



FEDERAL AWARDING AGENCY: Washington Headquarters Services Acquisition Directorate (WHS/AD)

FUNDING OPPORTUNITY TITLE: Minerva Research Initiative's (Minerva) Defense Education and Civilian University Research (DECUR) Partnership

ANNOUNCEMENT TYPE: Initial Announcement

NOTICE OF FUNDING OPPORTUNITY (NFO) NUMBER: HQ003422NFOEASD04

ASSISTANCE LISTING: 12.431 Basic Scientific Research

KEY DATES: White Papers: Thursday, September 8, 2022 1500 Eastern
Full Applications: Tuesday, November, 22, 2022 1500 Eastern

AGENCY CONTACT: Jonathan Bertsch
Grants Officer, WHS/AD
E-mail: jonathan.e.bertsch.civ@mail.mil

CONTENTS

I. PROGRAM DESCRIPTION	5
A. SHORT DESCRIPTION OF FUNDING OPPORTUNITY	5
B. BACKGROUND	5
C. PROGRAM DESCRIPTION/OBJECTIVE	5
D. AUTHORIZATION	7
E. LEGAL REQUIREMENTS	7
F. PROGRAM-SPECIFIC REQUIREMENTS	7
II. FEDERAL AWARD INFORMATION	7
A. AWARD HISTORY AND INSTRUMENT	7
B. FUNDING AMOUNT AND NUMBER OF AWARDS	7
C. PROFIT/FEE	7
D. PLACE OF PERFORMANCE	7
E. PERIOD OF PERFORMANCE	7
F. SUB-AWARDEES AND SUB-CONTRACTS	8
G. GOVERNMENT ROLE AND RESPONSIBILITY	8
III. ELIGIBILITY INFORMATION	8
A. ELIGIBLE APPLICANTS	8
B. COST SHARE OR MATCHING	9
C. CONFLICT OF INTEREST	9
1. GENERAL REQUIREMENT FOR DISCLOSURE	9
2. SCIENTIFIC CONFLICT OF INTEREST	9
3. OTHER	9
IV. APPLICATION AND SUBMISSION INFORMATION	10
A. SUBMISSION DATES AND TIMES	10
B. ADDRESS TO REQUEST APPLICATION PACKAGE	11
C. APPLICATION PROCEDURES AND REQUIREMENTS	11
D. APPLICATION WITHDRAWAL	11
E. INTERGOVERNMENTAL REVIEW	11
F. CONTENT AND FORMATION OF SUBMISSIONS	12
1. GENERAL REQUIREMENTS	12
2. WHITE PAPER PREPARATION AND SUBMISSION	13
3. FULL PROPOSAL PACKAGE PREPARATION AND SUBMISSION	14
4. GRANTS.GOV APPLICATION SUBMISSION PROCEDURES AND RECEIPT	21
G. FUNDING RESTRICTIONS	22

V.	APPLICATION REVIEW INFORMATION	22
A.	SELECTION CRITERIA	22
B.	REVIEW AND SELECTION PROCESS	23
1.	WHITE PAPERS	23
2.	FULL APPLICATIONS	24
C.	ANTICIPATED AWARD ANNOUNCEMENT AND FEDERAL AWARD DATES	24
D.	HANDLING OF SELECTION INFORMATION	25
VI.	FEDERAL AWARD ADMINISTRATION INFORMATION	25
A.	AWARD NOTICES	25
B.	ACCESSING GRANT AWARDS	25
C.	ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS	26
D.	APPROPRIATIONS PROVISIONS ON TAX DELINQUENCY AND FELONY CONVICTIONS	27
E.	PROHIBITION ON CONTRACTING WITH ENTITIES THAT REQUIRE CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS	28
VII.	REPORTING REQUIREMENTS	28
A.	ANNUAL REPORTS	29
B.	FINAL REPORTS	29
1.	CLOSEOUT REPORT	29
2.	FINAL FEDERAL FINANCIAL REPORT (SF425)	29
3.	INVENTION REPORT	29
VIII.	OTHER ADMINISTRATIVE REQUIREMENTS	29
IX.	FEDERAL CONTACTS	29
X.	OTHER INFORMATION	30
A.	FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY ACT OF 2006	30
B.	CODE OF CONDUCT	30
C.	HUMAN SUBJECT RESEARCH	30
D.	INSTITUTIONAL DUAL USE RESEARCH OF CONCERN	31
E.	DEPARTMENT OF DEFENSE HIGH PERFORMANCE COMPUTING PROGRAM	31
F.	PROJECT MEETINGS AND REVIEWS	32
G.	SECURITY CLASSIFICATION	32
H.	ORGANIZATIONAL CONFLICTS OF INTEREST (OCI)	32
I.	MILITARY RECRUITING	32
J.	REPORTING EXECUTIVE COMPENSATION AND FIRST-TIER SUBAWARDS	33
K.	NDAA SECTION 889 COMPLIANCE	33
XI.	SPECIFIC INFORMATION REGARDING MINERVA	33

A.	EXPECTATIONS FOR MINERVA RESEARCHERS.....	33
1.	PROJECT MEETINGS AND REVIEWS	33
2.	RESEARCH OUTPUT	33
B.	BASIC VS. APPLIED RESEARCH	34
C.	SPECIFIC MINERVA RESEARCH INITIATIVE TOPICS	34
1.	TOPIC 1: SOCIAL IMPLICATIONS OF ENVIRONMENTAL CHANGE	35
2.	TOPIC 2: RESOURCE COMPETITION, SOCIAL COHESION, AND STRATEGIC CLIMATE RESILIENCE	37
3.	TOPIC 3: SECURITY RISKS IN UNGOVERNED, SEMI-GOVERNED, AND DIFFERENTLY-GOVERNED SPACES	39
4.	TOPIC 4: ANALYSIS OF FOREIGN INFLUENCE OPERATIONS IN CROSS-CULTURAL PERSPECTIVE	40
5.	TOPIC 5: COMMUNITY STUDIES ON ONLINE AND OFFLINE INFLUENCE	41
6.	TOPIC 6: COMPUTATIONAL SOCIAL SCIENCE RESEARCH ON DIFFICULT-TO-ACCESS ENVIRONMENTS.....	43
7.	TOPIC 7: SOCIAL AND CULTURAL IMPLICATIONS OF ARTIFICIAL INTELLIGENCE .	44
8.	TOPIC 8: HUMANS AND OUTER SPACE	45
9.	TOPIC 9: MANAGEMENT AND INFORMATION IN THE DEFENSE ENVIRONMENT	47

I. PROGRAM DESCRIPTION

A. SHORT DESCRIPTION OF FUNDING OPPORTUNITY

Minerva's DECUR Partnership aims to develop collaborative basic research partnerships between Defense Professional Military Education (PME) Institutions and Civilian Research Universities by supporting basic research projects that improve capacities in defense-related basic social science to inform Department of Defense (DoD) policy makers and decision leaders.

B. BACKGROUND

Minerva aims to improve DoD's basic understanding of the social, cultural, behavioral, and political forces that shape regions of the world of strategic importance to the U.S. The research program seeks to:

- Leverage and focus the resources of the Nation's top universities;
- Define and develop foundational knowledge about sources of present and future conflict with an eye toward better understanding of the political trajectories of key regions of the world; and
- Improve the ability of DoD to develop cutting-edge social science research, foreign area and interdisciplinary studies, that is developed and vetted by the best scholars in these fields.

Minerva brings together universities, research institutions, and individual scholars and supports interdisciplinary and cross-institutional projects addressing specific topic areas determined by the Secretary of Defense.

C. PROGRAM DESCRIPTION/OBJECTIVE

The Office of the Secretary of Defense (OSD) is interested in receiving applications for Minerva's [DECUR Partnership](#). The DECUR Partnership aims to develop collaborative basic research partnerships between PME Institutions and Civilian Research Universities by supporting fundamental scientific research that improves the capacity of security-related basic social science research and education. Building upon the success of Minerva's university research awards, the DECUR Partnership aims to pair civilian university researchers with PME faculty to facilitate collaborative research in the fundamental understanding of the social and cultural forces shaping U.S. strategic interests globally. OSD is particularly interested in projects that align with and support the upcoming [2022 National Defense Strategy](#).

Minerva emphasizes questions of strategic importance to U.S. national security policy, and the DECUR partnership aims to increase the Department's intellectual capital in the social sciences and improve its ability to address future challenges and build bridges between the Department and the social science community. Minerva brings together universities and other research institutions around the world and supports multidisciplinary and cross-institutional projects addressing specific interest areas determined by the Department of Defense. The Minerva program aims to promote research in specific areas of social science and to promote a candid and constructive relationship between DoD and the social science academic community.

The Minerva Research Initiative competition is for research related to nine (9) topics listed below. Innovative white papers and applications related to these research areas are highly encouraged. Detailed descriptions of the interest areas—which are intended to provide a frame of reference and are not meant to be restrictive—can be found in Section XI.C, “Specific Minerva Research Initiative Topics.”

- Topic 1: Social Implications of Environmental Change
- Topic 2: Resource Competition, Social Cohesion, and Strategic Climate Resilience
- Topic 3: Security Risks in Ungoverned, Semi-Governed, and Differently-Governed Spaces
- Topic 4: Analysis of Foreign Influence Operations in Cross-Cultural Perspective
- Topic 5: Community Studies on Online and Offline Influence
- Topic 6: Computational Social Science Research on Difficult-to-Access Environments
- Topic 7: Social and Cultural Implications of Artificial Intelligence
- Topic 8: Humans and Outer Space
- Topic 9: Management and Information in the Defense Environment

Applications must include a civilian university Principal Investigator (PI) and a PME co-PI. Applications that include PME students in the research design, i.e. has a pedagogic component that uses basic research in social science to think through social science to address security challenges, will be looked upon favorably. Outside of the civilian university PI and the PME co-PI, the size of research teams is not limited, though the maximum award amount will be \$400,000 distributed evenly over two years. The research questions addressed should extend beyond standard disciplinary approaches to include innovative multidisciplinary and interdisciplinary methodological approaches.

Either the civilian university PI or the PME co-PI may submit the White Paper. While the civilian university PI and the PME co-PI will be considered coequals on the project, the civilian university PI should submit the invited Full Application through grants.gov. Awards will be made with institutions and the apportionment of funds including sub-awards, if any, must be described in both the application text and the budget. The civilian university budget portion, including indirect costs on their effort, will be sent via grant; the PME budget portion will be sent separately, via Military Interdepartmental Purchase Request (MIPR), and should not be included in the civilian university indirect costs. As well, the basic research contribution of the project must be clearly described in the application text.

The Minerva Research Initiative is a multi-service effort with the Air Force Office of Scientific Research and the Office of Naval Research. Ultimately, however, funding decisions will be made by OSD personnel, in close collaboration with and technical inputs from the participating Services.

D. AUTHORIZATION

10 U.S.C. 4001 Research and development projects

E. LEGAL REQUIREMENTS

Each grant awarded 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 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.

