



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

**Fiscal Year 2018**

**Funding Opportunity Announcement**  
**W911NF-17-S-0010**



**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: June 2017**

**Applications Due: August 10, 2017**

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

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

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

The Research and Education Program for Historically Black Colleges and Universities/Minority-Serving Institutions (HBCU/MI), funded by the Office of the Assistant Secretary of Defense (Research and Engineering), 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 2018 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. Funding Opportunity Number**

W911NF-17-S-0010

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

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

#### **6. Key Dates**

Applications must be received by 4:00 p.m. Eastern Time on August 10, 2017.

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

Under the authority of 10 U.S.C. § 2362 and pending the availability of funds for Fiscal Year (FY) 2018, 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 Funding Opportunity Announcement (FOA) aims to (a) enhance research programs and capabilities in scientific and engineering disciplines critical to the national security functions of 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.

Applications for basic research projects are requested in areas of research interest to the Agencies, as presented in their broad agency announcements. Information about these areas is available at the following websites:

Army Research Office:

<http://www.arl.army.mil/www/default.cfm?page=8>

See the most recent ARO Core Broad Agency Announcement for Basic and Applied Scientific Research, W911NF-17-S-0002.

Office of Naval Research:

<https://www.onr.navy.mil/Contracts-Grants/Funding-Opportunities/Broad-Agency-Announcements> See Long Range Broad Agency Announcement for Navy and Marine Corps Science and Technology, N00014-17-S-B001.

Air Force Office of Scientific Research:

See BAA-AFRL-AFOSR-2016-0007, Research Interests of the Air Force Office of Scientific Research. Go to <https://www.grants.gov/web/grants/search-grants.html> and enter BAA-AFRL-AFOSR-2016-0007 in the Opportunity Number search box.

In addition to providing details about the Agencies' research interests, these documents include the names and contact information for technical program managers in 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 applications with relevance to interests of multiple Agencies, as specified by the applicant, may receive multiple reviews.

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

## II. DETAILED INFORMATION ABOUT THE FUNDING OPPORTUNITY

### A. Program Description

Projects proposed for funding under this FOA must be for basic research. As defined by 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, mathematics, 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 and 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. Factors such as research capabilities, facilities, and equipment are unique to each institution. Therefore, DoD will not prescribe the approach for a research project; instead, it expects applications to reflect the unique needs and capabilities of the applicant institution.

## **B. Award Information**

- a. Through this competition, DoD intends to award approximately \$25 million. All awards will be made by the U.S. Army Contracting Command-Aberdeen Proving Ground Research Triangle Park (ACC\_APG\_RTP) Division on behalf of the ARO as project grants. Each grant will be fully funded for a performance period of 36 months in an amount up to \$600,000 (total of direct and indirect [facilities and administration] costs). The budget (see Section D.2.c. of this FOA) should divide the amount requested as evenly as possible among the 3 years, unless a different allocation is fully explained in the budget justification.
- b. DoD expects projects to be completed within the 3-year period of performance. Requests for no-cost extensions will not be automatically granted. Any such request must be fully justified and submitted sufficiently in advance of the end of the period of performance for DoD to give it due consideration and determine whether to approve or deny the request. 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. Except for HBCUs and Tribal Colleges and Universities (TCUs), to meet the eligibility criterion under paragraph 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 November 2016 or later certifying eligibility for Title III or Title V assistance must be included with each application submitted under this FOA. The eligibility letter will not be included in the page limit (see Section D.2. of this FOA). **If a current eligibility letter is not submitted with the application, the applicant will be deemed ineligible and the application will not be reviewed.**

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 FOA and is not an evaluation factor.

