

ARMY RESEARCH LABORATORY
BROAD AGENCY ANNOUNCEMENT
FOR
Collective Judgment Formation
Collaborative Research Alliance

Fiscal Year 2024



W911NF-24-S-0010

Amendment 01

This amendment provides notification of change in event dates for proposal submission

ISSUED BY:

**U.S. Army Contracting Command
Aberdeen Proving Ground
Research Triangle Park Division
P. O. Box 12211
Research Triangle Park, NC 27709-2211**

Issued: 14 Aug 2024

White papers Due:

25 September 2024, no later than 3:00 PM Eastern Daylight Time

Final Proposals Due:

21 November 2024 06 December 2024, no later than 3:00 PM Eastern Daylight Time

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**Collective Judgment Formation - Collaborative Research Alliance
(CJF CRA)**

Broad Agency Announcement

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I. Overview of the Funding Opportunity

A. REQUIRED OVERVIEW CONTENT

1. Federal Awarding Agency Name

Combat Capabilities Development Command (DEVCOM)
U.S. Army Research Laboratory
2800 Powder Mill Road
Adelphi, MD 20783-1197

Issuing Acquisition Office:

U.S. Army Contracting Command – Aberdeen Proving Ground, Research
Triangle Park (RTP)
Division
800 Park Office Drive
Suite #4229
Research Triangle Park, NC 27709

2. Research Opportunity Title

Collective Judgment Formation Collaborative Research Alliance (CJF CRA)

3. Announcement Type

Initial

4. Funding Opportunity Number

W911NF-24-S-0010

5. Catalog of Federal Domestic Assistance (CFDA) Number(s)

12.630 - "Basic, Applied, and Advanced Research in Science and
Engineering"

6. CJF CRA Website

<https://arl.devcom.army.mil/cras/cjf-cra> (website pending activation at time of
announcement posting)

7. Submission of Questions

cjf-cra-baa@army.mil

8. Key Dates

The following is a summary of the events and dates associated with this CJF CRA Broad Agency Announcement (BAA):

<u>EVENT</u>	<u>ESTIMATED DATE/TIMEFRAME</u>
Opportunity released	14 Aug 2024
Proposers Day (virtual)	04 Sep 2024, 1100 EDT
Deadline for Questions on BAA	10 Sep 2024
White Papers Due	25 Sep 2024, 1500 EDT
White Paper Feedback	18 Oct 2024
Deadline for Questions on Proposals	30 Oct 2024 07 Nov 2024, 1500 EST
Proposals Due	21 Nov 2024 06 Dec 2024, 1500 EST
Notification to Recipients	19 Dec 2024 31 Jan 2025 (expected)
Award Execution	Feb 2025 March 2025 (expected)

9. Proposers Day Details

The Collective Judgment Formation Proposers Day will be held virtually on Microsoft Teams. The event will take place on 04 Sep 2024 from 1100 to 1300 EDT. Any changes to the date or time will be posted on grants.gov and SAM.gov. Registration is required to attend.

To register, please send an email to cjf-cra-baa@army.mil with the Subject: "CJF Proposers Day Registration". Include in your email the full name, university/organization, and email address of each person who will participate. Each named participant will receive an email with the link to attend the live event.

Questions about this BAA can be submitted in advance of Proposers Day. Please send an email to cjf-cra-baa@army.mil with the Subject: "CJF Proposer Question". Questions will not receive individual email responses. Rather, these questions will be answered during the meeting and posted to the Q&A section on grants.gov and SAM.gov.

Participants may be able to submit questions during the event via the chat feature of Teams.

(End of section)

Collective Judgment Formation Collaborative Research Alliance (CJF CRA)

II. Detailed Information about the Funding Opportunity

A. PROGRAM DESCRIPTION

1. Purpose

The U.S. Army Combat Capabilities Development Command (DEVCOM) Army Research Laboratory (ARL) is focused on researching fundamental understanding and informing the art-of-the-possible for warfighter concepts through research to greatly improve the Army's capabilities in the Information Operating Environment (IOE) to gather and process multi-modal, multi-sourced information; convert that information into deep understanding; and ultimately leverage that knowledge for strategic advantage. The Collective Judgment Formation (CJF) Collaborative Research Alliance (CRA) program is focused on basic research to create and expand theoretical and scientific understanding of human-agent interactions in AI-supported team decision making. The representative domain for the program is intelligence activities. Work within this program will require the problem space to be addressed from multiple disciplinary perspectives working in concert to discover novel knowledge and to advance our scientific foundations of (a) humans working with each other and with novel forms of software agents and (b) teams of intelligence analysts responding to novel methods that create verbose structured and unstructured content. Through this CRA, ARL seeks to partner with performers to advance the scientific state-of-the-art in human-agent systems for intelligence activities.

Beyond helping the Army, the research outcomes from this foundational, collaborative research program are intended to inform the public with regard to human-agent systems opportunities for information processing and to offer a perspective for understanding of and protecting against misinformation campaigns. Research conducted in the CJF CRA is also applicable to challenges in academia and industry.

2. Background

The Army, and more broadly the Department of Defense (DoD) and the Intelligence Community (IC), rely heavily on deriving knowledge for effective decision making from information that originates from multiple sources. The challenges for processing the high volumes of information are becoming exponentially more difficult with the expanding capabilities of generative artificial intelligence technologies, yet the need for high confidence assessments remains steadfast. During information processing tasks, the formation of judgments based on information from a wide variety of sources by analysts (working alone and in teams) is influenced by (a) other people in their networks, (b) the available information they consume, (c) potential interactions with virtual agents, and (d) their own internal predispositions based on background, training, values, and external communities in which they are embedded. These analysts' capabilities and performance on such tasks can be expanded and augmented through

intelligent systems or information agents leveraging technologies such as Large Language Models (LLMs), and through additional information gained from social media and social networking platforms. However, such human-agent teaming approaches can lead to the emergence of new biases and challenges surrounding the reliability of such judgments made to accept/reject each piece of information being processed. These phenomena reside at the conscious and subconscious levels, further exacerbating the challenges to understand their impact on judgment formation, especially when software agents are folded into the team.

3. Collective Judgment Formation Definitions

A *judgment* in the context of this document is a proposition that summarizes a body of evidence and is believed to be true or false with some known estimated confidence level. A proposition may be a simple important fact or relationship, or instead a complex hierarchy of propositions at different levels of abstraction. Judgment *formation* is the process by which the proposition is reached. This process encompasses individual cognitive processing by human analysts; exchange of information and discussion in teams of analysts; processing of information by computer systems; and the interactions between any or all of these entities. Finally, a judgment is *collective* in being a team accepted outcome of this process, notably including any governing rules, procedures, or conventions.

For example, a collective judgment may represent total consensus reached at the end of a shift as to which information is most critical; it might instead be the judgment of the team lead alone, drawing on information unavailable to everyone else, whereby the structured roles of the team come into play. Likewise, for agent driven information processing, judgments could be the selection of which information within a large corpus is presented to analysts for further consideration and processing. The algorithms developed would exemplify the formation process. Then, human analysts would reach a collective judgment through their own work and the process by which they integrate agent provided information.

Collective judgment formation is a multi-scale, complex process that needs to be understood at the component level, and from a systemic perspective. Without an understanding of collective judgment formation, a team may produce interpretations that do not account for individual biases or that arise from interpersonal relationships; for information item limitations; for unrecognized connections between disparate information; for processes for data collection, validation, and sharing that do not match domain or task constraints; and so forth.

4. Motivating Research Questions

With the above background in mind, the following questions (derived from DEVCOM ARL RFI-24-01-HC) may help potential proposers to understand the types of scientific and technical challenges the CJF CRA program seeks to address.

1. What types of cognitive biases are involved in judgment formation when information technologies such as LLMs, social media, and social networking platforms are involved? What new cognitive biases might emerge?
2. How might human-agent interactions influence the development of individual beliefs and knowledge systems? How might agent-facilitated human interactions influence the transfer of beliefs and knowledge from one individual or team to another?
3. How do the five Vs of big data (volume, value, variety, velocity, and veracity), plus uncertainty and deception, affect judgment formation? And how is collective judgment formation affected by differences in the modalities of information presentation (e.g., free-form text, instructions, tables, maps, diagrams, audio, and video) in neurodiverse teams?
4. Intelligence analysis happens around the clock. How can human-agent systems be leveraged to support shift-work for information analysts? What measurable impacts on effective decision making have been observed by adding intelligent information agents into human teams of knowledge workers?

5. Program Structure

To address the human-agent systems for intelligence activities (HAS-IA) problem space, the CJF program will consist of three technical areas (TAs):

- TA1: Social Science Theories for HAS-IA
- TA2: Computational Models for HAS-IA
- TA3: Testing, Evaluation, and Transitions for HAS-IA

Details for each technical area are provided in the next section. Each TA team is expected to draw performers from multiple disciplines such as psychology, communication, business, economics, computer science, electrical engineering, physics, and mathematics. TA1, Social Science for HAS-IA, will require a team led by a social scientist, with a focus on social science approaches to the problems space; the team must contain at least one computer scientist to support integration with TA2 and TA3. TA2, Computational Models for HAS-IA, will require a team led by a computer scientist, with a focus on computational modeling approaches to the problem space; the team must contain at least one social scientist to support integration with TA1 and TA3. Each proposal may address only a single TA. Proposers may submit multiple proposals if they seek to address multiple TA, but not multiple proposals to the same TA. A

proposing team may submit proposals for all three technical areas. The decision as to which proposal to select for award is at the discretion of the Government.

B. TECHNICAL AREAS

1. TA1: Social Science Theories for Human-Agent Systems for Intelligence Activities (Cooperative Agreement; CUI)

The primary objective for the TA1 team is to formulate and test novel hypotheses about collective judgment formation within human-agent systems engaged in information processing for intelligence activities. The proposed work must be grounded in strong social science theories, including but not limited to Transactive Memory Theory¹ and/or Theory of Mind². These theories provide a theoretical lens in which to understand collectives through shared mental models and are being extended to incorporate expanded teaming capabilities arising with artificial social intelligence^{3,4} and generative artificial intelligence. For example, transactive memory systems have been expanded into transactive systems framework⁵ for including transactive reasoning and transactive attention. And Theory of Mind has been extended beyond humans to define an artificial theory of mind⁶ for agents' perceptions of humans. In addition to these theoretical lenses, successful proposals will focus on shift handover coordination, information consolidation and synthesis, and critical information highlights to accommodate dynamic team environments.

Beyond the above, it is expected that proposers will choose to focus on two or more of the following potential research areas.

- Cognitive biases and their impacts on collective judgment formation
 - Individual cognitive biases
 - Human-teaming biases
 - Emergent human-agent teaming biases
 - Neurodiversity^{7,8,9} with respect to information processing strengths

¹ Palazzolo, E.T. (2017). Transactive Memory. In International Encyclopedia of Organizational Comm. Scott and Lewis (Editors-in-Chief). John Wiley & Sons, Inc. DOI: 10.1002/9781118955567.wbieoc208

² Baron-Cohen, S. (2001). Theory of Mind in normal development and autism. *Prisme*, 34, 174-183.

³ DARPA Program: Artificial Social Intelligence for Successful Teams (ASIST):

<https://www.darpa.mil/program/artificial-social-intelligence-for-successful-teams>

⁴ Artificial Social Intelligence for Successful Teams: <https://artificialsocialintelligence.org/>

⁵ Gupta, P., & Woolley, A.W. (2021). Articulating the role of AI in collective intelligence: A transactive systems framework. Proceedings of the Human Factors and Ergonomics Society Annual Meeting, 65.

⁶ Williams J, Fiore S.M. and Jentsch F. (2022). Supporting Artificial Social Intelligence With Theory of Mind. *Front. Artif. Intell.* 5:750763. doi: 10.3389/frai.2022.750763

⁷ Armstrong, T. (2011). *The Power of Neurodiversity: Unleashing the Advantages of Your Differently Wired Brain*. Da Capo Lifelong Books.

