

U.S. ARMY RESEARCH OFFICE

PROGRAM ANNOUNCEMENT

W911NF20S0003

Amendment 01

20 February 2020 – 19 February 2025

Staff Research Program

Issued By:

U.S. Army Contracting Command

Aberdeen Proving Ground

Research Triangle Park Division

P.O. Box 12211

Research Triangle Park, NC 27709-2211

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I. OVERVIEW OF THE FUNDING OPPORTUNITY:

A. Required Overview Content

1. Federal Agency Name(s):

U.S. Army Research Office

Issuing Acquisition Office:

U.S. Army Contracting Command-Aberdeen Proving Ground, Research Triangle Park Division

2. Funding Opportunity Title:

Staff Research Program

3. Announcement Type

Initial Announcement

4. Funding Opportunity Number:

W911NF20S0003

5. Catalog of Federal Domestic Assistance (CFDA) Number:

12.431 – Basic Scientific Research

6. Response Dates:

This Program Announcement (PA) is a continuously open announcement beginning 20 February 2020 through 4:00 PM local time (Research Triangle Park, NC), 19 February 2025. Amendments to this PA will be posted to Grants.gov if they occur.

B. Additional Overview Information

This PA is expected to result in the award of cooperative agreements (CAs) as defined at 31 U.S.C. 6305 for the execution of the program. The CA is in accordance with Chapter I, Subchapter C of Title 32, Code of Federal Regulations (Reference (b)) and Chapter XI of Title 2, Code of Federal Regulations (Reference (c)) and implementing regulations. The principal purpose of this PA is to establish CAs that will allow U.S. Army Research Office (ARO) scientific staff members to participate in collaborative research at qualified educational institutions. The Universities should offer all core facilities on the campus to ARO personnel on the same basis that they are available to members of the regular faculty. ARO's partnership with the Recipient is to carry out the public purpose of the support or stimulation of basic and applied (fundamental) research in areas of science with potential interest to ARO rather than the acquisition of supplies or services for the direct benefit of the Government. Substantial Government involvement is expected through the collaborative planning, management and research to be performed by the participants in the Staff Research Program and ARO.

II. DETAILED INFORMATION ABOUT THE FUNDING OPPORTUNITY

A. Funding Opportunity Description

The ARO is soliciting proposals for Staff Research Program opportunities. The purpose of the program is to enable ARO scientific staff to maintain and expand professional competence in support of fulfilling the ARO mission through the conduct of hands-on, basic research. The staff research will be performed collaboratively with institutions external to ARO. Staff research efforts will involve scientific study directed toward advancing the state-of-the-art or increasing knowledge and scientific understanding in engineering, physical, life and information sciences, when there is an intersection with the interests and capabilities of the participating external institutions in these basic research areas.

Protection of Mission Integrity: The primary role of the ARO scientific staff is to objectively assess and fund extramural research at numerous institutions across the U.S. and throughout the world. Since it is vitally important that the ARO be impartial in its actions, ARO scientists cannot engage in activities that could compromise the perceived objectivity of that scientist with respect to the institution, or with respect to the areas of science/engineering that they are responsible for as Program Managers. Consequently, ARO Program Managers will be disqualified from taking official actions regarding any institution at which that PM conducts Staff Research.

Staff research will be conducted, directed and managed by an ARO scientist at the institution's laboratory facilities or field research sites, in collaboration with a PI designated by the institution. ARO scientists will not be named as a PI on any proposal or resulting award. Results of the Staff Research Program may include publication or co-authorship of research results and presentation at scientific forums, and contribute to the education and training of students, in accordance with the terms of the cooperative agreement.

NOTE: ARO scientific staff will seek out a collaborating institution to engage in staff research as opportunities arise and at the discretion of ARO.

B. Federal Award Information

It is anticipated the awards will be made in the form of cooperative agreements and are subject to the availability of appropriations. Funding for subsequent years will be contingent upon satisfactory performance and the availability of funds.

The following is a brief description of the award instrument.

Cooperative Agreement - A legal instrument which, consistent with 31 U.S.C. 6305, is used to enter into a relationship where:

- a. The principal purpose of which is to transfer a thing of value to the recipient to carry out a public purpose of support or stimulation authorized by a law or the United States, rather than to acquire property or services for the DOD's direct benefit or use.
- b. Substantial involvement is expected between the DoD and the recipient when carrying out the activity contemplated by the cooperative agreement. The term does not include

"cooperative research and development agreements" as defined in 15 U.S.C. 3710a. No fee or profit is allowed.

