

US ARMY RESEARCH OFFICE (ARO)

BROAD AGENCY ANNOUNCEMENT

W911NF-08-R-0002



PROGRAM ANNOUNCEMENT

FISCAL YEAR 2008

ARO YOUNG INVESTIGATOR PROGRAM (YIP)

AMENDMENT 02, POSTED 01 April 2008 (CHANGES MADE ARE for extended grace period that allows submission through 04 April 2008, 1600 ET)

FULL PROPOSAL DEADLINE:

Must be received no later than 4:00 PM Eastern Time
Friday, 04 April 2008

OVERVIEW INFORMATION

- **Agency Name(s)** – U.S. Army Research Office, Physical Sciences Directorate, P.O. Box 12211, Research Triangle Park, NC 27709-2211
- **Issuing Acquisition Office:** U.S. Army RDECOM Acquisition Center, RTP Contracting Division, P.O. Box 12211, Research Triangle Park, NC 27709-2211
- **Funding Opportunity Title** - Fiscal Year 2008 ARO Young Investigator Program (YIP)
- **Announcement Type** - This is the initial announcement-February 2008
- **Funding Opportunity Number** - W911NF-08-R-0002
- **Catalog of Federal Domestic Assistance (CFDA) Number(s)** - 12.431, Basic Scientific Research (ARO)
- **Dates** - Proposals are due no later than 4:00 PM Eastern Time, Friday, 04 April 2008

I. FUNDING OPPORTUNITY DESCRIPTION

ARO's Young Investigator Program (YIP) seeks to identify and support academic scientists who have received Ph.D. or equivalent degrees within the last five years (on or after 01 November 2002 for this FY08 competition) and who show exceptional promise for doing creative research. The objectives of this program are to attract outstanding faculty members of Institutions of Higher Education (hereafter also called "universities") to the Department of the Army's research program, to support their research, and to encourage their teaching and research careers. This YIP program is in addition to a YIP Program described in the open ARO BAA W911NF-07-R-0003.

Proposals addressing research areas as described in the ARO BAA W911NF-07-R-0003 located at web site at <http://www.aro.army.mil/baa>, which are of interest to ARO Program Managers and Division Chiefs will be considered. Contact information for each Division is also listed within the open BAA cited above, and accessible from this web site. Potential applicants may contact the appropriate Division Chief, or the Program Manager who is the point-of-contact for a specific technical area, to discuss their research ideas. Brief informal pre-proposals may be submitted to the technical point of contact to facilitate these discussions. Such discussions can clarify the content and breadth of the

priority research areas and enhance the match between a subsequent proposal and Department of the Army research needs.

An individual wishing to apply for a Young Investigator Award must submit a research proposal and a supporting letter through the appropriate university officials. ARO makes awards to institutions, not to individuals. The research proposal should follow the format described in Section IV., Application and Submission Information.

Proposals may request up to \$100,000 per year for three (3) years. These funds may be budgeted against any reasonable costs related to the conduct of the proposed research, for example, salary for the Young Investigator, indirect costs, graduate student support, equipment, supplies, and operating expenses.

The basic \$100,000 per year award can be supplemented through a "matching funds" enhancement available only to those receiving an ARO Young Investigator award. As an incentive for becoming involved with other Department of the Army research activities, the Office of the Director of ARO may match on a 1-for-1 basis, the first \$25,000 of additional Department of the Army funding which a successful applicant obtains each year to support additional, collaborative research with an Army laboratory during the YIP award. Potential sources of research support eligible for the 1-for-1 match include Army laboratories and ARO Program Managers. Thus, this "matching funds" clause can provide research support over and above the basic \$100,000 per year award, e.g. to support an additional graduate student and an additional research task. A Young Investigator is not prohibited from receiving more than \$25,000 from other Department of the Army sources; however, the Office of the Director of ARO will match on a 1-for-1 basis only the first \$25,000 each year. Other Army support eligible for matching funds can be arranged at any time and generally will not have been identified at the time of the initial award. ARO Program Managers will assist Young Investigators, upon request, in identifying potential collaborators at Army laboratories. ARO Program Managers will also assist successful applicants who wish to seek support from other parts of the Department of the Army in identifying individuals at other Army organizations who may be interested in funding additional research by the Young Investigator.

