

NOTICE OF FUNDING OPPORTUNITY



DEPARTMENT OF DEFENSE (DoD)

Under Secretary of Defense (Research & Engineering) (USD(R&E)), Laboratories and Personnel Office, 4800 Mark Center Drive, Suite 17C08, Alexandria, VA 22350 and issued by Washington Headquarters Services / Acquisition Directorate (WHS/AD)

DoD STEM Community College Consortium Cooperative Agreement Notice of Funding Opportunity (NOFO)

Initial Announcement

Funding Opportunity Number: HQ003422NFOEASD01

Amendment 01 – Changes Highlighted in Green

Assistance Listing Number: 12.006 National Defense Education Program

Key Dates:	<u>EVENT</u>	<u>DATE</u>
	Final Announcement Issued	25 January
	Letter of Intent Due	22 February
	Questions Due	22 February
	Responses to Questions Posted	01 March
	Applications Due	29 March
	Evaluations Completed	Mid-June
	Award	01 September

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I. PROGRAM DESCRIPTION

A. Short Description of Funding Opportunity

The Department of Defense (DoD) National Defense Education Program (NDEP) is seeking to strategically fund science, technology, engineering, and mathematics (STEM) education at 2-year institutions and Community Colleges (2YI/CCs) through a consortium approach. The DoD STEM vision is a diverse and sustainable STEM talent pool ready to serve our Nation and extend the Department's competitive edge. This Notice of Funding Opportunity (NOFO) aims to enhance the STEM workforce through regional consortia which will develop and encourage STEM education ecosystems¹ between 2YI/CCs and 4-Year Institutions (4YIs), industry, local education agencies, and others in STEM education. Each regional DoD STEM Community College Consortium should collaboratively work with members of their geographical area to promote partnerships that enhance STEM education at 2YI/CCs, while aligning to the DoD STEM mission to "inspire, cultivate, and develop exceptional STEM talent through a continuum of opportunities to enrich our current and future DoD workforce poised to tackle evolving defense technological challenges"². These collaborations should foster the development of 2YI/CC STEM education ecosystems that have the ability to implement far-reaching sustainable programs, specifically those that promote the completion of certificate training programs aligned to DoD priority areas²; increase transitions from 2YI/CC programs to STEM degrees from 4YIs; and meet the vision, roles, and goals outlined in the DoD STEM Strategic Plan³.

Responses to this funding opportunity should focus on either or both of the below goals:

- (1) Promote and support the completion of technical training and certificate programs that strengthen the DoD and Defense Industrial Base (DIB) science, technology, and manufacturing workforce.
- (2) Develop, support, and increase the transition of students, especially those from underserved and underrepresented populations to include veterans and their spouses⁴, from 2-year institutions and/or Community College STEM programs to STEM degrees at 4-year institutions.

B. Background

The Federal STEM Education Strategic Plan states that the pace of innovation is accelerating globally, and with it, the competition for scientific and technical talent. It further added that now more than ever, the innovation capacity of the United States will depend on an effective

¹ Federal definition for STEM Education Ecosystems: STEM education ecosystems consist of multi-sector partners united by a collective vision of supporting participation in STEM through the creation of accessible, inclusive STEM learning opportunities spanning all education stages and career pathways. A STEM education ecosystem continuously evaluates its activities and adapts as needed, plans for the long-term, and communicates its work to build broad support and advance best-practices. (2020 Progress Report on the Implementation of the Federal STEM Education Strategic Plan (archives.gov))

² <https://www.cto.mil/modernization-priorities/>

³ https://dodstem-assets.dodstem.us/files/DoD_STEM_Strategic_Plan_2021.pdf

⁴ Supporting Veterans in STEM Careers Act: <https://www.congress.gov/bill/116th-congress/senate-bill/153/text>

and inclusive STEM education system⁵. A readily accessible, highly technical and diverse STEM talent is essential to the success of the Department's Research and Engineering mission, and a national security imperative. The National Defense Strategy has called for the Department of Defense to make significant investments in science and technology modernization priority areas to meet key capability and capacity needs⁶, and a diverse technical talent is essential in completing this mission. Additionally, as manufacturing transitions to Industry 4.0 methods, STEM education is increasingly important for traditional industrial skills such as machining and welding. As the largest employer of Federal scientists and engineers across the Federal agencies, DoD is committed to developing the Nation's STEM talent.

The DoD employs a comprehensive approach to develop STEM talent with K-12, postsecondary, and workforce STEM education and talent development efforts, known as DoD STEM (www.dodstem.us). DoD STEM aims to inspire, cultivate, and develop talent to address the Nation's technological challenges, now and into the future. The largest program under DoD STEM is the National Defense Education Program (NDEP), which fosters and enhances the Department's ability to develop and access high-quality STEM talent vital to national defense. Aligned to the Federal STEM Education Strategic Plan³ and to the DoD STEM Strategic Plan (2021-2025)⁷, NDEP addresses critical STEM education and talent development challenges using a continuous learning structure and evidence-based approaches. NDEP activities support the DoD STEM effort in providing authentic learning experiences through a variety of education and outreach initiatives in the form of scholarships, internships, enrichment activities, competitions, mentorships, and more by leveraging partners from industry, academia, and other government organizations with a shared STEM mission. One of the main NDEP efforts in addressing talent development and recruitment is through partnerships with 2YI/CCs and promoting 2YI/CC STEM education ecosystems.

STEM education is expanding beyond traditional engineering and scientific communities and it is increasingly critical for industrial skills proficiency. As such, 2YI/CCs are vital to the education and innovation of our Nation. In 2019, 2YI/CCs educated 41% of all undergraduate students⁸. Further, the student body of community colleges have a breadth of racial and ethnic representation: among undergraduate students, 56% of Native American students, 53% of Hispanic students, 43% of Black students, and 38% of Asian/Pacific Islander students attend Community College⁸. Additionally, 2YI/CCs reach other non-traditional students such as parents⁹, students that are also employed part- or full-time¹⁰, and military personnel¹¹. However, 2YI/CCs and their students face a unique set of challenges, including, but not limited to, a lack of work-based and research-based opportunities tailored to 2YI/CC students, a need for seamless transition of credit to 4YIs and the workplace, wraparound support services (factors affecting student engagement and participation, for

⁵ <https://dodstem-assets.dodstem.us/files/2018-23-Federal-STEM-Education-Strategic-Plan.pdf>

⁶ <https://dod.defense.gov/Portals/1/Documents/pubs/2018-National-Defense-Strategy-Summary.pdf>

⁷ https://dodstem-assets.dodstem.us/files/DoD_STEM_Strategic_Plan_2021.pdf

⁸ <https://www.aacc.nche.edu/research-trends/fast-facts/>

⁹ <https://www.aacc.nche.edu/2021/01/20/42067/>

¹⁰ https://www.aacc.nche.edu/wp-content/uploads/2019/01/DataPoints_V7_N2.pdf

¹¹ <https://www.aacc.nche.edu/wp-content/uploads/2018/11/DataPointsV6N17.pdf>

example, childcare, transportation, auxiliary costs), administrative support to execute programs, and the need for mentoring and advising tailored to the unique needs and backgrounds of 2YI/CC students.

C. Program Description/Objective

In accordance with 10 USC §2192, *Improvement of education in technical fields: general authority regarding education in science, technology, engineering, and mathematics*, NDEP, through WHS/AD, intends to directly support 2YIs/CCs by developing exceptional STEM talent through a regional consortium-based model. Through multiple cooperative agreement awards to regional consortia, DoD STEM aims to foster communication, collaboration, and a STEM education ecosystem between 2YI/CCs and their relevant partners. Two-Year Institutions and Community Colleges benefit from strong connections to both industry and 4YIs; these regional ecosystems can ensure their coursework and programs address the current need for workers and prepares students for future curricula. Each Consortium should promote the capacity of 2YI/CCs to create impactful STEM educational experiences for students through collaborative partnerships. Consortia partners may include, but are not limited to, 4YIs, industry partners, local educational agencies, and DoD facilities. Two-year institutions and Community Colleges will be able to leverage these partnerships and collaborations to foster additional support and resources, drawing on the breadth of knowledge and capabilities of each Consortium member.

Specifically, proposals should focus on one or both of the following two areas, through a regional consortium approach:

- (1) Promote and support the completion of technical training and certificate programs that strengthen the DoD and Defense Industrial Base (DIB) science, technology, and manufacturing workforce.
- (2) Develop, support, and increase the transition of students, especially those from underserved and underrepresented populations to include veterans and their spouses, from 2-year institutions and/or Community College STEM programs to STEM degrees at 4-year institutions.

In both areas, the DoD seeks programs that emphasize areas that support the future mission of the DoD. These include DoD Priority Areas, such as biotechnology, cyber, microelectronics, and autonomy, from the research and development phase through advanced manufacturing¹². The DoD will prioritize Consortia that support placement of qualified students, upon completion of the program, to DoD and DIB manufacturing, research, and career opportunities, or a pathway to other educational opportunities. Proposed programs should be able to demonstrate an understanding of the needs of 2YI/CCs in regards to STEM education, potential solutions, and outcomes from enhanced quality and effectiveness of 2YI/CC support.

