

**PROGRAM ANNOUNCEMENT**

THE DEPARTMENT OF DEFENSE (DoD)

FISCAL YEAR 2016

DEFENSE UNIVERSITY RESEARCH INSTRUMENTATION PROGRAM (DURIP)

PA-AFRL-AFOSR-2015-0001

**FULL PROPOSAL DEADLINE:**

Must be received no later than 4:00 PM Eastern Time  
25 September 2015

Army Research Office

Office of Naval Research

Air Force Office of Scientific Research

in cooperation with the

Office of the Director for Basic Research in the Office of the Secretary of Defense

**Overview****Federal Agency Name(s)**

This Department of Defense program will be administered through the Army Research Office (ARO), the Office of Naval Research (ONR), and the Air Force Office of Scientific Research (AFOSR).

**Program Announcement Title**

Fiscal Year 2016 Defense University Research Instrumentation Program (DURIP)

**Announcement Type**

This is the initial announcement.

**Program Announcement Number**

PA-AFRL-AFOSR-2015-0001

**Catalog of Federal Domestic Assistance (CFDA) Number(s)**

12.300, Basic and Applied Research (ONR); 12.431, Basic Scientific Research (ARO); and 12.800, Air Force Defense Research Sciences Program (AFOSR)

**Response Date**

Proposals must be received by Grants.gov no later than 4:00PM Eastern Time, 25 September 2015.

**Additional Overview**

The Department of Defense (DoD) announces the Fiscal Year 2016 Defense University Research Instrumentation Program (DURIP), a part of the University Research Initiative (URI). DURIP is designed to improve the capabilities of U.S. institutions of higher education (hereafter referred to as “universities”) to conduct research and to educate scientists and engineers in areas important to national defense, by providing funds for the acquisition of research equipment.

## **I. Program Description**

This announcement seeks proposals to purchase instrumentation in support of research in areas of interest to the DoD, including areas of research supported by the Army Research Office (ARO), the Office of Naval Research (ONR), and the Air Force Office of Scientific Research (AFOSR), hereafter referred to collectively as “the administering agencies.” The research areas of interest to the administering agencies are available for reference on-line at the following addresses:

Army Research Office:

<http://www.aro.army.mil/> (select “Broad Agency Announcements” in the “For the Researcher” section) See the most recent ARO Core Broad Agency Announcement for Basic and Applied Scientific Research.

Office of Naval Research:

<http://www.onr.navy.mil/> (select "Contracts and Grants" and then "Broad Agency Announcements") See Long Range Broad Agency Announcement for Navy and Marine Corps Science and Technology, BAA ONRBAA15-001. After 30 Sep 2015, please use the FY15 Long Range Broad Agency Announcement for Navy and Marine Corps Science and Technology, BAA ONRBAA16-001.

Air Force Office of Scientific Research:

See BAA-AFOSR-2014-0001 Research Interests of the Air Force Office of Scientific Research available at <http://www.grants.gov/web/grants/search-grants.html?keywords=BAA-AFOSR-2014-0001>. After BAA-AFOSR-2014-0001 closes, please use BAA-AFRL/AFOSR-2015-0001 Research Interests of the Air Force Office of Scientific Research.

For detailed information regarding technical goals, potential proposers are advised to refer to the websites cited above. They also are encouraged to contact DoD program managers listed at those sites before submitting proposals, in order to explore research areas that are of mutual interest to the proposers and DoD administering agencies. A proposal may be submitted to more than one administering agency; however, only one administering agency will fund the proposal, if selected, under the 2016 DURIP.

A central purpose of the DURIP is to provide equipment to enhance research-related education. Therefore, proposals must address the impact of the equipment on the institution’s ability to educate students through research, in disciplines important to DoD missions.

