

NOTICE OF FUNDING OPPORTUNITY



DEPARTMENT OF DEFENSE (DoD)

BILATERAL ACADEMIC RESEARCH INITIATIVE (BARI) SOCIAL SCIENCE PROGRAM

Notice of Funding Opportunity (NFO)

Announcement Type: Initial Announcement

NFO Number: HQ003423NFOEASD12

Assistance Listing Number: 12.630 Basic, Applied, and Advanced Research in Science and Engineering

Anticipated Funding Purpose: This NFO is for the Bilateral Academic Research Initiative Pilot Program (BARI), which is jointly sponsored by the US Office of the Secretary of Defense (OSD) and the Economic and Social Research Council (ESRC) as part of United Kingdom Research and Innovation (UKRI). The BARI program addresses high risk basic research as an international collaboration. This research should attempt to understand new phenomena or produce discoveries that would impact understanding societal resilience in relation to social influence and information campaigns. The goal of the program is to produce significant scientific breakthroughs with far reaching consequences in understanding and influencing behavior below the threshold of armed conflict, specifically in relation to countering influence that leads to socio-economic and political instability.

Key Dates:

Schedule of Events		
Event	Date	Time
Questions Regarding White Papers*	1 September 2023	4:00 PM Eastern Time (Washington, DC)
White Papers Due	15 September 2023	4:00 PM Eastern Time (Washington, DC)
Invitation to Submit Full Proposal**	31 October 2023	
Questions Regarding Proposals*	15 January 2024	4:00 PM Eastern Time (Washington, DC)

Proposals Due	31 January 2024	4:00 PM Eastern Time (Washington, DC)
Notification of Selection for Award**	30 April 2024	
Estimated US award date**	30 June 2024	
Estimated start date of US grant**	1 October 2024	
Estimated UK award date**	30 June 2024	
Estimated UK start date**	1 October 2024	

* Questions submitted after the Q&A deadline as noted in the table above may not be answered. The due date for submission of the application will not be extended.

** These dates are estimates as of the date of this announcement.

Agency Contacts: All questions should be directed via e-mail to the following contacts:

- Grants Officer: michael.j.fanizzo.civ@mail.mil
- US DoD TPOC: Dr. David Montgomery, david.w.montgomery61.civ@mail.mil
- UK ESRC TPOC: Natasha Richardson, natasha.richardson@esrc.ukri.org

I. Program Description

A. Short Description of Funding Opportunity

This Notice of Funding Opportunity (NFO) is issued under 10 U.S.C. 4001, which provides the authority for issuing a grant under this announcement for basic research. The definitions of basic research may be found at 32 CFR 22.105.

This NFO is for the Bilateral Academic Research Initiative Pilot Program (BARI), which is jointly sponsored by the US Office of the Secretary of Defense (OSD) and the Economic and Social Research Council (ESRC) as part of United Kingdom Research and Innovation (UKRI). The BARI program addresses high risk basic research as an international collaboration. This research should attempt to understand new phenomena or produce discoveries that would impact understanding societal resilience in relation to social influence and information campaigns. The goal of the program is to produce significant scientific breakthroughs with far reaching consequences in understanding and influencing behavior below the threshold of armed conflict, specifically in relation to countering influence that leads to socio-economic and political instability. Proposals focused on specific devices or components are beyond the scope of this NFO.

The Department of Defense (DoD) agencies and ESRC involved in this program reserve the right to select one or none of the proposals submitted in response to this announcement for award. The participating DoD agencies and ESRC will provide no funding for direct reimbursement of proposal development costs.

The program focus is *Understanding and Influencing Behavior Below the Threshold of Armed*

Conflict: Countering Influence that Leads to Socio-economic and Political Instability.

B. Background

The BARI program supports basic research in science and engineering stemming from interactive collaborative efforts between U.S. institutions of higher education (hereafter referred to as "U.S. universities") and U.K. research institutions (hereafter referred to as "U.K. research organizations"; see <https://www.ukri.org/apply-for-funding/before-you-apply/check-if-you-are-eligible-for-research-and-innovation-funding/eligibility-as-an-organisation/#contents-list>) that is of potential interest to U.S. DoD and ESRC.

The program is focused on international collaborative research efforts where teams from the United States and the United Kingdom combine unique skillsets and approaches to provide rapid advances in scientific areas of mutual interest to the U.S. DoD and ESRC. In this edition of the BARI program, the focus is on information influence and socio-political (in)stability. Each proposal submitted under this NFO will be a joint US/UK proposal, with a US research team and a UK research team collaborating on a research solution.

A single proposal will be submitted by the US Research Team, for the two research teams. The single proposal must show that the proposed research is collaborative and interactive between the research teams and provide a distinct budget for the US Research Team (in US Dollars) and a distinct budget for the UK Research Team (in Pounds). The two principal investigators (PI's), one belonging to the US Research Team and one belonging to the UK Research Team, will work with the US and UK technical points of contact (POCs) to ensure the research stays collaborative as the research progresses.

