

U.S. ARMY COMBAT CAPABILITIES DEVELOPMENT COMMAND (DEVCOM)

ARMY RESEARCH LABATORY'S (ARL) ARMY RESEARCH OFFICE (ARO)

FUNDING OPPORTUNITY ANNOUNCEMENT

W911NF25S0007

3 June 2025 – 2 June 2030

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. PROGRAM DESCRIPTION

A. Required Overview Content

1. Federal Awarding Agency Name(s):

U.S. Army Combat Capabilities Development Command Army Research Laboratory Army Research Office

2. Issuing Acquisition Office:

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

3. Funding Opportunity Title:

Staff Research Program

4. Announcement Type

Initial Announcement

5. Funding Opportunity Number:

W911NF25S0007

6. Assistance Listing Number:

12.431 – Basic Scientific Research

7. Response Dates:

This Funding Opportunity Announcement is a continuously open announcement beginning 3 June 2025 through 4:00 PM local time (Research Triangle Park, NC), 2 June 2030. Amendments to this FOA will be posted to Grants.gov if they occur.

B. Additional Overview Information

This FOA 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 and will be subject to 2 CFR 200, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” as implemented by 2 CFR Chapter XI, Subchapter A and DoDGARs at 32 CFR Subchapter C. The principal purpose of this FOA 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. FEDERAL AWARD INFORMATION

A. Program Overview

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, consistent with 31 U.S.C. 6305, is used to enter into the same kind of relationship as a grant (see definition “grant”) except that substantial involvement is expected between the Federal Government 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.

In accordance with 10 U.S.C. §4021(i), as amended, the following information submitted during the solicitation and award process of Cooperative Agreement for performance of basic, applied, or advanced research authorized by section 4001 are exempt from disclosure requirements of 5 U.S.C. §552, the Freedom of Information Act (FOIA), for a period of five years from the date the Department receives the information. Offerors should mark the following documents with a legend asserting that they are submitted on a confidential basis:

- A proposal, proposal abstract, and supporting documents;
- A business plan submitted on a business proprietary basis;
- Technical information submitted on a controlled basis, as outlined in DoDI 5230.24, Distribution Statements on Technical Documents.

Cooperative agreements are governed by the following regulations:

- a. Federal Statutes
- b. Federal Regulations
- c. 2 CFR Part 200
- d. 2 CFR Part 1104
- e. 32 CFR Parts 21, 22, 26, and 28
- f. DoD Research And Development General Terms and Conditions
- g. Agency-specific Research Terms and Conditions

C. Eligibility Information

1. Eligible Applicants:

Eligible applicants under this FOA 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 FOA.

D. Application and Submission Information

1. Address to Funding Opportunity Announcement

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

Amendments to this FOA, 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 FOA 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 FOA, W911NF25S0007, in the Funding Opportunity search box. You can also search for the Assistance Listing 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/applicants/applicant-registration>

- 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/applicants/applicant-registration>
 - 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/applicants/applicant-registration>
 - 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/applicants/applicant-registration>
 - 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/applicants/applicant-registration>
 - 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/applicants/applicant-registration>
 - 6) *Track Role Status:* To track your role request, refer to: <https://www.grants.gov/applicants/applicant-registration>
- 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/applicants/workspace-overview>

- 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/applicants/adobe-software-compatibility>

- 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 UEI. 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 2 June 2030. 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 FOA. 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 FOA).

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.

FORM: CURRENT AND PENDING SUPPORT (Mandatory):

Not later than October 1, 2024, all Notices of Funding Opportunity for assistance awards for the purpose of R&D must require the use of the common forms located here https://www.nsf.gov/bfa/dias/policy/nstc_disclosure.jsp for the collection of biosketch and current and pending support information associated with the SF-424 R&R family of forms. Specifically, these common forms are to be used with the Research and Related Senior/Key Person Profile (Expanded) form (OMB Control Number 4040-0001). This form has inputs for both “biosketch” and “current and pending support”. These common forms are to be used to supply the inputs to the Research and Related Senior/Key Person Profile (Expanded) form.

6. Unique Entity Identifier and System for Award Management

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

7. Submission Dates and Times

- a. Applications must be received between 1 April 2025 and no later than 4:00 p.m. Local Time (Research Triangle Park NC), 31 March 2030.

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

review. Acceptable evidence to establish the time of receipt by Grants.gov includes documentary evidence of receipt maintained by Grants.gov.

