program Office

### What you should know about the CAPO before you start your project/research

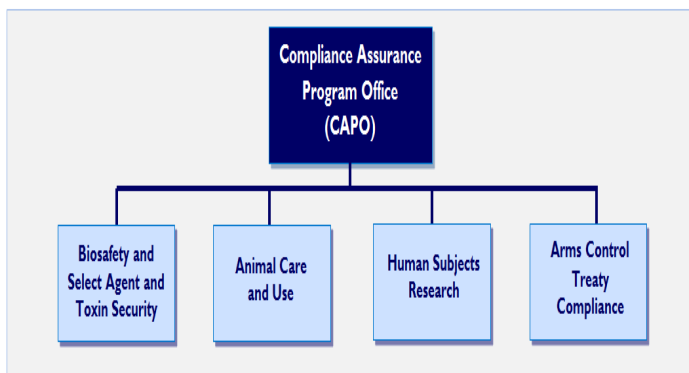
The Department of Homeland Security (DHS) Science and Technology Directorate, Compliance Assurance Program Office (CAPO) provides compliance support and oversight functions to ensure DHS-funded activities are compliant with relevant international agreements, federal regulations, DHS policies and related standards and guidance.

### Two teams – one goal

The CAPO comprises two teams that conduct reviews to ensure DHS-funded activities are compliant with relevant international agreements, federal regulations, DHS policies and related standards and guidance.

**Treaty Compliance team:** reviews DHS-sponsored activities involving biological and/or chemical agents for arms control compliance and convenes the Compliance Review Group.

**Regulatory Compliance team:** reviews DHS-sponsored activities involving biological laboratory work, select agents and toxins security, work with recombinant/synthetic nucleic acid molecules, dual use research of concern and research involving human subjects and animals.



*Compliance Assurance Program Office Responsibilities—CAPO leverages existing regulatory authorities, and institutional and federal oversight to ensure Department-wide compliance with DHS policies for Biosafety, Select Agent and Toxin Security, Animal Care and Use, Human Subjects Research, and Arms Control Treaties.*

### When is the CAPO review required?

Projects subject to review include:

- All work, including classified research with biological and/or chemical agents, surrogates, simulants or genomic fragments

- Work involving select agents and toxins
- Working involving recombinant or synthetic nucleic acids
- Any research, development, demonstration, testing and/or evaluation that involves interacting with or collecting information from living persons
- Work involving animal care and use
- Non-laboratory activities, such as classified research related to biological and /or chemical agents, simulants, including but not limited to, information related to the development, production, dissemination, use, transmission or disposition of biological and/or chemical agents (e.g., literature reviews, simulations and modeling activities)

### When should you contact the CAPO?

Program managers should contact the CAPO for assistance in determining whether a review is required for all DHS activities that potentially fall into one or more the above categories upon inception and prior to funding approval. The scope of compliance review is broad and includes but is not limited to the following activities:

- Sponsored and/or funded by DHS, wherever performed, even if under another agency's contracting authority
- Performed with an international partner
- Performed under DHS contract or subcontract
- Performed by DHS grant awardees or sub-awardees
- Conducted under a cooperative agreement or other transaction or arrangement with DHS
- Funded by another agency but performed in a DHS facility

### What we have accomplished

- Reviewed more than 1000 chem/bio projects for treaty compliance since 2006
- Conducted more than 40 documentation-based reviews and more than 50 on-site reviews/inspections of facilities performing biological laboratory work for DHS
- Completed approximately 150 compliance assessments for DHS-funded human subject research projects
- Completed eight DHS-wide data calls for dual use research of concern reporting to the White House



**Homeland Security**

Science and Technology

To learn more about CAPO contact the treaty team at [TreatyCompliance@hq.dhs.gov](mailto:TreatyCompliance@hq.dhs.gov) or the regulatory team at [STRegulatorycompliance@hq.dhs.gov](mailto:STRegulatorycompliance@hq.dhs.gov)