



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

**Fiscal Year 2020**

**Funding Opportunity Announcement**  
**W911NF-19-S-0009**



**Issued by the U.S. Army Contracting Command-Aberdeen Proving Ground  
Research Triangle Park Division on behalf of the U.S. Army Combat  
Capabilities Development Command-Army Research Laboratory-Army  
Research Office (CCDC ARL-ARO) and the  
Under Secretary of Defense for Research and Engineering  
(Research, Technology and Laboratories Office)**

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**Applications Due: July 15, 2019**

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

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

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

The Basic Research Program for Historically Black Colleges and Universities/Minority-Serving Institutions (HBCU/MI), funded by the Office of the Under Secretary of Defense (Research and Engineering), will be administered through the Army Research Office (ARO), Office of Naval Research (ONR), and the Air Force Office of Scientific Research (AFOSR).

#### **2. Funding Opportunity Title**

Fiscal Year 2020 Department of Defense Basic Research Program for Historically Black Colleges and Universities and Minority-Serving Institutions (HBCU/MI)

#### **3. Announcement Type**

This is the initial announcement

#### **4. Funding Opportunity Number**

W911NF-19-S-0009

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

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

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

Applications must be received by 4:00 p.m. Eastern Daylight Time on July 15, 2019.

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

Under the authority of 10 U.S.C. § 2362 and pending the availability of funds for Fiscal Year (FY) 2020, the Department of Defense (DoD) announces the basic research program for Historically Black Colleges and Universities and Minority-Serving Institutions (HBCU/MI).

The program is executed under policy and guidance of the Under Secretary of Defense for Research and Engineering (USD(R&E)) and is administered by ARO, ONR, and AFOSR, hereafter called “the Agencies.”

This Funding Opportunity Announcement (FOA) aims to (a) enhance research programs and capabilities in scientific and engineering disciplines critical to the national security functions of DoD; (b) enhance the capacity of HBCU/MI to participate in DoD research programs and activities; and (c) increase the number of graduates, including underrepresented minorities, in fields of science, technology, engineering, and mathematics (STEM) important to the defense mission.

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

Army Research Office: <https://www.aro.army.mil/> Select “Broad Agency Announcements” in the “For Researcher” section. See ARO Broad Agency Announcement (BAA) number W911NF-17-S-0002 for Fundamental Research for 1 April 2017 – 31 March 2022.

Office of Naval Research: <https://www.onr.navy.mil/> Select “Work with Us” then select “BAAs, FOAs” under “Funding Opportunities” to see the Long Range Broad Agency Announcement for Navy and Marine Corps Science and Technology, BAA N00014-19-S-B001.

Air Force Office of Scientific Research: Go to [www.grants.gov](http://www.grants.gov). Select “Search Grants” and in “Opportunity Number” box, upper left of screen, enter “FA9550-18-S-0003.” In the next screen select “Related Documents” then click on the link under the column heading “File Name” to open the AFOSR BAA.

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 to contact respective program managers to discuss mutual research interests. Note that applications with relevance to interests of multiple Agencies may receive multiple reviews.

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

## **II. DETAILED INFORMATION ABOUT THE FUNDING OPPORTUNITY**

### **A. Program Description**

Projects proposed for funding under this FOA must be for basic research. As defined by DoD, “basic research” is systematic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications towards processes or products in mind. It includes all scientific study and experimentation directed toward increasing fundamental knowledge and understanding in those fields of the physical, engineering, environmental, life sciences, and information sciences related to long-term national security needs.

PIs are encouraged to consider innovative approaches for their research projects with a view toward enhancing the ability of their institution to develop stronger science and engineering programs that will enable the institution to participate more competitively in a variety of defense research programs and attract and retain good students by exposing them to state-of-the-art research and encouraging them to pursue careers in STEM disciplines.

Methods through which these goals can be achieved are varied. Factors such as research capabilities, facilities, and equipment are unique to each institution. Therefore, DoD will not

prescribe the approach for a research project; instead, it expects applications to reflect the unique needs and capabilities of the applicant institution.

## **B. Award Information**

Through this competition, DoD intends to award approximately \$25 million. All awards will be made by the U.S. Army Contracting Command-Aberdeen Proving Ground Research Triangle Park (ACC-APG-RTP) Division on behalf of the ARO and DoD as project grants. Each grant will be fully funded for a performance period of 36 months in an amount up to \$660,000 (total of direct and indirect [facilities and administration] costs). The budget should divide the amount requested as evenly as possible among the three years, unless a different allocation is fully explained in the budget justification.

