

NOTICE OF FUNDING OPPORTUNITY

DEPARTMENT OF WAR (DOW)



**Pacific Disaster Center (PDC) Cooperative Agreement
Notice of Funding Opportunity (NFO)
Announcement Type: Initial Announcement
NFO Number: HQ003426NFOECAD02**

Assistance Listing Number: 12.019

Anticipated Funding Purpose: On behalf of the Office of the Secretary of War/Office of the Under Secretary of War for Acquisition and Sustainment (OUSW(A&S)) and the Office of the Under Secretary of War for Policy (OUSW(P)), the Washington Headquarters Services, Acquisition Directorate, (WHS/AD) seeks applications for sole-source awards from the University of Hawaii for the continuation of work for the Pacific Disaster Center (PDC) program.

Key Dates: This announcement will be open for applications until the time included in Section IV, "Application and Submission Information."

Agency Contact: All questions should be directed via e-mail to the following contacts:

- Grants Specialist: Miroslava Mircheva, email: miroslava.k.mircheva.civ@mail.mil
- Grants Officer: Michael Fanizzo Jr., email: Michael.j.fanizzo.civ@mail.mil

I. Program Description

A. Background of the Program

Congress authorized and mandated the establishment of the PDC program in 1992 without an expiration date. Today, PDC is an applied science and technology center that serves as a global leader in risk intelligence, hazard monitoring, disaster early warning, and advanced analytics. Through a Cooperative Agreement with the Department of War (DoW), PDC delivers to DoW, the State Department, other U.S. government agencies, and state, national, regional, and international partners several unique capabilities for global situational awareness and decision support.

PDC and its DisasterAWARE technology – including Risk Assessment and Planning Integration for Defense Support (RAPIDS), a customized version for DoW – harness the power of artificial intelligence to provide customized updates, applied information research, and analysis support that inform real-time response to natural and man-made hazards that could harm the American people or disrupt the

American economy. These technology and decision informing platforms are used in operations centers throughout DoW, enhancing warfighter capabilities. RAPIDS has been promoted by the OSW and Joint Staff for proven performance across diverse mission sets, and adopted by the Defense Logistics Agency, Combatant Commands, Joint Task Forces, and deployed units from the Services. For the U.S. government, PDC's services strengthen national defense capabilities and ensure readiness and resilience of the homeland by informing joint interagency planning, training and exercises, and contingency, emergency, and domestic and foreign disaster response operations. PDC's multi-hazard monitoring and predictive modeling capabilities are essential to advancing U.S. government objectives and data-driven decision-making related to DoW mission assurance and resilience, humanitarian assistance and disaster response (HADR), and defense support of civil authorities (DSCA). This includes ensuring resilient national infrastructure that can withstand natural disasters, facilitating force protection and movement and maneuver route assessment to ensure access to key terrain and assessing supply chain vulnerabilities to supercharge the U.S. industrial base.

PDC remains an innovative science and technology center that develops and applies new solutions to these challenges, continuing to grow domestically and internationally. PDC's partnerships, collaborations, and client relations with military, civilian, academic, public, private, U.S., and foreign stakeholders build capacity for those organizations to respond to hazards, thus reducing the need for U.S. involvement and expenditure.

B. Program Description/Objective

The purpose of this NFO is to provide the DoW with an assistance mechanism to continue its established partnership with the University of Hawaii as a sole source institution in support of the PDC. This effort will sustain and build upon ongoing work by providing applied information research and analytical support to advance more effective policies, institutions, programs and information products for mission assurance and resilience, HADR, and DSCA. The goal of this NFO is to leverage the University of Hawaii's proven capabilities, institutional knowledge, and infrastructure to further enhance hazard awareness and resilience around the world.

C. Authorization

FY26 DoD Appropriations Act and Public Law 119–75

D. Legal Requirements

The cooperative agreement awarded under this announcement will be governed by the general terms and conditions in effect at the time of the award that conform to the DoW's implementation of OMB guidance applicable to financial assistance in 2 CFR 1100 [Subchapter D – Administrative Requirements Terms and Conditions for Cost-Type Grants and Cooperative Agreements to Nonprofit and Government Entities] and 32 CFR Chapter 1 [Subchapter C - DoD Grant and Agreement Regulations]. These terms and conditions are incorporated by reference in this announcement.

II. Federal Award Information

The following information applies to award issued under this announcement:

Anticipated Period of Performance: The anticipated period of performance is five (5) years: 16 December 2026 – 15 December 2031.

Instrument Type: This Cooperative Agreement (CA) being awarded through this NFO will have substantial government involvement. The awardee will continue serving as a managing partner for PDC, including but not limited to working with the Government to determine the merits of research ideas, and collaborating with PDC to choose sub-awardees (if applicable). The managing partner will collaborate with PDC research and recommend projects to be added onto the program; however, the Government has the final decision on all projects going onto the CA to ensure they are aligning with PDC Program and its vision.

III. Eligibility Information

A. Eligible Applicants

The only eligible applicant is the University of Hawaii. The Applicant must be registered in the System for Award Management (SAM) before submission of the application. Information on SAM registration is available at <https://www.sam.gov/portal/public/SAM>. The offeror must provide a valid unique entity identifier (UEI) on their application. The offeror must continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency. WHS may not make a Federal award to the offeror until the offeror has complied with all applicable unique entity identifier and SAM requirements and, if an offeror has not fully complied with the requirements by the time WHS is ready to make an award. Cooperative agreement recipients will be selected from a broad range of eligible applicants in compliance with Executive Order 14332, *Improving Oversight of Federal Grant Making*.

