

# **PROGRAM ANNOUNCEMENT**



## **DEPARTMENT OF DEFENSE (DoD)**

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

**Fiscal Year 2013**

**Broad Agency Announcement W911NF-13-R-0008**



**Issued by the U.S. Army Contracting Command-Aberdeen Proving Ground  
Research Triangle Park Division  
on behalf of the Army Research Office (ARO) and Assistant Secretary of  
Defense for Research and Engineering  
(Research Directorate/Basic Research Office)**

**Issued: May 2013**

**Applications Due: July 26, 2013**

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

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

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

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

**2. Funding Opportunity Title**

Fiscal Year 2013 DoD Research and Education Program for Historically Black Colleges and Universities and Minority-Serving Institutions (HBCU/MI): Equipment/Instrumentation

**3. Announcement Type**

This is the initial announcement.

**4. Funding Opportunity Number**

**W911NF-13-R-0008**

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

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

**6. Response Date**

Applications must be received by 4:00PM Eastern Time, July 26, 2013

### **B. Additional Overview**

The DoD Research and Education Program for HBCU/MI program is executed under the oversight of the Assistant Secretary of Defense for Research and Engineering (ASD(R&E)). It is administered by the Army Research Office (ARO), the Office of Naval Research (ONR), and the Air Force Office of Scientific Research (AFOSR), hereafter called “the DoD Agencies.”

## II. DETAILED INFORMATION ABOUT THE FUNDING OPPORTUNITY

### A. Funding Opportunity Description

The Department of Defense (DoD) announces the Fiscal Year 2013 Research and Education Program for Historically Black Colleges and Universities and Minority-Serving Institutions (HBCU/MI). The program is designed to enhance the research capabilities of HBCU/MI, as well as science, technology, engineering, and/or mathematics (STEM) education programs of HBCU/MI. The purpose of the funding under this Broad Agency Announcement (BAA) is to support the acquisition of research equipment and instrumentation by HBCU/MI to augment existing capabilities, or to develop new capabilities, in technical areas of interest to the DoD. This includes basic equipment for use in research and education, as well as more sophisticated equipment and instrumentation (including software). In addition, although the funding provided under this BAA cannot be used for student support, in order to further DoD's objective of attracting students to pursue studies leading to STEM careers, applicants must address the impact of the requested equipment and instrumentation on student participation in research.

Information about research areas of interest to the DoD agencies is available on the Internet at the following addresses:

ARO: <http://www.arl.army.mil/www/default.cfm?page=29>. Select "Broad Agency Announcements," then select Solicitation Number W911NF-12-R-0012-01.

ONR: <http://www.onr.navy.mil>. Select "Contracts & Grants," then select "Funding Opportunities," then select "Broad Agency Announcements," then select Long Range Broad Agency Announcement for Navy and Marine Corps Science and Technology 13-001.

AFOSR: <http://www.wpafb.af.mil/AFRL/afosr/> Select "Funding Opportunities" at the top, then under "Broad Agency Announcements," select "See the latest BAAs," then click the button labeled "AFOSR BAA's."

Potential applicants are encouraged to explore the above sites and to contact DoD program managers listed at those sites regarding research interests before submitting an application.

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

Based on the area(s) of research in which an applicant proposes to use requested equipment or instrumentation, an applicant may specifically request review of its application by one or more of the three DoD agencies. This information must be provided at the top of the abstract and in the format prescribed in Section D.2., Content and Form of Application Submission.

## **B. Award Information**

DoD intends to award approximately \$25 million under this BAA, subject to the availability of funds. Awards will be in the form of grants, and all awards will be made by the Army Research Office (ARO), as an agent of the (ASD(R&E)) and on behalf of ONR and AFOSR. Individual awards, which will be made as single investigator awards for equipment/instrumentation to be acquired and used at the applicant HBCU/MI, may range from \$50,000 to \$500,000. Award decisions will be based on the results of a merit review by DoD scientists and engineers. Awards will be one year in length.

## **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 for eligibility designation from the Department of Education (DoEd) each year. A copy of the DoEd letter certifying eligibility in FY 2013 for Title III or Title V assistance must be included with each application submitted under this BAA. The eligibility letter will not be included in the page limit (see Section D.2). **If the eligibility letter is not submitted with the application, the applicant will be deemed ineligible and the application will not be considered by DoD.**

Please note that recruitment and selection procedures for students affected by an award under this BAA 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.