DoD expects projects to be completed within the three-year performance period. Requests for no-cost extensions will not be automatically granted. Any such request must be fully justified and submitted sufficiently in advance of the end of the period of performance for DoD to give it due consideration and determine whether to approve or deny the request. No applications for renewal or supplemental awards will be considered.

## **C. Eligibility Information**

### **1. Eligible Applicants**

As provided in 10 U.S.C. § 2362, eligibility for this competition is open only to “covered educational institutions,” which are defined as:

- a. institutions of higher education eligible for assistance under Title III or V of the Higher Education Act of 1965 (20 U.S.C. 1051 et seq.); or
- b. accredited post-secondary minority institutions.

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), an institution must apply to the Department of Education (DoEd) each year for Title III or Title V eligibility in order to meet the eligibility criterion above. A copy of the DoEd letter **dated November 2018 or later** that certifies the institution’s eligibility for Title III or Title V assistance must be included with each application submitted under this FOA. The eligibility letter will not be included in the page limitation of the application (see Section II.D.2.c. 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 FOA and is not an evaluation factor.

## 3. Other

- a. An institution may submit no more than three (3) applications under this FOA. If a given HBCU/MI submits more than three applications, the institution will be required to withdraw applications that exceed this limit.
- b. Awards will be for a research project at the applicant HBCU/MI. Faculty and/or post-doctoral associates at the applicant institution may participate in the project and assist the PI as co-PI or in another capacity. Applications should not request HBCU/MI program funds to support collaborations. Collaborations, if any, are restricted to other degree-granting Institutions of Higher Education (IHE) and must be supported by other resources. Such arrangements should be explained in the narrative as well as in the budget justification.
- c. DoD will not accept applications with a budget that exceeds \$660,000.
- d. Funding restrictions are described in Section II.D.6. of this FOA.

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

### 1. Address to View Application Package

- a. To submit applications through Grants.gov, in addition to obtaining a DUNS number and registering in SAM (see Section II. D.3. of this FOA), recipients must register with Grants.gov, and obtain approval for an Authorized Organization Representative (AOR) to submit applications on behalf of the organization. Go to <https://www.grants.gov/web/grants/applicants/organization-registration.html> for further information.
- b. **VERY IMPORTANT:** To view, complete, and submit an application, an institution may need to download the appropriate software. Go to <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html> for further information.
- c. Questions relating to the registration process, system requirements, completing an application form, or the submission process should be directed to Grants.gov support at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). If you forget your user name or password, you can reset your account from the Applicant Log-in screen by clicking on the “I forgot my User Name” or “I forgot my password” links.

### 2. Content of Application

- a. Applicants must complete all forms and attachments in accordance with the instructions on the forms and the additional instructions below. To activate the

“pop up” instructions on the forms, turn on the “Help Mode” (icon with the pointer and question mark at the top of the form). All attachments to Grants.gov forms must be in PDF format (Adobe Portable Document Format). Most office software applications provide a “Save As PDF” capability.

b. Please ensure that application attachments are not password protected.

c. The following formatting rules apply for the file attachments:

- Paper size when printed – 8.5 x 11-inch paper, one-sided
- Margins – 1 inch
- Spacing – single
- Font – No smaller than Times New Roman, 12-point font (excluding mandatory forms)
- Number of pages – 25

**The 25-page limit applies to the technical portion of the application, which consists of the following: Project Summary/Abstract, Project Narrative, Facilities and Other Resources (all of which are described below). Pages exceeding this limit will not be considered in the application evaluation. Letters of support should not be submitted.**

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

**FORM: The SF 424 (R&R) Application for Federal Assistance** - The SF 424 (R&R) form is to be used as the cover page for all applications. Complete this form first to populate data in other forms. By submitting an application through Grants.gov, the AOR (identified by username and password) is providing an “electronic signature.” By “signing” the SF 424 (R&R), an applicant is providing the certification required by 32 CFR part 28 regarding lobbying as contained in Section II. F.2. of this FOA.

