



DEPARTMENT OF DEFENSE

Research and Education Program for Historically Black Colleges and Universities and
Minority-Serving Institutions (HBCU/MI)

1 August 2024 – 31 July 2029

Funding Opportunity Announcement
W911NF24S0009

Issued by
U.S. Army Contracting Command-Aberdeen Proving Ground Research
Triangle Park Division on behalf of the
U.S. Army Combat Capabilities Command-Army Research Laboratory
(DEVCOM-ARL) and
The Office of the Under Secretary of Defense for Research and Engineering/ Assistant
Secretary of Defense (Science and Technology)
(OUSD(R&E)/ASD(S&T))

Issued: August 2024

Applications Due: Open Continuously until 31 July 2029

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I. PROGRAM DESCRIPTION

A. Required Overview Content

1. Federal Agency Name(s)
The Research and Education Program for Historically Black Colleges and Universities/Minority-Serving Institutions (HBCU/MI), funded by the Office of the Under Secretary of Defense for Research and Engineering/ Assistant Secretary of Defense (Science and Technology), will be administered through DEVCOM ARL.
2. Funding Opportunity Title
Department of Defense Research and Education Program for Historically Black Colleges and Universities and Minority-Serving Institutions (HBCU/MI)
3. Announcement Type
This is a new announcement.
4. Funding Opportunity Number
W911NF24S0009
5. Catalog of Federal Domestic Assistance (CFDA) Number
12.630, Basic, Applied, and Advanced Research in Science and Engineering
6. Key Dates
This Funding Opportunity Announcement (FOA) is open from the date of issuance through 31 July 2029, unless otherwise amended.

B. Additional Overview Information

1. Under the authority of 10 U.S.C. § 4144 the Department of Defense (DoD) announces this Research and Education Program for Historically Black Colleges and Universities and Minority-Serving Institutions. The program is executed under policy and guidance of the (OUSD(R&E)/ASD(S&T) and administered through the DEVCOM ARL.
2. The Army has a long history of supporting research and education at Historically Black Colleges and Universities and Minority-Serving Institutions. The DoD, in cooperation with the DEVCOM ARL, is leading new initiatives based on 10 U.S.C. § 4144, which directs DoD to provide assistance to HBCUs and MIs (hereafter ‘covered educational institutions’) to enhance their defense-related research and education capabilities in areas of importance to national defense; increase the number of graduates in disciplines important to the national security functions of the Department; and encourage research and educational collaborations with other institutions of higher education. Also informing these initiatives are the DoD-wide Strategy for Engagement with HBCUs/MIs based on section 233 of the FY 2016 National Defense Authorization Act (NDAA), section 262 of the NDAA for FY 2020., section 220 of the NDAA for FY 2022, and section 223 of the NDAA for FY 2022.
3. The DoD and the Nation need the best scientists and engineers to sustain defense capabilities. This can be accomplished through partnerships with, and support of, Institutions of Higher Education (IHE). The DoD will address this need by supporting

innovative research and education programs that encourage students to pursue careers in science, technology, engineering and mathematics (STEM), particularly at covered educational institutions.

4. The DEVCOM ARL invites applications from covered educational institutions that meet the 10 U.S.C. § 4144 objective to enhance defense-related research and education. The statutory objective shall be accomplished through initiatives designed to:
 - enhance the research and educational capabilities in areas of importance to national defense;
 - increase the number of graduates STEM disciplines; and
 - encourage research and educational collaborations between such institutions and other institutions of higher education, Government defense organizations, and the defense industry.
5. Support for research and research-related educational enhancements will be achieved through competitively awarded grants and cooperative agreements. Applications should reflect the unique needs and capabilities of the applicant institution and explain how the proposed project will support the above objective.
6. Applications are requested in areas of scientific interest to the DoD. These areas of scientific interest are defined through Broad Agency Announcements (BAAs) and Funding Opportunity Announcements (FOAs) published by the DEVCOM ARL for the Army and in support of the OUSD(R&E). Detailed information about the Army's respective areas of interest is available at the following website

DEVCOM ARL: <https://arl.devcom.army.mil/collaborate-with-us/opportunity/arl-baa/>. This BAA may also be found on Grants.gov (<https://www.grants.gov>) by entering the BAA number in the "Search Grants" keyword box.
7. The scope of an application should align with (1) the DoD (OUSD(R&E)/ASD(S&T) critical technology priorities set forth in the February 1, 2022 guidance USD(R&E) Technology Vision for an Era of Competition. The (OUSD(R&E)/ASD(S&T) guidance memo is at: https://www.cto.mil/wp-content/uploads/2022/02/usdre_strategic_vision_critical_tech_areas.pdf. The critical technology priorities rely on innovation and workforce talent. The critical technology areas are:
 - a. Biotechnology
 - b. Quantum Science
 - c. Future Generation Wireless Technology (Future G)
 - d. Advanced Materials
 - e. Trusted Artificial Intelligence and Autonomy
 - f. Integrated Network Systems-of-Systems
 - g. Microelectronics
 - h. Space Technology

- i. Renewable Energy Generation and Storage
- j. Advanced Computing and Software
- k. Human-Machine Interfaces
- l. Directed Energy
- m. Hypersonics
- n. Integrated Sensing and Cyber
- o. Other Defense priorities as defined in the 2022 National Defense Strategy

Additional information and questions about the critical technology areas should be directed to Agency Contacts identified in Section II.O. of this FOA. Other research areas that are not aligned with the (OUSD(R&E)/ASD(S&T) critical technology priorities listed in I.B.7 will be considered. The DEVCOM ARL BAA listed above under I.B.6 provides other research areas of interest to the DoD.

8. The DoD follows a risk-based security review process designed to help protect critical technology and performer intellectual property associated with Defense research projects by identifying possible vectors of undue foreign influence. The DoD will create risk assessments of all proposed senior/key personnel selected for awards. The risk assessment process will be conducted separately from the technical or scientific review process and adjudicated prior to final award.

II. FEDERAL AWARD INFORMATION

A. Program Overview

1. Projects proposed for funding under this FOA must align with the research interests of the DoD and the Army. As defined by DoD, “basic research” is systematic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications towards processes or products in mind. It includes all scientific study and experimentation directed toward increasing fundamental knowledge and understanding in those fields of the physical, engineering, environmental, life sciences, and information sciences related to long-term national security needs. “Applied research” is systematic study to understand the means to meet a recognized and specific need. It is a systematic expansion and application of knowledge to develop useful materials, devices, and systems or methods. Expanded definitions are detailed in DoD 7000.14-R, Financial Management Regulation, Volume 2B, Chapter 5. The regulation is available at: https://comptroller.defense.gov/Portals/45/documents/fmr/current/02b/02b_05.pdf.
2. Applications should describe how the proposed project will enhance defense-related research and research-related education pursuant to the objective and initiatives defined by 10 U.S.C § 4144 and should demonstrate alignment with one or more of the DoD critical technology areas or ARL research areas. Applicants are encouraged to consider innovative approaches that will enhance their institution’s science and engineering programs, strengthen the institution’s competitiveness in defense research programs, attract students by exposing them to state-of-the-art research, and encourage careers in STEM disciplines.
3. The DoD will not prescribe an approach for an application; instead, it expects applicants to reflect on the unique needs and capabilities of their respective

institution. Methods through which the statutory objective can be achieved are as varied as the institutions. Factors such as research capabilities and facilities are unique to each institution and should be considered when preparing an application.