⁸ RAND's Weinbaum discuss neurodiversity in U.S. National Security Community:

<https://abcnews.go.com/Nightline/video/measures-place-make-military-accessible-people-autism-109777209>

⁹ Weinbaum et al. (2023). Why National Security Needs Neurodiversity.

https://www.rand.org/pubs/research_briefs/RBA1875-1.html

- Exogenous pressures and obstacles on collective judgment formation
 - Time constraints
 - Turnover
 - Dynamic global events
- Impact of information source types on collective judgment formation
 - For example: free-form text, instructions, tables, maps, diagrams, pictures, audio, and video
- Narratives: building, following, detecting changes
 - Story arcs
 - Patterns of life
 - Building and tracking knowledge threads
 - Counter-narrative information integration
- Impact of discovering violations to data integrity & provenance on belief systems
- Misinformation/deception within corpus of data
 - Identification
 - Negation
 - Management
- Behavioral indicators of collective judgment
 - Individual and collective predictors of values, beliefs, and opinions
 - Indicators for the dynamics of belief formation
 - Predictors of successful coordination and information consolidation
- Uncertainty management
- Game theory
 - Establishing the rules and predicting value/utility for information
- Measurable team performance
 - Enhancements from humans teaming with agents
 - Detriments from humans teaming with agents
 - Agent support for distributed analyst teams

TA1 proposals should describe the state-of-the-art and how it will be advanced. TA1 proposers should describe how they will minimize the ambiguity of their claims, and how their constructs will be measured. Proposals should also describe methods for verifying the robustness of analyses. TA1 proposals should include a detailed description of theoretical variables and relationships, along with any existing published claims from the literature that can be tested in the TA3 testbed. Wizard of Oz solutions will not be accepted for consideration. Rather, the TA1 performer will work closely with TA2 performer to inform the design of agent architectures and will collaborate with the TA3 team to inform the design of the testbed for agent interaction and for hypothesis testing such that humans can be tested as a part of actual human-agent teams within this program. The extent of collaboration will be further clarified based on the type of award provided.

2. TA2: Computational Models for Human-Agent Systems for Intelligence Activities (Cooperative Agreement; CUI)

The objectives for the TA2 team are twofold: (1) create formal models of collective judgment formation that ground the social science models of TA1 in appropriate logical, mathematical, and computational terms, and (2) design intelligent systems that can be used to demonstrably improve collective judgment formation. The systems developed will support human analysts doing knowledge work, unobtrusively learning who knows whom, who knows what, who needs what information, and when. Improvements are expected to apply to the judgments produced (e.g., with greater accuracy and speed) as well as to the functioning of the team (e.g., alternative organizational structures or communication pathways, robustness in team substitutions).

The Army believes that a new opportunity for collective judgment formation has appeared, brought about by recent scientific advances in the military information sciences. One is the advent of newly capable large language models (LLMs), with regular releases to the public, and a continuing stream of findings in the research literature about their strengths and limitations.¹⁰ LLMs are a promising new avenue for knowledge ingestion and human-agent interaction. Beyond LLMs, the whole class of generative AI technologies may prove relevant to this program. In a different subfield, new game-theoretic models and algorithms are demonstrating super-human performance in collaborative and competitive action on tasks of interest to the Army. Intelligence analysis is fundamentally an adversarial task with respect to external entities, a cooperative task with respect to collaborating analysts. Finally, new foundations for probabilistic and causal reasoning are being proposed and applied to challenging, real-world problems. Any single proposal may not touch on all these threads; they are mentioned as possible approaches.

Different technical approaches to understanding collective judgment formation are possible. For example, consider the analysts as forming a dynamic hierarchical network that represents team structure, with information propagating from one node to another until some conclusion has been reached. One might focus on the quality of data (e.g., accuracy, precision, uncertainty, completeness, timeliness) and surrounding characteristics (e.g., reliability, cost of acquisition), to better understand how these factors influence the quality of judgments. One might concentrate on patterns in network structure that make agreement on a correct interpretation easier or harder to develop. One might look to mechanisms that create incentives for more or less collaboration and information sharing, as appropriate to context. One might focus on how information is processed by individual analysts (e.g., how disparate uncertain evidence is combined) to understand how evolving context contributes to understanding at a more abstract organizational level. Each of these perspectives should reflect theories developed under TA1 and in the literature as well as computational modeling considerations. The task then is to leverage such a model of collective judgment

¹⁰ Achiam, J., et al. (2023). GPT-4 Technical Report. arXiv preprint arXiv:2303.08774.

formation to improve performance. From a data quality perspective above, for example, a large language model might contribute to integration of sensor tracking data with social media reports, to highlight otherwise ambiguous changes in monitored entities. From a network structure or game theoretic perspective, analysis of the network as a graph of agents might lead to suggestions about changes in how much or what kind of information should be shared at different stages. The information processing perspective might suggest different specialized filters and tools for analysts, small analyst groups, and the entire team.

To flesh out the above, it is expected that proposers will choose to focus on two or more of the following potential research areas.

- Models of rationality
- Models of inference (e.g., probabilistic networks, theorem proving, neural models)
- Big data and data-driven decision making
- Centralized and distributed decision making
- Theory of Mind
- “Genres” of knowledge representation and reasoning (e.g., causality, narrative, norms)
- Generative artificial intelligence, including large language models
- Computational game theory
- Models of human cognition and social cognition
- Models of explanation, instruction, advice taking, i.e. the communication of judgments

Consistent with the TA1 description in the previous section, TA2 proposals should describe the state-of-the-art and how it will be advanced. TA2 proposers should describe their models, algorithms, evaluation metrics, and evaluation procedures. In the end, TA2 research should lead to models of collective judgment formation that have explanatory value, attributing good or poor performance to features of the problem space. Models are expected to be validated in collaboration with performers in TA1. The models should further be part of a rigorous analysis in which improvements can be evaluated both theoretically and empirically. As with TA1, the TA2 team will collaborate with the TA3 team to inform the design of the testbed for agent interaction and for hypothesis testing such that humans can be tested as a part of actual human-agent teams within this program. By the end of the program, the agents should be made available as a resource to the broader scientific community or provide a means by which future developments by other parties, after the completion of the project, can be fairly compared with results produced through use of these agents during the project.

3. TA3: Testing, Evaluation, and Transitions for Human-Agent Systems for Intelligence Activities (Contract; Cleared Facility; TS/SCI eligible)

Testbed: The TA3 performer will leverage an existing testbed through adaptation, extension, and implementation for a scalable testbed environment. The TA3 performer will either own their own testbed for use in this research program or utilize an open source testbed. Further, this team will organize and execute human subjects experiments in this testbed, and coordinate with other CJF performers to assure protocols and APIs are stable and functioning prior to experiments. The testbed must provide an environment that allows for both simple and complex challenge problems for human-agent integration with a single human, multiple humans (teams as large as 10), and complex teams with individuals possessing specialized roles, skills, and working in shifts or split across time zones.

Strong TA3 proposals will adapt and extend an existing testbed with environments that are accessible by distributed teams for the advancement of human-agent systems. After each experiment, the version of the testbed environment should be made available to TA1 and TA2 performers for continued testing, while TA3 develops the next version of the testbed. Strong proposals will discuss ways in which to make the testbed environments available to TA1 and TA2 performers early in the program. By the end of the program, this experimentation environment should be sufficiently mature that it can be made open source as a resource to the broader scientific community or provide a means by which future developments by other parties, after the completion of the project, can be fairly compared with results produced through use of the testbed during the project.

Experiments: In collaboration with the TA1 and TA2 performers, the TA3 performer will organize, design, and execute at least four experiments (approximately one per year). Proposed testbeds must be able to challenge human and hybrid teams with both simple and complex tasks. The testbed should include the capability to: present multimodal information to end users; support the development of information processing agents and interactive agents for human engagement; free-form note taking and sharing by human participants; and adaptable data capture capabilities to support TA1 and TA2 research needs. Example measures to quantify during experiments include but are not limited to agent usefulness, trust, adaptation and resilience time, coordination effort required after perturbation, team effectiveness, development of transactive memory system, and development of human and agent theory of mind. Strong proposals will discuss additional relevant metrics and measures to be quantified during evaluation exercises. Additionally, proposed testbeds should be cable of creating realistic intelligence analyst experiences, similar to the exemplar presented earlier.

HSR: The TA3 performer will be responsible for managing all Human Subjects Research (HSR) for the program, will likely serve as the Single IRB (Institutional Review Board) for research oversight, and leading coordination with the Army's Human Research Protection Office (HRPO). The TA3 performer will ensure that all HSR

approvals are in place prior conducting experiments and/or allowing access by performers to human subjects data.

Data management: The TA3 performer will work with government-provided and other publicly available dataset(s), and handle identifying, gathering, cleaning, and making available to the program dataset(s) that are capable of testing relevant hypotheses for the program. The TA3 performer will coordinate with TA1 and TA2 performers for the duration of the program to ensure timely data collection and access to both collected and curated data.

Technical Exchanges: The TA3 team will host technical exchange meetings with all performers approximately three months before each experiment. Technical meetings will include a two-day all-hands principal investigator (PI) meeting (plan for attendance of roughly 50-75 people to include PIs, graduate students, postdocs, and government scientists). Location for technical meetings will be local to the TA3 performer and/or the Washington D.C. area. TA3 proposers should discuss how they will facilitate these events, including the acquisition and provisioning of appropriate event facilities and resources.

Transitions: Strong TA3 proposals will include plans for transition support for the program as theoretical and technical advancements occur, as well as at the end of the program. Transitions can be to other agencies within the Department of Defense, to include operational units, and the Intelligence Community, as well as to potential industry partners.

4. Collaboration

The CJF CRA requires a multidisciplinary, collaborative effort that synergistically views every new funded effort as part of a network of researchers to grow and support an ecosystem of high-quality, innovative research actively sharing knowledge and collaboratively addressing scientific gaps critical to the Department of Defense. The success of this program will require meaningful collaborative partnerships between government, academia, and industry to advance the science. This program has been developed in coordination with other related ARL-funded collaborative efforts (see descriptions of ARL collaborative alliances at <https://www.arl.army.mil/business/collaborative-alliances/>) and shares a common vision of highly collaborative academia-industry-government partnerships. Proposals should address their intellectual property (IP) approach and how their approach will foster collaboration with ARL and other funded CJF CRA teams, and how their solution will further advance the state-of-art and, where possible, contribute to the open source community and/or ARL/government owned solutions.

Applicants should identify their collaboration plans for topic areas in this BAA. The collaboration plan must:

- Identify how simulated, realistic, and operationally relevant networks, data, and ML models will be generated for use in the proposed research. This plan should include opportunities for input and collaboration with ARL researchers.
- Frequency of meetings
- Frequency of reviews/evals, etc.

5. Associate Performer Agreement.

To ensure a fully collaborative program, all TA1, TA2, and TA3 performers will sign an Associate Performer Agreement to facilitate program-wide collaboration between all performers and government researchers such that the work is performed as a single, though complex, program of research. It is expected that all performers and government researchers will meet virtually multiple times throughout each year of the program to ensure coordination and teaming not just within their Technical Area, but across all Technical Areas. Additionally, all performers and government researchers will gather annually to facilitate deep connections between researchers, to support collaborations including with graduate students and postdocs across institutions, and to provide the government and Review Boards with status updates.

6. Program Intent

It is the intent of this BAA to solicit the most creative, innovative, and flexible approaches to the ultimate goal of generating and exploiting research to solve pressing research gaps and issues impacting both the military and commercial sectors. This BAA seeks proposals which will result cooperative agreements (CAs) for TA1 and TA2, and a contract for TA3. Proposals will be solicited for innovative solutions that will advance the

state-of-art in the research technical areas detailed above and that will result in experiments demonstrating the art-of-the-possible to inform future warfighter concepts and capabilities. Compliant proposals will be evaluated, as discussed below.

One proposal for each technical area will be selected for funding from this BAA. ARL reserves the right to negotiate with an Applicant to re-scope their proposal's technical focus, period of performance, and associated costs to maximize the available program funding, balance of research topics across the program, and overall impact to the program.

NOTE: Under this BAA, the Government is NOT looking for proposals for existing solutions to employ, NOR is the Government looking for proposals to select a contractor to perform a broad range of services as required by the Government. Each proposal received will be subject to a scientific or peer review as delineated later in this document.

(End of section)

C. FEDERAL AWARD INFORMATION

It is anticipated the awards will be made in the form of contracts and cooperative agreements. While other vehicles such as grants and contracts will be considered, the strong preference for TA1 and TA2 is for a cooperative agreement as the award type to allow for maximum interaction, cooperation, and collaboration between the Government and the awardee. The awards will be made at funding levels commensurate with the proposed research, investigator/team type, as well as availability of funding.

We realize the preparation of a research proposal often represents a substantial investment of time and effort by the applicant. Therefore, in an attempt to minimize this burden, we are requiring applicants interested in funding for TA1 and TA2 under this BAA to submit white papers describing the type of research effort to be proposed; interested TA3 applicants are strongly encouraged to submit a white paper in that it will provide an opportunity for the Government to provide early feedback. White papers received will be reviewed by a Government panel. A detailed description of the white paper submissions and evaluations can be found in Section E.

1. Anticipated Funding: Pending availability of funds, we anticipate that one award will be made for each TA and that they will have the following funding profiles (\$k).

