



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

Equipment/Instrumentation

Fiscal Year 2025

Funding Opportunity Announcement
W911NF25S0005

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),
Army Research Office (ARO),
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: February 2025
Applications Inquiries and Questions (Deadline): April 4, 2025
Applications Due: April 28, 2025

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I. OVERVIEW OF THE FUNDING OPPORTUNITY ANNOUNCEMENT (FOA)

A. Required Overview Content

Federal Awarding Agency Name(s)

This Department of Defense (DoD) program will be administered through the Army Research Lab/Army Research Office (ARL/ARO), the Office of Naval Research (ONR), and the Air Force Office of Scientific Research (AFOSR) funded by 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)).

Funding Opportunity Title

Fiscal Year (FY) 2025 DoD Research and Education Program for Historically Black Colleges and Universities and Minority-Serving Institutions (HBCU/MI) Equipment/Instrumentation).

Announcement Type

This is the initial announcement.

Funding Opportunity Number

W911NF25S0005

Assistance Listing Number

12.630, Basic, Applied, and Advanced Research in Science and Engineering

Key Dates

Applications must be received by 4:00 p.m. Eastern Time, April 28, 2025, unless otherwise amended.

B. Additional Overview Information

Under the authority of 10 U.S.C. § 4144 and pending the availability of funds for FY 2025, the Department of Defense (DoD) announces this funding opportunity for the acquisition of equipment/instrumentation under the Research and Education Program for HBCUs/MIs.

The Research and Education Program for HBCUs/MIs aims to (a) enhance research and education programs and capabilities in scientific and engineering disciplines critical to the national security functions of DoD; (b) enhance the capacity of HBCUs/MIs to participate in DoD research programs and activities; and (c) increase the number of graduates in the fields of science, technology, engineering, and mathematics (STEM). This program is executed under policy and guidance issued by the Under Secretary of Defense for Research and Engineering (USD(R&E)) and is administered by ARL/ARO, ONR, and AFOSR, hereafter called the “Agencies.”

This solicitation invites applications (also referred to as “proposals”) for acquisition of equipment/instrumentation to be used for research areas of interest to the Agencies and to enhance the education of students in areas of STEM that align with the Agencies’ research interests. Information about these areas of interest is available at the following websites:

Army Research Laboratory/Army Research Office:
<https://arl.devcom.army.mil/collaborate-with-us/opportunity/arl-baa/>

Office of Naval Research: <https://www.onr.navy.mil/> Select “Work With Us,” then “Funding Opportunities,” and then “BAAs, FOAs and Special Program Announcements” to see the FY25 Long Range Broad Agency Announcement for Navy and Marine Corps Science and Technology, BAA N0001425SB001. This BAA may also be found on Grants.gov (<https://www.grants.gov>) by entering the BAA number in the “Search Grants” keyword box.

Air Force Office of Scientific Research Broad Agency Announcement is available at: <https://www.grants.gov/search-results-detail/345653>.

In addition to providing details about the Agencies’ research interests, these documents include names and contact information for technical program managers in each research area. Principal Investigators (PIs) are encouraged to peruse the research interests of each Agency and to contact respective program managers. Note that the applications with relevance to interests of multiple Agencies may receive multiple reviews. See Section II.D.5 below.

Note: Use the above referenced documents only to identify research areas of interest to the Agencies. Disregard instructions contained therein regarding application preparation, content, and submission requirements. Instead, **follow the instructions in this FOA.**

II. DETAILED INFORMATION ABOUT THE FUNDING OPPORTUNITY

A. Program Description

The DoD is soliciting applications for the acquisition of equipment/instrumentation under the Fiscal Year 2025 Research and Education Program for HBCUs/MIs. The Research and Education Program is designed to enhance the research capabilities of HBCUs and MIs and to strengthen their STEM education programs. The purpose of the funding under this FOA is to (1) support the acquisition of equipment/instrumentation to augment existing capabilities or to develop new capabilities in research areas of interest to DoD, and (2) attract students to pursue studies leading to STEM careers. Although funding provided under this FOA cannot be used for student support, in order to further DoD’s objective of attracting students to pursue studies leading to STEM careers, applicants must address the impact of the requested equipment/instrumentation on student participation in research.