Cooperative agreements are governed by the following regulations:

- a. Federal Statutes
- b. Federal Regulations
- c. 2 CFR Part 200, as modified and supplemented by DoD's interim implementation found at 2 CFR Part 1103
- d. 32 CFR Parts 21, 22, 26, and 28
- e. DoD Research And Development General Terms and Conditions
- f. Agency-specific Research Terms and Conditions

C. Eligibility Information

1. Eligible Applicants:

Eligible applicants under this BAA include institutions of higher education with recognized capability for scientific research in mechanical sciences, mathematical sciences, electronics, computing science, physics, chemistry, life sciences, materials science, network science, and environmental sciences.

2. Cost Sharing or Matching:

There is no requirement for cost sharing, matching, or cost participation to be eligible for award under this PA.

D. Application and Submission Information

1. Address to Request Program Announcement

This PA may be accessed via Grants.gov (www.grants.gov).

Amendments to this PA, if any, will be posted to the above website when they occur. Interested parties are encouraged to periodically check the above website for updates and amendments

2. Content and Form of Application Submission

a. General Information

The proposals submitted under this PA must address unclassified fundamental research. Proposal submissions will be protected from unauthorized disclosure in accordance with applicable laws and DoD regulations.

b. Submission of a Full Proposal:

1. Grants.gov Application Submission and Receipt Procedures

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

DoD is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. For this funding opportunity, DoD requires applicants to submit their applications online through Grants.gov. This funding opportunity may be found on Grants.gov by going to the Grants.gov Search Grants screen and entering the funding opportunity number for this PA, W911NF20S0003, in the Funding Opportunity search box. You can also search for the CFDA Number 12.431, Basic Scientific Research.

2. How to Register to Apply through Grants.gov

- a. *Instructions:* Read the instructions below about registering to apply for DoD funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

Organizations must have a Unique Entity Identifier (UEI), active System for Award Management (SAM) registration, and Grants.gov account to apply for grants.

Creating a Grants.gov account can be completed online in minutes, but UEI and SAM registrations may take several weeks. Therefore, an organization's registration should be done in sufficient time to ensure it does not impact the entity's ability to meet required application submission deadlines.

Complete organization instructions can be found on Grants.gov here:

<https://www.grants.gov/web/grants/applicants/organization-registration.html>

- 1) *Obtain a UEI Number:* All entities applying for funding must have an UEI. Applicants must enter the UEI in the data entry field labeled "Unique Entity Identifier" on the Standard Form (SF) 424 form. Instructions to obtain an UEI are available at: <https://www.grants.gov/web/grants/applicants/organization-registration.html>
- 2) *Register with SAM:* All organizations applying online through Grants.gov must register with the System for Award Management (SAM). Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually. For more detailed instructions for registering with SAM, refer to: <https://www.grants.gov/web/grants/applicants/organization-registration/step-2->

[register-with-sam.html](#)

- 3) *Create a Grants.gov Account:* The next step is to register an account with Grants.gov. Follow the on-screen instructions or refer to the detailed instructions here:
<https://www.grants.gov/web/grants/applicants/registration.html>
 - 4) *Add a Profile to a Grants.gov Account:* A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all of your grant applications. To add an organizational profile to your Grants.gov account, enter the UEI for the organization in the UEI field while adding a profile. For more detailed instructions about creating a profile on Grants.gov, refer to:
<https://www.grants.gov/web/grants/applicants/registration/add-profile.html>
 - 5) *EBiz POC Authorized Profile Roles:* After you register with Grants.gov and create an Organization Applicant Profile, the organization applicant's request for Grants.gov roles and access is sent to the EBiz POC. The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the Authorized Organization Representative (AOR) role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been assigned the AOR role. For more detailed instructions about creating a profile on Grants.gov, refer to:
<https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html>
 - 6) *Track Role Status:* To track your role request, refer to:
<https://www.grants.gov/web/grants/applicants/registration/track-role-status.html>
- b. *Electronic Signature:* When applications are submitted through Grants.gov, the name of the organization applicant with the AOR role that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC **must** authorize people who are able to make legally binding commitments on behalf of the organization as a user with the AOR role; **this step is often missed, and it is crucial for valid and timely submissions.**
3. How to Submit an Application to DoD via Grants.gov
Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different webforms within an application. For each funding opportunity announcement (FOA), you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to:

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

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

- 1) *Adobe Reader:* If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at:

<https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

- 2) *Mandatory Fields in Forms:* In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.
 - 3) *Complete SF-424 Fields First:* The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS Number. Once it is completed, the information will transfer to the other forms.
- c. *Submit a Workspace:* An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.
 - d. *Track a Workspace Submission:* After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

For additional training resources, including video tutorials, refer to:
<https://www.grants.gov/web/grants/applicants/applicant-training.html>

Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. For questions related to the specific grant opportunity, contact the number listed in the application package of the grant you are applying for.