In addition, it is anticipated that some of the applicants receiving an ARO Young Investigator award will also be selected to receive a Presidential Early Career Award for Scientists and Engineers (PECASE). Those selected for the PECASE will **potentially receive funding** for two additional years of research support, and total support at up to \$200,000 per year. However, given the significantly larger base amount, the \$25,000 matching funds is not offered to PECASE winners.

Upon completion of the three (3) year YIP or five (5) year PECASE award period, Investigators may apply to ARO for continued support under ARO's regular research grant program. Decisions about continued funding outside the context of the Young Investigator Program will be made following a review of the new proposal by the

cognizant Program Manager, based on the merits of the proposal, ARO's research priorities, and the creativity and productivity exhibited during the previous Young Investigator research program.

Competition is expected to be severe. Winners are likely to require not only outstanding research proposals but also possess outstanding records of prior professional accomplishments. Thus, applicants are advised that the biographical information submitted as part of the proposal (see "Qualifications" under "Proposal Content," below) should list all relevant past activities. Strong university support for the applicant is essential. This support can include the applicant's 9-month academic salary, release time from administrative responsibilities, the purchase of equipment, support for the applicant's graduate students, waiver of indirect costs, departmental cost sharing, start-up funding, and so on. It must be clear that the university views the applicant as a truly outstanding, potential leading faculty member and is making a long-term commitment to the application and the research.

Those proposals not selected for Young Investigator awards are automatically considered for ARO's regular research grant program in competition with all other research proposals submitted to ARO's open BAA. Thus, the Young Investigator Program is not a "research initiation" opportunity with standards that are less demanding than ARO's regular research grant program. ARO's Young Investigator awards are intended to confer honor upon awardees beyond the research funding being provided.

II. AWARD INFORMATION

- Total Amount of Funding the Program Office expects to Award through the Announcement

Subject to official fiscal appropriation, it is anticipated that up to \$3,000,000 will be made available for awards made under this BAA.

- Anticipated Number of Awards

ARO anticipates that funding will be available to make about ten (10) awards under this FY08 YIP/PECASE BAA.

- Expected Amounts of Individual Grant Awards

Individual awards will be for up to \$100,000 per year for three (3) years (with the possibility of greater support for additional, collaborative research with an Army laboratory). The \$100,000 limit includes all funds paid to the university, including all indirect costs. In addition, as discussed above, it is anticipated that some of the applicants receiving an ARO Young Investigator award will also be selected to receive a Presidential Early Career Award for Scientists and Engineers

(PECASE). Those selected for the PECASE will be eligible for two additional years of research support, and total support at up to \$200,000 per year.

- Anticipated Start Date and Period of Performance

Proposed research should be structured to have a three (3) and, if also competing for PECASE, five (5) year period of performance beginning 01 July 2008.

III. ELIGIBILITY INFORMATION

1. Eligible Applicants

Awards under this BAA will be made only to U.S. Institutions of Higher Education, which award degrees in science, engineering, and/or mathematics. Further, the Principal Investigator of a proposal must be a U.S. citizen, national, or permanent resident (on the date proposals are due), holding a tenure-track or permanent faculty position at that university, who received her/his graduate degree (Ph.D. or equivalent) on or after 01 November 2002 (based on the date printed on the diploma). The term "national" of the United States includes a native resident of a possession of the United States, such as American Samoa. Faculty at an institution of higher education which does not designate any faculty appointments as "tenure track" and who do not have a permanent appointment are eligible if that is so indicated on the proposal cover and an accompanying letter from the university states that the faculty member will be considered for a permanent appointment.

2. Cost Sharing-Cost Sharing is not required. Any cost sharing that is provided should be explicitly stated.

IV. APPLICATION AND SUBMISSION INFORMATION

1. Application and Submission Process

The deadline for receipt of proposals is 4:00 p.m. (Eastern Time) on Friday, 04 April 2008. Proposals received after this time and date will not be considered for a FY08 YIP award under this BAA. After the proposal evaluation process is completed, the proposed Principal Investigator will be notified via email or U.S. mail whether or not the proposal has been recommended for an award.