## **II. Award Information**

Through this DURIP competition, the DoD intends to award approximately \$52 million for FY 2016, subject to the availability of funds. These funds will be awarded via grants made by the administering agencies. Grants will be for the purchase of research equipment costing \$50,000 or more, which typically cannot be purchased within the budgets of single-

investigator awards. With few exceptions (see section III.4.b.ii) an individual award may not exceed \$1,500,000 in DoD funding. It is estimated that 180 awards will be made across the administering agencies, ranging from \$50,000 to \$1,500,000, with an approximate average award of \$290,000.

Sufficient funds are not available to meet all of the instrumentation needs of universities. Awards, therefore, will be made to universities conducting, or being demonstrably capable of conducting research (with the proposed new equipment) in areas of interest to the DoD. DURIP awards are typically one year in length.

### **III. Eligibility Information**

#### **1. Eligible Applicants**

This competition is open only to accredited U.S. institutions of higher education with degree granting programs in science, mathematics and/or engineering.

#### **2. Cost Sharing or Matching**

Cost sharing is not required.

#### **3. Dun and Bradstreet Universal Numbering System (DUNS) number and System for Award Management (SAM)**

- a. Each applicant [unless it has an exception approved by the agency under 2 CFR 25.110(d)] is required to:
  - i. Be registered in SAM ([www.sam.gov](http://www.sam.gov)) prior to submitting its application [NOTE: Each applicant should verify that its SAM registration is active well before the proposal submission deadline so that there is time to remedy any problem that would preclude the applicant's submission of a proposal. For any questions related to SAM registrations, please contact the Federal Service Desk at 866-606-8220 or <https://www.fsd.gov>];
  - ii. Provide a valid DUNS number in its application; and
  - iii. Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by an agency. In order for a recipient of an award resulting from this announcement to receive payments under the award, it must maintain a current SAM registration through final payment.

An agency receiving an application may not make an award to the applicant until the applicant has complied with all applicable DUNS and SAM requirements. If an applicant has not fully complied with the requirements by the time the agency is ready to make an award, the agency may determine

that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant.

#### 4. Other

##### a. Types of instrumentation

DURIP funds will be used for the acquisition of major equipment to augment current or develop new research capabilities to support research in the technical areas of interest to the DoD. Individual proposals may request funding for more than one item of equipment if the requested items of equipment comprise a “system” that is used for a common research purpose. Proposals for purely instructional equipment are not eligible. General-purpose computing facilities are not appropriate for DURIP funding, but requests for computers for DoD-relevant research programs are appropriate.

##### b. Amount of requested DoD funding

###### i. General

With few exceptions, a DURIP award will provide between \$50,000 and \$1,500,000 of DoD funding for the acquisition of instrumentation.

###### ii. Exceptions

An institution may submit a proposal to purchase instrumentation costing more than \$1,500,000 under either of the following two conditions:

- The proposal includes a firm commitment from the institution submitting the proposal for the balance of the funds needed to purchase the instrumentation, so that the cost to the DoD remains at or below \$1,500,000; or
- In the proposal it submits, an institution requests that the agency receiving the proposal grant an exception to the \$1,500,000 maximum amount of DoD funding. At its discretion, the agency may consider a proposal for an amount in excess of \$1,500,000 if warranted by a priority defense research need. However, as exceptions for awards of this size are expected to be rare, it is strongly recommended that a potential proposer communicate with the sponsoring agency before submitting a formal proposal requesting an amount in excess of \$1,500,000.

##### c. See also funding restrictions described in Section IV.5. There are no limits to the number of applications an applicant may submit.

## IV. Application and Submission Information

### 1. Address to Request Application Package

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants” under the “Applicants” tab, and then follow the instructions. In the Grants.gov search function, enter the program announcement number for this announcement (PA-AFRL-AFOSR-2015-0001). You can also search for the CFDA Number.

CFDA Numbers for the agencies are as follows: 12.300, Basic and Applied Research (ONR); 12.431, Basic Scientific Research (ARO); and 12.800, Air Force Defense Research Sciences Program (AFOSR). On the Application Package tab, click on 'download' under the heading 'Instructions and Applications' (located at the bottom right of the page) to download the application package.