If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number. The Support Center ticket number will assist the DoD with tracking your issue and understanding background information on the issue.

4. Timely Receipt Requirements and Proof of Timely Submission

Online Submission. All applications may be received continually beginning on the posting date of this announcement and ending at 4:00 p.m. Eastern Daylight time on 19 February 2025. Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time stamp is generated within the system when the application is successfully received by Grants.gov. The applicant with the AOR role who submitted the application will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. This applicant with the AOR role will also receive the official date/time stamp and Grants.gov Tracking number in an email serving as proof of their timely submission.

When DoD successfully retrieves the application from Grants.gov, and acknowledges the download of submissions, Grants.gov will provide an electronic acknowledgment of receipt of the application to the email address of the applicant with the AOR role who submitted the application. Again, proof of timely submission shall be the official date and time that Grants.gov receives your application. Applications received by Grants.gov after the established due date for the program will be considered late and will not be considered for funding by DoD.

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

5. Content and Form of Application Submission

ARO is interested in the research outlined in section II.A, Funding Opportunity Description, of this PA. For this reason, the application narrative must clearly describe what research will be conducted.

Applicants must complete all mandatory forms and any optional forms (e.g., SF-LLL Disclosure of Lobbying Activities) 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). All attachments to Grants.gov forms must be in PDF format (Adobe Portable Document Format). Please ensure that your attachments are not password protected.

The following formatting rules apply for the file attachments except as indicated below:

- Paper size when printed – 8.5 x 11-inch white paper, one-sided
- Margins – 1 inch
- Spacing – single
- Font – No smaller than Times New Roman, 12-point font (excluding mandatory forms, which may have other font requirements)
- **Number of pages – 25: The 25-page limit applies to the technical portion of the application, which consists of the following: Project Summary/Abstract and Project Narrative. Pages exceeding this limit will not be considered in the application evaluation.**

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

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

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

Project Summary/Abstract (Field 7 on the form) (Mandatory) – The Project Summary/Abstract must be no longer than a single page. The abstract must be marked that it is publicly releasable, as abstracts for all awarded applications will be placed on a DoD website(s) searchable by the public. The abstract should provide a concise description of the equipment/instrumentation requested, using terminology the public can

understand, and the research/research-related education that it will support. The header of the abstract should identify the PI, the institution, and the application title.

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

Project Narrative (Field 8 on the form) – The project narrative must address the following:

1. Indicate the Army Agency(ies) for which the proposed research is relevant, and provide suggested Agency assignment(s) information in the following format:
 - a. Army Agency to evaluate the application, if known
 - b. Scientific Division(s) or Directorate(s), if known, and
 - c. Technical Area(s)/Program Manager(s), if known.
2. Describe the research and explain how it will help the DoD meet its goals and objectives outlined in II.A.

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

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

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

FORM: SF-424 Research & Related Senior/Key Person Profile (Expanded) (Mandatory) – The Degree Type and Degree Year fields on the Research and Related Senior/Key Person Profile (Expanded) form will be used by DoD as the source for career information. In addition to the required fields on the form, applicants must complete these two fields for all individuals that are identified as having the project role of PD/PI or Co-PD/PI on the form. Additional senior/key persons can be added by selecting the “Next Person” button. Note that ARO personnel will not be identified as PI on the proposal.

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

To attach biographical sketches, click “Add Attachment.”

FORM: SF-424 (R&R) Personal Data (Mandatory) - This form will be used by DoD as the source of demographic information, such as gender, race, ethnicity, and disability information for the Project Director/Principal Investigator and all other persons identified as Co-Project Director(s)/Co-Principal Investigator(s). Each application must include this form with the name fields of the Project Director/Principal Investigator and any Co-Project Director(s)/Co-Principal Investigator(s) completed; however, provision of the demographic information in the form is voluntary. If completing the form for multiple individuals, each Co-Project Director/Co-Principal Investigator can be added by selecting the “Next Person” button. The demographic information, if provided, will be used for statistical purposes only and will not be made available to merit reviewers. Applicants who do not wish to provide some or all of the information should check or select the “Do not wish to provide” option.

