

# **PROGRAM ANNOUNCEMENT**



## **DEPARTMENT OF DEFENSE**

### **Research and Education Program for Historically Black Colleges and Universities and Minority-Serving Institutions (HBCU/MI)**

**Fiscal Year 2015**

**Broad Agency Announcement W911NF-15-R-0002**



**Issued by the U.S. Army Contracting Command-Aberdeen Proving Ground  
Research Triangle Park Division on behalf of the Army Research Office (ARO)**

**and the**

**Assistant Secretary of Defense for Research and Engineering  
(Research Directorate/Basic Research Office)**

**Issued: November 2014**

**Proposals Due: January 15, 2015**

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## **I. OVERVIEW OF THE FUNDING OPPORTUNITY**

### **A. Required Overview Content**

#### **1. Federal Agency Name(s)**

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

#### **2. Funding Opportunity Title**

Fiscal Year 2015 Department of Defense Research and Education Program for Historically Black Colleges and Universities and Minority-Serving Institutions (HBCU/MI)

#### **3. Announcement Type**

This is the initial announcement

#### **4. Research Opportunity Number**

W911NF-15-R-0002

#### **5. Catalog of Federal Domestic Assistance (CFDA) Number**

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

#### **6. Response Dates**

Applications must be received by 4:00 p.m. Eastern Time on January 15, 2015.

### **B. Additional Overview Information**

Under authority of 10 U.S.C. § 2362 and pending the availability of funds for Fiscal Year (FY) 2015, the Department of Defense (DoD) announces the research and education program for Historically Black Colleges and Universities and Minority-Serving Institutions (HBCU/MI). The program is executed under policy and guidance of the Assistant Secretary of Defense for Research and Engineering (ASD(R&E)) and is administered by ARO, ONR, and AFOSR, hereafter called “the Agencies.”

This solicitation aims to (a) enhance research programs and capabilities in scientific and engineering disciplines critical to the national security functions of the DoD; (b) enhance the capacity of HBCU/MI to participate in DoD research programs and activities; and (c) increase the number of graduates, including underrepresented minorities, in fields of science, technology, engineering, and mathematics (STEM) important to the defense mission.

Basic research proposals (also referred to as “applications”) are requested in areas of scientific interest to the Agencies. Information about these areas is available at the following websites:

Army Research Office:

<http://www.aro.army.mil/> (select “Business” and then “Broad Agency Announcements”)

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, ONRBAA15-001.

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>.

In addition to providing details about the Agencies' research interests, these documents include the names and contact information for technical program managers of each area. Principal investigators (PIs) are encouraged to peruse the research interests of each Agency and consult with respective program managers to discuss mutual research interests. Note that proposals with relevance to interests of multiple Agencies may receive multiple reviews. See Section II.D.2. below.

**NOTE:** Use the above-referenced documents **only** to identify research areas of interest to the Agencies. Disregard instructions contained therein regarding proposal preparation, content, and submission requirements. Instead, **follow the instructions in this DoD Broad Agency Announcement.**

## **II. DETAILED INFORMATION ABOUT THE FUNDING OPPORTUNITY**

### **A. Funding Opportunity Description**

Projects proposed for funding under this BAA must be for basic research. As defined by the DoD, "basic research" is systematic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications towards processes or products in mind. It includes all scientific study and experimentation directed toward increasing fundamental knowledge and understanding in those fields of the physical, engineering, environmental, life sciences, and information sciences related to long-term national security needs.

PIs are encouraged to consider innovative approaches for their research projects with a view toward enhancing the ability of their institution to develop stronger science and engineering programs that will enable the institution to participate more competitively in a variety of defense research programs, attract and retain good students by exposing them to state-of-the art research, and encouraging them to pursue careers in STEM disciplines.

Methods through which these goals can be achieved are varied and diverse. Factors such as research capabilities, facilities, and equipment are unique to each institution. Therefore, the DoD

will not prescribe the structure for a research project; instead, it expects proposals to reflect the unique needs and capabilities of each respective institution.

Projects must be conducted by a single PI working within his/her institution and include student involvement. There will be no collaborations outside the PI's institution. Personnel, other than students, within the applicant institution who assist the PI will be identified as key personnel.

**Equipment will not be funded under this BAA.**

## **B. Award Information**

Through this competition, the DoD intends to award approximately \$18 million. All awards will be made by the ARO as project grants. Each grant will be supported at a level up to \$200,000 per 12-month period for a total performance period of 36 months. No applications for renewal or supplemental awards will be considered.