B. Federal Award Information

1. The Government reserves the right to select for award all, some, or none of the applications submitted in response to this announcement. Due to Government budget uncertainties, no specific amounts have been reserved for awards under this FOA. If an Applicant is interested in submitting an application under this FOA and has not previously submitted a preliminary inquiry under Section D. below, it is highly recommended to contact Ms. Evelyn Kent before preparing a whitepaper or submitting a full application.
2. Authority: The Army Contracting Command – Aberdeen Proving Ground – Research Triangle Park Division (ACC-APG-RTP) has the authority to award a variety of instruments on behalf of DEVCOM ARL. Awards under this FOA may be a grant or a cooperative agreement. The type of award will depend on the scope of project. Applicants may propose scholarships or fellowships that will be issued through the authority of the grant or cooperative agreement. The ACC-APG RTP Division reserves the right to select the type of award most appropriate for the effort proposed. Applicants should become familiar with award types and applicable regulations, described below.
3. Grant: A legal instrument that, consistent with 31 U.S.C. § 6304, is used to enter into a relationship:
 - The principal purpose of which is to transfer a thing of value to the recipient to carry out a public purpose of support or stimulation authorized by a law of the United States, rather than to acquire property or services for the Federal Government's direct benefit or use.
 - In which substantial involvement is not expected between the Federal Government and the recipient when carrying out the activity contemplated by the grant.
 - No fee or profit is allowed.
4. Cooperative Agreement: A legal instrument which, consistent with 31 U.S.C. § 6305, is used to enter into the same kind of relationship as a grant except that substantial involvement is expected between the Federal Government and the recipient when carrying out the activity contemplated by the cooperative agreement. The term does not include "cooperative research and development agreements" as defined in 15 U.S.C. § 3710a. No fee or profit is allowed.

Grants and cooperative agreements are governed by the following:

- Federal statutes
- Federal regulations
- 2 CFR Part 200
- 2 CFR Part 1104,

- 32 CFR Parts 21, 22, 26 and 28
 - DoD Research and Development General Terms and Conditions
 - Agency-specific Research Terms and Conditions
5. The following websites may be accessed to obtain an electronic copy of the governing regulations and terms and conditions:
 - a. Code of Federal Regulations (CFR): <http://www.ecfr.gov>
 - b. DoD Research and Development General Terms and Conditions: <https://www.nre.navy.mil/work-with-us/manage-your-award/manage-grant-award/grants-terms-conditions>
 - c. Agency-specific Research Terms and Conditions: <https://www.arl.army.mil/resources/baa-forms/#terms-and-conditions>

C. Eligibility Information

1. Eligible Applicants

As provided in 10 U.S.C. § 4144, eligibility for this competition is open only to “covered educational institutions,” which are defined as:

- a. institutions of higher education eligible for assistance under Title III or Title V of the Higher Education Act of 1965 (20 U.S.C. 1051 et seq.); or
- b. accredited post-secondary minority institutions.

Eligible applicants include community colleges or other two-year degree granting institutions meeting the definition of a “covered educational institution.”

Enrollments, accreditation, and other factors may affect an institution’s eligibility in any given year. With the exception of HBCUs and Tribal Colleges and Universities (TCUs), an institution must apply to the Department of Education (DoEd) each year for eligibility under Title III or Title V. A copy of the DoEd letter certifying eligibility for Title III or Title V assistance **in the year of the application to this FOA** must be included with each application. The eligibility letter will not be included in the page limit (see Section II.G.3. below). If the DoEd eligibility letter is not submitted with the application, the applicant will be deemed ineligible, and the application will not be considered by DoD.

2. Cost Sharing or Matching - Cost sharing or matching is not required and is not an evaluation factor.

3. Other - Faculty and/or post-doctoral associates at the applicant institution may participate in the project and assist the PI as co-PI or in another capacity. HBCUs/MIs applying under this FOA may propose collaborations with up to two degree-granting IHEs. Collaborations with entities other than degree-granting IHEs such as United States defense organizations, Federally Funded Research and Development Centers, and the defense industry are permitted however the non-IHE entity cannot receive any direct or subaward funding from the grant or cooperative agreement award(s). Collaborations with foreign entities are not allowed. All proposed collaborations should be explained in the narrative and in the budget justification.

D. Application and Submission Information

1. Preliminary Inquiries: Applicants are encouraged to make preliminary inquiries to the Technical Point of Contact (TPOC) for this FOA, Ms. Evelyn Kent, at Evelyn.W.Kent.civ@mail.mil to discuss the type of research effort being contemplated. A whitepaper may be requested; if so, please follow the instructions below. NOTE: the Government will not be obligated by discussions arising out of preliminary inquiries.
2. Classified submissions will not be accepted under this FOA.
3. Whitepaper Preparation
 - (a) Whitepapers should outline the proposed research, including how it is innovative, how it is expected to increase state-of-the-art knowledge in the proposed research area, and how the project will impact STEM education at the applicant institution. If collaborator(s) are anticipated, describe their participation and the impact on their respective institution(s). If the collaborator is an IHE, describe the impact on their research and education programs and their STEM students. Describe the project's relevance to the DoD critical technology areas or ARL research areas and the potential impact on the defense mission, if known.
 - (b) Whitepapers are limited to seven (7) pages including five (5) pages for technical content, a cover page and a one-page addendum as described below. Pages exceeding these limits will not be reviewed or considered.
 - (c) Whitepapers must comply with the guidelines below. No forms are required for whitepaper submission.
 - Page Size: 8 ½ x 11 inches
 - Margins – 1 inch
 - Spacing – single
 - Font – Times New Roman, 12 point
 - PDF document as attachment to email directed to TPOC at above address.
 - (d) Format and content of whitepapers:
 - a. Cover Page (not to exceed one page): The whitepaper cover page must include: Title of the whitepaper; name of the Principal Investigator (PI) and the institution submitting the whitepaper; the research area from the DEVCOM ARL FOA against which the whitepaper is submitted (see page 4 of this FOA).
 - b. Technical Content (not to exceed five pages):
 - i. Provide a detailed discussion of the proposed effort including the research objective, approach, relationship to similar research, and student involvement. Include the nature and extent of the anticipated results and, if applicable, the manner in which the project will align with DoD priorities.

- ii. The type of support, if any, the applicant requests of the Government, such as use of government facilities, demonstration sites, test ranges, software, personnel or materials, shall be identified as Government Furnished Equipment (GFE), Government Furnished Information (GFI), Government Furnished Property (GFP), or Government Furnished Data (GFD). Applicants shall indicate any Government coordination that may be required for obtaining usage of government equipment or facilities that may be necessary to perform simulations or exercises to demonstrate the proposed capability. As noted under Funding Restrictions, of this FOA, the acquisition of equipment or instrumentation will not be funded under this FOA.
- iii. The cost portion of the whitepaper shall contain a brief cost estimate including personnel hours, materials and supplies, travel, scholarships, stipends, and other anticipated expenses.

c. Addendum (not to exceed one page): Provide biographical sketches of the PI and key personnel, highlighting qualifications and experience in the proposed research area.

(e) Restrictive Markings on Whitepapers: Proprietary data that the applicant intends to be used only for evaluation purposes must be clearly marked. Also identify any components of the whitepaper that are to be treated by the Government as limited rights in technical data and/or restricted rights in computer software. In the absence of such markings, the Government will conclude that there are no restrictions. All whitepapers will be treated as procurement sensitive and contents will be disclosed only for evaluation purposes. Applicants and any collaborators are cautioned, however, that whitepapers may be subject to release under terms of the Freedom of Information Act, 5 U.S.C. 552, as amended.