FORM: SF-424 (R&R) Research & Related Budget (Mandatory) – Complete Sections A through H and attach a budget justification in Section L. Do not include any amount for fee under Section J. The budget must be consistent with a 36-month period of performance and include the total amount requested and a breakdown by cost element. The budget justification should provide additional data (not included in Sections A through H) by element of cost, sufficient to meet the guidance provided below and allow for meaningful evaluation. The budget justification should indicate the time frames in which these activities would take place.

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

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

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

3. Unique Entity Identifier and System for Award Management

The University on the proposal submitted to this PA is required to (a) be registered in SAM prior to submitting its application; (b) provide a valid UEI in its application; and (c) continue to maintain an active SAM registration with current information at all times during which it has an active federal award or an application or plan under consideration by a federal agency.

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

4. Submission Dates and Times

- a. Applications must be received between 20 February 2020 and no later than 4:00 p.m. Local Time (Research Triangle Park NC), 19 February 2025.

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

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

- b. **Application Receipt Notices** - As indicated in 2. above, Grants.gov will provide a series of emails to the applicant confirming submission and receipt of the application. Applicants can track the status of their applications at <http://www.grants.gov/web/grants/applicants/track-my-application.html>.

5. Intergovernmental Review

Not Applicable

6. Funding Restrictions:

The actual amount of each award will be contingent on availability of funds, the specific topic, and the scope of the proposed work. Depending on the results of the proposal evaluation, there is no guarantee that any of the proposals submitted in response to a particular topic will be recommended for funding. On the other hand, more than one proposal may be recommended for funding for a particular topic.

7. Other Submission Requirements: None

E. Application Review Information:

1. Criteria:

Proposals submitted in response to this PA will be evaluated using the factors listed below (in descending order of importance):

The overall scientific and/or technical merits of the proposal.

The potential contributions of the effort to the Army mission and the extent to which the research effort will contribute to balancing the overall ARL/ARO research program.

The offeror's capabilities, related experience, facilities, techniques, or unique combinations of these, which are integral factors for achieving the proposed objectives.

The qualifications, capabilities, and experience of the proposed principal investigator, team leader, or other key personnel who are critical to achievement of the proposed objectives.

The offeror's record of past performance.

The reasonableness and realism of proposed costs.

2. Review and Selection Process:

Upon receipt of a proposal, the ARL/ARO staff (not including the ARO Staff Researcher) will perform an initial review of its scientific merit and potential contribution to the Army mission and also determine if funds are expected to be available for the effort. Proposals not considered having sufficient scientific merit or relevance to the Army's needs or those in areas for which funds are not expected to be available may be declined without further review.

All proposals are treated as privileged information prior to award and the contents are disclosed only for the purpose of evaluation. Proposals not declined as a result of an initial review will be subject to a peer review by highly qualified scientists. While the offeror may restrict the evaluation to scientists from within the Government, to do so may prevent review of the proposal by those most qualified in the field of research covered by the proposal. The offeror must indicate on the appropriate proposal form (Form 52A) any limitation to be placed on disclosure of information contained in the proposal.

Each proposal will be evaluated based on all the evaluation criteria rather than against other proposals for research in the same general area.

For ARO Internal Purposes: The Proposal Action Brief (PAB) shall be reviewed by the Division Chief, Directorate Director, and ARO Director.

Army Research Risk Assessment. Each proposal with a recommendation to “select” in accordance with the evaluation criteria, whose costs have been determined to be reasonable and realistic in accordance with the above, for which funds are available, and where a grant or cooperative agreement will be the award instrument type, will be subject to an Army Research Risk Assessment prior to award.

i. The Army Research Risk Assessment Program. The Army Research Risk Assessment Program (ARRP) is an adaptive risk management security program applied to Army funded research designed to help protect Army Science and Technology (S&T) by identifying possible vectors of undue foreign influence.