To evaluate compliance with Title IX of the Education Amendments of 1972 (20 U.S.C. A§ 1681 Et. Seq.), the Department of Defense is collecting certain demographic and career information to be able to assess the success rates of women who are proposed for key roles in applications in STEM disciplines. To enable this assessment, each application must include the following two forms completed as indicated below.

**FORM: Research & Related Senior/Key Person Profile (Expanded)** – The Degree Type and Degree Year fields on the Research and Related Senior/Key Person Profile (Expanded) form will be used by DoD as the source for career information. In addition to the required fields on the form, applicants must complete these two fields for all individuals that are identified as having the project role of PD/PI or Co-PD/PI on the form. Additional senior/key persons can be added by selecting the “Next Person” button.

Biographical sketches are required for the PI and key personnel (not to exceed three pages each). These will not be included in the page count. Please be sure to include

education and the year in which each degree was completed.

To attach biographical sketches, click “Add Attachment.”

**FORM: Research & Related Personal Data** - This form will be used by DoD as the source of demographic information, such as gender, race, ethnicity, and disability information for the Project Director/Principal Investigator and all other persons identified as Co-Project Director(s)/Co-Principal Investigator(s). Each application must include this form with the name fields of the Project Director/Principal Investigator and any Co-Project Director(s)/Co-Principal Investigator(s) completed; however, provision of the demographic information in the form is voluntary. If completing the form for multiple individuals, each Co-Project Director/Co-Principal Investigator can be added by selecting the “Next Person” button. The demographic information, if provided, will be used for statistical purposes only and will not be made available to merit reviewers. Applicants who do not wish to provide some or all of the information should check or select the “Do not wish to provide” option.

**FORM: Research & Related Other Project Information** – Complete questions 1 through 6 and attach files for items 7 through 12, as applicable. The files **must** comply with the following instructions:

**Project Summary/Abstract (Field 7 on the form)** – The Project Summary/Abstract must be no longer than a single page. **It must be marked to indicate that it is publicly releasable**, as abstracts for all awarded applications will be placed on a DoD website(s) searchable by the public. Using terminology the public can understand, the abstract should provide a concise description of proposed project and the research-related education that it will provide. The header of the abstract should identify the PI, the institution, and the application title.

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

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

1. At the beginning of the project narrative, i.e., preceding the full text of the narrative, indicate the DoD Agency(ies) and research area(s) to which the proposed project is relevant, and provide suggested Agency assignment(s) information in the following format:

- a. DoD Agency(ies) to evaluate the application: ARO, ONR, and/or AFOSR,
- b. Scientific Division(s) or Directorate(s), if known, and
- c. Technical Area(s)/Program Manager(s), if known.

2. The project narrative must clearly describe the following to enable technical evaluation of the project under evaluation criteria specified in Section II.E.1 of this FOA:

- a. The research to be undertaken in a level of detail that fully addresses the

objectives of the research and approaches to be used, and the relationship of the project to the state of knowledge in the field and to any related work at the institution or elsewhere.

b. The anticipated results and how the project relates to the research interests of the Agency(ies).

c. The facilities and equipment available for performing the proposed research.

d. The involvement of undergraduate and/or graduate students in the research.

Although HBCU/MI program funds will not support students' tuition, stipends, or fees, the involvement of students, both undergraduates and graduates, in the research project is critical to achieving program objectives. Students may be supported, however, by other resources. If so, the source(s) of funds must be identified in the budget.

To attach the project narrative, click "Add Attachment."

**Bibliography & References Cited (Field 9 on the form)** – Include a bibliography and list of literature citations, if applicable.

To attach a bibliography, click "Add Attachment."

**Facilities and Other Resources (Field 10 on the form)** – Include a list of existing facilities and other resources including equipment to be used in the project.

To attach facilities information, click "Add Attachment."

**Equipment (Field 11 on the form)** – Not applicable.

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

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

Project costs, i.e., the amount requested from DoD under this FOA, must be shown in total as well as broken down by cost element for each year of the performance period (assume a proposed start date of April 2020). Additional budget periods may be added to the Research & Related Budget form by clicking on the "Add Period" button at the end of the first budget period. The cumulative Research & Related Budget is automatically calculated on the last page of the budget form and will reflect the total costs for all budget periods.

