

**NOTICE OF FUNDING OPPORTUNITY  
DEPARTMENT OF DEFENSE**

**DoD Cyber Academic Engagement Office Program Support Grants to National Centers of  
Academic Excellence in Cybersecurity**

**Announcement Type:** Initial Announcement

**Funding Opportunity Number:** HQ003425NFOEASD08

**Assistance Listing:** 12.903 GenCyber Grants Program; 12.905 CyberSecurity Core Curriculum

**Authority:** 10 U.S.C. 2192

**Key Dates:** See Grants.gov Dates

**Grants Office Contacts:** [michael.j.fanizzo.civ@mail.mil](mailto:michael.j.fanizzo.civ@mail.mil) (Grants Officer),  
[fedline.crowell.civ@mail.mil](mailto:fedline.crowell.civ@mail.mil) (Grants Specialist)

**Program Office Contact:** [alice.e.smitley.civ@mail.mil](mailto:alice.e.smitley.civ@mail.mil)

**A. Program Description**

***Project 1: NCAE-C Community National Center:***

The CAE Community National Center (CNC) will spearhead collaboration among designated institutions and provide administrative support. This CNC is vital for bolstering the Department of Defense (DoD) cyber workforce by fostering excellence in cyber education and aligning academic programs with the DoD Cyber Workforce Framework (DCWF). The grant recipient will support the entire NCAE-C network, sub-awarding funds to participating institutions. Only the lead institution submits the proposal. The proposal must:

- Define each sub-awarded institution's role, including associated costs.
- Highlight any unique experience that qualifies each institution to participate, particularly experience aligning curricula with the DCWF and addressing critical DoD cyber requirements.

The lead institution, serving as the CNC, must have at least eight (8) years of experience in the NCAE-C program. It must demonstrate sufficient staffing and institutional support to fulfill its role and ensure adequate financial management for sub-awards to partners. The CNC's leadership is crucial for ensuring the program effectively contributes to the DoD's ability to recruit, train, and retain a highly skilled cyber workforce.

The CAE CNC will:

1. **Establish and manage CAE-C Communities of Practice (CoP)** for each designation. CoPs will actively engage with the DoD and Cyber Academic Engagement Office (CAEO) to update designation criteria to align to the DCWF, assist with identification of mentors/advisors/reviewers, and advance the program. The CNC may continue with current CoP leads or subaward to new CoP leads to allow for maximum participation from the entire NCAE-C community.

- a. CAE-R (Research): Conduct DoD-relevant research presentations which may include poster sessions or tech talks which culminate in a CAE-C Symposium presentation and publication. Focus on research areas that address critical DoD cyber challenges. Meet annually at the CAE Community Symposium.
  - b. CAE-CO (Cyber Operations): Identify and implement capacity building and program expansion projects to grow programs and increase the number of CAE-CO schools, with a focus on aligning curricula with DoD cyber operational needs and the DoD DCWF. Meet annually at the CAE Community Symposium.
  - c. CAE-CD (Cyber Defense): Foster collaboration, share best practices, and advance cyber education, with an emphasis on DoD cyber defense strategies and technologies. Meet annually at the CAE Community Symposium.
2. **Planning and Management of CAE-C Annual Meetings and Seminars (FY2026):** The CAE Community, in close coordination with the DoD and CAEO, will:
  - a. Annual Calendar: Manage and publish the CAE-C Program annual calendar in collaboration with the DoD and CAEO, highlighting key events and deadlines.
  - b. Annual CAE Symposium: Plan and execute the annual CAE Symposium with a preferred participant capacity of 600, held at a NCAE-C designated institution campus facility or government-owned and operated facility (if possible). The Symposium should be live or hybrid, assuming conditions permit large group meetings. The agenda, developed in coordination with the DoD and CAEO, should include: a designation ceremony, time for CoPs to meet and present, agenda time for DoD and other Federal Government Partners, and include time or space for additional community programs such as DoD Cyber Service Academy (DoD CSA), GenCyber; and any other topics/programs supporting the NCAE-C community. It is estimated that the event will be 4-days but may expand to 5-days if additional programs/projects need time and space.
  - c. Job Fair: Collaborate with the National Cyber Training and Education Center (NCyTE) for a virtual annual job fair in early September. Should this collaboration not be possible, the CAE Community will sponsor a NCAE-C job fair.
  - d. Virtual Regional Seminars: The CAE Community will plan and execute virtual regional seminars. Dates and topics will be determined in collaboration with the DoD and CAEO. The Community will identify a focus subject for each event, avoiding duplication and emphasizing alignment with regional DoD cyber priorities and workforce demands. Planning should specifically address target audience and participation across regions, utilizing online platforms and tools to maximize accessibility and engagement.
3. **Centralized travel reimbursements.** The Community will manage travel reimbursements to Principals for authorized travel to NCAE-C-sponsored meetings, seminars, and training. Each designated institution may request a subsidy of \$750 to a traveler attending the CAE Community Symposium. Subsidies are limited to one per institution designation per year; if an institution holds multiple designations, and the