In order to identify and mitigate undue foreign influence as required by federal law and policy, the Army will perform a research risk assessment of each proposal selected based on the criteria above for consideration of a fundamental research grant or cooperative agreement award. ARRP risk assessments for these subject proposals will be developed for all proposed Senior/Key personnel, (also referred to as “Covered Individuals”). These risk assessments will be based on information disclosed in the Standard Form (SF) 424, “Senior/Key Person Profile (Expanded),” any of its accompanying or referenced documents, publicly available information, and information contained in internal Army databases. Nationality or citizenship is not a factor in the risk assessment. 35 ARRP has a risk matrix which identifies risk factors and resulting risk ratings. The matrix generally looks at four factors, or risk areas: participation in foreign talent programs; denied entity list affiliation or association (see <https://www.bis.doc.gov/index.php/the-denied-persons-list> and <https://www.bis.doc.gov/index.php/policy-guidance/lists-of-parties-of-concern/entitylist>); funding sources to include conflict of interest or conflict of commitment, or funding from a strategic competitor; and foreign influence showing a pattern or history of affiliation, association, or collaboration with a foreign institution, person or entity from a U.S. strategic competitor. The matrix is set forth below:

Rating	Identified Specific Actions of the Senior/Key Personnel			
	Foreign Talent Program	Denied Entities	Funding	Foreign Institutions
<u>HIGH</u>	Indicators of active (ongoing) participation or sponsorship in a strategic competitor Foreign Talent Program	Indicators of an active (ongoing) affiliation or past affiliation or present association with an entity on the U.S. Gov’t denied entity or person list or EO 13959 or subsequent similar issuances	Indicators of active (ongoing) conflict of interest, conflict of commitment, or pattern of direct funding from a strategic competitor or country with history of targeting U.S. research or technology	Indicators of active (ongoing) direct affiliation, association or collaboration with a foreign institution, person, or entity from a strategic competitor
	Indicators of past participation in a	Indicators of past association with	Indicators of any history or	Indicators of a history or pattern

<u>MODERATE</u>	Foreign Talent Program with a U.S. strategic competitor, or country with a history of targeting U.S. research or technology	an entity identified in the U.S. Gov't denied entity or person list or EO 13959 or subsequent similar issuances	nonconsecutive pattern of, conflict of interest, conflict of commitment, or funding from a strategic competitor or country with history of targeting U.S. research or technology	of association or collaboration with foreign institution, person, or entity from a strategic competitor or country with history of targeting U.S. research or technology
<u>LOW</u>	No participation in a Foreign Talent Program	No indicators of past or current association or affiliation with an entity on the U.S. Gov't denied entity or person list or EO 13959 or subsequent similar issuances	No indicators of past funding from a strategic competitor or country with history of targeting U.S. research or technology	No indicators of an association or collaboration with a foreign institution, person, or entity from a strategic competitor or country with history of targeting U.S. research or technology

-Affiliation is academic, professional, or institutional appointments or positions with a foreign government-connected entity, whether full-time, part-time, or voluntary (including adjunct, visiting, honorary, or lectures/visits) where direct monetary or non-monetary reward is involved.

- Association is academic, professional, or institutional appointments or positions with a foreign government-connected entity, whether full-time, part-time, or voluntary (including adjunct, visiting, honorary, or lectures/visits) where no direct monetary or non-monetary reward is involved.

- Collaboration is academic, professional, or institutional agreement to jointly work together with a foreign government- connected entity, whether full-time, part-time, or voluntarily, in an official or unofficial capacity. Co-authorship in research endeavors is an example of collaboration.

- Strategic competitors are those adversaries identified in the current year Annual Threat Assessment report from Director of National Intelligence. The 2021 assessment was published on April 9, 2021 and can be found at <https://www.dno.gov/>.

- Conflict of Interest and Conflict of Commitment are defined in NSPM-33 and in the CONOP as well as the ARRP Policy memorandum. - Senior/Key Personnel are those who (a) contribute in a substantive, meaningful way to the scientific development or execution of a research and development project proposed to be carried out with a research and development award from a Federal research agency; and (b) are designated as a covered individual by the Federal research agency concerned.

ARRP risk ratings range from LOW to HIGH depending on the amount, type, and timing of foreign associations or affiliations that could constitute a foreign-influenced “Conflict of Interest” or “Conflict of Commitment,” as defined by National Security Presidential Memorandum 33 (NSPM-33). Once the research risk assessments are performed, the Army risk acceptance authority has several courses of action available for consideration. These courses of action are as follows: Course of Action 1 - The Army risk acceptance authority may accept the risk rating that results from the risk assessment process and proceed with the award. This typically happens with proposals with risk ratings of “LOW” but could also happen with the other risk ratings.