### 2. Content and Form of Application Submission

The DoD is interested primarily in the research and related science and engineering education that the equipment would facilitate. For this reason, the proposal must adequately describe the goals of the research and research-related education so that judgments can be made on relevance to DoD goals. Principal investigators are encouraged to clarify to the extent to which their research interests coincide with those of the DoD by (i) reviewing the information on DoD interests that is provided at the on-line sites listed in Section I of this program announcement and (ii) contacting the appropriate Agency program managers identified at those sites for additional information.

All proposals to the ARO, ONR, and AFOSR must be submitted electronically through Grants.gov. A complete proposal consists of these elements:

- Standard Form 424 (Research and Related) (SF-424 (R&R)) as the cover page;
  - Representations on tax delinquency and felony convictions, which must be attached to Field 18 of the SF-424 (R&R)
- SF-424 (R&R) Budget form;
- SF-424 (R&R) Other Project Information form;
  - The Project Summary/Abstract and Project Narrative, which are attachments to the SF-424 (R&R) Other Project Information form;
- Research & Related Senior/Key Person Profile;
- SF-424 (R&R) Project/Performance Site Location(s) form; and
- Disclosure of Lobbying Activities (SF-LLL) form, only required if the proposer has lobbying that it is required to disclose under 31 USC 1352, as implemented by the DoD at 32 CFR 28.

The following paragraphs provide details concerning these elements.

**SF 424 (R&R)** – The SF 424 (R&R) form must be used as the cover page for all

electronic proposals. Complete all the required fields in accordance with the “pop-up” instructions on the form and the following instructions for the specified fields. To see the instructions, roll your mouse over the field to be completed. You will see additional information about that field. For example, on the SF 424 (R&R) the Phone Number field reads 'PHONE NUMBER (Contact Person): Enter the daytime phone number for the person to contact on matters relating to this application. This field is required.' Mandatory fields will have an asterisk marking the field and will appear yellow on most computers. In Grants.gov, some fields will self-populate based on the announcement selected. Fill out the SF 424 first, as some fields on the SF 424 are used to auto populate fields in other forms. The completion of most fields is self-explanatory, except possibly for the following special instructions:

Field 2: The Applicant Identifier may be left blank.

Field 3: The Date Received by State and the State Application Identified are not applicable to research.

Field 4a: For ONR submission, enter N00014; for ARO and AFOSR submissions, leave blank.

Field 4b: For ONR submission, enter the two (2) or three (3) digit Program Office Code and, if known, the Program Officer’s name, last name first, in brackets (e.g., 331 [Smith, John]). The Program Office Codes and Program Officer names can be found on the ONR website, select the “Science and Technology Organization”, then select “Contacts by Topic” or use the following link:  
[http://www.onr.navy.mil/Science- Technology/Contacts.aspx](http://www.onr.navy.mil/Science-Technology/Contacts.aspx).

For ARO submissions, enter the Program Manager’s name. The Program Manager’s name can be found on the ARO website as described in Program Announcement Section I entitled “Program Description” found on page 3. From the main ARO Broad Agency Announcement page, open the PDF file associated with the solicitation titled “ARO Section of the ARL Core Broad Agency Announcement for Basic and Applied Scientific Research for Fiscal Years 2012 through 2017.” Within that document, the Program Managers are listed as the Technical Points of Contact for each of the research areas.

For AFOSR, enter the Technical Points of Contact’s name as listed on BAA-AFRL/AFOSR-2015-0001 Research Interests of the Air Force Office of Scientific Research available at <http://www.grants.gov/web/grants/search-grants.html?keywords=BAA-AFOSR-2014-001>. Within that document, the Technical Points of Contact for each of the research areas are listed as Program Officers.