	Base Award			Option Period	
	FY25	FY26	FY27	FY28	FY29
TA1:	\$ 1,000	\$ 1,000	\$ 1,400	\$ 1,500	\$ 1,500
TA2:	\$ 1,000	\$ 1,000	\$ 1,400	\$ 1,500	\$ 1,500
	Base Award	Option Periods			
TA3:	\$ 1,000	\$ 1,000	\$ 1,400	\$ 1,500	\$ 1,500
Program:	\$ 3,000	\$ 3,000	\$ 4,200	\$ 4,500	\$ 4,500

The TA1 and TA2 Cooperative Agreements will be awarded with a 36-month Base Period with an additional 24-month Option Period. The TA3 Contract will be awarded with a 12-month Base Period and four (4) 1-year Option Periods. In addition to the three core performers selected through this BAA announcement, it is anticipated that this Program will support one or more 3-year efforts for TA1 and TA2 starting in FY27. Proposals are expected to be bid at a cost commensurate with the level of effort, not to exceed the funding profiles offered above. All funding is expected to be expended within the fiscal year of performance.

2. Funding: This BAA is issued subject to the availability of funds. ARL has submitted the requisite documents to request funding for the period covered by the program. Funding levels specified in this BAA are estimated funding levels and are for proposal preparation purposes only; actual funding levels of the awards will be updated annually as part of the federal appropriation process.

3. Profit/Fee: Profit/fee is not permitted for TA1 and TA2 under this BAA.

4. Cost Sharing: Cost sharing is not required under this BAA.

5. Award Instrument: The ACC-APG RTP Division has the authority to award a variety of instruments on behalf of ARL. Anticipated awards will be made in the form of cooperative agreements or contracts. The ACC-APG RTP Division reserves the right to select the type of instrument most appropriate for the effort proposed. Applicants should familiarize themselves with these instrument types and the applicable regulations before submitting a proposal. Following are brief descriptions of the possible award instruments:

a. Cooperative Agreement. A legal instrument which, consistent with 31 U.S.C. 6305, is used to enter into the same kind of relationship as a grant, except that substantial involvement is expected between the Federal Government and the recipient when carrying out the activity contemplated by the cooperative agreement. The term does not include "cooperative research and development agreements" as defined in 15 U.S.C. 3710a. No fee or profit is allowed.

Cooperative agreements for institutions of higher education, nonprofit organizations, foreign organizations, and foreign public entities are primarily governed by the following:

- i. Federal statutes
- ii. Federal regulations
- iii. 2 CFR Part 200
- iv. 2 CFR 1104
- v. 32 CFR Parts 21, 22, 26, and 28
- vi. DoD Research and Development General Terms and Conditions
- vii. Agency-specific Research Terms and Conditions

Cooperative agreements for for-profit and nonprofit organizations exempted from Subpart E—Cost Principles of 2 CFR Part 200, are primarily governed by the following:

- i. Federal statutes
- ii. Federal regulations
- iii. 32 CFR Part 34 – Administrative Requirements for Grants and Agreements with For-Profit Organizations
- iv. 32 CFR Parts 21, 22, 26, and 28
- v. DoD Research and Development General Terms and Conditions
- vi. Agency-specific Research Terms and Conditions

b. Procurement Contract. A legal instrument, consistent with 31 U.S.C. 6303, which reflects a relationship between the Federal Government and a state government, a local government, or other entity/contractor when the principal purpose of the instrument is to acquire property or services for the direct benefit or use of the Federal Government.

Contracts are primarily governed by the following regulations:

- i. Federal Acquisition Regulation (FAR)
- ii. Defense Federal Acquisition Regulation Supplement (DFARS)
- iii. Army Federal Acquisition Regulation Supplement (AFARS)
- iv. Fee or profit is allowed under this BAA

c. Regulations Resources. The following websites may be accessed to obtain an electronic copy of the governing regulations and terms and conditions:

- i. FAR, DFARS, and AFARS: <https://www.acquisition.gov>
- ii. Code of Federal Regulations (CFR): <https://www.ecfr.gov/>
- iii. DoD Research and Development General Terms and Conditions: <https://www.nre.navy.mil/work-with-us/manage-your-award/manage-grant-award/grants-terms-conditions>
- iv. Agency-specific Research Terms and Conditions: <https://www.arl.army.mil/resources/baa-forms/#terms-and-conditions>

d. Proposal Submission: The application process consists of proposal submissions from applicants under this BAA. Applicants should note there are page limitations and other requirements associated with the submission process. Submissions in connection with this BAA are due by the date and time specified above. This BAA may be amended in the future for additional topics and will include the submission requirements for those proposals. Additional proposal instructions may be provided during the time of white paper feedback.

e. Classified Submissions: Proposals containing classified information are not accepted under this BAA. However, proposals may discuss the need to access or generate controlled unclassified information (CUI) for the proposed work. If an award requires access to CUI, DFARS Clause 252.204-7012 will be included in the award, as well as additional ARL specific requirements as determined necessary. Similarly, TA3 proposals may discuss the *need* to access or generate classified information up to TS/SCI, but cannot contain classified information in the proposal. If an award requires access to classified information than the award will be modified with the appropriate protective language before any classified work can be conducted on this contract.

f. Period of Performance: The CA Awards made as a result of this BAA will provide for a period of performance of 36 months, with the potential to exercise an option period for up to 24 months. The Contract Award made as a result of this BAA will provide for a period of performance of 12 months, with the potential to exercise four (4) 12-month option periods.

g. Place of Performance: There is no limitation within the United States or its territories on the place of performance, although on-site collaboration at ARL facilities and with ARL researchers as well as with other Recipients is encouraged. It is mandatory that all Recipients present research progress at annual program review events.

h. Contact Information: All questions or comments concerning this BAA must be submitted to the Government through the CJF CRA mailbox: cjf-cra-baa@army.mil. Comments or questions submitted should be concise and to the point. In addition, the relevant part and paragraph of the BAA to which a comment or question pertains must be referenced. Responses to non-proprietary questions received will be posted without attribution to the CJF CRA BAA (W911NF-24-S-0010) at <https://sam.gov> and <https://grants.gov> under the "General Information/Questions & Answers" section for the benefit of all interested parties. All clearly identified and marked proprietary questions submitted will be responded to via an individual email response. Applicants are encouraged to submit questions as early as possible. The deadline for submission of questions which will be answered under this BAA is listed in Event timeline above. Any answers provided to questions do not change the requirements of this BAA.

(End of section)

D. ELIGIBILITY INFORMATION

1. Eligible Applicants

Eligible applicants under this BAA include institutions of higher education, nonprofit organizations, for-profit organizations (i.e., large and small businesses) in the United States or its territories. White papers and proposals will be evaluated only if they are for fundamental scientific study and experimentation directed toward advancing the scientific state of the art or increasing basic knowledge and understanding. White papers and proposals focused on specific devices or components are beyond the scope of this BAA. More than one white paper and/or proposal is allowable from any single institution or organization, but each white paper and/or proposal must be limited to a single TA.

2. CUI and TS/SCI Performers

- a. TA1 and TA2 will be awarded as cooperative agreements at the Controlled Unclassified Information (CUI) level. As such, all proposing members of TA1 and TA2 teams, and their post docs, must meet CUI eligibility requirements post-award which are:
 - i. Citizenship: As CUI access will only occur at Adelphi Laboratory Center (ALC) and Aberdeen Proving Ground (APG), these individuals will need to be U.S. citizens.
 - ii. Background Investigations: Individuals who require access to CUI must undergo a T1 background investigation and receive and maintain a favorable Homeland Security Presidential Directive 12 (HSPD-12) adjudication for the duration of the CUI access. Individuals requiring a background investigation will be submitted at the discretion of the ARL CAM in coordination with ARL Security Office.
 - iii. Training: All individuals requiring access to CUI under this agreement will complete initial and annual CUI training by taking the DOD Mandatory Controlled Unclassified Information (CUI) Training IF141.06 through the Center for Development of Security Excellence located at <https://securityawareness.usalearning.gov/cui/index.html> or another medium approved by ARL. Certification of completion will be kept on file by the Recipient and made available upon request by ARL.
 - iv. Information Systems Requirements: Access to CUI on information systems is limited to government owned and accredited information systems (i.e., computers) only at Adelphi Laboratory Center (ALC) and Aberdeen Proving Ground (APG), MD.

- b. TA3 will be awarded as an unclassified contract. All members of the proposing team and their post docs must meet CUI requirements as explained above. While the original contract will not contain any classified components, it may be modified during the program to allow for TS/SCI classified work under this contract. As such, at least one member of the proposing team must hold an active TS/SCI or equivalent clearance with the U.S. Government. Additionally, the proposing team's organization must have an active facility clearance to support TS/SCI work.
- c. White papers and proposals must include a list of key personnel, their CUI eligibility, and what, if any, clearance they hold. This information should also be clearly indicated on the top of each submitted 2-page biographical sketch.

3. Cost Sharing or Matching

Generally, there is no requirement for cost sharing, matching, or cost participation to be eligible for award under this BAA. Cost sharing and matching is not an evaluation factor used under this BAA.

In addition, if cost sharing is proposed on a grant or cooperative agreement proposal submitted by a nonprofit or institution of higher education, the award will be subject to the restrictions at 2 CFR 200.306. If cost sharing is proposed on a contract proposal, the award will be subject to the restrictions at FAR 35.003.

4. Other

Federally Funded Research and Development Centers (FFRDCs) are subject to applicable direct competition limitations and cannot propose to this solicitation in any capacity unless they meet the following conditions. (1) FFRDCs must clearly demonstrate that the proposed work is not otherwise available from the private sector. (2) FFRDCs must provide a letter, on official letterhead from their sponsoring organization, that (a) cites the specific authority establishing their eligibility to propose to Government solicitations and compete with industry, and (b) certifies the FFRDC's compliance with the associated FFRDC sponsor agreement's terms and conditions. These conditions are a requirement for FFRDCs proposing to be awardees or sub-awardees.

(End of section)

E. WHITE PAPER SUBMISSION INFORMATION

1. Overview

White papers should focus on describing details of the proposed research, including how it is innovative, how it could substantially increase the scientific state of the art, Army/DoD/IC relevance, and potential impact.

White papers are limited to seven (7) total pages; one (1) cover page, four (4) pages for technical content, and a two (2) page addendum for all team members biographical sketches as discussed below. Evaluators will only review the white paper cover page, up to four technical content pages, and the two-page addendum. Please do NOT send additional documents as they will NOT be evaluated.

White papers must be in the following format but do not require any special forms:

- Page Size: 8 ½ x 11 inches
- Margins – 1 inch
- Spacing – single
- Font – Arial, 12 point

Combine all files and forms into a single PDF before submitting.

2. Format and Content of White papers

a. COVER PAGE (not to exceed one page)

The white paper cover page shall include at a minimum: Title of the white paper, name and contact information of the individual and organization submitting the white paper, the Technical Area that will be addressed, and the BAA number of this announcement (W911NF-24-S-0010).

b. TECHNICAL CONTENT (not to exceed four pages)

- Scientific (max. 3 pages) - What is your basic idea? Why is it innovative? What are the technical challenges to this idea you will be focused on with your research? What are the scientific and technical approaches to overcome the challenges?
- Impact (max. 0.5 page) - If successful, how will this work improve the capabilities of intelligence analysts?
- Programmatic (max. 0.5 page) – To the extent known at this point, provide details on the research team (max. 6 members) with CUI eligibility and any clearances,

timeline, deliverables, and estimated cost of the research. Brief per year descriptions are an acceptable level of granularity. For TA3 proposers, please include information about your facility clearance.

c. ADDENDUM (not to exceed 2 pages total for all PI/Co-PIs)

Within two (2) pages, include biographical summaries of the key personnel who will perform the research, and succinctly highlighting their qualifications, areas of expertise, and relevant experience.

3. Restrictive Markings on white papers

a. Proprietary Information

Any proprietary data that the applicant intends to be used only by the Government for evaluation purposes must be clearly marked. In the absence of such identification, the Government will conclude there are no limitations or restrictions on technical data or computer software included in the white paper. Records or data bearing a restrictive legend may be included in the white paper. All proposals are treated as procurement sensitive and are disclosed only for the purpose of evaluation. Proposals will be subject to a peer review by highly qualified subject matter experts, both Government employees and in certain cases non- Government employees.

Care must be exercised to ensure that classified, sensitive, and critical technologies are NOT included in a white paper.

b. Freedom of Information Act (FOIA)

Applicants are cautioned, however, that portions of the white papers may be subject to release under terms of the Freedom of Information Act, 5 U.S.C. 552, as amended.

4. Evaluation and Disposition of white papers

a. Evaluation Process:

- i. Applicants are advised that invitations for proposals will be made based on the white paper submissions and the availability of funding.
- ii. Each white paper will be evaluated by a Government Panel for
 - a) the concept's fit within the proposed TA of submission
 - b) scientific merit
 - c) potential contributions of the effort to the Army, Department of Defense, and/or the Intelligence Community mission.