If an emergency or unanticipated event interrupts normal federal government processes so that applications cannot be received by Grants.gov by the exact time specified in this FOA, and the situation precludes amendment of the FOA closing date, the time specified for receipt of applications will be deemed to be extended to the same time of day specified in this 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 <https://www.grants.gov/applicants/grant-applications/track-my-application>

8. Intergovernmental Review

Not Applicable

9. 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.

10. Other Submission Requirements

None

E. Application Review Information

1. Criteria:

Proposals submitted in response to this FOA will be evaluated using the factors listed below:

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.

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

This risk-based security review process provides consistency in policy and procedures across all DoD Components. Risk-based-security reviews will be conducted of all Covered Individuals submitted with fundamental research proposals that are identified as “selectable and recommended for funding.” The risk-based security reviews will be conducted by reviewing the Standard Form (SF) 424, “Senior/Key Person Profile (Expanded),” its accompanying or referenced documents, Common Disclosure Forms, and the Research Performance Progress Reports (when applicable), in concert with a risk decision matrix consistent with the DoD’s Decision Matrix to Inform Fundamental Research Proposal Mitigation Decisions.

It is DoD policy that the publication of products of fundamental research will remain unrestricted to the maximum extent possible. National Security Decision Directive (NSDD) 189 defines

fundamental research as follows:

Basic and applied research in science and engineering, the results of which ordinarily are published and shared broadly within the scientific community, as distinguished from proprietary research and from industrial development, design, production, and product utilization, the results of which ordinarily are restricted for proprietary or national security reasons.

As of the date of publication of this solicitation, the Government expects that program goals as described herein may be met by proposers intending to perform fundamental research and does not anticipate applying publication restrictions of any kind to individual awards for fundamental research that may result from this solicitation. Notwithstanding this statement of expectation, the Government is not prohibited from considering and selecting research proposals that, while perhaps not qualifying as fundamental research under the foregoing definition, still meet the solicitation criteria for submissions. If proposals are selected for award that offer other than a fundamental research solution, the Government will either work with the proposer to modify the proposed statement of work to bring the research back into line with fundamental research or else the proposer will agree to restrictions to receive an award.

University or non-profit research institution performance under this solicitation will include efforts categorized as fundamental research. In addition to Government support for free and open scientific exchanges and dissemination of research results in a broad and unrestricted manner, the academic or non-profit research performer or recipient, regardless of tier, acknowledges that such research may have implications that are important to U.S. national interests and must be protected against foreign influence and exploitation. As such, the academic or non-profit research performer or recipient agrees to comply with the following requirements:

a. On June 8, 2023, the Undersecretary of Defense for Research and Engineering (OUSD(R&E)) released a memorandum, “Policy on Risk-Based Security Reviews on Fundamental Research,” directing Components to establish a risk-based security review program to identify and mitigate undue foreign influence in fundamental research consistent with the requirements mandated by National Security Presidential Memorandum (NSPM)-33. In accordance with these requirements, all Covered Individuals proposed under all fundamental research proposals that are selected for award will be assessed for potential undue foreign influence risk factors relating to professional and financial activities. This will be done by evaluating information provided via the SF-424 and any accompanying or referenced documents to identify, as well as the Common Disclosure Forms, to assess any associations or affiliations the Covered Individuals may have with foreign countries of concern (FCOC) (i.e., The Peoples Republic of China, the Russian Federation, the Islamic Republic of Iran, and the Democratic People’s Republic of North Korea) or FCOC connected entities.

b. The University or non-profit research institution, performer, or recipient must establish and maintain an internal process or procedure to address malign foreign talent programs, conflicts of commitment, conflicts of interest, and research integrity consistent with USD(R&E) direction. The academic or non-profit research performer or recipient must also utilize due diligence to identify Foreign Components or participation by Covered Individuals in Foreign Government

Talent Recruitment Programs and agree to share such information with the Government upon request.

i. The above-described information will be provided to the Government as part of the proposal response to the solicitation and will be reviewed and assessed utilizing a risk-based security review process prior to award. Generally, this information will be included in the Research and Related Senior/Key Personnel Profile (Expanded) form (SF-424) and Common Disclosure Forms required as part of the proposer's submission through Grants.gov.

