

NOTICE OF FUNDING OPPORTUNITY



DEPARTMENT OF DEFENSE (DoD) Global Competitive Analysis Notice of Funding Opportunity (NFO)

Announcement Type: Initial Announcement

NFO Number: HQ003423NFOEASD16

Assistance Listing Number: 12.630

Authority: 10 U.S.C. 4001

Anticipated Funding Purpose: WHS, on behalf of the Basic Research Office at the Office of the Under Secretary of Defense, intends to award a cooperative agreement (CA) for Global Competitive Analysis (GCA).

Key Dates: This announcement will be open for applications until the time included in Section IV, "Application and Submission Information."

- **Date Issued:** See grants.gov
- **Due Date:** See grants.gov
- **Agency Contact:** All questions should be directed via e-mail to Kimberly Hernandez at kimberly.s.hernandez6.civ@mail.mil

I. Program Description

A. Short Description of Funding Opportunity

The Basic Research Office (BRO) within the Office of the Undersecretary of Defense for Research and Engineering seeks proposals to assess and report on Global Competitive Analysis (GCA). The recipient will collaborate with the federal government to deliver comparative analysis assessing the relative science and technology (S&T) competitive balance between the United States and major global competitors. Given the breadth of the expertise and perspectives likely needed to deliver GCA products at the scale and analytic depth required, BRO expects that recipients would need to form a consortium of FFRDCs, UARCs, universities, non-profits, or other non-governmental entities. This being said, a consortium is not required and other teaming arrangements are eligible for award.

The recipient will prepare reports that assess the myriad elements of relative technology leadership, explore the implications of competitors' actions, provide a common operating picture of global technological competition, and create a forum to explore policy options. The recipient will serve as a key performer of the GCAT (Global Competitive Analysis Team), a federated interagency mechanism that brings together agencies' unique analytic capabilities in order to conduct GCA. The recipient will integrate their independent analysis with agency analysis to deliver products that are more than the sum of the parts.

The recipient will take its priorities and guidance from an Executive Office of the President-led Panel ("EOP Panel") that includes senior representation from relevant federal agencies. In the first year of the program, initial topics, currently four in number, are provided to set the direction of the recipient, with input from the EOP Panel once the Panel has been established.

The recipient is expected to have capability in all of the sub-elements described in Section C. However, to diversify the analysis and ensure that multiple views are represented in each GCA product, the recipient is expected to continuously identify and include external/additional performers possessing strong capabilities in a subset of the described elements, as necessary.

B. Background

To succeed in technological competition, an understanding of U.S. strengths and weaknesses relative to those of its competitors is foundational information. While policymakers often request direct comparisons between U.S. and global competitors' technological capacity and capability to inform their critical national security actions, no single organization within the USG is empowered to deliver holistic comparisons of the relative competitive dynamics. Furthermore, additional processes and tools are required to describe competitive dynamics from a national security perspective, to include economic, military, and societal well-being angles. While the Intelligence Community (IC) is often asked to provide 360-degree examinations of global competition, by custom it does not assess U.S. technological capability.

This gap in knowledge and understanding of the competitive global landscape can lead to missed opportunities to create the desired future, to advance U.S. principles, and to seize asymmetric advantages. Further, this gap can also complicate our ability to understand the implications of potential policy actions, contributing to reactive policy formulation that does not fully anticipate second- and third-order consequences that arise from the complicated nuances and

interdependencies within the global technological system.

Global Competitive Analysis is envisioned to mitigate those gaps by establishing a strong interagency federation, complementing individual agencies' capabilities. The recipient's reports shall examine at least three main pillars of the global competitive environment. The first pillar focuses on countries' S&T *policies* that influence investment priorities, guide foreign relations and investment, create business opportunity, and secure societal wellbeing. How those policies compare, compete, and influence other countries' actions requires additional research. The second pillar is the current status, relative importance, and trajectory of the myriad elements of the *S&T ecosystem*. Those include elements such as talent development, retention, and retraining; basic and applied research priorities; diversity, IP, and venture capital; as well as cultural elements, to name just a few. Assessment of the relative importance of these elements for the competitive topic under consideration is critical. The final pillar is analysis of the *technologies* themselves. Expected elements of technology analysis include the current state and likely trajectory of a technology, the supply chains and other elements that enable the technology, and its implications on security. A GCA analysis must diagnose the critical factors within each pillar as well as the key features of the interactions among policies, S&T ecosystems, and technologies. It must also seek to illuminate how U.S. competitors view the competitive landscape across and within these three pillars and to highlight any meaningful asymmetries in our respective views.

