

# PROGRAM ANNOUNCEMENT



***THE DEPARTMENT OF DEFENSE (DoD)***

***INSTRUMENTATION PROGRAM FOR  
TRIBAL COLLEGES AND UNIVERSITIES (TCUs)  
FISCAL YEAR 2010***

**Broad Agency Announcement No. W911NF-10-R-0005**



**Issued by Army Research Office (ARO) on behalf of the  
Office of the Director of Defense Research and Engineering  
(Research Directorate/Basic Science Office)**

**Issued: April 2010**

**Proposals Due: June 15, 2010**

## **OVERVIEW INFORMATION**

- **Federal Agency Name(s)** - This Department of Defense program will be administered through the Army Research Office (ARO).
- **Funding Opportunity Title** - Fiscal Year 2010 Department of Defense Instrumentation Program for Tribal Colleges and Universities (TCUs)
- **Announcement Type** - This is the initial announcement.
- **Funding Opportunity Number** - W911NF-10-R-0005
- **Catalog of Federal Domestic Assistance (CFDA) Number(s)** - 12.630, Basic, Applied, and Advanced Research in Science and Engineering
- **Dates** – All proposals must be received no later than 4:00 p.m. Eastern Time, Tuesday, June 15, 2010, submitted electronically via Grants.gov.

## **I. FUNDING OPPORTUNITY DESCRIPTION**

In accordance with Section 252 of the National Defense Authorization Act for Fiscal Year 2010 (10 U.S.C. 2362) and Conference Report (H.R. 3326), Department of Defense Appropriations Act, 2010, the Department announces the fiscal year 2010 Instrumentation Program for Tribal Colleges and Universities (TCUs). The program is executed under policy and guidance of the Office of the Director of Defense Research and Engineering (ODDR&E (Research Directorate/Basic Science Office)) and administered through the Army Research Office (ARO). The program aims to enhance science, mathematics, and/or engineering education programs and/or research capabilities through the acquisition of equipment and/or instrumentation that will augment existing facilities, enhance curricula, or develop new laboratories, programs and capabilities in these areas. This includes basic equipment for laboratory and classroom use as well as sophisticated instruments and computers (including software) for advanced studies and research important to the DoD.

## **II. AWARD INFORMATION**

Approximately \$4.8 million is available for new awards. Instrumentation grants will range from \$100,000 to \$400,000 for a 12-month period. Awards will be based on merit competition following evaluations by a panel of Army scientists and engineers (see evaluation criteria in Section V). Awards will be made by the Army Research Office as project grants.

Program enhancements facilitated by these awards are expected to increase the number of students, including underrepresented minority students, obtaining undergraduate and graduate degrees in these fields. Please note that recruitment and selection procedures for students affected by an award under this solicitation must comply with Section 2000d of Title 42, United States Code, which provides: *No person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.*

### **III. ELIGIBILITY INFORMATION**

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

This competition is open only to institutions identified under 10 U.S.C. 2362 (e)(2) on the U.S. Department of Education Postsecondary list for Indian Tribally Controlled Colleges and Universities. The list is available at: <http://www.ed.gov/about/offices/list/ocr/edlite-minorityinst-list-pg5.html>. Questions concerning the list must be directed to the U.S. Department of Education at 202-219-7040.

Proposing schools should have science, mathematics and/or engineering programs and a history of graduating students in one or more of these fields. Community colleges or junior colleges responding to this announcement must demonstrate or establish a program in which the graduates will continue science, mathematics, or engineering studies toward the baccalaureate degree. The institution that grants the baccalaureate degree does not have to be a Tribal college, but it must formally agree to participate and support the community or junior college graduates toward completion of the baccalaureate degree as stipulated in the proposal.

The principal investigator must be a U.S. citizen or permanent resident and a faculty member at the institution submitting the proposal.

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

Cost sharing or matching is not a requirement.