The Department seeks to complement its portfolio of programs (<https://dodstem.us/participate/opportunities/>) while maintaining and/or increasing its focus on underserved populations to include military-connected children and student veterans, as

¹² <https://www.cto.mil/modernization-priorities/>

described in the DoD STEM Strategic Plan¹³.

DoD STEM encourages proposals from Minority Serving Institutions (MSIs) as well as other institutions that support the recruitment, retention, and completion (certificate, degree, program) of groups historically underrepresented in STEM fields. DoD STEM is particularly interested in proposals from all types of Minority Serving Institutions, including Hispanic Serving Institutions, Historically Black Colleges and Universities (HBCUs), Tribal Colleges and Universities, and Alaska Native and Native Hawaiian Serving Institutions.

1. Consortium Membership

It is recommended that the Applicant, also known as the Lead Organization (LO), be either a 2YI/CC or a non-profit institution. When other institutions are a Recipient, it is recommended that a representative from a 2YI/CC be the Principal Investigator (PI) or co-PI. The LO is to assemble a qualified team of organizations that have expertise and a proven track record in the areas required to successfully manage and implement fundamental DoD STEM elements. Applications should focus on including representation from a robust network of partners in the Consortium, on-boarded as sub-awardees and referred to as Consortium Members, or Members. Applications should identify Members, the value that each Member adds to the network, and the role that each Member has in promoting this NOFO's goals: (1) promote and support the completion of technical training and certificate programs that strengthen the DoD and DIB science, technology, and manufacturing workforce, and/or(2) develop, support, and increase the transition of students, especially those from underserved and underrepresented populations to include veterans and their spouses, from 2YI/CC STEM programs to STEM degrees at 4YIsMembers may include, but are not limited to, the following:

- Industry and employers, including professional societies, to promote direct career pathways into the workforce, financial support from industry, alignment between awarded credentials and industry needs, and/or increase opportunities for internships and apprenticeships;
- Four-year institutions, to promote ease of acceptance from partnering 2YI/CCs, curriculum alignment, meeting the specific needs of 2YI/CCs and their academic backgrounds, and/or pathway alignment;
- DoD employers, laboratories, and military installations to promote hands-on workforce development, increase direct career pathways to the DoD workforce, and/or ensure awarded credentials meet the specific needs of the DoD; and/or
- High schools and K-12 school districts to promote curriculum alignment, gaining skills and knowledge required for success in a STEM field, and/or early awareness of 2YI/CC opportunities.

¹³ https://dodstem-assets.dodstem.us/files/DoD_STEM_Strategic_Plan_2021.pdf

A suggested, but not mandatory, Consortium structure may include multiple 2YI/CCs, and is strongly encouraged to also include regional 4YI, industry, and/or nonprofit organization. At the request of the Consortium and at the approval of the DoD, additional Consortium Members may be added to or removed to advance the Consortium's objectives in support of the DoD STEM strategic goals. The Consortium should identify key regional challenges and work towards collaborative solutions. As such, the technical application should address the needs in the regional community.

2. Consortium Management

Each LO will lead their regional Consortium to ensure a focus on planning and executing programs that are in alignment with STEM priorities and goals, as outlined in the DoD STEM Strategic Plan, while focusing on key regional challenges. It is recommended that a 2YI/CC or nonprofit institution serve as the award LO, and a member of the LO serve as the Primary Investigatory (PI). Other partnering institutions / Consortium Members should be structured as sub-awardees. When other institutions are a Recipient, a representative from a 2YI/CC must be the Principal Investigator (PI) or co-PI. The Recipient will be responsible for the distribution of funding to all Consortium members. To ensure successful execution of the CA, the LO PI is expected to stay with the LO and manage the award from at least one (1) year after receipt, or the award may be rescinded. Changes of the PI at any time must be coordinated with the government through the Cooperative Agreement Manager.

The organizational framework of the Consortium should be efficient and flexible with defined areas of responsibility among the Consortium Members to minimize overhead and duplication, yet ensure relevance and proper oversight. The Applicant will propose a Consortium structure that seamlessly integrates program components to promote collaboration, creativity, and synergy, ultimately aiming to achieve the goals established by the Government.

It is critical that each Consortium be structured and managed to foster an open, collaborative environment in which each member of the Consortium is equal and receptive to leveraging knowledge resources.

The technical application should describe an Agreements Document between partners that ensures program budget and execution is performed in accordance with the proposed activities. This Agreements Document may take the form of a Memorandum of Understanding, Articles of Collaboration, or other agreement.

- **Initial Work Plan (IWP):** As part of the application, applicants will submit an IWP for the Consortium. The IWP will include a 3-year roadmap for the base years which describes the overall plan to be accomplished by the Consortium. The roadmap should provide a detailed description of a well-coordinated plan of program execution, focused on DoD STEM priorities and

objectives as outlined in this NOFO. It should provide approximate timelines, to the best possible extent for the various components and activities.

The Consortium, as an entity, will not solicit or accept funding from outside sources without the approval of the Grants Officer and the CAM. During the period of performance of the CA, the Grants Officer, in coordination with the CAM, will have approval authority for certain changes to the initial program plan (IWP), including but not limited to:

1. Changes in the scope or the objective of the program or IWP;
2. Change in the key personnel of the Consortium, including the PI;
3. The need for additional Federal funding; and
4. Any sub-contract, transfer, or contracting out of program performance under an award, unless described in the IWP.

During the period of performance of the CA, the Grants Officer, in coordination with the CAM, will have approval authority for certain specific changes to the cooperative agreement including, but not limited to:

1. Changes to the agreement document (Memorandum of Understanding, Articles of Collaboration, or other), if such changes substantially alter the relationship of the parties as originally agreed upon;
2. Solicitation or acceptance of funding under the agreement from sources other than DoD;
3. Changes in Consortium membership;
4. Changes in award ceiling; and
5. Exercise of option periods.

- **Reports:** The Consortium will be responsible for completing the following reporting requirements:
 - Monthly Technical and Financial Progress Reports: A one-page template will be provided to each Recipient. This report will include information on current expenses and invoices for the time period, programmatic developments, and major successes or major challenges that warrant DoD STEM attention.
 - Annual Reports: Complete annual Performance Progress Report. Reporting occurs during the summer months regardless of grant start date.
 - Final Report: Detail the full programmatic accomplishments summarized from prior reports and a forecast for ongoing program sustainability and expansion.
- **Interim Reviews and Meetings:** Individual program reviews between DoD STEM and the Recipient may be held as necessary. An Annual Program Review meeting will be held with all regional Consortia members and other

DoD STEM partners. Department of Defense colleagues may participate in these reviews. Program status reviews may also be held to provide a forum for reviews of the latest Consortium progress.

D. Authorization

The authorization to make awards under this funding opportunity may be found via the Assistance Listing (CFDA) Number on beta.sam.gov.

E. Legal Requirements

Each grant awarded under this announcement 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 1100 [Subchapter D – Administrative Requirements Terms and Conditions for Cost-Type Grants and Cooperative Agreements to Nonprofit and Government Entities] which are located at <https://www.onr.navy.mil/work-with-us/manage-your-award/manage-grant-award/grants-terms-conditions>. These terms and conditions are incorporated by reference in this announcement.

F. Program-Specific Requirements

Not Applicable

II. FEDERAL AWARD INFORMATION

A. Award History and Instrument

This is a new program and is expected to result in the award of cooperative agreements as defined at 31 U.S.C. 6305. The cooperative agreements will be awarded to “eligible entities” as defined at 10 USC §2192(b)(3) which includes a State, a political subdivision of a State, an individual, and a not-for-profit or organization in the private sector. Each Consortium must be led by a Lead Organization (LO) entity responsible for managing the Consortium. The LO will be charged with providing leadership to the Consortium as well as coordinating and synchronizing overarching efforts. Performance under the cooperative agreement should also include additional sub-awardees as Consortium Members. The LO will be the Recipient for purposes of the award. Hereafter, the terms LO and Recipient are synonymous.

B. Funding Amount and Number of Awards

This NOFO intends to fund approximately five (5) regional DoD STEM Community College Consortia Cooperative Agreements (CAs) at a not to exceed amount of \$5,000,000 each over a three (3) year base period of performance. After the three (3) year base period, three one (1) year options at a not to exceed funding level of \$2,000,000 per year may be exercised based upon recipient's performance, and subject to availability of funds. As such, the ceiling funding amount over the lifetime of the award could be up to \$11,000,000. These

funding amounts include both direct and indirect cost. Applicants are reminded that this request is subject to federal funding appropriations and Departmental approval. **The option year funding levels provided in this NOFO are for application preparation purposes only. The actual funding level of the cooperative agreement option years will be updated annually, beginning in Base Year 3, based on an Annual Program Plan, budget review, and subject to the availability of funds.**

C. Profit/Fee

Fee/profit is unallowable under assistance agreements at either the prime or sub-award level, but may be permitted on subcontracts issues by the prime awardee.

D. Place of Performance

Performance is limited to the United States and US territories.