- iii. Applications of the highest merit will be invited by a CJF Contracting Officer to submit full proposals.
- iv. A TA1 or TA2 Applicant that does NOT receive an invitation from the Government to submit a Full Proposal is NOT eligible to submit a Proposal.
- v. TA3 Applicants are encourage to submit White Papers, but may submit a Proposal without a Contracting Officer's invitation

b. Disposition Process:

The Applicant will be notified in writing (email) after completion of the evaluation. White papers will not be returned to applicants. Only White Papers invited to submit proposals will receive feedback from the Government Panel.

5. White paper Submission

All white papers must be emailed directly to the following email address:

cjf-cra-baa@army.mil

In the email subject line, include the phrase "White paper Submission: Collective Judgment Formation CRA," the BAA number W911NF-24-S-0010, and the Technical Area from Section II.B of this BAA. White papers submitted via email must be in a single PDF formatted file as an email attachment. It is highly recommended to submit at least 24 hours ahead of the deadline to ensure your email message has sufficient time to clear the Army email security process ahead of the 3:00 PM Eastern Daylight Time deadline.

(End of section)

F. PROPOSAL APPLICATION AND SUBMISSION INFORMATION

1. Address to View Broad Agency Announcement

This BAA may be accessed via the following websites:

- a. Grants.gov (<https://grants.gov/>)
- b. SAM.gov Contract Opportunities (<https://sam.gov/>)
- c. ARL website (<https://arl.devcom.army.mil/collaborate-with-us/avenue/collaborative-partnerships/>)

Amendments to this BAA, if any, will be posted to these websites when they occur. Interested parties are encouraged to periodically check these websites for updates and amendments.

The following information is for those invited to respond to this BAA after the white paper process and other TA3 proposals:

2. Content and Form of Application Submission

a. General Information

i. Preliminary Inquiries: The White Paper stage described above will serve as the opportunity for Preliminary Inquiries. After the White Paper stage, Proposers may submit general inquiries to cjf-cra-baa@army.mil as part of the public Q&A process. Answers to such general inquiries will be posted on the Q&A website for everyone's benefit.

ii. Classified Submissions: Classified proposals are not accepted under this BAA.

iii. Use of Color in Proposals: The use of color in proposals is encourage to the extent that it makes the content more readable or to more clearly make a point. Color figures are also encouraged to the extent that they enhance the proposal.

iv. Post-Employment Conflict of Interest: There are certain post-employment restrictions on former federal employees, including special government employees (18 U.S.C. 207). If a prospective applicant believes a conflict of interest may exist, the situation should be brought to the attention of the CJF team via email (cjf-cra-baa@army.mil) and will then coordinate with appropriate ARL legal counsel prior to the applicant expending time and effort in preparing a proposal.

v. Statement of Disclosure Preference: In accordance with Section II.F.2.c.iii of this BAA, ARO Form 52 or 52A shall be completed stating your preference for release of

information contained in your proposal. Copies of these forms may be downloaded from the ARO website at <https://arl.devcom.army.mil/resources/baa-forms/>.

NOTE: Proposals may be handled for administrative purposes by support contractors. These support contractors are prohibited from submitting proposals under this BAA and are bound by non-disclosure and/or conflict of interest requirements as deemed appropriate.

vi. Equipment: Normally, title to equipment or other tangible property purchased with Government funds vests with nonprofit institutions of higher education or with nonprofit organizations whose primary purpose is conducting scientific research if vesting will facilitate scientific research performed for the Government. For-profit organizations are expected to possess the necessary equipment to conduct the proposed research. Deviations may be made on a case-by-case basis to allow for-profit organizations to purchase equipment, but regulatory disposition instructions must be followed.

b. The Application Process

The application process is in three stages as follows:

i. Stage 1: Prior to submitting an application or plan, a prospective applicant must be registered in SAM, the System for Award Management (SAM) at <https://www.sam.gov/SAM/>. Registration entails obtaining a Unique Entity Identifier (formerly DUNS) if an applicant does not already have a UEI; this process is also managed in SAM.

ii. Stage 2: Prospective TA1 and TA2 proposers are required to submit white papers prior to the submission of a complete, more detailed proposal as described in the sections above. Prospective TA3 proposers are strongly encouraged to submit white papers. See Section II.E.4.

iii. Stage 3: White Papers of the highest merit will be invited by the Government and are required to submit proposals in order to be considered for funding. Only applicants invited by the Contracting Officer are eligible to submit proposals for TA1 and TA2; TA3 applicants may submit without invitation but are still encouraged to submit a white paper. All proposals submitted under the terms and conditions cited in this BAA will be reviewed. Additional proposal instructions may be provided as part of the Invitation for Full Proposals.

All proposals for Assistance Instruments and Contracts must be submitted electronically through Grants.gov using Workspace. See Section II.F.2.d of this BAA for information on the proposal submission process.

All required forms for proposals may be downloaded from the ARL websites at:

<https://arl.devcom.army.mil/resources/baa-forms/>

<https://arl.devcom.army.mil/collaborate-with-us/opportunity/arrp/>

c. Preparation of Proposals

Proposals must be in the following format:

- Page Size: 8 ½ x 11 inches
- Margins – 1 inch
- Spacing – single
- Font – Arial, 12 point

i. COVER PAGE:

(1) A Cover Page is required. For all Assistance instruments and contract proposals submitted via Grants.gov, use the SF 424 (R&R) Form. Proposals will not be processed without either: (1) a signed Cover Page, ARO Form 51, or (2) a SF 424 (R&R) Form.

(2) Should the project be carried out at a branch campus or other component of the applicant, that branch campus or component should be identified in the space provided (Block 11 on the ARO Form 51 and Block 12 on the SF 424 (R&R) Form).

(3) The title of the proposed project should be brief, scientifically representative, intelligible to a scientifically literate reader, and suitable for use in the public domain.

(4) The names and affiliations of PI and Co-PIs.

(5) The proposed duration for which support is requested should be consistent with the nature and complexity of the proposed activity.

(6) Specification of a desired starting date for the project is important and helpful; however, requested effective dates cannot be guaranteed.

(7) Pursuant to 31 U.S.C. 7701, as amended by the Debt Collection Improvement Act of 1996 [Section 31001(I)(1), Public Law 104-134] and implemented by 32 CFR 22.420(d), federal agencies shall obtain each awardees' Taxpayer Identification Number (TIN). The TIN is being obtained for purposes of collecting and reporting on any delinquent amounts that may arise out of an awardees' relationship with the Government.

(8) Applicants shall provide their organization's Unique Entity Identifier (formerly DUNS) obtained from SAM, the System for Award Management System (SAM) at <https://www.sam.gov/SAM/>.

(9) Applicants shall provide their assigned Commercial and Government Entity (CAGE) Code. The CAGE Code is a 5-character code assigned and maintained by the Defense Logistics Service Center (DLSC) to identify a commercial plant or establishment.

ii. TABLE OF CONTENTS:

Use the following format for the Table of Contents. Forms are available at <https://arl.devcom.army.mil/resources/baa-forms/> under "BAA Forms".

SECTION	PAGE NUMBER
Table of Contents	A-1
Statement of Disclosure Preference (Form 52 or 52A)	B-1
Research and Related Other Project Information	B-2
Project Abstract	C-1
Project Description (Technical Proposal)	D-1
Biographical Sketch	E-1
Bibliography	F-1
Current and Pending Support	G-1
Facilities, Equipment, and Other Resources	H-1
Proposal Budget and Budget Justification	I-1
Contract Facilities Capital Cost of Money (DD Form 1861)	J-1
Appendices	K-1

List Appendix Items: _____

This format applies to all proposals submitted via email and via Grants.gov. Applicants should show the location of each section of the proposal, as well as major subdivisions of the project description.

iii. STATEMENT OF DISCLOSURE PREFERENCE (FORM 52 OR 52A): Complete and sign ARO Form 52 (Industrial Contractors) or ARO Form 52A (Educational and Nonprofit Organizations).

iv. RESEARCH AND RELATED OTHER PROJECT INFORMATION: Must be completed and signed by all applicants.

v. PROJECT ABSTRACT:

(1) The project abstract shall be completed on the form entitled “Publicly Releasable Project Abstract” found at the following website:

<https://arl.devcom.army.mil/resources/baa-forms/>.

(2) Unless otherwise instructed in this BAA, the project abstract shall include a concise statement of work and basic approaches to be used in the proposed effort. The abstract should include a statement of scientific objectives, methods to be employed, and the significance of the proposed effort to the advancement of scientific knowledge.

(3) The abstract should be no longer than one (1) page (maximum 4,000 characters).

(4) The project abstract shall be marked by the applicant as publicly releasable. By submission of the project abstract, the applicant confirms that the abstract is releasable to the public. For a proposal that results in a grant award, the project abstract will be posted to a searchable website available to the general public to meet the requirements of Section 8123 of the DoD Appropriations Act, 2015. The website address is

<https://discover.dtic.mil/>.

(5) The Abstract shall clearly indicate which Technical Area the proposal addresses.

vi. PROJECT DESCRIPTION (TECHNICAL PROPOSAL):

The technical portion of the proposal is limited to 14 pages (exclusive of citations—see viii of this section) and shall contain the following:

(1) Describe in detail the basic research in science to be undertaken. State the objectives and approach, including the type of data to be used and how data will be analyzed and interpreted. Discuss the relationship of the proposed research to the state-of-the-art of knowledge in the field and to related efforts in programs elsewhere and discuss potential scientific breakthroughs. Include appropriate literature citations/references. Discuss the nature of expected results. Describe plans for the research training of students and/or postdocs. Include the number of time equivalent postdocs, graduate students, and undergraduates, if any, to be supported each year. Discuss the involvement of other students, if any. Ensure the proposal identifies any scientific uncertainties and describes specific approaches for the resolution or mitigation of the uncertainties. More specifically, the proposal shall include:

- a) A list of intellectual property owners, if any
- b) A brief description of the overall goal for the effort
- c) For background, include how is it done today, what is new in your approach, and why you think your approach will be successful
- d) List any assumptions and preliminary constraints for this effort
- e) A project plan outline, projected start date in the Spring of 2025 and overall schedule for the effort
- f) Describe mid-term and final criteria to check for success (should be at least on a yearly basis)
- g) Describe how many phases necessary for this effort and the cost and timeline of each phase (should be at least on a yearly basis)
- h) Identify the individuals/organizations to be involved in the proposed effort along with their roles (researchers/students/postdocs/senior technical personnel/junior employees)
- i) Provide any additional relevant details not incorporated in the above sections (potential vendors to team with, researchers or institutions capable of providing the needed work or solutions, historical attempts, past performances)
- j) Describe training opportunities that, if funded, students and/or postdocs will receive through participation in this research program
- k) Describe possible follow-on research and development needed if the proposed research is successful
- l) A teaming and collaboration plan for interaction, collaboration, cooperation, communication, and data sharing with government scientists and performers in the Program's other two Technical Areas; notional or specific researchers within DEVCOM ARL, other organizations within the Army S&T Enterprise, and broadly within DoD and the IC should be named if possible
- m) Impact and potential transitions, if successful, to the Army, DoD, and/or IC

(2) A brief description of your organization. If the applicant has extensive government contracting experience and has previously provided the information to ARO, the information need not be provided again. A statement setting forth this condition should be made.

(3) The names of other federal, state, local agencies, or other parties receiving the proposal and/or funding the proposed effort. If none, state so. Concurrent or later submission of the proposal to other organizations will not prejudice its review by ARL if we are kept informed of the situation.

(4) A statement regarding possible impact, if any, of the proposed effort on the environment, considering as a minimum its effect upon water, atmosphere, natural resources, human resources, and any other values.

(5) A statement regarding the use of Class I and Class II ozone- depleting substances. Ozone-depleting substances are any substance designated as Class I by EPA, including but not limited to chlorofluorocarbons, halons, carbon tetrachloride, and methyl chloroform, and any substance designated as Class II by EPA, including but not limited to hydrochlorofluorocarbons. See 40 CFR Part 82 for detailed information. If Class I or II substances are to be utilized, a list shall be provided as part of the applicant's proposal. If none, state so.

(6) The type of support, if any, requested by the applicant (e.g., facilities, equipment, and materials).

vii. BIOGRAPHICAL SKETCH:

(1) The biographical sketches should be two (2) pages per investigator and other individuals that merit consideration. All *Biographical Sketches* must be submitted on the ARL form available at <https://arl.devcom.army.mil/resources/baa-forms/>. Complete curriculum vita (CVs) must NOT be submitted with proposals.