These pillars provide an overarching framework to understand the analytical mission anticipated for the recipient. Depending on the topic that the recipient is analyzing, some aspects of each of these pillars may be more applicable than others. Expanding on these three analytic pillars, the recipient's products shall deliver background information that includes:

- Technology Anticipation – Quantitative and qualitative techniques to predict the likely trajectory of technology evolution, identify new opportunities, and avoid surprise.
- Dependency Mapping – Continuous tracking of interdependencies in the S&T environment to enable evidence-based identification of competitive advantages and chokepoints, and assessment of second-order consequences for USG policy actions.
- Innovation Ecosystem Analysis – Metric development and long-term monitoring of all the enabling elements that make a country a technological leader.
- Opportunity Analysis – Creative gaming of new competitive strategies or policy actions by using scenarios or tabletop exercises.
- Long-term Analysis – Strategic analysis that may underpin a decades-long vision for US technological leadership that transcends government cycles.
- Emulative Analysis – Analysis that seeks to understand the competition from the point of view of U.S. competitors or other key actors.

Given the breadth of the analytic landscape and the paucity of current information, judicious selection of initial topics is critical. After the white paper stage of application, proposers with highly rated white papers will be asked to respond to sample topics prepared by the EOP Panel and describe in detail how they will apply the elements requested in Section C to specific topics.

After standup, the recipient's analytic priorities shall be guided by the EOP Panel consisting of senior leaders from EOP and relevant agencies. The EOP Panel priorities will be influenced by

policy and security concerns and take into account the input and needs of EOP, agencies, departments, as well as topics identified by the recipient. Research topics are expected to arise from questions that span multiple agencies' equities and/or require interagency cooperation to gather and analyze relevant data. The recipient will, in many cases, provide the initial analysis and report, and, as appropriate, integrate agency analysis to provide holistic and candid assessments of the relative status of global competition.

C. Program Description/Objective:

Recipient reports shall be released at the lowest classification level possible with the goal of generating the majority of studies at the unclassified level. It is necessary for some, but not all, recipient members to have existing access to, and ability to process, unclassified and classified U.S. government information to ensure that GCAT's unclassified products (derived, for example, from all open-source information) are consistent with understanding derived from classified sources. It would be advantageous, but not necessary, for recipient members to have approval to access and process unclassified and classified U.S. government information.

The Seven Elements of Global Competitive Analysis

1. GCAT and product flow management

The goal of this element is to support the EOP Panel in 1) managing the operation of the recipient and 2) supporting the interagency process that will produce GCA products. The GCA Recipient will form analytic teams composed of Recipient members, external subject matter experts, and agency partners as appropriate; coordinate production of integrated GCA products that include relevant agency and Recipient input; assist the interagency in producing draft GCA products; provide day-to-day logistical and analytic team support; track product status; and provide updates.

DELIVERABLES

1. The recipient will work with the EOP Panel to develop processes for ingestion of tasks, adjudication of tasks to bound key questions, form appropriate teams, incorporate agency input, track writing team progress, identify possible barriers during review and rapid publication, and inform the EOP Panel of production status. The recipient will manage those processes under EOP oversight.
2. The recipient will work with the EOP Panel to scope analytic priorities that address government and agency needs.
3. The recipient will track the progress of studies and regularly interface with the EOP Panel to ensure that GCA products are timely and responsive to KCQs.

The recipient will be responsible for managing various data and analytic inputs into GCA products, and for identifying recipient needs around data or analytic tools which are not otherwise met by recipient participants. In general, the government expects open-source data to be critical for GCA products, and that the recipient's work will be in alignment with, and in furtherance of, federal efforts to expand utilization of open-source information. The recipient may need to serve as a data resource center for GCA participants and will need to appropriately incorporate data or tools that are uniquely available to some members/performers. This will at times require access to information that is classified or other otherwise restricted (such as

Controlled Unclassified Information (CUI)). For such information, proper controls would need to be in place for the handling and protection of the protected information. However, ability to handle classified or CUI material is not a prerequisite for all Recipient members and will be dictated by the needs of individual products and KCQ's.

