

# **PROGRAM ANNOUNCEMENT**



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

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

**Fiscal Year 2017**

**Broad Agency Announcement W911NF-16-R-0024**



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

**Issued: June 30, 2016**

**Applications Due: August 31, 2016**

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

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

#### **Federal Awarding Agency Name(s)**

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

#### **Funding Opportunity Title**

Fiscal Year 2017 DoD Research and Education Program for Historically Black Colleges and Universities and Minority-Serving Institutions (HBCU/MI)  
Equipment/Instrumentation

#### **Announcement Type**

This is the initial announcement.

#### **Funding Opportunity Number**

W911NF-16-R-0024

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

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

#### **Key Dates**

Applications must be received by 4:00 p.m. Eastern Daylight Time, August 31, 2016

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

Under authority of 10 U.S.C. § 2362 and pending the availability of funds for Fiscal Year (FY) 2017, the Department of Defense (DoD) announces this funding opportunity for the acquisition of equipment/instrumentation under the Research and Education Program for HBCU/MI.

The general aims of the Research and Education Program for HBCU/MI are to (a) enhance research and education 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). This program is executed under policy and guidance

issued by 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 BAA invites applications (also referred to as “proposals”) for acquisition of equipment/instrumentation to be used in areas of research interest to the Agencies and to further the education of students in those areas. Information about these areas is available at the following websites:

Army Research Office: <http://www.aro.army.mil/> Select “Broad Agency Announcements” in the “For Researcher” section. See the most recent ARO Core Broad Agency Announcement for Basic and Applied Scientific Research.

Office of Naval Research: <http://www.onr.navy.mil/> Select “Contracts and Grants” and then “Broad Agency Announcements” to see the Long Range Broad Agency Announcement for Navy and Marine Corps Science and Technology, BAA N00014-16-R-BA01.

Air Force Office of Scientific Research: See Research Interests of the Air Force Office of Scientific Research available at [http://www.grants.gov/web/grants/search-grants.html?keywords=BAA-AFRL-AFOSR-201\\*](http://www.grants.gov/web/grants/search-grants.html?keywords=BAA-AFRL-AFOSR-201*)

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

**Note:** Use the above-referenced documents only to identify research areas of interest to the Agencies. Disregard instructions contained therein regarding proposal preparation, content, and submission requirements. Instead, follow the instructions below.

## II. DETAILED INFORMATION ABOUT THE FUNDING OPPORTUNITY

### A. Program Description

The Department of Defense (DoD) is soliciting applications for the acquisition of equipment/instrumentation under the Fiscal Year 2017 Research and Education Program for HBCU/MI. The Research and Education Program is designed to enhance the research capabilities of HBCU and MI and strengthen their STEM education programs. The purpose of funding under this Broad Agency Announcement (BAA) is to (1) support the acquisition of equipment/instrumentation to augment existing capabilities or to develop new capabilities in research areas of interest to DoD, and (2) attract students to pursue studies leading to STEM careers. Although 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/instrumentation on student participation in research.

### B. Federal 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 U.S. Army Contracting Command-Aberdeen Proving Ground Research Triangle Park Division (ACC-APG-RTP Division) on behalf of ARO, as an agent of the ASD(R&E). Individual awards will range from \$100,000 to \$600,000. All awards will have a performance period of 12 months. Award decisions will be based on the results of a merit review by scientists and engineers of the participating Agencies.

### 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.

Eligible applicants include community colleges or other 2-year degree granting institutions meeting the definition of a "covered educational institution."

Enrollments, accreditation, and other factors may affect an institution's eligibility in any given year. With the exception of HBCUs and Tribal Colleges and Universities (TCUs), in order to meet the eligibility criterion under C.1.a above, an institution must apply to the Department of Education (DoEd) each year for Title III or Title V eligibility. A copy of the DoEd letter dated November 2015 or later certifying eligibility 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 below).

**If the DoEd eligibility letter is not submitted with the application, the applicant will be deemed ineligible and the application will not be considered by DoD.**

2. Cost Sharing or Matching

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

3. Other

a. Amount and composition of requested funding.