E. Period of Performance

An award made as a result of this NOFO will provide potential funding for up to six (6) years. This award will be structured as a base agreement of a three (3) year duration, with three one (1) year options to be exercised based upon recipient performance. The Government will review the CA annually to assess the degree to which the recipient is making progress towards meeting the objectives of the agreement. Option year exercises will be subject to the availability of funds. The technical application ([Section IV.F](#)) should outline both base year and option year activities.

F. Sub-awardees and sub-contracts

The PI of the project will represent the Lead Organization, however the consortium-based model necessitates collaboration and funding to multiple institutions. Consortium Members will be funded as sub-awardees, and hereafter the terms sub-awardee and Member are synonymous. The responsibility of each Member, the relationships between Members, the on- and off-boarding of Members, and demonstration of how each Member complements the overall approach should be outlined in the application.

Each Consortium may be augmented with subcontracts to meet specific objectives, especially for the efforts for which the subcontractor is particularly qualified.

DoD STEM encourages Minority Serving Institutions as well as other institutions that support the recruitment, retention, and completion (certificate, degree, program) of groups historically underrepresented in STEM fields to serve as LO's and/or sub-awards. Additionally, the inclusion of small and women-owned businesses as sub-awardees and/or subcontracts are encouraged.

G. Government Role & Responsibility

Substantial government involvement is expected under the CA and essential to the

performance and successful execution of Consortia. The CA enables and encourages Consortium Members to synchronize and coordinate the program planning and execution with the Government's primary representative, the Cooperative Agreement Manager (CAM). It is the CAM's responsibility to provide technical and fiscal oversight over the Cooperative Agreement.

On behalf of the Office of the Under Secretary of the Defense for Research and Engineering [USD(R&E)], the CAM must ensure that Consortium programs and partnerships are planned and executed in alignment with the CA priorities and goals as implemented annually in the approved program plans and funding levels. In addition, it is the CAM's responsibility to effectively and efficiently integrate STEM assets/resources across the DoD's Science and Technology (S&T) Enterprise into the Community College Consortia's programs and partnerships, to ensure STEM participants are exposed to and learn about STEM opportunities and careers across DoD. Substantial Government involvement is required to coordinate local and national interactions between regional consortia awardees, and their students and teachers, with other DoD STEM opportunities, as well as with DoD scientists and engineers (S&Es) across the Defense Laboratory Enterprise.

Lastly, the CAM facilitates/synchronizes between the funding and policy office at USD(R&E), the Grants Officer, Consortium members and DoD stakeholders to ensure program intent and objectives are met. In an effort to ensure that activities align with DoD STEM strategic goals under the CA, it is expected that the awardees, in coordination with the CAM, will make informed decisions on which efforts to adjust, which practices to sustain and expand, and to make real-time adjustments to funding, planning, implementation, and processes, if required.

III. ELIGIBILITY INFORMATION

A. Eligible Applicants

The cooperative agreements will be awarded to "eligible entities" as defined at 10 USC §2192(b)(3) which includes a State, a political subdivision of a State, an individual, and a not-for-profit or organization in the private sector. Applicants are reminded that formation of a Consortium is a requirement in order to be responsive to this NOFO, and the Consortium may be either already existing or new partnerships. All responsible sources from industry, non-profit institutions, institutions of higher education, state, and/or local educational agencies, or existing consortia of such institutions and/or industry may submit an application to this NOFO. Current and past awardees from previous NDEP funding opportunities are eligible to submit an application to this NOFO.

Applicants are strongly encouraged to submit a LOI no later than **22 February, 2022** demonstrating their intent to apply to this NOFO, as described in [Section IV.A](#). The LOI should be emailed to osd.dodstem@mail.mil with the subject line: NOFO Letter of Intent.

Defense laboratories, military universities, and warfare centers, as well as other Department of Defense and civilian agency laboratories, are not eligible to receive

awards under this NOFO. If any such organization is interested in the program described herein, the organization may contact DoD STEM at osd.dodstem@mail.mil, to discuss potential projects. The subject line of the email shall read “NDEP Potential Project Inquiry.”

Federally Funded Research & Development Centers (FFRDCs), including Department of Energy National Laboratories, are not eligible to receive awards under this NOFO. However, teaming arrangements between FFRDCs and eligible principal applicants are allowed so long as they are permitted under the sponsoring agreement between the Government and the specific FFRDC.

University Affiliated Research Centers (UARCs) are eligible to submit applications under this NOFO, unless precluded from doing so by their Department of Defense UARC contract.

Religious organizations are entitled to compete on equal footing with secular organizations for Federal financial assistance as described in E.O. 13798, “Promoting Free Speech and Religious Liberty.”

All proposed Consortium Members are expected to have significant involvement and input into the program. The Lead Organizations or Recipient will be charged with spearheading the efforts to meet Consortium goals and in managing overall efforts in program evaluations, communications and outreach. Additionally, applicants are expected to consider carefully the construct of their proposed Consortium to ensure clarity of each member’s area(s) of responsibility and in providing flexibility when and where necessary, to efficiently achieve the goals in support of program priorities.

To be qualified, potential Consortium Members must:

- Have no known recent record of lack of responsibility or serious deficiency in executing such programs or activities;
- Have no known recent record indicating a lack of integrity or business ethics; and
- Be otherwise qualified and eligible to receive an award under applicable laws and regulations.

Defense Science, Technology, Engineering, and Mathematics (STEM) Education Consortium (DSEC) partners are eligible to apply. However, applications must be stand-alone, innovative, and novel approaches to STEM activities. Scale up of current DSEC efforts will not be considered.

B. Cost Share or Matching

The primary basis for selecting applications for award will be technical merit, relevance to the subject of the NOFO, proposed cost realism and reasonableness, and the availability of funds to support the effort. If offered, voluntary cost sharing may be considered as a demonstration of an offeror's commitment to their proposed project. Any proposed cost sharing becomes a binding term of any award. WHS/AD reserves the right to request and

require additional supporting information and documentation after it makes the selection determination. WHS/AD reserves the right to remove Applicants from award consideration if the parties fail to reach agreement on award terms, conditions, or cost/price within a reasonable time; or if the Applicants fail to provide requested or required additional information in a timely manner.

C. Conflict of Interest

1. General Requirement for Disclosure

The Applicant, and Consortium Members, must disclose any potential or actual scientific or nonscientific conflict of interest(s) to the Government. The Applicant and Consortium Members must also disclose any potential or actual conflict(s) of interest for any identified sub recipient you include in the application. The Government or Grants Officer reserves the right to clarify any conflicts of interest, if needed.

At the Government and/or Grants Officer's discretion, the Government and/or Grants Officer may ask the Applicant and/or Consortium Members for a conflict of interest mitigation plan after submission of the application. The plan is subject to Government and/or Grants Officer approval.

2. Scientific Conflict of Interest

Scientific collaborations on research and development projects are generally the result of close collaboration prior to the submission of applications for support. Accordingly, these collaborations should be considered when considering potential conflicts of interest. The potential conflict is mitigated by the disclosure of these collaborations, and the list of current and pending support you provide for senior and key researchers. Therefore, you must include in your list of current and pending support all collaborators, even if they did not formally provide support.

3. Other

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

a. Certifications, representations, and assurances

To apply for grants and other funding opportunities the applicant entity must have an active registration in the System for Award Management (SAM). Applications will not be accepted through Grants.gov or other methods unless the entity is registered in SAM. Registration in SAM now includes the acceptance of Certifications and Assurances. SAM may be accessed at: <https://beta.sam.gov>. See <https://www.grants.gov/web/grants/grantors/grantor-standard-language.html> and Attachment A - Registration and Submission

Instructions for details on how to register in SAM, and Grants.gov

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, you are still required to submit any documentation, including the SF-LLL Disclosure of Lobbying Activities (if applicable), and, if applicable, informing DoD of unpaid delinquent tax liability or a felony conviction under and Federal law.

For more information, see Attachment C: Certifications and Representations.

b. Protection of Human Subjects

For proposals containing activities that include research involving human subjects as defined in DoDI 3216.02, after award, the Applicant must submit documentation as requested by a DoD Human Research Protection Official (HRPO), outlined in the DoDI 3216.02. Additional information and requirements can be found in [Section IX.F](#).

IV. APPLICATION AND SUBMISSION INFORMATION

A. Submission Dates and Times

DoD will only accept application submitted on or before **29 March, 2022**, 11:59 PM Eastern Time (ET). Read the instructions in <https://www.grants.gov/web/grants/grantors/grantor-standard-language.html> about registering to apply for DoD funds. If you experience difficulties with your submission, Grants.gov provides support via the toll-free number 1-800-518-4726 and email at support@grants.gov. This ticket number will allow DoD to verify your issue if it cannot be resolved by the application date.

A Letter of Intent (LOI) to apply should be submitted by email to osd.dodstem@mail.mil no later than 11:59 PM ET on **22 February, 2022** with a subject line of: NOFO Letter of Intent. The LOI should be no longer than one (1) page in length, stating the LO's intent to apply to this NOFO. Potential Consortium Members should be outlined. While not mandatory, submission of a LOI is strongly encouraged.