### **3. Dun and Bradstreet 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) continue to maintain an active SAM registration with current information at all times during which it has an active federal award or an application or plan under consideration by an agency.

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, the evaluation panel 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. Amount and composition of requested funding.
  - i. An application may request DoD funding for equipment and instrumentation ranging from \$50,000 to \$500,000.
  - ii. An application may request funding one or more items of equipment or instrumentation, including items that comprise a “system” used for a common research purpose.
  - iii. All requested items must meet the federal definition of equipment, i.e., an acquisition cost of \$5,000 or more and a useful life of more than one year.
  - iv. Applications for purely administrative equipment are not eligible for support under this BAA.
  - v. Computers that will be used for general-purpose activities will not be funded under this BAA, but an applicant may request computers (and software) to be used in support of DoD-relevant research programs.

Any application (1) requesting less than \$50,000 or more than \$500,000, whether the request is for a single piece of equipment/instrumentation or comprised of multiple pieces of equipment/instrumentation, or (2) seeking support for ineligible items as specified in 4.a.iii, iv, and v above will be considered non-responsive and will not be accepted for review.

b. Number of applications.

No more than two (2) applications are allowed per institution. If more than two otherwise eligible applications are received from a given HBCU/MI, the institution will be required to withdraw all but two.

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

### **1. Address to Request 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 Grants”, and then follow the instructions. In the Grants.gov search function, enter the funding opportunity number for this BAA W911NF-13-R-0008. You can also search for the CFDA Number 12.630, Basic, Applied, and Advanced Research in Science and Engineering. On the Selected Grant Applications for Download page, click on 'download' under the heading 'Instructions and Applications' to download the application package.

In order to submit applications through Grants.gov, in addition to obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number and registering in SAM (see Section C.3 above), you must register with the credential provider, register with Grants.gov, and obtain approval for an Authorized Organization Representative (AOR) to submit applications on behalf of the organization). Registration in Grants.gov must be accomplished prior to submitting an application. Go to [http://www.Grants.gov/applicants/get\\_registered.jsp](http://www.Grants.gov/applicants/get_registered.jsp) for further information. Use the Grants.gov Organization Registration Checklist, which may be accessed at <http://www.Grants.gov/assets/OrganizationRegCheck.pdf> to guide you through the process.

Questions relating to the registration process, system requirements, how an application form works, or the submittal process should be directed to Grants.gov at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov).

**VERY IMPORTANT:** In order to view, complete, and submit an application package, you 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, how an application form works, or the submittal process should be directed to Grants.gov at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov).

## 2. Content and Form of Application Submission

The DoD is interested primarily in the research and related science and engineering education that the equipment/instrumentation would facilitate. For this reason, the application narrative must clearly describe (1) the equipment or instrumentation to be acquired; (2) whether the equipment or instrumentation will augment existing capabilities or provide new capabilities; (3) the area(s) of research/project(s) on which the equipment or instrumentation would be used; (4) how the equipment would advance research of interest to DoD; and (5) how it will enhance the ability of the institution to have students pursue degrees in STEM fields, including how it will be used in research-related education. The principal investigator (PI) is encouraged to clarify the extent to which his or her research interests coincide with those of the DoD by (a) reviewing the information on DoD interests that is provided at the sites listed in Section II.A of this program announcement; and (b) contacting the appropriate DoD agency program manager(s) identified at those sites 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 except as indicated below:

- Paper size when printed – 8.5 x 11-inch white paper, one-sided
- Margins – 1 inch
- Spacing – single
- Font – No smaller than Times New Roman, 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, and Equipment (all of which are described below), as well as any letters of support that an applicant chooses to submit. Pages exceeding this limit will not be considered in the application evaluation.**

**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. 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 D.2 of this BAA. If you encounter any problems, contact customer support at 1-800-518-4726 or at 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.”