B. Cost Sharing or Matching

Cost sharing is not required.

C. Conflict of Interest: General Requirement for Disclosure

Organizations must disclose any potential or actual scientific or nonscientific conflict of interest(s). Organizations must also disclose any potential or actual conflict(s) of interest for any identified sub-recipient included in the application. Depending on the circumstances, the Government may request a conflict-of-interest mitigation plan. Government approval is required for all mitigation plans. Offerors with conflicts of interest that are not mitigated will be ineligible for award.

D. Other

i. Licensure or Certification

Offerors must include the Acknowledgment of Support and Disclaimer on all materials created or produced under these awards. This language may be found in the Terms and Conditions included in the award documents.

ii. Certifications, representations, and assurances

1. To apply for cooperative agreements and other funding opportunities the applicant entity must have an active registration in the System for Award Management (SAM). Applications will not be accepted unless the entity is registered in SAM.
2. The Federal Assistance Certifications Report is an attestation that the entity will abide by the requirements of the various laws and regulations; therefore, as applicable, offerors are required to submit any documentation, including the Standard Form (SF) - LLL Disclosure of Lobbying Activities (if applicable), and inform DoW of unpaid delinquent tax liability or a felony conviction under any Federal law.

Any attachment containing additional certifications should be prefaced by the following statement:

“By checking “I Agree” on the SF-424 Block 21 you agree to abide by the following statement: “By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 2, Section 1001)”

IV. Application and Submission Information

A. Submission Date and Time:

Applications Due Date: September 15, 2026

B. Application Procedures and Requirements

Organizations must have a Unique Entity Identifier (UEI) and active SAM registration.

The applicant shall submit their applications through grants.gov. See <https://www.grants.gov/web/grants/grantors/grantor-standard-language.html> for information on how to complete the application using Workspace on Grants.gov. Read the instructions in <https://www.grants.gov/web/grants/grantors/grantor-standard-language.html> about registering to apply for DoW funds. If the applicant experiences difficulties with their submission, Grants.gov provides support via the toll-free number 1-800- 518-4726 and email at support@grants.gov.

Applicants will submit a full technical application for evaluation and possible award consideration. Applications will only be accepted if submitted through Grants.gov. Organizations must have a Unique Entity Identifier (UEI), active System for Award Management (SAM) registration, and Grants.gov account to apply for grants.

For questions, please contact:

- Michael Fanizzo Jr., email: Michael.j.fanizzo.civ@mail.mil

- Miroslava Mircheva, email: miroslava.k.mircheva.civ@mail.mil

C. Application Withdrawal

An applicant may withdraw an application at any time before award by written notice. Notice of withdrawal shall be sent to the grants officer identified in this announcement. Withdrawals are effective upon receipt of notice by the grants officer.

D. Content and Form of Submission

Common formatting requirements across all submitted documents:

- Font shall be Times New Roman, 12 point
- Margins shall be 1 inch on all sides
- Paper size shall be 8 ½ by 11.
- Project narratives shall not exceed ten pages in length.
- Documentation submitted under this NFO are expected to be unclassified; classified applications are not permitted.
- All documents must be submitted in PDF format.
- Pre-applications and proposals will be evaluated by Government personnel. Each reviewer is required to sign a conflict-of-interest and confidentiality statement attesting that the reviewer has no known conflicts of interest, and that application and evaluation information will not be disclosed outside the evaluation panel. The names and affiliations of reviewers are not disclosed.
- All submissions will be protected from unauthorized disclosure in accordance with applicable law and DoW regulations.

Marking Proprietary or Confidential Information

OSW and WHS/AD will make every effort to protect any proprietary information submitted in project narratives and full applications. Any proprietary information included in application materials must be identified. Prospective proposers should be aware, however, that under the Freedom of Information Act (FOIA) requirements, proprietary information contained in project narratives and applications (marked or unmarked) may still potentially be subject to release.

It is the prospective applicants' responsibility to notify WHS/AD of applications containing proprietary information and to identify the relevant portions of their applications that require protection. The entire application (or portions thereof) without protective markings or otherwise identified as requiring protection will be considered to be furnished voluntarily to WHS/AD without restriction and will be treated as such for all purposes.

It is the intent of WHS/AD to treat all submissions as proprietary information before the award and to disclose their contents to reviewers only for the purpose of evaluation.

E. Application Requirements/ Component-specific Requirements.

Project Narrative Preparation and Submission

All submissions shall be made through grants.gov. The following forms are identified in grants.gov:

Submission Forms
SF424 Mandatory Form [V3.0]
Assurances for Non-Construction Programs (SF-424B - Mandatory) [V1.1]
Budget Information for Non-Construction Programs (SF-424A) [V1.0]
Disclosure of Lobbying Activities (SF-LLL) [V2.0]
Project Abstract Summary [V2.0]
Project Narrative Attachment Form [V1.2]

Project Narrative Components

Submitted documentation should be in PDF format and include in a single document:

- A cover letter (optional), not to exceed one page. The cover letter does not count against the ten-page limit.
- A cover page, labeled “APPLICATION,” that includes the NFO number, proposed project title, and prospective applicant's technical point of contact with telephone number, and e-mail address.