assigned Principal is different for each designation, they may each receive the stipend. Principals who cannot attend an event may designate their stipend to a replacement attendee in writing to the CNC. The Community will apply a procedure to ensure stipend recipients have participated in the complete scheduled agenda; late arrivals, early departures and absence from agenda sessions will nullify eligibility for the travel reimbursement.

4. **NCAE-C Knowledge Unit Updates.** The Community will maintain a mechanism to allow designated institutions to make recommendations to the CAEO on the alignment of NCAE-C Knowledge Unit content, definitions, and requirements to the DCWF. This may be a wiki maintained by a sub-award institution or may be included in the Community website. The CNC will collaborate with the DCWF Team within the DoD CIO to identify recommendations, concerns, or suggestions.
5. **Branding and publishing.**
  - a. Standardized branding and style guide: The Community will work with the CAEO to update the NCAE-C branding and style guide at the beginning of each fiscal year. NLT January each year, the CAEO will publish the style guide to all designated NCAE-C institutions.
  - b. NCAE-C Communications: The Community will collaborate with the CAEO on any planned press releases or other marketing activities.
  - c. Graphics and Publication: The Community CNC will host CAEO publications on the Community website.
  - d. Annual Yearbook: The Community will publish online an annual yearbook providing information on all NCAE-C designated institutions
6. **XP Cyber (formerly the NICE Challenge):** Work with owners and developers of XP Cyber to align to the DCWF. The CNC make the tool available to designated academic institutions.
7. **Web pages and Webinars.** The CAE Community will maintain web pages in support of Community members and programs. The CAE CNC will collaborate with the Candidates National Center to ensure any data exports required for website population or other needs from the NCAE-C Application and Program Management Tool work in concert with CAE Community website. The Community will also maintain licenses permitting virtual webinars with capacity to accommodate all Community members, and to host events requiring virtual exhibits and multiple speakers.
8. **Oversight of NCAE Competitions** Continue support of the NCAE Cyber Games. Select a NCAE Competitions Resource Director to manage the NCAE Cyber Games. The Competitions Resource Director will:
  - a. Evaluate the competitions roadmap and identify options to align the competition to DCWF work roles. This document should clarify the value of competitions for student competency development, offer a guide to the various competitions recommended for NCAE-C programs, and student skill levels required for each.
  - b. Maintain a CAE framework for tracking student participation in various competitions.

- c. Recommend associated badges or other micro credentials that attest the student's achievements and competencies in both competitions and other experiences.
  - d. Collaborate with the CAE Community to make the Cyber Games platform available outside of competition time and propose new pilot projects.
  - e. Execute the NCAE Cyber Games competition program annually in collaboration with regional partners. The NCAE Cyber Games should conclude annually with a national competition in the final quarter of the academic year.
  - f. Partner with the DoD CSA to promote the scholarship and potentially award first place teams instant scholarships.
  - g. Cost estimates should include: (Use the prevailing General Services Administration or Institution per diem rates for meals, incidentals, lodging and airfare.
  - h. Provide opportunities to promote pathways to DoD internships and scholarship programs as well as DoD cyber jobs.
  - i. An annual NCAE Competitions Recognition Program for the top three teams competing (students and one team representative/faculty member).
    - i. For NCAE Cyber Games, assume travel to the Washington, D.C. area for one coach and up to ten individuals per team for two days of travel and two days.
9. **Cybersecurity Labs and Resource Knowledge-base (CLARK).** Provide support and funding to maintain CLARK as a free and open cybersecurity curricula platform.
10. Provide key metrics on CAE community activities to the CAEO data team.

***Project 2: NCAE-C Candidates and Peer Review National Center:***

Two designated NCAE-C institutions will partner to manage intake of new academic institutions into the NCAE-C program and re-designation of institutions already participating in the program. The Candidates National Center will function as the lead in this partnership and will provide sub-award to the Peer Review National Center.