4. Full Application Preparation and Submission (Read the following instructions carefully):

The DoD is participating in the Grants.gov initiative to provide a single site to find and apply for funding opportunities. Applications to this FOA must be submitted through Grants.gov. Registration at the web site is required, as described below. This funding opportunity may be found on Grants.gov by going to 'Search Grants' screen and entering the funding opportunity number for this FOA, W911NF24S0009, in the Funding Opportunity search box.

1. How to Register in Grants.gov:

Applicants should read the registration instructions carefully and assemble required information specific to the applicant institution before beginning the registration process. Organizations must have a Unique Entity Identifier (UEI), active registration in the System for Award Management (SAM), and a Grants.gov account.

Creating a Grants.gov account can be completed online in minutes, but an UEI and SAM registrations may take several weeks. Complete instructions can be found here: <https://www.grants.gov/web/grants/applicants/organization-registration.html>

a. Obtain an UEI: All entities applying for funding must have an UEI. Applicants must enter the UEI in the data entry field labeled "Unique Entity Identifier" on the Standard Form (SF) 424 form.

Instructions to obtain an UEI are available at:

<https://www.grants.gov/applicants/applicant-registration>

b. Register with SAM: Organizations applying through Grants.gov must register with the System for Award Management (SAM). SAM registration must be renewed annually. Instructions for registering with SAM are available at: <https://www.grants.gov/applicants/applicant-registration>

c. Create a Grants.gov Account: The next step is to register an account with Grants.gov. Follow the on-screen instructions or refer to the instructions at: -

<https://www.grants.gov/applicants/applicant-registration>

d. Add a Profile to a Grants.gov Account: A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all of your grant applications. To add an organizational profile to your Grants.gov account, enter the UEI for the organization in the UEI field while adding a profile. Instructions are available at: <https://www.grants.gov/applicants/applicant-registration>

e. EBiz POC Authorized Profile Roles: After registering with Grants.gov and creating an Organization Applicant Profile, the organization applicant's request for Grants.gov roles and access is sent to the EBiz POC. The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the Authorized Organization Representative (AOR) role, thereby giving permission to complete and submit applications on behalf of the organization. Applications may be submitted online at any time after establishing an AOR at the applicant institution. Instructions for creating a profile on Grants.gov are available at: <https://www.grants.gov/applicants/applicant-registration>

f. Track Role Status: To track your role request, refer to:

<https://www.grants.gov/applicants/applicant-registration>

g. Electronic Signature: When applications are submitted through Grants.gov, the name of the organization applicant with the AOR role (Block #19 on the SF-424) is inserted into the signature line of the application; this is the electronic signature. The EBiz POC must authorize people who are able to make legally binding commitments on behalf of the organization as a user with the AOR role; this step is often missed, and it is crucial for valid and timely submissions.

2. How to Submit an Application in Grants.gov

Applicants can apply online using Workspace, which is a shared, online environment where members of an institution's grant team may simultaneously access and edit different web forms within an application. For each funding opportunity announcement (FOA), individual instances of a workspace can be created. Below is an overview of applying on Grants.gov. Complete instructions are available at:

<https://www.grants.gov/applicants/workspace-overview.html>

a. Create a Workspace: Creating a workspace allows the user to complete the application online and route it through the organization for review before submitting.

b. Complete a Workspace: Add participants to the workspace to work on the application together, complete the required forms online or download PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.

1) Adobe Reader: If you decide not to apply by filling out web forms you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader. NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at: <https://www.grants.gov/applicants/adobe-software-compatibility>.

2) Mandatory Fields in Forms: In the forms, you will note fields marked with an asterisk and a background color. These fields are mandatory and must be completed to submit your application.

3) Complete SF-424 Fields First: The forms are designed to fill in other required fields in other forms, such as the applicant's name, address, and UEI. Once completed, the information will transfer automatically to the other forms.

c. Submit a Workspace: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab.

d. Track a Workspace Submission: After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANT XXXXXXXX) is assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace. For additional training resources, including video tutorials, refer to: <https://www.grants.gov/applicants/applicant-training>

e. Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number. The Support Center ticket number will assist the DoD with tracking your issue and understanding background information on the issue.

3. Content of Application

Applicants must complete all forms and attachments. Follow the instructions on the forms and additional instructions below. To activate the “pop up” instructions on the forms, turn on the “Help Mode” (icon with the pointer and question mark at the top of the form). All attachments to Grants.gov forms must be in PDF format. NOTE: Ensure that attachments are not password protected. The following formatting rules apply for attachments:

Paper size when printed – 8.5 x 11-inch paper, one-sided

Margins – 1 inch

Spacing – single

Font – Times New Roman, 12-point (excluding mandatory forms)
Number of pages – 25

The 25-page limit applies to the technical portion of the application, which includes the following: Project Summary/Abstract; Project Narrative; and Facilities and Other Resources. Pages exceeding this limit will not be considered in the application evaluation. Letters of support, if any, should be addressed to the PI; these will not be included in the page count.

The following SF 424 (R&R) forms and attachments, as applicable, are required:

FORM: The SF 424 (R&R) Application for Federal Assistance - The SF 424 (R&R) form is the cover page for all applications. Complete this form first to populate data in other forms. By submitting an application through Grants.gov, the AOR (Block #19 on the form and identified by username and password) is providing an “electronic signature.”

To be compliant with Title IX of the Education Amendments of 1972 (20 U.S.C. § 1681 (Et. Seq.)), the Department of Defense is collecting certain demographic and career information to assess the success rates of women who are proposed for key roles in applications in STEM disciplines. To enable this assessment, each application must include the following two forms completed as indicated below.

FORM: Research & Related Senior/Key Person Profile (Expanded) – The ‘Degree Type’ and ‘Degree Year’ fields on the Research and Related Senior/Key Person Profile form will be used by DoD as the source for career information. In addition to the required fields on the form, applicants must complete these fields for all individuals identified as having the project role of PI or Co-PI on the form. Additional senior/key persons can be added by selecting the “Next Person” button.

Biographical sketches are required for the PI and key personnel (not to exceed three pages each). These will not be included in the page count. Please include education and the year in which each degree was completed.

(2) The following information is also required as part of a biographical sketch:

(a) Relevant experience and employment history including a description of any prior Federal employment within one year preceding the date of proposal submission.

(b) List of up to five publications most closely related to the proposed project and up to five other significant publications, including those being printed. Patents, copyrights, or software systems developed may be substituted for publications.

(c) List of persons, other than those cited in the publications list, who have collaborated on a project or a book, article, report or paper within the last four years. Include pending publications and submissions. Otherwise, state "None."

(d) Names of each investigator's own graduate or post-graduate advisors and advisees.

NOTE: The information provided in (c) and (d) is used to help identify potential conflicts or bias in the selection of reviewers.

FORM: CURRENT AND PENDING SUPPORT:

Not later than October 1, 2024, all Notices of Funding Opportunity for assistance awards for the purpose of R&D must require the use of the common forms located here https://www.nsf.gov/bfa/dias/policy/nstc_disclosure.jsp for the collection of biosketch and current and pending support information associated with the SF-424 R&R family of forms. Specifically, these common forms are to be used with the Research and Related Senior/Key Person Profile (Expanded) form (OMB Control Number 4040-0001). This form has inputs for both “biosketch” and “current and pending support”. These common forms are to be used to supply the inputs to the Research and Related Senior/Key Person Profile (Expanded) form.