In Course of Action 1, the applicant will not be required to do anything related to the risk assessment process or the assigned risk rating.

Course of Action 2 - The Army risk acceptance authority may accept the risk rating with some research protection requirements added to the grant or cooperative agreement award. This typically happens with proposals with risk ratings of “MODERATE” but could also happen with the other risk ratings. Also, typically, these added research protection requirements could include, but be limited to the following in the grant or cooperative agreement award:

The University's Security Office shall provide the Principal Investigator and key personnel related to this award training on foreign talent recruitment programs and threat awareness and reporting requirements.

The University shall disclose to the Army Research Laboratory Security Office and Grants Officer all international travel, i.e., all international travel completed as part of any university business, by the Principal Investigator and key personnel related to this award instrument prior to travel.

The University shall report to the Army Research Laboratory Security Office and Grants Officer all inquiries by foreign operatives or suspected foreign operatives into research associated with the award.

The University is encouraged to utilize students without potential conflicts of interest or conflicts of commitment as identified in U.S. National Security Presidential Memorandum (NSPM-33).

Under Course of Action 2, the applicant will be asked to sign the grant or cooperative agreement prior to award, confirming agreement to these added requirements. Should the applicant not agree to these added research protection requirements, the Army risk assessment authority may decide not to award.

Course of Action 3 - The Army risk acceptance authority is not willing to accept the risk assigned as a result of the assessment process. In this case, the applicant will be provided an opportunity to provide a risk mitigation plan. This typically happens with proposals with risk ratings of “HIGH” but could also happen with the other risk ratings. In Course of Action 3, the applicant will be informed of the risk rating assigned during the risk assessment process as well

as the block(s) on the matrix where the review resulted in some type of finding that contributed to the assigned risk rating. Should the applicant choose to not submit a risk mitigation plan, the Army risk assessment authority may decide not to award. Should the applicant choose to submit a risk mitigation plan, the Army will review such plan. As a result of this review, the Army risk acceptance authority may then be willing to accept the risk assigned with the mitigation plan and proceed with the award or the Army risk acceptance authority may not be willing to accept the risk and may decide not to award. Further, should the risk mitigation plan include proposal revisions that affect those aspects of the proposal included in the review or selection process under 2.c, the original proposal evaluation will be reviewed and revised as appropriate based on the proposal revisions.

F. Award Administration Information:

1. Award Notices:

Applicants whose proposals are recommended for negotiation of award will be contacted by an Agreement Specialist to discuss additional information required for award. This may include representations and certifications, revised budgets or budget explanations, and other information as applicable to the proposed award.

2. Administrative and National Policy Requirements:

SAM - Successful applicants not already registered in the System for Award Management (SAM) will be required to register in SAM prior to any award resulting from this PA. Information on SAM registration is available at www.SAM.gov.

Certifications – Grant awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. The following certification applies to each applicant seeking federal assistance funds exceeding \$100,000 and must be included with the proposal.

Certification Regarding Lobbying Activities

- (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 subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 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.

Representations under DoD Assistance Agreements: Appropriations Provisions on Tax Delinquency and Felony Convictions

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

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

(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 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 () 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.

Use and Protection of Human Subjects in Research

All research involving human subjects must be conducted in accordance with 32 CFR 219, 10 U.S.C. 980, and DoDI 3216.02, as well as other applicable federal and state regulations. Contractors/grantees must be cognizant of and abide by the additional restrictions and limitations imposed on the DoD regarding research involving human subjects, specifically as regards vulnerable populations (32 CFR 219 modifications to subparts B-D of 45 CFR 46), recruitment of military research subjects (32 CFR 219), and surrogate consent (10 U.S.C. 980). The

regulations mandate that all DoD activities, components, and agencies protect the rights and welfare of human subjects of study in DoD-supported research, development, test and evaluation, and related activities hereafter referred to as “research”. The requirement to comply with the regulations applies to new starts and to continuing research.

ANIMAL USE

DODI 3216.01, provides policy and requirements for the use of animals in DOD-funded research. The DoD definition of animal is any live nonhuman vertebrate. All proposals that involve the use of animals must address DoDI compliance with DoDI 3216.01.