Field 7: Complete as indicated. If the organization is a Minority-Serving Institution, select "Other" and under “Other (Specify)” note that you are a Minority-Serving Institution (MI).

Field 8: Complete fields as indicated. If the proposal is being submitted to other DURIP participating agencies, please state in the third area of this field, the name(s) and phone number(s) of the Point(s) of Contact at those agencies. If you run out of space in Field 8, include an attachment to R&R Other Project Information form in Field 12, naming the document "Continuation of SF 424 (R&R) Field 8."

Field 9: List the appropriate DoD agency (e.g., Air Force Office of Scientific Research, Army Research Office, Office of Naval Research) as the reviewing agency. This field is pre-populated in Grants.gov.

Field 11: Descriptive title of applicant's project. Briefly (one phrase or sentence) identify both the nature of the instrumentation and the kind of research in which it will be used. Example: "Ultrashort-Pulse Laser for Research on Advanced Cathodes and Windows for High Power Microwave Sources." Please do not enter the word DURIP or any program manager's name.

Field 16: Choose "No." Check 'Program is not covered By Executive Order 12372'.

Field 17: Select "I Agree" to:

Provide the certification regarding lobbying that is required by law (13 USC 1352, as implemented by the DoD at 32 CFR Part 28). The full text of this certification may be found at <http://www.wpafb.af.mil/shared/media/document/AFD-070817-127.pdf> or a copy will be provided upon request. Certify that the statements in the proposal and the associated representations on tax delinquency and felony convictions and on entities that require certain internal confidentiality agreements are true, complete and accurate to the best of your knowledge. See the "Representations and Certifications" section of this program announcement for further instructions and the text of the representation concerning internal confidentiality agreements.

Field 18: Attach the completed representations on tax delinquency and felony convictions as Explanatory Documents. Also attach the SF-LLL or other explanatory documentation if there is lobbying that must be disclosed under 13 USC 1352, as implemented by the DoD at 32 CFR Part 28.

The representations on tax delinquency and felony convictions document is provided with the application materials for the DURIP that are available for download at [grants.gov](http://www.grants.gov). Alternatively, proposers can find the ONR template at <http://www.onr.navy.mil/en/Contracts-Grants/submit-proposal/grants-proposal.aspx>

Attachments: All attachments to all Grants.gov forms must be submitted in PDF format (Adobe Portable Document Format). To convert attachments into PDF format, Grants.gov provides a list of PDF file converters at <http://www.grants.gov/web/grants/support/technical-support/software/adobe-reader-compatibility.html>.

Please DO NOT password protect attachments.

**R&R Research and Related Budget Form** – Include a budget that identifies the equipment to be purchased, cost per item, and the total cost. Cite the proposed source(s) of the equipment.

Costs should be based on recent quotations from manufacturers or distributors. Provide copies of vendor quotes. Include the name and telephone number of a contact for each source cited or a website address listing the proposed equipment and prices. All equipment being requested must be considered part of one “system” costing \$50,000 or more, and thus all equipment being purchased must be exempt from indirect costs. The budget must make clear how DURIP funding will affect the successful and complete purchase of the requested equipment. Relevant information includes details of any other Federal funds to be used and any funds to be contributed by non-Federal sources toward the purchase of the instrumentation. For budgeting purposes, presume a grant start date of 15 July 2016, although this is subject to negotiation.

**R&R Other Project Information Form** - Complete all information as requested. Attach the Abstract and Project Narrative as described in the following paragraphs.

**Abstract and Project Narrative** – The project abstract and narrative may be NO LONGER THAN 25 PAGES, ALL INCLUSIVE when printed out. The curriculum vitae to be attached under the Research & Related Senior/Key Person Profile Form (see below) is also included in the 25-page limit. (NOTE: the SF 424 forms are not included in this 25-page limit). Those portions of the project abstract and narrative that exceed 25 pages will not be evaluated or read.