FORM: Research & Related Personal Data - This form will be used by DoD as the source of demographic information, such as gender, race, ethnicity, and disability information for the PI and all other persons identified as Co-PI. Each application must include this form. Note, however, that provision of the demographic information is voluntary. If completing the form for multiple individuals, each one can be added by selecting the “Next Person” button. The demographic information will be used for statistical purposes only and will not be available to merit reviewers. Applicants who do not wish to provide some or all of the information should select the “Do not wish to provide” option.

FORM: Research & Related Other Project Information – Complete questions 1 through 6 and attach files for items 7 through 12. The files must comply with the following:

Project Summary/Abstract (Field 7 on the form) – The Project Summary/Abstract must be no longer than a single page. **It must be marked to indicate that it is publicly releasable**, as abstracts for all awarded applications will be placed on a DoD website searchable by the public. The abstract should provide a concise description of the proposed project and associated research-related education, including a statement of objectives and methods to be employed. It should be informative to other persons working in the same or related research fields and insofar as possible understandable to a technically literate lay reader. The header of the abstract should identify the PI, the institution, and the application title.

Project Narrative (Field 8 on the form) - At the beginning of the project narrative, indicate the research topic area(s) to which the proposed project is relevant and the technical program manager(s). Refer to BAA and FOA links on page 4 of this document. The project narrative must describe the following to enable technical evaluation of the proposed project:

- The research to be undertaken in a level of detail that fully addresses the objectives of the research, approaches to be used, the relationship of the project to the state of knowledge in the field and to any related work at the institution or elsewhere.
- The anticipated results and how the project relates to the DoD mission and priorities.
- The facilities and equipment available at the university for performing the proposed research.
- The involvement of undergraduate and/or graduate students in the research project and associated research-related education. Program funds may be requested for scholarships and fellowships pursuant to 10 U.S.C. 4144. The involvement of students in the research project is critical to achieving program objectives.

Bibliography & References Cited (Field 9 on the form) – Include a bibliography and list of literature citations, if applicable.

Facilities and Other Resources (Field 10 on the form) – Include a list of existing facilities and available resources including equipment and instruments to be used in the project.

Equipment (Field 11 on the form) – Not applicable. Equipment/instrumentation acquisition will not be supported under this FOA.

Other Attachments (Field 12 on the form) – Provide other documents relevant to the proposed project.

FORM: (R&R) Research & Related Budget: Complete Sections A through H and attach a budget justification in Section L. The budget justification should explain with clarity all entries in Sections A through H and enable meaningful evaluation. Note that Section J should not be completed, as no fee will be paid to a recipient. Costs proposed must confirm to 2 CFR Part 200.

The total project costs, i.e., the amount requested from DoD under this FOA, must be shown in total as well as broken down by cost element for each year of the performance period. Additional budget periods may be added to the Research & Related Budget form by clicking the “Add Period” button at the end of the first budget period. The cumulative Research & Related Budget is automatically calculated, and the last page of the budget form will reflect the total costs for all budget periods. NOTE: the total calculated amount on the last page of the budget form must agree with the amount entered in Block #15 of the Cover Page, SF424.

The following additional guidance is provided:

Direct Labor: Show the current and projected salary amounts in terms of man-hours, man-months, or annual salary to be charged by the PI(s), faculty, research associates, post-doctoral associates, graduate and undergraduate students, secretarial, clerical, and other technical personnel either by personnel or position. State the number of man-hours used to calculate a man-month or man-year. Research during the academic term is deemed part of regular academic duties, not an extra function for which additional compensation or compensation at a higher rate is warranted. Consequently, academic term salaries shall not be augmented either in rate or in total amount for research performed during the academic term. Rates of compensation for research conducted during non-academic (summer) terms shall not exceed the rate for the academic terms. When part or all of a person's services are to be charged as project costs, it is expected that the person will be relieved of an equal part or all of his or her regular teaching or other obligations.

For each person or position, provide the following information:

- a. The basis for the direct labor hours or percentage of effort, e.g., historical hours or estimates;
- b. The basis for the direct labor rates or salaries. Labor costs should be predicated upon current labor rates or salaries. These rates may be adjusted upward for forecast salary or wage cost-of-living increases that will occur during the agreement period. The cost application should separately identify the rationale applied to base

salary/wage for cost-of-living adjustments and merit increases. Each must be fully explained;

- c. The portion of time to be devoted to the proposed research, divided between academic and non-academic (summer) terms, when applicable;
- d. The total annual salary charged to the research project; and
- e. Any details that may affect the salary during the project, such as plans for leave and/or remuneration while on leave.
- f. Fringe Benefits and Indirect Costs (Overhead, General and Administrative, and Other): The most recent rates, dates of negotiation, the base(s) and periods to which the rates apply must be disclosed and a statement included identifying whether the proposed rates are provisional or fixed. If the rates have been negotiated by a Government agency, state when and by which agency. A copy of the negotiation memorandum should be provided. If negotiated forecast rates do not exist, applicants must provide sufficient detail to enable a determination to be made that the costs included in the forecast rate are allocable according to applicable cost provisions. Applicants' disclosure should be sufficient to permit a full understanding of the content of the rate(s) and how it was established. As a minimum, the submission should identify: (g. thru l. below)
- g. All individual cost elements included in the forecast rate(s);
- h. Basis used to prorate indirect expenses to cost pools, if any;
- i. How the rate(s) was calculated;
- j. Distribution basis of the developed rate(s);
- k. Basis on which the overhead rate is calculated, such as "salaries and wages" or "total costs;" and
- l. The period of the applicant's Fiscal Year.

Travel: Forecasts of travel expenditures (domestic and foreign) that identify the destination, duration, and purpose of trip are required, as well as itemized cost elements of airfare, mileage, per diem rates, and other associated costs. These should be in sufficient detail to determine the reasonableness of such costs. Allowance for air travel normally will not exceed the cost of round-trip, economy air accommodations. Costs for domestic travel must not exceed \$3,000 per year per PI. Separate, prior approval is required for foreign travel (i.e., travel outside the continental U.S., its possessions and Canada). Foreign travel requests must not exceed \$1,800 per year per PI. Special justification will be required for travel requests in excess of the amounts stated above and for travel by individuals other than the PI(s). Individuals other than the PI(s) may include post-doctoral associates, research associates, graduate and undergraduate students, secretarial, clerical, and other technical personnel.

Materials and Supplies: Estimate costs of materials and supplies. Provide basis for

developing the cost estimate (e.g., vendor quotes or vendor websites).

Publication: Estimate the costs of publishing and reporting research results.

Consultants: Consultant costs are not allowed under this FOA.

Computer Services: Funds under this FOA may be used for computer services (e.g., retrieval of scientific or technical information) **ONLY** if such services are provided by departments or components of the applicant institution. Funding for computer services is otherwise prohibited.

Equipment or Facility Rental/User Fees: Funds under this FOA will not be used for the acquisition of equipment. Rental/user fees for facilities owned and operated by the institution are allowable. Rental/user fees for facilities not owned and operated by the institution are not allowable.

Subawards: An application may propose research collaborations with no more than two IHEs. Students from all participating institution must be involved in the research. The budget for a research collaboration must show that at least 60 percent of the total direct costs will be attributable to activities performed by the applicant institution, both in the conduct of research and in the management responsibilities of such an arrangement.

Student/Trainee Support Costs: Funds awarded under this FOA may be used for scholarships and fellowships (10 U.S.C. 4144). Provide details about the scholarships or fellowships including levels of effort and support, and correlation with objectives of this FOA.

