

NOTICE OF FUNDING OPPORTUNITY



**DEPARTMENT OF DEFENSE
DEFENSE SECURITY COOPERATION UNIVERSITY – RESEARCH GRANTS**

ANNOUNCEMENT TYPE: Initial Announcement
FUNDING OPPORTUNITY NUMBER: HQ003423NFOEASD17
ASSISTANCE LISTING: 12.024 Defense Security Cooperation University -
Research Grants
KEY DATES: This NFO is a continuously open announcement.
Amendments to this Notice of Funding Opportunity
(NFO) will be posted to Grants.gov if they occur. Select
white paper submissions will be invited to submit a full
application.

CONTENTS

- I. PROGRAM DESCRIPTION** 4
 - A. BACKGROUND** 4
 - B. FUNDING PRIORITIES** 4
 - C. AUTHORIZATION**..... 5
- II. FEDERAL AWARD INFORMATION** 5
 - A. TYPE OF INSTRUMENT**..... 5
 - B. ESTIMATED PROGRAM FUNDING** 5
 - C. ANTICIPATED NUMBER OF AWARDS** 6
 - D. OTHER** 6
- III. ELIGIBILITY INFORMATION**..... 6
 - A. ELIGIBLE APPLICANTS**..... 6
 - B. COST SHARING OR MATCHING**..... 7
 - C. CONFLICT OF INTEREST** 7
 - D. PROTECTION OF HUMAN SUBJECTS** 7
- IV. APPLICATION AND SUBMISSION INFORMATION** 8
 - A. APPLICATION PROCEDURES AND REQUIREMENTS** 8
 - B. SUBMISSION DATE AND TIME** 9
 - C. APPLICATION WITHDRAWAL** 9
 - D. WHITE PAPERS (STAGE ONE)** 9
 - 1. WHITE PAPER PACKAGE REQUIREMENTS** 9
 - 2. WHITE PAPER SUBMISSION**..... 10
 - E. TECHNICAL APPLICATION (STAGE TWO)**..... 11
 - 1. TECHNICAL APPLICATION PACKAGE REQUIREMENTS** 11
 - 2. TECHNICAL APPLICATION SUBMISSION** 11
 - 3. PROJECT NARRATIVE FILE**..... 12
 - 4. INITIAL WORK PLAN**..... 16
 - 5. BUDGET JUSTIFICATION** 17
- V. APPLICATION REVIEW INFORMATION**..... 20
 - A. SELECTION CRITERIA** 20
 - B. REVIEW AND SELECTION PROCESS** 21
- VI. REPORTING REQUIREMENTS** 21
 - A. PERFORMANCE REPORTING** 21

B. FINANCIAL REPORTING	22
C. AUDIT REPORTS.....	22
D. PROPERTY REPORTS	22
E. DOCUMENT SUBMISSION	22
VII. FEDERAL AWARD ADMINISTRATION INFORMATION	22
A. FEDERAL AWARD NOTICES	22
B. NATIONAL POLICY (NP) REQUIREMENTS	22
VIII. OTHER ADMINISTRATIVE REQUIREMENTS	29
IX. FEDERAL CONTACTS	29
X. OTHER INFORMATION.....	30
A. SECURITY AND SAFEGUARDING INFORMATION	30
B. FUNDING RESTRICTIONS	30
XI. APPENDIX	30
A. LIST OF ACRONYMS.....	30

I. PROGRAM DESCRIPTION

The Defense Security Cooperation Agency's (DSCA) Defense Security Cooperation University (DSCU) promotes access to and production of knowledge on security cooperation. Security cooperation refers to "all Department of Defense (DoD) interactions with foreign security establishments that build and develop allied and partner security capabilities and capacity for self-defense and multinational operations, provide the Armed Forces of the United States with access to the foreign country during peacetime or a contingency operation, and build relationships that promote specific United States security interests" (Joint Publication 3-20, *Security Cooperation*, 1-2; see also 10 USC § 16, "Security Cooperation").

Evidence-, theory, and data-building activities that contribute to the body of knowledge on security cooperation or irregular warfare, and that result in lessons that can be applied to practice, are the primary focus of this NFO. Research products sponsored through this NFO must be unclassified and publicly accessible. DSCU expects awardees to participate in conferences, seminars, focus groups and events, and to make final research products and supporting data (if applicable) easily accessible to the public, in order to enhance dissemination of research findings and facilitate application of lessons learned in areas of policy, practice, and workforce professionalization.

The DSCU research grant program, conducted pursuant to 10 USC § 4001 and 10 USC § 384(g), is generally open to a broad range of researchers, although individual DSCU components may have restrictions on who may receive grants. See section III.A for more details.