The Candidates National Center is responsible for assisting applicants prepare for designation. The institution taking on this role must have extensive knowledge and experience in the NCAE-C program designation requirements with a minimum of eight (8) years of experience in the program, experience managing mentoring and advisory programs supporting collegiate cybersecurity education programs at both Community College and University levels and must have institutional support and capability to manage funding of coalition activities and grants sub-awards. The Candidates Program CNC will:

- 1. **Tool Maintenance:** Collaborate with the CAEO and other CNCs to maintain the current tool. Ensure NCAE-C Application and Program Management Tool can work in concert with CAE Community website to allow for seamless exports of data for website population and other data usage.

2. Intake: Collaborate with the CAEO to establish processes and rubrics to intake new Academic Validation and Designation applications and Re-designation applications.
3. Application Checklist: Manage evaluation and program development plans for all academic institutions that provided an Application Checklist.
4. Advisor/Mentor Assignment: Assign an advisor or mentor for each applicant based on established processes.
5. Workshops: Provide virtual application workshops for academic institutions pursuing designation / re-designation. Workshops may be pre-recorded and offered on-demand online.
6. Program Development Plan: Establish a timeline for each applicant's program development plan, and work with mentors to ensure submission of the application within the established timeline.
7. DCWF Partnership: Partner with the CAEO and the DCWF Team to align KUs and CAE designation requirements to DoD cyber workforce requirements.
8. Peer Review CNC Partnership: Identify a designated NCAE-C institution to function as the Peer Review CNC.
  - a. Collaborate with the Peer Review CNC to ensure mentors and reviewers participate in the same training and there is no conflict of interest as mentor, pre-submission reviewer, or peer reviewer for the same school.
  - b. Collaborate with the Peer Review CNC to establish an application submission and review schedule.
  - c. Provide a pre-submission review of all applications, including re-designations.
  - d. Endorse each applicant's readiness for designation to initiate the application process.
9. Provide key metrics on designations to the CAEO data team.

Peer Review CNC. The Peer Review CNC is responsible for establishing and managing the CAE-C application process and will:

1. Collaborate with the Candidates CNC to ensure reviewers do not mentor, advise, or conduct pre-submission review for the eligible Candidate.
2. Annual Application Cycle: Collaborate with the Candidates Program CNC to establish annual application cycles. The application cycles should clearly communicate to Candidate institutions the expected application due dates, authorized processing timeline, and designation dates. Notification to Candidates will allow generous preparation time, and Candidates will acknowledge assigned cycles.
3. Review the Applicant Checklist and collaborate with the Candidates Program CNC to assign an applicant to the appropriate phase of the Candidates Program.
4. Peer Reviewers: Maintain a cadre of CAE-C Principals and experienced partners to function as peer reviewers.
5. Training: Collaborate with the Candidates Program CNCs to ensure mentors, reviewers, and pre-submission reviewers receive the same training.

6. Review Committees: Collaborate with the CAEO, NCAE-C Program Office and the Candidates Program CNC to establish review committees according to the annual application cycle requirements.
7. Application Review Rubric: Work with a team of experienced faculty to define an application review rubric to provide structure to the review process and reviewer's application adjudication.
8. Provide key metrics on designations to the CAEO data team.

### ***Project 3: Regions Investing in the Next Generation (RING) Expansion:***

This initiative seeks to significantly expand a collaborative RING initiative, dramatically enhancing student capacity and ensuring a unified, high-quality program experience for all participants. Key to this expansion is the establishment of a single, streamlined point of registration and comprehensive marketing efforts to broaden awareness and accessibility. Seamless instruction and dedicated project management will be provided to guarantee consistent and effective program delivery. Funding will be strategically allocated to support the acquisition of essential equipment, comprehensive teacher development programs, and other crucial resources necessary to accommodate a larger and more diverse cohort of participating students.

This expansion, aligned with the DoD cyber workforce priorities (e.g., DCWF), will directly address critical cybersecurity workforce gaps by preparing students for key DoD cyber work roles. This will be achieved by incorporating relevant skills and knowledge into the curriculum, ensuring graduates are well-equipped to contribute to national security. The expansion will not only enhance the overall program's reach and impact but also extend its presence to additional states and communities, fostering a wider network of learning and opportunity contributing to a robust national cybersecurity workforce.