The project narrative (ten-page limit, single-sided) must include:

- A project abstract summary. The project abstract should be appropriate for public release and should describe the project in terms that the public would understand. The abstract should summarize the project and specifically identify the principal investigator and offering institution; problems and objectives; technical approaches and anticipated outcome.
- The project plan shall describe the proposed works, management, and project schedule and milestones for the project in its entirety (including any options). It should also include a proposed, estimated project ceiling cost (per year). The plan should also include:
 - key personnel that will perform the work;
 - associated cost breakdown by tasks;
 - project schedule and milestones;
 - anticipated sub-awards and contract requirements;
 - any other material details of the project.

The project plan should also describe the public purpose of the project, specifically describe how the proposed work fulfills a public benefit beyond the needs of the Government. The public-benefits statement is an important part of the evaluation and award process.

Unique Entity Identifier and System for Award Management

Several one-time actions must be completed in order to submit an application through Grants.gov. These include obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the System for Award Management (SAM), registering with the credential provider, and registering with Grants.gov. See <http://www.grants.gov/GetStarted>.

The awardee shall use the Grants.gov organization Registration Checklist at http://www.grants.gov/applicants/register_your_organization.jsp, which will provide guidance through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called “MPIN” are important steps in the SAM registration process. Applicants who are not registered with SAM and Grant.gov should allow at least 21 days for completing these requirements. The process should be started as soon as possible. Any questions relating to the registration process, system requirement, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or support@grants.gov. Successful Applicants not already registered in the System for Award Management (SAM) will be required to register in SAM prior to award of any grant, or cooperative agreement. Information on SAM registration is available at <https://www.sam.gov>.

Special Notice regarding a Waiver of Grants.gov submission requirement: If an Applicant is unable to comply with the requirement to use Grants.gov, for submission of a grant application under this NFO or finds it would be an excessive burden to comply with this requirement, a waiver request may be submitted. Such request should be submitted by the Electronic Business Point of Contact listed in the SAM for the organization and should contain the Organization/Individual’s name, address, telephone number, and e-mail address. The request should state the reason for the request in sufficient detail so a decision can be made. The Waiver Request should be submitted to the cognizant Contract Specialist. Such request can be sent by e-mail or registered mail. A decision and response will be issued within 14 calendar days of receipt of the request by the cognizant Contract Specialist. Foreign Grantees who are not registered in SAM may request a waiver on that basis since SAM registration is integral to the Grants.gov application process. If the waiver is approved, DoW will provide a packet of all required documents and submission instructions via e-mail or in hard copy via registered mail.

F. Funding Restrictions

Per 2 CFR § 200.216, funds may not be used to procure telecommunications equipment or video surveillance services or equipment produced by:

- Huawei Technologies Company,
- ZTE Corporation,
- Hytera Communications Corporation,
- Hangzhou Hikvision Digital Technology Company,
- Dahua Technology Company, or
- Any subsidiary or affiliate of such entities.

G. Other Submission Requirements and Information

Physical/facsimile delivery by the Applicant is not authorized and will not be accepted.

H. Amendments to Announcements

If this announcement is amended, then all terms and conditions, which are not amended, shall remain unchanged. Applicants shall acknowledge receipt of any amendments to this NFO by:

- i. identifying the amendment in its application, or by

- ii. separate letter upon receipt of the amendment. The Government must receive the acknowledgment by the date/time specified for receipt of applications.

I. Modifications, and Withdrawals of Applications

The announced Application due date and procedures for guaranteeing timely submission of Applications shall also be applied to those Applicants submitting modifications to or withdrawals of Applications.

J. Protests

The decision of the Grants Officer relative to any protest filed will be final unless the protester appeals to the WHS/AD Competition Advocate:

Mr. David Kao
Deputy Director, WHS/AD
4800 Mark Center Drive, Suite 09F09
Alexandria, VA 22350

The Recipient(s) shall proceed diligently with preparation of its Application(s) or performance under an award, pending final resolution of any request for relief, appeal, or action arising under the award, and comply with any decision of the Grants Officer.

The applicant shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, sub grants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S.C. 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.

Wide Area Workflow (WAWF)

Performers are required to submit invoices for payment directly at <https://wawf.eb.mil>. WAWF registration is required prior to any award under this NFO.

V. Application Review Information

A. Selection Criteria

Applications will be evaluated according to 2 CFR 200.206 and 32 CFR 22.415.

B. Review and Selection Process:

The applicant is advised that employees of commercial firms under contract to the Government may be used to administratively process applications. By submitting an application, an applicant consents to allowing access to its application(s) by support contractors. These support contracts include nondisclosure agreements prohibiting their contractor employees from disclosing any information submitted by applicants.

In addition to the technical/program review, the DoW conducts budget and risk reviews as directed by 2 CFR 200.206, including a review of the Federal Awardee Performance and Integrity Information System (FAPIIS). Applicants may review information in FAPIIS and comment on any information entered into that system. Comments made by applicants will be taken into account in addition to other information in considering applicants' integrity, business ethics, and record of performance.

At the time of application, there is no additional material to be submitted for this review. However, there may be additional requests for clarification as these reviews progress.

C. Award Decision

The Government will coordinate with the recipient for the award decision.

VI. Federal Award Administration Information

A. FEDERAL AWARD NOTICES

Decisions are expected to be announced via email. Evaluations and awards will be made by 15 Nov 2026. After selection, the Program Office and the Grants Office may negotiate a Cooperative Agreement with the selected Recipient(s). Applicants who do not receive an award are not entitled to a debrief.