## **3. Other**

- a. An institution may not submit more than three (3) applications under this FOA. If a given HBCU/MI submits more than three applications, the institution will be required to withdraw all applications beyond this limit.
- b. Awards will be for a research project at the applicant HBCU/MI. This does not preclude faculty at the applicant institution other than the PI from participating in the project, whether as a co-PI or in another capacity; however, DoD will not consider an application that requests DoD funding for any collaborations with outside institutions or organizations.
- c. DoD will not consider any application with a budget that exceeds \$600,000 in total costs for the 3-year period of performance.
- d. Each application 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.
- e. Funding limitations are described in Section D.6. of this FOA. If such costs are requested and DoD deems that their removal from the application/budget would cause a substantive change in the proposed project, e.g., if the application requests equipment purchase or rental without which the project cannot be performed, DoD reserves the right to reject the application without further consideration.

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

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

- a. To submit applications through Grants.gov, in addition to obtaining a DUNS number and registering in SAM (see Section D.3. of this FOA), recipients must register with Grants.gov, and obtain approval for an Authorized Organization Representative (AOR) to submit applications on behalf of the organization. Go to <https://www.grants.gov/web/grants/applicants/organization-registration.html> for further information.

- b. **VERY IMPORTANT:** To view, complete, and submit an application, an institution may need to download the appropriate software. Go to <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html> for further information.
- c. Questions relating to the registration process, system requirements, completing an application form, or the submission process should be directed to Grants.gov support at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). If you forget your user name or password, you can reset your account from the Applicant Log-in screen by clicking on the “I forgot my User Name” or “I forgot my password” links.

## 2. Content and Form of Application Submission

- a. Applicants must complete all forms and attachments in accordance with the instructions on the forms and the additional instructions below. To activate the “pop up” instructions on the forms, 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). Most office software applications provide a “Save As PDF” capability.
- b. Please ensure that application attachments are not password protected.
- c. 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 should not be submitted. If submitted, they will not be reviewed or considered during the application evaluation and will not be counted as part of the page limit.**

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

**FORM: The SF 424 (R&R)** - The SF 424 (R&R) form is to be used as the cover page for all applications. 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 FOA.

**FORM: Research & Related Senior/Key Person Profile** – Biographical sketches are required for the PI and 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 no longer than a single page. It must be marked to indicate that it is publicly releasable, as abstracts for all awarded applications will be placed on a DoD website(s) searchable by the public. Using terminology the public can understand, the abstract should provide a concise description of proposed project and the research-related education that it will provide. The header of the abstract should identify the PI, the institution, and the proposal title.

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

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

1. At the beginning of the project narrative, i.e., preceding the full text of the narrative, an application must indicate the DoD Agency(ies) and research area(s) to which the proposed project is relevant, and provide suggested Agency assignment(s) information in the following format:
  - a. DoD Agency(ies) to evaluate the application: ARO, ONR, and/or AFOSR,
  - b. Scientific Division(s) or Directorate(s), if known, and
  - c. Technical Area(s)/Program Manager(s), if known.
2. The project narrative text must clearly describe the following to allow for evaluation of the proposed project using the evaluation criteria specified in Section E.1 of this FOA:
  - a. The research to be undertaken in a level of detail that fully addresses the objectives of the research and approaches to be used, and the relationship of the project to the state of knowledge in the field and to any related work at the institution or elsewhere.
  - b. The anticipated results and how the project relates to the research interests of the Agency(ies).

- c. The facilities and equipment available for performing the proposed research.
- d. The involvement of undergraduate and/or graduate students in the research, including not only the students who would receive support from DoD funds, but also the estimated number of other students who would participate.

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.

**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 H and attach a budget justification in Section L. The budget justification should provide additional data by element of cost for entries included in Sections A through H sufficient to meet the guidance provided below and ensure meaningful evaluation. Note that Section J should not be completed, as no fee will be paid to a recipient under these awards.

Project costs, i.e., the amount requested from DoD under this FOA, 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 June 2018). Additional budget periods may be added to the Research & Related Budget form by clicking on the “Add Period” button at the end of the first budget period. The cumulative Research & Related Budget is automatically calculated on the last page of the budget form and will reflect the total costs for all budget periods.

