



U.S. ARMY COMBAT CAPABILITIES DEVELOPMENT COMMAND ARMY RESEARCH LABORATORY

**ARL Implementation of AFC Army Research Risk Assessment Protection
Program (AFC ARR)**

08 JUNE 2023

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ARRP OVERVIEW



What is the Army Futures Command (AFC), Army Research Risk Protection Assessment Program (ARRP)?

- The AFC ARRP is an effort to help identify and mitigate potential Conflicts of Commitment/Conflicts of Interest (CoC/Col) and participation in foreign government-sponsored talent recruitment programs in Army research funding mechanisms to include grants and cooperative agreements. Proposals received under the ARL Broad Agency Announcement (BAA) or ARL Funding Opportunity Announcements (FOA) that utilize the Standard Form (SF) 424, Application for Federal Assistance are subject to this program.
- Information from the SF424, Application for Federal Assistance is analyzed using a risk matrix/rubric to identify risks, including conflicts of interest, conflicts of commitment, and/or foreign government-sponsored talent recruitment program participation.

ARRP OVERVIEW



What is driving it?

- The AFC ARRP is conducted within the framework of National Security Presidential Memorandum-33 (also referred to as NSPM-33) and congressional statutes to identify and mitigate risk of conflicts of interest and conflicts of commitment and participation in foreign government-sponsored talent recruitment programs seeking undue foreign government influence and exploitation of the open United States and international research environment.
- The Presidential Memorandum, National Security Presidential Memorandum-33 (NSPM-33) is a directive from the President of the United States to establish national security policy for U.S. Government-supported R&D. The purpose of NSPM-33 is to strengthen protections of U.S. Government-supported R&D against foreign government interference and misappropriation, while maintaining an open environment to foster research discoveries and innovation that benefit the United States and the world.

ARRP OVERVIEW



Does ARL's implementation of AFC ARRP's apply to all Army proposals?

- Risk assessments are now conducted on **all** proposals received under the ARL Broad Agency Announcement (BAA) and ARL Funding Opportunity Announcements (FOAs) that include an SF-424 for application purposes and which are to be resourced with Army funds.



Did DOD notify academia of the intent to implement new procedures to mitigate undue foreign influence?

- Yes, October 10, 2019 USD(R&E) issued a memo to academia.

AFC ARRP RISK ASSESSMENT



How are Risk factors assessed? Is there a risk matrix/rubric?

The AFC ARRP uses a risk matrix/rubric that identifies four types of risk factors:

1. Participation by the institution or key personnel conducting the research in foreign talent programs;
2. Denied entity list affiliation or association;
3. Ongoing Conflicts of Commitment or Conflicts of Interest (CoC or Col) or funding from a strategic competitor;
4. Affiliation, association, or collaboration with a foreign institution, person, or entity from a U.S. strategic competitor.

The Army risk matrix, or rubric can be found: <https://www.arl.army.mil/resources/arrp/>

ARRP RISK ASSESSMENT



Where can the risk matrix/rubric be found?

- The Rubric can be found on the DEVCOM ARL website: Army Research Risk Assessment Program (ARRP) – DEVCOM Army Research Laboratory: <https://www.arl.army.mil/resources/arrp/>
- Information for applicants is explained in the DEVCOM ARL Broad Agency Announcement (BAA) instructions: <https://www.arl.army.mil/collaborate-with-us/opportunity/arl-baa/>



Does the ARL BAA have information on the AFC ARRP?

- Yes, it can be found on the DEVCOM ARL website: Army Research Risk Assessment Program (ARRP) – DEVCOM Army Research Laboratory: <https://www.arl.army.mil/resources/arrp/>



ARRP PROPOSALS/ PRIVACY ACT STATEMENT



Is there new information that a proposal needs to contain to comply with the AFC ARRP?

- Read the updated [BAA Review and Selection process](#).
- The Privacy Act Statement is a required statement that needs to be signed by each Senior/Key Research Personnel identified in the proposal. By signing this document, the Senior/Key Research Personnel are acknowledging the information provided in the proposal may be used in processing, investigating, and maintaining records relevant to Federal Assistance awarded by the Department of the Army. Records in these systems will be used to ensure Army sponsored and/or awarded federal grants, assistance, contracts, and/or benefits are awarded to responsible parties, entities, and individuals.

ARRP PROPOSALS/ PRIVACY ACT STATEMENT



Who needs to sign the Privacy Act Statement consent form?

- This document is required to be signed by all Senior/Key Personnel identified in SF424 Research & Related Senior/Key Person Profile and the Institution's Authorized Representative.