The notification email regarding a selection is not authorization to commit or expend DoW funds. A DoW grants officer is the only person authorized to obligate and approve the use of Federal funds; this authorization is conveyed in the form of a signed Notice of Award. If recommended, offerors will be contacted by a DoW grants officer to discuss any additional information required for award. This may include representations and certifications, revised budgets or budget explanations, or other information as applicable to the proposed award. The award start date will be determined and documented at that time.

Federal regulations, to include but not limited to 2 CFR Parts 200 and 1100 and 32 CFR Title 32, and DoD 3210.6-R¹, take precedence over all terms and conditions of Agreement awards.

B. NATIONAL POLICY REQUIREMENTS (NP)

NP Article I. Nondiscrimination national policy requirements. (September 2023)

Section A. Cross-cutting nondiscrimination requirements. By signing this award or accepting funds under this award, you assure that you will comply with applicable provisions of the national policies prohibiting discrimination:

1. On the basis of race, color, or national origin, in Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.), as implemented by DoW regulations at 32 CFR part 195.
2. On the basis of gender, blindness, or visual impairment, in Title IX of the Education Amendments of 1972 (20 U.S.C. 1681 et seq.), as implemented by DoW regulations at 32 CFR part 196.

3. On the basis of age, in the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.), as implemented by Department of Health and Human Services regulations at 45 CFR part 90.
4. On the basis of disability, in the Rehabilitation Act of 1973 (29 U.S.C. 794), as implemented by Department of Justice regulations at 28 CFR part 41 and DoW regulations at 32 CFR part 56.
5. On the basis of disability in the Architectural Barriers Act of 1968 (42 U.S.C. 4151 et seq.) related to physically handicapped persons' ready access to, and use of, buildings and facilities for which Federal funds are used in design, construction, or alteration.

Section B. [Reserved]

Appendix B to Part 1122—Terms and Conditions for NP Article II, “Environmental National Policy Requirements”

NP Article II. Environmental national policy requirements. (January 2021)

Section A. Cross-cutting environmental requirements. You must:

1. You must comply with all applicable Federal environmental laws and regulations. The laws and regulations identified in this section are not intended to be a complete list.
2. Comply with applicable provisions of the Clean Air Act (42 U.S.C. 7401, et seq.) and Clean Water Act (33 U.S.C. 1251, et seq.).
3. Comply with applicable provisions of the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4821-4846), as implemented by the Department of Housing and Urban Development at 24 CFR part 35. The requirements concern lead-based paint in buildings owned by the Federal Government or housing receiving Federal assistance.
4. Immediately identify to us, as the Federal awarding agency, any potential impact that you find this award may have on:
 - a. The quality of the “human environment”, as defined in 40 CFR 1508.14, including wetlands; and provide any help we may need to comply with the National Environmental Policy Act (NEPA, at 42 U.S.C. 4321 et seq.), the regulations at 40 CFR 1500-1508, and Executive Order 12114, if applicable; and assist us to prepare Environmental Impact Statements or other environmental documentation. In such cases, you may take no action that will have an environmental impact (e.g., physical disturbance of a site such as breaking of ground) or limit the choice of reasonable alternatives to the proposed action until we provide written notification of Federal compliance with NEPA or Executive Order 12114.
 - b. Flood-prone areas and provide any help we may need to comply with the National Flood Insurance Act of 1968, as amended by the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001 et seq.), which require flood insurance, when available, for federally assisted

construction or acquisition in flood-prone areas.

- c. A land or water use or natural resource of a coastal zone that is part of a federally approved State coastal zone management plan and provide any help we may need to comply with the Coastal Zone Management Act of 1972 (16 U.S.C. 1451, et seq.) including preparation of a Federal agency Coastal Consistency Determination.
 - d. Coastal barriers along the Atlantic and Gulf coasts and Great Lakes' shores and provide help we may need to comply with the Coastal Barrier Resources Act (16 U.S.C. 3501 et seq.), concerning preservation of barrier resources.
 - e. Any existing or proposed component of the National Wild and Scenic Rivers system and provide any help we may need to comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1271 et seq.).
 - f. Underground sources of drinking water in areas that have an aquifer that is the sole or principal drinking water source and in wellhead protection areas and provide any help we may need to comply with the Safe Drinking Water Act (42 U.S.C. 300f et seq.).
5. You must comply fully with the Endangered Species Act of 1973, as amended (ESA, at 16 U.S.C. 1531 et seq.) and implementing regulations of the Departments of the Interior (50 CFR parts 10-24) and Commerce (50 CFR parts 217-227). You also must provide any help we may need in complying with the consultation requirements of ESA section 7 (16 U.S.C. 1536) applicable to Federal agencies or any regulatory authorization we may need resulting from performance under this award. This is not in lieu of responsibilities you have to comply with provisions of the Act that apply directly to you as a U.S. entity, independent of receiving this award.
6. You must fully comply with the Marine Mammal Protection Act of 1972, as amended (MMPA, at 16 U.S.C. 1361 et seq.) and provide any assistance we may need in obtaining any required MMPA permit resulting from performance under this award.

Section B. [Reserved]

Appendix C to Part 1122—Terms and Conditions for NP Article III, “National Policy Requirements Concerning Live Organisms”

NP Article III. National policy requirements concerning live organisms. (January 2021)

Section A. Cross-cutting requirements concerning live organisms.