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: **Funds under this FOA may not be used for purchase of equipment** (see Section D.6. of this FOA).
- c. Travel: Identify any travel requirements associated with the proposed research and define their relationship to the project. For other than local travel, list

proposed destinations, cost estimate, and basis of cost estimate. **Funds under this FOA may not be used for foreign travel** (see Section D.6. of this FOA).

Domestic travel must not exceed \$2,500 per year for the PI. Travel for individuals other than the PI, including 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 individuals other than the PI is limited to \$1,500 per year per individual.

d. Student/Trainee Support Costs: Estimate tuition, stipends, fees, and other justified student expenses, e.g., health insurance.

e. 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.

Consultants: Funds under this FOA may not be used for consultants (see Section D.6. of this FOA).

Subawards/Consortium/Contractual Costs: Funds under this FOA may not be used for research collaborations with outside institutions or organizations.

Equipment or Facility Rental/User Fees: **Funds under this FOA may not be used for equipment or facility rental** (see Section D.6. of this FOA).

Alterations and Renovations: **Funds under this FOA may not be used for alterations or renovations** (see Section D.6. of this FOA).

f. Indirect (Facilities and Administration (F&A)) Costs: If an F&A rate has been negotiated by a Federal agency, provide the period covered by the rate, the name of the cognizant agency, and a copy of the current F&A agreement. If an institution does not have a current F&A rate, it should submit an F&A indirect cost rate proposal with the proposal package to be approved by the Federal awarding agency head or delegate. An institution may elect to use the de minimis rate only if it has never had a federally negotiated F&A (indirect cost) rate.

g. Total Direct and Indirect Costs: Provide the total costs, year by year, and a cost summary for the entire proposed period.

To attach the budget justification at Section L, 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 FOA.

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

Each applicant is required to (a) be registered in the System for Award Management (SAM) prior to submitting its application; (b) provide a valid Dun and Bradstreet Universal Numbering System (DUNS) number in its application; and (c) 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 a Federal agency.

The ACC-APG-RTP Contracting Division on behalf of ARO, as the awarding office for awards under this FOA, may not make an award to an applicant unless the applicant has complied with all applicable DUNS and SAM requirements. If an applicant has not fully complied with the requirements by the time ACC-APG-RTP is ready to make an award, ARO may determine that the applicant is not qualified to receive an award and use that determination as the basis for making an award to another applicant.

### **4. Submission Dates and Times**

- a. Applications must be received by 4:00 p.m. Eastern Time, August 10, 2017. Applicants are responsible for submitting applications in sufficient time to allow them to reach Grants.gov by this date and time.
- b. If Grants.gov receives the application after the time and date specified for receipt of applications, it will be considered “late” and will not be considered for review. Grants.gov provides an official date and time stamp on all applications submitted through Grants.gov, which will be used to determine timely receipt of applications.

**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 FOA.**

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

- c. Application Receipt Notices – After an application 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. Once ARO has confirmed receipt of the application, a third e-mail should be received within 10 days from the application due date. The e-mail notes that the application has been received and provides the assigned tracking number. Information on tracking your application package is provided at <https://www.grants.gov/web/grants/applicants/track-my-application.html>.

**5. Intergovernmental Review - Not Applicable**

**6. Funding Restrictions**

The following types of costs/activities will not be funded under this FOA: purchase of equipment, foreign travel, rental of equipment or facilities, consultants, subawards/consortium costs, and alterations and renovations.

**7. Other Submission Requirements**

An applicant may withdraw an application at any time before award by written notice or by email. The AOR must send the notice of withdrawal to the DoD Grants Officer identified in this FOA. 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 merit 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 DoD mission.
- 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 project.

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 in STEM disciplines relevant to interests

of the Agency(ies).

- f. Budgetary realism and cost effectiveness of the application budget.