1. Instructions regarding how to fill out the SF-424 and its biographical sketch can be found through Grants.gov.

ii. The risk-based security review process takes into consideration the entirety of the Covered Individual's SF-424, current and pending support, and biographical sketch. Any identified potential risk factors, along with publicly or commercially available validation information, are then compared to a risk decision matrix consistent with the "DoD Component Decision Risk Matrix to Inform Fundamental Research Proposal Mitigation Decisions" to determine the level of mitigation that may be required to proceed, if possible.

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

1. FY23 Lists Published in Response to Section 1286 of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Public Law 115-232), as amended.

2. Executive Order 13959 "Addressing the Threat From Securities Investments That Finance Communist Chinese Military Companies": www.govinfo.gov/content/pkg/FR-2020-11-17/pdf/2020-25459.pdf

3. The U.S. Department of Commerce, Bureau of Industry and Security, List of Parties of Concern: www.bis.doc.gov/index.php/policyguidance/lists-of-parties-of-concern

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

28 Community": www.dni.gov/files/ODNI/documents/assessments/ATA-2023-Unclassified-Report.pdf

5. Various Defense Counterintelligence and Security Agency (DCSA) products regarding targeting of US technologies, adversary targeting of academia, and the exploitation of academic experts: www.dcsa.mil

iv. The DoD has explicitly stated that there are foreign influence risks that are not able to be mitigated and thus would require denial of award. They are:

1. BEGINNING IN FISCAL YEAR (FY) 2024 (1 OCTOBER 2023), NO U.S. INSTITUTION OF HIGHER LEARNING THAT HOSTS A CONFUCIUS INSTITUTE ARE AUTOMATICALLY CLASSIFIED AS "PROHIBITED"

UNDER OUSD(R&E) “POLICY ON RISK-BASED SECURITY REVIEWS ON FUNDAMENTAL RESEARCH.”

2. AS OF 9 AUGUST 2024, THE DOD IS PROHIBITED FROM FUNDING OR MAKING AN AWARD OF A FUNDAMENTAL RESEARCH PROJECT PROPOSAL IN WHICH A COVERED INDIVIDUAL IS ACTIVELY PARTICIPATING IN A MALIGN FOREIGN TALENT RECRUITMENT PROGRAM (MFTRP), PURSUANT TO SECTION 10632 OF THE CHIPS AND SCIENCE ACT OF 2022. INDIVIDUALS PARTICIPATING IN A MFTRP ARE AUTOMATICALLY CLASSIFIED AS “PROHIBITED.” UNDER OUSD(R&E) “POLICY ON RISK-BASED SECURITY REVIEWS ON FUNDAMENTAL RESEARCH”

* The term “Confucius Institute” means a cultural institute directly or indirectly funded by the Government of the People's Republic of China.

v. Any changes to Covered Individuals will require submission of an SF 424 and its attachments, Common Disclosure Forms, a security-based risk assessment, and approval by the contracting officer and program manager.

vi. Security-based risk assessments will also be conducted if changes to Covered Individuals reporting criteria are reflected in the Research Performance Progress Reports.

vii. To the greatest extent practicable, the DoD will work with the proposing institution to ensure that if the risk is able to be mitigated, it will make every effort to do so. If the proposing institution refuses to, or is unable to mitigate the identified risks, it may result in a denial of award.

viii. Proposing institutions who have their fundamental research proposal rejected due to the risk-based security review process or the inability to come to agreement concerning proposed mitigation strategies may challenge the risk-based security review decision. In that instance, the OUSD(R&E) will reconsider the project proposal as well as any additional documentation provided by the proposing institution to ensure that there was no erroneous interpretation of the material facts or law.

ix. This process, to include negotiation of risk mitigation measures, is not to be considered as part of the time-to-award.

c. Failure of the academic or non-profit research performer or recipient to reasonably exercise due diligence to discover or ensure that neither it nor any of its Covered Individuals involved in the subject award are participating in a Malign Foreign Government Talent Program or have a Foreign Component with a FCOC or FCOC connected entity may result in the Government exercising remedies in accordance with Federal law and regulation.

i. If, at any time during performance of this research award, the academic or nonprofit research performer or recipient should learn that it, its Covered Individuals, or applicable team members or subtier performers on this award are, or are believed to be, participants in a malign foreign government talent program or exhibiting behaviors/actions identified in the DoD Component Decision Matrix to Inform Fundamental Research Proposal Mitigation Decisions (i.e., funding

from a FCOC or FCOC-connected entity, patents resulting from U.S. government funded research that were filed with a FCOC or on behalf of a FCOC-connected entity, and associations or affiliations with foreign government connected entities), the performer or recipient will notify the Government Contracting Officer or Agreements Officer within 5 business days.