## **C. Eligibility Information**

### **1. Eligible Applicants**

As provided in 10 U.S.C. § 2362, eligibility for this competition is open only to “covered educational institutions,” which are defined as:

- a. institutions of higher education eligible for assistance under Title III or V of the Higher Education Act of 1965 (20 U.S.C. 1051 et seq.); or
- b. accredited post-secondary minority institutions.

Enrollments, accreditation, and other factors may affect an institution's eligibility in any given year. With the exception of HBCUs and Tribal Colleges and Universities (TCUs), in order to meet the eligibility criterion under C.1.a. above, an institution must apply to the Department of Education (DoEd) each year for Title III or Title V eligibility. A copy of the DoEd letter dated February 2014 or later certifying eligibility for Title III or Title V assistance must be included with each proposal submitted under this BAA. The eligibility letter will not be included in the page limit (see Section D.2). **If the DoEd eligibility letter is not submitted with the proposal, the applicant will be deemed ineligible and DoD will not consider the proposal.**

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.*

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

Cost sharing or matching is not required under this BAA, and is not an evaluation factor.

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

Each eligible applicant under this BAA is required to (a) be registered in the SAM prior to submitting its application; (b) provide a valid DUNS number in its application; and (c) 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.

ARO, as the awarding office for awards under this BAA, may not make an award to an 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 ARO is ready to make an award, ARO 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. An institution may not submit more than three (3) proposals under this BAA. If a given HBCU/MI submits more than three proposals, the institution will be required to withdraw all proposals beyond this limit.
- b. Awards will be for a single-investigator research project at the applicant HBCU/MI. This does not preclude other faculty at the applicant institution from participating in the project; however, DoD will not consider a proposal that requests DoD funding for any collaborations with outside institutions or organizations.
- c. DoD will not consider any proposal with a budget that exceeds \$600,000 in total costs for the 3-year period of performance.
- d. Each proposal must request support for at least two—but no more than four—students. These may be undergraduate students, graduate students (including post-doctoral associates), or a combination of students at these educational levels. Student support may include full or partial tuition, stipends, fees, and other justified expenses.

## **D. Application and Submission Information**

### **1. Address to View Application Package**

All applications must be submitted electronically through Grants.gov in the format specified below. Nonconforming applications may be rejected without review. Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grant Opportunities.” On the Apply for Grants

page, follow the instructions to get registered and then follow each of the Steps as indicated. Step 1 is to “Download Grant Application Package.” In the search function, enter the funding opportunity number for this BAA W911NF-15-R-0002 **or** enter the CFDA Number 12.630, Basic, Applied, and Advanced Research in Science and Engineering. Then click on Download Package and follow the instructions provided.

In order to submit applications through Grants.gov, in addition to obtaining a DUNS number and registering in SAM (see Section C.3 above), recipients must register with the credential provider and 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 you may access at <http://www.grants.gov/web/grants/applicants/organization-registration.html>, to guide you through the process.

**VERY IMPORTANT:** In order to view, complete, and submit an application package, you may 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. Use the Grants.gov Organization Registration Checklist, which may be accessed to guide you through the process.

Questions relating to the registration process, system requirements, completing an application form, or the submission process should be directed to Grants.gov at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). If you forget your user name or password, follow the instructions provided in the Credential Provider tutorial. Tutorials may be printed by right clicking on the tutorial and selecting “Print.”

## **2. Content and Form of Application Submission**

The DoD is interested primarily in the research and related science and engineering education. For this reason, the proposal narrative must clearly describe the goals of the research and research-related education so that judgments can be made on relevance to DoD goals and interests. PIs are encouraged to clarify the extent to which their research interests coincide with those of the DoD by (a) reviewing the information on DoD interests that is provided at the websites listed in Section I.B of this BAA, and (b) contacting the technical program managers identified at those websites for additional information.

Applicants must complete all 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). All attachments to Grants.gov forms must be 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/help/download\\_software.jsp](http://www.grants.gov/help/download_software.jsp). Please ensure that your attachments are not password protected.