C. Program Description/Objective:

We are looking for collaborative research, teams that must include US IHEs and UK research organizations. A single technical proposal must be submitted that including a discussion of how the bi-national teams will work together. However, OUSDR&E will fund the US academic team and ESRC will fund the UK team through separate grant funding mechanisms. Each will have their own applicable terms and conditions. See SECTION F for US specific requirements and SECTION I for UK specific requirements.

The BARI Social Science Program competition is for research that falls within the purview of the topic:

Understanding and Influencing Behavior Below the Threshold of Armed Conflict: Countering Influence that Leads to Socio-economic and Political Instability.

Research focus outline

Both the COVID-19 pandemic and conflict in Ukraine have exposed vulnerabilities in the highly interconnected and interdependent world in which we live, with these very different shocks each quickly turning into major international social, political, and economic crises. The

United Kingdom, United States and their allies need to build societal resilience to these shocks and play a leading role in maintaining a secure international order. The rapid socio-economic, political, and technological changes of the Information Age are also driving substantial shifts in defense and security strategy needed to stay ahead of changes in the nature and character of warfare. New tools and tactics are being used to undermine political, social, and economic stability and cohesion. There is a need to better understand adversarial acts that influence population attitudes and behaviors and undermine institutions, infrastructure, and social cohesion in order to help mitigate against their impact and inform countermeasures.

The funders expect to support social science-led interdisciplinary projects that bring together a broad and diverse range of academic expertise and stakeholders to tackle pressing questions in this field. Research should expand understanding of vulnerability and susceptibility to advanced adversarial information warfare techniques that undermine social cohesion and trust in different cultural and environmental contexts. We are looking to identify areas of US-UK coordinated research that could most effectively move this field forward.

Through this initiative, the funders will support research that is international in focus, which can involve comparing or contrasting information campaigns and sub-threshold conflict contexts in different countries. Applicants to this call may select their countries of focus and are required to justify how their selection allows them to meet the objectives of the call. The funders recognize that applicants may need to consider one or multiple country contexts and include activities both internal and external to the US and UK in order to undertake their study.

Through this initiative, the funders will support research that aims to:

- understand what constitutes societal resilience, how it is maintained or strengthened, and how it is weakened
- understand the motivations and strategies of (international) information campaigns on target states and populations
- identify and examine coordinated attempts to influence population attitudes and behaviors and the techniques and tools used to undermine socio-economic and political stability
- examine the immediate, incremental, and cumulative effects of narratives and information campaigns on populations occurring through single instances or through multiple sources of information
- understand how cultural, economic, social dynamics, and individual traits (thoughts, feelings, and behaviors) influence susceptibility to, and the impact of, information campaigns
- explore whether particular communities (both online and offline) are more or less vulnerable to influence and socio-political instabilities, and the implications this has for countering influence
- examine the relationship between environmental or contextual characteristics and susceptibility to disinformation, deception, and negative influence, and explore how this can be measured
- examine how information campaigns affect social cohesion and trust in different national, local, and organizational cultures, and how efforts to influence populations (online and offline) affect group affinity, identity, behavior, and affiliation
- identify where sub-threshold techniques are influencing populations or causing socio-economic instability, examine how this is impacting the socio-political environment and

political decision-making, and characterize the role of culture and context in the effectiveness of such efforts

- examine how different nations, governments, administrations, and state and local jurisdictions respond to information campaigns and sub-threshold warfare efforts
- examine efforts of state and non-state actors (media, private sector, charities, and others) in information counter-narratives, interception and regulation of messaging, and the effectiveness of their approaches
- develop new or further develop existing methodological approaches to understanding misinformation, disinformation, deception, and international efforts to interfere and influence societies

What we want:

- Innovative proposals that will add to existing knowledge and consider how to build societal resilience to nefarious activities that adversely influence populations
- Research that will advance the state of the art and make significant advances in the field of social sciences and other disciplines
- Proposals that include a means for an enduring Trans-Atlantic Academic Alliance

What we do not want:

- Proposals that fail to take account of previously identified pitfalls in understanding and influencing behavior below the threshold of conflict, such as a lack of reliable measures of the effects on behaviors; behavioral changes over time; or sociocultural differences at the group, organizational, and societal levels
- Research that would not be considered revolutionary, that duplicates existing work, and delivers only incremental advances to existing theories and concepts

Basic Research requirements

This initiative will only fund basic (foundational) research that has the aim of improving academic understanding and developing social scientific theories or concepts that can form the basis for future applied research studies. Basic research, as defined within DOD 7000.14-R, Vol. 2B, Ch. 5, “is systematic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and observable facts without specific applications towards processes or products in mind.” Funding cannot be used to design interventions.