Other Direct Costs: Itemize and provide the basis for other direct costs.

FORM: (R&R) Research & Related Subaward Budget Attachment(s) – If the applicant is proposing research collaborations with one or two other IHEs, use this form for the subaward budget(s).

FORM: Disclosure of Lobbying Activities (SF-LLL) – If the applicant has lobbying to report per 31 U.S.C. 1352, complete this optional form in the application package and include it with the other forms being submitted.

DATA MANAGEMENT PLAN: A data management plan is a document that describes which data generated through the course of the proposed research will be shared and preserved, how it will be done, or explains why data sharing or preservation is not possible or scientifically appropriate, or why the costs of sharing or preservation are incommensurate with the value of doing so. See also: DoD Instruction 3200.12. In no more than 2 pages set forth as a separate PDF document, discuss the following:

- The types of data, software, and other materials to be produced.
- How the data will be acquired.
- Time and location of data acquisition, if scientifically pertinent.
- How the data will be processed.
- The file formats and the naming conventions that will be used.
- A description of the quality assurance and quality control measures during collection, analysis, and processing.

- A description of dataset origin when existing data resources are used.
- A description of the standards to be used for data and metadata format and content.
- Appropriate timeframe for preservation.
- The plan may consider the balance between the relative value of data preservation and other factors such as the associated cost and administrative burden. The plan will provide a justification for such decisions.
- A statement that the data cannot be made available to the public when there are national security or controlled unclassified information concerns (e.g., “This data cannot be cleared for public release in accordance with the requirements in DoD Directive 5230.09.”)

4. Other Information

Whitepaper Submission: All whitepapers must be emailed directly to the TPOC, Ms. Evelyn Kent, Evelyn.W.Kent.civ@mail.mil. In the email subject line, include the phrase “Whitepaper Submission” and the FOA number W911NF24S0009. Whitepapers must be a single PDF file attached to the email.

5. Submission Dates and Times

Applications will be considered until 4:00 PM Eastern Time 31 July 2029. All applicants will receive an electronic acknowledgement of receipt via email to the individual who serves as the institution’s AOR (Block #19 of the SF 424).

6. Funding Restrictions

The following will not be funded under this FOA:

- Alteration or renovation of facilities
- Projects involving classified information
- Consultant Services
- Acquisition of equipment or instrumentation
- Payments to non-IHE collaborators

E. Application Review Information

1. Evaluation and Disposition of Whitepapers:

- a. Evaluation Process: The whitepaper will be evaluated for the concept's scientific merit, potential contributions to the DoD mission and priority areas, and how the proposed effort will facilitate increasing the number the graduates in STEM disciplines. Applicants whose whitepapers are evaluated as having significant scientific merit and strong student participation in STEM disciplines may be invited to submit a full application. Note, however, that an applicant may submit an application despite having not submitted a whitepaper or receiving an application invite.
- b. Disposition Process: The applicant will be notified in writing upon completion of

the whitepaper evaluation. Whitepapers will not be returned to applicants. Applicants may request a summary of their whitepaper evaluation from the Grants Officer.

2. Application Evaluation Criteria

Primary Evaluation Criteria (of equal importance to each other) are:

- a. Scientific and technical merit of the proposed research.
- b. Relevance of the proposed research to the DoD critical technology areas or ARL research areas and potential contributions of the proposed research to the DoD mission.
- c. Potential of the proposed project to develop new research capabilities or enhance existing research capabilities and to broaden the research base in support of national defense.
- d. Potential of the project to enhance research and research-related education capabilities in STEM disciplines and increase the number of students engaged in STEM disciplines.
- e. Qualifications of the PI to achieve the objectives of the project.

Secondary evaluation criteria, of less importance than primary criteria but of equal importance to each other, are:

- a. Potential of the project to foster collaborations with other institutions of higher education.
- b. Budgetary realism and cost effectiveness of the proposed research project.

Applications will be evaluated by DoD subject matter experts using the above criteria. The most meritorious applications will be recommended for award commensurate with available funding. Approval of an award recommendation is the authority of the Research Director of the OUSD(R&E)/ASD(S&T). Applications may be handled for administrative purposes by support contractors. These support contractors are prohibited from submitting or collaborating on applications submitted under this FOA and they are prohibited from collaborating with IHEs post-award. Support contractors are bound by non-disclosure and/or conflict of interest requirements.

3. Recipient Qualification

The Grants Officer is responsible for determining a recipient's qualification prior to award. In general, the Grants Officer will award grants or cooperative agreements only to qualified recipients that meet the standards at 32 CFR 22.415. To be qualified, a potential recipient must:

- a. Have the management capability and adequate financial and technical resources, including those that would be made available through the grant or cooperative agreement, to execute the program of activities envisioned under the grant or

cooperative agreement;

- b. Have a satisfactory record of executing such programs or activities (if applicant is a previous recipient of a DoD-funded award);
- c. Have a satisfactory record of integrity and business ethics; and
- d. Be otherwise qualified and eligible to receive a grant or cooperative agreement under applicable laws and regulations.

1) Applicants are requested to provide information to assist the Army Grants Officer's evaluation of recipient qualifications. In accordance with Office of Management and Budget (OMB) guidance in parts 180 and 200 of Title 2, CFR, it is DoD policy that DoD Components must report and use integrity and performance information in the Federal Awardee Performance and Integrity Information System (FAPIIS), or any successor system designated by OMB.

2) If the total Federal share of a grant or cooperative agreement will be greater than the simplified acquisition threshold (currently \$250,000), then:

- a. The Army Grants Officer, prior to making an award, will review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313);
- b. An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.
- c. The Army Grants Officer will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 2 CFR 200.205, Federal awarding agency review of risk posed by applicants.

F. FEDERAL AWARD ADMINISTRATION INFORMATION

i. Award Notices

- a. Applicants, both successful and unsuccessful, will be notified via e-mail. Feedback will be provided upon request.
- b. The notification e-mail to successful applicants must not be regarded as a formal authorization to commit or expend funds. The Government is not obligated to provide any funding until the award document is signed by the Grants Officer.

- c. Successful applicants may be contacted by the Grants Officer if supplemental information is necessary to finalize an award. This may involve representations, certifications, revised budgets or budget explanations, or other information required for award execution. The award start date will be determined at that time.
- ii. Administrative and National Policy Requirements
 - a. An award issued under this FOA will be governed by the general terms and conditions in effect at the time of the award that conform to DoD's implementation of OMB guidance applicable to financial assistance in 2 CFR part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards." The DoD Research and Development General Terms and Conditions (latest version, September 2020) are available at <https://www.nre.navy.mil/work-with-us/manage-your-award/manage-grant-award/grants-terms-conditions>
 - b. A recipient must comply with all applicable national policy requirements. The key national policy requirements that may relate to an award under this FOA are included in the terms and conditions specified in paragraph 2.a. above.
 - c. Grant awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. Statutes and Government-wide regulations require the certification to be submitted prior to award. When submitting your grant through Grants.gov, by completing blocks 18 and 19 of the SF 424 (R&R) Form, the grant applicant is providing the certification on lobbying required by 32 CFR Part 28; otherwise, a copy signed by the AOR must be provided. Below is the required certification:

CERTIFICATION AT APPENDIX A TO 32 CFR PART 28 REGARDING LOBBYING: Certification for Grants and Cooperative Agreements the undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit SF-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts

under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. In accordance with Section 743 of P.L. 113-235, none of the funds appropriated or otherwise made available by that or any other Act may be made available for a grant or cooperative agreement with an entity that requires its employees or contractors seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting those employees or contractors from lawfully reporting that waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive the information.

d. PROHIBITION ON CONTRACTING WITH ENTITIES THAT REQUIRED CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS – REPRESENTATION

Agreement with the representation below will be affirmed by checking the “I agree” box in block 17 of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows: By submission of its proposal or application, the applicant represents that it does not require any of its employees, contractors, or subrecipients seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting those employees, contractors, subrecipients from lawfully reporting that waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information. *Note that: Section 743 states that it does not contravene requirements applicable to SF 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

Recipients are required to submit the following representation with the application package IAW the instructions of this FOA.

e. REPRESENTATIONS UNDER DOD ASSISTANCE AGREEMENTS: APPROPRIATIONS PROVISIONS ON TAX DELINQUENCY AND FELONY CONVICTIONS

The applicant is ☐ is not ☐ a “Corporation” meaning any entity, including any institution of higher education, other nonprofit organization, or for-profit entity that has filed articles of incorporation.