#### **3. Other**

Eligible institutions are encouraged to submit a proposal to acquire instrumentation and/or equipment that would strengthen programs in science, mathematics, and/or engineering and increase the number of graduates in these fields. Proposals must address the impact of the proposed equipment on the institution's ability to attract students to these fields of study and encourage them to pursue undergraduate and graduate degrees, particularly in areas of scientific interest to ARO. These areas may be found at:

<http://www.aro.army.mil>

(Select: "Broad Agency Announcements" from the menu bar, then select: U.S. Army Research Office Broad Agency Announcement, Fiscal Years 2007 – 2011, solicitation # W911NF-07-R-0003-03.)

**Please note:** Use the ARO BAA only to identify areas of scientific interest to the Army Research Office. Disregard instructions regarding proposal structure and submission and instead, **follow the instructions in this BAA.**

A maximum of two (2) proposals per institution will be accepted. If more than two proposals are received from a given institution, that institution will be required to withdraw all but two.

Proposals may request funding for more than one instrument or piece of equipment if the requested pieces complement or replace existing instruments, interface with existing instruments or each other, or otherwise expand the education and/or research capabilities of one or more departments.

The proposed equipment may be incorporated into other assistance programs that enhance science, mathematics, and/or engineering education or research. For example, if assistance from other schools, industry, or other institutions exists or is contemplated, it should be discussed. Moreover, if assistance

programs supported by other agencies (e.g., National Science Foundation) are in place or planned, explain their relationship to your proposal.

Pay careful attention to Sections IV and V below and be sure to address all of these factors in the proposal. Failure to do so will result in a low score and will probably make the proposal noncompetitive.

#### **IV. APPLICATION AND SUBMISSION INFORMATION**

Proposals must be submitted electronically through Grants.Gov. There are several one-time actions your organization must complete in order to submit applications through Grants.gov (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the Central Contract Registry (CCR), register with the credential provider, register with Grants.gov, and obtain approval for an Authorized Organization Representative (AOR) to submit applications on behalf of the organization). Go to [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp) for further information. Use the Grants.Gov Organization Registration Checklist, which may be accessed at <http://www.grants.gov/assets/OrganizationRegCheck.pdf> to guide you through the process.

**Questions:** 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](mailto:support@grants.gov).

**VERY IMPORTANT:** In order to view, complete, and submit an application package, you will need to download the appropriate software packages. Go to [http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp) for further information.

**1. Submitting the Application** - Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants,” and then select “Download Application Package.” Enter the CFDA number, 12.630, Basic, Applied, and Advanced Research in Science and Engineering. You could also enter the funding opportunity number for this announcement, W911NF-10-R-0005.

**Application Forms** - The forms are contained in the Application Package available through the Grants.gov application process. Offerors must complete the mandatory forms and any optional forms (e.g., SF-LLL Disclosure of Lobbying Activities) in accordance with the instructions on the forms and the additional instructions below. The required fields should be completed in accordance with the “pop-up” instructions on the forms. To activate the instructions, turn on the “Help Mode” (icon with the pointer and question mark at the top of the form). Files that are attached to the forms must be in Adobe Portable Document Form (PDF) unless otherwise specified in this announcement.

The following formatting rules apply for the file attachments:

- Paper size when printed – 8.5 x 11-inch white paper, one-sided
- Margins – 1 inch
- Spacing – single
- Font – No smaller than Times New Roman, 10 point font (excluding mandatory forms)
- Number of pages – 25

The form SF 424 (R&R) cover page must be typed using upper and lower case letters and is not included in the page count. **Proposals are limited to 25 pages.** This includes the technical proposal, summary abstract, project narrative, facilities and other resources and equipment. These pages must be numbered consecutively. Pages exceeding these limits will not be considered in the proposal evaluation. **The Grants.gov forms are not included in the page count.**

**FORM: SF 424 (R&R) (Mandatory)** – Complete this form first to populate data in other forms. 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 as contained in Section VI.2.

**FORM: Research & Related Senior/Key Person Profile (Mandatory)** - Biographical sketches for the Principal Investigator and for other key personnel (not to exceed three pages each). Please be sure to include education and years.