4. The recipient will propose a data management and maintenance plan that serves the need of the Recipient. The plan will follow all applicable laws and policies governing the storage, use, and privacy of data. Elements could include evaluating data needs on a persistent or periodic basis, access and license control methodologies, methods for maintaining data security, and persistent efforts to make data accessible and usable through cleaning, translation, and curation. The plan should enable the reanalysis of earlier data incorporating new information, should the need arise. Proposals that focus on creating a data archive alone will not meet the objectives of this element.
5. The recipient will propose mechanisms, in coordination with federal leadership, to maintain situational awareness of USG government data holdings and private data sources with relevance to GCA analysis.

2. Deliver Global Competitive Analysis Products

The goal of this element is to deliver written analysis that directly compares the science and technology capability of the United States and global competitors across multiple domains of technological competition in the near-, mid-, and long-term horizons. As outlined above, key analytic pillars include policy, S&T ecosystem, and technologies.

DELIVERABLES:

1. The recipient will propose a structure, analytic methodology, and an in-house analytic capability development plan that enables delivery of policy-relevant GCA products responsive to KCQs. It will directly interface with the EOP Panel for guidance and work priorities. The recipient may also propose analytic projects to the EOP Panel for consideration by the interagency.
2. The recipient will propose and develop mechanisms, in coordination with the EOP Panel, to interface with relevant federal agencies that either have or are building internal capability which are aligned and synergistic with the goals of GCAT, and to incorporate federal analysis into analytic products.
3. The recipient will propose mechanisms to interface with the intelligence community to maintain awareness of their assessments on foreign actions and actors. To the maximum extent possible, GCA products will rely on open-source information and be at the lowest classification level possible. However, it is possible that some products will be classified, or classified in part, depending on the needs of the KCQ.

The recipient will propose and execute a process to address potential topics. After the white paper stage of application, proposers with highly rated white papers will be asked how their methodology would be employed to address sample topics prepared by the EOP Panel.

3. Subject matter expert outreach

Engagement with subject matter experts in industry, academia, and allies is critical to inform GCA products. Building a coalition of engaged scientists and global technology leaders will

provide context, create valuable information flows, and identify trends before they become threats.

Multiple examples exist of the successful integration of SME outreach into analysis that could be used as templates. Those include the National Intelligence Council's Science and Technology Experts Program and various programs at the Departments of State, Defense, and Commerce.

DELIVERABLES:

1. The recipient will establish processes and procedures for outreach that achieve the GCA objectives above while taking advantage of existing processes that the Recipient or agencies may already utilize. The outreach process will inform analysis and supplement government information sources or analysis. All potential interactions should be considered, including but not limited to briefings, workshops, and requests for focused written input. If USG authorities do not enable outreach at the scale required, the recipient will propose solutions to the EOP Panel. Outreach may include input from allies to gain a global perspective. The cadre should also include diverse experts on the social, cultural, economic, and political aspects of technological competition.

4. Engineering Extrapolation and Technology Forecasting

The objective of this element is to develop robust methodologies to anticipate the likely evolution of technologies in order to identify emerging risks, inform competitive analysis, and guide investment. Technology forecasting efforts could combine engineering extrapolation, simulation, and occasionally laboratory experiments to better define the risk space, provide warning, and understand technology bottlenecks where sudden progress by competitors could be game-changing. While work on methodologies or analytic methods is expected, this effort is not intended to support long term S&T efforts.

Extrapolation studies will be closely tied to the needs of GCA and assist analysts to understand the security implications of highly technical topics. Engineering extrapolation could be augmented by crowdsourced technology forecasting to gauge market impact, explore consumer acceptance, broaden thinking, and provide prediction bounds.

DELIVERABLES:

1. The recipient will propose and develop mechanisms to tap the technical expertise that exists within USG (such as within the national laboratories), academia, and industry to understand the trajectory of technologies and the opportunities and risks they may present. It is expected that the recipient will not fund long-term S&T research but could focus on short term, narrowly scoped questions with the approval of the EOP Panel.
2. The recipient will propose and develop processes and methodologies to conduct scenario-based exercises. Exercises would scope the consequences of sudden technological advances, explore mitigation options, and bound the risk / reward space.

5. Process and tradecraft development

The goal of this element is to evaluate and, where needed, to expand GCA analytic tradecraft to ensure it is transparent, unbiased, and traceable. The intelligence community, think tanks, and industry have developed many techniques to evaluate foreign actions, assess intent, and bound

assessments that could possibly be adapted.