ARRP SWIM LANE DIAGRAM

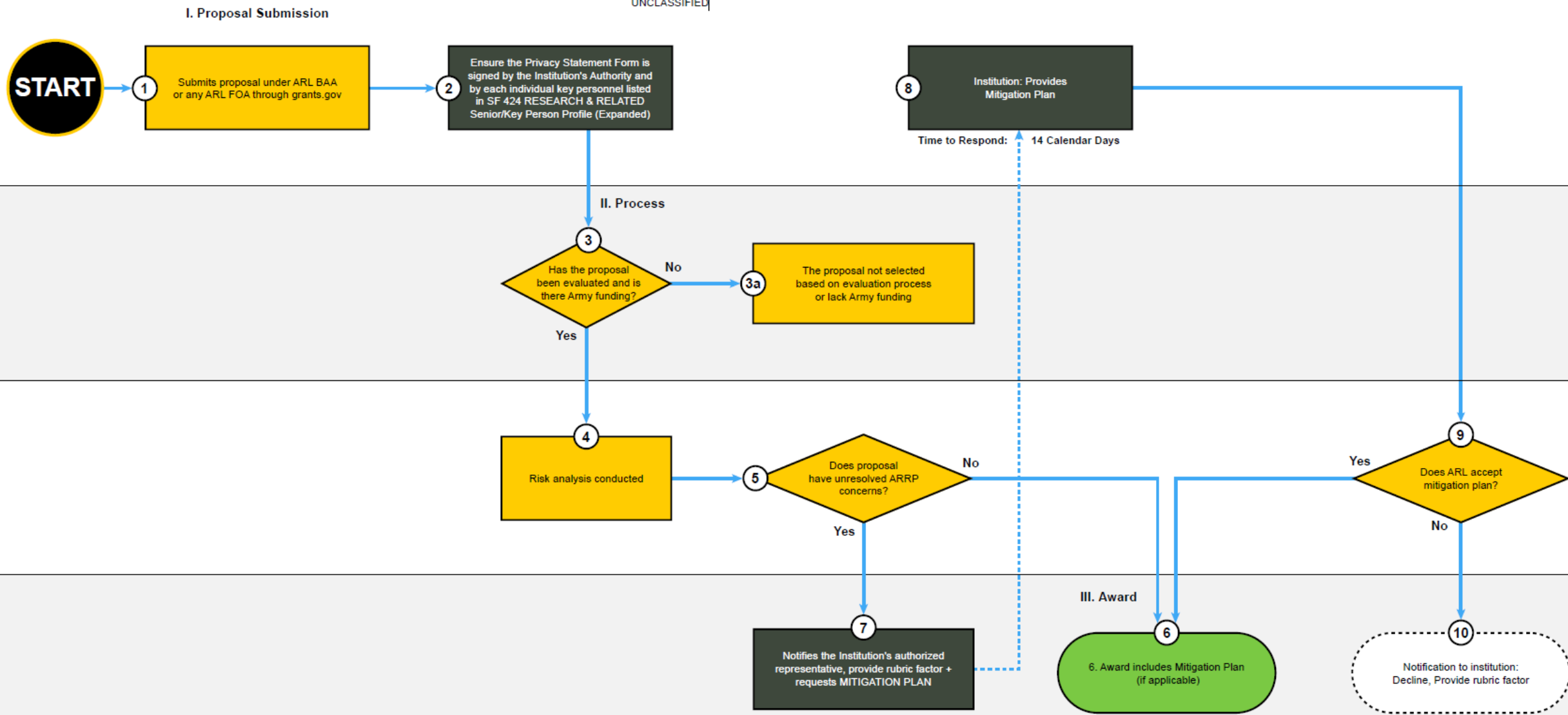


Institution/Key Personnel (KP) (PI/co-PIs)

Army Technical Subject Matter Expert/Program Manager (PM)

Risk Management

Award Management



ARRP PROPOSALS/ PRIVACY ACT STATEMENT



Tips for APPLICANTS

- Review the DEVCOM ARL BAA language and the Army's Risk Matrix/Rubric on the DEVCOM ARL website.
- Failure to disclose foreign affiliations, associations or collaborations may jeopardize eligibility for future funding.
- Each proposal is evaluated independent of earlier risk assessments.

ARRP RESOURCES



Risk Mitigation Best Practice Resources for Academia

- White House Office of Science and Technology Policy, “Recommended Practices For Strengthening The Security And Integrity Of America’s Science And Technology Research”, January 2021”
- White House Office of Science and Technology Policy, White House: Enhancing The Security And Integrity Of America’s Research Enterprise: October 2020
- American Council on Education (ACE) Memorandum to ACE member Presidents and Chancellors, May 10, 2018
- The Association of American Universities (AAU) and The Association of Public & Land Grant Universities (APLU), “University Actions to Address Concerns about Security Threats and Undue Foreign Government Influence on Campus”, Updated May 2020
- Council on Government Relations (COGR) “Framework For Review of Individual Global Engagements in Academic Research, Version 1.0, January 14, 2020
- Council on Government Relations (COGR) “Federal Focus on Inappropriate Foreign Influence on Research: Practical Considerations in Developing an Institutional Response”, August 18, 2021

ARRP RESOURCES



Where can I get more information?

- There is a Frequently Asked Questions section that's updated frequently in Army Research Risk Protection Assessment Program (ARRP) – DEVCOM Army Research Laboratory:
<https://www.arl.army.mil/resources/arrp/>
- Additional questions? Email arrp@army.mil



THANK YOU.