F. PROGRAM-SPECIFIC REQUIREMENTS

Not applicable.

II. FEDERAL AWARD INFORMATION

A. AWARD HISTORY AND INSTRUMENT

This NFO is a follow-on to WHS-AD-FOA-DECUR-19, and is expected to result in the award of a grant or grants as defined at 31 U.S.C. 6304. The grant(s) will be awarded to “eligible entities” as defined at 10 U.S.C. 2192(b)(3), which includes a department or agency of the Federal Government, a State, a political subdivision of a State, an individual, and a not-for-profit or other organization in the private sector. Further eligibility information can be found in Section III of this NFO.

B. FUNDING AMOUNT AND NUMBER OF AWARDS

This Notice of Funding Opportunity (NFO) intends to fund five to six grant awards, with each grant valued up to \$200,000.00 per year, with a two-year period of performance. The total amount awarded from this NFO will not exceed \$2,000,000.00. These funding amounts include both direct and indirect costs. Applicants are reminded that this request is subject to Federal funding appropriations and Departmental approval.

C. PROFIT/FEE

Fee/profit is unallowable under assistance agreements at either the prime award or sub-award level, but may be permitted on subcontracts issued by the prime recipient.

D. PLACE OF PERFORMANCE

Performance is limited to the United States and its territories.

E. PERIOD OF PERFORMANCE

An award made as a result of this NFO will provide potential funding for up to two (2) years. The Government will review the grant(s) annually to assess the degree to which the recipient is making progress towards meeting the objectives of the agreement.

F. SUB-AWARDEES AND SUB-CONTRACTS

Each recipient may be augmented with sub-awards and subcontracts, especially for efforts to which a sub-awardee or subcontractor is particularly qualified. Additionally, the inclusion of small and women-owned businesses as sub-awardees and/or subcontracts are encouraged.

G. GOVERNMENT ROLE AND RESPONSIBILITY

The assistance being contemplated under this NFO will be in the form of a grant or grants to successful applicants. Substantial involvement is not expected between the executive agency and the State, local government, or other recipient when carrying out the activity contemplated in the NFO or any resultant award, per 31 U.S.C. 6304(2).

III. ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS

All U.S.-based civilian universities and Professional Military Educational (PME) institutions associated with the Air Force, Navy/Marine Corps, and Joint PME may submit applications under this NFO. Due to Army policy, Army-affiliated PME institutions are not eligible for the DECUR Partnership.

Historically Black Colleges and Universities (HBCUs) and Minority Institutions (MIs) are encouraged to apply.

Teams are encouraged and may submit applications in any and all areas. At minimum, there should be a civilian university Principal Investigator (PI) and a PME co-PI. Non-profit institutions and commercial entities may be included on a university-led team as subawardees only, receiving funding for their efforts accordingly. Federally Funded Research and Development Centers (FFRDCs), including Department of Energy National Laboratories, are not eligible to receive awards under this NFO. However, teaming arrangements between FFRDCs and eligible principal applicants are allowed provided they are permitted under the sponsoring agreement between the Government and the specific FFRDC. Regardless the size of the team, however, the maximum award amount is \$400,000 distributed evenly over a two-year period.

Grants to a university may be terminated if the Principal Investigator (PI) severs connections with the university or is unable to continue active participation in the research. Grants to a university may also be terminated if the university severs connections with the PI. Likewise, the award to a PME institution may be terminated if the PME co-PI severs connections with the PME institution or is unable to continue active participation in the research. Awards to a PME institution may also be terminated if the PME institution severs connections with the PME co-PI.

A single PI from the civilian university and a single co-PI from the PMEI must be designated on the application. There is no restriction on the number of additional key research personnel who can be included on a single application, but each position

should be justified by the scope and focus of the research. Applications that integrate PME students in the research will be looked upon favorably. There is no limit to the number of applications that an individual PI may have submitted by their institution in response to this NFO.

B. COST SHARE OR MATCHING

Cost sharing is not required.

C. CONFLICT OF INTEREST

1. GENERAL REQUIREMENT FOR DISCLOSURE

The Applicant must disclose any potential or actual scientific or nonscientific conflict of interest(s) to the Government. The Applicant must also disclose any potential or actual conflict(s) of interest for any identified sub recipient you include in the application. The Government or Grants Officer reserves the right to clarify any conflicts of interest, if needed.

At the Government and/or Grants Officer's discretion, the Government and/or Grants Officer may ask the Applicant for a conflict of interest mitigation plan after submission of the application. The plan is subject to Government and/or Grants Officer approval.

2. SCIENTIFIC CONFLICT OF INTEREST

Scientific collaborations on research and development projects are generally the result of close collaboration prior to the submission of applications for support. Accordingly, these collaborations should be considered when considering potential conflicts of interest. The potential conflict is mitigated by the disclosure of these collaborations, and the list of current and pending support you provide for senior and key researchers. Therefore, you must include in your list of current and pending support all collaborators, even if they did not formally provide support.

3. OTHER

The Applicant must include the Acknowledgment of Support and Disclaimer on all materials created or produced under our awards. This language may be found in the Terms and Conditions included in the award documents.

a) CERTIFICATIONS, REPRESENTATIONS, AND ASSURANCES

To apply for grants and other funding opportunities the applicant entity must have an active registration in the [System for Award Management \(SAM\)](#). Applications will not be accepted through Grants.gov or other methods unless the entity is registered in SAM. Registration in SAM now includes the acceptance of Certifications and Assurances. See the [Standard Language Describing the Grants.gov Application Process](#) and Section IV.F.4 for details on how to register in SAM, and at Grants.gov.

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, if applicable, informing DoD of unpaid delinquent tax liability or a felony conviction under and Federal law.

b) PROTECTION OF HUMAN SUBJECTS

For applications 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. Additional information and requirements can be found in Section X.C.

IV. APPLICATION AND SUBMISSION INFORMATION

A. SUBMISSION DATES AND TIMES

The Minerva application process is conducted in two stages:

- Stage 1 – White Paper submission (via email to the Section IX technical point of contact)
 - Deadline: Thursday, September 8, 2022 3:00 PM ET
- Stage 2 – Full Application submission (via Grants.gov)
 - Deadline: Tuesday, November 22, 2022 3:00 PM ET

Stage 1 – Interested entities are strongly encouraged to submit white papers, an opportunity for reviewer feedback intended to minimize the labor and cost associated with the production of detailed applications that have little chance of being selected for funding. Based on an assessment of the white papers submitted, the technical point of contact (POC) (see Section IX) will advise prospective proposers whether the applications outlined in their white papers were judged to be competitive for Minerva DECUR Partnership award selection, and will then invite the most promising subset of applications to submit a full application for funding consideration.

Interested entities are strongly encouraged, though not required, to contact the appropriate POC two or more weeks prior to white paper submission to discuss their ideas. White papers and other technical queries arriving after the deadline are unlikely to receive feedback unless an invitation for full application submission has been extended.

Stage 2 – Subsequent to white paper feedback, interested entities are required to submit full applications. All applications submitted under the terms and conditions cited in this NFO will be evaluated in accordance with the evaluation criteria stated herein. Entities may submit an application without submitting a white paper, though this is discouraged. Interested parties who do not participate in the white paper review stage should contact the appropriate POC prior to submission of a full application to discuss options, though feedback at that late stage is not guaranteed. Full applications submitted after the posted deadline will not be evaluated for funding consideration.

B. ADDRESS TO REQUEST APPLICATION PACKAGE

The application package for this NFO is only available via Grants.gov.

C. APPLICATION PROCEDURES AND REQUIREMENTS

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. Please see Attachment A - Registration and Submission Instructions for details on how to go through this process.

Full application packages must be submitted electronically (via E-mail for Stage 1 and via Grants.gov for Stage 2) no later than the dates and times listed in Section IV.A.

Applicants are responsible for submitting their applications in sufficient time to allow them to reach Grants.gov by the date and time specified in this announcement. It is strongly recommended that applications be uploaded at least 2 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.

Acceptable evidence to establish the time of receipt by Grants.gov includes documentary evidence of receipt maintained by Grants.gov, and Grants.gov e-mails to the applicant confirming receipt. These e-mails will indicate 1) the application was received on time, 2) application was rejected due to errors, 3) application was received after the deadline. Note that this Grants.gov response may occur over several e-mails, e.g., one acknowledging on-time receipt, and a later e-mail rejecting for errors the system detected. Applicants can also track the status of their applications at <https://www.grants.gov/web/grants/applicants/track-my-application.html>.

For full instructions on registration and submission instructions, see Attachment A: Registration and Submission Instructions.

D. 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.

E. INTERGOVERNMENTAL REVIEW

Not applicable.

F. CONTENT AND FORMATION OF SUBMISSIONS

1. GENERAL REQUIREMENTS

a) DOCUMENT FORMAT

All documents included in both white paper and full application packages must be submitted in Adobe Portable Document Format (PDF) in compliance with the guidelines below. Applications with attachments submitted in word processing, spreadsheet, zip, or any format other than Adobe Portable Document format will not be considered for award. NOTE: Titles given to the white papers/full applications should be descriptive of the work they cover and not be merely a copy of the title of this solicitation.

Documents must be submitted with the following specifications:

- Paper Size – 8.5 x 11-inch paper
- Margins - 1 inch
- Spacing – single spaced
- Font – Times New Roman, 11 point
- PI's and co-PI's name and institutions in header or footer
- Appropriate markings on each page that contains proprietary or confidential information, if applicable.

White papers, supporting documentation, and full applications submitted under this NFO are unclassified.

b) MARKING PROPRIETARY OR CONFIDENTIAL INFORMATION

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

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

2. WHITE PAPER PREPARATION AND SUBMISSION

a) WHITE PAPER PACKAGE COMPONENTS

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 NFO number, proposed project title, and prospective applicant's technical point of contact with telephone number, e-mail address, and most relevant area number(s) and title(s) (see Section IX).
- 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 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.

b) WHITE PAPER SUBMISSION

White papers and supporting documentation must be submitted as email attachments to osd.minerva@mail.mil no later than 3:00 p.m. Eastern Time on September 8, 2022. E-mail transmission is not instantaneous and delays in transmission may occur anywhere along the route. The Government 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 relevant area categories (see Section IX), written as: FY22 Minerva DECUR WP - Area [Topic Number]

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

3. FULL PROPOSAL PACKAGE PREPARATION AND SUBMISSION

a) SF424 RESEARCH AND RELATED (R&R) APPLICATION FOR FEDERAL ASSISTANCE

The SF-424 (R&R) form must be used as the cover page for all applications. Forms are completed in Grants.gov Workspace by either completing the forms on-line using a web browser and/or downloading individual PDF forms, completing them, and uploading them to the Workspace. Complete all required fields in accordance with the on-screen help or “pop-up” instructions on the PDF form and the following instructions for specific fields. To see the instructions, click on the on-screen help icons or roll the mouse over the PDF field to be filled out and additional information about that field will be displayed. For example, on the SF-424 (R&R) the Phone Number field says “PHONE NUMBER (Contact Person): Enter the daytime phone number for the person to contact on matters relating to this application. This field is required.” Mandatory fields will have an asterisk marking the field and will appear yellow on most computers. In Grants.gov, some fields will self-populate based on the NFO selected.