**FORM: Research & Related Senior/Key Person Profile** – Biographical sketches are required for the PI and for other key personnel (not to exceed three (3) pages each). These will not be included in the page count. Please be sure to include education and associated years. **These awards will be for single-investigator efforts at HBCU/MI; applications must not include information about co-PIs or collaborators at other institutions.**

To attach biographical sketches, click “Add Attachment.”

**FORM: Research & Related Other Project Information (Mandatory)** – Complete questions 1 through 6 and attach a file for items 7, 8, and, as applicable, 12. Under this BAA, applicants are not required to provide any attachments for items, 9, 10, and 11. 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** and provide a concise description of the equipment/instrumentation requested and the research and research-related education that it will support. It should identify the PI and other key personnel. **Pages in excess of the page limit may be removed for the evaluation of the application.** The project summary/abstract should indicate the technical area(s) relevant to the DoD Agencies’ research interests and **provide suggested application assignment information in the following format:**

- (a) DoD Agency to evaluate the application: Specify one or more of the following: ARO, ONR, AFOSR.
- (b) Scientific Division(s) or Directorate(s), if known, and
- (c) Technical Area(s)/Program Officer(s), if known.

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

**Project Narrative (Field 8 on the form)** – The project narrative must address the following

Describe the requested equipment/instrumentation and explain how it will enhance the institution’s research capabilities and the quality of the applicant institution’s STEM programs.

Indicate the academic departments that will use the equipment/instrumentation, including any collaboration with other institutions.

Describe how the requested equipment/instrumentation will interface with existing resources or upgrade facilities and equipment/instrumentation currently available.

Describe any special circumstances regarding the acquisition or installation of the equipment, e.g., plumbing or electrical upgrades (these costs may be included in the proposed budget if necessary to make the equipment or instrumentation fully operational).

Indicate the estimated useful life of the equipment/instrumentation and describe how the institution plans to service and maintain it after the 12-month period of the award. This item should address the source(s) of funding for continued operation and maintenance.

Indicate if faculty members will require training for optimal use of the requested equipment/instrumentation. If so, the associated costs and effort of the faculty may be included in the budget.

Describe how faculty and students are expected to use the equipment/instrumentation, including as applicable:

Will it be used for instruction only or in research? If used in research, how will students and faculty members use the equipment/instrumentation?

Will there be any opportunity for local high school teachers or students to become familiar with use of the equipment/instrumentation? If so, will it be part of a broader outreach effort to interest students in pursuing STEM disciplines as undergraduates?

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

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

**FORM: SF 424 (R&R) Research & Related Budget (Mandatory)** – Complete Sections A through I and attach a budget justification in Section K. The budget must be consistent with a 12-month period of performance (assume a proposed start date of February 1, 2014) and include the total amount requested and a breakdown by cost element. The budget justification should provide additional data (not included in Sections A through I) by element of cost, sufficient to meet the guidance provided below and ensure meaningful evaluation.

The following additional guidance is provided:

Within the equipment budget category, the applicant must separately identify each item of equipment/instrumentation to be purchased, and indicate the cost per item, as well as the total cost. The budget justification must specify the proposed source of the requested equipment/instrumentation, and include a complete vendor (manufacturer or distributor)

quotation dated no earlier than 90 days before submission of the application. A complete vendor quotation must include the following:

Name, address, and telephone number (or website) of vendor

Type of equipment/instrumentation

Unit price and total price

Catalog or part number

If quotations are not provided or do not meet the above requirements, additional information may be requested.

If the budget includes costs for installation of the equipment/instrumentation, including any facility upgrades, those costs must be separately identified in the budget and explained in the budget justification.

If the budget includes costs for technical support and training, e.g., costs of a vendor representative spending time on campus to train faculty on use of the equipment/instrumentation or time spent by an investigator at the vendor's site, those costs must be separately identified in the budget in the appropriate budget category, e.g., travel, and explained in the budget justification. DoD generally will consider up to 2 weeks to be adequate for this purpose.

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. This form is applicable if any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the application for a grant under this BAA.

**3. Submission Dates and Times - Applications must be received no later than 4:00 p.m. Eastern Time on July 26, 2013.**

Applicants are responsible for submitting electronic applications in sufficient time to ensure Grants.gov receives it by the time specified in this BAA. If the application is received by Grants.gov after the exact time and date specified as the deadline for receipt, 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 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.