B. Federal Award Information

DoD intends to award approximately \$55 million under this FOA, subject to the availability of funds. Awards will be in the form of grants, and all awards will be made by the U.S. Army Contracting Command-Aberdeen Proving Ground-Research Triangle Park Division (ACC-APG-RTP) on behalf of DEVCOM ARL/ARO. Individual awards will range from \$200,000 to \$1,000,000. All awards will have a performance period of 12 months. Award decisions will be based on the results of a merit review by the scientists and engineers of the participating Agencies.

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. **With the exception of HBCUs and TCUs, 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

- a. Amount and composition of requested funding.
 - i. An application may request DoD funding ranging in the aggregate from \$200,000 to \$1,000,000. An application that requests less than \$200,000 or more than \$1,000,000 will be considered non-responsive and will not be accepted for review. Applicants that use a “modified total direct costs” base for reimbursement of indirect (facilities and administration) costs are reminded that the costs of equipment are excluded from the base for purposes of indirect cost calculation.
 - ii. An application may request a single item of equipment/instrumentation or multiple items, including items of equipment/instrumentation that comprise a “system” for a common research purpose.
 - iii. All requested items must meet the federal definition of equipment, i.e., an acquisition cost of \$10,000 or more and a useful life of more than one year.
 - iv. General purpose equipment, i.e., equipment whose use is not limited to research/research education, including information technology equipment and software, is not eligible for support under this FOA. However, an application may include a request for computers (i.e., laptops, desktops, tablets, mobile devices, and computer software) to be used in research and research-related education programs, as long as they meet the criteria in paragraph 3.a.iii above. The purpose and use of such equipment must be fully justified, itemized, and listed under the equipment category, “material/supplies.”

- v. All equipment/instrumentation proposed for acquisition must be intended for use in research or research-related education at the applicant institution. No costs may be requested for collaboration with other institutions or purchase of equipment/instrumentation at other institutions.
- vi. No costs may be requested for user fees, maintenance agreements, or extended warranties.
- vii. DoD, at its discretion, may consider an application that includes types of costs or proposed expenditures that do not conform to the limitations in paragraphs II.D.9. as non-responsive or may unilaterally remove such items from the budget. See Section II.D.9. below for further information regarding funding restrictions.

b. Number of applications.

An institution may submit no more than three (3) applications under this FOA. If a given HBCU/MI submits more than three applications, the institution will be required to withdraw applications that exceed this limit.

D. Application Preparation and Submission

1. Grants.gov Application Submission and Receipt Procedures

This section provides submission and receipt instructions for DoD program applications. Please read the following completely and carefully follow instructions.

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, W911NF-25-S-0005, in the Funding Opportunity search box. You can also search for the Assistance Listing Number 12.630, Basic, Applied, and Advanced Research in Science and Engineering.

2. How to Register to Apply through 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/applicants/applicant-registration>.

- 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.
3. 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.

4. Timely Receipt Requirements.

Online Submission All applications must be received by 4:00 p.m. Eastern time on April 28, 2025. Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time stamp is generated within the system when the application is successfully received by Grants.gov. The applicant with the AOR role who submitted the application will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. This applicant with the AOR role will also receive the official date/time stamp and Grants.gov Tracking number in an email serving proof of their timely submission. Questions submitted after the April 4, 2025 deadline may not be answered.

When DoD successfully retrieves the application from Grants.gov, and acknowledges the download of submissions, Grants.gov will provide an electronic acknowledgement of the receipt of the application to the email address of the applicant with the AOR role who

submitted the application. Again, proof of timely submission shall be the official date and time that Grants.gov receives your application. Applications received by Grants.gov after the established due date for the program will be considered late and will not be considered for funding by DoD.

Applications using slow internet, such as dial-up connections, should be aware that transmission can take some time before Grants.gov receives your application. Again, Grants.gov will provide either an error or a successfully received transmission in the form of an email sent to the applicant with the AOR role attempting to submit the application. The Grants.gov Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. Please be patient and give the system time to process the application.

5. Content of Application.

DoD is interested in the research and related educational purposes that the equipment/instrumentation would facilitate. For this reason, the application narrative must clearly describe (1) the equipment to be acquired; (2) whether the equipment will augment existing capabilities or provide new capabilities; (3) the area(s) of research and education in which the equipment would be used; (4) how the equipment would advance research of interest to DoD; and (5) how it will enhance the ability of the institution to encourage students to pursue degrees in STEM fields, including how it will be used in research-related education.