(2) This section shall contain the biographical sketches for key personnel only and should match all personnel listed on SF 424 of the submission process.

a) Primary PI: The Primary PI provides a single or initial point of communication between ARL and the awardee organization(s) about scientific matters. If not otherwise designated, the first PI listed will serve as the Primary PI. This individual can be changed with notification to ARO. ARO does not infer any additional scientific stature to this role among collaborating investigators.

b) Co-PIs: The individual(s) a research organization designates as having an appropriate level of authority and responsibility for the proper conduct of the research and submission of required reports to ARO. When an organization designates more than one PI, it identifies them as individuals who share the authority and responsibility for leading and directing the research, intellectually and logistically. ARO does not infer any distinction among multiple PIs.

(3) The following information is required:

a) Relevant education, experience, and employment history including a description of any prior Federal employment within one year preceding the date of proposal submission.

b) CUI eligibility and any clearance currently held

c) List of up to five publications most closely related to the proposed project and up to five other significant publications, including those being printed. Patents, copyrights, or software systems developed may be substituted for publications.

- d) List of persons, other than those cited in the publications list, who have collaborated on a project or a book, article, report or paper within the last four years. Include pending publications and submissions. Otherwise, state "None."
- e) Names of each investigator's own graduate or post-graduate advisors and advisees and their current affiliations if known.

NOTE: The information provided in (c) and (d) is used to help identify potential conflicts or bias in the selection of reviewers.

(4) For the personnel categories of postdoctoral associates, other professionals, and students (research assistants), the proposal may include information on exceptional qualifications of these individuals that merit consideration in the evaluation of the proposal.

viii. BIBLIOGRAPHY: A bibliography of pertinent literature is required. Citations must be complete (including full name of author(s), title, and location in the literature) and submitted via the *Bibliography* form available at <https://arl.devcom.army.mil/resources/baa-forms/>.

ix. CURRENT AND PENDING SUPPORT:

All key personnel listed on the SF 424 and whose biographical sketches have been submitted must also submit their *Current and Pending Support* via form <https://arl.devcom.army.mil/resources/baa-forms/>.

(1) All project support from whatever source must be listed. The list must include all projects requiring a portion of the PI's and other key personnel's time, even if they receive no salary support from the project(s).

(2) The information should include, at a minimum: (i) the project/proposal title and brief description, (ii) the name and location of the organization or agency presently funding the work or requested to fund such work, (iii) the award amount or annual dollar volume of the effort, (iv) the period of performance, and (v) a breakdown of the time required of the PI and/or other key personnel.

x. FACILITIES, EQUIPMENT, AND OTHER RESOURCES: The applicant should include in the proposal a listing of facilities, equipment, and other resources already available to perform the research proposed.

xi. PROPOSAL BUDGET (including DD Form 1861):

(1) Each proposal must contain a budget for each year of support requested and a cumulative budget for the full term of requested support. Each budget year and the cumulative budget for the full term must be documented on *Summary Proposal Budget (ARO Form 99)* available at <https://arl.devcom.army.mil/resources/baa-forms/>. ARO Form 99 may be reproduced, but you may not make substitutions in prescribed budget categories nor alter or rearrange the cost categories as they appear on the form. The proposal may request funds under any of the categories listed so long as the item is considered necessary to perform the proposed work and is not precluded by applicable cost principles. A signed summary budget page must be included.

(2) In addition to the forms, the budget proposal should include budget justification for each year. The documentation pages should be titled "Budget Explanation Page" and numbered chronologically starting with the budget form. The need for each item should be explained clearly and concisely.

(3) All cost data must be current and complete. Costs proposed must conform to the following principles and procedures:

Institutions of Higher Education: 2 CFR Part 200

Nonprofit Organizations: 2 CFR Part 200. For those nonprofit organizations specifically exempt from the provisions of Subpart E of 2 CFR Part 200 (see 2 CFR 200.401(c)), FAR Part 31 and DFARS Part 231 shall apply.

For-Profit/Commercial Organizations: FAR Part 31, DFARS Part 231, FAR Subsection 15.403-5, and DFARS Subsection 215.403-5.

(4) Before award of a cost-type contract or assistance instrument it must be established that an approved accounting system and financial management system exist.

xii. APPENDICES: Some situations require that special information and supporting documents be included in the proposal before funding can be approved. Such information and documentation should be included by appendix to the proposal. Any information provided in an appendix will NOT be evaluated by the Review panel in consideration for award.

(1) To evaluate compliance with Title IX of the Education Amendments of 1972 (20 U.S.C. A Section 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. To enable this assessment, each application must include the following forms completed as indicated.

(2) Research and Related Senior/Key Person Profile (Expanded) form:

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.

(3) Research and Related Personal Data form:

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 or 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. Submission of Proposals

Proposals must be submitted through Grants.gov. Proposals must be submitted through the applicant’s organizational office having responsibility for Government business relations. All signatures must be that of an official authorized to commit the organization in business and financial affairs.

i. GRANTS.GOV SUBMISSION For **all proposals requesting Assistance agreements (grants and cooperative agreements)**. Proposals requesting a Contract may be submitted either via Grants.gov or email (see section ii below).

(1) Grants.gov Registration must be accomplished prior to application submission in Grants.gov.

NOTE: All websites referenced in this section are subject to change by Grants.gov and may not be updated here.

(2) Specific forms are required for submission of a proposal. The forms are contained in the Application Package available through the Grants.gov application process. To access these materials, go to <http://www.grants.gov>,

select "Apply for Grants," and then select "Get Application Package." A Grant Application Package and Application Instructions are available through the Grants.Gov Apply portal under CFDA Number 12.431/Funding Opportunity Number W911NF-24-S-0010. Select "Apply" and then "Apply Now Using Workspace."

*NOTE: Effective 31 December 2017, the legacy PDF application package on Grants.gov will be retired and applicants must apply online at Grants.gov using the application Workspace. For access to complete instructions on how to apply for opportunities using Workspace refer to <https://www.grants.gov/applicants/workspace-overview>.

The following documents are **mandatory**: (3) Application for Federal Assistance (R&R) (SF 424 (R&R)), and (4) Attachments form.

(3) The SF 424 (R&R) form is to be used as the cover page for all proposals submitted via Grants.gov. The SF 424 (R&R) must be fully completed. Authorized Organization Representative (AOR) usernames and passwords serve as "electronic signatures" when your organization submits applications through Grants.gov. By using the SF 424 (R&R), proposers are providing the certification required by 32 CFR Part 28 regarding lobbying (see Section II.H.2.a.ii of this BAA). Block 11, "Descriptive Title of Applicant's Project," must reference the research Technical Area being addressed in the effort from Section II.B of this BAA.

(4) The Attachments form must contain the documents outlined in Section II.F.2.c.ii entitled "Table of Contents". All documents must be combined into separate and single PDF formatted files using the Table of Contents names. Include "W911NF-24-S-0010" in the title so the proposal will be distinguished from other BAA submissions and upload each document to the mandatory Attachments form.

(5) The applicant must include with its proposal submission the representations required by Section II.H.2.b of this BAA. The representations must include applicant POC information and be signed by an authorized representative. Attach the representations document to an available field within the Attachments form. Note: If the applicant's SAM Representations and Certifications include its response to the representations a hard copy representation is not required with proposal submission.

(6) The Grants.gov User Guide at: <https://www.grants.gov/help/html/help/index.htm#t=Applicants%2FGrantApplications.htm> will assist AORs in the application process. Remember that you must open and complete the Application for Federal Assistance (R&R) (SF 424 (R&R)) first, as this form will automatically populate data fields in other forms. If you encounter any problems, contact customer support at 1-800-518-4726 or at

support@grants.gov. If you forget your username or password, follow the instructions provided in the Credential Provider tutorial. Tutorials may be printed by right-clicking on the tutorial and selecting "Print".

(7) As it is possible for Grants.gov to reject the proposal during this process, **it is strongly recommended that proposals be uploaded at least two days before any established deadline in the BAA so that they will not be received late and be ineligible for award consideration.** It is also recommended to start uploading proposals at least two days before the deadline to plan ahead for any potential technical and/or input problems involving the applicant's own equipment.

e. Grants.gov Registration

- i. Each organization that desires to submit applications via Grants.Gov must complete a one-time registration. There are several one-time actions your organization must complete in order to submit applications through Grants.gov (e.g., obtain a Unique Entity Identifier, register with the SAM, register with the credential provider, register with Grants.gov and obtain approval for an AOR to submit applications on behalf of the organization). To register please see <https://www.grants.gov/register>.
- ii. Please note the registration process for an Organization or an Individual can take between three to five business days or as long as four weeks if all steps are not completed in a timely manner.
- iii. Questions relating to the registration process, system requirements, how an application form works, or the submittal process should be directed to Grants.gov at 1-800-518-4726 or support@grants.gov.

3. Unique Entity Identifier and System for Award Management (SAM)

- a. Each applicant (unless the applicant is an individual or Federal awarding agency that is exempt from those requirements under 2 CFR 25.110(b) or (c), or has an exemption approved by the Federal awarding agency under 2 CFR 25.110(d)) is required to:
 - i. Be registered in SAM prior to submitting its application;
 - ii. Provide a valid Unique Entity Identifier (formerly DUNS) in its application; and
 - iii. 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.
- b. The Federal awarding agency may not make a Federal award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM

requirements. If an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

4. Submission Dates and Times

a. Proposals

Proposals transmitted to be considered for award must be **received** by Grants.gov **no later than 3:00 PM Eastern Standard Time on ~~21 November 2024~~ 06 December 2024.**

b. Proposal Receipt Notices

i. Grants.gov: After a proposal is submitted to Grants.gov, ARO will receive a series of three emails from Grants.gov. The first two emails will be received within 24 to 48 hours after submission. The first email will confirm time of receipt of the proposal by the Grants.gov system and the second will indicate that the proposal has either been successfully validated by the system prior to transmission to the grantor agency or has been rejected due to errors. A third email will be received once the grantor agency has confirmed receipt of the proposal. Reference the Grants.gov User Guide at <https://www.grants.gov/applicants/grant-applications/track-my-application> for information on how to track your application package.

For the purposes of this BAA, an applicant's proposal is not considered received by ARO until ARO receives email #3.

5. Intergovernmental Review

Not Applicable

6. Funding Restrictions

Pending availability of funds, we anticipate that each TA team will have the following funding profile (\$k) and ceiling limitations.

	Base Award			Option Period	
	FY25	FY26	FY27	FY28	FY29
TA1:	\$ 1,000	\$ 1,000	\$ 1,400	\$ 1,500	\$ 1,500
TA2:	\$ 1,000	\$ 1,000	\$ 1,400	\$ 1,500	\$ 1,500
	Base Award	Option Periods			
TA3:	\$ 1,000	\$ 1,000	\$ 1,400	\$ 1,500	\$ 1,500
Program:	\$ 3,000	\$ 3,000	\$ 4,200	\$ 4,500	\$ 4,500

7. Other Submission Requirements

- a. Information to Be Requested from Successful Applicants: Applicants whose proposals are accepted for funding will be contacted before award to provide additional information required for award. The required information may include requests to clarifying budget explanations, representations, and certifications.
- b. For Contracts Only: Performance Work Statements (PWS). Prior to award the Contracting Officer may request that the contractor submit a PWS for the effort to be performed, which will be incorporated into the contract at the time of award.

(End of Section)

G. PROPOSAL REVIEW INFORMATION

1. Criteria

- a. Proposals submitted in response to this BAA will be evaluated using the following evaluation factors, with priority importance given to i and ii:
 - i. Scientific merit, soundness, and programmatic strategy of the proposed research
 - ii. Relevance of the proposed research to the technical area applied and potential impact if successful
 - iii. Qualifications, experience, and availability of the Principal Investigators and co-Investigators
 - iv. Collaboration plan to work (a) as a single research team, (b) with other TA teams, and (c) with government scientists, as appropriate for award type
 - v. Realism and reasonableness of cost

- b. Proposals that are timely and in compliance with the requirements of the BAA will be evaluated in accordance with merit based, competitive procedures. These procedures will include the evaluation factors stated above which will be evaluated using an adjectival system as follows:

OUTSTANDING: The proposal is evaluated as outstanding for this factor. The proposal includes one or more significant strengths that are not offset by weaknesses.

GOOD: The proposal is evaluated as good for this factor. The proposal includes some strengths that are not offset by weaknesses.

ACCEPTABLE: The proposal is evaluated as acceptable for this factor. Any strengths and weaknesses in the proposal balance out.

MARGINAL: The proposal is evaluated as marginal for this factor. While the proposal may or may not contain some strengths, and strengths are more than offset by any weakness or weaknesses.

UNACCEPTABLE: The proposal is evaluated as unacceptable for this factor. While the proposal may or may not contain some strengths, and strengths are offset by any significant weakness or weaknesses.

- c. Each evaluated proposal will receive an overall recommendation of "Selectable" or "NOT Selectable" as supported by the evaluation.