Please fill out the SF-424 first, as some fields on the SF-424 are used to auto populate fields in other forms. The completion of most fields is self-explanatory except for the following special instructions:

- Field 3 – Date Received by State. The Date Received by State and the State Application Identifier are not applicable to research.
- Field 4a – Federal Identifier. No identifier required.
- Field 4b – Agency Routing Identifier. Input “RD [Minerva DECUR Topic #]” For the Topic #, input the number corresponding to the topic area to which the proposal is being submitted.
- Field 7 – Type of Applicant. Complete as indicated. If the organization is a Minority Institution, select “Other” and under “Other (Specify)” note that the institution is a Minority Institution (MI).
- Field 9 – Name of Federal Agency. List the “Washington Headquarters Services Acquisition Directorate” as the reviewing agency. This field is pre-populated in Grants.gov.
- Field 16 – Is Application Subject to Review by State Executive Order 12372 Process? Choose “No”. Check “Program is Not Covered by Executive Order 12372.”
- Field 17 – Certification. All awards require some form of certifications of compliance with national policy requirements. By checking the “I agree” box in field 17, and attaching the representation to field 18 of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov, the Grant Applicant is providing the certification on lobbying required by 32 CFR Part 28 and representation regarding an unpaid delinquent tax liability or a felony conviction under any federal law – DoD appropriations.

b) R&R SENIOR/KEY PERSON PROFILE FORM (EXPANDED)

Complete the R&R Senior/Key Person Profile (Expanded) form for those key persons who will be performing the research. Information about an individual is subject to the requirements of the Privacy Act of 1974 (Public Law 93 579). The information is requested under the authority of Title 10 USC, Sections 4001 and 8013.

To evaluate compliance with Title IX of the Education Amendments of 1972 (20 U.S.C. A§ 1681 Et. Seq.), the Department of Defense is collecting certain demographic and career information to be able to assess the success rates of women who are proposed for key roles in applications in STEM disciplines. The Degree Type and Degree Year fields on the Research and Related Senior/Key Person Profile (Expanded) form will be used by DoD as the source for career information. In addition to the required fields on the form, applicants must complete these two fields for all individuals that are identified as having the project role of PD/PI or Co-PD/PI on the form. Additional senior/key persons can be added by selecting the “Next Person” button.

The principal purpose and routine use of the requested information are for evaluation of the qualifications of those persons who will perform the proposed research. Failure to provide such information will delay award. Attach curricula vitae (CVs) and/or a Biographical Sketch for the principal investigator and senior staff. CVs should list any previous DoD funding and engagement within the last eight years including project titles.

Attach statements of current and pending support for the Principal Investigators and co-investigators listed in the application, as applicable. These statements require that each investigator specify all grants and contracts through which he or she is currently receiving or may potentially receive financial support. Describe the research activities and amount of funding.

Page limits for attachments:

- Key Personnel Curriculum Vitae (five (5) page limit)
- Key Personnel Biographical Sketches (two (2) page limit each)

c) R&R PERSONAL DATA FORM

To evaluate compliance with Title IX of the Education Amendments of 1972 (20 U.S.C. 1681), the Department of Defense is collecting certain demographic and career information to be able to assess the success rates of women who are proposed for key roles in applications in STEM disciplines.

This form will be used by DoD as the source of demographic information, such as gender, race, ethnicity, and disability information for the Project Director/Principal Investigator and all other persons identified as Co-Project Director(s)/Co-Principal Investigator(s). Each application must include this form with the name fields of the Project Director/Principal Investigator and

any Co-Project Director(s)/Co-Principal Investigator(s) completed; however, provision of the demographic information in the form is voluntary. If completing the form for multiple individuals, each Co-Project Director/Co-Principal Investigator can be added by selecting the “Next Person” button. The demographic information, if provided, will be used for statistical purposes only and will not be made available to merit reviewers. Applicants who do not wish to provide some or all of the information should check or select the “Do not wish to provide” option.

d) PROJECT/PERFORMANCE SITE LOCATIONS FORM

Complete all information as requested.

e) R&R OTHER PROJECT INFORMATION FORM

- Fields 1 and 1a - Human Subject Use. Each application must address human subject involvement in the research by addressing Fields 1 and 1a of the R&R Other Project Information form.
 - It is expected that the selected investigative teams will create their HSR plans, applications to required ethics panels and institutional review boards (IRBs), and DoD reviews after receiving an initial award.
 - No DoD-funded HSR may be conducted until the DoD Human Research Protection Official (HRPO) review is satisfied, including DoD-funded pilot studies. At the time of submittal, for any white paper submissions potentially involving international or medically-related HSR, the prospective investigator must also directly contact the Minerva Program Officer and the DoD Office for Human Research Protections (DOHRP) at DOHRP@mail.mil.
 - At the time of submittal, for any white paper submissions potentially involving Service Members, prisoners, detainees, children, or other vulnerable populations in the participant pool for HSR, the prospective investigator must also directly contact the Minerva Program Officer and the DOHRP at DOHRP@mail.mil.
 - For other HSR within the United States, prospective investigators may contact the following offices regarding required documentation and procedures:
 - Air Force: usaf.pentagon.af-sg.mbx.afmsa-sge-c@mail.mil
 - Navy: ONRHRPO@navy.mil
- Fields 2 and 2a - Animal Use. Each application must address animal use protocols by addressing Fields 2 and 2a of the R&R Other Project Information form.
 - If animals are to be utilized in the research effort proposed, the prospective applicant must submit prior to award a DoD Animal Use Protocol with supporting documentation (copies of Association for Assessment and Accreditation of Laboratory Animal Care (AAALAC) accreditation and/or National Institute of Health assurance, Institutional Animal Care and Use Committee (ACUC) approval,

research literature Database searches, and the two most recent USDA inspection reports). For assistance with submission of animal research related documents, contact Minerva staff to identify the appropriate point of contact.

- Fields 4a through 4d - Environmental Compliance. Federal agencies making grant or cooperative agreement awards and recipients of such awards must comply with various environmental requirements. The National Environmental Policy Act of 1969 (NEPA), 42 U.S.C. Sections 4321- 4370 (a), requires that agencies consider the environmental impact of “major Federal actions” prior to any final agency decision. With respect to those awards which constitute “major Federal actions,” as defined in 40 CFR 1508.18, federal agencies may be required to comply with NEPA and prepare an environmental impact statement (EIS), even if the agency does no more than provide grant funds to the recipient.
 - Questions regarding NEPA compliance should be referred to Minerva program staff. Most research efforts funded through the Minerva program will, however, qualify for a categorical exclusion from the need to prepare an EIS. For those applying under Navy projects, Navy instructions/regulations provide for a categorical exclusion for basic and applied scientific research usually confined to the laboratory, if the research complies with all other applicable safety, environmental and natural resource conservation laws. Each application shall address environmental impact by filling in Fields 4a through 4d of the R&R Other Project Information form. This information will be used by DoD to make a determination if the proposed research effort qualifies for categorical exclusion.
- Field 7 – Project Abstract/Summary. In a single page, describe the research problem, proposed methods, basic research contribution, anticipated outcome of the research, if successful, and impact on DoD capabilities or broader implications for national defense. Identify the Principal Investigator, the university/research institution (and other institutions involved in the Minerva team, if applicable), the application title, the Minerva interest area number, and the total funds requested from DoD for the 2-year period.
- Field 8 – Project Narrative. Describe clearly the research, including the objective and approach to be performed, keeping in mind the evaluation criteria listed in Section V Application Review Information.
 - Generate a single PDF file containing all application narrative sections described below and attach as the R&R Other Project Information form in Field 8. Full applications exceeding the page limits defined below may not be evaluated.
 - Cover Page, including:
 - Application title
 - Institution application number
 - Interest area number and title
 - Principal Investigator name

- Phone number, fax number, and e-mail address
 - Institution, Department, Division
 - Institution address
 - Other institutions involved in the Minerva team, if applicable
 - Whether the PI is a past or current DoD Contractor or Grantee. If yes, provide agency and point of contact information.
- Table of Contents. List project narrative sections and corresponding page.
 - Technical Narrative (12-page limit for this section, excluding list of references). Describe the basic scientific or technical concepts that will be investigated, giving the complete research plan. Describe the technical approach and what makes it innovative. Discuss the relationship of the proposed research to the state-of-the-art knowledge in the field and to related efforts in programs elsewhere, and discuss potential scientific breakthroughs, including appropriate literature citations/references. Discuss the nature of expected results. Discuss potential applications to defense missions (including alignment with the National Defense Strategy) and requirements. Describe plans for the research training of students, especially PME students. Include the number of full time equivalent graduate students and undergraduates, if any, to be supported each year. Discuss the involvement of other students, if any.
 - Project Schedule, Milestones, and Deliverables (2-page limit for this section). A summary of the schedule of events, milestones, and a detailed description of the results and products to be delivered. Any proposed option period beyond three years should be explicitly scoped accordingly.
 - Management Approach (1-page limit for this section). A discussion of the overall approach to the management of this effort, including brief discussions of: required facilities; relationships with any subawardees and with other organizations; availability of personnel; and planning, scheduling, and control procedures.
 - Designate only one civilian university Principal Investigator for the award to serve as the primary point-of-contact. List as well the PME co-PI. Briefly summarize the qualifications of the civilian university PI and the PME co-PI and other key investigators to conduct the proposed research.
 - Describe in detail proposed subawards to other eligible universities or relevant collaborations (planned or in place) with government organizations, industry, or other appropriate institutions. Particularly describe how collaborations are expected to facilitate the transition of research results to applications. If subawards to other universities/institutions are

proposed, make clear the division of research activities, to be supported by detailed budgets for the proposed subawards.

- Describe plans to manage the interactions among members of the proposed research team, if applicable.
- Identify other parties to whom the proposal has been, or will be sent, including agency contact information.
- Facilities. Describe facilities available for performing the proposed research and any additional facilities or equipment the organization proposes to acquire at its own expense. Indicate government-owned facilities or equipment already possessed that will be used. Reference the facilities grant and/or contract number or, in the absence of a facilities grant/contract, the specific facilities or equipment and the number of the award under which they are accountable.
- Field 9 – Bibliography and References Cited. Attach a listing of applicable publications cited in above sections.
- Fields 10 and 11 – These fields are not required.
- Field 12 – Other Attachments. In addition to the Research and Related (R&R) Budget form, researchers are encouraged to submit a comprehensive, single page version of the budget for the prime and subawardee institutions, where rows are budget categories and columns indicate budget periods.

Letters of support are neither required nor expected in application packages. Some prospective proposers may feel a letter of support demonstrating the importance of the research to the national security community may strengthen their proposals. Such letters should not exceed 2 pages.

f) R&R BUDGET FORM

You must provide a detailed cost breakdown of all costs, by year and cost category, corresponding to the proposed Technical Approach which was provided in Field 8 of the R&R Other Project Information Form. Any proposed option years must be separately priced. For planning purposes, assume that grant awards will begin in January 2023.