Ethics and risk assurance

We expect that applicants will follow the guidance provided by the funders on research ethics which sets out what we consider best practice for social science research. Overall responsibility for ensuring that all funded research is subject to appropriate ethics review and monitoring lies with the applicant’s research organization (RO). By submitting a proposal to the funders, the RO accepts the proposal’s ethics information and confirms that it is prepared to administer any resulting grant on the basis specified in the proposal (and any additional conditions) and is committed to an appropriate and iterative ethics review process.

Applicants are advised to consider Human Research Protections guidelines for the DoD alongside ESRC research ethics guidance (<https://www.ukri.org/councils/esrc/guidance-for-applicants/research-ethics-guidance/>)

It is further expected that UK and US applicants will demonstrate that their projects are taking sufficient steps to address national security risks and outline this in the section on “ethical and

risk assurance,” to explain how the proposal has considered and taken steps to mitigate risks that the research would:

- a) Expose participants to harm
- b) Compromise or expose researchers to harm (e.g. impact on security if researchers travel to some countries, or researchers based in countries that require disclosure of sensitive material to authorities)
- c) Present risks for national security interests—through the conduct of the research, data collections, or outcomes

Similarly, we expect the applicants will follow best practices for responsible research and innovation, such as those outlined in Human Research Protections protocols, UKRI guidance on responsible innovation (<https://www.ukri.org/what-we-do/good-research-resource-hub/responsible-innovation/>), and trusted research and innovation (<https://www.ukri.org/about-us/policies-standards-and-data/good-research-resource-hub/trusted-research-and-innovation/>.)

Data management

A data management plan is mandatory in all applications. This plan should incorporate data management into the research cycle to ensure that generated data can be made available and re-used to the maximum extent possible at the end of a grant, in line with the ESRC Research Data Policy—UKRI (<https://www.ukri.org/publications/esrc-research-data-policy/>).

Routes to impact and involvement of research users

Applicants should consider how they will or might achieve impact throughout their projects and include this as part of their application. Plans for enabling impact should make clear when and how non-academic research users will be involved in activity, and how these activities will enable the impacts that are anticipated. Projects must build in time for members of the research team to participate in knowledge exchange and impact generating activities.

D. Authorization

The authorization to make awards under this funding opportunity is 10 U.S.C. 4001 Research and Development Projects.

E. Legal Requirements

Any awards made under this announcement will be governed by the general terms and conditions in effect at the time of the award that conform to the DoD’s implementation of OMB guidance applicable to financial assistance in 2 CFR 1100 [Subchapter D – Administrative Requirements Terms and Conditions for Cost-Type Grants and Cooperative Agreements to Nonprofit and Government Entities] which are located at <https://www.nre.navy.mil/work-with-us/manage-your-award/manage-grant-award/grants-terms-conditions>. These terms and conditions are incorporated by reference in this announcement.

II. Federal Award Information

The DOD will award one grant to the lead institution of the US Research Team which will only fund research performed by the US Research Team. The UK will make a corresponding award to fund performance under the selected proposal by the UK Research Team. Information

regarding the UK Research Team award can be found in section II.I.

Anticipated Period of Performance: The grant awarded under this NFO will have a three (3) year period of performance.

Instrument Type:

The type of funding instrument selected by the Government is planned to be a grant. A grant is defined as a legal instrument that, consistent with 31 U.S.C. 6304, is used to enter into a relationship:

- a. The principal purpose of which is to transfer a thing of value to the recipient to carry out a public purpose of support or stimulation authorized by a law or the United States, rather than to acquire property or services for the Federal Government's direct benefit or use.
- b. In which substantial involvement is not expected between the Federal Government and the recipient when carrying out the activity contemplated by the grant.
- c. No fee or profit is allowed.

Award Information:

The total funding from the US DoD available for the grant awarded from this NFO is estimated to be \$3,000,000.00. The US DoD funding will be used exclusively for research performed by the US Research Team. The grant awarded from this NFO is contingent on availability of funds, the specific topic, and the scope of the proposed work. For the US Research Team, expected annual funding will not exceed \$1,000,000.00 per year.

III. Eligibility Information

A. Eligible Applicants

As a result of this BARI competition, a program of international collaboration between the United States and the United Kingdom will be created. Consequently, the proposal will include two research teams, one of which will be from the U.S. and the other from the U.K. Accordingly, the BARI competition is open only to teams comprised of at least one (1) US institution of Higher Education as defined in 34 CFR 600.4 with a degree granting program in science or engineering (US University) and at least one (1) UK research institution (UK research organization). Proposals may only be submitted by UK research organizations who are eligible to apply to UKRI. Check if your institution is eligible for funding: <https://www.ukri.org/apply-for-funding/before-you-apply/check-if-you-are-eligible-for-research-and-innovation-funding/eligibility-as-an-organisation/#contents-list>.