In response to this NFO, interested applicants should submit a white paper using an online form linked below. Based on assessment of the white papers submitted, the Grants Officer will advise applicants whether their projects were judged competitive for a DSCU award and, if so, invite the applicant to submit a full technical application for funding consideration. White papers that fail to address the areas listed in the Program Description of the NFO will not be evaluated and will not receive an invitation to submit a full technical application.

A. BACKGROUND

The DSCU mission is to advance the knowledge and practice of security cooperation through the education, training, and development of the U.S. security cooperation workforce and through the education, training, and institutional capacity building of partner nations; and to produce research, analysis, and lessons learned that expand the intellectual foundations of security cooperation. DSCU components sponsor and conclude research projects that align substantively with the DoD [*Learning and Evaluation Agenda for Partnerships \(LEAP\)*](#) framework and the [*DSCU Research Agenda*](#). At DSCU, the Research and Lessons Learned Institute (RALLI) and the Irregular Warfare Center (IWC) currently offer research grants.

B. FUNDING PRIORITIES

- RALLI: Applications will meet standards of scientific rigor and address the research priorities described in the DSCU Research Agenda at this link: <https://www.dscu.edu/dscu-research-agenda>.
- IWC: Applications will be of scholarly quality and generate policy-relevant empirical or theoretical advances in our understanding of irregular warfare and gray zone competition, broadly conceived.

C. AUTHORIZATION

The authorization to make awards under this NFO may be found via Assistance Listing 12.024 at <https://sam.gov/content/assistance-listings>.

II. FEDERAL AWARD INFORMATION

The award made under this announcement will be governed by the general terms and conditions in effect at the time of the award that conform to DoD’s implementation of Office of Management and Budget (OMB) guidance applicable to financial assistance in 2 CFR 200, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.” Additionally, the requirements of the DoD Grant and Agreement Regulations at 32 CFR Subchapter C are applicable to this award. These terms and conditions are incorporated by reference in this announcement.

A. TYPE OF INSTRUMENT

The Government intends to award research grants or cooperative agreements. The Government reserves the right to award other assistance instruments, if deemed in the best interests of the Government. Grants and cooperative agreements are awarded based on funding availability and merit.

- RALLI: Grant amounts, ranging up to \$800,000 per year, are set at levels considered appropriate to research scope and outcomes, and matched to agency needs and priorities. RALLI projects must be completed within 24 months unless exceptions are granted per contract with the government.
- IWC: IWC projects must be completed within 12 months (exceptions may be granted on a case-by-case basis).

DSCU may work with other Federal agencies, quasi-government agencies, university-affiliated research centers (UARCs), other government partners, or contractors to evaluate white papers and technical applications and to administer grants and cooperative agreements.

B. ESTIMATED PROGRAM FUNDING

The Federal Government (DoD) anticipates funding \$21,600,000 toward multiple grants and/or cooperative agreements, distributed across five fiscal years. The anticipated federal program funding, broken out by Fiscal Year (FY), is:

Fiscal Year	FY24	FY25	FY26	FY27	FY28	Total Estimated Amount
Federal Contribution/ Funding	\$2.7M	\$4.5M	\$4.8M	\$5.1M	\$5.5M	\$21.6M

Subject to the availability of funds, the total value of this effort may also be augmented by Congress or by other federal government agencies.

C. ANTICIPATED NUMBER OF AWARDS

The Government reserves the right to make multiple awards or no award as a result of this NFO. Multiple awards are anticipated.

D. OTHER

All materials created or produced under this award must include the following:

- Acknowledgment of Support and Disclaimer: The Recipient is responsible for assuring that an acknowledgment of DSCU support is made in any publication (including World Wide Web pages) of any material based on or developed under this project, in the following terms: “This material is based upon work supported by the Defense Security Cooperation University research program under Grant/Cooperative Agreement No. <Insert Award No.>. The views expressed in written materials or publications, and/or made by speakers, moderators, and presenters, do not necessarily reflect the official policies of the Department of Defense nor does mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.”
- Review for Sensitive Information: Prior to the public release of these materials, the Recipient is responsible for assuring that the Technical Representative is provided access to an electronic version of every publication of material based on or developed under this award, clearly labeled with the award number and other appropriate identifying information, so that the content can be assessed for proper release of sensitive information.
- Copies for DSCU: Promptly after publication, the Recipient will provide the Technical Representative access to an electronic version of every publication of material based on or developed under this award, clearly labeled with the award number and acknowledgement of support (see above).

III. ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS

- RALLI: open to individual researchers or research teams with or without an affiliation; professional military education (PME) and civilian academic institutions; U.S. and international research and think tank institutions; federally funded research and development centers (FFRDCs); U.S. interagency security

cooperation communities of interest; and the security cooperation workforce (as defined by 10 USC § 384).

- IWC: open to individual researchers or research teams with or without an affiliation; professional military education (PME) and civilian academic institutions; U.S. and international research and think tank institutions; federally funded research and development centers (FFRDCs); and the U.S. interagency irregular warfare communities of interest.

Applicants (principal investigators) may submit only one proposal at a time. Proposed formal collaborators (co-principal investigators) or sub-recipients, however, may team on multiple proposals. Current and past awardees from this initiative, or previous versions of this initiative, are eligible to submit white papers/applications under this NFO. UARCs are eligible to submit white papers and applications under this NFO, unless precluded from doing so by their Department of Defense UARC contract.

B. COST SHARING OR MATCHING

Cost sharing is not required but, if offered, voluntary cost sharing may be considered as a demonstration of a research teams' commitment to their proposed project. If cost sharing is used, the source of all current and pending funding support for the proposed project must be declared (see Additional Documentation requirement in Section IV.E "Technical Application").

C. CONFLICT OF INTEREST

Within the white paper submission and technical application, the applicant, and any formal collaborators or sub-recipients, must disclose any potential or actual scientific, nonscientific or organizational conflict(s) of interest to the Government, including but not limited to collaborative research or funding relationships that could have a qualitative impact on the research findings. If an applicant, or any formal collaborators or sub-recipients, has an actual or potential scientific, nonscientific, or organizational conflict of interest, their application must identify the conflict of interest and the mitigation plan to address it using ADAP Form 209.506-1. Silence on this topic in an application will be understood to mean there is no conflict of interest.

The Government or Grants Officer reserves the right to clarify any conflict(s) of interest, if needed. At the Government and/or Grants Officer's discretion, the Government and/or Grants Officer may ask the applicant, and any formal collaborators or sub-recipients, for a conflict-of-interest mitigation plan after submission of the application. The mitigation plan is subject to Government and/or Grants Officer approval. Applicants, formal collaborators or sub-recipients with conflicts of interest that are not mitigated will be ineligible for award.

D. PROTECTION OF HUMAN SUBJECTS

You must protect the rights and welfare of individuals who participate as human subjects in research under this award, and comply with the requirements of the DoD Instruction 3216.02, Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research (2020).

For proposals containing activities that include research involving human subjects as defined in DoDI 3216.02, after award, the Applicant must submit documentation as requested by a DoD Human Research Protection Official (HRPO), outlined in the DoDI 3216.02. Research involving human subjects must not commence until a HRPO has reviewed and approved the proposed human subject research. Additional information can be found below in Section VII.B.Article III.

*NOTE: Institutional Review Board (IRB) approval isn't required for the Technical Application. However, upon notification of the award, applicants should start the process for IRB approval. Applicants selected for award must obtain an approved IRB 90 days after the start of the award and submit the IRB to HRPO. This includes IRB approved Human Research exemptions. Non-approval of an IRB will be subject to the Prohibition of Use of Human Subjects which will delay the start of the grant.

IV. APPLICATION AND SUBMISSION INFORMATION

A. APPLICATION PROCEDURES AND REQUIREMENTS

Proposals submitted shall be in accordance with this announcement. Applicants should be alert for any amendments to this NFO that may adjust submission dates or other submission requirements. All proposals must reference this announcement number. All submissions must be unclassified.

This NFO competition is implemented in two stages:

1. Applicants must submit a white paper. White papers are a MANDATORY component of a two-part submission process.
2. Based on assessment of the white paper, the Grants Officer will invite selected applicants to submit a technical application. Technical applicants will be evaluated in accordance with the evaluation criteria stated herein (see Section V.A)

The Government reminds applicants that only warranted Grants Officers can bind or otherwise commit contractually the Government. The cost of preparing proposals in response to this announcement is not an allowable direct charge to any resulting agreement (or any other federal award/contract).

B. SUBMISSION DATE AND TIME

IWC and RALLI consider white papers on a rolling basis. Those applicants that are invited to submit technical applications will be designated a deadline for submission of the technical application. Technical applications submitted after the posted deadline may not be evaluated for funding consideration.

Applicants are responsible for submitting their technical applications in sufficient time to allow them to reach Grants.gov by the date and time specified as the deadline for receipt. It is strongly recommended that applications be uploaded at least two days before the closing date and time. This will help avoid problems caused by high system usage or any potential technical and/or input problems involving the applicant's own equipment. It will also allow any application errors detected by Grants.gov to be corrected in time for the application to be resubmitted. If the application is received by Grants.gov after the exact time and date specified as the deadline for receipt, it will be considered "late" and may not be considered for review.