- Budget Elements: Annual budgets should be driven by program requirements. Elements of the budget should include:
 - Direct Labor — Individual labor category or person, with associated labor hours and unburdened direct labor rates. Provide escalation rates for out years. Provide the basis for the salary proposed. If labor costs are not provided for listed principal investigators, the budget justification document should include an explanation
 - Administrative and clerical labor — 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.

- Indirect Costs — Fringe benefits, overhead, G&A, etc. (must show base amount and rate). Provide the most recent rates, dates of negotiations, the period to which the rates apply, and a statement identifying whether the proposed rates are provisional or fixed. If the rates have been negotiated by a Government agency, state when and by which agency. Include a copy of the current indirect rate agreement (via Field 12 of the Research and Related Other Project Information Form). Note, civilian university indirect costs apply only to the civilian university portion of the grant.
- Travel — Identify any travel requirements associated with the proposed research and define its relationship to the project. List proposed destinations, cost estimate, and basis of cost estimate. Please include all Service or Minerva program travel needs, described further in Section X.A, Expectations for Minerva Researchers.
- Subawards — Provide a description of the work to be performed by the subrecipients. For each subaward, a detailed cost proposal is required to be included in the principal investigator's cost proposal. Fee/profit is unallowable.
- Consultant — Consultants are to be used only under exceptional circumstances where no equivalent expertise can be found at a participating university; strong justification is required. Provide consultant agreement or other document that verifies the proposed loaded daily/hourly rate. Include a description of the nature of and the need for any consultant's participation. Provide budget justification.
- Materials — Specifically itemized with costs or estimated costs. Justify.
- Other Directs Costs — Provide an itemized list of all other proposed 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). NOTE: If the grant application is for a conference, workshop, or symposium, the application should include the following statement: "The funds provided by the Department of Defense will not be used for food or beverages."
- Fee/Profit — Fee/profit is unallowable.
- Budget justification: The budget proposal should include a budget justification for each year, clearly explaining the need for each item and attached to Section L of the R&R Budget form.
- Budget summary: In addition to the Research and Related Budget form, researchers are encouraged to submit a comprehensive, single page version of the budget for the prime and subawardee institutions, where rows are budget categories and columns indicate budget periods. Include

as an attachment to R&R Other Project Information Form Field 12 (“Other Attachments”).

- Cost sharing is not a factor in the evaluation but is permitted. Cost sharing may support items such as salaries, indirect costs, operating expenses, or new equipment. In each category, show the amount and nature of the planned expenditure share (e.g., equipment, faculty release time for research). A signed statement of commitment regarding the cost sharing or matching funds described above must be obtained from the appropriate institutional and/or private sector officials, and included at time of submission. Any cost sharing or matching plan should be included in the budget justification.

g) SFLLL DISCLOSURE OF LOBBYING ACTIVITIES (OPTIONAL FORM)

If the applicant is required to disclose any lobbying activities, complete the SF-LLL and include it with the other forms in the application package.

4. GRANTS.GOV APPLICATION SUBMISSION PROCEDURES AND RECEIPT

This section provides the application submission and receipt instructions for WHS/AD program applications. Please read the following instructions carefully and completely. WHS/AD is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. WHS/AD requires applicants to submit their applications online through Grants.gov.

a) HOW TO REGISTER TO APPLY THROUGH GRANTS.GOV

Applicants must be registered with SAM and have a Grants.gov account in order to apply for Federal assistance. If individual applicants are eligible to apply for this funding opportunity, then they may move to Create a Grants.gov Account, below. Complete instructions can be found here:

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

b) HOW TO SUBMIT AN APPLICATION TO WHS/AD VIA GRANTS.GOV

Once an applicant has completed the registration process, applicants are encouraged to use the Grants.gov Workspace feature to prepare and submit their application. Workspace is the standard way for organizations or individuals to apply for federal grants in Grants.gov. Workspace allows a grant team to simultaneously access and edit different forms within an application, and allows applicants to fill out their forms online or offline. Once a Workspace is established, applicants are encouraged to complete the SF424 forms first, as information entered into the SF424 forms (applicant name, address, UEI, and so forth) will automatically transfer to other Workspace forms. More information and training on how to use Workspace can be found here:

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

c) TIMELY RECEIPT REQUIREMENTS AND PROOF OF TIMELY SUBMISSION

All applications must be received no later than 3:00 p.m. Eastern Time on November 2, 2022. Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time stamp is generated within the system when the application is successfully received by Grants.gov. NOTE: White Papers should not be submitted through the Grants.gov Apply process, but rather by email as described in Section IV.F.2.b.

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

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

G. FUNDING RESTRICTIONS

An institution may, at its own risk and without prior approval, incur obligations and expenditures to cover costs up to 90 days before the beginning date of the initial budget period of a new or renewal award if such costs: 1) are necessary to conduct the project, and 2) would be allowable under the grant, if awarded, without prior approval.

All pre-award costs are incurred at the recipient's risk. OSD and the military service research organizations are under no obligation to reimburse such costs, if for any reason the institution does not receive an award or if the award is less than anticipated and inadequate to cover such costs.

V. APPLICATION REVIEW INFORMATION

A. SELECTION CRITERIA

The Minerva program seeks to invest in basic research and to identify challenging fundamental scientific areas of investigation that may have potential for long term benefit to DoD. Proposed research should describe cutting-edge efforts on basic scientific problems. Subject to funding availability, white papers and proposals will be evaluated under the following criteria:

Principal Criteria

1. **Scientific merit**, soundness, and programmatic strategy of the proposed basic social science research; and
2. Relevance and potential contributions of the proposed research to research areas of DoD interest as described in Section IX. The Minerva Research Initiative is *particularly interested* in applications that align with and support the upcoming 2022 [National Defense Strategy](#).

Other Criteria

3. Potential **impact** of the basic research on the defense-relevant social sciences and defense communities that apply them. DoD encourages innovative submissions that, in addition to knowledge generation in critical areas, also build new communities, new frameworks, and new opportunities for dialogue.
4. The **qualifications** and availability of the civilian university Principal Investigators and PME co-PI, and other key investigators (if applicable) and the **overall management approach**; and
5. The realism and reasonableness of **cost**.

The Principal Criteria are of equal importance and are more important than Other Criteria. Other Criteria are of equal importance to each other. The U.S. Government does not guarantee an award in each research area. Further, be advised that as funds are limited, otherwise meritorious applications may not be funded.

B. REVIEW AND SELECTION PROCESS

The Minerva Research Initiative selects awards using merit-based competitive procedures according to 32 CFR 22.315. Preparation and submission requirements for the two-stage proposal process are described in Section IV of this document. Evaluation processes are described below.

1. WHITE PAPERS

White papers will be reviewed by the responsible Research Area POC for the interest area and may be reviewed by one or more subject matter experts. Systems Engineering and Technical Assistance (SETA) contractor employees may provide technical and administrative assistance to the evaluation team. Individuals other than the POC will sign a conflict of interest statement prior to receiving white papers.

White papers that best fulfill the evaluation criteria will be identified by the white paper reviewers and recommended to the OSD Minerva Steering Committee. The Steering Committee is composed of representatives from the research and policy organizations within OSD and may include representatives from the DoD Military Components and/or Defense Agencies. The Minerva Steering Committee expects to invite up to thirty (30) PIs to submit full proposals. Thorough feedback on white papers will be provided to those invited to submit a full proposal. Feedback will be provided to all other proposers upon request.

2. FULL APPLICATIONS

Full applications submitted under this NFO undergo another multi-stage evaluation procedure. Technical applications will be evaluated through a peer or scientific review process. Reviewers may include Government personnel and Non-Government reviewers including university faculty and staff researchers. 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.

Cost proposals will be evaluated by Government business professionals and support contractors. Findings of the various interest area evaluators will be forwarded to senior DoD officials who will make funding recommendations to the awarding officials. Restrictive notices notwithstanding, one or more support contractors or peers from the university community will be utilized as subject-matter-expert technical consultants. However, proposal selection and award decisions are solely the responsibility of Government personnel. Each support contractor's employees and peers from the university community having access to technical and cost proposals submitted in response to this NFO will be required to sign a non-disclosure statement prior to receipt of any proposal submission.

The recommendations of the various area POCs will be forwarded to senior officials from the OSD who will make final funding recommendations to the awarding officials based on reviews, portfolio balance interests, and funds available.

Due to the nature of the Minerva program, the reviewing officials may recommend that less than an entire Minerva proposal be selected for funding. This may be due to several reasons, such as insufficient funds, research overlap among proposals received, or potential synergies among proposals under a research interest area. In such cases, the government will discuss proposal adjustments with the applicant prior to final award.

C. ANTICIPATED AWARD ANNOUNCEMENT AND FEDERAL AWARD DATES

Event	Date	Time
Pre-Application Conference/Industry Day	TBD	TBD
Last day for White Paper questions to Interest Area POCs	8 September 2022	1500 Eastern
Notification of Initial Evolutions of White Papers*	8 September 2022	
Last day for Full Application questions to Interest Area POCs	2 November 2022	

Full Applications Due	22 November 2022	1500 Eastern
Notification of Selection for Award*	24 January 2023	
Assistance Awards*	20 April 2023	
Kickoff Meeting*	25 May 2023	

*Dates are estimated as of the date this NFO is published on Grants.gov

D. HANDLING OF SELECTION INFORMATION

Generally, application information will not be disclosed to individuals outside of the evaluation process. The evaluation team will treat application information as equivalent to source selection information as defined in the Federal Acquisition Regulation (FAR) (see FAR 2.101 and FAR 3.104). Evaluation team members will be required to complete and submit a Non-Disclosure Agreement and Conflict of Interest declaration prior to receiving or handling application materials.

VI. FEDERAL AWARD ADMINISTRATION INFORMATION

A. AWARD NOTICES

The Applicant whose application is recommended for award may be contacted by a Grants Officer or his/her representative. This may include representations and certifications, revised budgets or budget explanations, certificate of current cost or pricing data, subcontracting plan for small businesses, and/or other information as applicable to the proposed award.

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.

Applicants who did not receive an award are not entitled to a de-brief.

B. ACCESSING GRANT AWARDS

If you require additional copies of your award, award/modification documents are available via the Department of Defense (DoD) Electronic Document Access System (EDA) within the Procurement Integrated Enterprise Environment, or PIEE (<https://piee.eb.mil/>). EDA is a Web-based system that provides secure online access, storage and retrieval of awards and modifications to DoD employees and vendors.

If you do not currently have access to PIEE, you may complete a self-registration request as a “Vendor” via <https://piee.eb.mil/xhtml/unauth/registration/notice.xhtml>. For detailed assistance with the registration process, visit <https://piee.eb.mil/xhtml/unauth/help/help.xhtml>.