US DoD Laboratories and Federally Funded Research and Development Centers (FFRDCs) are not allowed to receive funds directly or via sub-awards.

B. Cost Sharing or Matching

Cost sharing or matching is not required under this NFO and is not an evaluation factor.

C. Conflict of Interest: General Requirement for Disclosure

Within the white paper submissions, organizations must disclose any potential or actual scientific or nonscientific conflict of interest(s). Organizations must also disclose any potential or actual conflict(s) of interest for any identified sub-recipient included in the application. Depending on the circumstances, the Government may request a conflict-of-interest mitigation plan. Government approval is required for all mitigation plans. Offerors with conflicts of interest that are not mitigated will be ineligible for award.

Marking Proprietary or Confidential Information

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

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

It is the intent of WHS/AD to treat all white papers and full applications as proprietary information before the award and to disclose their contents to reviewers only for the purpose of evaluation.

IV. Application and Submission Information

A. Introduction on Submissions:

The announced application due date and procedures for submission will be strictly observed. Applications received after the established time and date above will not be considered; the burden of timely delivery (including requests for delivery confirmation) is on the Applicant.

When applicable, the application due date is determined by the timestamp and date of the Applicant's submission on <https://www.grants.gov/>. Applications received after the due date and timestamp will not be considered.

It is essential that all applications be complete and accurate at the time of submission. OUSD(R&E) and ESRC (hereafter referred to as "Funders") reserve the right to reject applications that are incomplete or that do not comply with submission instructions. All documentation submitted under this NFO is unclassified.

B. Two Stages of Submissions

The BARI application process is conducted in two stages:

Stage One – White Paper submission (via email to technical point of contact)

- o Deadline: 15 September 2023, 4:00 PM ET

Stage Two – Full Application submission (via Grants.gov)

- o Deadline: 31 January 2024, 4:00 PM ET

Stage One – Based on an assessment of the white papers submitted, the technical point-of-contact (POC) will advise prospective proposers whether the proposals outlined in their white papers were judged to be competitive for BARI award selection, and will then invite the most promising subset of proposals to submit a full proposal for funding consideration. NB: White Papers are optional, though strongly encouraged.

Stage Two – Subsequent to white paper feedback, interested entities will be asked to submit full proposals. All proposals submitted under the terms and conditions cited in this NFO will be evaluated in accordance with the evaluation criteria stated herein. NB: Entities may submit a proposal without submitting a white paper, though this is discouraged.

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. Please ensure that your attachments are not password protected.

Stage Two applications will only be accepted if submitted through grants.gov. Organizations must have a Unique Entity Identifier (UEI), active System for Award Management (SAM) registration, and Grants.gov account to apply for grants.

C. Format for Submissions

The following formatting rules apply for the file attachments for White Paper and Full Proposal submissions, 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
 - o WHITE PAPER: 4 pages.
 - o FULL PROPOSAL: 25 pages. 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.

D. Application Withdrawal:

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

E. White Papers

1. White Paper Format and Content

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

- A cover letter (optional), not to exceed one page.
- A cover page, labeled “APPLICATION WHITE PAPER,” that includes the Notice of Funding Opportunity number, proposed project title, and prospective applicant's technical point of contact with telephone number, and e-mail address.
- Curriculum vitae (CV) of key investigators (optional)
- The white paper (four (4) page limit, single-sided) including:
 - Identification of the research and issues including the state of the field
 - Proposed methods
 - Potential contribution to fundamental social science basic research
 - Potential implications for national defense
 - Potential team and management plan
 - Data management plan for data or tools to be generated in the course of research
 - Summary of estimated costs
 - Reference citations are not required but may be included outside the four-page limit
- The white paper will detail, separately, both US and UK efforts

OUSDR&E) and ESRC are interested in the research outlined in the Program Description of this NFO. For this reason, the application narrative must clearly describe what research the US Research Team and UK Research Team will accomplish collaboratively as well as what will be accomplished by the US and UK research teams individually. The white paper must also provide detailed budget breakouts for the US Research Team, in US Dollars, and the UK Research Team, in Pounds.

The white paper should provide sufficient information on the research being proposed (e.g., hypothesis, theories, concepts, methods, approaches, data collection, measurement and analyses) to allow for an assessment by a subject matter expert.

2. White Paper Submission

White papers and supporting documentation must be submitted as email attachments to both osd.minerva@mail.mil AND esrc-dod@esrc.ukri.org no later than 4:00 p.m. Eastern Daylight Time / 9:00 p.m. British Summer Time on 15 September 2023. E-mail transmission is not instantaneous and delays in transmission may occur anywhere along the route. The Funders takes no responsibility for any delays in the transmission of an e-mail. The prospective applicant is responsible for allowing enough time to complete the required application components, upload the white paper, and submit via e-mail before the deadline. It is not necessary for white papers to carry official institutional signatures.