DELIVERABLES:

1. The recipient will establish standards for tradecraft to ensure that conclusions are defensible and rooted in evidence with uncertainties articulated.
2. The recipient will propose and develop new tradecraft methodologies that expand the art of comparative technological assessments and improve the communication of analytic conclusions.
3. The recipient will identify or develop metrics to measure the effectiveness of GCA products and suggest improvements to the production process.
4. The recipient will propose and develop metrics expanding on current methods used to define the relative competitive status between the U.S. and other global actors. Those metrics should initially focus on the S&T ecosystem and measures of technology competition.

6. Staffing

The goal of this element is to create the recipient staff and culture that will be a critical element in the delivery of actionable GCA products. The identification, training, support, and compensation of outstanding talent is integral to the success of this effort.

DELIVERABLES:

1. The recipient will develop a staffing plan. The plan will foster the broad range of skills needed deliver GCAT products, support quick-turn requests, develop, and maintain data resources, and maintain tradecraft standards.
2. The recipient proposal will describe how it will create a diverse workforce and generate a culture where professional questioning of the status quo is the norm.
3. The recipient will propose mechanisms to bring in a temporary cadre of detailees or IPAs from government agencies, FFRDC/UARCs, universities, industry, or other appropriate sources.

7. Additional elements

The goal of this element is to provide opportunity for proposers to suggest additional elements not outlined above that they judge to be critical to achieving the Recipient goals. Those may include concept studies on how to access both internal and government data sources, technology forecasting, outreach to allies and global experts, or other elements.

D. Authorization

The authorization to make awards under this funding opportunity can be found under Assistance Listing (formerly the CFDA Number) 12.630 Basic, Applied, and Advanced Research in Science and Engineering.

E. Legal Requirements

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

II. Federal Award Information

The following information applies to awards issued under this announcement:

This NFO requests that respondents provide project narratives that address the goals and deliverables described.

Anticipated Period of Performance: Three years from date of award.

Instrument Type:

The type of funding instrument selected by the Government is planned to be a cooperative agreement. Cooperative agreements, unlike grants, involve substantial involvement in the project by the government. Substantial involvement often includes but is not limited to:

1. Determination of the primary focus of the cooperative agreement including location(s) work is to be performed;
2. Review and coordination of identified primary focus areas;
3. Reviewing, evaluating and approving project awards;
4. Granting access to and providing logistical support to DoD installations. The recipient will only interact with the designated US Government personnel.

Award type and funding arrangements are at the discretion of the Government. Collaborations or sub-awards with different entities are allowable. The Government reserves the right to accept only portions of an application and to negotiate potential awards.

Award Information:

The government anticipates making one award with a value not to exceed \$10,000,000.00.

III. Eligibility Information

A. Eligible Applicants

Public and private agencies, organizations, institutions, and individuals are invited to apply. Offerors must be registered in the System for Award Management (SAM) before submission of the application. Information on SAM registration is available at <https://www.sam.gov/portal/public/SAM>. The offeror must provide a valid unique entity identifier (UEI) on their application. The offeror must continue to maintain an active SAM registration with current information at all times during which it has an active Federal award

or an application or plan under consideration by a Federal awarding agency. WHS may not make a Federal award to the offeror until the offeror has complied with all applicable unique entity identifier and SAM requirements and, if an offeror has not fully complied with the requirements by the time WHS is ready to make an award.

B. Cost Sharing or Matching

Cost sharing is not required but is encouraged.

C. Conflict of Interest: General Requirement for Disclosure

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

D. Other

a) Licensure or Certification

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

i. Certifications, representations, and assurances

1. To apply for cooperative agreements and other funding opportunities the applicant entity must have an active registration in the System for Award Management (SAM). Applications will not be accepted unless the entity is registered in SAM.
2. 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, offerors are required to submit any documentation, including the Standard Form (SF) - LLL Disclosure of Lobbying Activities (if applicable), and informing DoD of unpaid delinquent tax liability or a felony conviction under any Federal law.

Any attachment containing additional certifications should be prefaced by the following statement:

“By checking “I Agree” on the SF-424 Block 21 you agree to abide by the following statement: “By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also

provide the required assurances and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)”

IV. Application and Submission Information

A. Submission Date and Time: see the grants.gov posting.

B. Application Procedures and Requirements

Organizations must have a Unique Entity Identifier (UEI) and active SAM registration.