All attachments to all Grants.gov forms must be submitted in PDF format (Adobe Portable Document Format). To convert attachments into PDF format, Grants.gov provides a list of PDF file converters at <http://www.grants.gov/web/grants/support/technical-support/software/adobe-reader-compatibility.html>.

Please DO NOT password protect attachments.

Attach the proposal abstract to Field 7 on the SF-424 Research and Related Other Project Information form. Include a concise (not to exceed 300 words) abstract that describes the instrumentation requested and the research and research-related education that will be supported by that instrumentation. In the header of the abstract please include (if known) the Agency program manager’s name(s) and directorate to receive the proposal for consideration and evaluation. To assist in directing the proposal, please refer to Section I, above, for the list of Agency websites that contain research interest topics and descriptions. **The abstract must be marked that it is publicly releasable.**

Attach the proposal narrative to Field 8 of the SF-424 Research and Related Other

Project Information form. The narrative must be complete and self-contained to qualify for review. The proposal narrative provides key information by which the quality of the proposal is determined. Principal investigators are strongly encouraged to fully develop their proposal's narrative using the information sources provided in Section I. The written proposal narrative must:

Describe how the proposed instrumentation will:

- a. Enhance the quality of research and research-related education currently funded by the DoD (indicate the DoD organization, the contract or grant number, and the principal investigator; and concisely describe the thrust of the research and research-related education in sufficient detail to enable review of the proposal by an evaluator who is not familiar with your research program) and/or
- b. Contribute to research and research-related education currently proposed to the DoD (indicate the organization and principal investigator of the proposal under consideration, the prospective DoD sponsor; and concisely describe the thrust of the research and research-related education in sufficient detail to enable review of the DURIP proposal by an evaluator who is not familiar with your research proposal), and/or
- c. Establish new research capabilities or enhance current research capabilities for performing research and research-related education in areas of interest to the DoD.

Describe how the proposed instrumentation will interface with existing facilities or upgrade other instrumentation now available for research and research-related education.

Describe the amounts and sources of ongoing or proposed support for the research and research-related education to be facilitated by the instrumentation.

Describe any special circumstances regarding the acquisition or installation of the equipment.

Indicate the estimated useful life of the equipment.

### **Representations and Certifications**

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

- **Representations on tax delinquency and felony convictions** Check either “is” or “is not” for each of these two representations, as appropriate for the proposing institution, and attach the representations page to field 18 of the SF-424. The page for these representations is provided with the application materials for the DURIP that are available for download at [grants.gov](http://grants.gov).

- Representation regarding the Prohibition on Using Funds under Grants and Cooperative Agreements with Entities that Require Certain Internal Confidentiality Agreements** 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, or subrecipients from lawfully reporting that waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information. Note that: (1) the basis for this representation is a prohibition in section 743 of the Financial Services and General Government Appropriations Act, 2015 (Division E of the Consolidated and Further Continuing Appropriations Act, 2015, Pub. L. 113-235) and any successor provision of law on making funds available through grants and cooperative agreements to entities with certain internal confidentiality agreements or statements; and (2) section 743 states that it does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.
- SF-LLL Form “Disclosure Form to Report Lobbying”** -- If your university has lobbying activities that you are required to disclose under 31 USC 1352, as implemented by the DoD at 32 CFR part 28, you also must complete and attach the SF-LLL form in the downloaded Adobe forms package at Grants.gov.

**SF-424 (R&R) Research and Related Project/Performance Site Location(s) Form** – Complete all information as requested.

**Research & Related Senior/Key Person Profile Form** – Complete all information as requested. Include curriculum vitae for the principal investigator and for other senior investigators, all of which will be counted as part of the 25-page limit.

### 3. Submission Dates and Times

Full proposals must be received as explained below, no later than 4:00 PM Eastern Time on 25 September 2015.