The submission email subject line should indicate the BARI WP submission.

An e-mail confirmation will be sent to the applicant within three days of submission. Documents submitted after the deadline or found to be noncompliant with the requirements described above will not be reviewed.

F. Full Proposals

1. Unique Entity Identifier and System for Award Management

Several one-time actions must be completed in order to submit the stage two application through Grants.gov. These include obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the System for Award Management (SAM), registering with the credential provider, and registering with Grants.gov. See <http://www.grants.gov/GetStarted>.

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

Each member of the US Research Team listed on the proposal submitted to this NFO is required to (a) be registered in SAM prior to submitting its application; (b) provide a valid DUNS number 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.

The DOD will not make an award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements. If an applicant has not fully complied with the requirements by the time the DOD 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.

2. The following SF-424 (R&R) forms and, as applicable, attachments are required for all Full Proposal submissions:

Stage Two Submissions

SF424 (R & R) [V5.0]
Assurances for Non-Construction Programs (SF-424B - R & R) [V1.1]
Disclosure of Lobbying Activities (SF-LLL) [V2.0]
Budget Information for Non-Construction Programs (SF-424A) [V1.0]
Project Abstract Summary [V2.0]
Project Narrative Attachment Form [V1.2]
Research & Related Budget [V3.0]
Research & Related Personal Data [V1.2]
Research & Related Senior/Key Person Profile [V3.0]
R & R Subaward Budget Attachment(s) Form (to submit the UKRI budget template)

a. 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.

b. Project Narrative (Field 8 on the form) – The project narrative must address how the proposed research is relevant the DoD and ESRC mission focus on security in the following format:

- a. DoD Basic Research Office and ESRC 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.

The Project Narrative must also describe the research and explain how it will help the DoD and ESRC meet its goals and objectives outlined in II.A. In the description of work of the UK research team, cover the vision, approach, organization’s support for the project, project partners, team capability to deliver, data management and sharing, and ethics. For more information, please see UKRI guidance to help you cover these sections: <https://www.ukri.org/apply-for-funding/improving-your-funding-experience/how-applicants-use-the-ukri-funding-service/responsive-mode-opportunities-funding-service-core-application-section-questions-and-assessment/core-section-questions-and-how-they-will-be-assessed/#contents-list>. See also: ESRC research ethics guidance: <https://www.ukri.org/councils/esrc/guidance-for-applicants/research-ethics-guidance/> and ESRC research data policy: <https://www.ukri.org/publications/esrc-research-data-policy/>.

G. Submission Dates and Times

1. Applications must be received by 4:00 p.m. Eastern Time (Washington, DC), 31 January 2023. 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.

2. 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 NFO, and the situation precludes amendment of the NFO closing date, the time specified for receipt of applications will be deemed to be extended to the same time of day specified in this NFO on the first work day on which normal federal government processes resume.

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

4. There is no requirement for intergovernmental review under this NFO.

5. Funding provided by the US DoD will only be used for the US Research Team. Funding provided by the UK Research Team will only be used for the UK Research Team. These funds will be issued as separate awards to the respective national teams, and each award will be subject to the respective national conditions, as outlined in sections F and I of this document.

H. Other Requirements

Executive Order 12372

This funding opportunity is not subject to Executive Order 12372 (see <https://www.archives.gov/federal-register/codification/executive-order/12372.html>)

Other Submission Requirements and Information

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

Amendments to Announcements

If this announcement is amended, then all terms and conditions, which are not amended, shall remain unchanged. Applicants shall acknowledge receipt of any amendments to this NFO by: (1) identifying the amendment in its application, or (2) by separate letter upon receipt of the amendment. The Government must receive the acknowledgment by the date/time specified for receipt of applications.

Modifications, and Withdrawals of Applications

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

Protests

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

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

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

I. 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

V. Application Review Information

A. Evaluation Criteria

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

- Overall scientific and technical merits of the proposal and
- the potential relationship of the proposed research to DOD missions.

Scientific and technical merits include, but are not limited to: the degree of innovation, soundness of technical concept, Applicant's awareness of the state of the art and understanding of the scope of the problem, significance and originality of the technical approach and effort needed to address/solve the problem, and anticipated scientific impact within the field and the likelihood of exploitation in future research.