C. APPLICATION WITHDRAWAL

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

D. WHITE PAPERS (STAGE ONE)

1. WHITE PAPER PACKAGE REQUIREMENTS

White papers should include technical information, summary, research concept, methodology, proposed budget, and researcher bio(s), as described below. Please limit Summary to 100 words, and limit word count for Research Concept, Methodology and Budget prompts to 500 words total.

- *Project Information:* The project title; name, position and organizational affiliation (if applicable) of applicant (principal investigator) and of any formal collaborators (co-principal investigators) and sub-recipients; administrative points of contact (POCs); topic(s) of interest addressed; and estimated total cost of the project. Note: Proposals may name only one principal investigator (who must be the applicant) as the responsible technical point of contact.
- *Summary:* A summary of the proposed research project that articulates the merits of the effort. Proposed application to the practice of security cooperation or irregular warfare must be expressly addressed.
- *Research Concept:* A description of the proposed research effort and the logic for how it advances the security cooperation or irregular warfare

mission. The capacities of the applicant, and of any formal collaborators or sub-recipients, must be discussed as they relate to achieving success in the project. The narrative should provide answers to the following:

- What is the research question? What hypothesis is/hypotheses are being tested? For major data-collection efforts, what research questions will this new data allow us to answer?
- What is the state of existing debate in the literature?
- What does the proposed work aim to contribute to the practice of security cooperation or irregular warfare?
- *Methodology*: Articulate the proposed tools to collect, analyze, and report data in the proposed project. Provide a brief description of the logic behind each method and data type. Include a brief argument that demonstrates the feasibility of the project, taking into consideration logistics, access to data and individuals, and other required resources.
- *Proposed Budget*: Include a budget estimate showing the annual requested funding and total project cost. Please include a brief description of anticipated costs, including direct, indirect, administrative, overhead, salary, travel, and sub-contracting costs. Include enough detail to demonstrate how each line item will support the research effort.
- *Researcher Bios*: Bio(s) for applicant and any formal collaborators should state relevant experience, publications, and funding received in the area of interest, and any previous involvement and experience with DoD. List all previous Federal funding received during the past eight years including project titles and funding sources.
- *Conflict of Interest*: The applicant, and any formal collaborators or sub-recipients, must disclose any potential or actual scientific, nonscientific or organizational conflict(s) of interest to the Government. For more details see Section III.C above.

The white paper should provide sufficient information on the research being proposed to allow for an assessment by a subject matter expert.

2. WHITE PAPER SUBMISSION

White papers must NOT be submitted through Grants.gov but via an online form (RALLI: <https://forms.osi.apps.mil/r/BcHgNy3QFe>, IWC: <https://forms.osi.apps.mil/r/WC4TCJghdJ>). Applicants receive an e-mail confirmation upon submission.

Documents found to be noncompliant with the requirements described below will not be reviewed. After evaluation of the white paper, the Grants Officer notifies applicants via email if their project merits an invitation to submit a full technical application on Grants.gov for further evaluation and possible award consideration.

E. TECHNICAL APPLICATION (STAGE TWO)

1. TECHNICAL APPLICATION PACKAGE REQUIREMENTS

The following forms and attachments are required for the Technical Application submission:

- Application for Federal Assistance (SF424 - R & R) [V5.0]
- Assurances for Non-Construction Programs (SF-424B - R & R) [V1.1]
- Project Narrative Attachment Form [V1.2] (see instructions below)
- Initial Work Plan (see instructions below)
- Budget Information for Non-Construction Programs (SF-424A) [V1.0]
- Research & Related Budget [V3.0]
 - Budget Justification (see instructions below)

See below for further instructions.

2. TECHNICAL APPLICATION SUBMISSION

Technical applications must be submitted through Grants.gov. Helpful instructions can be found at <https://www.grants.gov/applicants>. 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. If the applicant experiences difficulties with their submission, Grants.gov provides support via the toll-free number 1-800-518-4726 and email at support@grants.gov. A ticket number from Grants.gov will allow the DoD to verify the issue if it cannot be resolved by the application date. The electronic file name for all documents submitted under this NFO must not exceed 68 characters in length, including the file name extension.