To attach biographical sketches, click “Add Attachment.”

**FORM: Research & Related Other Project Information (Mandatory)** - Complete questions 1 through 6 and attach files. The files must comply with the following instructions:

**Project Summary/Abstract (Field 7 on the form)** - The project summary/abstract should be a **single page** that provides a concise description of the proposed project.

To attach a project summary/abstract, click “Add Attachment.”

**Project Narrative (Field 8 on the form)** - The project narrative shall contain the following:

a. Describe how the proposed instrument/equipment will enhance the quality of academic programs in science, mathematics and/or engineering.

b. Indicate the educational departments and other groups within or outside the institution that will use the instrument/equipment, as well as any other programs that will benefit from its use.

c. Describe how the proposed instrument/equipment will interface with existing facilities or upgrade other equipment currently available.

d. Describe any special circumstances regarding the acquisition or installation of the new instrument/equipment. For example, will installation require facility renovation such as plumbing or electrical upgrades? If so, this should be budgeted.

e. Indicate the estimated useful life of the instrument/equipment and describe the plan to service and maintain it, including source(s) of funds. The cost for continued operation and maintenance must be met by normal support mechanisms and are not to be part of the budget.

f. Indicate if faculty members will require training for optimum use of proposed instrument/equipment. If so, this should be budgeted. Funds for extramural technical assistance may also be requested.

g. The proposal should also describe how students and faculty would utilize the new instrument/equipment, for example:

h. Beyond regular coursework, will students use the instrumentation/equipment for research projects? Will faculty use it for research or other applications beyond the classroom?

i. Will there be workshops to acquaint local high school teachers with the new instruments/equipment?

j. Will there be outreach initiatives within the local school community that may encourage younger students to become better acquainted with the college and possibly attracted to studies in science or mathematics?

k. Any existing or planned mentoring programs or other after-hours educational activities should be discussed.

To attach a project narrative, click “Add Attachment.”

**FORM: Research & Related Budget (Mandatory)** - Complete Sections A through J and attach a budget justification in Section K. The budget justification should provide additional data (not included in Sections A through J) by element of cost, sufficient to meet the guidance provided below and ensure meaningful evaluation:

a. Equipment to be purchased, cost per item and total cost. Indicate the proposed source of each item. Include name and phone number of a contact at the source(s) or a web site address listing the equipment and price.

b. Installation cost of the instrument/equipment. This may include facility upgrades that are necessary for the new item(s) to function properly and safely.

c. Technical support and training. For example, a representative of the vendor may spend time on campus training faculty to use and maintain the equipment, or the principal investigator could travel to the vendor’s site for training. In either instance, a period not exceeding two weeks should be adequate.

d. Block #15 (Estimated Project Funding) on form SF424 (R&R) must agree with the budget submitted in the proposal.

The budget must include the period-of-performance (with a proposed November 1, 2010 start date), a total estimated cost of the project, and the amount and source(s) of project funding.

To attach a budget, click “Add Attachment.”

**FORM: Disclosure of Lobbying Activities (Standard Form LLL) (Optional)** - If applicable, this form must be completed. This form is applicable 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 the application for a grant under this BAA.

## **2. Submission Dates and Times**

**Proposals must be received no later than 4:00 p.m. Eastern Time on Tuesday, June 15, 2010.**

**Proposal Receipt Notices** – After a proposal is submitted to Grants.gov, the Authorized Organization Representative (AOR) will receive a confirmation screen as well as three emails from Grants.gov. The first two emails should be received within 24 to 48 hours after submission. The first email will confirm 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 should be received once the agency has confirmed receipt of the proposal. The document, Tracking Your Application Package, located at <http://www.grants.gov/assets/TrackingYourApplicationPackage.pdf> explains this process.

**It is highly recommended that grant applications be submitted 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.**

**Late Submission of Proposals** – Any proposal submitted through Grants.gov where the date and time of submission (as recorded in the first email from Grants.gov) is after the specified deadline for proposal submission, will be considered late and will not be evaluated unless the Grants.gov 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 BAA on the first workday on which the Grants.gov website is operational.