- 1. Human subjects.
 - a. Institutions receiving DoW funds must protect the rights and welfare of individuals who participate as human subjects in research under this award, complying with the requirements at 32 CFR part 219, DoW Instruction (DoDI) 3216.02, and when applicable, Food and Drug

Administration (FDA) regulations.

- b. Award recipients, to include sub-recipients, must not commence DoW-supported human subject research (HSR), as defined in DoDI 3216.02, to include research with human data and biological specimens, until a DoW Human Research Protection Official (HRPO) issues formal approval.
- c. The HRPO reviews documentation of planned HSR under the award for compliance with applicable regulations and policies. Recipient institutions must provide sufficient documentation to enable the HRPO assessment as follows:
 - i. For research that is exempt or does not involve human subjects, the protocol documents and institutional determination that the research is not HSR, or exempt HSR.
 - ii. For non-exempt research involving human subjects, the institution must provide:
 - (A) Current Assurance of Compliance (i.e., Department of Health and Human Services' Office for Human Research Protections Federal-wide Assurance (FWA)) for all engaged institutions;
 - (B) Current Institutional Review Board (IRB) registration number(s).
 - (C) Documentation that the DoW-supported HSR has been reviewed and approved by an IRB, including scientific merit.
 - (D) Documentation of investigators' human research protection training.
 - (E) IRB-approved protocol documents.
- d. 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 1.a of this section.
- e. Recipients must notify the HRPO promptly of the following:
 - i. IRB-approved changes to HSR that involve changes to key investigators or institutions; substantive changes to the IRB's risk-benefit assessment of the protocol; addition of vulnerable populations or DoW-affiliated personnel as subjects;
 - ii. Transfer of HSR oversight to a different IRB;
 - iii. Notification by any federal body, State agency, official governing body of a Native American or Alaskan native tribe, other entity, or foreign government that the non-DoW institution's DoW-supported HSR is under investigation;
 - iv. When the institution is notified by any Federal department or agency or national organization that any part of its human research protection program is under investigation for cause involving a DoW-supported research protocol;
 - v. Any problems involving risks to subjects or others, suspension or termination of IRB

approval, or any serious or continuing noncompliance pertaining to DoW-supported HSR;

- vi. The results of the IRB's continuing review, if required;
 - vii. A DoW-supported study's closure;
 - viii. Change in status when a previously enrolled human subject becomes a prisoner, and the protocol was not reviewed and approved by the IRB in accordance with Subpart C, Subpart 46 of Title 45, CFR and DoDI 3216.02.
- f. Recipients must make records that document compliance or noncompliance with requirements in paragraph 1.a accessible for inspection and copying, as determined by DoW human research protection personnel, by authorized DoW representatives.

DoW representatives may independently review and inspect research and research procedures involving human subjects and based on such findings, DoW may prohibit research that presents unacceptable hazards or otherwise fails to comply with DoW requirements.

2. Animals.

- a. Prior to initiating any animal work under the award, you must:
- i. Register your 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 your proposed animal use approved in accordance with DoW Instruction (DODI) 3216.01, Use of Animals in DoW Programs by a DoW Component Headquarters Oversight Office.
 - iii. Furnish evidence of such registration and approval to the grants officer.
- b. You 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 you, the United States Department of Agriculture Office of Animal and Plant Health Inspection Service (USDA/APHIS) representative, personnel representing the DoW Component oversight offices, as well as the grants officer, to ascertain that you are compliant with 7 U.S.C. 2131 et seq., 9 CFR parts 1-4, and DoDI 3216.01.
- c. Your care and use of animals must conform with the pertinent laws of the United States, regulations of the USDA, and regulations, policies, and procedures of the DoW (see 7 U.S.C. 2131 et seq., 9 CFR parts 1-4, and DODI 3216.01).

- d. You must acquire animals in accordance with DODII 3216.01.

3. Use of Remedies.

Section B. Failure to comply with the applicable requirements in paragraphs 1 and 2 of this section may result in the DoW Component's use of remedies, e.g., wholly or partially terminating or suspending the award, temporarily withholding payment under the award pending correction of the deficiency or disallowing all or part of the cost of the activity or action (including the Federal share and any required cost sharing or matching) that is not in compliance. See OAR Article III.

Section C. [Reserved]

Appendix D to Part 1122—Terms and Conditions for NP Article IV, “Other National Policy Requirements”

NP Article IV. Other National Policy Requirements. (September 2021)

Section A. Cross-cutting requirements.

1. Debarment and suspension. You must comply with requirements regarding debarment and suspension in Subpart C of 2 CFR part 180, as adopted by DoW at 2 CFR part 1125. This includes requirements concerning your principals under this award, as well as requirements concerning your procurement transactions and subawards that are implemented in PROC Articles I through III and SUB Article II.
2. Drug-free workplace. You must comply with drug-free workplace requirements in Subpart B of 2 CFR part 182, which is the DoW implementation of 41 U.S.C. chapter 81, “Drug-Free Workplace.”
3. Lobbying.
 - a. You must comply with the restrictions on lobbying in 31 U.S.C. 1352, as implemented by DoW at 32 CFR part 28, and submit all disclosures required by that statute and regulation.
 - b. You must comply with the prohibition in 18 U.S.C. 1913 on the use of Federal funds, absent express Congressional authorization, to pay directly or indirectly for any service, advertisement or other written matter, telephone communication, or other device intended to influence at any time a Member of Congress or official of any government concerning any legislation, law, policy, appropriation, or ratification.
 - c. If you are a nonprofit organization described in section 501(c)(4) of title 26, United States Code (the Internal Revenue Code of 1968), you may not engage in lobbying activities as defined in the Lobbying Disclosure Act of 1995 (2 U.S.C., chapter 26). If we determine that you have engaged in lobbying activities, we will cease all payments to you under this and other awards and terminate the awards unilaterally for material failure to comply with the award terms and conditions.