The applicant shall submit their applications through grants.gov. See <https://www.grants.gov/web/grants/grantors/grantor-standard-language.html> for information on how to complete the application using Workspace on Grants.gov. Read the instructions in <https://www.grants.gov/web/grants/grantors/grantor-standard-language.html> about registering to apply for DoD funds. If the applicant experiences difficulties with their submission, Grants.gov provides support via the toll-free number 1-800-518-4726 and email at support@grants.gov.

Applicants will be selected from the stage one submissions to be invited by the Government to submit a full technical application for evaluation and possible award consideration. Applications will only be accepted if submitted through Grants.gov. Organizations must have a Unique Entity Identifier (UEI), active System for Award Management (SAM) registration, and Grants.gov account to apply for grants.

C. Application Withdrawal:

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

D. Content and Form of Submission:

Common formatting requirements across all submitted documents

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

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

Marking Proprietary or Confidential Information

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

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

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

E. Application Requirements/ Component-specific Requirements.

This will be a two-stage application process. After a review of the stage one submissions, the Government will request stage two applications. All submissions shall be made through grants.gov. The following forms are identified in grants.gov:

STAGE ONE SUBMISSION INSTRUCTIONS

Stage One Required Forms
SF424 (R&R) [V5.0]
Assurances for Non-Construction Programs (SF-424B - Mandatory) [V1.1]
Disclosure of Lobbying Activities (SF-LLL) [V2.0]
Project Abstract Summary [V2.0]
Project Narrative Attachment Form [V1.2]

Project Narrative Preparation and Submission

Project Narrative Components

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

- A cover letter (optional), not to exceed one page. The cover letter does not count against the ten page limit.
- A cover page, labeled “APPLICATION,” that includes the NFO number, proposed project title, and prospective applicant's technical point of

contact with telephone number, and e-mail address.

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

1. A project abstract summary. The project abstract should be appropriate for public release and should describe the project in terms that the public would understand. The abstract should summarize the project and specifically identify the principal investigator and offering institution; problems and objectives; technical approaches and anticipated outcome.
2. The project plan shall describe the personnel, processes, and experience of the applicant in undertaking the goals and deliverables identified in GCA Elements 1-5 above.

It should also include a proposed, estimated project ceiling cost. The plan should also include:

- key personnel that will perform the work;
- associated cost breakdown by tasks;
- project schedule and milestones;
- anticipated sub-awards and contract requirements;
- any other material details of the project.

STAGE TWO/ FULL PROPOSAL PACKAGE PREPARATION AND SUBMISSION

Stage two submission shall be made through grants.gov. The following forms are identified in grants.gov for submission for stage two:

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

Unique Entity Identifier and System for Award Management

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

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

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

F. Funding Restrictions

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

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

Other Submission Requirements and Information

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

i. Amendments to Announcements

If this announcement is amended, then all terms and conditions, which are not amended, shall remain unchanged. Applicants shall acknowledge receipt of any amendments to this NFO by: (1) identifying the amendment in its application, or (2) by separate letter

upon receipt of the amendment. The Government must receive the acknowledgment by the date/time specified for receipt of applications.

ii. Modifications, and Withdrawals of Applications

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

iii. Protests

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

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

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

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

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

Wide Area Workflow (WAWF)

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

V. Application Review Information

A. Selection Criteria

Applications will be evaluated using the following criteria. The criteria are of equal importance.

1. Stage One Review/ Selection Process

Stage one submissions will be reviewed for their technical merit and relevance to DOD missions. Based on these factors, recipients will be selected to submit stage two submissions.

2. Stage Two Review and Selection Process

Stage two project narrative submissions will be reviewed for their technical merit and relevance to DOD missions.

Stage two cost submissions will be reviewed for realism and reasonableness. Cost sharing is not required but will be favorably considered as part of this evaluation factor. The Government will use various price analysis techniques and procedures, as needed, to ensure the proposed labor rates are fair and reasonable.

Realism is evaluated by assessing the compatibility of proposed costs with proposal scope and effort. Cost realism evaluation includes a review of the overall costs in the offeror's proposal for the scenario to determine:

- If costs are realistic for the work proposed;
- If costs reflect a clear understanding of the requirements; and
- If costs are consistent with the various other elements of the offeror's proposal

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

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

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

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

Adjectival Ratings

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

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

B. Review and Selection Process:

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

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

contractor employees from disclosing any information submitted by applicants.