Where to Submit: Proposals must be submitted electronically to ARO, through Grants.gov.

Note: Full Proposals sent by fax, e-mail or paper submission will not be considered.

Advanced Preparation for Electronic Submission for Grants.Gov: There are several one-time actions you must complete in order to submit an application 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, and register with Grants.gov). See www.grants.gov/GetStarted. Use the Grants.gov Organization Registration Checklist www.grants.gov/assets/OrganizationRegCheck.doc to guide you through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in the CCR registration process. Applicants, who are not registered with CCR and Grants.gov, should allow at least 21 days to complete these requirements. It is suggested that the process be started as soon as possible.

Questions: Should you have questions relating to the registration process, system requirements, how an application form works, or the submittal process, you may contact Grants.gov at 1-800-518-4726 or by email at support@grants.gov. Please note that Grants.gov does not currently support the new Microsoft Vista Operating systems. See Section VIII.3.

VERY IMPORTANT – Adobe Reader 8.1.1: In order to download the application package, you will need to install Adobe Reader 8.1.1. This small, free program will allow you to access, complete, and submit applications electronically and securely. For a free version of the software, visit the following web site: www.grants.gov/DownloadViewer. There you will find the adobe software program under the “download software” “hot-link”.

2. Content and Format of Full Proposals

The proposals submitted under this BAA should be for the conduct of **unclassified** basic research. The Proposal submissions will be protected from unauthorized disclosure in accordance with applicable law, and DoD/DA regulations. Offerors are expected to mark appropriately each page of their submission that contains proprietary information.

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 for ARO, which is **12.431** and the funding opportunity number designated as “research opportunity number” [**W911NF-08-R-0002**] on page one of this announcement. NOTE: You will not be able to download the Application Package unless you have installed Adobe 8.1.1. (See: <http://www.grants.gov/DownloadViewer>) under the “download software” hot-link.

Forms

You must complete the mandatory forms and any applicable optional forms in accordance with the instructions on the forms and the additional instructions below.

Files that are attached to the forms must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement. To help in standardizing submissions the following forms to include the SF 424 (R&R) below must be used for all electronic proposals: “Research & Related Budget form”, “Research & Related Senior/Key Person Profile form”, “Research & Related Project/Performance Site Locations form” and the “Research & Related Other Project Information form.”

SF 424 (R&R) (Mandatory)

The SF 424 (R&R) form is to be used as the cover page for all proposals.

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.

Complete this form first to populate data in other forms. Complete all the required fields in accordance with the pop-up instructions on the form. To activate the instructions, turn on the “Help Mode” (icon with the pointer and question mark at the top of the form). The list of certifications and assurances referenced in Field 18 can be found at the following web address: <http://www.aro.army.mil> at the ARO’s website under Broad Agency Announcements, section entitled, “Grant Terms and Conditions” for the appropriate Recipient’s status.

The completion of most of the fields of the SF 424 (R &R) is self-explanatory except the following special instructions:

- a. Field 2: In the Applicant Identifier area, please list the most appropriate ARO Program Manager to receive the proposal (if known).
- b. Field 4: In the Federal Identifier Field, New project applications should leave this field blank, unless you are submitting a Changed/Corrected application. When submitting a changed/corrected “new” application, enter the Grants.gov tracking number.
- c. Field 7: Complete as indicated. Please note under “Other (Specify)” if your organization is a Minority Institution (MI).
- d. Field 20: Use Field 20 to attach the proposal narrative as described below.
- e. Field 21: Attach a supporting letter through the appropriate university officials. The supporting letter should be from the applicant’s Department Chairperson, Dean, or other official who speaks for the university regarding support for and commitment to the applicant. This commitment can be shown, for example, by the purchase of research equipment, support for the applicant’s graduate students, etc. The supporting letter should state whether the applicant holds a tenure track

position or a permanent position. If the applicant does not have a permanent appointment and the university does not designate any faculty appointments as tenure track, the letter should note this and state when the applicant will be considered for a permanent appointment.