**Application Receipt Notices** – After an application is submitted to Grants.gov, the AOR will receive a series of three e-mails from Grants.gov. The first two e-mails 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/assets/TrackingYourApplicationPackage.pdf> explains this process. **The application is not considered received until the AOR receives the third e-mail.**

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

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

- a. Applications may not request funds for, and awards under this program may not be used for, the construction or modification of buildings, building support systems (e.g., heating/ventilation/air conditioning, as distinguished from specific installation requirements for the equipment/instrumentation), or fixed equipment (e.g., clean rooms and fume hoods).
- b. Applications may request funds for, and awards provided under this program may be used for, design, construction, assembly, and/or installation of the equipment/instrumentation by a vendor or by university technicians/engineers.
- c. Applications may not request funds for, and awards under this program may not be used, for operation and maintenance, including extended warranties.

- d. Applications may not request funds for, and awards under this program may not be used for, direct salaries of faculty, postdoctoral associates, or any form of student support (e.g., stipends, tuition, fees).
- e. Applications may not request funds for, and awards under this program may not be used for, subawards or other research collaborations.

## **6. Other Submission Requirements**

An applicant may withdraw a proposal at any time before award by written notice or by email. Notice of withdrawal shall be sent to the Contracting/Grants Officer identified in Section G, of 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. Impact of the requested equipment/instrumentation on the institution's ability to conduct research in areas of interest to DoD, either by enhancing current research capabilities or establishing new research capabilities.
  - b. Impact of the requested equipment/instrumentation on STEM programs of the institution.
  - c. Impact of the requested equipment/instrumentation on student participation in research, including students at the applicant institution and high-school students.
  - d. Qualifications of the PI and other key personnel to use the requested equipment instrumentation to accomplish the objectives of this BAA.

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

- a. Ability of the institution to operate and maintain the equipment/instrumentation after the end of DoD support.
- b. Realism and reasonableness of cost.

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

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

### **3. Recipient Qualification**

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

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

- a. Each agency grants officer, prior to making an award with a total amount of Federal funding greater than the simplified acquisition threshold, will be required to review and consider any information about the proposed recipient entity that is in FAPIIS (including any information entered either by a federal government official or the entity) before determining that the entity is qualified to receive the award;
- b. An entity, at its option, may go to FAPIIS (<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.

## **F. Award Administration Information**

### **1. Award Notices**

Notification of selection of applications will be e-mailed by ARO to successful applicants about mid-December 2013. Unsuccessful applicants will be notified shortly thereafter.

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

Applicants whose applications are recommended for negotiation of award will be contacted by a DoD Contract/Grant Specialist to discuss any 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. A grant document signed by the DoD Grants Officer is the authorizing award document.

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

Information is available on-line regarding ARO 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.”

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

### **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 BAA):

“By signing and submitting an application that may result in the award of a grant exceeding \$100,000, 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 Form to Report Lobbying,” in accordance with its instructions.
- (c) The undersigned shall require that the language of this certification be included in the award documents for all 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

- a. Recipients must submit a final financial report using the Standard Form SF-425 and a final technical report describing how acquired equipment/instrumentation furthered achievement of the objectives in the approved application.
- b. Federal Awardee Performance and Integrity Information System (FAPIIS)  
If the pending governmentwide policy on FAPIIS is finalized and implemented by DoD before awards are made under this BAA, then it is expected that the terms and conditions of any award of \$500,000 or more in federal funds will include an additional post-award reporting requirement for any recipient that has Federal awards (which includes grants, contracts, and cooperative agreements) with a cumulative total value greater than \$10,000,000. Based on the policy as it was proposed for comment in February 2010 (see background in section V.E.3 of this BAA and the Federal Register notice to which that section refers), we anticipate that the additional requirement will be to report information to FAPIIS about certain civil, criminal, and administrative proceedings that reached disposition within the most recent 5-year period and were connected with the award of performance of a federal or State award.

### G. Agency Contacts

For questions concerning programmatic content, potential applicants are advised to contact DoD program managers identified in the three BAAs listed in Section II.A. For help with administrative questions or problems, points of contact at the three agencies are as follows:

Questions regarding program policy should be directed to:

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

Questions regarding program execution and administration should be directed to:

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

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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.