The following areas will also be considered within the overall scientific and technical merits (in descending order of importance): (1) project design that integrates different technical disciplines to co-deliver research outputs; (2) the Applicants' capabilities, related experience, facilities, techniques or unique combinations of these which are integral factors for achieving the proposal objectives and the qualifications, capabilities and experience of the proposed

Principal Investigator (PI), team leader and key personnel who are critical to achieving the proposal objectives; (3) value of the interactive collaboration within US and UK teams, between teams, and the integration of students in the research; and (4) the extent to which the Applicants have identified and evaluated the relevant ethical and responsible research and innovation considerations and have managed them. For more information, please see the ESRC research ethics guidance: <https://www.ukri.org/councils/esrc/guidance-for-applicants/research-ethics-guidance/> and trusted research and innovation: <https://www.ukri.org/about-us/policies-standards-and-data/good-research-resource-hub/trusted-research-and-innovation/>.

B. Review and Selection Process

All proposals are treated as procurement sensitive and are disclosed only for the purpose of evaluation. The proposals submitted will be evaluated by a joint staff of US and UK subject matter experts who will evaluate proposals using the above criteria. Proposals will not be evaluated against each other.

Adjectival Ratings for Stages One and Two

Rating	Description
Outstanding	Demonstrates an outstanding approach to the technical merits of the proposed research and development (R&D). Demonstrates an outstanding approach to the relationship between the proposed R&D and the DoD mission. Demonstrates an outstanding mitigation strategy for risks associated with the quality of the applicant's management systems. Demonstrates an outstanding approach to meeting the management standards as described at 2 CFR 200.205. Application is an outstanding demonstration of the applicant's vision, experience and qualifications to administer and grow complex public-private initiatives aimed at advancing the state of maintenance and sustainment. Risk of unsuccessful performance is low.
Good	Demonstrates a good approach to the technical merits of the proposed research and development (R&D). Demonstrates a good approach to the relationship between the proposed R&D and the DoD mission. Demonstrates a good mitigation strategy for risks associated with the quality of the applicant's management systems. Demonstrates a good approach to meeting the management standards as described at 2 CFR 200.205. Application is a good demonstration of the applicant's vision, experience and qualifications to administer and grow complex public-private initiatives aimed at advancing the state of maintenance and sustainment. Risk of unsuccessful performance is low to moderate.
Acceptable	Demonstrates an acceptable approach to the technical merits of the proposed research and development (R&D). Demonstrates an acceptable approach to the relationship between the proposed R&D and the DoD mission. Demonstrates an acceptable mitigation strategy for risks associated with the quality of the applicant's management systems. Demonstrates an acceptable approach to meeting the management standards as described at 2 CFR 200.205. Application is an acceptable demonstration of the applicant's vision, experience and qualifications to administer and grow complex public-private initiatives aimed at advancing the state of maintenance and sustainment. Risk of unsuccessful performance is no worse than moderate.

Rating	Description
Marginal	Demonstrates an approach to the technical merits of the proposed research and development (R&D). Demonstrates an approach to the relationship between the proposed R&D and the DoD mission. Demonstrates a mitigation strategy for risks associated with the quality of the applicant's management systems. Demonstrates an approach to meeting the management standards as described at 2 CFR 200.205. Application is a marginal demonstration of the applicant's vision, experience and qualifications to administer and grow complex public-private initiatives aimed at advancing the state of maintenance and sustainment. Risk of unsuccessful performance is high. Application is unawardable.
Unacceptable	Fails to demonstrate an approach to the technical merits of the proposed research and development (R&D). Fails to demonstrate an approach to the relationship between the proposed R&D and the DoD mission. Fails to demonstrate a mitigation strategy for risks associated with the quality of the applicant's management systems. Fails to demonstrate an approach to meeting the management standards as described at 2 CFR 200.205. Application fails to demonstrate the applicant's vision, experience and qualifications to administer and grow complex public-private initiatives aimed at advancing the state of maintenance and sustainment. Risk of unsuccessful performance is unacceptable. Application is unawardable.

C. Award Decision

The Funders reserve the right to select for negotiation all, some, one, or none of the submission received in response to this NFO and to make awards without discussions. Therefore, Applicant Proposals should include the applicant's best response to this announcement. However, the Funders reserve the right to conduct discussions if it is determined by the Grants Officer to be necessary.

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

The Recipient(s) that has been deemed successful will receive a pre-award notice via e-mail from the Grants Officer. The Funders may initiate negotiations when deemed appropriate to do so. Unsuccessful applicants will also be notified via e-mail at that time.

Once the recipients of award are announced, the recipient of award only shall submit the required information for electronic submission. The US recipient of award shall use the Grants.gov website (<https://www.grants.gov>) and shall complete the mandatory forms in the application package template associated with this NFO. The UK recipient will be required to submit an electronic submission through UKRI's Funding Service.