Applicants or their organizations must have a Unique Entity Identifier (UEI), active System for Award Management (SAM) registration, and Grants.gov account to apply for grants and cooperative agreements. The Government may not make a Federal award until the applicant has complied with all unique entity identifier and SAM requirements and, if an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

The Federal Assistance Certifications Report is an attestation that the entity will abide by the requirements of the various laws and regulations; therefore, as applicable, you are still required to submit any documentation, including the SF-LLL Disclosure of Lobbying Activities (if applicable), and informing DoD of unpaid delinquent tax liability or a felony conviction under any Federal law. Any attachment containing additional certifications should be prefaced by the following statement: “By checking

“I Agree” on the SF-424 Block 21 you agree to abide by the following statement: “By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)”

3. PROJECT NARRATIVE FILE

The Project Narrative File is a document consisting of the following items:

Project Narrative Component	Item	Page Limit
Project Narrative Content	Cover Page	1
	Table of Contents	1
	Executive Summary	1
	Research Concept and Justification	4
	Methodology	3
	Budget Narrative	2
	Researcher Qualifications	1
	Data Management Plan (As Needed)	2
Additional Documentation	Letters of Support (Optional)	None
	Conflicts of Interest Disclosures	None
	Current and Pending Projects and Applications (As Needed)	None
	Responsibility	2
	Researcher Curriculum Vitae/Resume	2 (per CV)

Project Narratives Files with items that exceed the specified page limits may not be evaluated.

Formatting Requirements:

- Line spacing: 1.5 or double-spaced lines are acceptable. Single-spaced documents will not be accepted.
- Font: Minimum font size is 12-point. Times New Roman, preferred.
- Tables/Figures: 10-point fonts may be used for tables/figures and captions.

The Project Narrative File should be submitted through the Project Narrative Attachment Form as one PDF file with the Project Narrative Content items followed by the Additional Documentation items.

Project Narrative Content

A complete application requires **all** below components to be evaluated, unless explicitly specified “As Needed”:

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

- Funding opportunity number: HQ003423NFOEASD17;
- Title of application;
- Applicant/Principal Investigator contact:(name, title and organizational affiliation, address, phone, email address). Note: Proposals may name only one principal investigator (who must be the applicant) as the responsible technical point of contact.
- Formal Collaborators/Co-Principal Investigators contact (name, title and organizational affiliation, address, phone, email address), if applicable.
- Administrative/business contact (name, address, phone, email address);
- Proposed period of performance (identify both the base period and any options, if included); and
- Total proposed budget.

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

c) Executive Summary – An Executive Summary is requested and may be constructed in any manner in which the applicant feels summarizes the entire application.

d) Research Concept and Justification – The application must consist of a clear description of the research effort being proposed. The potential security cooperation or irregular warfare relevance and the focus and impact on the Topic(s) of Interest (Section I.A.) must be clearly identified and explained. The application should expound on the research concept and in particular:

- Identify the research question and the hypotheses that will be tested. For major data-collection efforts, what research questions will this new data allow us to answer?
- Discuss scientific merits of the application, including a review of literature and the scientific knowledge gap the project fills.

- Identify implications of the research for the practice of security cooperation or irregular warfare.

e) Methodology – Discuss how research questions, hypotheses, and evidence will be evaluated, specifically what metrics will be collected and what evaluation method(s) will be used, including (but not limited to):

- The method for theory and hypothesis development
- The method for hypothesis testing (including data collection)

f) Budget Narrative – A narrative summary of the cost proposal, as detailed in the Research & Related Budget form and its Budget Justification attachment. The budget narrative should cover, as appropriate, direct labor/salary support, administrative and clerical support, fringe benefits and indirect costs, travel, sub-awards, subcontracts, consultants, materials and supplies, recipient acquired equipment of facilities, and other direct costs. See the “Budget Justification” section below for further details.

g) Researcher Qualifications– A discussion of the qualifications of the applicant, and any formal collaborators or sub-recipients, for the proposed research. Past performance with federal awards may be discussed here. As part of its application evaluation and review process, the Government will consult the past performance information available in systems such as the Federal Awardee Performance and Integrity Information System (FAPIIS), the Contractor Performance Assessment Reporting System (CPARS), and the System for Award Management (SAM)’s Responsibility and Qualification database.

h) Data Management Plan (As Needed) – The Data Management Plan will describe the data that is collected through the course of the proposed research and information on how the data will be shared, organized, and preserved. In instances where this is not possible, The Data Management Plan must explain why it is not possible or scientifically appropriate. Information on the Data Management Plan can be found in DoDI 3200.12, Section 3.c. of Enclosure 3.