Questions regarding this NOFO may be submitted to osd.dodstem@mail.mil before 11:59 PM ET on **22 February, 2022**. Questions regarding this NOFO that are received after 11:59 PM ET on 22 February are not obligated to be answered. Responses to all submitted questions will be posted on grants.gov on or before 11:59 PM on **01 March, 2022**.

B. Address to Request Application Package

The application package for Notice of Funding Opportunity is available on Grants.gov.

C. Application Procedures and Requirements

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. Please see Attachment A - Registration and Submission Instructions for details on how to go through this process.

Full application packages must be submitted electronically to Grants.gov no later than **11:59 p.m. Eastern Time on 29 March, 2022**.

Applicants are responsible for submitting their applications in sufficient time to allow them to reach Grants.gov by the date and time specified in this announcement. It is strongly recommended that applications be uploaded at least 2 days before the closing date and time. This will help avoid problems caused by high system usage or any potential technical and/or input problems involving the applicant's own equipment. It will also allow any application errors detected by Grants.gov to be corrected in time for the application to be resubmitted. 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 may 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, and Grants.gov e-mails to the applicant confirming receipt. These e-mails will indicate 1) the application was received on time, 2) application was rejected due to errors, 3) application was received after the deadline. Note that this Grants.gov response may occur over several e-mails, e.g., one acknowledging on-time receipt, and a later e-mail rejecting for errors the system detected. Applicants can also track the status of their applications at <https://www.grants.gov/web/grants/applicants/track-my-application.html>.

For full instructions on registration and submission instructions, see Attachment A: Registration and Submission Instructions.

D. Application Withdrawal

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 this announcement. Withdrawals are effective upon receipt of notice by the grants officer.

E. Intergovernmental review

Not applicable

F. Content and Formation of Submissions

1. Cooperative Agreement Application Overview

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. Documentation submitted under this NOFO are expected to be unclassified; classified applications are not permitted.

Proposals will be evaluated by Government personnel and/or Non-Government reviewers. Non-Government reviewers may include university faculty and staff researchers. 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 DoD regulations. Applicants are expected to appropriately mark each page of their submission that contains proprietary information.

a. Full Application

Applicants must complete the mandatory forms and any optional forms in accordance with the instructions on the forms and the additional instructions below. The required fields should be completed in accordance with the “pop-up” instructions on the forms. To activate the instructions, turn on the “Help Mode” (icon with the pointer and question mark at the top of the form). Files that are attached to the forms must be in Adobe Portable Document Form (PDF), except for the Initial Work Plan, and unless otherwise specified in this announcement. You must mark your application with the announcement number. A summary of what is required for a complete application is below.

Submit **Technical Applications** using the following format:

- Paper Size – 8.5 x 11-inch paper
- Margins – 1 inch
- Spacing – single spaced
- Font – Times New Roman, 12 point
- Page limit – The technical application / Project Narrative shall not exceed 36 pages.

Attachments to Required forms (See Attachment B for detailed instructions on filling out the SF-424 Forms for DoD grants)

The below chart specifies which forms and attachments required and specifies the maximum page lengths for attachments to be submitted along with the completed form.

Form	ASSOCIATED FIELD	ATTACHMENT	Attachment Maximum Length (Suggested)
SF 424 (R&R) Application for Federal Assistance, including an authorized signature	17	SFLLL Disclosure of Lobbying Activities	As Required
	18	Representation for Tax Delinquency, Felony Conviction, and Internal Confidentiality Agreements	As Required
R&R Other Project Information Form	7	Project Summary/Abstract	1 Page
	8	Project Narrative*	36 Pages
	9	Bibliography & References Cited	As required
	11	Equipment	As required
	Bio Sketch	Biographical Sketch	1-2 Pages
R&R Senior/Key Person Profile Expanded	Current & Pending Support	Current & Pending Support	No page restriction**
	L - Budget Justification	Budget Justification	As required***
R&R Budget Form		Abstract cleared for public release	1 Page
Project_Abstract_1_2-V1.2	Additional Locations	Additional Locations	As required (if there are not additional locations, no attachment is needed)
	N/A (No attachments)	N/A (No attachments)	N/A (No attachments)

* The Project Narrative is broken out as follows and explained below:

Cover Page – 1 page

Table of Contents – 1 page

Technical Approach and Justification: Base Years 1-3 – no more than 10 pages

Option Year Exercises – no more than 2 pages

Management Approach – no more than 3 pages

Metrics and Evaluation – no more than 2

Project Schedule and Milestones – no more than 2 pages

Financial Breakdown – no more than 4 pages

Reports – no more than 1 page

Qualifications – no more than 1 page

Responsibility – no more than 2 pages

Facilities & Equipment – 1 page

Initial Work Plan – no more than 6 pages

EXCLUDED from the Project Narrative 36-page limit are: resumes, curricula vitae, references, letters of support, current and pending projects, data management plan, and Agreements Document. These may be included in the same document as appendices, after the 36-page limit.

Technical Applications exceeding the page limit may not be evaluated.

*** Current and Pending Support (required – no page restrictions – not counted in the project scope restrictions):

- A list of all current projects the individual is working on, in addition to any future support the individual has applied to receive, regardless of the source.
- Title and objectives of the other research projects.
- The percentage per year to be devoted to the other projects.
- The total amount of support the individual is receiving in connection to each of the other research projects or will receive if other applications are awarded.
- Name and address of the agencies and/or other parties supporting the other research projects.
- Period of performance for the other research projects.

*** Submit **Budget Justification** using the following format:

- Paper Size – 8.5 x 11-inch paper
- Margins – 1 inch
- Spacing – single spaced
- Font – Times New Roman, 12 point
- Page limit – There is no page limitation to the Budget

NOTE: The electronic file name for all documents submitted under this NOFO must not exceed 68 characters in length, including the file name extension.

b. Project Narrative Content

A complete application must include **all** components in the following section which will be the criteria for how the application will be evaluated ([Section VI](#)). The application must describe the effort by the following:

Cover Page – This must include the words “Cooperative Agreement Application”. Using the format below, the following information must be included:

- (a) NOFO Number: HQ003422NFOEASD01;
- (b) Title of Application;
- (c) Identity of Lead Organization and complete list of sub-awardees / Consortium Members;
- (d) Technical contact (name, address, phone/fax, electronic mail address);
- (e) Administrative/business contact (name, address, phone/fax, electronic mail address);
- (f) Principle Investigator (name, address, phone/fax, electronic mail address);
- (g) Proposed period of performance (identify both the base period and any options, if included); and
- (h) Total proposed budget.

Table of Contents – A listing of the sections within the application, including corresponding page numbers.

Approach and Justification – The application must consist of a clear description of the approach being proposed. The potential DoD STEM relevance and contribution to the Department’s STEM outreach and workforce must be made clear. The focus and impact on either of the two priority areas ([Section I.A](#) and [Section I.C](#)) should be clearly identified and explained. This section may focus on activities developed or supported during the 3-year base period. The application should expound on the technical concept and in particular:

1. Discuss how the proposed Consortium will meet the goals of supporting STEM education in regards to either of the two priority areas in [Section I.A](#) and [Section I.C](#);
2. Discuss the approach to developing the Consortium, with the goals of increasing or maintaining the educational and career pathways, and the potential of the proposed program(s) to educate future scientist and engineers in STEM disciplines critical to the DoD mission;
3. Identify unique challenges within the Applicant's regional 2YI/CC STEM education community and describe how will their proposed activities and programs address these needs and/or promote a local STEM education ecosystem;
4. Discuss the structure of the Consortium and how new or existing STEM activities will be supported and/or developed;
5. Discuss the potential to achieve the objectives of the Consortium, including the extent to which the proposed effort would enhance current capabilities;
6. Discuss increased or enhanced opportunities to disseminate information on DoD STEM programs and careers;
7. Discuss the potential and extent to which the proposed program could potentially engage the Defense Laboratory Enterprise into the planned activities of the Consortium program;
8. Describe a strategy for program sustainability, such that following the completion of DoD STEM's investment under this funding opportunity, the effort will have a clear financial path and leave enduring organization capability.

Option Year Exercises – Describe how activities developed in the base year period will be continued, scaled, adjusted, and/or measured during the option year exercises in years 4-6.

Management Approach – Describe the overall management approach, provide rationale for participation of key Consortium members, and describe how members may be on- or off-ramped. Clear responsibilities for each partner should be outlined, and a mechanism for collaboration between partners should be clearly explained. Discuss how the program and budget will be executed according to schedule, and how the Consortium will monitor the progress of program and budget execution.

Metrics and Evaluation – Discuss how the Consortium will be evaluated, specifically what metrics will be collected and evaluation method(s) used. Metrics and evaluation components must include but not be limited to:

- Logic models or learning agenda, and program operating guidelines.
- Anticipated data collection and results.
- Data instruments as feasible.

Project Schedule and Milestones – A summary of the schedule of events and milestones. This should include both the base and option years.