1. Federal Share Notice

It is anticipated that the Federal share of any award under the announcement may exceed the simplified acquisition threshold, inform applicants that: (i) the agency will review the

information that is currently in the designated integrity and performance system through SAM (currently FAPIIS); (ii) an applicant may review information in FAPIIS and comment on any information about itself; and (iii) the agency will consider any comments by the applicant, along with other information in FAPIIS, in making judgement about the applicant's integrity, business ethics and record of performance under Federal awards when completing a review of risk (see DoD Instruction 3210.08 on use of the performance and integrity information in FAPIIS and 2 CFR 200.205 "Federal awarding agency review of risk posed by applicants.")

A. Review and Selection Process:

The application will be reviewed based on the selection criteria above. The number of awards made and their value depends on the funds available to the Legacy Program.

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

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

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

C. Award Decision

The Government reserves the right to select for negotiation all, some, one, or none of the submission received in response to this NFO and to make awards without discussions. Therefore, Applicant Proposals should include the applicant's best response to this announcement. However, the Government reserves the right to conduct discussions if it is determined by the Grants Officer to be necessary.

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

The Recipient(s) that has been deemed successful will receive a pre-award notice via e-mail from the WHS/AD Grants Officer. The Government may initiate negotiations when deemed

appropriate to do so. Unsuccessful applicants will also be notified via e-mail at that time.

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

VI. Federal Award Administration Information

A. Award Notices

Applicants whose applications are recommended for negotiation of award will be contacted by a DoD Contract/Grant Specialist to discuss any additional information required for award. This may include representations and certifications, revised budgets or budget explanations, or other information as applicable to the proposed award. The actual award start date will be determined at this time.

Applicants who did not receive an award are not entitled to a debrief.

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 award.

B. Recipient Qualification

1. Prior to making an award under this NFO in an amount greater than the simplified acquisition threshold, which currently is \$150,000, the DoD Grants Officer will review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) (see 41 U.S.C. 2313).
2. An applicant may, at its option, review information currently in FAPIIS (accessible through SAM) and comment on any information about itself that a Federal awarding agency (DoD or other federal awarding agency) previously entered.
3. DoD will consider any comments by the applicant, in addition to the other information in FAPIIS, 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, as implemented by DoD at 2 CFR part 1103.

C. Administrative and National Policy Requirements_(US Specific)

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

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

national policies prohibiting discrimination:

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

Section B. [Reserved]

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

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

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

1. You must comply with all applicable Federal environmental laws and regulations. The laws and regulations identified in this section are not intended to be a complete list.
2. Comply with applicable provisions of the Clean Air Act (42 U.S.C. 7401, et seq.) and Clean Water Act (33 U.S.C. 1251, et seq.).
3. Comply with applicable provisions of the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4821–4846), as implemented by the Department of Housing and Urban Development at 24 CFR part 35. The requirements concern lead-based paint in buildings owned by the Federal Government or housing receiving Federal assistance.
4. Immediately identify to us, as the Federal awarding agency, any potential impact that you find this award may have on:
 - a. The quality of the “human environment”, as defined in 40 CFR 1508.14, including wetlands; and provide any help we may need to comply with the National Environmental Policy Act (NEPA, at 42 U.S.C. 4321 et seq.), the regulations at 40 CFR 1500–1508, and

E.O. 12114, if applicable; and assist us to prepare Environmental Impact Statements or other environmental documentation. In such cases, you may take no action that will have an environmental impact (*e.g.*, physical disturbance of a site such as breaking of ground) or limit the choice of reasonable alternatives to the proposed action until we provide written notification of Federal compliance with NEPA or E.O. 12114.

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

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

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

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

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

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

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

Section B. [Reserved]

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

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

Section A. Cross-cutting requirements concerning live organisms.

1. *Human subjects.*

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

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

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

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

ii. If your activity is determined as “non-exempt research involving human subjects”, the documentation must include:

(A) Assurance of Compliance (*i.e.*, Department of Health and Human Services Office for Human Research Protections (OHRP) 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]

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

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

Section A. Cross-cutting requirements.

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

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

3. *Lobbying.*

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

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

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

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

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

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

7. *Fly America Act.* You must comply with the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. 40118), commonly referred to as the “Fly America Act,” and implementing regulations at 41 CFR 301–10.131 through 301–10.143.

The law and regulations require that U.S. Government financed international air travel of passengers and transportation of personal effects or property must use a U.S. Flag air carrier or be performed under a cost sharing arrangement with a U.S. carrier, if such service is available.

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

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

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

9. *Research misconduct.* You must comply with requirements concerning research misconduct in Enclosure 4 to DoD Instruction 3210.7, “Research Integrity and Misconduct.” The Instruction implements the Governmentwide research misconduct policy that the Office of Science and Technology Policy published in the Federal Register (65 FR 76260, December 6, 2000, available through the U.S. Government Printing Office website: <https://www.federalregister.gov/documents/2000/12/06/00-30852/executive-office-of-the-president-federal-policy-on-research-misconduct-preamble-for-research>).