**NOTE: Cost sharing will not be a consideration in proposal evaluation.

2. Review and Selection Process

- a. All proposals are treated as procurement sensitive and are disclosed only for the purpose of evaluation. Proposals will be subject to a peer review by highly qualified subject matter experts, both Government employees and non-Government, academic employees.
- b. Each proposal will be evaluated based on the evaluation criteria in Section II.G.1 of this BAA rather than against other proposals for research in the same technical area.
- c. Army Research Risk Assessment. Each proposal with a recommendation to “select” in accordance with Section II.G.2.b above, whose costs have been determined to be reasonable and realistic, and for which funds are available, will be subject to an Army Research Risk Assessment prior to award.

The Army Research Risk Assessment Program (ARRP). ARRP is an adaptive risk management security program applied to Army-funded research designed to help protect Army Science and Technology (S&T) by identifying possible vectors of undue foreign influence. Most current information is available at <https://arl.devcom.army.mil/collaborate-with-us/opportunity/arrp/>.

In order to identify and mitigate undue foreign influence as required by federal law and policy, the Army will perform a research risk assessment of each proposal selected based on the criteria above for consideration of a fundamental research grant or cooperative agreement award. ARRP risk assessments for these subject proposals will be developed for all proposed Senior/Key personnel, (also referred to as “Covered Individuals”). These risk assessments will be based on information disclosed in the Standard Form (SF) 424, “Senior/Key Person Profile (Expanded),” any of its accompanying or referenced documents, publicly available information, and information contained in internal Army databases. Nationality or citizenship is not a factor in the risk assessment.

ARRP has a risk matrix which identifies risk factors and resulting risk ratings. The matrix generally looks at four factors, or risk areas: participation in foreign talent programs; denied entity list affiliation or association (see <https://www.bis.doc.gov/index.php/the-denied-persons-list> and <https://www.bis.doc.gov/index.php/policy-guidance/lists-of-parties-of-concern/entity-list>); funding sources to include conflict of interest or conflict of commitment, or funding from a strategic competitor; and foreign influence showing a pattern or history of affiliation, association, or collaboration with a foreign institution, person or entity from a U.S. strategic competitor. The matrix is set forth below:

Rating	Identified Specific Actions of the Senior/Key Personnel			
	Foreign Talent Program	Denied Entities	Funding	Foreign Institutions
<u>HIGH</u>	Indicators of active (ongoing) participation or sponsorship in a strategic competitor Foreign Talent Program	Indicators of an active (ongoing) affiliation or past affiliation or present association with an entity on the U.S. Gov't denied entity or person list or EO 13959 or subsequent similar issuances	Indicators of active (ongoing) conflict of interest, conflict of commitment, or pattern of direct funding from a strategic competitor or country with history of targeting U.S. research or technology	Indicators of active (ongoing) direct affiliation, association or collaboration with a foreign institution, person, or entity from a strategic competitor
<u>MODERATE</u>	Indicators of past participation in a Foreign Talent Program with a U.S. strategic competitor, or country with a history of targeting U.S. research or technology	Indicators of past association with an entity identified in the U.S. Gov't denied entity or person list or EO 13959 or subsequent similar issuances	Indicators of any history or nonconsecutive pattern of, conflict of interest, conflict of commitment, or funding from a strategic competitor or country with history of targeting U.S. research or technology	Indicators of a history or pattern of association or collaboration with foreign institution, person, or entity from a strategic competitor or country with history of targeting U.S. research or technology
<u>LOW</u>	No participation in a Foreign Talent Program	No indicators of past or current association or affiliation with an entity on the U.S. Gov't denied entity or person list or EO 13959 or subsequent similar issuances	No indicators of past funding from a strategic competitor or country with history of targeting U.S. research or technology	No indicators of an association or collaboration with a foreign institution, person, or entity from a strategic competitor or country with history of targeting U.S. research or technology

- **Affiliation** is academic, professional, or institutional appointments or positions with a foreign government-connected entity, whether full-time, part-time, or voluntary (including adjunct, visiting, honorary, or lectures/visits) where direct monetary or non-monetary reward is involved.

- **Association** is academic, professional, or institutional appointments or positions with a foreign government-connected entity, whether full-time, part-time, or voluntary (including adjunct, visiting, honorary, or lectures/visits) where no direct monetary or non-monetary reward is involved.
- **Collaboration** is academic, professional, or institutional agreement to jointly work together with a foreign government- connected entity, whether full-time, part-time, or voluntarily, in an official or unofficial capacity. Co-authorship in research endeavors is an example of collaboration.
- **Strategic competitors** are those adversaries identified in the current year Annual Threat Assessment report from Director of National Intelligence. The 2021 assessment was published on April 9, 2021 and can be found at <https://www.dni.gov/>.
- **Conflict of Interest and Conflict of Commitment** are defined in NSPM-33 and in the CONOP as well as the ARRP Policy memorandum.
- **Senior/Key Personnel** are those who (a) contribute in a substantive, meaningful way to the scientific development or execution of a research and development project proposed to be carried out with a research and development award from a Federal research agency; and (b) are designated as a covered individual by the Federal research agency concerned.

ARRP risk ratings range from LOW to HIGH depending on the amount, type, and timing of foreign associations or affiliations that could constitute a foreign-influenced “Conflict of Interest” or “Conflict of Commitment,” as defined by National Security Presidential Memorandum 33 (NSPM-33).

Once the research risk assessments are performed, the Army risk acceptance authority has several courses of action available for consideration. These courses of action are as follows:

Course of Action 1 - The Army risk acceptance authority may accept the risk rating that results from the risk assessment process and proceed with the award. This typically happens with proposals with risk ratings of “LOW” but could also happen with the other risk ratings. In Course of Action 1, the applicant will not be required to do anything related to the risk assessment process or the assigned risk rating.

Course of Action 2 - The Army risk acceptance authority may accept the risk rating with some research protection requirements added to the grant or cooperative agreement award. This typically happens with proposals with risk ratings of “MODERATE” but could also happen with the other risk ratings. Also, typically, these added research protection requirements could include, but be limited to the following in the grant or cooperative agreement award:

- The University's Security Office shall provide the Principal Investigator and key personnel related to this award training on foreign talent recruitment programs and threat awareness and reporting requirements.
- The University shall disclose to the Army Research Laboratory Security Office and Grants Officer all international travel, i.e., all international travel completed as part of any university business, by the Principal Investigator and key personnel related to this award instrument prior to travel.
- The University shall report to the Army Research Laboratory Security Office and Grants Officer all inquiries by foreign operatives or suspected foreign operatives into research associated with the award.
- The University is encouraged to utilize students without potential conflicts of interest or conflicts of commitment as identified in U.S. National Security Presidential Memorandum (NSPM-33).

Under Course of Action 2, the applicant will be asked to sign the grant or cooperative agreement prior to award, confirming agreement to these added requirements. Should the applicant not agree to these added research protection requirements, the Army risk assessment authority may decide not to award.

Course of Action 3 - The Army risk acceptance authority is not willing to accept the risk assigned as a result of the assessment process. In this case, the applicant will be provided an opportunity to provide a risk mitigation plan. This typically happens with proposals with risk ratings of "HIGH" but could also happen with the other risk ratings. In Course of Action 3, the applicant will be informed of the risk rating assigned during the risk assessment process as well as the block(s) on the matrix where the review resulted in some type of finding that contributed to the assigned risk rating. Should the applicant choose to not submit a risk mitigation plan, the Army risk assessment authority may decide not to award. Should the applicant choose to submit a risk mitigation plan, the Army will review such plan. As a result of this review, the Army risk acceptance authority may then be willing to accept the risk assigned with the mitigation plan and proceed with the award or the Army risk acceptance authority may not be willing to accept the risk and may decide not to award. Further, should the risk mitigation plan include proposal revisions that affect aspects of the proposal included in the review or selection process, the original proposal evaluation will be reviewed and revised as appropriate based on the proposal revisions.

i. Actions Required by Applicants.

(1) By submission of this application and authorized signature on the SF 424 (R&R) Form, the Applicant agrees to comply with the following requirements:

- To certify that each covered individual who is listed on the application has been made aware: (1) of all relevant disclosure

requirements, including the requirements of 42 U.S.C. § 6605; and (2) that false representations may be subject to prosecution and liability pursuant to, but not limited to, 18 U.S.C. §§287, 1001, 1031 and 31 U.S.C. §§ 3729-3733 and 3802. See National Science and Technology Council Guidance for Implementing National Security Presidential Memorandum 33 (NSPM-33) on National Security Strategy for United States Government-Supported Research and Development (January 2022), at p. 7 (available at <https://www.whitehouse.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>).

- To establish and maintain an internal process or procedure to address foreign talent programs, conflicts of commitment, conflicts of interest, and research integrity.
 - To exercise due diligence to identify Foreign Components or participation by Senior/Key Personnel in Foreign Government Talent Recruitment Programs and agree to share such information with the Government upon request.
- (2) With the application, the Applicant must provide a completed “Privacy Act Statement” consent form for each Covered Individual that is also signed by the Applicant as that Individual’s Sponsor. The “Privacy Act Statement” form is available at <https://arl.devcom.army.mil/collaborate-with-us/opportunity/arrp/>.
- (3) During the award period of performance:
- If, at any time, during performance of this award, the Recipient learns that its Senior/Key Research Personnel (including any subawardee personnel who receive this designation) are or are believed to be participants in a Foreign Government Talent Program or have Foreign Components with a strategic competitor or country with a history of targeting U.S. technology for unauthorized transfer, the recipient will notify the Government or Grants Officer within 5 business days of awareness.
 - This disclosure must include specific information as to the personnel involved and the nature of the situation and relationship. The Government will review this information and conduct any necessary fact-finding or discussion with the Recipient. The Government’s determination on disclosure may include acceptance, mitigation, or termination of the award.

- Failure of the Recipient to reasonably exercise due diligence to discover or ensure that neither it nor any of its Senior/Key Research Personnel involved in the subject award are participating in a Foreign Government Talent Program or have a Foreign Component with a strategic competitor or country with a history of targeting U.S. technology for unauthorized transfer may result in the Government exercising remedies in accordance with federal law and regulation.
- The provisions concerning this disclosure will be included in each award.
- The Recipient will be required to flow down this provision to all sub awardees who have personnel designated as Senior/Key Research Personnel as a result of their involvement in the performance of the research.

ii. Actions Required by Covered Individuals.

Federal law requires that all current and pending research support, as defined by 42 U.S.C. §6605, must be disclosed at the time of proposal submission, for all covered individuals. The Government may require an updated disclosure during the performance of any research project selected for funding. The Government will require an updated disclosure whenever covered individuals are added or identified as performing under the funded project. See definition of “Covered Individuals” below.

Covered Individuals are also required to sign the “Privacy Act Statement” and provide such signed statement to the applicant for submission with the proposal.

Any decision to accept a proposal for funding under this announcement will include full reliance on the individual’s statements. Failure to report fully and completely all sources of project support and outside positions and affiliations may be considered a material statement within the meaning of the False Claims Act, 31 U.S.C. 3729, and constitute a violation of Federal law.

iii. Privacy Act Compliance. All information collected and developed for the purpose of conducting ARRP risk assessments will be maintained in accordance with the following authorities:

- Office of Personnel Management (OPM) System of Records Notice (SORN) GOVT-1. This SORN governs information collected from federal grantees for the purpose of conducting a national security investigation or carrying out other lawful statutory, administrative, or investigative purposes of the agency, to the extent the information is relevant and necessary to the requesting agency’s decision.