## **V. APPLICATION REVIEW INFORMATION**

**1. Evaluation Criteria:** Proposals will be evaluated on the following criteria of equal importance:

- a. Impact of requested instrumentation/equipment on science, mathematics and/or engineering programs of the institution;
- b. Impact on students and the number of students who will use the instrumentation/equipment or will benefit from its use in the science, mathematics and/or engineering curricula;
- c. Degree to which the requested instrumentation/equipment will interface with or upgrade other programs and instruments and the impact relative to current capabilities;
- d. Qualifications of the faculty to carry out the program, including the use and maintenance awareness of the instrumentation/equipment proposed for purchase;
- e. Realism and reasonableness of cost.

**2. Evaluation Process:** Army scientists and engineers will evaluate proposals according to the above criteria. The most meritorious proposals will be recommended for award. Approval of the recommended selections is the authority of the Deputy Director of Defense Research and Engineering (Research Directorate/Basic Science Office).

**3. Selection Announcement and Award Dates:** An announcement of the selections will be made by the DoD Public Affairs Office via a News Release that is expected to be available on or around September 15, 2010 at: <http://www.defenselink.mil/releases> (search for title containing “DoD Awards to Tribal Colleges and Universities”). Grant awards are expected to be in place on or around November 1, 2010. This date should be cited as the start date for the proposal performance period on the Proposal Cover (SF 424 (R&R)) and for budget planning purposes.

## **VI. AWARD ADMINISTRATION INFORMATION**

### **1. Award Notices**

When the DoD News Release is posted, ARO will send written notification via E-mail to all principal investigators who submitted a proposal. The notification of a successful proposal 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 preaward costs, as permitted under paragraph 32.25(d)(2)(i) of 32 CFR Part 32). The Government is not obligated to provide any funding until a Government Grants Officer signs the grant award document.

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

**Lobbying** – Federal regulations (Appendix A to 32 CFR Part 28) require certification regarding lobbying at the time of proposal submission. By signing and submitting the required cover page (SF 424 R&R), the proposer is certifying compliance with this regulation, which provides:

- a. 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.
- b. 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 Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- c. The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including sub contracts, sub grants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. Sec. 1352, as implemented by the DoD at 32 CFR Part 28. 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.

## **3. Equipment**

In compliance with the provisions of 31 U.S.C. 6306 and with the intent of this program to increase university capabilities in science, mathematics, and engineering education and/or research capabilities, title to equipment will be vested with the university without further obligation to the government.

## **4. Central Contractor Registration Database (CCR)**

All payments by the Government under an award resulting from this solicitation shall be made by electronic funds transfer (EFT). In accordance with DOD policy, prospective grantees must be registered in the Central Contractor Registration (CCR) database prior to award of a grant. By submission of an offer resulting from this BAA, the offeror acknowledges the requirement that a prospective grantee must be registered in the CCR database prior to the award, during performance, and through final payment of any grant resulting from this BAA. The CCR may be accessed at <http://www.ccr.gov>. Assistance with registration is available at 1-888-227-2423.

## **5. Reporting Requirements**

An equipment grant requires a report 90 days after the end of the performance period defined in the award agreement. The report should indicate fulfillment of the proposed objectives through the acquisition and use of requested equipment. Detailed instructions for report preparation will be provided at time of award and will be specified in the award document signed by the Grants Officer.

## **VII. AGENCY CONTACTS**

Questions regarding program policy and guidance should be directed to the Office of the Director of Defense Research & Engineering:

Evelyn Kent, 703-588-1378, [Evelyn.Kent@osd.mil](mailto:Evelyn.Kent@osd.mil)

Questions regarding program execution and administration should be directed to the Army Research Office:

Peggy Lacewell, 919-549-4339, [peggy.lacewell@us.army.mil](mailto:peggy.lacewell@us.army.mil)