### ***Project 4: Workforce Development Coalition Programs:***

Designated NCAE-C institutions managing existing workforce development coalition programs are invited to submit proposals for activities that will expand the scope and impact of their original initiatives. Proposals should build upon established successes, scaling capacity and/or activities within their individual workforce development programs. All processes developed must align with the best practices established by the NCAE-C community, as well as the DCWF and the goals outlined within the DoD's cyber workforce priorities. This includes focusing on developing skills and competencies aligned with identified cyber work roles critical to national security.

~~This opportunity encourages innovative approaches to address evolving workforce needs. While initially focused on transitioning military members and first responders, programs should now also consider adult learner groups, including military spouses and individuals displaced by technological advancements.~~ This opportunity encourages innovative approaches to address evolving workforce needs. While initially focused on veterans, transitioning military members,

and first responders, programs should now also consider adult learner groups, including DoD and government personnel and military spouses.

Proposals must maintain a focus on originally identified workforce sectors and demonstrate continued engagement with specific industry sectors. Identification of industry partner(s) and their role in the program is required, with the flexibility to retain current partners or add new ones. Proposals must clearly identify areas where a Return on Investment (ROI) can be expected. Furthermore, proposals must include a detailed sustainability plan outlining strategies to maintain the program's viability and impact beyond the period of DoD funding.

Innovative academia partnerships are encouraged. Proposals may incorporate apprenticeship models, cooperative education models, or other arrangements such as visiting lecturers and/or industry mentors. The government retains unconditional use of curriculum developed specifically under this grant. All curriculum and resources developed will be listed in the NCAE Resources Directory and made available via CLARK. Award of option year funding will be contingent upon satisfactory performance and funding availability.

#### **B. Federal Award Information**

Project 1	NCAE-C Community National Center	One grant at \$5.5M
Project 2	NCAE-C Candidates and Peer Review National Center	One grant at \$2.5M
Project 3	Regions Investing in the Next Generation (RING) Expansion	One grant at \$1M
Project 4	Workforce Development Coalition Programs	One grant at <del>\$2M</del> \$9.6M

#### **C. Eligibility Information**

Awards will only be made to California State University at San Bernadino, Whatcom Community College, University of West Florida, and the University of Alabama at Huntsville. No other applicants will be considered.

#### **D. Content and Form of Submission:**

Common formatting requirements across all submitted documents

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

and affiliations of reviewers are not disclosed.

- All submissions will be protected from unauthorized disclosure in accordance with applicable law and DoD regulations.

#### *Marking Proprietary or Confidential Information*

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

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

It is the intent of WHS/AD to treat all submissions as proprietary information before the award and to

disclose their contents to reviewers only for the purpose of evaluation.

#### E. Application Requirements/ Component-specific Requirements.

##### Project Narrative Preparation and Submission

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

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

\*Budget Requirement: All budgets are subject to a 15% indirect cost rate cap.

##### Project Narrative Components

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

- i. A cover letter (optional), not to exceed one page. The cover letter does not count against the ten page limit.



- ii. A cover page, labeled “APPLICATION,” that includes the NFO number, proposed project title, and prospective applicant's technical point of contact with telephone number, and e-mail address.

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

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

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

#### Unique Entity Identifier and System for Award Management

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

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

available at <https://www.sam.gov>.

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

b. Funding Restrictions

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

- i. Huawei Technologies Company,
- ii. ZTE Corporation
- iii. Hytera Communications Corporation,
- iii. Hangzhou Hikvision Digital Technology Company,
- iv. Dahua Technology Company
- v. any subsidiary or affiliate of such entities

Other Submission Requirements and Information

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

i. Amendments to Announcements

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

(1) identifying the amendment in its application, or (2) by separate letter upon receipt of the amendment. The Government must receive the acknowledgment by the date/time specified for receipt of applications.

ii. Modifications, and Withdrawals of Applications

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

iii. Protests

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

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

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

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

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S.C. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Wide Area Workflow (WAWF)

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

## **F. Application Review Information**

a. Selection Criteria

The government will assess the applicant per the elements identified in 32 CFR 22.415.

b. Review and Selection Process:

The application will be reviewed based on the selection criteria above.

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

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

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

#### c. Award Decision

The Government reserves the right to request additional information once award has been determined. The Government reserves the right to remove the applicant from award consideration should the parties fail to reach agreement on award terms within a reasonable time or the Applicant fails to provide requested additional information in a timely manner.