The following formatting rules apply for the file attachments:

- Paper size when printed – 8.5 x 11-inch paper, one-sided
- Margins – 1 inch
- Spacing – single
- Font – No smaller than Times New Roman, 12 point font (excluding mandatory forms)
- **Number of pages – 25: The 25-page limit applies to the technical portion of the application, which consists of the following: Project Summary/Abstract, Project Narrative, Facilities and Other Resources (all of which are described below). Pages exceeding this limit will not be considered in the application evaluation. Letters of support are not a requirement or specific evaluation criteria. If submitted, however, they would not be considered as part of the page count.**

**The following SF 424 (R&R) forms and, as applicable, attachments are required for all applications:**

**FORM: The SF 424 (R&R) (Mandatory)** - The SF 424 (R&R) form is to be used as the cover page for all proposals. Complete this form first to populate data in other forms. By submitting an application through Grants.gov, the AOR (identified by username and password) is providing an “electronic signature.” By “signing” the SF 424 (R&R), an applicant is providing the certification required by 32 CFR Part 28 regarding lobbying as contained in Section F.2 of this BAA.

**FORM: Research & Related Senior/Key Person Profile** – Biographical sketches are required for the PI and for key personnel designated by the HBCU/MI (not to exceed three pages each). These will not be included in the page count. Please be sure to include education and the year in which each degree was received.

To attach biographical sketches, click “Add Attachment.”

**FORM: Research & Related Other Project Information** – Complete questions 1 through 6 and attach files for items 7 through 12, as applicable. The files **must** comply with the following instructions:

**Project Summary/Abstract (Field 7 on the form)** – The project summary/abstract must be a single page that provides a concise description of the proposed project, including objective(s) of the project, approaches to be utilized, anticipated outcomes, and the impact the project is expected to have on capabilities of the institution, on students, and on the DoD mission. It should identify the PI and key personnel. The project summary/abstract should indicate the technical area(s) relevant to the Agencies’ research interests (see Section I.B.) and provide suggested proposal assignment information in the following format:

- a. Agency (ies) to evaluate the proposal
- b. Scientific Division(s) or Directorate(s), if known, and

- c. Technical Area(s)/Program Manager(s), if known.

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

**Project Narrative (Field 8 on the form)**

- a. Describe in detail the research to be undertaken. State the objectives and approaches to be used and the relationship to the state of knowledge in the field and to related work elsewhere.
- b. Describe the nature of anticipated results and, if known, the manner in which the work will contribute to the DoD mission, particularly as it relates to the research interests of the Agencies.
- c. Describe the facilities available for performing the proposed research.
- d. Describe the involvement of undergraduate and/or graduate students in the research effort. In addition to the students who will receive support from DoD funds, estimate the number of students who will be involved with the project.

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

**Bibliography & References Cited (Field 9 on the form)** – Include an appropriate bibliography and list of literature citations, if applicable.

To attach a bibliography, click “Add Attachment.”

**Facilities and Other Resources (Field 10 on the form)** –Include a list of existing facilities and other resources, including equipment, to be used in the project.

To attach facilities information, click “Add Attachment.”

**Equipment (Field 11 on the form)** – Not applicable. **Equipment will not be funded under this BAA.**

**Other Attachments (Field 12 on the form)** – To include any other relevant attachments, click “Add Attachment.”

**FORM: (R&R) Research & Related Budget** – Complete Sections A through I and attach a budget justification in Section K. The budget justification should provide additional data by element of cost for entries included in Sections A through I sufficient to meet the guidance provided below and ensure meaningful evaluation. Project costs, i.e., the amount requested from DoD under this BAA, must be shown in total as well as broken down by cost element for each year of the period of performance (assume a proposed start date of August 21, 2015). **Use a separate Research & Related Budget form for each year.** The Research & Related Budget-Cumulative Budget form will reflect the total costs.

The following additional guidance is provided:

- a. Salary Costs: For all employees/labor categories, indicate the amount of time to be charged to the proposed project (e.g., number of months) and show resulting costs based on current or projected salary and fringe benefits.
- b. Equipment: Not applicable. **Funds under this BAA may not be used for purchase of equipment.**
- c. Travel: Identify any travel requirements associated with the proposed research and define its relationship to the project. For other than local travel, list proposed destinations, cost estimate, and basis of cost estimate. Domestic travel must not exceed \$2,500 per year for the PI. **Foreign travel is not allowable under this BAA.**

Travel for individuals other than the PI, including key personnel, postdoctoral associates, and graduate or undergraduate students, may be budgeted if such travel is to a DoD facility, a professional technical meeting, or other venue that may enhance achievement of the research and educational objectives of the project. Travel allowance for key personnel and students is limited to \$1,500 per year per individual.