4. Officials not to benefit. You must comply with the requirement that no member of Congress shall be admitted to any share or part of this award, or to any benefit arising from it, in accordance with 41 U.S.C. 6306.
5. Hatch Act. If applicable, you must comply with the provisions of the Hatch Act (5 U.S.C. 1501-1508) concerning political activities of certain State and local government employees, as implemented by the Office of Personnel Management at 5 CFR part 151, which limits political activity of employees or officers of State or local governments whose employment is connected to an activity financed in whole or part with Federal funds.
6. Native American graves protection and repatriation. If you control or possess Native American remains and associated funerary objects, you must comply with the requirements of 43 CFR part 10, the Department of the Interior implementation of the Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C., chapter 32). Unless award-specific terms and conditions or the DoW Component addendum to these terms and conditions say otherwise, this Native American graves requirement does not apply to a recipient that is a foreign organization or foreign public entity. Recipients are not required to flow down the Native American Graves provision to a subrecipient that is a foreign organization or foreign public entity.
7. Fly America Act. You must comply with the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. 40118), commonly referred to as the “Fly America Act,” and implementing regulations at 41 CFR 301-10.131 through 301-10.143. The law and regulations require that U.S. Government financed international air travel of passengers and transportation of personal effects or property must use a U.S. Flag air carrier or be performed under a cost-sharing arrangement with a U.S. carrier, if such service is available.
8. Use of United States-flag vessels. You must comply with the following requirements of the Department of Transportation at 46 CFR 381.7, in regulations implementing the Cargo Preference Act of 1954:
 - a. Pursuant to Public Law 83-664 (46 U.S.C. 55305), at least 50 percent of any equipment, materials 91 or commodities procured, contracted for or otherwise obtained with funds under this award, and which may be transported by ocean vessel, must be transported on privately owned United States flag commercial vessels, if available.
 - b. Within 20 days following the date of loading for shipments originating within the United States or within 30 working days following the date of loading for shipments originating outside the United States, a legible copy of a rated, “on-board” commercial ocean bill-of-lading in English for each shipment of cargo described in paragraph 8.a of this section must be furnished to both our award administrator (through you in the case of your contractor’s bill-of-lading) and to the Division of National Cargo, Office of Market Development, Maritime Administration, Washington, DC 20590.
9. Research misconduct. You must comply with requirements concerning research misconduct in Enclosure 4 to DoW Instruction 3210.7, “Research Integrity and Misconduct.” The Instruction implements the Governmentwide research misconduct policy that the Office of Science and

Technology Policy published in the Federal Register (65 FR 76260, December 6, 2000, available through the U.S. Government Printing Office web site:
<https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/321007p.pdf>.

10. Requirements for an Institution of Higher Education Concerning Military Recruiters and Reserve Officers Training Corps (ROTC).
 - a. As a condition for receiving funds available to the DoW 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 sub element 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 DoW funds under this award and all other DoW grants and cooperative agreements; and
 - ii. May suspend or terminate those awards unilaterally for material failure to comply with the award terms and conditions.
 - c. Unless award-specific terms and conditions or the DoW Component addendum to these terms and conditions say otherwise, this ROTC provision does not apply to a recipient that is a foreign organization or foreign public entity. Recipients are not required to flow down this ROTC provision to a subrecipient that is a foreign organization or foreign public entity.
11. Historic preservation. You must identify to us any:
 - a. Property listed or eligible for listing on the National Register of Historic Places that will be

affected by this award, and provide any help we may need, with respect to this award, to comply with section 106 of the National Historic Preservation Act of 1966 (54 U.S.C. 306108), as implemented by the Advisory Council on Historic Preservation regulations at 36 CFR part 800 and Executive Order 11593, "Identification and Protection of Historic Properties," [3 CFR, 1971- 1975 Comp., p. 559]. Impacts to historical properties are included in the definition of "human environment" that require impact assessment under NEPA (See NP Article II, Section A).

- b. Potential under this award for irreparable loss or destruction of significant scientific, prehistorical, historical, or archeological data, and provide any help we may need, with respect to this award, to comply with the Archaeological and Historic Preservation Act of 1974 (54 U.S.C. chapter 3125).
- 12. Relocation and real property acquisition. You must comply with applicable provisions of 49 CFR part 24, which implements the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (42 U.S.C. 4601, et seq.) and provides for fair and equitable treatment of persons displaced by federally assisted programs or persons whose property is acquired as a result of such programs.
- 13. Confidentiality of patient records. You must keep confidential any records that you maintain of the identity, diagnosis, prognosis, or treatment of any patient in connection with any program or activity relating to substance abuse education, prevention, training, treatment, or rehabilitation that is assisted directly or indirectly under this award, in accordance with 42 U.S.C. 290dd-2.
- 14. Pro-Children Act. You must comply with applicable restrictions in the Pro-Children Act of 1994 (Title 20, Chapter 68, subchapter X, Part B of the U.S. Code) on smoking in any indoor facility:
 - a. Constructed, operated, or maintained under this award and used for routine or regular provision of kindergarten, elementary, or secondary education or library services to children under the age of 18.
 - b. Owned, leased, or contracted for and used under this award for the routine provision of federally 93 funded health care, day care, or early childhood development (Head Start) services to children under the age of 18.
- 15. Constitution Day. You must comply with Public Law 108-447, Div. J, Title I, section 111 (36 U.S.C. 106 note), which requires each educational institution receiving Federal funds in a Federal fiscal year to hold an educational program on the United States Constitution on September 17th during that year for the students served by the educational institution.