Additional Documentation

A complete application also requires the components listed below, unless specified “Optional” or “As Needed”:

a) Letter(s) of Support (Optional) – Letters of support should be printed on organizational letterhead, offering supporting commitment to the project by appropriate representatives. Commitment may include (but is not limited to)

funding, technical advisement, and organizational or infrastructure support. The letter(s) can include any, and all commitments and investments made by the representative towards the applicant or formal collaborators.

b) Conflicts of Interest Disclosures – The applicant, and any formal collaborators or sub-recipients, must disclose any potential or actual scientific, nonscientific or organizational conflict(s) of interest to the Government. For more details see Section III.C above.

c) Current and Pending Projects and Applications (As Needed) – The applicant and any formal collaborators, are required to provide information on all past, current, pending and requested support for ongoing and proposed projects, including for the project proposed in this application. (Note: concurrent submission of an application to other organizations will not prejudice its review by the DoD). This information is required for any projects requiring a portion of time of the applicant and any formal collaborator, even if they receive no salary support from the project(s).

For the project proposed in this application, applicants shall provide the following information if there is past, current, pending or requested support from any source (e.g., DoD, Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations):

- Source of funding and the amount of funding received, pending and proposed (provide contract and/or grant or assistance agreement numbers for current contracts and/or grants/assistance agreements).

For other ongoing and proposed project with past, current, pending or requested support from any source, applicants shall provide the following information:

- Name of the researcher (from this application) who is/will be working on the other project
- Title of the project and one-paragraph summary;
- Source of funding and the amount of funding received, pending and proposed (provide contract and/or grant or assistance agreement numbers for current contracts and/or grants/assistance agreements);
- Percentage of research time devoted/expected to be devoted to the project, and the (month/year) time period of the project;
- State how the other project is related to the proposed research project and indicate degree of overlap;
- Contact information for the principal investigator on the project (name, address, phone, email address);
- Administrative/business contact (name, address, phone, email address).

d) Responsibility – Applicants must provide the following information to the DoD to assist in the DoD’s evaluation of the applicant’s responsibility:

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

e) Researcher Curriculum Vitae/ Resume –The curriculum vitae/resume for the applicant and any formal collaborators shall be attached to the application and must be limited to two (2) pages each.

4. INITIAL WORK PLAN

Applicants are required to submit an initial Work Plan. The Work Plan is a summary of interim and final outcomes (“milestones”) for the project (e.g., major research steps completed, written documents produced, events held) with an associated timeline. Applicants may specify the substance and timing of their milestones (after the completed Work Plan) and may include any number of interim milestones, but the Work Plan must describe at least the following three milestones:

- Completed Work Plan (due within 30 days after award)
- Initial Findings (must be completed within one year of award)
- Final Products

Applicants should specify, for all milestones after the completed Work Plan, what outcomes each milestone involve, the timing of each milestone, and how much funding is needed to complete each milestone. The work plan should only cover the fiscal years that are supported by the budget included in the application.

The initial Work Plan will become part of the resulting award if the application is selected to be funded. A completed Work Plan will be required for selected applications to receive funding.

In addition to producing substantive outcomes, Applicants will be required to submit a Federal Financial Report (SF 425) with each completed milestone after the completed Work Plan (see Section VI on Reporting Requirements for further information).

5. BUDGET JUSTIFICATION

A separate document should be included as an attachment to the Research and Related Budget form that provides explanation and appropriate justification for each element of cost proposed. This document should include enough detail so the government can determine reasonableness. It must include *all figures, calculations, and supporting documentation for determining cost allowability, allocability, and reasonableness*. Justifications for costs must be explicitly stated.

This document should be organized consistent with the Research and Related Budget form so that it is clear how elements in the budget justification relate to itemizations in the Research and Related Budget form. The document shall be attached under Section L. “Budget Justification” of the Research and Related Budget form. Click “Add Attachment” to attach.

The Research and Related Budget form and Budget Justification attachment should include direct and indirect costs, including rates and quantities. The following should be considered:

1. Direct Labor – Individual labor categories or persons, with associated labor hours and unburdened salary rates. Provide escalation rates for out years.
 - a. Administrative and Clerical Support– Salaries of administrative and clerical staff are normally indirect costs (and included in an indirect cost rate). Direct charging of these costs may be appropriate when a major project requires an extensive amount of administrative or clerical support significantly greater than normal and routine levels of support. Budgets proposing direct charging of administrative or clerical salaries must be supported with a budget justification which adequately describes the major project and the administrative and/or clerical work to be performed.
 - b. Fringe Benefits and Indirect Costs (e.g. Facilities & Administrative Costs (F&A), Overhead, General & Administrative Costs (G&A), etc.) – The application should show the rates and calculation of the costs for each rate category. If the rates have been approved/negotiated by a government

agency, provide a copy of the memorandum/agreement. If the rates have not been approved/negotiated, provide sufficient detail to enable a determination of allowability, allocability and reasonableness of the allocation bases, and how the rates are calculated. Additional information may be requested, if needed. If composite rates are used, provide the calculations used in deriving the composite rates.