Proposal Narrative - Attach the proposal narrative to the SF424(R&R) cover sheet at Field 20). The proposal narrative contains the cover, table of contents, executive summary, background, statement of work, management approach, reference citations, assertion of data rights, and qualifications. In addition, attach ARO Agency Form 51-GG, Proposal Cover Page. **Note:** Some information is the same but be sure to fill all blocks with the appropriate data to be provided on ARO's Agency Form # 51-GG, Proposal Cover Page. This will help to expedite processing. This form is available at the following ARO website:<http://www.aro.army.mil/forms/forms2.htm> under section "Forms-Broad Agency Announcement (BAA)".

Research & Related Senior/Key Person Profile (Optional) - Provide information on any Co-Investigator for the project under "Profile – Senior/Key Person" section of the form. All applicable blocks must be completed.

Format:

- Page Size – 8.5 x 11 inch paper
- Margins – 1" inch
- Spacing – 1.5 or double-spaced
- Font – Times New Roman, 12 point
- Number of Pages – The technical Proposal Narrative excluding sections listed as "not included in page limitations," should not exceed twenty (20) pages. There is no page limit for the Cost Proposal. Limitations within sections of the proposal are indicated in the individual descriptions shown below. Full Proposals exceeding the page limit shall not be evaluated.

- **Cover:** (Not included in page limitations.) The first page of your narrative must include the following information:

Principal Investigator status for eligibility (check those that apply)

- Principal Investigator is U.S. Citizen or National
- Permanent resident of U.S. (Alien# _____)
- Will be considered for tenure
- Holds a permanent position

__Date printed on Ph.D. (or equivalent) diploma is on or after 1 November 2002. **Note:** This information must also be provided on ARO's Agency Form # 51-GG, Proposal Cover Page. This form is available at the following ARO website: <http://www.aro.army.mil/forms/forms2.htm> under section "Forms-Broad Agency Announcement (BAA)".

Names and addresses (to be used for courtesy notification of Young Investigator awards):

President (or Chancellor or Provost if there is no on-campus President)
Dean (if applicable)
Department Chair/Head or Supervisor

- **Table of Contents:** (Not included in page limitations) List the titles of proposal sections and their page numbers.
- **Executive Summary:** (Not to exceed one page.) Summarize the research being proposed and its potential technological impact.
- **Background:** Discuss the relationship of the proposed research to state-of-the-art knowledge in the field and to related efforts in progress elsewhere.
- **Statement of Work:** Provide a Statement of Work (SOW) clearly detailing the scope and objectives of the effort and the technical approach. The SOW must contain a description of the proposed research in sufficient detail for evaluation, including the objective and the technical approach for each proposed task, including how data will be analyzed. Appropriate references to the scientific literature should be cited. It is anticipated that the proposed SOW will be incorporated as an attachment to any resultant award instrument. To this end, such proposals must include a self-standing SOW, which can be attached to the award instrument. A second SOW should be attached describing the additional work which would be performed under a PECASE, namely for an Award of five (5) year duration at \$200,000 per year, rather than an Award of three (3) year duration at \$100,000 per year. **This supplementary SOW does not count against the 20 page limit.**
- **Management Approach:** A discussion of the overall approach to the management of this effort, including brief discussions of the total organization, use of personnel, and nature and extent of any planned interactions with other organizations. Include a description of the facilities that are required for the proposed effort with a description of any Government Furnished Equipment/Hardware/Software/Information that is

required. Also provide the rationale for any funding being requested to purchase equipment for performing the proposed work. This section should also include a:

- listing and description of involvement in other research projects currently being undertaken by the Principal Investigator, whether or not acting as a Principal Investigator in these other projects;
 - listing of other pending research proposals (title, amount, where pending), including other agencies receiving this proposal; and
 - listing of the institution's support for the proposed research program (e.g., equipment purchase, graduate student support, release time, etc.).
- **Reference Citations:** (Not included in page limitations.) List the references cited in the Statement of Work.
 - **Assertion of Data Rights:** (Not included in page limitations.) Include here a summary of any proprietary rights to pre-existing results, prototypes, or systems supporting and/or necessary for the proposed research effort. Any data rights asserted in other parts of the proposal that would impact the rights in this section must be cross-referenced. If there are proprietary rights, the Offeror must explain how these affect its ability to deliver research data, and the government's ability to use these results, e.g., in future applications. Additionally, Offerors must explain how the program goals are achievable in light of these proprietary limitations. If there are no claims of proprietary rights in pre-existing data, this section shall consist of a statement to that effect.
 - **Qualifications:** (Not included in page limitations.) Provide biographical information of the applicant, including lists of her/his publications, professional activities (such as: organizing and/or serving on a program committee of conferences/workshops; chairing technical meetings; technical presentations (indicate if invited); editing journals; serving as reviewer for publications/proposals or as a consultant; etc.), patents, honors, awards, schools attended and other accomplishments. Note the "past performance" proposal evaluation criterion listed below.
 - **Cost Proposal:** Use the SF424 (R&R) budget form to submit this information rather than including it in the proposal narrative. Provide a detailed cost breakdown of all costs, by cost category and by federal government fiscal year. Start date for budget purposes should be 01 July 2008. Thus, as noted below, the proposed budget for three years beginning 01 July 2008 will have four budget periods.

- (1) Three months (01 July 2008 through 30 September 2008)
- (2) Twelve months (01 October 2008 through 30 September 2009)
- (3) Twelve months (01 October 2009 through 30 September 2010)
- (4) Nine months (01 October 2010 through 30 June 2011)

Offerors should make a concerted effort to ensure that the proposed costs in each of the four budget periods, which are outlined above, represent only those costs expected to be incurred (spent) during that specified budget period. (One exception: Costs for requested capital equipment (if any) should be included in the first budget period.)

In anticipation of the YIP being selected as a PECASE winner, a second, analogous, set of budget pages should be submitted for five years (and six budget periods), beginning 01 July 2008 and going through 30 June 2013, at \$200,000 per year.

This second budget should be marked in the heading of each sheet "PECASE," and should follow the same cost breakdown as that required in the YIP budget. This second budget may be placed on an ARO Form 99, Excel Spreadsheet or Word document as long as the same cost breakdown detail is provided. The ARO form 99 is available at the following ARO website: <http://www.aro.army.mil/forms/forms2.htm> under section "Forms-Broad Agency Announcement (BAA). Attach this second budget at item #11 of the Research and Related Other Project Information Form. **In addition, each of these budget pages must be signed by the University's Sponsored Programs Office representative.**

The cost breakdown shall detail:

- Direct Labor – Individual labor category or person, with associated labor hours and unburdened direct labor rates.
- Indirect Costs – Fringe Benefits, Overhead, F & A, etc. (Must show base amount and rate). State whether or not a recent predetermined or provisional overhead rate has been negotiated by a federal agency and, if so, when and by which federal agency. Always state the basis on which the overhead rate is calculated (i.e., "salaries and wages" or "total costs") and the period of the grantee's fiscal year. Include a copy of any current indirect rate agreement or provide a URL if this document is available from the internet.
- Travel – Number of trips, destination, duration, purpose, etc.
- Subcontract – A cost proposal as detailed as the Offeror's cost proposal will be required to be submitted by the subcontractor, if any. The subcontractor's cost proposal can be provided with the Offeror's cost proposal or will be requested from the subcontractor at a later date.

- Consultant – If included, provide consultant agreement or other document which verifies the proposed loaded daily/hourly rate. Explain why a consultant is required to perform the proposed research.
- Materials should be specifically itemized with costs or estimated costs. An explanation of any estimating factors, including their derivation and application, should be provided. Include a brief description of the Offeror’s procurement method to be used (Competition, engineering estimate, market survey, etc.)
- Other Direct Costs, particularly any proposed items of equipment. Include a brief description of the procurement method to be used by the Offeror (competition, market survey, etc.) for purchasing capital equipment. Explain the basis for the cost estimate for capital equipment in the proposal's budget. Itemize other anticipated direct costs such as rental for computers or other equipment, facility usage fees, and tuition remission. Unusual or expensive items should be fully justified.
- Communication Costs-Estimate communication costs (i.e., long distance telephone calls, telegrams, and postage) not included in overhead.