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 should not be submitted.

FORM: SF-424 (R&R) (Mandatory) - The SF-424 (R&R) form is to be used as the cover page. Complete this form first to populate data in other forms. By submitting an application through Grants.gov, the AOR (identified by username and password) is providing an “electronic signature.” By “signing” the SF-424 (R&R), an applicant is providing the certification required by 32 CFR Part 28 regarding lobbying as contained in Section II.F.2 of this FOA, and the representations on tax delinquency and felony convictions and prohibition on using funds under grants and cooperative agreements with entities that require certain internal confidentiality agreements (see below regarding “Other Attachments,” Field 12). If you encounter problems, contact customer support at 1-800-518-4726 or at

support@grants.gov. If you forget your username or password, follow the instructions provided in the Credential Provider tutorial. Tutorials may be printed by right-clicking on the tutorial and selecting “Print.”

FORM: SF-424 Research & Related Other Project Information (Mandatory) – Complete questions 1 through 6 and attach a file for items 7, 8, and, as applicable, 12. Under this FOA, applicants are not required to provide attachments for items 9, 10, and 11. The files **must** comply with the following instructions:

Project Summary/Abstract (Field 7 on the form) (Mandatory) – The Project Summary/Abstract must be no longer than a single page (up to 4,000 characters). It must be marked to indicate that it is publicly releasable, as abstracts for all awarded applications will be placed on a DoD website(s) searchable by the public. Using terminology that the public can understand, the abstract should provide a concise description of the equipment/instrumentation requested and the research/research-related education that it will support. The header of the abstract should identify the PI, the institution, and the application title.

To attach a project summary/abstract, click “Add Attachment.”

Project Narrative (Field 8 on the form)

1. At the beginning of the project narrative, i.e., preceding the full text of the narrative, indicate the DoD Agency(ies) and research area(s) to which the proposed project and equipment/instrumentation acquisition is relevant, and provide suggested Agency assignment(s) information in the following format:
 - a. DoD Agency(ies) to evaluate the application: ARO, ONR, and/or AFOSR.
 - b. Scientific Division(s) or Directorate(s), if known, and
 - c. Technical Area(s)/Program Manager(s), if known.
2. The project narrative must clearly describe the requested equipment/instrumentation and explain how it will enhance the institution’s research/research-related education capabilities and the quality of the applicant institution’s STEM programs.
3. Indicate the academic departments that will use the equipment/instrumentation.
4. Describe how the requested equipment/instrumentation will interface with existing resources or how it will enhance current capabilities.
5. Describe any special circumstances regarding the acquisition or installation of the equipment/instrumentation, e.g., plumbing or electrical upgrades. These costs may be included in the budget if they are necessary to make the equipment fully operational and if they do not fall within the limitations specified in Section II.D.9 below.
6. Indicate the estimated useful life of the equipment/instrumentation. Describe how the institution plans to service and maintain the item(s) after the 12-month period of the award, including source(s) of funding for continued operation and maintenance.

7. Indicate if the PI will require training for optimal use of the requested equipment/instrumentation. If so, associated training costs and travel may be included in the budget and must be explained in the budget justification.
8. Describe how faculty and students are expected to use the equipment/instrumentation including, as applicable:
 - a. Will the equipment/instrumentation be used for instruction only or also in research? If used in research, describe its usage by students and faculty members.
 - b. Will there be opportunities for local high school teachers and/or students to be introduced to the equipment/instrument and to understand its usage? If so, will it be part of a broader outreach effort to interest students in pursuing STEM disciplines as undergraduates?

To attach the project narrative, click “Add Attachment.”

Other Attachments (Field 12 on the form) – To include other relevant attachments, all of which must be in PDF format, click “Add Attachment.” This must include completed representations on tax delinquency and felony convictions (included as part of the application package for this FOA). Each application must include the following two forms completed as indicated.

FORM: SF-424 Research & Related Senior/Key Person Profile (Expanded) (Mandatory) – The Degree Type and Degree Year fields on the Research and Related Senior/Key Person Profile (Expanded) 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 two fields for all individuals who are identified as having the project role of PD/PI or Co-PD/Co-PI on the form. Additional senior/key persons can be added by selecting the “Next Person” button. U.S. citizenship is not required for the PD/PI, Co-PD/Co-PI, and key personnel.