- c. Sub-awards/Subcontracts – Provide a description of, and detailed budget for, the work to be performed by any subrecipient/subcontractor. For each sub-award, a detailed budget, including supporting documentation, is required to be submitted by the subrecipient(s). An application and any supporting documentation must be received and reviewed before the Government can complete its cost analysis of the application.
 - d. Consultants – Provide a breakdown of the consultant’s hours, the hourly rate proposed, any other proposed consultant costs, a copy of the signed Consulting Agreement or other documentation supporting the proposed consultant rate/cost, and a copy of the consultant’s proposed statement of work if it is not already separately identified in the prime contractor’s application.
2. Travel – The proposed travel costs must include the following for each trip: the purpose of the trip, origin and destination if known, approximate duration, and the number of travelers. Per the definition of travel costs at 2 CFR 200.475, travel costs are the expenses for transportation, lodging, subsistence, and related items incurred by employees who are in travel status on official business of the non-Federal entity. Such costs may be charged on an actual cost basis, on a per diem or mileage basis in lieu of actual costs incurred, or on a combination of the two, provided the method used is applied to an entire trip and not to selected days of the trip, and results in charges consistent with those normally allowed in like circumstances in the non-Federal entity's non-federally-funded activities and in accordance with non-Federal entity's written travel reimbursement policies. All awards made under this NFO are required to conform with the requirements laid out in 2 CFR 200.475, which includes lodging and subsistence, temporary dependent care, and air travel via commercial and other than commercial carriers. In the absence of an acceptable, written non-Federal entity policy regarding travel costs, the rates and amounts established under 5 U.S.C. 5701–11, (“Travel and Subsistence Expenses; Mileage Allowances”), or by the Administrator of General Services, or by the President (or his or her designee) pursuant to any provisions of such subchapter must apply to travel under Federal awards (48 CFR 31.205–46(a)).
3. Materials & Supplies – Provide an itemized list of all proposed materials and supplies including quantities, unit prices, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).

4. Recipient Acquired Equipment or Facilities – Equipment and/or facilities are normally furnished by the Recipient. If acquisition of equipment and/or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all equipment and/or facilities costs and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). Allowable items normally are limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, laptops, office equipment) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general-purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.
5. Other Direct Costs – Provide an itemized list of all other proposed other direct costs such as Graduate Assistant tuition, laboratory fees, report and publication costs, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).
6. Fee/Profit – Fee/profit is unallowable under assistance agreements at either the prime or sub-award level but may be permitted on subcontracts issued by the prime awardee.

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

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

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

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

V. APPLICATION REVIEW INFORMATION
A. SELECTION CRITERIA

White papers and technical applications will be evaluated under the following criteria:

Principal Criteria

- Technical merits of the proposed research: The proposed approach to research, including theory development, data collection and analysis, as applicable, is rigorous and appropriate to the research question.
- Relevance of the proposed research: The proposed research seeks to fill a high-priority knowledge gap in security cooperation or irregular warfare
- Feasibility of the proposed research: The proposed research can be completed given the qualifications of, time commitment by, and resources available to applicant and any formal collaborators or sub-recipients.

Other Criteria

- Cost sharing by the research team: The extent to which the recipient proposes to share in the cost of the project

The Principal Criteria are of equal importance and are more important than Other Criteria. Other Criteria are of equal importance to each other.

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

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

An award under this NFO will be made on the basis of the evaluation criteria listed above. Be advised that as funds are limited, otherwise meritorious applications may not be funded.

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

B. REVIEW AND SELECTION PROCESS

Each application will be reviewed using merit-based selection criteria rather than against other applications submitted under this Announcement.

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

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

Note: 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.

Options: The agreement allows for the inclusion and exercise of options via a modification to the agreement and may allow for award and concurrent execution of the exercised option-effort alongside ongoing efforts.

Evaluation Panel: Technical details and budgets submitted under this NFO will be protected from unauthorized disclosure. The cognizant Government Program Officer and other Government subject matter experts will perform the evaluation of white papers and technical applications. 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. Restrictive notices notwithstanding, one or more support contractors may be utilized as subject matter experts providing technical support but will not participate in the evaluation of proposals. Each support contractor employee that has access to technical and cost applications submitted in response to this NFO will be required to sign a nondisclosure statement prior to receipt of any application submissions.