To access awards after your registration has been approved, log into PIEE and select the EDA module. Select “Award Data”, and then “Award Search”. Enter your grant award number into the “Contract Number” field, and then select “Search”.

PIEE questions may be directed to the help desk toll free at 866-618-5988, or via web form at

<https://piee.eb.mil/xhtml/unauth/web/homepage/vendorCustomerSupport.xhtml>.

C. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

Each award under this announcement will be governed by the general award terms and conditions in effect at the time of the award that conform to DoD's implementation of OMB guidance applicable to financial assistance in 2 CFR part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards." The DoD Research and Development General Terms and Conditions (latest version, September 2021) are located at <https://www.nre.navy.mil/media/document/dod-research-terms-and-conditions-september-2021.pdf>. These terms and conditions are incorporated by reference in this announcement.

You must comply with all applicable national policy requirements. The key national policy requirements that may relate to an award under this NFO are included in the terms and conditions specified in the preceding paragraph.

By electronically signing the SF-424, the applicant affirms its agreement with the following certification:

Certification Required for Grant and Cooperative Agreement Awards

The certification at Appendix A to 32 CFR Part 28 regarding lobbying is the only certification required at the time of application submission for a grant or cooperative agreement award. The certification is as follows:

"By signing and submitting an application that may result in the award of a grant exceeding \$100,000, the prospective awardee is certifying, to the best of his or her knowledge and belief that:

(1) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employ of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit SF-LLL, "Disclosure of Lobbying Activities" in accordance with its instructions.

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

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, Title 31, U.S. Code. Any person who fails the required certification shall be subject to a civil penalty or not less than \$10,000.00 and not more than \$100,000.00 for each failure.

- D. APPROPRIATIONS PROVISIONS ON TAX DELINQUENCY AND FELONY CONVICTIONS**
Check either “is” or “is not” for each of these two representations, as appropriate for the proposing institution, include the AOR signature and point of contact information, and attach the representation page to Field 12 of the SF-424 Research & Related Other Project Information form. The page for these representations is provided with the application materials that are available for download at Grants.gov.

Representations

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

- (1) The applicant represents that it is () or is not () a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.
- (2) The applicant represents that it is () is not () a corporation that was convicted of a criminal violation under any Federal law within the preceding 24 months.

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

OMB CONTROL NUMBER: 0704-0494
OMB EXPIRATION DATE: 11/30/2019

AGENCY DISCLOSURE NOTICE

The public reporting burden for this collection of information is estimated to average 5 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Department of Defense, Washington Headquarters Services, Executive Services Directorate, Directives Division, 4800 Mark Center Drive, East Tower, Suite 02G09, Alexandria, VA 22350-3100 [0704-0494]. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.

E. PROHIBITION ON CONTRACTING WITH ENTITIES THAT REQUIRE CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS

Agreement with the representation below will be affirmed by checking the “I agree” box in block 17 of the SF-424 (R&R) as part of the electronic application submitted via Grants.gov. The representation reads as follows:

By submission of its application, the applicant represents that it does not require any of its employees, contractors, or subrecipients seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting those employees, contractors, subrecipients from lawfully reporting that waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information

Note that: (1) the basis for this representation is a prohibition in Section 743 of the Financial Services and General Government Appropriations Act, 2015, Pub. L. 113-235) on provision of funds through grants and cooperative agreements to entities with certain internal confidentiality agreements or statements; and (2) Section 743 states that it does not contravene requirements applicable to SF-312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

VII. REPORTING REQUIREMENTS

Grants typically require annual and final technical reports, financial reports, and final patent reports. Copies of publications and presentations should be submitted in accordance with award documentation. Additional deliverables may be required based on the research being conducted.

Awardees will need to comply with the reporting requirements in 2 CFR 170: Reporting Subaward 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.

A. ANNUAL REPORTS

Submit an interim DD882 at least annually, within 60 calendar days of the end of the period of performance. Negative reports are required.

B. FINAL REPORTS

1. CLOSEOUT REPORT

Detail the full programmatic accomplishments summarized from prior reports and a forecast for ongoing program sustainability and contribution to DECUR workforce needs as the funding ends. Include, as feasible, examples of educational materials produced, success stories, accomplishments, links to digital materials, and other resultant material from the award.

2. FINAL FEDERAL FINANCIAL REPORT (SF425)

A final SF425 is required within 90 calendar days of the completion date for the term of any resulting grant(s) 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 any resulting grant(s).

3. INVENTION REPORT

Submit a final DD882 within 90 calendar days after the expiration of any resulting grant(s). Negative reports are required.

VIII. OTHER ADMINISTRATIVE REQUIREMENTS

Not applicable.

IX. FEDERAL CONTACTS

General questions regarding the Minerva Research Initiative should be directed to: <https://minerva.defense.gov/Contact/>. Many questions may also be answered at <https://minerva.defense.gov/FAQ/>.

Technical questions should be directed to:

Dr. Fiona Butcher

Basic Research Office

Office of the Undersecretary of Defense for Research and Engineering (OUSD(R&E))
and OUSD(Policy)

E-mail: fiona.d.butcher.fn@mail.mil

Questions regarding the application process should be directed to the Grants Officer listed on the cover page of this NFO. Regarding any resulting awards, questions should be directed to the cognizant Awarding Grants Officer (e.g., the warranted Grants Officer who signed the grant on behalf of the Federal Government). For post-award administrative issues that cannot be resolved by the Grants Officer, questions should be directed to the Administrative Grants Officer listed in the payment instructions on any resulting grant award(s).

Questions regarding the use of Grants.gov should be directed to either the toll-free telephone number (1-800-518-4726) or via E-mail to support@grants.gov.

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.

Applicants are advised to monitor Grants.gov for potential amendments to this Notice of Funding Opportunity. You can also elect to be automatically notified by Grants.gov whenever there is a change to the opportunity.

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.

A. FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY ACT OF 2006

The Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by Section 6202 of Public Law 110-252, requires that all agencies establish requirements for recipients reporting information on sub-awards and executive total compensation as codified in 2 CFR Part 170. Any company, non-profit agency or university that applies for financial assistance as either a prime or sub-recipient under this NFO must provide information in its application that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR Part 170 Appendix A. Entities are required to meet reporting requirements unless an exception or exemption applies. Refer to 2 CFR Part 170, including Appendix A, for a detailed explanation of the requirements, exceptions, and exemptions.

B. CODE OF CONDUCT

Applicants for grants, cooperative agreements, or other transaction agreements as applicable are required to comply with 2 CFR 200.318(c), Codes of Conduct, to prevent real or apparent conflicts of interest in the award and administration of any contracts supported by federal funds. This provision will be incorporated into all assistance instruments awarded under this NFO.

C. HUMAN SUBJECT RESEARCH

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. *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.

The following forms are required by HRPO and located under the "Related Documents" tab of this NFO on Grants.gov:

- The Human Research Protocol Submission Form
- ORP Form

Non-approval of an IRB will be subject to the Prohibition of Use of Human Subjects which will delay the start of the grant.

Animal Use Research and other activities: Research or other activities involving animals must comply with DoDI 3216.01, "Use of Animals in DoD-Conducted and DoD-Supported Research and Training", all Federal Regulations, National Policy Requirements. Animal use activities must not commence until an Institutional Animal Care and Use Committee (IACUC) and appropriate DoD Component oversight office has reviewed and approved the proposed protocol articulating the animal use activity.

Use of Recombinant DNA or Synthetic Nucleic Acid Molecules: Proposals which call for experiments using recombinant or synthetic nucleic acid molecules must include documentation of compliance with NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules (NIH Guidelines), approval from the local registered Institutional Biosafety Committee (IBC), and copies of the DHHS Approval of the IBC letter.

D. INSTITUTIONAL DUAL USE RESEARCH OF CONCERN

As of September 24, 2015, all institutions and United States Government (USG) funding agencies subject to the United States Government Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern must comply with all the requirements listed therein. If your research application directly involves certain biological agents or toxins, contact the cognizant Technical Point of Contact. U.S. Government Science, Safety, Security (S3) guidance may be found at <https://www.phe.gov/s3/dualuse>.

E. DEPARTMENT OF DEFENSE HIGH PERFORMANCE COMPUTING PROGRAM

The DoD High Performance Computing Program (HPCMP) furnishes the DoD S&T and RDT&E communities with use-access to very powerful high performance computing systems. Awardees of WHS/AD contracts, grants, and other assistance instruments may be eligible to use HPCMP assets in support of their funded activities if WHS/AD Grants Officer approval is obtained and if security/screening requirements are favorably completed. Additional information and an application may be found at <https://www.hpcmo.hpc.mil/>.

F. PROJECT MEETINGS AND REVIEWS

Individual program reviews between the Program Office, DECUR, and the recipient may be held as necessary. Department of Defense colleagues may participate in these reviews.

Program status reviews may also be held to provide a forum for reviews of the latest results from programs and any other incremental progress towards the major demonstrations. These meetings will typically be held at the Applicant's facility or in DoD facilities in the National Capital Region. Interim meetings are likely, but these will be accomplished via video telephone conferences, telephone conferences, or via web-based collaboration tools.

G. SECURITY CLASSIFICATION

OSD does not provide access to classified material under grants.

H. ORGANIZATIONAL CONFLICTS OF INTEREST (OCI)

All prospective proposers and proposed sub-awardees must affirm whether they are providing scientific, engineering, and technical assistance (SETA) or similar support to any DoD or military service technical office(s) through an active contract or subcontract. All affirmations must state which office(s) the prospective proposer supports and identify the prime grant numbers. Affirmations shall be furnished at the time of proposal submission. All facts relevant to the existence or potential existence of organizational conflicts of interest must be disclosed. The disclosure shall include a description of the action the prospective proposer has taken or proposes to take to avoid, neutralize, or mitigate such conflict. A grantee cannot simultaneously be a SETA and a research and development performer.

Proposals that fail to fully disclose potential conflicts of interests will be rejected without technical evaluation and withdrawn from further consideration for award. For additional information regarding OCI, contact the appropriate Interest Area POCs. If a prospective proposer believes that any conflict of interest exists or may exist (whether organizational or otherwise), the prospective proposer should promptly raise the issue with the appropriate Interest Area POC by sending his/her contact information and a summary of the potential conflict by e-mail to the Federal Contacts described in Section IX, before time and effort are expended in preparing a proposal and mitigation plan. If, in the sole opinion of the Grants Officer after full consideration of the circumstances, any conflict situation cannot be effectively avoided, the proposal may be rejected without technical evaluation and withdrawn from further consideration for award under this NFO.

I. MILITARY RECRUITING

This applies to domestic U. S. colleges and universities. Appropriate language from 32 CFR 22.520, Campus access for military recruiting and Reserve Officer Training Corps (ROTC), will be incorporated in all university grant awards.