- d. Student/Trainee Support Costs: Estimate stipends, fees, health insurance, and other justified student expenses.
- e. Consultants: Funds under this BAA may not be used for consultants.
- f. Other Direct Costs:

Materials and Supplies: Estimate costs of materials and supplies by type of materials or supplies. Provide basis for cost estimates (e.g., vendor quotes or vendor websites from which items will be purchased).

Publication Costs: Estimate the costs of publishing and reporting research results.

Equipment Rental/User Fees: Funds under this BAA may not be used for equipment rental.

- g. Facilities and Administration (F&A) Costs: Provide the current rate(s), dates of negotiations, the period to which the rate applies, and a statement identifying whether the rate is provisional or fixed. If the F&A rate has been negotiated by a Federal agency, provide the period covered by the rate, name of agency, and include a copy of the current F&A agreement.
- h. Total Direct and Indirect Costs: Provide the total costs, year by year, and a cost summary for the entire proposed period.

- i. Cost Sharing or Matching: Cost sharing or matching is not required under this BAA and is not an evaluation factor.

To attach the budget justification at Section K, click “Add Attachment.”

**Note: Be sure that the total amount requested in the budget agrees with the amount entered in Block #15 of the Cover Page (Form SF 424 (R&R)).**

**FORM: Disclosure of Lobbying Activities (Standard Form LLL)** – If applicable, this form must be completed. The form is required 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.

### **3. Submission Dates and Times**

Proposals must be received by 4:00 p.m. Eastern Time, January 15, 2015.

Applicants are responsible for submitting electronic applications in sufficient time to allow them to reach Grants.gov by the time specified in this BAA. If Grants.gov receives the proposal after the exact time and date specified for receipt of proposals, it will be considered “late” and will not be considered for review. Acceptable evidence to establish the time of receipt by Grants.gov includes documentary evidence of receipt maintained by Grants.gov.

**To avoid the possibility of late receipt, whether caused by high system usage or any potential technical and/or input problems involving the applicant’s own equipment, and thus ineligibility for consideration, it is strongly recommended that applications be uploaded at least 2 days before the deadline established in the BAA.**

If an emergency or unanticipated event interrupts normal Federal government processes so that applications cannot be received by Grants.gov by the exact time specified in this BAA, and the situation precludes amendment of the BAA closing date, the time specified for receipt of applications will be deemed to be extended to the same time of day specified in this BAA on the first work day on which normal Federal government processes resume.

**Proposal Receipt Notices** – After a proposal is submitted to Grants.gov, the AOR will receive a series of three emails from Grants.gov. The first two emails should be received within 24 to 48 hours after submission. The first e-mail will include an assigned tracking number and 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 ARO or has been rejected due to errors. A third e-mail should be received once ARO has confirmed receipt of the application within 10 days from the application due date. The e-mail notes that the application has been received and provides the assigned tracking number. The document, Tracking Your Application

Package, located at <http://www.grants.gov/web/grants/applicants/track-my-application.html> explains this process.

#### **4. Intergovernmental Review**

Not Applicable

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

Purchase or rental of equipment, costs of consultants, and costs of foreign travel will not be funded under this BAA.

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

An applicant may withdraw a proposal at any time before award by written notice or by email. The AOR must send the notice of withdrawal to the Grants Officer identified in this BAA. Withdrawals are effective upon receipt of notice by the Grants Officer.

### **E. Application Review Information**

#### **1. Evaluation Criteria**

Primary evaluation criteria (of equal importance to each other) are:

- a. Scientific and technical merits of the proposed research
- b. Relevance of the proposed research to interests of the Agency(ies) and potential contributions of the proposed research to the mission of the DoD
- c. Potential of the proposed project to develop new research capabilities or enhance existing research capabilities and to broaden the research base in support of national defense
- d. Qualifications of the PI to achieve the objectives of the proposal

Secondary evaluation criteria, of less importance than primary criteria but of equal importance to each other, are:

- e. Potential of the project to enhance education programs in STEM disciplines relevant to interests of the Agency (ies)
- f. Budgetary realism and cost effectiveness of the proposal

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

Scientists and engineers of the Agencies will evaluate proposals according to the above criteria. The most meritorious proposals will be recommended for award commensurate with available funding. Approval of the recommendation is the authority of the Research Director of the ASD(R&E) Research Directorate/Basic Research Office.