If the applicant is a “Corporation” please complete the following representations:

(a) The applicant represents that it is ☐ is not ☐ a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

(b) The applicant represents that it is ☐ is not ☐ a corporation that was convicted of a criminal violation under any Federal law within the preceding 24 months.

NOTE: If an applicant responds in the affirmative to either of the above representations, the applicant is ineligible to receive an award unless the agency suspension and debarment official (SDO) has considered suspension or debarment and determined that further action is not required to protect the Government’s interests. The applicant therefore should provide information about its tax liability or conviction to the agency’s SDO as soon as it can do so, to facilitate completion of the required considerations before award

decisions are made

f. PROHIBITION ON CONTRACTING WITH ENTITIES USING CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT

Section 889 of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2019 (Public Law 115-232) prohibits the head of an executive agency from obligating or expending loan or grant funds to procure or obtain, extend, or renew a contract to procure or obtain, or enter into a contract (or extend or renew a contract) to procure or obtain the equipment, services, or systems prohibited systems as identified in section 889 of the NDAA for FY 2019. For more information on how this applies to all grant recipients and sub-recipients after August 13, 2020, please see DoD Research General Terms and Conditions (SEP 2021) NP Article IV. Other national policy requirements, paragraph 18.

b. Policy Requirements: The following list provides notable national policy requirements that may be applicable to an award. NOTE: The following is not an all-inclusive list of policy requirements. For assistance awards, refer to the DoD Research and Development General Terms and Conditions at <https://www.nre.navy.mil/work-with-us/manage-your-award/manage-grant-award/grantterms-conditions> for additional national policy requirements that may apply.

g. PROTECTION OF HUMAN SUBJECTS:

The recipient must protect the rights and welfare of individuals who participate as human subjects in research under this award and comply fully with the requirements at 32 CFR part 219, Department of Defense Instruction (DoDI) 3216.02, 10 U.S.C. 980, the National Policy Requirements Concerning Live Organisms Terms and Conditions (Section A.1., Human Subjects, at 81 Federal Register 78380, Appendix C to Part 1122), and when applicable, Food and Drug Administration (FDA) policies and regulations.

The recipient must not begin performance of research involving human subjects, also known as human subjects research (HSR), that is covered under 32 CFR part 219, or that meets exemption criteria under 32 CFR 219.101(b), or expends funding on such effort, until you receive a formal notification of approval from the cognizant DoD Human Research Protection Official (HRPO). Approval to perform HSR under this award is received after the HRPO has performed a review of the recipient's documentation of planned HSR activities and has officially furnished a concurrence with the recipient's determination as presented in the documentation.

In order for the HRPO to accomplish this concurrence review, the recipient must provide sufficient documentation to enable his or her assessment as follows:

- (i) If the HSR meets an exemption criterion under 32 CFR 219.101(b), the documentation must include a citation of the exemption category under 32 CFR 219.101(b) and a rationale statement.
- (ii) If the recipient's activity is determined as "non-exempt research involving human subjects", the documentation must include: Assurance of Compliance (a written assurance that an institution will comply with requirements of 32 CFR Part 219, as well as the terms of the assurance) appropriate for the scope of work or program plan; and – Institutional Review Board (IRB) approval, as well as all documentation reviewed by the IRB to make their determination.

The HRPO retains final judgment on what activities constitute HSR, whether an exempt category applies, whether the risk determination is appropriate, and whether the planned HSR activities comply with the requirements in paragraph (a) of this section. The recipient must notify the Grants Officer/ immediately of any suspensions or terminations of the Assurance of Compliance. DoD staff, consultants, and advisory groups may independently review and inspect the recipient's research and research procedures involving human subjects and, based on such findings, DoD may prohibit research that presents unacceptable hazards or otherwise fails to comply with DoD requirements.

Definitions for terms used in this section are found in DoDI 3216.02.

h. ANIMAL USE: Prior to initiating any animal work under the award, the recipient must:

(i) Register the recipient's research, development, test, and evaluation or training facility with the Secretary of Agriculture in accordance with 7 U.S.C. 2136 and 9 CFR section 2.30, unless otherwise exempt from this requirement by meeting the conditions in 7 U.S.C. 2136 and 9 CFR parts 1-4 for the duration of the activity.

(ii) Have the recipient's proposed animal use approved in accordance with DoDI 3216.01, Use of Animals in DoD Programs by a DoD Component Headquarters Oversight Office.

(iii) Furnish evidence of such registration and approval to the grants officer.

The recipient must make the animals on which the research is being conducted, and all premises, facilities, vehicles, equipment, and records that support animal care and use available during business hours and at other times mutually agreeable to the recipient, the United States Department of Agriculture Office of Animal and Plant Health Inspection Service (USDA/APHIS) representative, personnel representing the DoD component oversight offices, as well as the grants officer, to ascertain that the recipient is compliant with 7 U.S.C. 2131 et seq., 9 CFR parts 1-4, and DoDI 3216.01.

The recipient's care and use of animals must conform with the pertinent laws of the United States, regulations of the Department of Agriculture, and regulations, policies, and procedures of the DoD (see 7 U.S.C. 2131 et seq., 9 CFR parts 1-4, and DoDI 3216.01). (d) The recipient must acquire animals in accordance with DoDI 3216.01.

i. BIOLOGICAL SAFETY PROGRAM REQUIREMENTS: Awards may be subject to biological safety program requirements IAW:

(a) Army Regulation (AR) 385-10, Chapter 20

https://armypubs.army.mil/epubs/DR_pubs/DR_a/pdf/web/p385_10.pdf

(b) Department of Army (DA) Pamphlet (PAM) 385-69 on safety standards for microbiological and biomedical laboratories. This pamphlet requires the mandatory use of the latest edition of the U.S. Department of Health and Human Services, Centers for Disease Control and Prevention (CDC) and National Institutes of Health's (NIH) Biosafety in Microbiological and Biomedical Laboratories (BMBL) https://armypubs.army.mil/epubs/DR_pubs/DR_a/pdf/web/p385_69.pdf

(c) DoD Manual 6055.18-M, Enclosure 4, Section 13 <https://www.hsdl.org/?view&did=24365>

j. MILITARY RECRUITING: This is to notify potential applicants that each grant or cooperative agreement awarded under this announcement to an institution of higher education must include the following term and condition:

(a) As a condition for receiving funds available to the DoD under this award, you agree that you are not an institution of higher education (as defined in 32 CFR part 216) that has a policy or practice that either prohibits, or in effect prevents:

(i) The Secretary of a Military Department from maintaining, establishing, or operating a unit of the Senior Reserve Officers Training Corps (ROTC)—in accordance with 10 U.S.C. 654 and other applicable Federal laws—at that institution (or any sub-element of that institution);

(ii) Any student at that institution (or any sub-element of that institution) from enrolling in a unit of the Senior ROTC at another institution of higher education.