1. This disclosure must include specific information as to the personnel involved and the nature of the situation and relationship. The Government will have 30 business days to review this information and conduct any necessary fact-finding or discussion with the performer or recipient.

2. Such disclosure could result in a termination of award at the government's discretion.

3. If the University receives no response from the Government to its disclosure within 30 business days, it may presume that the Government has determined the disclosure does not represent a threat.

ii. The performer or recipient must flow down this provision to any subtier contracts or agreements involving direct participation in the performance of the research.

All analysis and assessment of affiliations and associations of Covered Individuals are compliant with Title VI of the Civil Rights Act of 1964. Information regarding race, color, or national origin is not collected and does not have bearing in the risk assessment. University or non-profit research institutions with proposals selected for negotiation that have been assessed as having potential undue foreign influence risk factors, as defined by the DoD Decision Matrix to Inform Fundamental Research Proposal Mitigation Decisions, will be given an opportunity during the negotiation process to mitigate the risk. The DoD reserves the right to request any follow-up information needed to assess potential risk factors or proposed risk mitigation strategies.

d. Definitions: Definitions can be found in the June 08, 2023 USD(R&E) memorandum, "Policy for Risk Based Security Reviews of Fundamental Research," or as it is amended.

3.Recipient Qualification

The Grants Officer is responsible for determining a recipient's qualification prior to award. In general, the Grants Officer will award grants or cooperative agreements only to qualified recipients that meet the standards at 32 CFR 22.415. To be qualified, a potential recipient must:

- a. Have the management capability and adequate financial and technical resources, including those that would be made available through the grant or cooperative agreement, to execute the program of activities envisioned under the grant or cooperative agreement;
- b. Have a satisfactory record of executing such programs or activities (if applicant is a previous recipient of a DoD-funded award);

- c. Have a satisfactory record of integrity and business ethics; and
- d. Be otherwise qualified and eligible to receive a grant or cooperative agreement under applicable laws and regulations.

Applicants are requested to provide information to assist the Army Grants Officer's evaluation of recipient qualifications. In accordance with Office of Management and Budget (OMB) guidance in parts 180 and 200 of Title 2, CFR, it is DoD policy that DoD Components must report and use integrity and performance information in the Federal Awardee Performance and Integrity Information System (FAPIIS), or any successor system designated by OMB.

If the total Federal share of a grant or cooperative agreement will be greater than the simplified acquisition threshold (currently \$250,000), then:

- a. The Army Grants Officer, prior to making an award, will review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313);
- b. An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.
- c. The Army Grants Officer will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 2 CFR 200.205, Federal awarding agency review of risk posed by applicants.

F. Federal Award Administration Notice

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:

- a. An award issued under this FOA will be governed by the general terms and

conditions in effect at the time of the award that conform to DoD's implementation of OMB guidance applicable to financial assistance in 2 CFR part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards." The DoD Research and Development General Terms and Conditions (latest version, October 2024) are available at <https://www.nre.navy.mil/work-with-us/manage-your-award/manage-grant-award/grants-terms-conditions>

- b. A recipient must comply with all applicable national policy requirements. The key national policy requirements that may relate to an award under this FOA are included in the terms and conditions specified in paragraph 2.a. above.
- c. Grant awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. Statutes and Government-wide regulations require the certification to be submitted prior to award. When submitting your grant through Grants.gov, by completing blocks 18 and 19 of the SF 424 (R&R) Form, the grant applicant is providing the certification on lobbying required by 32 CFR Part 28; otherwise, a copy signed by the AOR must be provided. Below is the required certification:

CERTIFICATION AT APPENDIX A TO 32 CFR PART 28 REGARDING LOBBYING: Certification for Grants and Cooperative Agreements the undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit SF-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

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

In accordance with Section 743 of P.L. 113-235 , none of the funds appropriated or otherwise made available by that or any other Act may be made available for a grant or cooperative agreement with an entity that requires its employees or contractors seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting those employees or contractors from lawfully reporting that waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive the information.

d. PROHIBITION ON CONTRACTING WITH ENTITIES THAT REQUIRED CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS – REPRESENTATION