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

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

C. Award Decision

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

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

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

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

VI. Federal Award Administration Information

A. FEDERAL AWARD NOTICES

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

The notification email regarding a selection is not authorization to commit or expend DoD funds. A DoD grants officer is the only person authorized to obligate and approve the use of Federal funds, this authorization is conveyed in the form of a signed Notice of Award. If recommended, offerors will be contacted by a DoD grants officer to discuss any additional information required

for award. This may include representations and certifications, revised budgets or budget explanations, or other information as applicable to the proposed award. The award start date will be determined and documented at that time.

Federal regulations, to include but not limited to 32 CFR 32 and DoD 3210.6-R¹, take precedence over all terms and conditions of Agreement awards.

B. NATIONAL POLICY REQUIREMENTS (NP)

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

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

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

Section B. [Reserved]

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

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

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

1. You must comply with all applicable Federal environmental laws and regulations. The laws and regulations identified in this section are not intended to be a complete list.
2. Comply with applicable provisions of the Clean Air Act (42 U.S.C. 7401, et seq.) and

Clean Water Act (33 U.S.C. 1251, *et seq.*).

3. Comply with applicable provisions of the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4821–4846), as implemented by the Department of Housing and Urban Development at 24 CFR part 35. The requirements concern lead-based paint in buildings owned by the Federal Government or housing receiving Federal assistance.

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

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

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

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

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

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

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

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

provisions of the Act that apply directly to you as a U.S. entity, independent of receiving this award.

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

Section B. [Reserved]

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

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

Section A. Cross-cutting requirements concerning live organisms.

1. *Human subjects.*

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

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

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

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

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

(A) Assurance of Compliance (*i.e.*, Department of Health and Human Services Office for Human Research Protections (OHRP) Federalwide Assurance (FWA)) appropriate for the scope of work or program plan; and

(B) Institutional Review Board (IRB) approval, as well as all documentation reviewed by the IRB to make their determination.

d. The HRPO retains final judgment on what activities constitute HSR, whether an exempt category applies, whether the risk determination is appropriate, and whether the planned HSR activities comply with the requirements in paragraph 1.a of this section.

e. You must notify the HRPO immediately of any suspensions or terminations of the Assurance of Compliance.

f. DoD staff, consultants, and advisory groups may independently review and inspect your research and research procedures involving human subjects and, based on such findings, DoD may prohibit research that presents unacceptable hazards or otherwise fails to comply with DoD requirements.

g. Definitions for terms used in paragraph 1 of this article are found in DoDI 3216.02.

2. *Animals.*

a. Prior to initiating any animal work under the award, you must:

i. Register your research, development, test, and evaluation or training facility with the Secretary of Agriculture in accordance with 7 U.S.C. 2136 and 9 CFR 2.30, unless otherwise exempt from this requirement by meeting the conditions in 7 U.S.C. 2136 and 9 CFR parts 1–4 for the duration of the activity.

ii. Have your proposed animal use approved in accordance with Department of Defense Instruction (DoDI) 3216.01, Use of Animals in DoD Programs by a DoD Component Headquarters Oversight Office.

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

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

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

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

3. *Use of Remedies.*

Failure to comply with the applicable requirements in paragraphs 1–2 of this section may

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

Section B. [Reserved]

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

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

Section A. Cross-cutting requirements.

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

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

3. **Lobbying.**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

b. Potential under this award for irreparable loss or destruction of significant scientific, prehistorical, historical, or archeological data, and provide any help we may need, with respect to this award, to comply with the Archaeological and Historic Preservation Act of

1974 (54 U.S.C. chapter 3125).

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

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

14. **Pro-Children Act.**

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

a. Constructed, operated, or maintained under this award and used for routine or regular provision of kindergarten, elementary, or secondary education or library services to children under the age of 18.

b. Owned, leased, or contracted for and used under this award for the routine provision of federally funded health care, day care, or early childhood development (Head Start) services to children under the age of 18.

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

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

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

a. Prohibition on reprisals against employees disclosing certain types of information to specified persons or bodies; and

b. Requirement to notify your employees in writing, in the predominant native language of the workforce, of their rights and protections under that statute.

VII. Reporting Requirements

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

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

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

VIII. Other Administrative Requirements

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

IX. Federal Contacts

Questions should be directed to: Kimberly Hernandez at kimberly.s.hernandez6.civ@mail.mil

X. Other Information

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

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