Application Receipt Notices and Consequence of Late Submission Details for electronic submissions are as follows:

*For electronic submission*, the applicant’s approved account holder for Grants.gov will receive a confirmation page upon completing the submission. This confirmation page is a record of the time and date stamp that is used to determine whether the proposal was submitted by the deadline. After an institution submits an application, Grants.gov generates a submission receipt via email and also sets the application status to

“Received.” This receipt verifies the application has been successfully delivered to the Grants.gov system.

Next, Grants.gov verifies the submission is valid by ensuring it does not contain viruses, the opportunity is still open, and the applicant login and applicant DUNS number match. If the submission is valid, Grants.gov generates a submission validation receipt via email and sets the application status to “Validated.” If the application is not validated, the application status is set to "Rejected." The system sends a rejection email notification to the institution and the institution must resubmit the application package. Applicants can track the status of their application by logging in to Grants.gov. The last notice is sent to the institution, an acknowledgment of receipt, in e-mail form from the designated agency within ten days from the proposal due date. The e-mail notes that the proposal has been received and provides the assigned tracking number.

Late Submission of Grants.gov Proposals – Any proposal submitted through Grants.gov whereby the date and time of submission (as recorded in the submission receipt email from Grants.gov) is after the specified deadline for proposal submission will be considered late and will not be evaluated unless Grants.gov confirms that its website was not operational on the due date and was unable to receive the proposal submission. If this occurs, the time specified for the receipt of proposals through Grants.gov will be extended to the same time of day specified in this program announcement on the first workday on which the Grants.gov website is operational.

If an application receives a rejected notice from Grants.gov, the application must be corrected and resubmitted to grants.gov prior to the submission deadline. Failure to submit a corrected application before the submission deadline will result in the application being ineligible for evaluation.

It is recommended that electronic grant applications be submitted no later than 24-48 hours prior to the due date and time to avoid delays caused by high system usage immediately prior to the due date and time and/or other potential electronic submission problems including rejected proposals.

#### **4. Intergovernmental Review – Not applicable**

#### **5. Funding Restrictions**

Funds provided under DURIP may not be used for the construction or modification of buildings, building support systems (e.g., heating/ventilation/air conditioning, plumbing, and electrical), or fixed equipment (e.g., clean rooms and fume hoods). DURIP funds may not be requested or used for direct salaries of faculty, postdoctoral associates, or students. DURIP proposal budgets may include reasonable costs for design, construction, assembly, and/or installation of the equipment by an external contractor or by university technicians/engineers. Costs for continued operation and maintenance, including extended warranties, are not eligible for DURIP funding.

#### **6. Other Submission Requirements**

a. Advanced Preparation for Electronic Submission

Electronic proposals must be submitted through Grants.gov. There are several one-time actions you must complete in order to submit an application through Grants.gov, including some of the DUNS number and SAM requirements detailed in section III.3 of this program announcement. To begin this process, go to the Grants.gov registration webpage, <http://www.grants.gov/web/grants/applicants/organization-registration.html>, and follow the steps in the Organization Registration Checklist. You may download the Grants.gov Organization Registration User Guide and Organization Registration Checklist from this webpage. The webpage also features an Organization Registration Overview Tutorial. Well before the DURIP submission deadline, you must verify that the persons authorized to submit proposals for your organization have completed the required actions. If not, it may take up to four weeks to complete the actions before being able to submit the DURIP applications.

Should you have questions about the Grants.gov registration process, system requirements, how an application form works, or the submittal process, please call Grants.gov at 1-800-518-4726 or email at [support@Grants.gov](mailto:support@Grants.gov).

b. Need to mark or otherwise identify proprietary information

If proprietary information is submitted, the agency that receives the information will make every effort to protect the confidentiality of the proposal and any evaluations. However, under the Freedom of Information Act (FOIA) requirements, such information (or portions thereof) may potentially be subject to release. It is the proposer's responsibility to notify the receiving agency if its proposal contains proprietary information and to identify the relevant portions of the proposal that it believes require protection. The entire proposal (or portions thereof) without protective markings or otherwise identified as requiring protection will be considered to be furnished voluntarily to the receiving agency without restriction and will be treated as such for all purposes.

c. Submission to multiple agencies

In some cases, proposed instrumentation and associated research may be relevant to more than one of the participating agencies. In such cases, proposers can request that a proposal be reviewed at more than one agency (but only one DURIP award will be made). To have the proposal reviewed by more than one Agency, proposals must be submitted directly to each reviewing agency.