J. REPORTING EXECUTIVE COMPENSATION AND FIRST-TIER SUBAWARDS

The Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by Section 6202 of Public Law 110-252, requires that all agencies establish requirements for recipients reporting information on subawards and executive total compensation as codified in 2 CFR 170.110. Any U.S. Institutions of Higher Education that applies for financial assistance (either grants, cooperative agreements or other transaction agreements) as either a prime or sub-recipient under this NFO must provide information in its proposal that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR 170.220. This grant and any subawards are also subject to 32 CFR Part 32.

K. NDAA SECTION 889 COMPLIANCE

See Section 11 of the National Policy Article IV. Other national policy requirements. (September 2020) Section A. Cross-cutting requirements, of the DoD R&D General Terms and Conditions September 2021.

XI. SPECIFIC INFORMATION REGARDING MINERVA

A. EXPECTATIONS FOR MINERVA RESEARCHERS

1. PROJECT MEETINGS AND REVIEWS

In addition to an annual Minerva-wide program review held in the Washington, DC area, individual program reviews between the Service sponsor and the performer may be held as necessary. Program status reviews may also be held to provide a forum for reviews of the latest results from experiments and any other incremental progress toward the major demonstrations. These meetings will be held at various sites throughout the country. For costing purposes, potential recipients should assume that 40% of these meetings will be at or near the appropriate Service Headquarters in the Washington, DC area and 60% at other contractor or government facilities. Interim meetings are likely, but these will be accomplished via video telephone conferences, telephone conferences, or via web-based collaboration tools.

2. RESEARCH OUTPUT

All Minerva research is unclassified and by Federal policy is not subjected to any restrictions on publication or participation by foreign nationals. It is expected that copies of all products emerging from Minerva-supported research, such as academic papers, will be shared with the Minerva program staff.

Publications should acknowledge Minerva Research Initiative support through language such as:

“This project was supported through the Minerva Research Initiative, in partnership with [relevant Service partner issuing grant] under grant number [award_number].” Posters and other publications should include reference to the Minerva program and/or Minerva program logo.

Over the course of the project, Minerva researchers are encouraged to produce 1000-word analytical summaries articulating the broader relevance of the findings

presented in these academic papers, that could be shared within the government and/or others interested.

B. BASIC VS. APPLIED RESEARCH

Work funded under a NFO may include basic research and applied research.

As defined therein the definition of fundamental research, in a DoD contractual context, includes [research performed under] grants that are (a) funded by Research, Development, Test and Evaluation Budget Activity 1 (Basic Research), whether performed by universities or industry or (b) funded by Budget Activity 2 (Applied Research) and performed on campus at a university. The research shall not be considered fundamental in those rare and exceptional circumstances where the applied research effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the grant.

Pursuant to DoD policy, research performed under grants that are a) funded by Budget Activity 2 (Applied Research) and NOT performed on-campus at a university does not meet the definition of fundamental research. In conformance with the USD (R&E) guidance and National Security Decision Directive 189, WHS/AD will place no restriction on the conduct or reporting of unclassified fundamental research, except as otherwise required by statute, regulation, or Executive Order. For certain research projects, it may be possible that although the research being performed by the Grantee is restricted research, a sub-awardee may be conducting fundamental research. In those cases, it is the Grantee's responsibility in the application to identify and describe the sub-awardee unclassified research and include a statement confirming that the work has been scoped, negotiated, and determined to be fundamental research according to the Grantee and research performer.

Normally, fundamental research is awarded under grants with universities. Potential prospective proposers should consult with the appropriate program Technical POCs to determine whether the proposed effort would constitute basic research or applied research. Minerva funds basic, not applied, research.

C. SPECIFIC MINERVA RESEARCH INITIATIVE TOPICS

The following Minerva topics indicate domains of inquiry relevant to the Department of Defense. Interest areas are not mutually exclusive and proposers are not limited to the questions, scope, or regions listed. Researchers should aim to balance the specificity of their proposed research with the generalizability of the expected results. The Minerva Research Initiative is particularly interested in applications that align with and support the National Defense Strategy.

In framing applications, it is important to articulate the basic science contribution of the research proposed, and how its theoretical and methodological approach is generalizable such that it could influence how similar problem sets are approached in

the future. Applications that reflect basic research and engage PME students research on the strategic priorities in this document may be reviewed more favorably (See Section V for application evaluation criteria).

Applications may leverage existing data or, with justification, collect new data. Preference may be given to studies by experts capable of analyzing source material in the original languages and to studies that exploit materials that have not been previously translated. The DoD also values geospatially-referenced data across multiple geographic scales gathered in the course of research. It is expected that collecting viable empirical data relevant to context and situation may require field research, which is looked upon favorably.

Researchers are encouraged to incorporate novel research methods. Well-theorized models linking micro and macro analyses and cross-method approaches, such as simultaneously using both inductive and deductive analytic strategies, and qualitative and quantitative methods are also of interest. applications should be fundamentally rooted in the existing social science research literature and have a clear basic science component that describes the future utility of the insights the research will generate for social science.

In framing any Minerva application, it is important to articulate the basic science contribution of the research proposed. It is expected that all applications will have sufficient area and subject-matter experience to appreciate the nuances of diverse local contexts—including the (ethical) challenges posed by different value systems—and proposers are strongly encouraged to review the 2019 Future Directions in Social Science report on the Emergence of Problem-based Interdisciplinarity as a reference for the program’s strong interest in supporting projects that are disciplinarily diverse and committed to addressing problems in innovative ways. It is also expected that applications utilize both qualitative and quantitative approaches and include validation strategies of the research findings and potential impacts. Further, the program is interested in how the theoretical and methodical approach of the proposed research is generalizable such that it could influence how similar problem sets are approached.

Furthermore, there is strong interest in research applications partnered with Historically Black Colleges and Universities/Minority Institutions (HBCU/MI) and other appropriately diverse teams, such as Professional Military Education Institutions, especially as they contribute different perspectives on the social dynamics of the challenges posed below.

1. TOPIC 1: SOCIAL IMPLICATIONS OF ENVIRONMENTAL CHANGE

POC: Fiona butcher, OUSD-R&E, Basic Research Office,
fiona.d.butcher.fn@mail.mil

There is strong scientific consensus that climate and environmental changes across the earth’s ecosystems will result in ever-increasing uncertainty, surprise, and undesired outcomes. Understanding the convergent dynamics of human

behaviors, environmental changes, and their social implications is critical. Current and future security threats associated with climate change, for example, can be hard to anticipate because productive models must capture the deep interdependence and cascading risks of both earth system stressors—climate, water, food, etc.—and also economics, political regimes, and health systems/disease outbreaks that can be conceptualized differently by different cultural systems. Thus, there is a strong need to develop precise, data-driven future scenarios within the contexts of social science as they apply to catastrophes, particularly variables that involve discontinuous, variable, and/or exponentially accelerating events. Accepting climate and environmental change as a national security challenge, this topic seeks to explore the multifaceted social implications of environmental change. The focus here is not on questions of if climate change causes conflict, but rather how stresses to various earth systems—such as climate change, land-system change, freshwater and ocean stress, etc.—impact social behavior, governance, fragility, and stability, and vice versa. As migration and population movement are likely to continue on varying scales, questions about the absorptive capacity concomitant with the tensions of social integration and acceptability are likely to be relevant. Of central emphasis should be how shifts in ecological systems impact people locally—across micro-, meso-, and macro-levels—and how this shifts social dynamics, with data being disaggregated by gender, income, status within society, and other locally-relevant indicators of the experience of the changing environment.

Specific foci may include, but are not limited to:

- How the (biophysical) environment interacts with other factors (e.g. policies, social norms, perceptions) to influence migration decisions and the consequent social, political, and economic dynamics, including challenges of integrating increased cultural diversity in receiving countries and strain on natural resources;
- Objective challenges of social integration (e.g., beyond demeaning one group in face of another) and variables that determine success or conflict; what are the limits of dominant global frameworks to adapting to these tensions brought through diversity and difference;
- How environmental transitions impact population growth, distribution, and gender dynamics, and how such shifts impact local dynamics; e.g. how do countries, governments, institutions, and extremist organizations adapt to such stressors;
- The implications of various types of environmental change on the ability of both state and non-state groups to organize, mobilize, strategize, govern, etc., considering the geographic areas or pathways where the cumulative effects over time lead to growing grievances that may subsequently lead communities to take action in some form;
- The social implications of unevenly distributed environmental impact—e.g. sea level rise, fresh water availability, changes in fisheries, agricultural viability, etc.—exacerbates shifting opportunities and challenges of cultural tensions across the status quo;

- Designing multi-disciplinary approaches to forecasting that bridge ecological and sociological/anthropological analysis of local problems relative to local, national, regional, and/or global tipping points. This should include the correlation of data from plausible, downscaled climate model outcomes—abrupt “shocks” as well as slower system changes—with local dynamics of stability and social disruption, alongside an appreciation of great power and other levels of competition perspectives on the salient problems, threats, needs, and opportunities;
- How ecological and social change interacts with the emergence and spread of new infectious diseases, epidemics, and more contagious variants—such as urban encroachment that increases interaction with wild species and the chance for zoonotic transmission—and how such threats impact social relations and cohesion, focusing on the potential security impacts of such social shifts;
- How to think more creatively, collaboratively, and holistically to influence social behavior and resilience aimed at addressing the challenges posed by earth system stressors that are experienced with uneven urgency and understood and perceived through culturally diverse frames. This includes how beliefs about environmental causes change group identity; how global environmental changes may affect rules-based international systems; and how institutions and their structures may respond and adapt to the challenges associated with environmental change.

2. TOPIC 2: RESOURCE COMPETITION, SOCIAL COHESION, AND STRATEGIC CLIMATE RESILIENCE

POC: Fiona butcher, OUSD-R&E, Basic Research Office,
fiona.d.butcher.fn@mail.mil

Climate and environmental change is a defining global challenge with significant potential to reshape future security and stability, including but not limited to mass migration, fragility, infectious disease, water scarcity, famine, energy challenges, as well as new opportunities. As such, it presents both global systemic risk to local and national social structures and a broader threat of societal rupture instigated by both slow- and rapid-onset climate events and shifts in the types and availability of critical resources. Understanding the plurality of local-scale perceptions, the social construction of belonging, and group cohesion alongside the interconnectedness and adaptability of complex societies will be central to understanding the possibilities of varying institutional structures to adapt to likely future scenarios. Key to this will be not only novel ways of analyzing the problem but a fundamental approach to appreciating the socio-geopolitical impact of solutions aimed at adapting, mitigating, and preparing for such scenarios, many of which are unfolding before us. In many respects, this represents a problem of system complexity wherein second- and third-order causes need to be appreciated to understand impacts and opportunities. Thus, in considering climate resilience, attention should be given to understanding what differentiates resilient

communities and countries from those that are less resilient, and empirically-identifying both formal and informal strategic adaptation strategies.