Unless award-specific terms and conditions or the DoW Component addendum to these terms and conditions say otherwise, this Constitution Day provision does not apply to a recipient that is a foreign organization or foreign public entity. Recipients are not required to flow down the Constitution Day provision to a subrecipient that is a foreign organization or foreign public entity.

- 16. Trafficking in persons. You must comply with requirements concerning trafficking in persons

specified in the award term at 2 CFR 175.15(b), as applicable.

17. Whistleblower protections. You must comply with 10 U.S.C. 2409, including the:
 - a. Prohibition on reprisals against employees disclosing certain types of information to specified persons or bodies; and
 - b. Requirement to notify your employees in writing, in the predominant native language of the workforce, of their rights and protections under that statute.
18. 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.
 - a. In accordance with 2 CFR 200.216 and 200.471, all awards that are issued on or after August 13, 2020, recipients and subrecipients are prohibited from obligating or expending loan or grant funds to:
 - i. Procure or obtain;
 - ii. Extend or renew a contract to procure or obtain; or
 - iii. Enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115-232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).
 - (A) For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).
 - (B) Telecommunications or video surveillance services provided by such entities or using such equipment.
 - (C) Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of War, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country.
- b. In implementing the prohibition under Public Law 115-232, section 889, subsection (f), paragraph (1), heads of executive agencies administering loan, grant, or subsidy programs

shall prioritize available funding and technical support to assist affected businesses, institutions and organizations as is reasonably necessary for those affected entities to transition from covered communications equipment and services, to procure replacement equipment and services, and to ensure that communications service to users and customers is sustained.

c. See Public Law 115-232, section 889 for additional information.

COVERED FOREIGN COUNTRY means the People's Republic of China.

TELECOMMUNICATIONS COST means the cost of using communication and telephony technologies such as mobile phones, land lines, and internet.

19. Do Not Contract with the Enemy (2 CFR 183) – RESERVED

20. Disclosure Requirements for Recipients of Department of War Research and Development Funds.

- a. Except as provided in subsection (b) and (c), an individual or entity (including a State or local government) that uses funds received from the Department of War to carry out research or development activities shall include, in any public document pertaining to such activities, a clear statement indicating the dollar amount of the funds received from the Department for such activities.
- b. Exception. The disclosure requirement under subsection (a) shall not apply to a public document consisting of fewer than 280 characters.
- c. Waiver. The Secretary of War may waive the disclosure requirement under subsection (a) on a case-by-case basis.
- d. Public Document Defined. In this section, the term public document means any document or other written statement made available for public reference or use, regardless of whether such document or statement is made available in hard copy or electronic format.

21. Disclosure of Funding Sources in Applications for Federal Research and Development Award (42 USC 6605).

- a. Each Federal research agency shall require, as part of any application for a research and development award from such agency, that each covered individual listed on the application:
 - i. disclose the amount, type, and source of all current and pending research support received by, or expected to be received by, the individual as of the time of the disclosure;
 - ii. certify that the disclosure is current, accurate, and complete; and

iii. agree to update such disclosure at the request of the agency prior to the award of support and at any subsequent time the agency determines appropriate during the term of the award; and:

(A) that any entity applying for such award certify that each covered individual who is employed by the entity and listed on the application has been made aware of the requirements under paragraph (a).

b. Definitions.

i. In this section the term covered individual means an individual who:

(A) contributes in a substantive, meaningful way to the scientific development or execution of a research and development project proposed to be carried out with a research and development award from a Federal research agency and

(B) is designated as a covered individual by the Federal research agency concerned.

ii. In this section the term current and pending research support means:

(A) all resources made available, or expected to be made available, to an individual in support of the individual's research and development efforts, regardless of:

a. whether the source of the resource is foreign or domestic;

b. whether the resource is made available through the entity applying for a research and development award or directly to the individual; or

c. whether the resource has monetary value; and 96

d. includes in-kind contributions requiring a commitment of time and directly supporting the individual's research and development efforts, such as the provision of office or laboratory space, equipment, supplies, employees, or students.

iii. In this section the term the term entity means:

(A) an entity that has applied for or received a research and development award from a Federal research agency.

iv. iv. In this section the term Federal research agency means:

(A) any Federal agency with an annual extramural research expenditure of over \$100,000,000.

v. In this section the term “research and development award” means:

(A) support provided to an individual or entity by a Federal research agency to carry out research and development activities, which may include:

a. support in the form of a grant, contract, cooperative agreement, or other such transaction.

(B) The term does not include a grant, contract, agreement or other transaction for the procurement of goods or services to meet the administrative needs of a Federal research agency.