*Electronic submission.* If more than one agency will review the proposal, the SF 424 (R&R) may be saved and modified to indicate the updated agency and CFDA number to that agency. This requires up to three electronic submissions, one in response to the DURIP announcement posted at Grants.gov by each agency that will review the proposal. As a reminder, a proposal may be

submitted to more than one administering agency; however, only one administering agency will fund the proposal, if selected, under the 2015 DURIP.

## **V. Application Review Information**

### **1. Criteria**

Proposals submitted under this program announcement are evaluated through a merit review process. The primary evaluation criteria, of equal importance, are:

- a. The impact of the equipment on research currently funded by the DoD and/or the impact on research currently planned for DoD funding and/or the likelihood of the equipment to establish new research capabilities or to enhance current research capabilities that are relevant to DoD areas of research interest.
- b. The importance and priority to DoD missions of the research to be supported by the proposed instrumentation.
- c. The potential to enhance the institution's ability to educate, through the research to be conducted with the proposed equipment, future scientists and engineers in disciplines important to the DoD mission, thereby contributing to DoD research-related educational objectives.

The other evaluation criterion, which is of lesser importance than the primary criteria, is:

- d. Realism and reasonableness of cost. Cost sharing is not an evaluation factor.

### **2. Review and Selection Process**

Proposals will undergo a multi-stage evaluation procedure. First, the cognizant Program Officer and/or other Government technical experts will evaluate the proposals. Second, administering agency officials will recommend proposals for funding based on the technical experts' evaluations. Third, in coordination with the Office of the Director for Basic Research in the Office of the Secretary of Defense, the administering agencies will reconcile overlaps and coordinate complementary efforts so as to ensure the greatest possible impact with the funds available.

Restrictive notices notwithstanding, one or more support contractors or peers external to the US Government may be utilized to administratively process proposals, act as subject-matter- expert technical consultants or review proposed costs. However, proposal selection and award decisions are solely the responsibility of Government personnel. Each support contractor's employee and peer external to the US Government having access to proposals submitted in response to this PA will be required to sign a non-disclosure and a conflict of interest statement prior to the receipt of any proposal submission.

### **3. Recipient Qualification**

There is a pending Governmentwide policy on the use of the Federal Awardee Performance and Integrity Information System (FAPIIS) in the award of grants that may affect the agencies' process for judging proposed recipients to be qualified to receive financial assistance awards (note that the current process and standards for a grants officer's determination of a recipient's qualification are described in the DoD Grant and Agreement Regulations, in subpart D of 32 CFR part 22). The policy will implement requirements of section 872 of the Duncan Hunter National Defense Authorization Act for Fiscal Year 2009 (Public Law 110-417). For additional background information, see the Supplementary Information section in OMB's proposal of the policy for comment, which appeared in the Federal Register on February 18, 2010 [75 FR 7316]. Note that the particulars of the proposed guidance may change when OMB issues the final guidance.

If the policy is finalized by OMB and implemented by DoD prior to the agencies' making of FY 2016 DURIP awards under this announcement, then we anticipate that:

- a. Each agency grants officer, prior to making a DURIP award with a total amount of Federal funding greater than the simplified acquisition threshold, will be required to review and consider any information about the proposed recipient entity that is in FAPIIS (including any information entered either by a Federal Government official or the entity) before determining that the entity is qualified to receive the award;
- b. An entity, at its option, may go to FAPIIS through the PPIRS web site (<http://www.ppirs.gov/> See the Contractor Users section under the FAQs for specific access instructions.) at any time to comment on any information about itself that a Federal Government official previously entered and is currently in FAPIIS; and
- c. The grants officer will consider any comments by the proposed recipient entity, in addition to the other information in FAPIIS, 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 it is qualified to receive an award.