### **3. Recipient Qualification**

Upon implementation of the OMB guidance in 2 CFR part 200, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” by DoD, prior to making an award, the DoD is required to review information available through any OMB-designated repositories of government-wide eligibility qualification of financial integrity information, such as the Federal Awardee Performance and Integrity Information System (FAPIIS). Note, however, that FAPIIS is cited only as an example in 2 CFR 200.205. The government-wide policy regarding use of FAPIIS in the award of grants and cooperative agreements is still pending. Once issued in final form, the FAPIIS policy may affect DoD’s 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). For additional background information, see the Supplementary Information section in Office of Management and Budget’s (OMB) 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 making awards under this BAA, then we anticipate that the following will occur:

- a. The Grants Officer 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 (<https://www.fapiis.gov>) 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.

**In addition, the recipient must also comply with Felony/Tax Certification Requirements. The applicant will address the following prior to award:**

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:

(1) 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.

(2) 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.

**F. Award Administration Information**

**1. Award Notices**

ARO will e-mail notification of selection to successful applicants, i.e., those whose proposals have been recommended for negotiation of award, by approximately June 12, 2015. Unsuccessful applicants will be notified shortly thereafter.

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

Successful applicants will be contacted by a DoD Grant Specialist to discuss additional information required for award. This may include representations and certifications, revised budgets or budget explanations, or other information as applicable to the proposed award. The award start date will be determined at this time. The grant award document signed by the DoD Grants Officer is the only authorized award document.

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

Each assistance instrument awarded under this announcement will be governed by the award terms and conditions, which conform to DoD's implementation of OMB circulars applicable to financial assistance. Terms and conditions of new awards made after December 26, 2014 may include revisions to reflect DoD implementation of new OMB guidance in 2 CFR part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards."

Information is available on-line regarding ARO's current administrative requirements. Go to <http://www.arl.army.mil/www/default.cfm?page=29>. On Menu TAB, select "Business" and then "Broad Agency Announcements" then select "Research Terms and Conditions."

### **Certification Required for Grant Awards**

The certification at Appendix A to 32 CFR Part 28 regarding lobbying is the only certification required at the time of proposal submission for a grant award. The certification is as follows. (NOTE: This is standard language and certain portions, e.g., discussion of subawards, may not apply under a particular BAA):

"By signing and submitting a proposal that may result in the award of a grant exceeding \$100,000.00, the prospective awardee is certifying, to the best of his or her knowledge and belief, that:

- (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 of Lobbying Activities," in accordance with its instructions.
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, and subgrants, and contracts under grants, and loans, or 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 section 1352, title 31, U.S. Code.

Any person who fails to file the required certification shall be subject to a civil penalty or not less than \$10,000 and not more than \$100,000.00 for each such failure.”

### **3. Reporting Requirements**

Reporting requirements, including the types, frequency, preparation instructions, and submission procedures, are available at [http://www.arl.army.mil/www/pages/218/form18\\_Mar\\_2014.pdf](http://www.arl.army.mil/www/pages/218/form18_Mar_2014.pdf). At a minimum, these include annual financial reports and technical progress reports. During the performance period of awards made pursuant to this BAA, ARO may provide direction to recipients concerning use of the Research Performance Progress Report format for interim technical progress reports. A final report that summarizes the research and education accomplishments will be required at the conclusion of the award performance period.

### **G. Agency Contacts**

Questions regarding program policy should be directed to:

Evelyn Kent  
Office of the Assistant Secretary of Defense for Research and Engineering  
[Evelyn.W.Kent.civ@mail.mil](mailto:Evelyn.W.Kent.civ@mail.mil)

Questions regarding program execution and administration should be directed to:

Patricia A. Huff  
Army Research Office  
[Patricia.A.Huff26.civ@mail.mil](mailto:Patricia.A.Huff26.civ@mail.mil)

OR

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## **H. Other Information**

Applications must not include any information that has been identified as classified national security information under authorities established in Executive Order 12958, Classified National Security Information.

Applicants are advised that employees of commercial firms under contract to the government may be used to administratively process applications. By submitting an application, an applicant consents to allowing access to its application(s) by these support contractors. These support contracts include nondisclosure agreements prohibiting their contractor employees from disclosing any information submitted by applicants.