The recipient that has been deemed successful will receive a pre-award notice via e-mail from the WHS/AD Grants Officer. The Government may initiate Cooperative Agreement negotiations when deemed appropriate to do so. Unsuccessful applicants will also be notified via e-mail at that time.

Once a recipient of award is announced, the recipient of award only shall submit the required information for electronic submission. The recipient of award shall use the Grants.gov website (<https://www.grants.gov>). Recipient shall complete the mandatory forms in the application package template associated with this NFO.

### **G. Federal Award Administration Information**

#### a. FEDERAL AWARD NOTICES

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

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

Federal regulations, to include but not limited to 32 CFR 32 and DoD 3210.6-R<sup>1</sup>, take precedence over all terms and conditions of Agreement awards.

b. NATIONAL POLICY REQUIREMENTS (NP)

NP Article I. Nondiscrimination national policy requirements. (December 2014)

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

1. On the basis of race, color, or national origin, in Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.), as implemented by Department of Defense (DoD) regulations at 32 CFR part 195.
2. On the basis of gender, blindness, or visual impairment, in Title IX of the Education Amendments of 1972 (20 U.S.C. 1681 et seq.), as implemented by DoD regulations at 32 CFR part 196.
3. On the basis of age, in the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.), as implemented by Department of Health and Human Services regulations at 45 CFR part 90.
4. On the basis of disability, in the Rehabilitation Act of 1973 (29 U.S.C. 794), as implemented by Department of Justice regulations at 28 CFR part 41 and DoD regulations at 32 CFR part 56.
5. On the basis of disability in the Architectural Barriers Act of 1968 (42 U.S.C. 4151 et seq.) related to physically handicapped persons' ready access to, and use of, buildings and facilities for which Federal funds are used in design, construction, or alteration.

***Section B.*** [Reserved]

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

NP Article II. Environmental national policy requirements. (December 2014)

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

1. You must comply with all applicable Federal environmental laws and regulations. The laws and regulations identified in this section are not intended to be a complete list.

2. Comply with applicable provisions of the Clean Air Act (42 U.S.C. 7401, *et seq.*) and Clean Water Act (33 U.S.C. 1251, *et seq.*).

3. Comply with applicable provisions of the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4821–4846), as implemented by the Department of Housing and Urban Development at 24 CFR part

35. The requirements concern lead-based paint in buildings owned by the Federal Government or housing receiving Federal assistance.

4. Immediately identify to us, as the Federal awarding agency, any potential impact that you find this award may have on:

a. The quality of the “human environment”, as defined in 40 CFR 1508.14, including wetlands; and provide any help we may need to comply with the National Environmental Policy Act (NEPA, at 42 U.S.C. 4321 et seq.), the regulations at 40 CFR 1500–1508, and E.O. 12114, if applicable; and assist us to prepare Environmental Impact Statements or other environmental documentation. In such cases, you may take no action that will have an environmental impact (*e.g.*, physical disturbance of a site such as breaking of ground) or limit the choice of reasonable alternatives to the proposed action until we provide written notification of Federal compliance with NEPA or E.O. 12114.

b. Flood-prone areas and provide any help we may need to comply with the National Flood Insurance Act of 1968, as amended by the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001 et seq.), which require flood insurance, when available, for federally assisted construction or acquisition in flood-prone areas.

c. A land or water use or natural resource of a coastal zone that is part of a federally approved State coastal zone management plan and provide any help we may need to comply with the Coastal Zone Management Act of 1972 (16 U.S.C. 1451, et seq.) including preparation of a Federal agency Coastal Consistency Determination.

d. Coastal barriers along the Atlantic and Gulf coasts and Great Lakes' shores and provide help we may need to comply with the Coastal Barrier Resources Act (16 U.S.C. 3501 et seq.), concerning preservation of barrier resources.

e. Any existing or proposed component of the National Wild and Scenic Rivers system and provide any help we may need to comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1271 et seq.).

f. Underground sources of drinking water in areas that have an aquifer that is the sole or principal drinking water source and in wellhead protection areas and provide any help we may need to comply with the Safe Drinking Water Act (42 U.S.C. 300f et seq.).