Financial Breakdown – The application must include a cost proposal detailing direct labor, administrative and clerical labor, fringe benefits and indirect costs, travel, sub-awards, subcontracts, consultants, materials and supplies, recipient acquired equipment of facilities, and other direct costs.

The cost proposal, which is a *narrative* explaining and justifying budget figures in enough detail so the government can determine reasonableness. It must include *all figures, calculations, and supporting documentation for determining cost allowability, allocability and reasonableness*. Justifications for costs must be explicitly stated.

Additional information may be requested, if needed. If composite rates are used, provide the calculations used in deriving the composite rates. A Negotiated Indirect Cost Rate Agreement (NICRA) may be required in order for an awardee to invoice for indirect costs. If the Offeror does not currently hold a NICRA, describe the current status of the organization's request for such an agreement with its cognizant agency.

IAW 2 CFR §200.414(f), any non-Federal entity that has never received a negotiated indirect cost rate, except for those non-Federal entities described in Appendix VII to 2 CFR §200, may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely.

If subject to Federal Single Audit coverage requirements, the offeror must submit the latest Single Audit with the application.

NOTE: *Failure to adequately provide detailed cost data will require the Grants Officer to contact the proposing organization for the requisite information. All Offerors are required to submit a thoroughly detailed cost breakdown. The Grants Officer must be able to determine that all proposed costs are allowable and reasonable. A detailed budget will facilitate this cost analysis.*

Reports – The Applicant must acknowledge that the following reports (more information can be found in [Section VII](#)) are required under a DoD funded STEM effort:

1. Monthly Reports
 - Monthly Financial Reports
2. Quarterly Reports
 - Interim Research Performance Progress Reports (RPPR)
 - Interim Federal Financial Report (SF 425)
 - Federal Financial Report (SF 425)
3. Annual Reports
 - Annual Research Performance Progress Report (RPPR)
 - Invention Reports
 - Annual DoD STEM Program Data Call Form
4. Final Reports
 - Final Report
 - Final Federal Financial Report (SF 425)
 - Invention Report

Grants do not include the delivery of software, prototypes, and other hardware deliverables.

Letter(s) of Support – There is no specified format or content required for the letter(s) of support other than being authored by the appropriate representative and supporting commitment to the applicant and his or her project. Commitment may include (but is not limited to) funding, related materials and/or computer investments, technical advisement, and organizational or infrastructure support. The letter(s) can include any and all commitments and investments made by the representative towards the applicant and the overall statement about the relevance of the project to DoD STEM goals. Letters of support are required for submission of Technical Application.

References – Literature citations.

Current and Pending Project and Application Submissions – Applicants are required to provide information on all current and pending support for ongoing projects and applications, including subsequent funding in the case of continuing contracts, grants, and other assistance agreements. Concurrent submission of an application to other organizations will not prejudice its review by DoD. Applicants shall provide the following information of any related or complementary application submissions from whatever sources (e.g., DoD, Federal, State,

local or foreign government agencies, public or private foundations, industrial or other commercial organizations):

1. Title of Application and Summary;
2. Source and amount of funding (annual direct costs; provide contract and/or grant numbers for current contracts/grants);
3. Percentage effort devoted to each project;
4. Identity of prime Applicants and complete list of sub-awards, if applicable;
5. Technical contact (name, address, phone/fax, electronic mail address);
6. Administrative/business contact (name, address, phone/fax, electronic mail address);
7. Period of performance;
8. The proposed project and all other projects or activities requiring a portion of time of the Project Director / Principal Investigator and other senior personnel must be included, even if they receive no salary support from the project(s);
9. The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months or labor hours per year to be devoted to the project, regardless of source of support; and
10. State how projects are related to the proposed effort and indicate degree of overlap.

Principal Investigator Qualifications – A discussion of the qualifications of the proposed Project Director / Principal Investigator and any other key personnel. Include resumes or curricula vitae for the Project Director / Principal Investigator and other key personnel. The resumes / curricula vitae shall be attached to the application. To ensure successful execution of the CA, the LO PI is expected to stay with the LO and manage the award from at least one (1) year after receipt, or the award may be rescinded.

For all personnel proposed as key personnel applicants must submit an SF424 Research and Related (R&R) 4040-001 Senior/Key Person Profile (Expanded) form.

Responsibility – Applicants must provide the following information to DoD in order to assist in DoD's evaluation of the applicant's responsibility:

1. Describe how you have adequate resources or the ability to obtain such capability as required to complete the activities proposed;
2. Describe how you have the ability to comply with the grant conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental;
3. Describe your performance history; specifically, your record in managing Federal awards and the extent to which any previously awarded amounts will be expended prior to future awards;
4. Describe your record of integrity and business ethics;
5. Describe qualifications and eligibility to receive an award under applicable laws and regulations; and
6. Describe your organization, experience, accounting, and operational controls and technical skills, or the ability to obtain them (including as appropriate such elements as property control systems, quality assurance measures, and safety programs applicable to the services to be performed).

Facilities & Equipment – Describe facilities available for performing the proposed effort and any additional facilities or equipment the organization proposes to acquire at its own expense. Indicate government-owned facilities or equipment already possessed that will be used. Justify the need for each equipment item. (Additional facilities and equipment will not be provided unless the proposed effort cannot be completed by any other practical means.)

Initial Work Plan – Applicants must submit an Initial Work Plan following the format in [Section X](#) of this notice of NOFO. The Work Plan will become part of the resulting award if the application is selected to be funded. Please fill in the information for the blank portions and include all of the verbiage from these sections: Acknowledgement of Support, Review for Sensitive Information, Copies for USD(R&E), and Reporting Requirements. A completed Work Plan is required for selected application to receive funding.

Agreements Document: An agreement between partners that ensures program and budget execution is performed in accordance with the proposed activities. This may take the form of a Memorandum of Understanding, Articles of Collaboration, or other agreement. The Agreements Document should be signed by all Members, demonstrating their commitment to the

programming outlined in the Application.

R&R Form: Research & Related Budget - The applicant must use the Grants.gov forms from the application package template associated with the BAA on the Grants.gov web site located at <https://www.grants.gov/>. If options are proposed, the budget must provide the pricing information for the option periods; failure to include the proposed costs for the option periods will result in the options not being included in the award.

Budget Justification: A separate Adobe.pdf document should be included in the application that provides appropriate justification and/or supporting documentation for each element of cost proposed. This document shall be attached under Section K. “Budget Justification” of the Research and Related Budget form. Click “Add Attachment” to attach.

The itemized budget should include the following:

- i. Direct Labor – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates. Provide escalation rates for out years.
 - Administrative and Clerical Labor – Salaries of administrative and clerical staff are normally indirect costs (and included in an indirect cost rate). Direct charging of these costs may be appropriate when a major project requires an extensive amount of administrative or clerical support significantly greater than normal and routine levels of support. Budgets proposing direct charging of administrative or clerical salaries must be supported with a budget justification which adequately describes the major project and the administrative and/or clerical work to be performed.
 - Fringe Benefits and Indirect Costs (F&A, Overhead, G&A, etc.) – The application should show the rates and calculation of the costs for each rate category. If the rates have been approved/negotiated by a Government agency, provide a copy of the memorandum/agreement. If the rates have not been approved/negotiated, provide sufficient detail to enable a determination of allowability, allocability and reasonableness of the allocation bases, and how the rates are calculated. Additional information may be requested, if needed. If composite rates are used, provide the calculations used in deriving the composite rates.

- Travel – The proposed travel costs must include the following for each trip: the purpose of the trip, origin and destination if known, approximate duration, the number of travelers, and the estimated cost per trip must be justified based on the organizations historical average cost per trip or other reasonable basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principals.
 - Sub-awards / Subcontracts – Provide a description of the work to be performed by the subrecipient / subcontractor. For each sub-award, a detailed budget is required to be submitted by the subrecipient(s). An application and any supporting documentation must be received and reviewed before the Government can complete its cost analysis of the application. DoD's preferred method of receiving subcontract information is for this information to be included with the Prime's application. The email should identify the application title, the prime Applicant and that the attached application is a subcontract.
- ii. Consultants – Provide a breakdown of the consultant's hours, the hourly rate proposed, any other proposed consultant costs, a copy of the signed Consulting Agreement or other documentation supporting the proposed consultant rate/cost, and a copy of the consultant's proposed statement of work if it is not already separately identified in the prime contractor's application.
 - iii. Materials & Supplies – Provide an itemized list of all proposed materials and supplies including quantities, unit prices, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).
 - iv. Recipient Acquired Equipment or Facilities – Equipment and/or facilities are normally furnished by the Recipient. If acquisition of equipment and/or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all equipment and/or facilities costs and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). Allowable items normally are limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, laptops, office equipment) should not be requested unless they will be used primarily or exclusively for the project. For computer /

laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.

- v. Other Direct Costs – Provide an itemized list of all other proposed other direct costs such as Graduate Assistant tuition, laboratory fees, report and publication costs, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).
- vi. Fee / Profit – Fee / profit is unallowable under assistance agreements at either the prime or sub-award level but may be permitted on subcontracts issued by the prime awardee.