Agreement with the representation below will be affirmed by checking the “I agree” box in block 17 of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows: By submission of its proposal or application, the applicant represents that it does not require any of its employees, contractors, or subrecipients seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting those employees, contractors, subrecipients from lawfully reporting that waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information. *Note that: Section 743 states that it does not contravene requirements applicable to SF 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

Recipients are required to submit the following representation with the application package IAW the instructions of this FOA.

e. REPRESENTATIONS UNDER DOD ASSISTANCE AGREEMENTS: APPROPRIATIONS PROVISIONS ON TAX DELINQUENCY AND FELONY CONVICTIONS

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

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

(a) The applicant represents that it is ☐ is not ☐ a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

(b) The applicant represents that it is ☐ is not ☐ a corporation that was convicted of a criminal violation under any Federal law within the preceding 24 months.

NOTE: If an applicant responds in the affirmative to either of the above representations, the applicant is ineligible to receive an award unless the agency suspension and debarment official (SDO) has considered suspension or debarment and determined that further action is not required to protect the Government's interests. The applicant therefore should provide information about its tax liability or conviction to the agency's SDO as soon as it can do so, to facilitate completion of the required considerations before award decisions are made.

f. **PROHIBITION ON CONTRACTING WITH ENTITIES USING CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT**

Section 889 of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2019 (Public Law 115-232) prohibits the head of an executive agency from obligating or expending loan or grant funds to procure or obtain, extend, or renew a contract to procure or obtain, or enter into a contract (or extend or 105 renew a contract) to procure or obtain the equipment, services, or systems prohibited systems as identified in section 889 of the NDAA for FY 2019. For more information on how this applies to all grant recipients and sub-recipients after August 13, 2020, please see DoD Research General Terms and Conditions (SEP 2021) NP Article IV. Other national policy requirements, paragraph 18.

b. Policy Requirements: The following list provides notable national policy requirements that may be applicable to an award. NOTE: The following is not an all-inclusive list of policy requirements. For assistance awards, refer to the DoD Research and Development General Terms and Conditions at <https://www.nre.navy.mil/work-with-us/manage-your-award/manage-grant-award/grantterms-conditions> for additional national policy requirements that may apply.

g. **PROTECTION OF HUMAN SUBJECTS:**

The recipient must protect the rights and welfare of individuals who participate as human subjects in research under this award and comply fully with the requirements at 32 CFR part 219, Department of Defense Instruction (DoDI) 3216.02, 10 U.S.C. 980, the National Policy Requirements Concerning Live Organisms Terms and Conditions (Section A.1., Human Subjects, at 81 Federal Register 78380, Appendix C to Part 1122), and when applicable, Food and Drug Administration (FDA) policies and regulations.

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

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

- (i) If the HSR meets an exemption criterion under 32 CFR 219.101(b), the documentation must include a citation of the exemption category under 32 CFR 219.101(b) and a rationale statement.
- (ii) If the recipient's activity is determined as "non-exempt research involving human subjects", the documentation must include: Assurance of Compliance (a written assurance that an institution will comply with requirements of 32 CFR Part 219, as well as the terms of the assurance) appropriate for the scope of work or program plan; and – Institutional Review Board (IRB) approval, as well as all documentation reviewed by the IRB to make their determination.

The HRPO retains final judgment on what activities constitute HSR, whether an exempt category applies, whether the risk determination is appropriate, and whether the planned HSR activities comply with the requirements in paragraph (a) of this section. The recipient must notify the Grants Officer/ immediately of any suspensions or terminations of the Assurance of Compliance. DoD staff, consultants, and advisory groups may independently review and inspect the recipient's research and research procedures involving human subjects and, based on such findings, DoD may prohibit research that presents unacceptable hazards or otherwise fails to comply with DoD requirements.

Definitions for terms used in this section are found in DoDI 3216.02.

- h. ANIMAL USE: Prior to initiating any animal work under the award, the recipient must:
 - (i) Register the recipient's research, development, test, and evaluation or training facility with the Secretary of Agriculture in accordance with 7 U.S.C. 2136 and 9 CFR section 2.30, unless otherwise exempt from this requirement by meeting the conditions in 7 U.S.C. 2136 and 9 CFR parts 1-4 for the duration of the activity.
 - (ii) Have the recipient's proposed animal use approved in accordance with DoDI 3216.01, Use of Animals in DoD Programs by a DoD Component Headquarters Oversight Office.