3. The following additional guidance is provided:

- a. **Salary Costs**: For all employees/labor categories, indicate the amount of time to be charged to the proposed project (e.g., number of months) and show resulting costs based on current or projected salary and fringe benefits.
- b. **Equipment**: Funds awarded under this FOA may not be used for purchase of equipment (Federal definition – items with an acquisition cost of \$5,000 or more and a useful life of more than one year).
- c. **Travel**: Identify any travel requirements associated with the proposed research and define their relationship to the project. For other than local travel, list proposed destinations, cost estimate, and basis of cost estimate. Funds under this FOA may not be used for foreign travel.

Domestic travel must not exceed \$2,500 per year for the PI. Travel for individuals other than the PI may be budgeted if such travel is to a DoD facility, a professional technical meeting, or other venue that may enhance achievement of the research and educational objectives of the project. Travel allowance for individuals other than the PI is limited to \$1,500 per year per individual.

- d. **Student/Trainee Support Costs**: Funds awarded under this FOA may not be used for student support. However, students involved with the research may be supported with other resources and indicated in the budget justification.
- e. **Other Direct Costs**:

**Materials and Supplies**: Estimate costs of materials and supplies, and provide basis for cost estimates (e.g., vendor quotes or vendor websites).

**Publication Costs**: Estimate the costs of publishing and reporting research results.

**Consultants**: Funds under this FOA may not be used for consultants.

**Subawards/Consortium/Contractual Costs**: Funds awarded under this FOA may not be used for research collaborations. Collaborations, if any, must be supported by other resources and are limited to other Institutions of Higher Education.

**Equipment or Facility Rental/User Fees**: Funds under this FOA may not be used for equipment or facility rental/user fees.

**Alterations and Renovations**: Funds under this FOA may not be used for alterations or renovations of facilities.

- f. **Indirect Costs (Facilities and Administration (F&A))**: If an F&A rate has been negotiated by a Federal agency, provide the period covered by the rate, the name of the cognizant agency, and a copy of the current F&A agreement. If an institution does not have a current F&A rate, it should submit an F&A indirect cost

rate proposal with the proposal package to be approved by the Federal awarding agency head or delegate. An institution may elect to use the de minimis rate only if it has never had a federally negotiated F&A (indirect cost) rate.

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

To attach the budget justification at Section L, click “Add Attachment.”

**Note: Be sure that the total amount requested in the budget agrees with the amount entered in Block #15 of the Cover Page (Form SF 424 (R&R)).**

**FORM: Disclosure of Lobbying Activities (Standard Form LLL)** – If applicable, this form must be completed and submitted with the other Grants.gov application forms. The form is required if any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the application for a grant under this FOA.

#### 4. Grants.gov Application Submission and Receipt Procedures

*Please read the following instructions carefully and completely.*

DoD is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. For this funding opportunity, DoD requires applicants to submit their applications online through Grants.gov. This funding opportunity may be found on Grants.gov by going to the Grants.gov Search Grants screen and entering the funding opportunity number for this FOA, W911NF-19-S-0009, in the Funding Opportunity search box. You can also search for the CFDA Number 12.630, Basic, Applied, and Advanced Research in Science and Engineering.

- a. **How to Register to Apply through Grants.gov**

*Instructions:* Read the instructions below about registering to apply for DoD funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

Organizations must have a Data Universal Numbering System (DUNS) Number, active System for Award Management (SAM) registration, and Grants.gov account to apply for grants.

Creating a Grants.gov account can be completed online in minutes, but DUNS and SAM registrations may take several weeks. Therefore, an organization's registration should be done in sufficient time to ensure it does not impact the institution's ability to meet required application submission deadlines.

Complete instructions can be found on Grants.gov here:

<https://www.grants.gov/web/grants/applicants/organization-registration.html>

(i) Obtain a DUNS Number: All entities applying for funding, including renewal funding, must have a DUNS Number from Dun & Bradstreet (D&B). Applicants must enter the DUNS Number in the data entry field labeled "Organizational DUNS" on the SF-424 form. For more detailed instructions for obtaining a DUNS Number, refer to:

<https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

(ii) *Register with SAM*: All organizations applying online through Grants.gov must register with the System for Award Management (SAM). Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually. The ACC-APG-RTP Contracting Division on behalf of ARO, as the awarding office for awards under this FOA, may not make an award to an applicant unless the applicant has complied with all applicable DUNS and SAM requirements. If an applicant has not fully complied with the requirements by the time ACC-APG-RTP is ready to make an award, ARO may determine that the applicant is not qualified to receive an award and use that determination as the basis for making an award to another applicant. For more detailed instructions for registering with SAM, refer to:

<https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>

(iii) *Create a Grants.gov Account*: The next step is to register an account with Grants.gov. Follow the on-screen instructions or refer to the detailed instructions here: <https://www.grants.gov/web/grants/applicants/registration.html>

(iv) *Add a Profile to a Grants.gov Account*: A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all of your grant applications. To add an organizational profile to your Grants.gov account, enter the DUNS Number for the organization in the DUNS field while adding a profile. For more detailed instructions about creating a profile on Grants.gov, refer to:

<https://www.grants.gov/web/grants/applicants/registration/add-profile.html>

(v) *EBiz POC Authorized Profile Roles*: After you register with Grants.gov and create an Organization Applicant Profile, the organization applicant's request for Grants.gov roles and access is sent to the EBiz POC. The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the Authorized Organization Representative (AOR) role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been

assigned the AOR role. For more detailed instructions about creating a profile on Grants.gov, refer to:

<https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html>

(vi) *Track Role Status*: To track your role request, refer to:

<https://www.grants.gov/web/grants/applicants/registration/track-role-status.html>

(vii) *Electronic Signature*: When applications are submitted through Grants.gov, the name of the organization applicant with the AOR role that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC **must** authorize people who are able to make legally binding commitments on behalf of the organization as a user with the AOR role; **this step is often missed and it is crucial for valid and timely submissions.**

b. How to Submit an Application via Grants.gov

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different webforms within an application. For each funding opportunity announcement (FOA), you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to:

<https://www.grants.gov/web/grants/applicants/workspace-overview.html>

(i) *Create a Workspace*: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.

(ii) *Complete a Workspace*: Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.

(iii) *Adobe Reader*: If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at:

<https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

(iv) *Mandatory Fields in Forms*: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.

(v) *Complete SF-424 Fields First:* The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS Number. Once it is completed, the information will transfer to the other forms.

(vi) *Submit a Workspace:* An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.

(vii) *Track a Workspace Submission:* After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

For additional training resources, including video tutorials, refer to:  
<https://www.grants.gov/web/grants/applicants/applicant-training.html>

*Applicant Support:* Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. For questions related to the specific grant opportunity, contact the number listed in the application package of the grant you are applying for.

If you experience difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number. The Support Center ticket number will assist the DoD with tracking your issue and understanding background information on the issue.

c. Timely Receipt Requirements and Proof of Timely Submission

(i) *Online Submission.* All applications must be received by 4:00 p.m. Eastern Daylight Time, July 15, 2019. Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time stamp is generated within the system when the application is successfully received by Grants.gov. The applicant with the AOR role who submitted the application will receive an email acknowledgement of receipt and a tracking number (GRANTXXXXXXX) from Grants.gov with the successful transmission of their application. The AOR will also receive the official date/time stamp and Grants.gov Tracking number in an email serving as proof of their timely submission.

When DoD successfully retrieves the application from Grants.gov, and acknowledges the download of submissions, Grants.gov will provide an electronic acknowledgement of receipt of the application to the email address of the applicant with the AOR role who submitted the application. Again, proof of timely submission shall be the official date and time that Grants.gov receives your application. Applications received by Grants.gov after the established due date for

the program will be considered late and will not be considered for funding by DoD except as indicated in the paragraph below.

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

(ii) Applicants using slow internet, such as dial-up connections, should be aware that transmission can take some time before Grants.gov receives your application. Again, Grants.gov will provide either an error or a successfully received transmission in the form of an email sent to the applicant with the AOR role attempting to submit the application. The Grants.gov Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. Please be patient and give the system time to process the application.

## **5. Intergovernmental Review - Not Applicable**

## **6. Funding Restrictions**

The following will not be funded under this FOA:

- a. student support (tuition, stipends, fees)
- b. purchase of equipment (Federal definition – items with an acquisition cost of \$5,000 or more and a useful life of more than one year.)
- c. foreign travel
- d. rental of equipment or facilities
- e. consultants
- f. subawards
- g. alteration or renovation of facilities.