- i. An application may request DoD funding ranging in the aggregate from \$100,000 to \$600,000. **An application that requests aggregate funding of less than \$100,000 or more than \$600,000 will be considered non-responsive and will not be accepted for review.** Applicants that use a “modified total direct costs” base for reimbursement of indirect (facilities and administration) costs are reminded that the costs of equipment are excluded from the base for purposes of indirect cost calculation.
- ii. An application may request a single item of equipment/instrumentation or multiple items, including items of equipment/instrumentation that comprise a “system” 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. General purpose equipment, i.e., equipment whose use is not limited to research/research education, including information technology equipment and software, is not eligible for support under this BAA. However, an application may include a request for computers (i.e., laptops, desk tops, tablets, mobile devices, and computer software) to be used in research and education programs, as long as they meet the criterion in paragraph 3.a.iii above. The purpose and use of such equipment **MUST** be fully justified, itemized, and listed under the equipment category, not under “materials/supplies.”
- v. All equipment/instrumentation proposed for acquisition must be intended for use in research or research education at the applicant institution. No costs may be requested for collaboration with other institutions.
- vi. No costs may be requested for user fees, maintenance agreements, or extended warranties.

DoD may, at its discretion, consider an application that includes types of costs or proposed expenditures that do not conform to the limitations in paragraphs 3.a.iii, iv, v, and vi as non-responsive or may unilaterally remove such items from the budget. See Section II.D.6 below for further information regarding funding restrictions.

b. Number of applications.

No more than three (3) applications are allowed per institution. If more than three otherwise eligible applications are received from a given HBCU/MI, the institution will be required to withdraw all but three.

## **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. 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-16-R-0024. 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.

Before submitting an application through Grants.gov, an applicant must obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number and register in the System for Award Management (SAM) (see Section D.3 below), register with the credential provider, register with Grants.gov, and obtain approval for an Authorized Representative (AR) to submit applications on behalf of the organization. Go to <http://www.grants.gov/web/grants/grantors/grantor-registration.html> for further information. Use the Grants.gov Organization Registration Checklist, which may be accessed at <http://www.grants.gov/web/grants/applicants/organization-registration.html> to guide you through the process.

**VERY IMPORTANT:** In order to view, complete, and submit an application package, you may need to download the appropriate software packages. Go to <http://www.grants.gov/web/grants/applicants/apply-for-grants.html> 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

DoD is interested in the research and related educational purposes that the equipment/instrumentation (“equipment”) would facilitate. For this reason, the application narrative must clearly describe (1) the equipment to be acquired; (2) whether the equipment will augment existing capabilities or provide new capabilities; (3) the area(s) of research and education in which the equipment 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 encourage students to pursue degrees in STEM fields, including how it will be used in research-related education.

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/web/grants/applicants/adobe-software-compatibility.html>. 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, which may have other font requirements)
- **Number of pages – 25: The 25-page limit applies to the technical portion of the application, which consists of the following: Project Summary/Abstract and Project Narrative, as 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. Note: Letters of support should be addressed to the PI, not to DoD.**

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

**FORM: 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 AR (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 II.F.2 of this BAA, and the representations on tax delinquency and felony convictions and prohibition on using funds under grants and cooperative agreements with entities that require certain internal confidentiality agreements (see below regarding “Other Attachments,” Field 12). If you encounter problems, contact customer support at

1-800-518-4726 or at [support@grants.gov](mailto:support@grants.gov). If you forget your user name or password, follow the instructions provided in the Credential Provider tutorial. Tutorials may be printed by right-clicking on the tutorial and selecting “Print.”

**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. 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 (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 attachments for items 9, 10, and 11. The files **must** comply with the following instructions:

**Project Summary/Abstract (Mandatory)** – The Project Summary/Abstract shall be completed on the form entitled “Publicly Releasable Abstract” found at the following website: <http://www.arl.army.mil/www/pages/218/ARO%20Abstract%20Form.pdf> The abstract should be no longer than one (1) page (maximum 4,000 characters). The project abstract shall be marked by the applicant as publically releasable. By submission of the project abstract, the applicant confirms that the abstract is releasable to the public. For a proposal that results in a grant award, the project abstract will be posted to a searchable website available to the general public to meet the requirements of Section 8123 of the Department of Defense Appropriations Act, 2015. The website address is <https://dodgrantawards.dtic.mil/grants/#/home>.

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

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

1. Indicate the DoD Agency(ies) and research area(s) for which the proposed equipment/instrumentation acquisition 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. Describe the requested equipment/instrumentation and explain how it will enhance the institution’s research/research education capabilities and the quality of the applicant institution’s STEM programs.