Data Management Plan: The Data Management Plan will describe the data that is collected through the course of the proposed research and information on how the data will be shared, organized, and, preserved. In instances where this is not possible, The Data Management Plan must explain why it is not possible or scientifically appropriate. The Data Management Plan should not exceed two pages and included under the generic “Other Attachments”. Information on the Data Management Plan can be found in DoDI 3200.12, Section 3.c. of Enclosure 3. (<https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/320012p.pdf?ver=2019-04-30-073122-220>).

c. **Additional Information required after Selection but Prior to Award**

Even if selected, awards are not final until these documents are received and approved:

- Evidence of compliance with regulations relating to human subjects (IRB)

G. **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
- any subsidiary or affiliate of such entities

Resultant grants will not allow reimbursement of pre-Federal award costs. DoD will only fund salary, fringe benefits and indirect costs on awards under the announcement. Funds from an award may not be used to attain fee or profit.

V. APPLICATION REVIEW INFORMATION

A. Selection Criteria

All information necessary for the review and evaluation of an application must be contained in the application itself. No other material will be provided to the panel. Applications should contain sufficient technical detail to allow for in-depth technical assessment.

An initial review of the applications will be conducted to ensure compliance with the requirements of this NOFO. Failure to comply with the requirements of the NOFO may result in an application receiving no further consideration for award.

Awards under this NOFO will be made to Applicants on the basis of the evaluation criteria listed below. The primary basis for selecting applications for award will be technical merit, management and approach, proposed cost reasonableness, and the availability of funds to support the effort. If offered, voluntary cost sharing may be considered as a demonstration of an offeror's commitment to their proposed project. Any proposed cost sharing becomes a binding term of any award. WHS/AD reserves the right to request and require additional supporting information and documentation after it makes the selection determination.

WHS/AD reserves the right to remove Applicants from award consideration if the parties fail to reach agreement on award terms, conditions, or cost/price within a reasonable time; or if the Applicants fail to provide requested or required additional information in a timely manner.

Review Criteria:

Criteria 1: Overall technical merit: The proposal shall clearly describe its creativity, innovation, feasibility, and efficacy to achieve the NOFO objectives. Also considered is:

- Relevance to the subject of the NOFO
- The quality of the program's plan to execute proposed activity and assess effectiveness of the program and participant outcomes
- The potential impact on Community College students
- Quality of proposed partnerships
- Ability to impact underserved and underrepresented students, to include Veterans and their Spouses
- Sustainability plan
- Evaluation plan
- Qualifications of the Lead Organization and sub-awardees
- Plan for sustainability upon completion of award
- The use of innovative learning tools and approaches

Criteria 2: Management & approach: Evaluation of this factor will focus upon the plan for managing execution of Consortium activities over the lifetime of the funding. The applicant should demonstrate a viable management approach by providing a feasible, comprehensive management plan considering each of the following items as a minimum: a detailed

description of its overall management concept; a detailed description of its methodology and mechanisms for development of a comprehensive program plan; sufficient description of the leadership roles and management to be provided by each Consortium member; management procedures to oversee and maximize progress; management concepts to foster collaboration among components and communication among Consortium members to include clearly identifying the Consortium member responsible for each component; and controls to assure timely submission and tracking of Consortium invoices submitted to the Government.

Criteria 3: Cost analysis: A cost analysis will be performed to determine realism and reasonableness of the proposed budget to maximize the investment for critical impact. The availability of funds to support the effort and long term sustainability of the project will also be considered.

The above criteria will be weighted in the evaluation process as follows:

Criteria 1 = 60% Criteria 2 = 20% Criteria 3 = 20%

B. Review and Selection Process

Each application will be reviewed based on the selection criteria above rather than against other applications submitted under this Announcement.

Applicants are 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 DoD does a budget review and a risk review 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.

1. Options: The Government will evaluate options for award purposes by adding the total cost for all options to the total cost for the basic requirement. Evaluation of options will not obligate the Government to exercise the options during grant performance. The Government may elect to divide any resulting grant award into option periods or may elect to combine proposed option periods at the discretion of the Government.
2. Evaluation Panel: Technical details and budgets submitted under this NOFO will be protected from unauthorized disclosure. The cognizant Program Officer and other Government subject matter experts will perform the evaluation of technical

applications. Restrictive notices notwithstanding, one or more support contractors may be utilized as subject matter expert technical consultants. Each support contractor employee that has access to technical and cost applications submitted in response to this NOFO will be required to sign a nondisclosure statement prior to receipt of any application submissions.

C. Anticipated Award Announcement and Federal Award Dates:

Decisions are expected to be announced via email. All awards are expected to be in place by 31 August, 2022.

E. Handling of Selection Information

Generally, submission information will not be disclosed except as necessary for evaluation.

VI. FEDERAL AWARD ADMINISTRATION INFORMATION

A. Award Notices

The Applicant whose application is recommended for award may be contacted by a Grants Officer or his/her representative. This may include representations and certifications, revised budgets or budget explanations, certificate of current cost or pricing data, subcontracting plan for small businesses, and/or other information as applicable to the proposed award.

The notification e-mail regarding a selection is not authorization to commit or expend DoD funds. A DoD grants officer is the only person authorized to obligate and approve the use of Federal funds. This authorization is in the form of a signed Notice of Award.

Applicants who did not receive an award are not entitled to a de-brief.

WHS/AD award/modification documents are only available via the Department of Defense (DoD) Electronic Document Access System (EDA) within the Wide Area WorkFlow e-Business Suite (<https://wawf.eb.mil/>). EDA is a Web-based system that provides secure online access, storage and retrieval of awards and modifications to DoD employees and vendors.

If you do not currently have access to EDA, you may complete a self-registration request as a "Vendor" via <https://wawf.eb.mil/> following the steps below:

1. Click "Accept"
2. Click "Register" (top right)
3. Click "Agree"
4. In the "What type of user are you?" drop down, select "Vendor"

5. Select the systems you would like to access (iRAPT at a minimum)
6. Complete the User Profile and follow the site instructions

Allow five business days for your registration to be processed. EDA will notify you by email when your account is approved.

To access awards after your registration has been approved, log into <https://wawf.eb.mil/>, select "EDA", select either EDA location, Select "Contracts", select your search preference, enter the Contract Number (or, if applicable, enter the Grant Number in the Contract Number field), and select "View".

Registration questions may be directed to the EDA help desk toll free at 866-618-5988, commercial at 801-605-7095, or via email at disa.ogden.esd.mbx.cscassig@mail.mil (Subject: EDA Assistance).

B. Administrative and National Policy Requirements

1. Each award under this announcement will be governed by the general award terms and conditions in effect at the time of the award that conform to DoD's implementation of OMB guidance applicable to financial assistance in 2 CFR part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards." The DoD Research and Development General Terms and Conditions (latest version, September 2017) are located at <https://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-terms-conditions>.

These terms and conditions are incorporated by reference in this announcement.

2. You must comply with all applicable national policy requirements. The key national policy requirements that may relate to an award under this NOFO are included in the terms and conditions specified in <https://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-terms-conditions>.
 - a. By electronically signing the SF-424, the applicant affirms its agreement with the following certification.

Certification Required for Grant and Cooperative Agreement Awards

The certification at Appendix A to 32 CFR Part 28 regarding lobbying is the only certification required at the time of application submission for a grant or cooperative agreement award. The certification is as follows:

"By signing and submitting an application that may result in the award of a grant exceeding \$100,000, the prospective awardee is certifying, 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 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 employ 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 of Lobbying Activities” in accordance with its instructions.
- (3) The undersigned 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, and loans, or 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 section 1352, Title 31, U.S. Code. Any person who fails the required certification shall be subject to a civil penalty of not less than \$10,000.00 and not more than \$100,000.00 for each failure.

C. Appropriations Provisions on Tax Delinquency and Felony Convictions

Check either “is” or “is not” for each of these two representations, as appropriate for the proposing institution, include the AOR signature and point of contact information, and attach the representation page to Field 12 of the SF-424 Research & Related Other Project Information form. The page for these representations is provided with the application materials that are available for download at [Grants.gov](https://www.grants.gov).

Representations

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:

- (1) The applicant represents that it is () or 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.
- (2) 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.

OMB CONTROL NUMBER: 0704-0494

OMB EXPIRATION DATE: 11/30/2019

AGENCY DISCLOSURE NOTICE

The public reporting burden for this collection of information is estimated to average 5 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Department of Defense, Washington Headquarters Services, Executive Services Directorate, Directives Division, 4800 Mark Center Drive, East Tower, Suite 02G09, Alexandria, VA 22350-3100 [0704-0494]. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.

D. Prohibition on Contracting with Entities that Require Certain Internal Confidentiality Agreements

Agreement with the representation below will be affirmed by checking the “I agree” box in block 17 of the SF-424 (R&R) as part of the electronic application submitted via Grants.gov. The representation reads as follows:

By submission of its 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: (1) the basis for this representation is a prohibition in Section 743 of the Financial Services and General Government Appropriations Act, 2015, Pub. L. 113- 235) on provision of funds through grants and cooperative agreements to entities with certain internal confidentiality agreements or statements; and (2) 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.