- Department of the Army (DA) SORN A0381-20b-DAMI (Feb. 10, 2009, 74 F.R. 6596). This SORN applies to information contained in systems used by the Department of the Army to develop ARRP risk assessments.
- 32 C.F.R. Appendix A to Part 310, Paragraph N: DoD Blanket Routine Uses. Pursuant to this provision, a record from a system of records maintained by a Component may be disclosed as a routine use outside the DoD or the U.S. Government for the purpose of counterintelligence activities authorized by U.S. law or Executive order or for the purpose of enforcing laws that protect the national security of the United States.

iv. Definitions

- Covered Individual. An individual who contributes in a substantive, meaningful way to the scientific development or execution of a research and development project proposed to be carried out with a research and development award from a Federal research agency; and is designated as a covered individual by the Federal research agency concerned. See 42 U.S.C. § 6605, Definitions. (For purposes of this BAA, “covered individuals” are all Senior/Key Personnel.)
- Senior/Key Research Personnel. This term includes the Principal Investigator (PI) and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the award. These include individuals whose absence from the project would be expected to impact the approved scope of the project. (For purposes of this BAA, “Senior/Key Personnel” are all considered “covered individuals.”)
- Foreign Associations and Affiliations. Association is defined as collaboration, coordination or interrelation, professionally or personally, with a foreign government-connected entity where no direct monetary or non-monetary reward is involved. Affiliation is defined as collaboration, coordination, or interrelation, professionally or personally, with a foreign government-connected entity where direct monetary or non-monetary reward is involved.
- Foreign Government Talent Recruitment Programs. In general, these programs include any foreign-state-sponsored attempt to acquire U.S. scientific-funded research or technology through foreign government-run or funded recruitment programs that target scientists, engineers, academics, researchers, and entrepreneurs of all nationalities working and educated in the U.S. Distinguishing features of a Foreign

Government Talent Recruitment Program may include:

- Compensation, either monetary or in-kind, provided by the foreign state to the targeted individual in exchange for the individual transferring their knowledge and expertise to the foreign country. In-kind compensation may include honorific titles, career advancement opportunities, promised future compensation or other types of remuneration or compensation.
- Recruitment, in this context, refers to the foreign-state-sponsor's active engagement in attracting the targeted individual to join the foreign-sponsored program and transfer their knowledge and expertise to the foreign state. The targeted individual may be employed and located in the U.S. or in the foreign state.
- Contracts for participation in some programs that create conflicts of commitment and/or conflicts of interest for researchers. These contracts include, but are not limited to, requirements to attribute awards, patents, and projects to the foreign institution, even if conducted under U.S. funding, to recruit or train other talent recruitment plan members, circumventing merit-based processes, and to replicate or transfer U.S.-funded work in another country.
- Many, but not all, of these programs aim to incentivize the targeted individual to physically relocate to the foreign state. Of particular concern are those programs that allow for continued employment at U.S. research facilities or receipt of U.S. Government research funding while concurrently receiving compensation from the foreign state.
- Foreign Government Talent Recruitment Programs do **not** include research agreements between the University and a foreign entity, unless that agreement includes provisions that create situations of concern addressed elsewhere in this section; agreements for the provision of goods or services by commercial vendors; or invitations to attend or present at conferences.
- Conflict of Interest. A situation in which an individual, or the individual's spouse or dependent children, has a financial interest or financial relationship that could directly and significantly affect the design, conduct, reporting, or funding of research.

- Conflict of Commitment. A situation in which an individual accepts or incurs conflicting obligations between or among multiple employers or other entities. Common conflicts of commitment involve conflicting commitments of time and effort, including obligations to dedicate time in excess of institutional or funding agency policies or commitments. Other types of conflicting obligations, including obligations to improperly share information with, or withhold information from, an employer or funding agency, can also threaten research security and integrity and are an element of a broader concept of conflicts of commitment.
- Foreign Component. Performance of any significant scientific element or segment of a program or project outside of the U.S., either by the University or by a researcher employed by a foreign organization, whether or not U.S. government funds are expended. Activities that would meet this definition include, but are not limited to: involvement of human subjects or animals; extensive foreign travel by University research program or project staff for the purpose of data collection, surveying, sampling, and similar activities; collaborations with investigators at a foreign site anticipated to result in co-authorship; use of facilities or instrumentation at a foreign site; receipt of financial support or resources from a foreign entity; or any activity of the University that may have an impact on U.S. foreign policy through involvement in the affairs or environment of a foreign country.
- Strategic Competitor. A nation, or nation-state, that engages in diplomatic, economic or technological rivalry with the United States where the fundamental strategic interests of the U.S are under threat.

1. Recipient Qualification

a. Grant and Cooperative Agreement Proposals:

i. The Grants Officer is responsible for determining a recipient's qualification prior to award. In general, a Grants Officer will award grants or cooperative agreements only to qualified recipients that meet the standards at 32 CFR 22.415. To be qualified, a potential recipient must:

(1) Have the management capability and adequate financial and technical resources, given those that would be made available through the grant or cooperative agreement, to execute the program of activities envisioned under the grant or cooperative agreement;

(2) Have a satisfactory record of executing such programs or activities (if a prior recipient of an award);

(3) Have a satisfactory record of integrity and business ethics; and

- (4) Be otherwise qualified and eligible to receive a grant or cooperative agreement under applicable laws and regulations.

Applicants are requested to provide information with proposal submissions to assist the Grants Officer's evaluation of recipient qualification.

- ii. In accordance with Office of Management and Budget (OMB) guidance in parts 180 and 200 of Title 2, CFR, it is DoD policy that DoD Components must report and use integrity and performance information in the Federal Awardee Performance and Integrity Information System (FAPIIS), or any successor system designated by OMB, concerning grants, cooperative agreements, and TIAs as follows:

If the total Federal share will be greater than the simplified acquisition threshold on any Federal award under a notice of funding opportunity (see 2 CFR 200.88 Simplified Acquisition Threshold):

- (1) The Federal awarding agency, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, will review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313);
- (2) An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM;
- (3) The Federal awarding agency will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 2 CFR 200.205 Federal awarding agency review of risk posed by applicants.

b. Contract Proposals:

- i. Contracts shall be awarded to responsible prospective contractors only. See FAR 9.104-1 for a listing of the general standards against which an applicant will be assessed to determine responsibility.

Applicants are requested to provide information with proposal submission to assist the Contracting Officer's evaluation of responsibility.

- ii. Search Responsibility / Qualification (formerly FAPIIS) will be checked prior to making an award. The web address is: <https://www.sam.gov>. The applicant representing the entity may comment in this system on any information about the

entity that a federal government official entered. The information in SAM.gov will be used in making a judgment about the entity's integrity, business ethics, and record of performance under Federal awards that may affect the official's determination that the applicant is qualified to receive an award.

(End of Section)

H. AWARD ADMINISTRATION INFORMATION

1. Award Notices

Applicants whose proposals are recommended for award may be contacted by a Contract/Grant Specialist to discuss additional information required for award. 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 anticipated start date will be determined at that time.

The notification email must not be regarded as an authorization to commit or expend funds. The Government is not obligated to provide any funding until a Government Contracting/ Grants Officer signs the award document.

The award document signed by the Government Contracting/Grants Officer is the official and authorizing award instrument. The authorizing award instrument, signed by the Contracting/ Grants Officer, will be emailed to the PI and AOR.

2. Administrative and National Policy Requirements

a. Required Representations and Certifications:

i. Contract Proposals:

(1) Representations and certifications shall be completed by successful applicants prior to award. FAR Online Representations and Certifications are to be completed through SAM at <https://www.sam.gov/SAM/>. As appropriate, DFARS and contract-specific certification packages will be provided to the contractor for completion prior to award.

(2) FAR 52.203-18, PROHIBITION ON CONTRACTING WITH ENTITIES THAT REQUIRE CERTAIN CONFIDENTIALITY AGREEMENTS OR STATEMENTS—REPRESENTATION (JAN 2017)

(a) Definition. As used in this provision--

“Internal confidentiality agreement or statement”, “subcontract”, and “subcontractor”, are defined in the clause at 52.203-19, Prohibition on Requiring Certain Internal Confidentiality Agreements or Statements.

(b) In accordance with section 743 of Division E, Title VII, of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235) and its successor provisions in subsequent appropriations acts (and as extended in continuing resolutions), Government agencies are not permitted to use funds appropriated (or otherwise made available) for contracts with an entity that requires employees or

subcontractors of such entity seeking to report waste, fraud, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting such employees or subcontractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(c) The prohibition in paragraph (b) of this provision does not contravene requirements applicable to SF 312, (Classified Information Nondisclosure Agreement), Form 4414 (Sensitive Compartmented Information Nondisclosure Agreement), or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

(d) Representation. By submission of its offer, the applicant represents that it will not require its employees or subcontractors to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting such employees or subcontractors from lawfully reporting waste, fraud, or abuse related to the performance of a Government contract to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information (e.g., agency Office of the Inspector General).

(3) FAR 52.204-26, COVERED TELECOMMUNICATIONS EQUIPMENT OR SERVICES-REPRESENTATION (OCT 2020)

(a) Definitions. As used in this provision, "covered telecommunications equipment or services" and "reasonable inquiry" have the meaning provided in the clause 52.204-25, Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment.

(b) Procedures. The Offeror shall review the list of excluded parties in the System for Award Management (SAM) (<https://www.sam.gov>) for entities excluded from receiving federal awards for "covered telecommunications equipment or services".

(c)(1) Representation. The Offeror represents that it does, does not provide covered telecommunications equipment or services as a part of its offered products or services to the Government in the performance of any contract, subcontract, or other contractual instrument.

(2) After conducting a reasonable inquiry for purposes of this representation, the offeror represents that it does, does not use covered telecommunications equipment or services, or any equipment, system, or service that uses covered telecommunications equipment or services.

(4) FAR 52.209-11, REPRESENTATION BY CORPORATIONS REGARDING DELINQUENT TAX LIABILITY OR A FELONY CONVICTION UNDER FEDERAL LAW (FEB 2016)

As required by sections 744 and 745 of Division E of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L 113-235), and similar provisions, if

contained in subsequent appropriations acts, the Government will not enter into a contract with any 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, where the awarding agency is aware of the unpaid tax liability, unless an agency has considered suspension or debarment of the corporation and made a determination that suspension or debarment is not necessary to protect the interests of the Government; or

Was convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency is aware of the conviction, unless an agency has considered suspension or debarment of the corporation and made a determination that this action is not necessary to protect the interests of the Government.

The applicant represents that—

It is 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; and

It is is not a corporation that was convicted of a felony criminal violation under a Federal law within the preceding 24 months.

ii. Cooperative Agreement Proposals:

(1) Cooperative Agreement awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. Statutes and Government-wide regulations require the certification to be submitted prior to award. When submitting your grant through Grants.gov, by completing blocks 18 and 19 of the SF 424 (R&R) Form, the grant applicant is providing the certification on lobbying required by 32 CFR Part 28; otherwise a copy signed by the AOR must be provided. Below is the required certification:

CERTIFICATION AT APPENDIX A TO 32 CFR PART 28 REGARDING LOBBYING: Certification for Contracts, Grants, Loans, and Cooperative Agreements the undersigned certifies, 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, an officer or employee of Congress, or an employee of 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 employee 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 Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and 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 31 U.S.C. 1352. 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.

(2) In accordance with Section 743 of P.L. 113-235, none of the funds appropriated or otherwise made available by that or any other Act may be made available for a grant or cooperative agreement with an entity that requires its employees or contractors seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting those employees or contractors 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 the information.

PROHIBITION ON CONTRACTING WITH ENTITIES THAT REQUIRED CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS – REPRESENTATION

Agreement with the representation below will be affirmed by checking the "I agree" box in block 17 of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

By submission of its proposal or 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: 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.

(3) Recipients are required to submit the following representation with the application package IAW the instructions at Section II.D.2.f.ii of this BAA:

**REPRESENTATIONS UNDER DOD ASSISTANCE AGREEMENTS:
APPROPRIATIONS PROVISIONS ON TAX DELINQUENCY AND FELONY
CONVICTIONS**

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:

(a) The applicant represents that it is () 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.

(b) The applicant represents that it is () is not () 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.

**PROHIBITION ON CONTRACTING WITH ENTITIES USING CERTAIN
TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR
EQUIPMENT**

Section 889 of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2019 (Public Law 115-232) prohibits the head of an executive agency from obligating or expending loan or grant funds to procure or obtain, extend, or renew a contract to procure or obtain, or enter into a contract (or extend or 105 renew a contract) to procure or obtain the equipment, services, or systems prohibited systems as identified in section 889 of the NDAA for FY 2019. For more information on how this applies to all grant recipients and sub-recipients after August 13, 2020, please see DoD Research General Terms and Conditions (SEP 2021) NP Article IV. Other national policy requirements, paragraph 18.

b. Policy Requirements:

The following list provides notable national policy requirements that may be applicable to an award. NOTE: The following is not an all-inclusive list of policy requirements. For assistance awards, refer to the DoD Research and Development General Terms and Conditions at <https://www.onr.navy.mil/work-with-us/manage-your-award/manage-grant-award/grants-terms-conditions> for additional national policy requirements that may apply. For contract awards, appropriate clauses will be added to award documents.

i. MILITARY RECRUITING:

(1) Assistance Instruments: This is to notify potential applicants that each grant or cooperative agreement awarded under this announcement to an institution of higher education must include the following term and condition:

(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 sub-element of that institution);

(ii) Any student at that institution (or any sub-element 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 sub-element 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.

(2) Contracts: Each contract awarded under this announcement to an institution of higher education shall include the following clause: DFARS 252.209-7005, Military Recruiting on Campus.

ii. SUBCONTRACTING:

(1) Assistance Instruments: N/A

(2) Contracts: Pursuant to Section 8(d) of the Small Business Act (15 U.S.C. § 637(d)), it is the policy of the Government to enable small business and small disadvantaged business (SDB) concerns to be considered fairly as subcontractors. All other than U.S. small businesses proposing contracts expected to exceed \$700,000 and that have subcontracting possibilities are required to submit a subcontracting plan IAW FAR 19.702(a), and shall do so with their proposal.