Specific foci may include, but are not limited to:

- Quantifying and identifying the impacts on group solidarity and social cohesion brought about by events of environmental change—including economic, political, health, etc.—that demonstrate an appropriately nuanced social theory of group dynamics at different scales. Related to this, how are non-Western theoretical frames used to explain social behavior and what are the implications of economic disparity and unevenly distributed opportunity?
- How do dynamics around local provisioning and regulation of ecosystem services, resource access, and livelihood security affect stabilization campaigns, and how might such dynamics evolve under different types of influence or information (patterns)?
- What is the range of ways that peer and near-peer adversaries manipulate environmental conditions and messaging to their strategic, operational, and tactical advantage?; How might institutional structures—including those of great powers, other levels of competition, and international cooperative organizations—respond to social, economic, and environmental stress and what are the likely cultural, political, and world-order implications posed by different approaches and tensions between the need for multilateral cooperation in the face of growing discontent with globalization?
- How does perceived or realized resource competition influence thinking about escalation and deterrence, and how does climate change portend to reshape great power and other levels of competition around the availability of resources?
- How does economic interdependence and the role of alliances in burden-sharing help or hinder the management of environmental challenges; this includes a typology of environmental change impacts at different scales—including resource scarcity (current and future) and disease events—on economic sectors, vital supply chains, and how both circular and integrated economies are potentially impacted by the social and political responses to local environmental change; How do we build strategic climate resilience and understand empirically when we are doing so (effectively or less effectively)?
- How should we understand cumulative and cascading risks and the drivers of mega security emergencies and how do we establish metrics of success in order to determine the most appropriate adaptive strategies in the short-, medium-, and long-term? Which sub-indicators of adaptive capacity and resilience give governments the greatest return on their investment? Which would be most impactful and longest lasting?
- How does geography and population density influence how the problems are conceptualized and how might rapid shifts in societal perceptions of climate change influence political action and affect decisions about investments in resilience?

3. TOPIC 3: SECURITY RISKS IN UNGOVERNED, SEMI-GOVERNED, AND DIFFERENTLY-GOVERNED SPACES

POC: Fiona Butcher, OUSD-R&E, Basic Research Office,
fiona.d.butcher.fn@mail.mil

This topic aims to support research to understand topical areas related to quantifying and describing vulnerabilities to sociopolitical instabilities in physically and virtually contested spaces that lack strong governance infrastructures and to understand the dynamics of great power and other levels of competition in influencing these spaces. The emphasis is on building scientific understanding about how these ungoverned / semi-governed / differently-governed spaces evolve, the behavioral norms and social reinforcement that sustain them, and the consequences for the nation and world from a cross-national perspective. How does competition for control over these spaces affect the global balance of power? There are three domain spaces of particular interest: (1) Regions undergoing transitions in governance (e.g., areas of the Middle East, Africa, Eurasia); (2) Spaces subject to rapidly evolving and varying degrees of international conflict and governance (e.g., cyberspace); and (3) Areas in which international laws are undergoing shifts (e.g., outer space, polar regions, deep sea, and international waters). These diverse types of domains represent contested or potentially contested regions in which social structures, particularly governance (both formal and informal) and political structures, are increasingly unpredictable and pose security risks. Many of these contested regions are repositories for high-demand, valuable resources, and social control implies resource control. Additionally, technology has facilitated more complex (emergent) access to these semi-governed domains. For example, outer space, cyberspace, polar regions, and deep sea areas are all dominated by informal structures and perceptions of control yet are characterized by a lack of comprehensive formal law and universally agreed-upon governance structures. This topic also seeks insight on how different nation states are formulating policy and governance structures related to these ungoverned / semi-governed / differently-governed spaces and how governance performs following acute perturbations such as crises.

These spaces pose substantial risks of illicit activity, international conflict, violence, and threats to national security and global social order, and thus this topic seeks to better understand the dynamics of fluid or shifting governance and their implications in a wide range of other types of similar spaces (i.e., geographical, technical, environmental). Additional foci include considerations such as: How do state and non-state actors organize to control regions of limited formal governance? What are the dynamics between informal and formal governance? What variables are more or less functional in determining resource control and how they are exerted? What are the implications for surrounding territories? Can related national security risks be identified? Specifically, data and experience in a variety of geographic regions should be leveraged to apply similar and divergent variables and processes. Mixed-method approaches that integrate qualitative and quantitative analytic strategies are encouraged, as are multi-

disciplinary theoretical approaches that facilitate the development of causal models and robust validation methods.

Specific foci may include, but are not limited to:

- Evolving sociopolitical and economic structures in currently contested geographic regions (including for example regions of the Middle East, Africa, Eurasia), especially those looked at comparatively and across different scales;
- Effects on control of these spaces on the global balance of power;
- Balance between state and non-state actors as well as formal and informal social and normative controls;
- Resource control (e.g., mineral, natural, technological) in contested regions on earth or in outer space;
- Emerging governance structures and markets in ungoverned / semi-governed / differently-governed spaces, especially those approaching questions of managing the commons in novel ways;
- The management of data rights, especially the challenge of the uneven governance of data where different countries apply different value systems in managing data;
- What potential economic opportunities inform future changes in the relative value of different types of engagements and how might opportunities cause changes in coalition partners as well as evolving sources of instability?

4. TOPIC 4: ANALYSIS OF FOREIGN INFLUENCE OPERATIONS IN CROSS-CULTURAL PERSPECTIVE

POC: Rebecca Goolsby, Office of Naval Research, rebecca.goolsby@navy.mil

Over the past decade, several dominant Asian nations have accelerated efforts to extend their spheres of influence globally. The strategic approach in these efforts has varied across targeted geopolitical regions and time. Research has lagged in studying important strategic regions in Asia, Africa, and Latin America. A successful proposal will include only one of these regions, and no more than three nations within that region, in order to get to the desired depth of study. The topic seeks multidisciplinary theoretically innovative approaches from disciplines such as anthropology, cross-cultural sociology, political science, political economy, and cross-cultural social psychology, working in collaboration with computer and information sciences to develop a social science-forward approach to the development of social theory and the creation of new techniques needed to carry out a systemic analysis of social influence in online and offline cross-cultural milieus, cyber-social dynamics, narrative, and in languages other than English. Real-world influence efforts should also be studied along with cyber-social efforts, to better illuminate how real-world and cyber-world efforts converge, cohere, and amplify one another. The development of useful metrics of impact on single and multiple platforms is also a desired deliverable from this research. An important aim of this project will be to better understand the motivations and strategies of international influence campaigns on target states and the development of new approaches to counter these efforts, including proactive and

reactive strategies by the U.S. and her allies for messaging activities and other cyber-social efforts, as well as economic and other real-world approaches to (counter) influence.

Successful proposals will demonstrate expertise in the nations chosen for study, including language competence, and will indicate their impact with reference to U.S strategic concerns. The analysis will be restricted to non-classified sources, including scholarly publications, media outlets, interviews with local actors, and where possible, ethnographically-grounded qualitative work in the targeting and targeted states. International partnerships are acceptable and encouraged.

A number of specific questions and issues are of interest. These are not mutually exclusive and they certainly are not exhaustive. They include the following:

- What are the broad goals driving the dominant state's efforts in extending its sphere of influence? What are the strong motivating factors, beliefs, and values that drive the influencing state's posture relative to the targeted state? How do these affect their approach?
- What are the mechanisms of influence that to date have been exploited by the influencing state, with respect to the targeted state, including any differences in the targeting of economic, military, cultural, and political sectors?
- What factors affect the success of the influencing state in these cyber-social and real-world operations? How do real-world and cyber-social operations converge, cohere, or backstop one another?
- How successful have the U.S. and her allies been, proactively or retroactively, in countering or promoting these influence operations in the last five years? What were the strengths and weaknesses of these efforts during that period? Where can the U.S. rapidly and definitively improve in countering and diminishing these influence operations?
- How does cyber-social influence of influencing states impact the stances and opinions of elite decision-makers? How does cyber-social influence impact local communities in their relationship with the influencing state? In their relationship with their own states? In their relationships with other communities within the state?

5. TOPIC 5: COMMUNITY STUDIES ON ONLINE AND OFFLINE INFLUENCE

POC: Rebecca Goolsby, Office of Naval Research, rebecca.goolsby@navy.mil

In social science, community is understood as a social unit with perceived commonalities such as a shared sense of culture, norms, values, religion, status, identity, etc. This may lead individuals to work together to organize social life within a particular space and it may bind people together by a sense of belonging sustained across time and space. Those bounded by a particular space are sometimes called “local communities” or “real-world communities,” yet with increased global mobility, emerging forms of information transmission, and a heightened polarization of ideas, questions of what holds groups together—both locally and translocally—appears under stress. Today, as novel forms of social

groupings evolve around social-cyber mediums of exchange, questions emerge about the online and offline influence on group affinity, identity, and affiliation, and how this impacts both human and national security.

While there is a vast literature on community and society, how communities are formed and get (re)imagined, and the evolving and sociologically transformative role media plays in shaping social interaction, this topic is interested in the contemporary nature of “local” community—including traditional and “modern” conceptions—and what binds it across different cultural milieus—both rural and urban—and the cyber-social influence carried out online and offline. The formation of new identities and stances may be hidden—such as with some ethnic nationalist or other extremist identities— or overt, depending on the kinds and types of (local) social support. When these new identities and stances become public and operationalized, communities often face significant threats to civil order and to the ability to develop consensus to local concerns, especially as related to managing the commons. Local communities, after all, are critical to understanding the real-world expressions of influence and subsequently serve as markers for stability across micro-, meso-, and macro-scales.

This solicitation expects proposals to involve social scientists, media researchers, area specialists (as appropriate) working with information and/or scientists to develop their approaches. Ethnographic work, real-world surveys, expert interviews, focus groups, and experiments may be used together with computational work in the measurement and characterization of online communities and their impact on the real-world. A successful proposal should combine the real-world study of human behavior with the study of cyber behavior in a diversity of local social contexts, investigating how social media engagement and participation in new (imagined) social worlds result in the formation of different identities, beliefs, and behaviors that have significant implications for social stability within different systems of governance. Successful proposals will (1) study local community and social-cyber community to improve understanding of “hard influence”—influence that promotes the development of fissures in society, such as the promotion of hate, group polarization, public health disinformation, and conspiracy theory; (2) consider the role of real-world communities and social-cyber community counterparts in “soft influence”—constructive, positive narratives, and social rewards that aim to create cohesive, well-functioning communities; (3) explore the online and offline social-cyber implications on group formation in different cultural contexts; and (4) look at how social-cyber space shapes conceptions of individual prioritization and group cohesion as it relates to local stability, security, and the social contract (across different cultural and political contexts).

Specific foci may include, but are not limited to:

- How does/can real-world community temper and constrain the at-times destructive and anti-social aspects of social-cyber influence?