VII. REPORTING REQUIREMENTS

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

Report	Requirements/Form	Frequency	Means of Submission
Annual Research Performance Program Report (RPPR)	Template from DoD STEM	Annually	E-mail
Invention Reports	DD882	Annually	E-mail
DoD STEM Program Data Call Form	Portal	Annually	Portal
Interim Federal Financial Report	SF 425	Quarterly	E-mail
Payment Report	Template from DoD STEM	Monthly	E-mail
Interim RPPR	Template from DoD STEM	Quarterly	E-mail
Closeout Report		Once	E-mail
Civil, criminal, or administrative proceedings in connection with award	2 CFR Appendix XII to Part 200	As applicable	Through SAM
Eligibility, conviction, or indictment of principle	2 CFR 180.335 and 2 CFR 180.350	As applicable, including before entering into award agreement	E-mail

Awardees will need to comply with the reporting requirements in 2 CFR 170: Reporting Subaward 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. Report details are outlined below:

A. Monthly Reports

1. Monthly Financial Reports: The Government will provide a template to each starting grant. This report will include information on current expenses and invoices for the time period. This report will be submitted 30 days after the reporting period ends.

B. Quarterly Reports

1. Interim Research Performance Progress Reports (RPPR): The Grantee shall provide Interim RPPR to the Government Sponsor and the Government Technical Representative, **no later than 30 calendar days after the close of each quarter period.** – The Government will provide a template to each starting grant. These reports shall detail the period’s research activities, intermediate results, progress toward goals and other specific information and any issues that may impact completion of the planned work on schedule. If findings or discoveries are made that the grantee feels are of sufficient importance that they would mitigate or impact program operations, USD(R&E) should be notified immediately. This report will be submitted for three quarters and an annual report (see below) for the fourth quarter.
2. Federal Financial Report (SF 425): SF425 is required within 30 calendar days after the end of reported quarter period: 3/31, 6/30, 9/30, and 12/31 and must include in the remarks the location of financial records and a point of contact for the Government to obtain access to the financial records associated with this Grant. SF425 is required if receiving advance payments. The Grantee shall provide forecasts of Federal cash requirements in the “Remarks” section of the report.

C. Annual Reports

1. Annual Research Performance Progress Report (RPPR): The Grantee shall provide an Annual RPPR to the Government Sponsor and the Government Technical Representative, **to be submitted annually from the date the grant was awarded.** The Government will provide a template to each starting grant. A complete annual Performance Progress Report is mandated by DoD. This reports shall detail the period’s research activities, intermediate results, progress toward goals and other specific information and any issues that may impact completion of the planned work on schedule. If findings or discoveries are made that the grantee feels are of sufficient importance that they would mitigate or impact program operations, USD(R&E) should be notified immediately.
2. Invention Reports: Submit interim DD882 at least annually, within 60 calendar days of the grant anniversary. Negative reports required.
3. Annual DoD STEM Program Data Call Form: The Government will provide a manual and template to each starting grant. These forms will include information about the organization and program specifics (overview, metrics, budget

information, accomplishments, etc.).

D. Final Reports

1. Closeout Report: Detail the full programmatic accomplishments summarized from prior reports and a forecast for ongoing program sustainability and contribution to DoD STEM workforce needs as the funding ends. Include, as feasible, examples of educational materials produced, success stories, accomplishments, links to digital materials, and other resultant material from the award.
2. Final Federal Financial Report (SF 425): SF425 is required within 90 calendar days of the completion date for the term of this Grant and must include in the remarks the location of financial records and a point of contact for the Government to obtain access to the financial records associated with this Grant.
3. Invention Report: Submit final DD882 within 90 calendar days after the expiration of the grant. Negative reports required.

VIII. OTHER ADMINISTRATIVE REQUIREMENTS

Not applicable

IX. FEDERAL CONTACTS

Questions regarding program policy, program content, or technical issues should be directed to:

osd.dodstem@mail.mil

Questions regarding administrative problems or grant administration should be directed to:

Cognizant Procuring Grants Officer (PGO) and Administrative Grants Officer (AGO)

Questions regarding Grants.gov should be directed to: the toll-free number 1-800-518-4726 and email at support@grants.gov.

IX. 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.

Applicants are advised to monitor Grants.gov for potential amendments to this Notice of Funding Opportunity. You can also elect to be automatically notified by Grants.gov whenever there is a change to the opportunity.

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.

A. Federal Funding Accountability and Transparency Act of 2006

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 sub-awards and executive total compensation as codified in 2 CFR Part 170. Any company, non-profit agency or university that applies for financial assistance as either a prime or sub-recipient under this NOFO must provide information in its application that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR Part 170 Appendix A. Entities are required to meet reporting requirements unless an exception or exemption applies. Refer to 2 CFR Part 170, including Appendix A, for a detailed explanation of the requirements, exceptions, and exemptions.

B. Certification regarding Restrictions on Lobbying

Grant and Cooperative Agreement awards greater than \$100,000, as well as OTAs not under 10 U.S.C. 2371b, require a certification of compliance with a national policy mandate concerning lobbying. Grant applicants shall provide this certification by electronic submission of SF424 (R&R) as a part of the electronic application submitted via Grants.gov (complete Block 17). The following certification applies likewise to each Cooperative Agreement and normal OTA applicant seeking federal assistance funds exceeding \$100,000:

1. No Federal appropriated funds have been paid or will be paid by or on behalf of the applicant, 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 the Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. 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 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 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.

C. Representation Regarding an Unpaid Delinquent Tax Liability or a Felony Conviction Under any Federal Law - DoD Appropriations

All grant applicants are **required to complete** the "Representation on Tax Delinquency and Felony Conviction" and attaching the representation to Field 18 of the SF424 (R&R) as part of the electronic application submitted via Grants.gov. The representation reads as follows:

1. 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 timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.
2. The applicant represents that it is/ is not a corporation that was convicted of a felony 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 must 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 consideration before award decisions are made.

D. Representation Regarding the Prohibition on Using Funds with Entities that Require Certain Internal Confidentiality Agreements

Agreement with the representation below will be affirmed by checking the "I agree" box in Field 17 of the SF424 (R&R) as part of the electronic application submitted via Grants.gov. The representation reads as follows:

By submission of its application 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, as applicable, the bases for this representation are the prohibition(s) as follow:

1. Section 743 of the Financial Services and General Government Appropriation Act, 2015 (Division E of the Consolidated and Further Continuing Appropriations Act, 2015, Pub. L. 113-235).
2. Section 101(a) of the Continuing Appropriation Act, 2016 (Pub. L. 114-53) and any subsequent FY2016 appropriations act that extends to FY2016 the same restrictions as are contained in section 743 of Division E, title VII of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub L. 113-235).
3. Pub. L. 114-223, Continuing Appropriations Act, 2017, or any other Act that extends to fiscal year 2017 funds the same prohibitions as contained in section 743, Division E, title VII, of the Consolidated Appropriations Act, 2016 (Pub. L. 114-113).
4. Any successor provision of law on making funds available through grants and cooperative agreements to entities with certain internal confidentiality agreements or statements.

The prohibitions stated above do 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.

E. Code of Conduct

Applicants for grants, cooperative agreements, or other transaction agreements as applicable are required to comply with 2 CFR 200.318(c), Codes of Conduct, 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 NOFO.

F. Human Subject Research

1. You must protect the rights and welfare of individuals who participate as human subjects in research under this award, and comply with the requirements of the DoD Instruction 3216.02, Protection of Human Subjects and Adherence to Ethical Standards in DoD- Supported Research (2020).
2. For proposals containing activities that include research involving human subjects as defined in DoDI 3216.02, after award, the Applicant must submit documentation as requested by a DoD Human Research Protection Official (HRPO), outlined in the DoDI 3216.02.

3. Research involving human subjects must not commence until a HRPO has reviewed and approved the proposed human subject research. *NOTE: Institutional Review Board (IRB) approval isn't required for the Technical Application. However, upon notification of the award, applicants should start the process for IRB approval. Applicants selected for award must obtain an approved IRB 90 days after the start of the award and submit the IRB to HRPO. This includes IRB approved Human Research exemptions.

The following forms are required by HRPO and located under the "Related Documents" tab of this solicitation on Grants.gov:

- a. The Human Research Protocol Submission Form
- b. ORP Form

Non-approval of an IRB will be subject to the Prohibition of Use of Human Subjects (see page 49) which will delay the start of the grant.

4. Animal Use Research and other activities
Research or other activities involving animals must comply with DoDI 3216.01, "Use of Animals in DoD-Conducted and DoD-Supported Research and Training", all Federal Regulations, National Policy Requirements. Animal use activities must not commence until an Institutional Animal Care and Use Committee (IACUC) and appropriate DoD Component oversight office has reviewed and approved the proposed protocol articulating the animal use activity.
5. Use of Recombinant DNA or Synthetic Nucleic Acid Molecules:
Proposals which call for experiments using recombinant or synthetic nucleic acid molecules must include documentation of compliance with NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules (NIH Guidelines), approval from the local registered Institutional Biosafety Committee (IBC), and copies of the DHHS Approval of the IBC letter.