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

Scientists and engineers of the Agencies will evaluate applications using the above criteria. The most meritorious applications 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**

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

If the total Federal share of a grant (or cooperative agreement) will be greater than the simplified acquisition threshold (currently \$150,000):

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

## **F. Award Administration Information**

### **1. Award Notices**

ARO will e-mail notification of selection to successful applicants, i.e., those whose applications have been recommended for award, by approximately March 2018. Unsuccessful applicants will be notified shortly thereafter.

The notification e-mail must not be regarded as a formal authorization to commit or expend funds; however, an institution may, at its own risk incur pre-award costs as specified in the general terms and conditions provided in Section F.2.a. of this FOA. The Government is not obligated to provide any funding until a DoD Grants Officer signs the

grant award document. The grant award document signed by the DoD Grants Officer is the only authorized 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 applicable to the proposed award. The award start date will be determined at that time.

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

- a. Each grant awarded under this FOA will be governed by the general terms and conditions in effect at the time of the award that conform to DoD's implementation of OMB guidance applicable to financial assistance in 2 CFR part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards." The DoD Research and Development General Terms and Conditions (latest version, July 2016) are located at <https://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-terms-conditions>.

These terms and conditions are incorporated by reference in this FOA.

- b. A recipient must comply with all applicable national policy requirements. The key national policy requirements that may relate to an award under this FOA are included in the terms and conditions specified in paragraph 2.a. above.
- c. By electronically signing the SF-424, the applicant affirms its agreement with the following certification:

### **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 application 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 FOA)

"By signing and submitting an application 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 Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions and include it in the submitted application package.

(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, 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."

**d. The following representations are required for grant awards:**

**Appropriations Provisions on Tax Delinquency and Felony Convictions**

**Check either "is" or "is not" for the following representations, as appropriate for the proposing institution. Include the AOR signature and point of contact information, and attach the representations page to Field 12 of the SF-424(R&R). The page for these representations is provided with the application materials that are available for download at Grants.gov.**

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.

OMB CONTROL NUMBER: 0704-0494  
OMB EXPIRATION DATE: 11/30/2019

## AGENCY DISCLOSURE NOTICE

The public reporting burden for this collection of information is estimated to average 5 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Department of Defense, Washington Headquarters Services, Executive Services Directorate, Directives Division, 4800 Mark Center Drive, East Tower, Suite 02G09, Alexandria, VA 22350-3100 [0704-0494]. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.

### **Prohibition on Contracting with Entities that Require Certain Internal Confidentiality Agreements**

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

By submission of its proposal or application, the applicant represents that it does not require any of its employees, contractors, or subrecipients seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting those employees, contractors, subrecipients from lawfully reporting that waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

Note that: (1) the basis for this representation is a prohibition in Section 743 of the Financial Services and General Government Appropriations Act, 2015, Pub. L. 113-235) on provision of funds 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.

**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.

### **3. Reporting Requirements**

- a. Recipients must submit
  - (1) annual and final financial reports using the Standard Form (SF)-425;
  - (2) annual performance progress reports using the Research Performance Progress Report to indicate the progress of the project and other information as specified in the award; and
  - (3) a final technical report.
- b. If the total Federal share of the award exceeds \$500,000, the reporting requirements reflected in Appendix XII to Part 200 of Title 2 CFR will be included in the terms and conditions of the award.

### 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

Tywanki Q. Seegars  
Army Research Office  
[tywanki.q.seegars.ctr@mail.mil](mailto:tywanki.q.seegars.ctr@mail.mil)

Anthony C. Smith  
Office of Naval Research  
[anthony.c.smith1@navy.mil](mailto:anthony.c.smith1@navy.mil)

Edward Lee  
Air Force Office of Scientific Research [edward.lee@us.af.mil](mailto:edward.lee@us.af.mil)

The DoD Grants Officer is:

Kevin J. Bassler  
US Army Contracting  
Command-Aberdeen  
Proving Ground  
RTP Division  
[Kevin.J.Bassler.civ@mail.mil](mailto:Kevin.J.Bassler.civ@mail.mil)

## **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.