Biographical sketches are required for the PD/PI, Co-PD/Co-PI, and for other key personnel (not to exceed three (3) pages each). These will not be included in the page count. Be sure to include education and the year in which each degree was received.

To attach biographical sketches, click “Add Attachment.”

FORM: SF-424 (R&R) Research & Related Budget (Mandatory) – Complete Sections A through H and attach a budget justification in Section L. Do not include any amount for fee under Section J. The budget must be consistent with a 12-month period of performance showing the total amount requested and a breakdown by cost element.

Assume a proposed start date of early October 2025. The budget justification should provide additional data (not included in Sections A through H) by element of cost, sufficient to meet the guidance provided below and allow for meaningful evaluation. DoD fully expects that the proposed equipment/instrumentation will be ordered and installed, and any training obtained, within the 12-month period of performance. The budget justification should indicate the time frames in which these activities would take place.

The following additional guidance is provided:

Within the equipment budget category, the applicant must separately identify each item of equipment/instrumentation to be purchased and indicate the cost per item as well as the total cost of all requested items. The budget justification must specify the proposed source(s) of the requested equipment/instrumentation and include a complete vendor (manufacturer or distributor) quotation dated no earlier than 90 days before submission of the application. A complete vendor quotation must include the following:

- Name, address, and telephone number (or website) of vendor
- Type of equipment/instrumentation
- Unit price and total price
- Catalog or part number

If quotations are not provided or do not meet the above requirements, the application may be rejected for non-compliance with program requirements.

If the budget includes costs for assembly or installation of the equipment/instrumentation, including any required utility upgrades, those costs must be separately identified in the budget and explained in the budget justification.

If the budget includes costs for support and training, e.g., costs of a vendor representative spending time on campus to train faculty on use of the equipment/instrumentation or time spent by the PI at the vendor's site, those costs must be separately identified in the budget in the appropriate budget category, e.g., travel, and explained in the budget justification. DoD generally will consider up to 2 weeks to be adequate for training purposes.

To attach the budget justification at Section L, click "Add Attachment."

Note: Be sure that the total amount requested in the budget agrees with the amount entered in Block #15 of the Cover Page (Form SF-424 (R&R)).

FORM: SF-LLL Disclosure of Lobbying Activities (Optional) - This form is applicable if any funds other than federally 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 the application for a grant under this FOA. If the applicant has lobbying activity to disclose, complete this form and include it with the other Grants.gov forms in the application package.

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.

6. Unique Entity Identifier and System for Award Management

Each eligible applicant under this FOA is required to (a) be registered in SAM prior to submitting its application; (b) provide a valid UEI number in its application; and (c) 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 agency.

ACC-APG-RTP Division on behalf of the ARO, as the awarding office for awards under this FOA, will not make an award to an applicant until the applicant has complied with all applicable UEI and SAM requirements. If an applicant has not fully complied with the requirements by the time ACC-APG-RTP Division is ready to make an award, the evaluation panel will determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant.

7. Submission Dates and Times

Applications will be considered until 4:00 PM Eastern Time April 28, 2025.

Applicants are responsible for submitting their applications in sufficient time to allow them to reach Grants.gov by the specified time. To minimize the possibility of a late submission due to unexpected network or equipment issues, DoD recommends that applications be submitted at least two days prior to the date and time indicated above. If the application is received by Grants.gov after the exact time and date specified as the deadline for receipt, it will be considered "late" and will not be considered for review. Acceptable evidence to establish the time of receipt by Grants.gov includes documentary evidence of receipt maintained by Grants.gov.

If an emergency or unanticipated event interrupts normal federal government processes so that applications cannot be received by Grants.gov by the exact time specified in this FOA, and the situation precludes amendment of the FOA closing date, the time specified for receipt of applications will be deemed to be extended to the same time of day specified in this FOA on the first work day on which normal federal government processes resume.

Application Receipt Notices - As indicated in Section II.D.4. above, Grants.gov will provide a series of emails to the applicant confirming submission and receipt of the application. Applicants can track the status of their applications at <https://www.grants.gov/applicants/grant-applications/track-my-application>

8. Intergovernmental Review

There is no requirement for intergovernmental review under this FOA.