VI. REPORTING REQUIREMENTS

A. PERFORMANCE REPORTING

Performance reporting is required to be submitted with each milestone listed in the Applicant's Work Plan. The Grants Officer will notify grantees of their specific reporting requirements upon receipt of their awards.

B. FINANCIAL REPORTING

1. Federal Financial Report (SF 425). A Federal Financial Report (SF 425) is required to be submitted with each milestone listed in the Applicant's Work Plan (except for with the completed Work Plan) and must include in the remarks the location of financial records and a point of contact for the Government to obtain access to the financial records associated with this agreement. In the event that more than one milestone falls within the same financial quarter, only one Federal Financial Report will be required for that quarter. The Grants Officer will notify grantees of their specific reporting requirements upon receipt of their awards.

C. AUDIT REPORTS

The Recipient shall ensure that if an independent auditor is used for this award, copies of any audits conducted shall be provided to the Government. At a minimum, the following should be provided a certified statement from the independent auditor evidencing that Recipient has complied with all requirements of this agreement. Upon completion or termination of this Grant, the Recipient shall provide a list of all audits conducted which reviewed expenditures under this Assistance Award.

D. PROPERTY REPORTS

The recipient shall submit annual inventory listing to all equipment in excess of \$5,000 acquired under this Assistance Award.

E. DOCUMENT SUBMISSION

All reporting requirements above shall be sent via email to the Government Technical Program Point of Contact.

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

VII. FEDERAL AWARD ADMINISTRATION INFORMATION

A. FEDERAL AWARD NOTICES

The government will notify the recipient of the award via email. The notification e-mail regarding a selection is not authorization to commit or expend DoD funds. A DoD Grants Officer is the only person authorized to obligate and approve the use of Federal funds. This authorization is in the form of a signed Notice of Award. After selection but prior to award, the government may request additional information. 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 after successfully coordinating all pre-award requirements.

B. NATIONAL POLICY (NP) REQUIREMENTS

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]

NP Article II. Environmental National Policy Requirements. (December 2014)

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

1. 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. 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. 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]

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) Federalwide 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]

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.

Section B. [Reserved]

VIII. OTHER ADMINISTRATIVE REQUIREMENTS

Not applicable.

IX. FEDERAL CONTACTS

For technical subject matter questions, please contact the DSCU grants team at dsca.dscu.grants@mail.mil.

For all other questions on this NFO, please contact Jonathan Bertsch at jonathan.e.bertsch.civ@mail.mil.

X. OTHER INFORMATION

A. SECURITY AND SAFEGUARDING INFORMATION

1. Federal Information Security Management Act

All information systems, electronic or hard copy which contain Federal data need to be protected from unauthorized access. This also applies to information associated with DoD grants and contracts. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), 44 U.S.C. 3541 et seq. The applicability of FISMA to NIH recipients applies only when recipients collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. The recipient retains the original data and intellectual property, and is responsible for the security of this data, subject to all applicable laws protecting security, privacy, and research. If and when information collected by a recipient is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA.

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:

- Huawei Technologies Company,
- ZTE Corporation Hytera Communications Corporation,
- Hangzhou Hikvision Digital Technology Company,
- Dahua Technology Company,
- any subsidiary or affiliate of such entities

XI. APPENDIX

A. LIST OF ACRONYMS

CPARS - Contractor Performance Assessment Reporting System

DoD – Department of Defense

DoDI - DoD Instruction

DSCA – Defense Security Cooperation Agency

DSCU – Defense Security Cooperation University

ESA - Endangered Species Act

FAPIIS - Federal Awardee Performance and Integrity Information System

FDA - Food and Drug Administration

FFRDC - Federally Funded Research and Development Center

FISMA - Federal Information Security Management Act

FWA - Federalwide Assurance

FY - Fiscal Year

HRPO - Human Research Protection Official

HSR - Human Subjects Research

IRB - Institutional Review Board

IWC – Irregular Warfare Center

LEAP - Learning and Evaluation Agenda for Partnerships

MTDC - Modified Total Direct Costs

NEPA - National Environmental Policy Act

NFO – Notice of Funding Opportunity

NICRA - Negotiated Indirect Cost Rate Agreement

NP - National Policy

OCI - Organizational Conflict of Interest

OHRP - Office for Human Research Protections

OMB – Office of Management and Budget

PDF – Adobe Portable Document Format

PME - Professional Military Education

POC - Point of Contact

RALLI – Research, Analysis and Lessons Learned Institute

ROTC - Reserve Officers Training Corps

SAM - System for Award Management

UARC - University-Affiliated Research Center

UEI - Unique Entity Identifier

USDA/APHIS - United States Department of Agriculture Office of Animal and Plant Health Inspection Service