22. Prohibiting Funding with Institutes of Higher Education Hosting Confucius Institutes.

- a. Section 1062 of the NDAA for FY 2021 (Public Law 116-283), as amended by section 1044 of the NDAA for FY 2024, prohibits the Department from providing any funding (other than direct funding to students as educational assistance) to an institution of higher education in the United States that hosts a Confucius Institute. A Confucius Institute is defined as (A) any program that receives funding or support from (i) the Chinese International Education Foundation; or (ii) the Center for Language Exchange Cooperation of the Ministry of Education of the People’s Republic of China; or (B) any cultural institute funded by the Government of the People’s Republic of China.
- b. Recipient organizations that are institutions of higher education located in the United States are prohibited from hosting Confucius Institutes, as defined above, unless the institution of higher education has been issued a waiver from the section 1062 prohibition by the Secretary of War.

Section B. Additional requirements.

- 1. Prohibition on Using Funds under Grants and Cooperative Agreements with Entities that Require Certain Internal Confidentiality Agreements.
 - a. You may not require your 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 them 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.
 - b. You must notify your employees, contractors, and subrecipients that the prohibitions and restrictions of any internal confidentiality agreements inconsistent with paragraph a. of this award provision are no longer in effect.
 - c. The prohibition in paragraph 1.a. of this section does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal

department or agency governing the nondisclosure of classified information.

- d. If the Federal Government determines that you are not in compliance with this award provision, it:
 - i. Will prohibit your use of funds under this award, in accordance with section 743 of Division E of the Consolidated and Further Continuing Resolution Appropriations Act, 2015, (Public Law 113-235) or any successor provision of law; and
 - ii. May pursue other remedies available for your material failure to comply with award terms and conditions.

VII. Reporting Requirements

- 1. Financial and Performance Reporting: reporting shall vary based on the details of the project; however, all reporting shall compare marginal performance progress with the corresponding financial outlays.
- 2. Presentation of Findings: varies by project and specified deliverables.
- 3. Property Reports: only as applicable to proposed projects. Under 2 CFR 200, the recipient shall submit annual inventory listing to all equipment in excess of \$5,000 acquired under this grant.
- 4. Document submission: All reporting requirements above shall be sent via email to the Government Technical Program Point of Contact.

Awardees will need to comply with the reporting requirements in 2 CFR 170: Reporting Sub-award and Executive Compensation Information.

The terms and conditions of the award will provide the specifics on how to submit the reports and any required sections for those reports.

VIII. Other Administrative Requirements

Award recipients must provide assurances and certifications on all applicable compliance requirements. Any awards resulting from this NFO will be subject to the national policy requirements of assistance awards, such as Debarment and Suspension, Drug Free Workplace, Lobbying, Hatch Act, etc. Award recipients must also assure compliance with applicable Executive Orders, including EO 14332, *Improving Oversight of Federal Grantmaking*.

IX. Federal Contacts

Questions regarding program policy, program content, or technical issues should be directed to the DoW Program Technical Point of Contact:

Cheryl Scilingo, Program Manager

Defense Logistics Agency
Email: cheryl.scilingo@dla.mil

Questions regarding administrative problems or grant administration should be directed to these DoW Grants Officers:

Michael Fanizzo, Grants Officer
Washington Headquarter Services, Acquisition Directorate
Email: michael.j.fanizzo.civ@mail.mil

Miroslava Mircheva, Grants Specialist
Washington Headquarter Services, Acquisition Directorate
Email: miroslava.k.mircheva.civ@mail.mil

X. Other Information

The Federal government is not obligated to make any Federal award as a result of the announcement. Only Grants Officers can bind the Federal government to the expenditure of fund.

This is provided for your information only. The terms & conditions will be negotiated with the selected recipient prior to award of the cooperative agreement.

1. The Grants Office

Only a warranted WHS/AD Grants Officer may bind the Government. A pre-award notice that a proposal was successful neither obligates the Government to make an award nor commits the Government to reimburse any pre-award costs incurred in the anticipation of an award. Pre-award costs, where allowed, are incurred at an applicant's risk.

2. Federal Statutes

Federal statutes take precedence over all terms and conditions of awards.

3. Retention and Examination of Records

Retention and access requirements for records shall be as set out at 32 CFR 200.334-200.338 for the award.

4. Modification of Agreement

The only method by which the Agreement can be modified is through formal, written modification, signed by either the Grants Officer or the Administrative Grants Officer. No other communications, whether oral or in writing, shall be binding on the parties.

5. Code of Conduct

Applicants for grants, cooperative agreements, or other transaction agreements as applicable are required to comply with 2 CFR 200.318(c), Conflicts of interest, to prevent real or apparent conflicts of interest in the award and administration of any contracts supported by federal funds. This provision will be incorporated into all assistance instruments awarded under this NFO.

6. **Reporting Executive Compensation and First-Tier Subawards**

The Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by Section 6202 of Public Law 110-252, requires that all agencies establish requirements for recipients reporting information on subawards and executive total compensation. All awardees agree to comply with the accompanying regulations at 2 CFR Part 170. Any U.S. Institutions of Higher Education that applies for financial assistance (either grants, cooperative agreements or other transaction agreements) as either a prime or sub-recipient under this NFO must provide information in its proposal that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR Part 170.

7. **NDAA Section 889 Compliance**

See Section 18 of the National Policy Article IV. Other national policy requirements. (September 2020) Section A. Cross-cutting requirements, of the DoD R&D General Terms and Conditions September 2021.