G. Institutional Dual Use Research of Concern

As of September 24, 2015, all institutions and United States Government (USG) funding agencies subject to the United States Government Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern must comply with all the requirements listed therein. If your research application directly involves certain biological agents or toxins, contact the cognizant Technical Point of Contact. U.S. Government Science, Safety, Security (S3) guidance may be found at <https://www.phe.gov/s3/dualuse>.

H. Department of Defense High Performance Computing Program

The DoD High Performance Computing Program (HPCMP) furnishes the DoD S&T and RDT&E communities with use-access to very powerful high performance computing systems. Awardees of WHS/AD contracts, grants, and other assistance instruments may be eligible to use HPCMP assets in support of their funded activities if WHS/AD Program

Officer approval is obtained and if security/screening requirements are favorably completed. Additional information and an application may be found at <https://www.hpcmo.hpc.mil/>.

I. Project Meetings and Reviews

Individual program reviews between Program Office, DoD STEM, and the performer may be held as necessary. Department of Defense colleagues may participate in these reviews.

Program status reviews may also be held to provide a forum for reviews of the latest results from programs and any other incremental progress towards the major demonstrations. These meetings will typically be held at the Applicant's facility or in Alexandria, VA. Interim meetings are likely, but these will be accomplished via video telephone conferences, telephone conferences, or via web-based collaboration tools.

J. NDAA Section 889 Compliance

See Section 11 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 2020.

X. INITIAL WORK PLAN

An Initial Work Plan (IWP), no longer than six (6) pages in length, must be submitted as part of this Application following the outline below:

INITIAL WORK PLAN for Proposal Submitted in response to HQ003422NFOEASD01

Grant#:

Offeror:

Principal Investigator:

Project Title:

Proposed Period of Performance:

Public Benefit:

Project Abstract:

Proposed Research:

Research Scope:

Research Questions and Objectives:

Technical Approach (Methodology):

Applying the Approach:

Acknowledgment of Support: The grantee is responsible for assuring that an acknowledgment of National Defense Education Program (NDEP) for Science, Technology, Engineering, and Mathematics (STEM) Education, Outreach, and Workforce Initiative Programs support is made in any publication (including World Wide Web pages) of any material based on or developed under this project, in the following terms: "This material is based upon work supported by the National Defense Education Program (NDEP) for Science, Technology, Engineering, and Mathematics (STEM) Education, Outreach, and Workforce Initiative Programs under Grant No. <Insert Grant # HQ0034-21-1-XXXX >. The views expressed in written materials or publications, and/or made by speakers, moderators, and presenters, do not necessarily reflect the official policies of the Department of Defense nor does mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government."

Review for Sensitive Information: Prior to the public release of these materials, the grantee is responsible for assuring that the Technical Representative is provided access to an electronic version of every publication of material based on or developed under this award, clearly labeled with the award number and other appropriate identifying information, so that the content can be assessed for proper release of sensitive information.

Copies for USD(R&E): Promptly after publication, the grantee will provide the Technical Representative access to an electronic version of every publication of material based on or developed under this award, clearly labeled with the award number and acknowledgement of support (see above).

REPORTING REQUIREMENTS

1. Monthly Reports

Monthly Financial Reports: The Government will provide a template to each starting grant. This report will include information on current expenses and invoices for the time period. This report will be submitted 30 days after the reporting period ends.

2. Quarterly Reports

Interim Research Performance Progress Reports (RPPR): The Grantee shall provide Interim RPPR to the Government Sponsor and the Government Technical Representative, **no later than 30 calendar days after the close of each quarter period.** The Government will provide a template to each starting grant. These reports shall detail the period's research activities, intermediate results, progress toward goals and other

specific information and any issues that may impact completion of the planned work on schedule. If findings or discoveries are made that the grantee feels are of sufficient importance that they would mitigate or impact naval operations, USD(R&E) should be notified immediately. This report will be submitted for three quarters and an annual report (see below) for the fourth quarter.

Interim Federal Financial Report (SF 425): SF425 is required within 30 calendar days after the end of reported quarter period: 3/31, 6/30, 9/30, and 12/31 and must include in the remarks the location of financial records and a point of contact for the Government to obtain access to the financial records associated with this Grant.

Federal Financial Report (SF 425): SF425 is required if receiving advance payments; the Grantee shall submit a Report of Federal Cash Transactions (SF 425) within 15 calendar days following the end of each quarter. The Grantee shall provide forecasts of Federal cash requirements in the “Remarks” section of the report.

3. Annual Reports

Annual Research Performance Progress Report (RPPR): The Grantee shall provide an Annual RPPR to the Government Sponsor and the Government Technical Representative, **to be submitted annually from the date the grant was awarded.** The Government will provide a template to each starting grant. A complete annual Performance Progress Report is mandated by DoD. This reports shall detail the period’s research activities, intermediate results, progress toward goals and other specific information and any issues that may impact completion of the planned work on schedule. If findings or discoveries are made that the grantee feels are of sufficient importance that they would mitigate or impact naval operations, USD(R&E) should be notified immediately.

Invention Reports: Submit interim DD882 at least annually, within 60 calendar days of the grant anniversary. Negative reports required.

Annual DoD STEM Program Data Call Form: A manual and templates will be provided to each starting grant. These forms will include information about the organization and program specifics (overview, metrics, budget information, accomplishments, etc)

4. Final Reports

Final Report: Detail the full programmatic accomplishments summarized from prior reports and a forecast for ongoing program sustainability and contribution to DoD STEM, Biotech, or Enhanced Civics education and workforce needs as the funding ends. Include, as feasible, examples of educational materials produced, success stories, accomplishments, links to digital materials, and other resultant material from the award.

Final Federal Financial Report (SF 425): SF425 is required within 90 calendar days of the completion date for the term of this Grant and must include in the remarks the

location of financial records and a point of contact for the Government to obtain access to the financial records associated with this Grant.

Invention Report: Submit final DD882 within 90 calendar days after the expiration of the grant. Negative reports required.

5. Property Reports:

The Grantee shall submit annual inventory listing to all equipment in excess of \$5,000 acquired under this grant. Only individual items in excess of \$5,000 should be reported, not an aggregation of small items which may exceed \$5,000 in total cost.

6. Document submission:

All reporting requirements above shall be sent via email to the Grants Officer and the Government Technical Representative.

7. Other Points of Contact:

Technical Representative – osd.dodstem@mail.mil

Grants Office (Grantor) – Mr. Jonathan Bertsch at jonathan.e.bertsch.civ@mail.mil

Prohibition of Use of Human Subjects

Research under this award involving the use of human subjects, to include research involving the use of human biospecimens* and/or human data, cannot begin until the USAMRDC's Office of Research Protections (ORP) provides authorization that the research may proceed. The USAMRDC ORP will issue written approval to begin research under separate notification. Written approval to proceed from the USAMRDC ORP is also required for any subrecipient that will use funds from this award to conduct research involving human subjects, human biospecimens, and/or human data.

*This prohibition does not apply to research under this award that **solely** uses **only** one or both of the following types of human biospecimens to accomplish its aims: (1) established/existing commercially available human cell lines; (2) established/existing patient-derived xenograft (PDX) models.

The USAMRDC ORP conducts site visits as part of its responsibility for compliance oversight. Recipients and subrecipients must comply with all applicable human research protections requirements. Accurate and complete study records must be maintained and made available to representatives of the USAMRDC as a part of their responsibility to protect human subjects in research. Research records must be stored in a confidential manner so as to protect the confidentiality of subject information.

The recipient (and subrecipients) must adhere to the following reporting requirements:

Submission of study documents to the USAMRDC ORP for review and approval and provide the following reports: substantive modifications to the approved protocol, continuing review documentation (if applicable), and the final report as outlined in the USAMRDC ORP approval memorandum.

Prompt reporting of the following study events to the USAMRDC ORP HRPO.

- (1) All unanticipated problems involving risk to subjects or others.
- (2) Suspensions, clinical holds (voluntary or involuntary), or terminations of this research by the IRB, the institution, the sponsor, or regulatory agencies.
- (3) Any instances of serious or continuing noncompliance with the federal regulations or IRB requirements.
- (4) The knowledge of any pending compliance inspection/visit by the Food and Drug Administration (FDA), Office for Human Research Protections, or other government agency concerning this clinical investigation or research.
- (5) The issuance of inspection reports, FDA Form 483, warning letters, or actions taken by any government regulatory agencies.

(6) Change in subject status when a previously enrolled human subject becomes a prisoner must be promptly reported to the USAMRDC ORP HRPO. The report must include actions taken by the institution and the IRB.

Non-compliance with these terms and conditions may result in withholding of funds and/or the termination of the award.

Submission instructions and investigator guidance on DoD requirements for human subjects research, including 32 CFR Part 219, DoD Instruction 3216.02, and USAMRDC ORP Human Research Protection Office submission instructions can be accessed at https://mrhc.amedd.army.mil/index.cfm?pageid=research_protections.hrpo.