SF-LLL Disclosure of Lobbying Activities Form-(Mandatory if applicable)

If applicable, complete SF- LLL. Applicability: 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 grant/cooperative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying."

3. Significant Dates and Times

Schedule of Events		
Event	Date	Time (ET)
Due Date for Proposals	04 April 2008	4:00 PM
Notification of Recommendation for Award	01 June 2008*	N/A
Grant Start Date	01 July 2008*	N/A

*(These dates are estimates as of the date of this announcement.)

Proposal Receipt Notices

After proposal is submitted through Grants.Gov, the Authorized Organization Representative (AOR) will receive a series of three e-mails. It is extremely important that the AOR watch for and save each of the emails. You will know that your proposal has

reached ARO when the AOR receives email Number 3. You will need the Submission Receipt Number (email Number 1) to track a submission. The three e-mails are:

Number 1 – The applicant will receive a confirmation page upon completing the submission to Grants.gov. This confirmation page is a record of the time and date stamp for the submission.

Number 2 – The applicant will receive an email indicating that the proposal has been validated by Grants.gov within a few hours of submission. (This means that all of the required fields have been completed).

Number 3 – The third notice is an acknowledgment of receipt in email form from the designated agency within ten days from the proposal due date. The email is sent to the authorized representative for the institution. The email notes that the proposal has been received and provides the assigned tracking number.

Application Receipt Notices and Consequence of Late Submission

NOTE: Any proposal, modification, or revision submitted through Grants.Gov where the time and date for submission (e-mail Number #1) is after the deadline for proposal submission will be late and will not be considered for a FY08 YIP award. Should the site of Grants.gov not be operational on the due day and be unable to receive the proposal submission, the deadline is extended to the same time of the first day when the site is in operation.

V. APPLICATION REVIEW INFORMATION

1. Evaluation Criteria

Proposals will be evaluated using the following criteria of equal importance:

- A. Past performance and experience of the Principal Investigator, demonstrated by the significance and impact of previous research, publications, professional activities, awards and other recognition, etc.;
- B. A creative research proposal, demonstrating the potential for making progress in a listed priority research area; and
- C. A long-term commitment by the University to the applicant and the research.

2. Evaluation Process

The evaluation of proposals will be performed by the cognizant ARO Program Manager, other Army and Defense activities/agencies personnel, and Academic “peer” reviewers as specified by the ARO Program Manager. The Government may use selected

support contractor personnel to assist in the administrative processing of the proposals arising from this announcement; these support contractors will be bound by appropriate non-disclosure agreements to protect proprietary and source-selection information.

VI. AWARD ADMINISTRATION INFORMATION

1. Award Notices

Successful proposers will receive a separate notice (acceptance letter or e-mail) stating that an application has been selected (before the award is in place). The notification letter or e-mail must not be regarded as an authorization to commit or expend funds (except at the recipient's own risk). The Government is not obligated to provide any funding under a YIP award until a Government Grants Officer signs the grant award document.

2. Administrative and National Policy Requirements

Lobbying

The certification at Appendix to 32 CFR Part 28 regarding lobbying is the only certification required at the time of proposal submission for a grant award. By signing and submitting the required cover page (SF 424 R&R), the prospective awardee is providing this certification. This certification is required for an award of a Federal contract, grant, or cooperative agreement exceeding \$100,000.

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, 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 section 1352, title 31, U.S. Code. 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.

Equipment

In keeping with the provisions of 31 USC 6306, title to all equipment acquired via a YIP award shall vest with the university without further obligation to the Government.

Central Contractor Registration

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.