3. Indicate the academic departments that will use the equipment/instrumentation.
4. Describe how the requested equipment/instrumentation will interface with existing equipment resources or how it will enhance current capabilities.
5. Describe any special circumstances regarding the acquisition or installation of the equipment/instrumentation, e.g., plumbing or electrical upgrades. These costs may be included in the budget if they are reasonable and otherwise necessary to make the equipment fully operational and they do not fall within the limitations specified in Section II.D.6 below.
6. Indicate the estimated useful life of the equipment/instrumentation. Describe how the institution plans to service and maintain the item(s) after the 12-month period of the award, and include source(s) of funding for continued operation and maintenance.
7. Indicate if the PI will require training for optimal use of the requested equipment/instrumentation. If so, associated training costs and travel may be included in the budget.
8. Describe how faculty and students are expected to use the equipment/instrumentation including, as applicable:
  - a. Will the equipment/instrumentation be used for instruction only or also in research? If used in research, describe its usage by students and faculty members.
  - b. Will there be opportunities for local high school teachers and/or students to become familiar with use of the equipment? 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, all of which must be in PDF format, click “Add Attachment.” This must include completed representations on tax delinquency and felony convictions and (the form is found on the last page of this BAA) and, as applicable, a completed SF-LLL, Lobbying. 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.

**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 April 24, 2017) 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 allow for meaningful evaluation. DoD fully expects that the proposed equipment/instrumentation will be ordered and installed, and any training obtained, within the 12-month period of performance. The budget justification should indicate the time frames in which these activities would take place.

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 of all requested items. The budget justification must specify the proposed source(s) 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, the entire application and/or requested equipment/instrumentation may be rejected for non-compliance with program requirements.

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

If the budget includes costs for 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 the PI 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 training purposes.

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)).**

### 3. Unique Entity Identifier and System for Award Management

Each eligible applicant under this BAA is required to (a) be registered in 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 a federal agency.

ACC-APG-RTP Division on behalf of the ARO, as the awarding office for awards under this BAA, will 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 ACC-APG-RTP Division is ready to make an award, the evaluation panel will 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. Submission Dates and Times

- a. Applications must be received by 4:00 p.m. Eastern Daylight Time, August 31, 2016.

Applicants are responsible for submitting their applications in sufficient time to allow them to reach Grants.gov by the specified time. 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, which will render the application ineligible for consideration, it is strongly recommended that an application be uploaded at least 2 days before the deadline established in the BAA. This will help avoid problems caused by high system usage or any potential technical and/or input problems involving the applicant’s own equipment.**

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.

- b. **Application Receipt Notices** - After an application is submitted to Grants.gov, the AR (listed in Block #19 of the SF 424) will receive a series of three e-mails from Grants.gov. The first e-mail will confirm receipt of the application by the Grants.gov system, and the second e-mail 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. The second email will also indicate if the proposal is late based on the aforementioned receipt time. A third e-mail should be received within 10 days from the application due date, once ARO has confirmed receipt of the application. The last e-mail will indicate that the application has been received and provide the assigned tracking number. Applicants can track the status of their applications through at <http://www.grants.gov/web/grants/applicants/track-my-application.html>.

Acknowledgement letters will be sent by ARO to proposing institutions by September 19, 2016.

5. Intergovernmental Review

There is no requirement for intergovernmental review under this BAA.

6. Funding Restrictions

- a. Applications may not request funds for, and awards under this BAA, may not be used for, the construction or modification of buildings or building support systems (e.g., heating/ventilation/air conditioning, as distinguished from specific installation requirements for the equipment/instrumentation; raising the ceiling of a building; moving HVAC systems/air handlers and/or re-routing associated ductwork), or purchase or installation of fixed equipment (e.g., clean rooms and fume hoods).
- b. Applications may not request funds for, and awards under this BAA may not be used for, operation and maintenance, including extended warranties, user fees, and maintenance agreements.
- c. Applications may not request funds for, and awards under this BAA may not be used for, postdoctoral associates or any form of student support (e.g., stipends, tuition, fees).
- d. Applications may not request funds for, and awards under this BAA may not be used for, carrying out research. However, funds may be used to pay for the salary costs of the PI, or other individuals identified in the application whose salaries would appropriately be considered as direct costs, associated with the time spent in learning how to operate the equipment, including any time spent at a vendor site for which travel also is requested. Applications may not request travel costs outside of the contiguous U.S.
- e. Applications may not request funds for, and awards under this BAA may not be used for, subawards.

7. Other Submission Requirements

An applicant may withdraw an application at any time before award by written notice or by email. Notice of withdrawal shall be sent to the Grants Officer identified in Section II.G of this BAA. Withdrawals are effective upon receipt of notice by the Grants Officer.

## **E. Application Review Information**

### **1. 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/research education in areas of interest to DoD, either by enhancing current capabilities or establishing new 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 STEM, 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.

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. The Research Director of the ASD(R&E) Research Directorate/Basic Research Office is the approving authority for a recommendation for award.

### **3. Anticipated Announcement and Federal Award Dates**

Decisions are expected to be announced late January 2017 by acceptance/declination letters via e-mail. Awards are expected to be in place by April 24, 2017.