## **7. Other Submission Requirements**

An applicant may withdraw an application at any time before award by written notice or by e-mail. The AOR must send the notice of withdrawal to the DoD Grants Officer identified in this FOA. Withdrawals are effective upon receipt of notice by the Grants Officer.

## **E. Application Review Information**

### **1. Evaluation Criteria**

Primary evaluation criteria (of equal importance to each other) are:

- a. Scientific and technical merit of the proposed research.

- b. Relevance of the proposed research to interests of the Agency(ies) and potential contributions of the proposed research to the DoD mission.
- c. Potential of the proposed project to develop new research capabilities or enhance existing research capabilities and to broaden the research base in support of national defense.
- d. Qualifications of the PI to achieve the objectives of the project.

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

- e. Potential of the project to enhance research capabilities and research education in STEM disciplines relevant to interests of the Agency(ies).
- f. Budgetary realism and cost effectiveness of the application budget.

## 2. Review and Selection Process

Scientists and engineers of the Agencies will evaluate applications using the above criteria. The most meritorious applications will be recommended for award commensurate with available funding. Approval of the recommendation is the authority of the Research Director of the USD(R&E) Research, Technology and Laboratories Office.

## 3. Recipient Qualification

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

If the total Federal share of a grant (or cooperative agreement) will be greater than the simplified acquisition threshold (currently \$250,000):

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

described in 2 CFR 200.205, Federal awarding agency review of risk posed by applicants.

## **F. Award Administration Information**

### **1. Award Notices**

An e-mail notification of selection to successful applicants, i.e., those whose applications have been recommended for award, by approximately February 2020. Unsuccessful applicants will be notified shortly thereafter.

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

Successful applicants will be contacted by a DoD Grants Specialist to discuss additional information required for award. This may include representations and certifications, revised budgets or budget explanations, or other information applicable to the proposed award. The award start date will be determined at that time.

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

- a. Each grant awarded under this FOA will be governed by the general terms and conditions in effect at the time of the award that conform to DoD's implementation of OMB guidance applicable to financial assistance in 2 CFR part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards." The DoD Research and Development General Terms and Conditions (latest version, July 2018) are located at <https://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-terms-conditions>.

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

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

### **Certification Required for Grant Awards**

The certification at Appendix A to 32 CFR Part 28 regarding lobbying is the only certification required at the time of application submission for a grant award. The certification is as follows: (NOTE: This is standard language and certain portions, e.g., discussion of subawards, may not apply under a particular FOA)

“By signing and submitting an application that may result in the award of a grant exceeding \$100,000.00, the prospective awardee is certifying, to the best of his or her knowledge and belief, that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete Standard Form-LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions and include it in the submitted application package.
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, and subgrants, and contracts under grants, loans, or cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code.

Any person who fails to file the required certification shall be subject to a civil penalty or not less than \$10,000 and not more than \$100,000.00 for each such failure.”

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

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

Check either “is” or “is not” for the following representations, as appropriate for the proposing institution. Include the AOR signature and point of contact information, and attach the representations page to Field 12 of the SF-424(R&R). The page for these representations is available for download under the Related Documents section of this funding opportunity (W911NF-19-S-0009) posted on Grants.gov.

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

filed articles of incorporation. If the applicant is a “Corporation” please complete the following representations:

- (1) The applicant represents that it is (  ) is not (  ) a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.
- (2) The applicant represents that it is (  ) is not (  ) is not a corporation that was convicted of a criminal violation under any Federal law within the preceding 24 months.

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

## AGENCY DISCLOSURE NOTICE

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

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

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

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

Note that: (1) the basis for this representation is a prohibition in Section 743 of the Financial Services and General Government Appropriations Act, 2015, Pub. L. 113-235) on provision of funds through grants and cooperative agreements to entities with certain internal confidentiality agreements or statements; and (2) Section 743 states that it does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

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

## 1. Reporting Requirements

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

## **B. Agency Contacts**

Questions regarding program policy should be directed to:

Evelyn Kent  
Office of the Under 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:

Leroy R. Hardy  
US Army Contracting  
Command-Aberdeen  
Proving Ground  
RTP Division  
[Leroy.R.Hardy.civ@mail.mil](mailto:Leroy.R.Hardy.civ@mail.mil)

### **C. 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. All support contracts include nondisclosure agreements prohibiting their contractor employees from disclosing any information submitted by applicants.