3. Military Recruiting. This is to notify potential offerors that each grant awarded under this announcement to an institution of higher education shall include the following term and condition:

“As a condition for receipt of funds available to the Department of Defense (DoD) under this award, the recipient agrees that it is not an institution of higher education (as defined in 32 CFR part 216) that has a policy or practice that either prohibits, or in effect prevents:

(A) The Secretary of a Military Department from maintaining, establishing, or operating a unit of the Senior Reserve Officers Training Corps (in accordance with 10 U.S.C. 654 and other applicable Federal laws) at that institution (or any sub element of that institution);

(B) Any student at that institution (or any sub element of that institution) from enrolling in a unit of the Senior ROTC at another institution of higher education; (C) The Secretary of a Military Department or Secretary of Homeland Security from gaining access to campuses, or access to students (who are 17 years of age or older) on campuses, for

purposes of military recruiting in a manner that is at least equal in quality and scope to the access to campuses and to students that is provided to any other employer; or (D) Access by military recruiters for purposes of military recruiting to the names of students (who are 17 years of age or older and enrolled at that institution or any sub element of that institution); their addresses, telephone listings, dates and places of birth, levels of education, academic majors, and degrees received; and the most recent educational institutions in which they were enrolled. If the recipient is determined, using the procedures in 32 CFR part 216, to be such an institution of higher education during the period of performance of this agreement, the Government will cease all payments of DoD funds under this agreement and all other DoD grants and cooperative agreements to the recipient, and it may suspend or terminate such grants and agreements unilaterally for material failure to comply with the terms and conditions of award.” (32 CFR Part 216 may be accessed electronically at the web link: http://www.access.gpo.gov/nara/cfr/waisidx_03/32cfr216_03.html).

If your institution has been identified under the procedures established by the Secretary of Defense to implement Section 558 of Public Law 103-337, then: (1) no funds available to DoD may be provided to your institution through any grant, including any existing grant; (2) as a matter of policy, this restriction also applies to any cooperative agreement; and (3) your institution is not eligible to receive a grant or cooperative agreement in response to this solicitation.

4. Reporting Requirements

Financial reports are required in accordance with Part 32 of the DoD Grant and Agreement Regulations (32 CFR Part 32). Financial reports shall be submitted on the SF 270, SF 272 and the SF 269/SF 269A (final). The instructions for these financial reports will be specified in the award document signed by the Grants Officer.

Annual and final technical reports are also required. The instructions for these technical reports will be specified in the award document signed by the Grants Officer.

VII. AGENCY CONTACTS

Points of Contact

Questions regarding YIP policy issues should be directed to:

Dr. Peter Reynolds
Chief Scientist, Physical Sciences Directorate
Army Research Office
4300 South Miami Blvd.
Durham, NC 27703
Telephone Number: (919) 549-4345
FAX Number: (786) 549-0788
Email Address: peter.reynolds@us.army.mil

Questions of a business nature should be directed to:

Ernest Dixon III
Contract Specialist, US Army Acquisition Center
Army Research Office
4300 South Miami Blvd.
Durham, NC 27703
Telephone Number: (919) 549-4270
FAX Number: (919) 549-4388
Email Address: ernie.dixon@us.army.mil

VIII. OTHER INFORMATION

1. Security Requirements: N/A

2. Microsoft Vista and Word 2007 Incompatibility with Grants.gov

Please note that Grants.gov does not currently support the new Microsoft Vista Operating System. The PureEdge software used by Grants.gov for forms is not compatible with Vista. Additionally, the 2007 version of Microsoft Word saves documents with the extension “.DOCX” (as a new default). Grants.gov cannot process Microsoft Word documents with the “.DOCX” extension at this time. When submitting attachments created with Microsoft Word 2007 to Grants.gov, please ensure the document is saved using “Word 97-2003 Document (*.doc)” format. If you have any questions regarding this matter, please e-mail the Grants.gov Contact Center at support@grants.gov, or call 1-800-518-4726.

Grants.gov is currently reviewing the Vista operating system to adopt standard security configurations by 1 February 2008 in compliance with OMB’s memorandum-
<http://www.whitehouse.gov/omb/memoranda/fy2007/m07-11.pdf>.