Subcontracting plans are determined to be acceptable or unacceptable based on the criteria established at FAR 19.705-4, DFARS 219.705-4, and AFARS 5119.705-4. Goals are established on an individual contract basis and should result in realistic, challenging and attainable goals that, to the greatest extent possible, maximize small business participation in subcontracting for Small Business, SDB, Woman-Owned Small Business (WOSB), Economically-Disadvantaged Women-Owned Small Business (EDWOSB), Service-Disabled Veteran-Owned Small Business (SDVOSB), Veteran-Owned Small Business (VOSB), and Historically Underutilized Business Zone (HUBZone) Small Business consistent with applicants' make-or-buy policy, the pool of and availability of qualified and capable small business subcontractors, their performance on subcontracts, and existing relationships with suppliers.

Subcontracting goals should result in efficient contract performance in terms of cost, schedule, and performance and should not result in increased costs to the Government or undue administrative burden to the prime contractor. For reference, DoD Small Business Subcontracting Goals may be found at:

<https://business.defense.gov/About/Goals-and-Performance/>

iii. EXPORT CONTROL LAWS:

(1) Assistance Instruments: N/A

(2) Contracts: Applicants should be aware of current export control laws and are responsible for ensuring compliance with all International Traffic in Arms Regulation (ITAR) (22 CFR 120 et. Seq.) requirements, as applicable. In some cases, developmental items funded by the Department of Defense are now included on the United States Munition List (USML) and are therefore subject to ITAR jurisdiction. Applicants should address in their proposals whether ITAR restrictions apply or do not apply, such as in the case when research products would have both civil and military application, to the work they are proposing to perform for the Department of Defense. The USML is available online at <https://www.ecfr.gov/cgi-bin/text-idx?node=pt22.1.121>. Additional information regarding the President's Export Control Reform Initiative can be found at <http://export.gov/ecr/index.asp>

iv. DRUG-FREE WORKPLACE:

(1) Assistance Instruments: The recipient 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."

(2) Contracts: The appropriate clause(s) shall be added to the award.

v. DEBARMENT AND SUSPENSION:

(1) Assistance Instruments: The recipient 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 the recipient's principals under an award, as well as requirements concerning the recipient's procurement transactions and subawards that are implemented in DoD Research and Development General Terms and Conditions PROC Articles I through III and SUB Article II.

(2) Contracts: The appropriate clause(s) shall be added to the award.

vi. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION:

(1) Assistance Instruments: The recipient must report information about subawards and executive compensation as specified in the award term in Appendix A to 2 CFR part 170, "Reporting subaward and executive compensation information," modified as follows:

(a) To accommodate any future designation of a different Government wide Web site for reporting subaward information, the Web site “http://www.fsrs.gov” cited in paragraphs a.2.i. and a.3 of the award provision is replaced by the phrase “http://www.fsrs.gov or successor OMB-designated Web site for reporting subaward information”;

(b) To accommodate any future designation of a different Government wide Web site for reporting executive compensation information, the Web site “http://www.fsrs.gov” cited in paragraphs a.2.i. and a.3 of the award provision is replaced by the phrase “http://www.fsrs.gov or successor OMB-designated Web site for reporting subaward information”;

(2) Contracts: The appropriate clause(s) shall be added to the award.

vii. CONFLICT OF INTEREST/CONFLICT OF COMMITMENT REVIEW:

This announcement requires all current and pending research support, as defined by Section 223 of the FY21 National Defense Authorization Act, must be disclosed at the time of proposal submission, for all covered individuals. Such disclosure will be updated annually during the performance of any research project selected for funding, and whenever covered individuals are added or identified as performing under the funded project. Covered Individuals are those who are listed as key personnel on proposals, including but not restricted to, the principal investigator or co-principal investigator.

Any decision to accept a proposal for funding under this announcement will include full reliance on the applicant's statements. Failure to report fully and completely all sources of project support and outside positions and affiliations may be considered a materials statement within the meaning of the False Claims Act, 31 U.S.C. 3729, and constitute a violation of Federal law.

ARL may conduct a pre-award conflict of interest/conflict of commitment review, as defined in the National Security Presidential Memorandum- 33, of any proposal selected for funding. Applicants are advised that any significant conflict of interest/conflict of commitment identified may be a basis for the rejection of an otherwise awardable proposal.

3. Reporting

a. Additional reports including number and types will be specified in the award document, but will include as a minimum monthly financial status reports. The reports shall be prepared and submitted in accordance with the procedures contained in the award document and mutually agreed upon before award. Reports and briefing material will also be required as appropriate to document progress in accomplishing program metrics. A final report that summarizes the project and tasks will be required

at the conclusion of the performance period for the award.

Proposals that receive an award will require annual progress reports as well as a final report for full proposals. Please note that your award document will reference Form 18, "Reporting Instructions," as found at <http://www.arl.army.mil/www/default.cfm?page=29>. You shall use these reporting instructions for format instructions only; the due date for receipt of a final technical report is thirty (30) days from completion of the award.

b. Service Contract Reporting (SCR). For Contracts Only. See FAR 52.204-14, SAM Users Guide and DoD Guidebook for Service Contract Reporting in the System for Award Management at <https://dodprocurementtoolbox.com/cms/sites/default/files/resources/2020-10/SCR%20Guidebook%2021%20October%202020.pdf> .

c. If the total Federal share exceeds \$500,000 on any Federal award under a notice of funding opportunity, the post-award reporting requirements reflected in Appendix XII to 2 CFR 200 will be included in the award document. This requirement also applies to modifications of awards that: 1) increase the scope of the award, 2) are issued on or after January 1, 2016, and 3) increase the federal share of the award's total value to an amount that exceeds \$500,000.

(End of Section)

I. SUBMISSION DATES AND TIMES

Proposals are due in grants.gov by 1500 EST on 21 Nov 2024. An email receipt will be provided to each Applicant for each Proposal submission received. Applications submitted after the closing date and time will not be considered or evaluated by the Government.

Application Receipt Notices

Grants.gov: After an application is submitted to Grants.gov, the AOR will receive a series of three emails from Grants.gov. The first two emails will be received within 24 to 48 hours after submission. The first email will confirm time of receipt of the application by the Grants.gov system and the second will indicate that the application has either been successfully validated by the system prior to transmission to the grantor agency or has been rejected due to errors. A third email will be received once the grantor agency has confirmed receipt of the application.

Reference the Grants.gov website <https://www.grants.gov/applicants/grant-applications/track-my-application> for information on how to track your application package. For the purposes of this BAA, an applicant's application is not considered received by the Government until the AOR receives email #3.

(End of Section)

J. AGENCY CONTACTS

All questions or comments concerning this BAA should be submitted via email to cjf-cra-baa@army.mil on or before the deadline (see Event timeline above). Questions and comments should be concise and to the point. In addition, the relevant part and paragraph of the BAA must be referenced. Responses to non-proprietary questions received by the specified date will be posted to the CJF CRA website for the benefit of all interested parties. Should an Applicant have questions they believe are of a proprietary nature, the Applicant must clearly state so and identify and mark the proprietary information in the question when submitted. Answers to questions of a proprietary nature will be provided via email directly to the requestor of the question and not posted on the CJF CRA Q&A page.

All emails should be sent to the CJF CRA BAA mailbox:
cjf-cra-baa@army.mil

(End of Section)

K. HUMAN SUBJECTS RESEARCH (HSR)

a. Institutions receiving DoD funds must protect the rights and welfare of individuals who participate as human subjects in research under this award, complying with the requirements at 32 CFR part 219, DoD Instruction (DoDI) 3216.02, and when applicable, Food and Drug Administration (FDA) regulations.

b. Award recipients, to include sub-recipients, must not commence DoD-supported human subject research (HSR), as defined in DoDI 3216.02, to include research with any human data (regardless of whether it is identifiable or not and public or not, to include social media data and secondary use of data sets) and biological specimens, until a DoD Human Research Protection Official (HRPO) issues formal approval.

c. The HRPO reviews documentation of planned HSR under the award for compliance with applicable regulations and policies. Recipient institutions must provide sufficient documentation to enable the HRPO assessment as follows:

i. For research that is exempt or does not involve human subjects, the protocol documents and institutional determination that the research is not HSR, or exempt HSR.

ii. For non-exempt research involving human subjects, the institution must provide:

(A) Current Assurance of Compliance (i.e., Department of Health and Human Services' Office for Human Research Protections Federal-wide Assurance (FWA)) for all engaged institutions;

B) Current Institutional Review Board (IRB) registration number(s).

(C) Documentation that the DoD-supported HSR has been reviewed and approved by an IRB, including scientific merit.

(D) Documentation of investigators' human research protection training.

(E) IRB-approved protocol documents.

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 II.K.a of this section.

e. Recipients must notify the HRPO promptly of the following:

- i. IRB-approved changes to HSR that involve changes to key investigators or institutions; substantive changes to the IRB's risk-benefit assessment of the protocol; addition of vulnerable populations or DoD affiliated personnel as subjects;
 - ii. Transfer of HSR oversight to a different IRB;
 - iii. Notification by any federal body, State agency, official governing body of a Native American or Alaskan native tribe, other entity, or foreign government that the non-DoD institution's DoD-supported HSR is under investigation;
 - iv. When the institution is notified by any Federal department or agency or national organization that any part of its human research protection program is under investigation for cause involving a DoD-supported research protocol;
 - v. Any problems involving risks to subjects or others, suspension or termination of IRB approval, or any serious or continuing noncompliance pertaining to DoD-supported HSR;
 - vi. The results of the IRB's continuing review, if required;
 - vii. A DoD-supported study's closure;
 - viii. Change in status when a previously enrolled human subject becomes a prisoner, and the protocol was not reviewed and approved by the IRB in accordance with Subpart C, Subpart 46 of Title 45, CFR and DoDI 3216.02.
- f. Recipients must make records that document compliance or noncompliance with requirements in paragraph 1.a accessible for inspection and copying, as determined by DoD human research protection personnel, by authorized DoD representatives.
- g. DoD representatives may independently review and inspect 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.

(End of Section)

L. ASSOCIATE PERFORMER AGREEMENT (APA)

This same or similar language will be included in cooperative agreement or contract awards against W911NF-24-S-0010.

- (a) It is recognized that success of the CJF research effort depends in great part upon the open exchange of information between the various Associate Performers involved in the effort. This language is intended to insure that there will be appropriate coordination and integration of work by the Associate Performers to achieve complete compatibility and to prevent unnecessary duplication of effort. By executing this award, the Performer assumes the responsibilities of an Associate Performer. For the purpose of this APA, the term Performer includes subsidiaries, affiliates, and organizations under the control of the Prime Performer (e.g., subcontractors).
- (b) Work under this award may involve access to proprietary or confidential data from an Associate Performer. To the extent that such data is received by the Performer from any Associate Performer for the performance of this award, the Performer hereby agrees that any proprietary information received shall remain the property of the Associate Performer and shall be used solely for the purpose of the CJF research program. Only that information which is received from another Performer in writing, and which is clearly identified as proprietary or confidential shall be protected in accordance with this provision. The obligation to retain such information in confidence will be satisfied if the Performer receiving such information utilizes the same controls as it employs to avoid disclosure, publication, or dissemination of its own proprietary information. The receiving Performer agrees to hold such information in confidence as provided herein so long as such information is of a proprietary/confidential or limited rights nature.
- (c) The Performer hereby agrees to closely cooperate as an Associate Performer with the other Associate Performers and Government scientists in this research Program. This involves at a minimum:
 - (1) maintenance of a close liaison and working relationship;
 - (2) maintenance of a free and open information network with all Government-identified associate Performers and Government scientists;
 - (3) delineation of detailed interface responsibilities;
 - (4) entering into a written agreement with the other Associate

Performers setting forth the substance and procedures relating to the foregoing, and promptly providing the Agreements Officer/Procuring Contracting Officer with a copy of same; and,

- (5) receipt of proprietary information from the Associate Performer and transmittal of Performer proprietary information to the Associate Performer subject to any applicable proprietary information exchange agreements between associate contractors when, in either case, those actions are necessary for the performance of either.

- (d) In the event that the Performer and the Associate Performer are unable to agree upon any such interface matter of substance, or if the technical data identified is not provided as scheduled, the Performer shall promptly notify the CJF CRA Program Managers/CAMs. The Government will determine the appropriate corrective action and will issue guidance to the affected Performers.

- (e) The Performer agrees to insert in all subcontracts hereunder which require access to proprietary information belonging to the Associate Performer, a provision which shall conform substantially to the language of this APA, including this paragraph (e).

- (f) Associate Performers for the CJF research effort include:

Performer	Affiliation	Technical Area

By signing below, I acknowledge having reviewed this Associate Performer Agreement and will do my best to uphold its tenets.

Name:

Date

(End of Section)