(iii) The Secretary of a Military Department or Secretary of Homeland Security from gaining access to campuses, or access to students (who are 17 years of age or older) on campuses, for purposes of military recruiting in a manner that is at least equal in quality and scope to the access to campuses and to students that is provided to any other employer; or

(iv) Access by military recruiters for purposes of military recruiting to the names of students (who are 17

years of age or older and enrolled at that institution or any subelement of that institution); their addresses, telephone listings, dates and places of birth, levels of education, academic majors, and degrees received; and the most recent educational institutions in which they were enrolled.

(b) If you are determined, using the procedures in 32 CFR part 216, to be such an institution of higher education during the period of performance of this award, we:

(i) Will cease all payments to you of DoD funds under this award and all other DoD grants and cooperative agreements; and

(ii) May suspend or terminate those awards unilaterally for material failure to comply with the award terms and conditions.

k. **DRUG-FREE WORKPLACE:** The recipient must comply with drug-free workplace requirements in Subpart B of 2 CFR Part 26, which is the DoD implementation of 41 U.S.C. Chapter 81, “Drug-Free Workplace”

l. **DEBARMENT AND SUSPENSION:** The recipient must comply with requirements regarding debarment and suspension in 2 CFR Part 1125. This includes requirements concerning the recipient’s principals under an award, as well as requirements concerning the recipient’s procurement transactions and subawards that are implemented in DoD Research and Development General Terms and Conditions PROC Articles I through III and Sub Article II.

m. **REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION:** The recipient must report information about subawards and executive compensation as specified in the award term in Appendix A to 2 CFR Part 170, “Reporting subaward and executive compensation information,” modified as follows:

(a) To accommodate any future designation of a different Government wide Web site for reporting subaward information, the Web site “<http://www.fsrs.gov>” cited in paragraphs a.2.i. and a.3 of the award provision is replaced by the phrase “<http://www.fsrs.gov> or successor OMB designated Web site for reporting subaward information”;

(b) To accommodate any future designation of a different Government wide Web site for reporting executive compensation information, the Web site “<http://www.sam.gov>” cited in paragraph b.2.i. of the award provision is replaced by the phrase “<https://www.sam.gov> or successor OMB-designated Web site for reporting information on total compensation”

n. **Reporting**

Additional reports including number and types will be specified in the award document but will include as a minimum monthly financial status reports. The reports shall be prepared and submitted in accordance with the procedures contained in the award document and mutually agreed upon before award. Reports and briefing material will also be required as appropriate to document progress in accomplishing program metrics. A final report that summarizes the project and tasks will be required at the conclusion of the performance period for the award.

If the total Federal share exceeds \$500,000 on any Federal award under a notice of funding opportunity, the post-award reporting requirements reflected in Appendix XII to 2 CFR 200 will be included in the award document. This requirement also applies to modifications of awards that: 1) increase the scope of the award, 2) are issued on or after January 1, 2016, and 3) increase the federal share of the award’s total value to an amount that exceeds \$500,000.

G. Federal Awarding Agency Contact

For questions of a technical or programmatic nature, contact:

Evelyn Kent

Office of the Under Secretary of Defense for Research and Engineering (OUSD(R&E))

Evelyn.W.Kent.civ@mail.mil

Tamika Carey

OUSD(R&E) HBCU/MI Program Analyst

Tamika.A.Carey.ctr@mail.mil

Tara Smith

OUSD(R&E) HBCU/MI Program Analyst

Tara.L.Smith38.ctr@mail.mil

Questions regarding program execution and administration should be directed to:

Patrice D. Collins

US Army Combat Capabilities Development Command (CCDC) - Army Research Laboratory (ARL)

Patrice.D.Collins.civ@army.mil

Monique Wright

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Glenn Hames

Fibertek

ARL HBCU/MI Program Specialist Glenn.e.hames.ctr@army.mil

The Grants Officer for this FOA:

William A. Creech

US Army Contracting Command, Aberdeen Proving Ground RTP Division

William.A.Creech3.civ@army.mil

H. Other Submission Information

An applicant may withdraw an application at any time before award by written notice or by e-mail. The AOR must send the notice of withdrawal to the Grants Officer of this FOA. Withdrawals are effective upon receipt by the Grants Officer.

Applications must not include any information that has been identified as classified national security information under authorities established in Executive Order 12958, Classified National Security Information.

Applicants are advised that employees of commercial firms under contract to the government may be

involved in administrative processing of applications. By submitting an application, an applicant consents to allowing access to its application(s) by these support contractors. All support contracts include nondisclosure agreements prohibiting their contractor employees from disclosing any information submitted by applicants.

Risk-Based Security Review Process

Senior/Key Personnel proposed under all grants and cooperative agreements are subject to the [DoD Fundamental Research Risk-Based Security Review Process](#). This risk-based security review process provides consistency in policy and procedures across all DoD Components. Risk-based security reviews will be conducted of all covered individuals (i.e., Senior/Key Personnel) submitted with fundamental research proposals that are identified as “selectable and recommended for funding.” The risk-based security reviews will be conducted by reviewing the Standard Form (SF) 424, “Senior/Key Person Profile (Expanded),” its accompanying or referenced documents, and the Research Performance Progress Reports (when applicable), in concert with the OUSD(R&E)’s Decision Matrix to Inform Fundamental Research Proposal Mitigation Decisions.

It is DoD policy that the publication of products of fundamental research will remain unrestricted to the maximum extent possible. National Security Decision Directive (NSDD) 189 defines fundamental research as follows:

- Basic and applied research in science and engineering, the results of which ordinarily are published and shared broadly within the scientific community, as distinguished from proprietary research and from industrial development, design, production, and product utilization, the results of which ordinarily are restricted for proprietary or national security reasons.

As of the date of publication of this solicitation, the Government expects that program goals as described herein may be met by proposers intending to perform fundamental research and does not anticipate applying publication restrictions of any kind to individual awards for fundamental research that may result from this solicitation. Notwithstanding this statement of expectation, the Government is not prohibited from considering and selecting research proposals that, while perhaps not qualifying as fundamental research under the foregoing definition, still meet the solicitation criteria for submissions. If proposals are selected for award that offer other than a fundamental research solution, the Government will either work with the proposer to modify the proposed statement of work to bring the research back into line with fundamental research or else the proposer will agree to restrictions to receive an award.

University or non-profit research institution performance under this solicitation will include efforts categorized as fundamental research. In addition to Government support for free and open scientific exchanges and dissemination of research results in a broad and unrestricted manner, the academic or non-profit research performer or recipient, regardless of tier, acknowledges that such research may have implications that are important to U.S. national interests and must be protected against foreign influence and exploitation. As such, the academic or non-profit research performer or recipient agrees to comply with the following requirements:

- a. On June 8, 2023, the Undersecretary of Defense for Research and Engineering (OUSD (R&E)) released a memorandum, “[Policy on Risk-Based Security Reviews on Fundamental Research](#),” directing Components to establish a risk-based security review

program to identify and mitigate undue foreign influence in fundamental research consistent with the requirements mandated by NSPM-33. In accordance with these requirements, all Covered Individuals proposed under all fundamental research proposals that are selected for award will be assessed for potential undue foreign influence risk factors relating to professional and financial activities. This will be done by evaluating information provided via the SF-424 and any accompanying or referenced documents to identify and assess any associations or affiliations the Covered Individuals may have with foreign countries of concern (FCOC) (i.e., The Peoples Republic of China, the Russian Federation, the Islamic Republic of Iran, and the Democratic People's Republic of North Korea) or FCOC connected entities.

