



To: Distribution List

From: Faculty Research Development Office (FRDO)  
Office of the Vice President for Research

Subject: Limited Competitions: Fiscal Year 2016 DoD Research and Education Program for Historically Black Colleges and Universities and Minority-Serving Institutions (HBCU/MI) Equipment/Instrumentation

Date: September 21, 2015

The Department of Defense (DoD) is soliciting applications for the acquisition of equipment/instrumentation under the Fiscal Year 2016 Research and Education Program for HBCU/MI. The Research and Education Program is designed to enhance the research capabilities of HBCUs and MIs and strengthen their science, technology, engineering, and/or mathematics (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 research 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/instruments on student participation in research.

The Research and Education Program for HBCU/MI aims 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) important to the defense mission. Equipment/instrumentation applications (also referred to as "proposals") are requested in areas of research interest to the DoD. Information about these areas is available at the following websites:

**Army Research Office (ARO):** <http://www.aro.army.mil/> (select "Business" and then "Broad Agency Announcements"). See the most recent ARO Core Broad Agency Announcement for Basic and Applied Scientific Research.

**Office of Naval Research (ONR):** <http://www.onr.navy.mil/> (select "Contracts and Grants" and then "Broad Agency Announcements") See Long Range Broad Agency Announcement for Navy and Marine Corps Science and Technology, ONRBAA15-001-Amendment-0004.

**Air Force Office of Scientific Research (AFOSR):** See BAA AFOSR-2015-0001 Research Interests of the Air Force Office of Scientific Research available at: <http://www.grants.gov/web/grants/search-grants.html>.

**NOTE:** Use the above-referenced documents **only** to identify research areas of interest to the

Agencies. Disregard instructions contained therein regarding proposal preparation, content, and submission requirements. Instead, **follow the instructions in the attached DoD Broad Agency Announcement.**

DoD intends to award approximately \$20 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 the ARO, as an agent of the ASD(R&E). Individual awards will range from \$50,000 to \$500,000. 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. Proposals must be received by 4:00 p.m. Eastern Standard Time on November 13, 2015. Please see the following website for further information:  
<http://www.arl.army.mil/www/default.cfm?page=8>

**This is a limited competition; no more than three (3) applications are allowed per institution.**

For the UNM limited competition, submit a 5 page narrative that clearly describes (1) the equipment to be acquired; (2) how the equipment will augment existing capabilities or provide new capabilities; (3) the area(s) of research in which the equipment would be used; (4) how the equipment would advance research of interest to DoD (make reference to priorities identified on the websites listed above); 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. The narrative should be accompanied by a **draft budget overview** and an **abbreviated PI CV**. The scoring will be weighted as follows: proposal narrative (70%), draft budget overview (15%), and abbreviated PI CV (15%).

**Please submit your 5-page preproposal (plus budget and CV; all documents in a SINGLE PDF file, 11 point font) by NOON on Monday, October 5, 2015 to [limited@unm.edu](mailto:limited@unm.edu) with the subject line indicating: DOD-HBCU/MI - your name.** No late submissions will be considered.

Should you have any questions please feel free to contact us at [limited@unm.edu](mailto:limited@unm.edu).

If you are affiliated with HSC, please contact Corey Ford at 272-6950 for more information.

# 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 2016

Broad Agency Announcement W911NF-15-R-0025



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: 11 September 2015

Applications Due: November 13, 2015

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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 2016 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-15-R-0025

#### 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 Standard Time, November 13, 2015

### B. Additional Overview Information

Under authority of 10 U.S.C. § 2362 and pending the availability of funds for Fiscal Year (FY) 2016, 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 Research and Education Program for HBCU/MI aims 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) important to the defense mission. 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 the ARO, ONR, and AFOSR, hereafter called “the Agencies.”

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

Army Research Office: <http://www.aro.army.mil/> (select “Business” and then “Broad Agency Announcements”). See the most recent ARO Core Broad Agency Announcement for Basic and Applied Scientific Research.

Office of Naval Research: <http://www.onr.navy.mil/> Select “Contracts and Grants” and then “Broad Agency Announcements.” Select Long Range Broad Agency Announcement for Navy and Marine Corps Science and Technology, ONRBAA15-001-Amendment-0004.

Air Force Office of Scientific Research: See BAA AFOSR-2015-0001 Research Interests of the Air Force Office of Scientific Research available at <http://www.grants.gov/web/grants/search-grants.html>.

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

**Note:** Use the above-referenced documents only to identify research areas of interest to the Agencies. Disregard instructions contained therein regarding proposal preparation, content, and submission requirements. Instead, follow the instructions 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 2016 Research and Education Program for HBCU/MI. The Research and Education Program is designed to enhance the research capabilities of HBCUs and MIs and strengthen their science, technology, engineering, and/or mathematics (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 research 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/instruments on student participation in research.

### B. Federal Award Information

DoD intends to award approximately \$20 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 the ARO, as an agent of the ASD(R&E). Individual awards will range from \$50,000 to \$500,000. 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.

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 2014 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).