5. You must comply fully with the Endangered Species Act of 1973, as amended (ESA, at 16 U.S.C. 1531 et seq.), and implementing regulations of the Departments of the Interior (50 CFR parts 10–24) and Commerce (50 CFR parts 217–227). You also must provide any help we may need in complying with the consultation requirements of ESA section 7 (16 U.S.C. 1536) applicable to Federal agencies or any regulatory authorization we may need based on the award of this grant. This is not in lieu of responsibilities you have to comply with provisions of the Act that apply directly to you as a U.S. entity, independent of receiving this award.

6. You must fully comply with the Marine Mammal Protection Act of 1972, as amended (MMPA, at 16 U.S.C. 1361 et seq.) and provide any assistance we may need in obtaining any required MMPA permit based on an award of this grant.

***Section B.*** [Reserved]

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

NP Article III. National policy requirements concerning live organisms. (December 2014)

***Section A. Cross-cutting requirements concerning live organisms.***

***1. Human subjects.***

a. You must protect the rights and welfare of individuals who participate as human subjects in research under this award and comply with the requirements at 32 CFR part 219, DoD Instruction (DoDI) 3216.02, 10 U.S.C. 980, and when applicable, Food and Drug Administration (FDA) regulations.

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

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

i. If the HSR meets an exemption criterion under 32 CFR 219.101(b), the documentation must include a citation of the exemption category under 32 CFR 219.101(b) and a rationale statement.

- ii. If your activity is determined as “non-exempt research involving human subjects”, the documentation must include:
  - (A) Assurance of Compliance (*i.e.*, Department of Health and Human Services Office for Human Research Protections (OHRP) Federal wide Assurance (FWA)) appropriate for the scope of work or program plan; and
  - (B) Institutional Review Board (IRB) approval, as well as all documentation reviewed by the IRB to make their determination.
- d. The HRPO retains final judgment on what activities constitute HSR, whether an exempt category applies, whether the risk determination is appropriate, and whether the planned HSR activities comply with the requirements in paragraph 1.a of this section.
- e. You must notify the HRPO immediately of any suspensions or terminations of the Assurance of Compliance.
- f. DoD staff, consultants, and advisory groups may independently review and inspect your research and research procedures involving human subjects and based on such findings, DoD may prohibit research that presents unacceptable hazards or otherwise fails to comply with DoD requirements.
- g. Definitions for terms used in paragraph 1 of this article are found in DoDI 3216.02.

## 2. ***Animals.***

- a. Prior to initiating any animal work under the award, you must:
  - i. Register your research, development, test, and evaluation or training facility with the Secretary of Agriculture in accordance with 7 U.S.C. 2136 and 9 CFR 2.30, unless otherwise exempt from this requirement by meeting the conditions in 7 U.S.C. 2136 and 9 CFR parts 1–4 for the duration of the activity.
  - ii. Have your proposed animal use approved in accordance with Department of Defense Instruction (DoDI) 3216.01, Use of Animals in DoD Programs by a DoD Component Headquarters Oversight Office.
  - iii. Furnish evidence of such registration and approval to the grants officer.
- b. You must make the animals on which the research is being conducted, and all premises, facilities, vehicles, equipment, and records that support animal care and use available during business hours and at other times mutually agreeable to you,



the United States Department of Agriculture Office of Animal and Plant Health Inspection Service (USDA/APHIS) representative, personnel representing the DoD component oversight offices, as well as the grants officer, to ascertain that you are compliant with 7 U.S.C. 2131 et seq., 9 CFR parts 1–4, and DoDI 3216.01.

c. Your care and use of animals must conform with the pertinent laws of the United States, regulations of the Department of Agriculture, and regulations, policies, and procedures of the Department of Defense (see 7 U.S.C. 2131 et seq., 9 CFR parts 1–4, and DoDI 3216.01).

d. You must acquire animals in accordance with DoDI 3216.01.

### ***3. Use of Remedies.***

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

### ***Section B.*** [Reserved]

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

NP Article IV. Other National Policy Requirements. (December 2014)

### ***Section A. Cross-cutting requirements.***

1. ***Debarment and suspension.*** You must comply with requirements regarding debarment and suspension in Subpart C of 2 CFR part 180, as adopted by DoD at 2 CFR part 1125. This includes requirements concerning your principals under this award, as well as requirements concerning your procurement transactions and subawards that are implemented in PROC Articles I through III and SUB Article II.

2. ***Drug-free workplace.*** You must comply with drug-free workplace requirements in Subpart B of 2 CFR part 26, which is the DoD implementation of 41 U.S.C. chapter 81, “Drug-Free Workplace.”