- b. The University or non-profit research institution, performer, or recipient must establish and maintain an internal process or procedure to address malign foreign talent programs, conflicts of commitment, conflicts of interest, and research integrity consistent with USD(R&E) direction. The academic or non-profit research performer or recipient must also utilize due diligence to identify Foreign Components or participation by Covered Individuals in Foreign Government Talent Recruitment Programs and agree to share such information with the Government upon request.
 - i. The above-described information will be provided to the Government as part of the proposal response to the solicitation and will be reviewed and assessed utilizing a risk-based security review process prior to award. Generally, this information will be included in the Research and Related Senior/Key Personnel Profile (Expanded) form (SF-424) required as part of the proposer's submission through Grants.gov.
 - 1. Instructions regarding how to fill out the SF-424 and its biographical sketch can be found through Grants.gov.
 - ii. The risk-based security review process takes into consideration the entirety of the Covered Individual's SF-424, current and pending support, and biographical sketch. Any identified potential risk factors, along with publicly or commercially available validation information, are then compared to the "DoD Risk Decision Matrix" to determine the level of mitigation that may be required to proceed, if possible.
 - iii. The risk-based security review process will leverage publicly available lists or reports published by the U.S. federal government. Those lists and reports include, but are not limited to:
 - 1. FY22 Lists Published in Response to Section 1286 of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Public Law 115-232), as amended.
 - 2. Executive Order 13959 "Addressing the Threat From Securities Investments That Finance Communist Chinese Military Companies": www.govinfo.gov/content/pkg/FR-2020-11-17/pdf/2020-25459.pdf
 - 3. The U.S. Department of Commerce, Bureau of Industry and Security, List of Parties of Concern: www.bis.doc.gov/index.php/policy-guidance/lists-of-parties-of-concern
 - 4. Director of National Intelligence (DNI) "World Wide Threat Assessment of the US Intelligence

Community”’: www.dni.gov/files/ODNI/documents/assessments/ATA-2023-Unclassified-Report.pdf

5. Various Defense Counterintelligence and Security Agency (DCSA) products regarding targeting of US technologies, adversary targeting of academia, and the exploitation of academic experts: www.dcsa.mil
- iv. The DoD has explicitly stated in policy that there are foreign influence risks that are not able to be mitigated and thus would require denial of award. They are:
 1. **BEGINNING IN FISCAL YEAR (FY) 2024 (1 OCTOBER 2023) PROSPECTIVE, NO U.S. INSTITUTION OF HIGHER LEARNING THAT HOSTS A CONFUCIUS INSTITUTE* MAY RECEIVE DOD FUNDING UNLESS THE INSTITUTION OF HIGHER EDUCATION HAS BEEN ISSUED A WAIVER BY THE SECRETARY OF DEFENSE PURSUANT TO SECTION 1062 OF THE WILLIAM M. (MAC) THORNBERRY NATIONAL DEFENSE AUTHORIZATION ACT FOR FY 2021. INSTITUTIONS HOSTING A CONFUCIUS INSTITUTE ARE AUTOMATICALLY CLASSIFIED AS “PROHIBITED” UNDER OUSD(R&E) “POLICY ON RISK-BASED SECURITY REVIEWS ON FUNDAMENTAL RESEARCH”**
 2. **AS OF 9 AUGUST 2024, THE DOD IS PROHIBITED FROM FUNDING OR MAKING AN AWARD OF A FUNDAMENTAL RESEARCH PROJECT PROPOSAL IN WHICH A COVERED INDIVIDUAL IS ACTIVELY PARTICIPATING IN A MALIGN FOREIGN TALENT RECRUITMENT PROGRAM (MFTRP), PURSUANT TO SECTION 10632 OF THE CHIPS AND SCIENCE ACT OF 2022. INDIVIDUALS PARTICIPATING IN A MFTRP ARE AUTOMATICALLY CLASSIFIED AS “PROHIBITED” UNDER OUSD(R&E) “POLICY ON RISK-BASED SECURITY REVIEWS ON FUNDAMENTAL RESEARCH”**

* The term “Confucius Institute” means a cultural institute directly or indirectly funded by the Government of the People's Republic of China.

- v. Any changes to covered individuals will require submission of an SF 424 and its attachments, a security-based risk assessment, and approval by the contracting officer and program manager.
- vi. Security-based risk assessments will also be conducted if changes to covered individuals reporting criteria are reflected in the Research Performance Progress Reports.
- vii. To the greatest extent practicable, the DoD will work with the proposing institution to ensure that if the risk is able to be mitigated, it will make every effort to do so. If the proposing institution refuses to, or is unable to mitigate the identified risks, it may result in a denial of award.
- viii. Proposing institutions who have their fundamental research proposal rejected due to the risk-based security review process or the inability to come to agreement concerning proposed mitigation strategies may challenge the risk-based security review decision. In that instance, the OUSD(R&E) will reconsider the project proposal as well as any additional documentation provided by the proposing

institution to ensure that there was no erroneous interpretation of the material facts or law.

- ix. This process, to include negotiation of risk mitigation measures, is not to be considered as part of the time-to-award.
- c. Failure of the academic or non-profit research performer or recipient to reasonably exercise due diligence to discover or ensure that neither it nor any of its Covered Individuals involved in the subject award are participating in a Malign Foreign Government Talent Program or have a Foreign Component with FCOC or FCOC-connected entity may result in the Government exercising remedies in accordance with Federal law and regulation.
 - i. If, at any time during performance of this research award, the academic or non-profit research performer or recipient should learn that it, its Covered Individuals, or applicable team members or subtier performers on this award are, or are believed to be, participants in a malign foreign government talent program or exhibiting behaviors/actions identified in the DoD Component Decision Matrix (i.e., funding from a FCOC or FCOC-connected entity, patents resulting from U.S. government funded research that were filed with a FCOC or on behalf of a FCOC-connected entity, and associations or affiliations with foreign government connected entities), the performer or recipient will notify the Government Contracting Officer or Agreements Officer within 5 business days.
 - 1. This disclosure must include specific information as to the personnel involved and the nature of the situation and relationship. The Government will have 30 business days to review this information and conduct any necessary fact-finding or discussion with the performer or recipient.
 - 2. Such disclosure could result in a termination of award at the government's discretion.
 - 3. If the University receives no response from the Government to its disclosure within 30 business days, it may presume that the Government has determined the disclosure does not represent a threat.
 - ii. The performer or recipient must flow down this provision to any subtier contracts or agreements involving direct participation in the performance of the research.

All analysis and assessment of affiliations and associations of Covered Individuals are compliant with Title VI of the Civil Rights Act of 1964. Information regarding race, color, or national origin is not collected and does not have bearing in the risk assessment. University or non-profit research institutions with proposals selected for negotiation that have been assessed as having potential undue foreign influence risk factors, as defined by the DoD Decision Matrix, will be given an opportunity during the negotiation process to mitigate the risk. The DoD reserves the right to request any follow-up information needed to assess potential risk factors or proposed risk mitigation strategies.

- d. Definitions: Definitions can be found in the June 08, 2023 USD(R&E) memorandum, "Policy for Risk Based Security Reviews of Fundamental Research," or as it is amended.