Provisions include rules on animal acquisition, transport, care, handling, and use in 9 CFR parts 1-4, Department of Agriculture rules implementing the Laboratory Animal Welfare Act of 1966 (7 U.S.C. 2131-2156), and guidelines in the National Academy of Sciences (NAS) “Guide for the Care and Use of Laboratory Animals” (1996), including the Public Health Service Policy and Government Principles Regarding the Care and Use of Animals in Appendix D to the Guide.

Military Recruiting

"As a condition for receipt of funds made available by the Department of Defense (DoD) under this award, the recipient agrees that it is not an institution of higher education (as defined in 32 CFR part 216) that has a policy of denying, and that it is not an institution of higher education that effectively prevents, the Secretary of Defense from obtaining for military recruiting purposes: (A) entry to campuses or access to students on campuses or (B) access to directory information pertaining to students. If the recipient is determined, using the procedures in 32 CFR part 216, to be such an institution of higher education during the period of performance of this agreement, and therefore to be in breach of this clause, the Government will cease all payments of DoD funds under this agreement and all other DoD grants and cooperative agreements to the recipient, and it may suspend or terminate such grants and agreements unilaterally for material failure to comply with the terms and conditions of award."

If your institution has been identified under the procedures established by the Secretary of Defense to implement Section 558, then: (1) no funds available to DoD may be provided to your institution through any grant, including any existing grant, (2) as a matter of policy, this restriction also applies to any cooperative agreement, and (3) your institution is not eligible to receive a grant or cooperative agreement in response to this solicitation.

3. Reporting:

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

G. Agency Contacts:

Questions of a business nature shall be directed to the cognizant Grants Officer, as specified below:

Mr. William Creech
Grants Officer
Email address: William.a.creech3.civ@army.mil

Comments or questions submitted should be concise and to the point, eliminating any unnecessary verbiage. In addition, the relevant part and paragraph of the PA should be referenced.

H. Other Information

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

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

With the application, the Applicant must provide a completed "Privacy Act Statement" consent form for each Covered Individual that is also signed by the Applicant as that Individual's Sponsor. The "Privacy Act Statement" form is included below.

Privacy Act Statement
Army Futures Command or Department of the Army
Application for Federal Assistance

Authority: Government Paperwork Elimination Act (Pub. L. 105-277, 44 U.S.C. 3504); Executive Order 12372, Intergovernmental review of Federal Programs (47 FR 30959); 42 U.S. Code § 6605 – Disclosure of funding sources in applications for Federal research and development awards; Public Law 117-167, CHIPS and Science Act; Public Law 116-92, National Defense Authorization Act for Fiscal Year 2020; 5 U.S.C. 9101, Access to Criminal History for National Security and Other Purposes 5 CFR §1320.8, Agency collection of information Responsibility; 18 U.S.C. § 1001, False Statements, Concealment; E.O. 13478, Amendments to Executive Order 9397 Related to Federal Use of social Security Numbers; NSPM-33, National Security Presidential Memorandum 33 on National Security for United States Research and Development; DoD-D 5240.01, DoD Intelligence Activities; DoD-I 5200.02, Department of Defense Personnel Security Program; Army Regulation 381-10, U.S. Army Intelligence Activities

Purpose: The information collected may be used in processing, investigating, and maintaining records relevant to Federal Assistance awarded by the Department of the Army. Records in these systems will be used to ensure Army sponsored and/or awarded federal grants, assistance, contracts, and/or benefits are awarded to responsible parties, entities, and individuals.

Routine Uses: To contractors, grantees, experts, consultants, students, and others performing or working on a contract, service, grant, cooperative agreement, or other assignment for the Federal Government when necessary to accomplish an agency function.

To the appropriate Federal, State, local, territorial, tribal, foreign, or international law enforcement authority or other appropriate entity where a record, either alone or in conjunction with other information, indicates a violation or potential violation of law, whether criminal, civil, or regulatory in nature.

DoD Blanket Routine Use (<http://dpcl.d.defense.gov/privacy>)

Effect of not providing information: Providing information to the Department of the Army is voluntary. However, 42 U.S. Code § 6605, which imposes certain disclosure requirements in connection with Federal research and development awards, provides various enforcement mechanisms for non-compliance. One such mechanism, which the Department of the Army intends to pursue here, is rejection of such applications.

Proposal Title (or grants.gov number): _____

Acknowledgment of consent:

Covered individual (Signature): _____ Date: _____

Covered individual (Name print): _____

Institution's Authorized Representative (Signature): _____ Date: _____

Institution's Authorized Representative (Name print): _____

Institution Name: _____