### ***3. Lobbying.***

a. You must comply with the restrictions on lobbying in 31 U.S.C. 1352, as implemented by DoD at 32 CFR part 28, and submit all disclosures required by that

statute and regulation.

b. You must comply with the prohibition in 18 U.S.C. 1913 on the use of Federal funds, absent express Congressional authorization, to pay directly or indirectly for any service, advertisement or other written matter, telephone communication, or other device intended to influence at any time a Member of Congress or official of any government concerning any legislation, law, policy, appropriation, or ratification.

c. If you are a nonprofit organization described in section 501(c)(4) of title 26, United States Code (the Internal Revenue Code of 1968), you may not engage in lobbying activities as defined in the Lobbying Disclosure Act of 1995 (2 U.S.C., chapter 26). If we determine that you have engaged in lobbying activities, we will cease all payments to you under this and other awards and terminate the awards unilaterally for material failure to comply with the award terms and conditions.

4. ***Officials not to benefit.*** You must comply with the requirement that no member of Congress shall be admitted to any share or part of this award, or to any benefit arising from it, in accordance with 41 U.S.C. 6306.

5. ***Hatch Act.*** If applicable, you must comply with the provisions of the Hatch Act (5 U.S.C. 1501– 1508) concerning political activities of certain State and local government employees, as implemented by the Office of Personnel Management at 5 CFR part 151, which limits political activity of employees or officers of State or local governments whose employment is connected to an activity financed in whole or part with Federal funds.

6. ***Native American graves protection and repatriation.*** If you control or possess Native American remains and associated funerary objects, you must comply with the requirements of 43 CFR part 10, the Department of the Interior implementation of the Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C., chapter 32).

7. ***Fly America Act.*** You must comply with the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. 40118), commonly referred to as the “Fly America Act,” and implementing regulations at 41 CFR 301–10.131 through 301–10.143. The law and regulations require that U.S. Government financed international air travel of passengers and transportation of personal effects or property must use a U.S. Flag air carrier or be performed under a cost sharing arrangement with a U.S. carrier, if such service is available.

8. ***Use of United States-flag vessels.*** You must comply with the following requirements of the Department of Transportation at 46 CFR 381.7, in regulations implementing the Cargo Preference Act of 1954:

a. Pursuant to Public Law 83–664 (46 U.S.C. 55305), at least 50 percent of any equipment, materials or commodities procured, contracted for or otherwise obtained with funds under this award, and which may be transported by ocean vessel, must be transported on privately owned United States- flag commercial vessels, if available.

b. Within 20 days following the date of loading for shipments originating within the United States or within 30 working days following the date of loading for shipments originating outside the United States, a legible copy of a rated, “on-board” commercial ocean bill-of-lading in English for each shipment of cargo described in paragraph 8.a of this section must be furnished to both our award administrator (through you in the case of your contractor's bill-of-lading) and to the Division of National Cargo, Office of Market Development, Maritime Administration, Washington, DC 20590.

9. ***Research misconduct.*** You must comply with requirements concerning research misconduct in Enclosure 4 to DoD Instruction 3210.7, “Research Integrity and Misconduct.” The Instruction implements the Governmentwide research misconduct policy that the Office of Science and Technology Policy published in the Federal Register (65 FR 76260, December 6, 2000, available through the U.S. Government Printing Office website:

<https://www.federalregister.gov/documents/2000/12/06/00-30852/executive-office-of-the-president-federal-policy-on-research-misconduct-preamble-for-research>).

10. ***Requirements for an Institution of Higher Education Concerning Military Recruiters and Reserve Officers Training Corps (ROTC).***

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

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

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

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

iv. Access by military recruiters for purposes of military recruiting to the names of

students (who are 17 years of age or older and enrolled at that institution or any subelement of that institution); their addresses, telephone listings, dates and places of birth, levels of education, academic majors, and degrees received; and the most recent educational institutions in which they were enrolled.

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

- i. Will cease all payments to you of DoD funds under this award and all other DoD grants and cooperative agreements; and
- ii. May suspend or terminate those awards unilaterally for material failure to comply with the award terms and conditions.

11. ***Historic preservation.*** You must identify to us any:

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

b. Potential under this award for irreparable loss or destruction of significant scientific, prehistorical, historical, or archeological data, and provide any help we may need, with respect to this award, to comply with the Archaeological and Historic Preservation Act of 1974 (54 U.S.C. chapter 3125).