- How important are cyber-social relationships—such as parasocial relationships with influencers—in escalating individuals toward performative or violent extremism?
- What can communities do to preserve civility, social cohesion, and social functionality, at local, regional, and national levels? What combinations of solutions need to be enacted in the real-world communities to improve civility, social cohesion, and counter “hard” influence?
- Are there methods or algorithms that platforms could or should use to prevent the creation of toxic and viral techniques as applied to conspiracy and rumor propagation and disinformation? What combination of solutions needs to be advanced to help responsible cyber-communities and individuals fight disinformation and other influence techniques intended to promote group polarization and shape the platform’s social dynamics to viralize hard influence content?
- What is the role of news agencies, legitimate and less legitimate, in viralizing disinformation and group polarization? What measures could be taken to reduce their role in the amplification of disinformation, rumor, and group polarization?
- How can “hard influence” and “soft influence” be measured in online communities? How can attempts to counter hard influence be measured in terms of impact? What metrics can be achieved in the online community that describe, predict, or characterize its potential impact in local community settings? How can survey or focus groups be used to measure the impact of online worldviews on the worldview of local community members and groups?

6. TOPIC 6: COMPUTATIONAL SOCIAL SCIENCE RESEARCH ON DIFFICULT-TO-ACCESS ENVIRONMENTS

POC: Fiona Butcher, OUSD-R&E, Basic Research Office,
fiona.d.butcher.fn@mail.mil

With the exponential increase in available data, computational social science has emerged as a field with the potential to transform understandings of the social world. For computational social science to reach its potential in helping address real-world problems, new collaborative public-private arrangements, data infrastructures, and university organizational challenges must be addressed, alongside measured consideration of the social, ethical, and legal factors across societies with different cultural, ethical, and institutional norms. One challenge of any heavily quantitative approach, however, is to assure that it is qualitatively grounded and ethnographically representative of the diverse lived environment under consideration. Of particular interest for this topic is the use of computational social science to enhance research understandings of difficult-to-access environments—ranging from enduring conflicts to societies that broadly restrict researcher access—where qualitative work can be more difficult. Proposals are encouraged to consider new models of collaboration, innovative experimental design and data analysis, and explore novel relationships between

theory and experiment. It is expected that validation strategies will draw upon available qualitative data, but may also include experiments that specifically target gaps in our understanding.

Specific foci may include, but are not limited to:

- How to understand community diversity and the sociocultural impacts of repressive regimes on diverse populations; i.e. how to know what is happening on the ground when on-the-ground research is not possible;
- How to understand socioeconomic complexity related to problems of inference, such as geopolitical intent, emerging technology development, and novel capabilities;
- How to disaggregate social and behavioral complexity to better understand individuals, groups, networks, and societies in relation to stability and commitments of belonging;
- How to understand digital civil society; digital self-governance; the effects of e-governance; mistrust of the state and the implications of fractured governance at various levels; and the provision of public goods in traditional and non-traditional ways;
- How to apply computational social science methods across different epistemological approaches.

7. TOPIC 7: SOCIAL AND CULTURAL IMPLICATIONS OF ARTIFICIAL INTELLIGENCE

POC: Laura Steckman, Air Force Office of Scientific Research,
laura.steckman.1@us.af.mil

Artificial intelligence (AI) and related technologies, such as machine learning, offer both promises and challenges to resolving some of the world's most complex problems. Numerous international leaders have indicated that the nation that can best harness AI and AI-enhanced capabilities will wield great power and have the global advantage. Regardless of whether possessing AI capabilities equates with power, the world finds itself in a race to develop and deploy these technologies; over thirty nations now have national AI strategies published or drafted in addition to a growing number of bilateral, multilateral, and other international AI roadmaps. As part of this race, people, companies, and governments around the world are testing algorithms and systems for purposes ranging from the prosocial to profit. As many of these technologies go online, their reach may not be contained to a specific population or locality, either purposefully or unintentionally, nor will they be constrained by social or political borders. The implications of AI and technologies that spill over to unexpected people, places, and societal sectors raise fundamental questions about those technologies and the effects or changes they may create.

During the history of AI, the science and research have been subject to long-standing critiques from cultural and philosophical lenses. The converse approach, however, understanding how culture, philosophy, and ideology directly shape AI development from planning to execution, to include how those practices shape the

technology's [un]intended effect(s) on populations or places that may not be co-located with the developers, has received little inquiry. While there is some agreement, particularly from humanistic and other social disciplines, that AI and similar technologies are themselves part of a larger socio-cultural endeavor wherein the people who develop them come from social traditions that influence their approach, the specifics of how those social—as well as cultural and ideological—experiences affect technology conceptualization, development, and deployed effects is not well understood. This topic seeks to support research that uncovers and elucidates the role of cultural and social practices on the technological lifecycle and ultimately, whether and how AI and AI-enhanced capabilities affect end-user populations who may not be the technology's anticipated consumer base.

Empirical questions that the research should consider include inquiries into:

- To what extent do social and cultural practices become intertwined in the process of algorithmic and technology development?
- How do different ideologies, worldviews, or thinking styles inform technology development, and what impact do they have?
- How does local knowledge translate into AI and machine learning development? What is the relationship between local and global knowledge that may be encapsulated into emerging technologies, and what happens when they exhibit differences or contradictions?
- How does AI informed by specific social and cultural contexts affect people or systems in other cultural contexts? What are the implications, and which, if any, are more impactful than others?
- How do we understand the impact that a technology developed from a specific cultural standpoint has on peoples and groups with different worldviews? Do these impacts, if any, change in specific contexts, such as humanitarian assistance/disaster relief, security cooperation, or during times of local unrest?
- To what extent do social and cultural differences affect ethics and ethical considerations of AI and AI-enabled technologies? If they make an impact, what is it, and how do cross-cultural differences support and/or challenge the future of technology development and deployment?

8. TOPIC 8: HUMANS AND OUTER SPACE

POC: Laura Steckman, Air Force Office of Scientific Research,
laura.steckman.1@us.af.mil

The US revised its national space policy in December 2017 to reinvigorate its space program and, more specifically, to “lead an innovative and sustainable program of exploration with commercial and international partners to enable human expansion across the solar system and to bring back to Earth new knowledge and opportunities” from the Moon, Mars, and beyond. Achieving this vision requires significant preparation through prioritization and partnerships to plan for the technological, environmental, and human requirements of space exploration.

Missions in the space domain will require the development of new knowledge that considers the environmental, technological, informational, and human aspects involved with space missions separately and holistically. Space security will be paramount to ensure that the space domain remains stable, accessible, and peaceful. Different nations have announced various objectives for and in space, with some having short-term goals and others some more specific, long-term plans. For this reason, space will be a domain involving both cooperation and competition that may occur simultaneously or separately. Space management will require new processes and policies to address issues such as traffic, waste, and sustainability. It will also raise new questions about the allocation and labor of human-autonomous teams in a dangerous, harsh environment; in addition, AI and robotics may play specific roles. The human dimension of space will involve psychological, cognitive, emotional, (neuro-) physiological, and social processes that may be altered, reinforced, or even disrupted to adapt to long-term exploration. For example, in addition to the physiological effects of microgravity, the sociocultural effects of remoteness, distance, disconnectedness, and [im]perceptions of time may play important roles in human performance and experience.

This topic seeks innovative, multidisciplinary research to inform preparations for future space travel and human expansion across the solar system with particular interest in research that considers the multilayered, multidimensional requirements for successful short- and long-term missions. Research projects must examine the human dimension at a minimum, with a preference for research that considers space's psychological, cognitive, and/or social human aspects and requirements with one or more other dimensions such as the sociopolitical, technological, environmental, and/or informational dimensions.

Research topics of interest include but are not limited to addressing:

- International space relations that consider how to balance security and competition with the [perceived] need for collaboration, trust, and transparency;
- Sustainability in space: what does it mean and entail? What processes and policies are required to build sustainable systems and systems of systems?
- The concepts of remoteness and distance and the impact they may have on people, processes, and systems in space;
- Processes surrounding the development or evolution of cultural and social identity in diverse, remote, or isolated environments;
- Exploring similarities and differences, if any, that exist for autonomous systems, including human-machine teams, on Earth and in space;
- Sociocultural effects on human performance of the physical space environment and its associated social and physiological demands/implications.

9. TOPIC 9: MANAGEMENT AND INFORMATION IN THE DEFENSE ENVIRONMENT
POC: Fiona Butcher, OUSD-R&E Basic Research Office,
fiona.d.butcher.fn@mail.mil

This topic evolves out of the Department's emphasis on Defense Reform as a pillar of the National Defense Strategy, the continual identification of DoD management activities on the GAO's High Risk List, and the 2018 Future Directions Workshop on the intersection of Management and Information Sciences and its corresponding report on the Emerging Sciences and Their Applicability to DoD R&D Management Challenges. Management science and information science emerged in response to particular organizational needs: management science to the global scale of military and industrial global operations and information science to the growing presence/influence of digital data in contemporary society. Each of these two sciences afford rich opportunities to fundamentally understand and provide insights into management and information challenges facing DoD as it seeks to modernize and reform its management and business practices, and make better use of its management data collection and analysis capabilities. This topic seeks to explore how management and information science can contribute to understanding organizational structures and the challenges to and opportunities in efforts to modernize DoD management, scientific, and bureaucratic processes and ecosystems. Research activities will also help elucidate what data sets and sources should be made available to researchers by the DoD to support further constructive engagement with the management science and information science academic community.

Motivating research questions and issues that can be addressed include, but are not limited to:

- How can planning, budgeting, and financial management policies be tailored to match the speed needed to counter emerging threats and take advantage of new technological opportunities?
- How can the DoD maintain the current structure and processes needed for addressing current operational challenges while concurrently experimenting with developing alternative structures and processes needed for emerging operational challenges?
- What approaches can enable the DoD to identify fair pricing in acquisition circumstances where there is only one prime contractor and only one customer? What are the best models to establish a fair price in the absence of a true market? How can DoD identify fair prices for weapons systems and capabilities that are intended to have a deterrent effect and not intended for operational use?
- How can we anticipate and address the erosion or complete collapse of a sub-tier capability in the supply chain?
- How can we best mitigate risk aversion in complex, bureaucratic organizations such as the DoD?
- Develop models that take into account the need for strategy formulation, not just strategy execution; the challenge presented by multiple stakeholders

without a unified overarching hierarchy; the multiplicity of interests involved in any prospective change; the accelerating and highly variable rates of technological and social change; challenge of organizationally incentivizing collective interests over more narrowly-defined interests; etc.

- How can a “systems of systems” architecture be developed—and data be aggregated—that facilitates portfolio management beyond the program level; enhances Joint Force, Service, and OSD coordination and cooperation; assists the transition of research insights across the Department; etc.
- How can the DoD assess costs and impact with imperfect information, particularly as it relates to evaluating institutional inertia relative to the challenges of managing risk in an ever-evolving research and operational environment?
- Identify alternative frameworks to the current linear progression of research to understand the reciprocal relationship between the different research activities (Basic, Applied), Development, and Application to understand the development life-cycle, resource requirements, and DoD stakeholders;
- Develop sophisticated theory and models to guide the transformation of institutions into agile organizations that enable rapid adaptation of policies, priorities, and investment to maintain competitive advantage;
- Develop advanced models accounting for current federal government and industry R&D activities to create for DoD a diversified R&D research portfolio that will inform investment prioritization (lead versus support) and level (amount).