### **4. Recipient Qualification**

- a. Prior to making an award under this BAA in an amount greater than the simplified acquisition threshold, which currently is \$150,000, the DoD Grants Officer must review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently the Federal

Awardee Performance and Integrity Information System (FAPIIS)) (see 41 U.S.C. 2313).

- b. An applicant may, at its option, review information currently in FAPIIS (accessible through SAM) and comment on any information about itself that a Federal awarding agency (DoD or other federal awarding agency) previously entered.
- c. DoD will consider any comments by the applicant, in addition to the other information in FAPIIS, 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, as implemented by DoD at 2 CFR part 1103.

## **F. Federal Award Administration Information**

### **1. Federal Award Notices**

The notification e-mail, specified in Section II.E.3 above, regarding a successful application must not be regarded as authorization to commit or expend DoD funds. A grant award signed by the DoD Grants Officer is the authorizing 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 actual award start date will be determined at this time.

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

- a. Each grant awarded under this BAA will be governed by award terms and conditions and agency specific requirements 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, October 2015) are located at [http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/~media/Files/Contracts-Grants/docs/Research\\_Terms\\_Conditions\\_DoD\\_Oct2015.ashx](http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/~media/Files/Contracts-Grants/docs/Research_Terms_Conditions_DoD_Oct2015.ashx)

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

As specified in those 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, equipment/instrumentation acquired under an award pursuant to this BAA will be considered "excepted property." Title to the equipment will be vested in the recipient without further obligation to the federal government after completion of the award.

- b. You must comply with all applicable national policy requirements. The key national policy requirements that may relate to an award under this BAA are included in the terms and conditions specified in paragraph 2.a above.

Among those requirements is 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.*

- c. By electronically signing the SF-424, the applicant affirms its agreement with the following certification and representations:

#### **Certification Regarding Lobbying**

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, subgrants, and contracts under grants, loans, and 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 of not less than \$10,000 and not more than \$100,000 for each such failure.

### **Representations on tax delinquency and felony convictions**

Check either “is” or “is not” for each of these two representations, as appropriate for the proposing institution, and attach the representations page to field 18 of the SF-424. The page for these representations is provided on the last page of this BAA.

### **Representation regarding the Prohibition on Using Funds under Grants and Cooperative Agreements with Entities that Require Certain Internal Confidentiality Agreements**

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, or 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 (Division E of the Consolidated and Further Continuing Appropriations Act, 2015, Pub. L. 113-235) and any successor provision of law on making funds available 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.

- d. **SF-LLL Form** “Disclosure Form to Report Lobbying” -- If your university has lobbying activities that you are required to disclose under 31 USC 1352, as implemented by the DoD at 32 CFR part 28, you also must complete and attach the SF-LLL form in the downloaded Adobe forms package at Grants.gov.

### 3. Reporting

- a. Recipients must submit a final financial report using the Standard Form (SF)-425, Federal Financial Report, and a final technical report describing how acquired equipment/instrumentation furthered achievement of the objectives in the approved application.
- b. If an award under this BAA exceeds \$500,000, the recipient will be required to report the information specified in 2 CFR part 200, Appendix XII, Award Term and Condition for Recipient Integrity and Performance Matters. This requirement also is specified in the DoD Research and Development General Terms and Conditions cited above.

## **G. Federal Awarding Agency Contacts**

For questions concerning programmatic content, potential applicants are advised to contact the Agencies' program managers identified in the BAAs listed in Section I.B above. For help with administrative questions or problems, points of contact 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.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:  
Mr. Kevin Bassler  
Grants Officer  
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 support contractors. These support contracts include nondisclosure agreements prohibiting their contractor employees from disclosing any information submitted by applicants.

**Representations under DoD Assistance Agreements: Appropriations Provisions on Tax Delinquency and Felony Convictions**

The applicant is ( ) is not ( ) a “Corporation” meaning any entity, including any institution of higher education, other nonprofit organization, or for-profit entity that has filed articles of incorporation.

If the applicant is a “Corporation” please complete the following representations:

(1) The applicant represents that it is ( ) is not ( ) a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

(2) The applicant represents that it is ( ) is not ( ) is not a corporation that was convicted of a criminal violation under any Federal law within the preceding 24 months.

NOTE: If an applicant responds in the affirmative to either of the above representations, the applicant is ineligible to receive an award unless the agency suspension and debarment official (SDO) has considered suspension or debarment and determined that further action is not required to protect the Government’s interests. The applicant therefore should provide information about its tax liability or conviction to the agency’s SDO as soon as it can do so, to facilitate completion of the required considerations before award decisions are made.

Name of Organization \_\_\_\_\_

Name of person Authorized to sign \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_