(iii) Furnish evidence of such registration and approval to the grants officer.

The recipient must make the animals on which the research is being conducted, and all premises, facilities, vehicles, equipment, and records that support animal care and use available during business hours and at other times mutually agreeable to the recipient, the United States Department of Agriculture Office of Animal and Plant Health Inspection Service (USDA/APHIS) representative, personnel representing the DoD component oversight offices, as well as the grants officer, to ascertain that the recipient is compliant with 7 U.S.C. 2131 et seq., 9 CFR parts 1-4, and DoDI 3216.01.

The recipient's care and use of animals must conform with the pertinent laws of the United States, regulations of the Department of Agriculture, and regulations, policies, and procedures of the DoD (see 7 U.S.C. 2131 et seq., 9 CFR parts 1-4, and DoDI 3216.01). (d) The recipient must acquire animals in accordance with DoDI 3216.01.

i. **BIOLOGICAL SAFETY PROGRAM REQUIREMENTS:** Awards may be subject to biological safety program requirements IAW:

(a) Army Regulation (AR) 385-10, Chapter 20
https://armypubs.army.mil/epubs/DR_pubs/DR_a/pdf/web/p385_10.pdf

(b) Department of Army (DA) Pamphlet (PAM) 385-69 on safety standards for microbiological and biomedical laboratories. This pamphlet requires the mandatory use of the latest edition of the U.S. Department of Health and Human Services, Centers for Disease Control and Prevention (CDC) and National Institutes of Health's (NIH) Biosafety in Microbiological and Biomedical Laboratories (BMBL)
https://armypubs.army.mil/epubs/DR_pubs/DR_a/pdf/web/p385_69.pdf

(c) DoD Manual 6055.18-M, Enclosure 4, Section 13
<https://www.hsdl.org/?view&did=24365>

j. **MILITARY RECRUITING:** This is to notify potential applicants that each cooperative agreement awarded under this announcement to an institution of higher education must include the following term and condition:

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

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

- (ii) Any student at that institution (or any sub-element of that institution) from enrolling in a unit of the Senior ROTC at another institution of higher education.
- (iii) The Secretary of a Military Department or Secretary of Homeland Security from gaining access to campuses, or access to students (who are 17 years of age or older) on campuses, for purposes of military recruiting in a manner that is at least equal in quality and scope to the access to campuses and to students that is provided to any other employer; or
- (iv) Access by military recruiters for purposes of military recruiting to the names of students (who are 17 years of age or older and enrolled at that institution or any 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.

k. **DRUG-FREE WORKPLACE:** The recipient must comply with drug-free workplace requirements in Subpart B of 2 CFR Part 26, which is the DoD implementation of 41 U.S.C. Chapter 81, “Drug-Free Workplace”

l. **DEBARMENT AND SUSPENSION:** The recipient must comply with requirements regarding debarment and suspension in 2 CFR Part 1125. This includes requirements concerning the recipient’s principals under an award, as well as requirements concerning the recipient’s procurement transactions and subawards that are implemented in DoD Research and Development General Terms and Conditions PROC Articles I through III and Sub Article II.

m. **REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION:** The recipient must report information about subawards and executive compensation as specified in the award term in Appendix A to 2 CFR Part 170, “Reporting subaward and executive compensation information,” modified as follows:

(a) To accommodate any future designation of a different Government wide Web site for reporting subaward information, the Web site “<http://www.fsrc.gov>” cited in paragraphs a.2.i. and a.3 of the award provision is replaced by the phrase “<http://www.fsrc.gov> or successor OMB designated Web site for reporting subaward information”;

(b) To accommodate any future designation of a different Government wide Web site for reporting executive compensation information, the Web site “<http://www.sam.gov>” cited in paragraph b.2.i. of the award provision is replaced

by the phrase “<https://www.sam.gov> or successor OMB-designated Web site for reporting information on total compensation”

n. **Reporting**

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

If the total Federal share exceeds \$500,000 on any Federal award under a notice of funding opportunity, the post-award reporting requirements reflected in Appendix XII to 2 CFR 200 will be included in the award document. This requirement also applies to modifications of awards that: 1) increase the scope of the award, 2) are issued on or after January 1, 2016, and 3) increase the federal share of the award’s total value to an amount that exceeds \$500,000.

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. Federal Awarding Agency Contact

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 FOA 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: _____