3. Marking of Proposal and Disclosure of Proprietary Information Outside the Government:

The proposal submitted in response to this BAA may contain technical and other data that the offeror does not want disclosed to the public or used by the Government for any purpose other than proposal evaluation. Public release of information in any proposal submitted will be subject to existing statutory and regulatory requirements. If proprietary information which constitutes a trade secret, proprietary commercial or financial information, confidential personal information, or data affecting the national security, is provided by an offeror in a proposal, it will be treated in confidence, to the

extent permitted by law, provided that the following legend appears and is completed on the front of the proposal: “For any purpose other than to evaluate the proposal, this data shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed in whole or in part, provided that if an award is made to the offeror as a result of or in connection with the submission of this data, the Government shall have the right to duplicate, use or disclose the data to the extent provided in the agreement. This restriction does not limit the right of the Government to use information contained in the data if it is obtained from another source without restriction. The data subject to this restriction is contained in page(s) _____ of this proposal.” Any other legend may be unacceptable to the Government and may constitute grounds for removing the proposal from further consideration without assuming any liability for inadvertent disclosure. The Government will limit dissemination of properly marked information to within official channels. In addition, the pages indicated as restricted must be marked with the following legend: “Use or disclosure of the proposal data on lines specifically identified by asterisk (*) are subject to the restriction on the front page of this proposal.” The Government assumes no liability for disclosure or use of unmarked data and may use or disclose such data for any purpose.

In the event that properly marked data contained in a proposal submitted in response to this BAA is requested pursuant to the Freedom of Information Act, 5 USC 552, the offeror will be advised of such request and, prior to such release of information, will be requested to expeditiously submit to ARO a detailed listing of all information in the proposal which the offeror believes to be exempt from disclosure under the Act. Such action and cooperation on the part of the offeror will ensure that any information released by ARO pursuant to the Act is properly determined.

By submission of a proposal, the offeror understands that proprietary information may be disclosed outside the Government for the sole purpose of technical evaluation. The ARO/RDECOM Acquisition Center will obtain a written agreement from the evaluator that proprietary information in the proposal will only be used for evaluation purposes and will not be further disclosed or utilized.

4. Government Property/Government Furnished Equipment (GFE) and Facilities

Each Offeror must provide a very specific description of any equipment/hardware that it needs to acquire to perform the work. This description should identify the component, nomenclature, and configuration of the equipment/hardware that it proposes to purchase for this effort. Government research facilities may be available and should be considered as potential government furnished equipment/facilities.

5. Use of Animals and Human Subjects in Research

Animals:

A. Should award be made, by accepting funds under this grant, the Recipient assures that it will comply with applicable provisions of national policies concerning live animals. This includes rules on animal acquisition, transport, care, handling and use in (i) 9 CFR Parts 1-4, Department of Agriculture rules implementing the Laboratory Animal Welfare Act of 1966 (7 U.S.C. 2131-2156); and (ii) guidelines in the National Academy of Sciences (NAS) "Guide for the Care and Use of Laboratory Animals" (1996), including the Public Health Service Policy and Government Principles Regarding the Care and Use of Animals in Appendix D to the guide.

B. The Recipient is expressly forbidden to use or subcontract for the use of laboratory animals in any manner whatsoever without the express written approval of the US Army Medical Research and Materiel Command, Animal Care and Use Office.

Humans:

A. Should award be made, by accepting funds under this agreement, the recipient assures that it will comply with applicable provisions of the Common Federal Policy for the Protection of Human subjects, codified by the Department of Health and Human Services at 45 CFR part 46 and implemented by the Department of Defense at 32 CFR part 219. Research using human subjects may not begin until the U.S. Army Surgeon General's Human Subjects Research Review Board (HSRRB) approves the protocol. Written approval to begin research or subcontract for the use of human subjects under the applicable protocol proposed for this award will be issued from the US Army Medical Research and Material Command, HSRRB. **Note:** Information relating to both human and animal research protocols may be found at the following web link: <https://mrmc-www.army.mil/rodindex.asp>.

6. Department of Defense High Performance Computing Program

The DoD High Performance Computing Program (HPCMP) furnishes the DoD S&T and DT&E communities with use-access to very powerful high performance computing systems. Awardees of ARO contracts, grants, and other Award instruments may be eligible to use HPCMP assets in support of their funded activities if ARO Program Manager approval is obtained, and if security/screening requirements are favorably completed. Additional information and an application may be found at <http://www.hpcmo.hpc.mil/>.