12. ***Relocation and real property acquisition.*** You must comply with applicable provisions of 49 CFR part 24, which implements the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (42 U.S.C. 4601, et seq.) and provides for fair and equitable treatment of persons displaced by federally assisted programs or persons whose property is acquired as a result of such programs.

13. ***Confidentiality of patient records.*** You must keep confidential any records that you maintain of the identity, diagnosis, prognosis, or treatment of any patient in connection with any program or activity relating to substance abuse education, prevention, training, treatment, or rehabilitation that is assisted directly or indirectly under this award, in accordance with 42 U.S.C. 290dd–2.

14. ***Pro-Children Act.***

You must comply with applicable restrictions in the Pro-Children Act of 1994 (Title 20,

Chapter 68, subchapter X, Part B of the U.S. Code) on smoking in any indoor facility:

- a. Constructed, operated, or maintained under this award and used for routine or regular provision of kindergarten, elementary, or secondary education or library services to children under the age of 18.
- b. Owned, leased, or contracted for and used under this award for the routine provision of federally funded health care, day care, or early childhood development (Head Start) services to children under the age of 18.

15. ***Constitution Day.*** You must comply with Public Law 108–447, Div. J, Title I, Sec. 111 (36 U.S.C. 106 note), which requires each educational institution receiving Federal funds in a Federal fiscal year to hold an educational program on the United States Constitution on September 17th during that year for the students served by the educational institution.

16. ***Trafficking in persons.*** You must comply with requirements concerning trafficking in persons specified in the award term at 2 CFR 175.15(b), as applicable.

17. ***Whistleblower protections.*** You must comply with 10 U.S.C. 2409, including the:

- a. Prohibition on reprisals against employees disclosing certain types of information to specified persons or bodies; and
- b. Requirement to notify your employees in writing, in the predominant native language of the workforce, of their rights and protections under that statute.

## **H. Reporting Requirements**

- 1. Financial and Performance Reporting: quarterly reporting is required.
- 3. Presentation of Findings: see the purpose statement.
- 4. Property Reports: Not applicable
- 5. Document submission: All reporting requirements above shall be sent via email to the Government Technical Program Point of Contact.

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

The terms and conditions of the award will provide the specifics on how to submit the

reports and any required sections for those reports.

## **I. Other Administrative Requirements**

Award recipients must provide assurances and certifications on all applicable compliance requirements. Any awards resulting from this NFO will be subject to the national policy requirements of assistance awards, such as Debarment and Suspension, Drug Free Workplace, Lobbying, Hatch Act, etc.

## **J. Federal Contacts**

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

Kristin Thomasgard, Director, REPI Program OASD(EMR), REPI  
Program Office: 571-372-6835

Email: [kristin.j.thomasgard.civ@mail.mil](mailto:kristin.j.thomasgard.civ@mail.mil)

Jaime Simon, Director for External Affairs and Communications, REPI Program  
(ODASD(EMR))

Office: 571-372-6851

Email: [jaime.e.simon.civ@mail.mil](mailto:jaime.e.simon.civ@mail.mil)

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

Michael Fanizzo, Grants Officer

Washington Headquarter Services, Acquisition  
Directorate Email: [michael.j.fanizzo.civ@mail.mil](mailto:michael.j.fanizzo.civ@mail.mil)

Diane Clarke, Grants Specialist

Washington Headquarter Services, Acquisition  
Directorate Email: [diane.r.clarke.civ@mail.mil](mailto:diane.r.clarke.civ@mail.mil)

## **K. Other Information**

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

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

**1. The Grants Office**

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

**2. Federal Statutes**

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

**3. Retention and Examination of Records**

Retention and access requirements for records shall be as set out at 32 CFR 32.53 for the award.

**4. Modification of Agreement**

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

**5. Code of Conduct**

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

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

The Federal Funding Accountability and Transparency Act of 2006 (Public Law 109- 282), as amended by Section 6202 of Public Law 110-252, requires that all agencies establish requirements for recipients reporting information on subawards and executive total compensation as codified in 2 CFR 170.110. Any U.S.

Institutions of Higher Education that applies for financial assistance (either grants, cooperative agreements or other transaction agreements) as either a prime or sub- recipient under this NFO must provide information in its proposal that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR

170.220. This grant and any subawards are also subject to 32 CFR Part 32.

**7. 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 2021.