### **4. Anticipated Announcement and Award Dates**

Decisions are expected to be announced in Spring 2016, followed by acceptance/declination letters or e-mails to the proposers. Awards are expected to be in place by 15 July 2016; this must be cited as the start date of the proposal and associated budget. Grants will be awarded by the individual administering agencies: the Army Research Office, Office of Naval Research and Air Force Office of Scientific Research.

## **VI. Award Administration Information**

## **1. Award Notices**

Successful proposers will receive a separate notice (acceptance letter or e-mail as indicated in paragraph V.4 above) stating that an application has been selected (before the award is in place). The notification letter or e-mail must not be regarded as an authorization to commit or expend funds (except at the recipient's own risk, to the extent that the recipient elects to charge up to 90 days of pre-award costs, as permitted under paragraph 32.25(d)(2)(i) of 32 CFR part 32). The Government is not obligated to provide any funding under a DURIP award until a Government Grants Officer signs the grant document. Negotiations may result in funding levels that are lower than proposed.

## **2. Administrative and National Policy Requirements**

In keeping with the provisions of 31 USC 6306 and with the intent of this program to increase university capabilities to conduct DoD-relevant research and research-related education, title to the equipment will be vested with the university without further obligation to the government.

Each assistance instrument awarded under this announcement will be governed by award terms and conditions, which conform to DoD's implementation of 2 CFR part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards."

## **3. Reporting**

### **a. Financial and Programmatic Reporting**

A financial report using the Standard Form SF-425 is required. A final technical report is required to indicate fulfillment of the proposed objective by the acquisition and use of the instrumentation.

### **b. Federal Awardee Performance and Integrity Information System (FAPIIS)**

If the pending Governmentwide policy on FAPIIS is finalized and implemented by DoD before DURIP awards are made, then it is expected that the terms and conditions of any award of \$500,000 or more in Federal funds will include an additional post-award reporting requirement for any recipient that has Federal awards (which includes grants, contracts, and cooperative agreements) with a cumulative total value greater than \$10,000,000. Based on the policy as it was proposed for comment in February 2010 (see section V.3 of this announcement and the Federal Register notice to which that section refers), we anticipate that the additional requirement will be to report information to FAPIIS about certain civil, criminal, and administrative proceedings that reached disposition within the most recent five-year period and were connected with the award of performance of a Federal or State award.

## **VII. Agency Contacts**

For questions concerning programmatic content, potential proposers are advised to contact DoD program managers identified at the locations listed in Section I of this Program Announcement. For help with administrative questions or problems, points of contact at the three agencies are as follows:

Army Research Office:

Dr. Ellen Segan

Phone: (919) 549-4208

E-mail: [usarmy.rtp.aro.mbx.durip@mail.mil](mailto:usarmy.rtp.aro.mbx.durip@mail.mil)

Office of Naval Research:

Dr. Ellen Livingston

Phone: (703) 696-4668

E-mail: [ellen.s.livingston@navy.mil](mailto:ellen.s.livingston@navy.mil)

Air Force Office of Scientific Research:

Ms. Katie Wisecarver

Phone: (703) 696-9544

E-mail: [durip@afosr.af.mil](mailto:durip@afosr.af.mil)

Questions regarding full proposal submission should be submitted not later than two weeks before the due date for receipt of full proposals. Questions received after this date may not be answered.

### **VIII. Additional Information**

1. Only grants officers are legally authorized to bind the government.
2. Responses should reference Program Announcement PA-AFRL-AFOSR-2015-0001.