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

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

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

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

iii. The Secretary of a Military Department or Secretary of Homeland Security from gaining access to campuses, or access to students (who are 17 years of age or older) on

campuses, for purposes of military recruiting in a manner that is at least equal in quality and scope to the access to campuses and to students that is provided to any other employer; or

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

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

i. Will cease all payments to you of DoD funds under this award and all other DoD grants and cooperative agreements; and

ii. May suspend or terminate those awards unilaterally for material failure to comply with the award terms and conditions.

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

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

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

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

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

14. *Pro-Children Act.*

You must comply with applicable restrictions in the Pro-Children Act of 1994 (Title 20, Chapter 68, subchapter X, Part B of the U.S. Code) on smoking in any indoor facility:

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

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

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

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

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

3. Reporting Requirements

- a. Recipient of the US Grant must submit a final financial report using the SF-425, Federal Financial Report, and a final technical report describing how acquired equipment/instrumentation furthered achievement of the objectives in the approved application. The recipient of the ESRC grant will be invited to submit their application to the UKRI Funding Service. This is a formality, and the proposal will not be subject to further peer review or other assessment. The submission route will be confirmed when the project decision is conveyed.

The grant holder is asked to report the outputs, outcomes, and impact of their funding through UKRI's nominated outcomes collection system. This is currently the ResearchFish system provided by Interfolio UK.

UKRI-funded researchers are expected to comply with the UKRI open access policy (<https://www.ukri.org/funding/information-for-award-holders/open-access/>) on research publications and outputs.

UKRI-funded grant-holders are expected to provide a Final Expenditure Statement (FES) as part of the financial reporting on the grant.

- b. If the total federal share of the award exceeds \$500,000, the reporting requirements reflected in Appendix II to Part 200 of Title 2 CFR will be included in the terms and conditions of the award.

G. Federal Awarding Agency Contacts

1. Questions of a technical or programmatic nature shall be directed to one of the following:

US DoD TPOC: Dr. David Montgomery, david.w.montgomery61.civ@mail.mil

UK ESRC TPOC: Natasha Richardson, natasha.richardson@esrc.ukri.org

2. Questions related to this NFO should be directed to WHS Grants Officer, Michael Fanizzo.
3. Comments or questions submitted should be concise and to the point, eliminating any unnecessary verbiage. In addition, the relevant part and paragraph of the announcement 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.

I. UK Specific Information (Not Applicable to the US award)

1. The successful UK team will need to submit an application through UKRI's Funding Service, in order for a UK grant to be awarded, and this will be the responsibility of the UK Principal Investigator.
2. The proposed UK component of projects must comply with all of ESRC's standard conditions, including eligible organisations, participants, and allowable costs, as detailed here: <https://www.ukri.org/publications/esrc-research-funding-guide/esrc-research-funding-guide-for-the-ukri-funding-service/>.
3. The maximum cost of the UK component of this program is £3.57 million, and we expect to issue 1 award. ESRC will fund 80% (up to £2.85 million) of the total cost of the UK activity in line with the UKRI full economic cost (fEC) principles. The UK team requesting funding from UKRI must prepare a budget detailing costs and the requested amount in the provided "UKRI budget template," which the US team will submit on their behalf with the proposal.

VII. Reporting Requirements

1. Financial and Performance Reporting: reporting shall vary based on the details of the project, however, all reporting shall compare marginal performance progress with the corresponding financial outlays.
3. Presentation of Findings: varies by project and specified deliverables.
4. Property Reports: only as applicable to proposed projects. Under 2 CFR 200, the recipient shall submit annual inventory listing to all equipment in excess of \$5,000 acquired under this grant.
5. Document submission: All reporting requirements above shall be sent via email to the Government Technical Program Point of Contact.

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

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

VIII. Other Administrative Requirements

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

IX. Federal Contacts

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

Elizabeth (Liz) Galli-Noble, Program Director
OUSD(A&S)/ODASD(E&ER), DoD Legacy Resource Management Program
Office: 571-372-8299
Email: elizabeth.j.galli-noble.civ@mail.mil

Marwa Rafiq, Program Support Contractor
OUSD(A&S) DoD Legacy Resource Management Program
Office: 571-342-2802
Email: marwa.m.rafiq.ctr@mail.mil

McKenna McMahon, Program Support Contractor
OUSD(A&S) DoD Legacy Resource Management Program

Office: 850-866-8559

Email: mckenna.n.mcmahon.ctr@mail.mil

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

Michael Fanizzo, Grants Officer

Washington Headquarter Services, Acquisition Directorate

Email: michael.j.fanizzo.civ@mail.mil

Diane Clarke, Grants Specialist

Washington Headquarter Services, Acquisition Directorate

Email: diane.r.clarke.civ@mail.mil

X. Other Information

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

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