**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 \$50,000 to \$500,000. **An application that requests aggregate funding of less than \$50,000 or more than \$500,000 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 costs are reminded that the costs of equipment are excluded from the base for purposes of indirect (facilities and administration) cost calculations.
- 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, 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. 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 and education at the applicant institution. No costs may be requested for collaboration with other institutions. 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.i, iii, iv, and v as non-responsive or may unilaterally remove such items from the budget. See Section II. D.6 below for further information regarding finding 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-15-R-0025. 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, recipients must obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number and register in 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. Registration in Grants.gov must be accomplished prior to submitting an application. 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/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

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 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. The PI is encouraged to explain the extent to which his or her research interests coincide with those of DoD by (a) reviewing the information on DoD Agencies' interests provided at websites listed in Section I.B of this BAA, and (b) contacting technical program managers identified at that those websites if additional technical information is needed.

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)
- **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: 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 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 appropriate representation on tax delinquency and felony convictions (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 (Field 7 on the form) (Mandatory)** – The Project Summary/Abstract must be no longer than a single page. The abstract must be marked that it is publicly releasable, as abstracts for all awarded applications will be placed on a DoD website(s) searchable by the public. The abstract should provide a concise description of the equipment/instrumentation requested and the research and research-related education that it will support. The header of the abstract should identify the PI, the institution, and the proposal title.

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 technical area(s) to which the proposed research 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 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 upgrade current facilities and 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.

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 a completed representation on tax delinquency and felony convictions (included as part of the application package for 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 June 2, 2016) 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. Please be sure to assess and provide details on how the proposed equipment/instrumentation will be ordered, installed, and training obtained within the 12 month period of performance.

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 cost per item as well as the total cost. 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 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 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 (SAM)

Each eligible applicant under this BAA is required to (a) be registered in SAM prior to submitting its application; (b) provide a valid Dun and Bradstreet Universal Numbering System (DUNS) number in its application; and (c) continue to maintain an active SAM registration with current information at all times during which it has an active federal award or an application or plan under consideration by an 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 Standard Time, November 13, 2015.

Applicants are responsible for submitting their applications in sufficient time to allow them to reach Grants.gov 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, which will render the application ineligible for consideration, it is strongly recommended that applications 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 determine if the proposal is late based on the aforementioned receipt time. A third e-mail should be received once ARO has confirmed receipt of the application within 10 days from the application due date. 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 December 9, 2015.

#### 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, 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 request funds for, and funds provided under awards under this BAA may be used for, assembly and/or installation of the equipment/instrumentation.
- c. 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.
- d. 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).
- e. 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.
- f. 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 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.

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

## 3. Anticipated Announcement and Federal Award Dates

Decisions are expected to be announced mid-April 2016 by acceptance/declination letters via email. Awards are expected to be in place by June 2, 2016.

## 4. Recipient Qualification

The Office of Management and Budget (OMB) has issued final guidance implementing section 872 of the Duncan Hunter National Defense Authorization Act for Fiscal Year 2009 as it applies to grants. As required by section 872, OMB and the General Services Administration have established the Federal Awardee Performance and Integrity Information System (FAPIIS) as a repository for government-wide data related to the integrity and performance of entities awarded federal grants and contracts. This final guidance implements reporting requirements for recipients and awarding agencies; requires awarding agencies to consider information in FAPIIS before awarding a grant to a non-federal entity, and addresses how FAPIIS and other information may be used in assessing recipient integrity.

Specifically, effective January 1, 2016, the guidance requires:

- a. Federal awarding agencies to report information to FAPIIS about any termination of an award due to a material failure to comply with the award terms and conditions; any administrative agreement with a non-federal entity to resolve a suspension or debarment proceeding; and any finding that a non-federal entity is not qualified to receive a given award, if the finding is based on criteria related to the entity's integrity or prior performance under federal awards.
- b. Federal awarding agencies, prior to making award to a non-federal entity, to review information in FAPIIS to determine that entity's eligibility to receive the award.
- c. Recipients of federal contracts, grants, and cooperative agreement awards with a cumulative total value exceeding \$10,000,000 to provide to FAPIIS information on certain civil, criminal, and administrative proceedings that reached final disposition within the most recent five year period and that were connected with the award or performance of a federal award; and to disclose semiannually the information about the criminal, civil, and administrative proceedings described in section 872(c).
- d. Notice of funding opportunities and federal award terms and conditions to inform a non-federal entity that it may submit comments to FAPIIS (<https://www.fapiis.gov>) about any information the federal awarding agency had reported to the system about the non-federal entity, for consideration by the awarding agency in making future awards to the non-federal entity.

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

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

Notification of selection of applications will be e-mailed by ARO to successful applicants in mid-April 2016. Unsuccessful applicants will be notified shortly thereafter.

The notification e-mail 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 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 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."

- b. 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 federal government after completion of the award.
- c. 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.*

**d. Representations Required for Grant Awards**

By electronically signing the SF-424, the applicant affirms its agreement with the following three representations:

**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 with the application materials for the BAA that are available for download at grants.gov.

**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.

**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

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.

#### **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.