9. Funding Restrictions

The following will not be funded under this FOA:

- Alteration or renovation of facilities
- Projects involving classified information

- Consultant Services
- Operation and maintenance, including extended warranties, user fees, and maintenance agreements
- Postdoctoral associates or any form of student support (e.g., stipends, tuition, fees)
- Carrying out research. Funds may be used to pay salary costs of the PI, or other individuals identified in the application whose salaries would appropriately be considered as direct costs, associated with the time spent in learning how to operate the equipment, including any time spent at a vendor site for which travel is requested
- Applicants may not request travel costs outside of the contiguous U.S.
- Payments to non-IHE collaborators
- Applications may not request funds for, and awards under this FOA may not be used for subawards
- Any references to climate change, environment, environmental science, diverse, diversity, equity, inclusion, underserved, underrepresented terms

10. Other Submission Requirements

An applicant may withdraw an application at any time before award by written notice or by email. Notice of withdrawal shall be sent to the Grants Officer identified in Section II.G of this FOA. Withdrawals are effective upon receipt of notice by the Grants Officer.

E. Application Review Information

1. Criteria

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

- a. Impact of the requested equipment/instrumentation on the institution's ability to conduct research/research-related education in areas of interest to DoD, either by enhancing current capabilities or establishing new capabilities.
- b. Impact of the requested equipment/instrumentation on STEM programs of the institution.
- c. Impact of the requested equipment/instrumentation on student participation in STEM programs, including students at the applicant institution and high school students.
- d. Qualifications of the PI and other key personnel to use the requested equipment/instrumentation.

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

- a. Ability of the institution to operate and maintain the equipment/instrumentation after the end of the DoD support.
- b. Realism and reasonableness of cost.

2. Review and Selection Process

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. Anticipated Announcement and Federal Award Dates

Award decisions are expected to be announced in late August 2025. The PI and the AOR will receive a letter via e-mail indicating whether the application was accepted or declined. Grant awards are expected to be issued by early October 2025.

4. 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.

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 (FAPIS), or any successor system designated by OMB.

5. 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 FAPIS) (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

1. 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.

2. 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, October 2024) are available at <https://www.onr.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 105 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/ARN34981-AR_385-10-000-WEB-1.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.esd.whs.mil/Portals/54/Documents/DD/issuances/dodm/605518p.pdf?ver=2020-08-11-131349-037>

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 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 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 Contacts

For questions of a technical or programmatic nature, contact:

Evelyn Kent
Office of the Under Secretary of Defense for Research and Engineering (OUSDR&E)
Evelyn.W.Kent.civ@mail.mil

Tamika Carey
OUSDR&E HBCU/MI Program Analyst
Tamika.A.Carey.ctr@mail.mil

Tara Smith
OUSDR&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
US Army Combat Capabilities Development Command (CCDC) - Army Research Laboratory (ARL)
monique.n.wright3.civ@army.mil

Marcia Johnson
ARL HBCU/MI Program Specialist
marcia.a.johnson22.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

All Covered Individuals proposed under all grants and cooperative agreements are subject to the DoD Fundamental Research Risk-Based Security Review Process. In accordance with applicable laws and regulations and as designated by agency policy, Covered Individuals include the principal investigator (PI), co-PI(s), as well as any other individual who “contributes in a substantive, meaningful way to the scientific development or execution of a research and development project.” See e.g., 42 U.S.C. §6605.

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 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, Common Disclosure Forms, and the Research Performance Progress Reports (when applicable), in concert with a risk decision matrix consistent with the DoD’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 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 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 National Security Presidential Memorandum (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, as well as the Common Disclosure Forms, to 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) and Common Disclosure Forms 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 a risk decision matrix consistent with the “DoD Component Decision Risk Matrix to Inform Fundamental Research Proposal Mitigation Decisions” to determine the level of mitigation that may be required to proceed, if possible.

iii. The risk-based security review process will leverage, among other things, publicly available lists or reports published by the U.S. federal government. Those lists and reports include, but are not limited to:

1. FY23 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/policyguidance/lists-of-parties-of-concern

4. Director of National Intelligence (DNI) “World Wide Threat Assessment of the US Intelligence

28 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 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), 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, Common Disclosure Forms, 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 a 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 nonprofit 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 to Inform Fundamental Research Proposal Mitigation Decisions (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 to Inform Fundamental Research Proposal Mitigation Decisions, 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.