BROAD AGENCY ANNOUNCEMENT (BAA)

1. Agency Name

The Air Force Office of Scientific Research (AFOSR)
Arlington VA

2. Funding Opportunity Title

Air Force Fiscal Year 2014 Young Investigator Research Program

3. Announcement Type

This is the initial announcement.

4. Funding Opportunity Number

BAA-AFOSR-2013-0005

5. Catalog of Federal Domestic Assistance (CFDA) Number

12.800 - Air Force Defense Research Sciences Program

6. Response Dates

Proposals must be received by 4:00PM Eastern Daylight Time, 16 September 2013

7. Additional Overview

The Air Force Office of Scientific Research (AFOSR) manages the basic research investment for the U.S. Air Force (USAF). As a part of the Air Force Research Laboratory (AFRL), AFOSR's technical experts foster and fund research within the Air Force Research Laboratory, universities, and industry laboratories to ensure the transition of research results to support USAF needs. Using a carefully balanced research portfolio, research managers seek to create revolutionary scientific breakthroughs, enabling the Air Force and U.S. industry to produce world-class, militarily significant, and commercially valuable products. The Young Investigator Research Program (YIP) supports young scientists and engineers in Air Force relevant disciplines and is designed to promote innovative research in science and engineering. The awards foster creative basic research in science and engineering, enhance early career development of outstanding young investigators, and increase opportunities to recognize Air Force mission and challenges in science and engineering.

I. Funding Opportunity Description

AFOSR's Young Investigator Research Program (YIP) supports scientists and engineers who have received Ph.D. or equivalent degrees in the last five years (on or after 1 May 2008) and who show exceptional ability and promise for conducting basic research. The objective of this program is to foster creative basic research in science and engineering, enhance early career development of outstanding young investigators, and increase opportunities for the young investigators to recognize the Air Force mission and the related challenges in science and engineering.

AFOSR is seeking unclassified proposals addressing the research areas of interest for the Air Force Research Laboratory. The basic research areas of current interest are available on-line at the AFOSR web site: http://www.wpafb.af.mil/AFRL/afosr/.

Select "Research Interests of the Air Force Office of Scientific Research, "List of Broad Agency Announcements (BAA), AFOSR BAA, BAA-AFOSR-2013-0001.

For detailed information regarding technical goals, potential applicants are advised to refer to the announcement cited above and may contact AFOSR program managers listed therein to explore mutual interests before submitting proposals.

II. Award Information

Through this YIP competition, AFOSR plans to make approximately 30 awards for FY 2014, subject to the availability of funds. The anticipated form of awards will be grants; however contracts may also be awarded. The estimated value of each award is approximately $120K per year for three years. Exceptional proposals will be considered individually for higher funding level and/or longer duration (up to five years upon a successful review during the third year). A total of 40 proposals were funded in FY 2013. AFOSR reserves the right to select and fund for award; all, some, part or none of the proposals received in response to this announcement.

III. Eligibility Information

1. Eligible Applicants – The individual awards will be made to a U.S. institution of higher education, industrial laboratory, or non-profit research organization as defined by 10 USC 2194 where the principal investigator is employed on a full-time basis and holds a regular position. Researchers working at the Federally Funded Research and Development Centers and Government Laboratories will not be considered for the YIP competition. The principal investigator must be a U.S. citizen, national, or permanent resident who has received a Ph.D. or equivalent degrees in the last five years as indicated in Section I above. Proposals are encouraged from historically Black Colleges and Universities and Minority Serving Institutions (HBCU/MSI), which are accredited U.S. postsecondary institutions that have been designated as MSIs by the Department of Education. However no funds under this announcement are specifically allocated for HBCU/MI participation.

2. Cost Sharing – Cost Sharing is not required.

3. Other – An accompanying letter from the institution must be submitted to indicate that the applicant will be considered for a regular position, if he/she has a short-term appointment.

IV. Application and Submission Information

1. Address to Request Application Package – This announcement may be accessed from the internet at http://www.Grants.gov/. See 3(c) Electronic Submission for access instructions.

2. Marking of Proposals – Every effort should be made to protect the confidentiality of the proposal and any evaluations. However, under the Freedom of Information Act (FOIA) requirements, such information (or portions thereof) may potentially be subject to release. The proposer must mark the proposal with a protective legend found in FAR 52.215-1(e), Instructions to Offerors – Competitive Acquisition (Jan 2004), (modified to permit release to outside evaluators retained by AFOSR) if protection is desired for proprietary or confidential information. It is the offerors' responsibility to notify AFOSR of proposals containing proprietary information and to identify the relevant portions of their proposals that require protection. The entire proposal (or portions thereof) without protective markings or otherwise identified as requiring protection will be considered to be furnished voluntarily to AFOSR without restriction and will be treated as such for all purposes.

3. Content and Form of Application Submission – Prospective awardees are highly encouraged to submit short white papers prior to the preparation of full proposals. White papers are due by 01 August 2013 and will be assessed according to the evaluation criteria as listed in Section V of this BAA. The white paper assessment normally takes four weeks to complete. Although Program Managers may reply to white papers, they are not required to do so. All full proposals submitted under the terms and conditions cited in the BAA will be reviewed, regardless of whether a white paper was received.

a. White Paper Submission

White papers shall be submitted directly to an AFOSR program manager by any method other than through Grants.gov or via fax. The names and contact information of the program managers may be found in the "Research Interests of the Air Force Office of Scientific Research" (BAA-AFOSR-2013-0001) as referred under the Section I of this document.

White Paper Format

- Paper Size – 8.5 x 11 inch paper
- Margin – 1 inch
- Spacing – single
- Font – Times New Roman, 10, 11, or 12 point
- Number of Pages – no more than three (3) singled-sided pages (excluding cover page, curriculum vitae, and costs)

White Paper Content

- Cover page to include the proposed title and contact information
- Research issues

- Proposed technical approach
- Potential impact (on technology advancement/AF capabilities)
- Curriculum vitae
- Estimated costs

b. Full Proposal Submission

The proposal may be submitted either electronically or in hard copy form, but not both. All proposers must include the SF 424 (R&R) form as the cover page. Unnecessarily elaborate brochures, reprints or presentations beyond those sufficient to present a complete and effective proposal are not desired.

Full Proposal Format

- Paper Size – 8.5 x 11 inch paper
- Margin – 1 inch
- Spacing – single
- Font – Times New Roman, 10, 11, or 12 point
- Page Limit – no more than 20 single-sided pages. The Grants.gov forms, abstract, budget, curriculum vitae, references, letters of support (if any), and contract certifications, if required are excluded from the page limitation. Unnecessarily elaborate brochures, reprints or presentations beyond those sufficient to present a complete and effective proposal are not desired. Proposals Narratives in excess of the 20 pages (when in the correct format) will not be considered.
- Attachments – Submit in **PDF** format (Adobe Portable Document Format)
- Copies of hardcopy submissions (if not submitted electronically) – one original and 5 copies, plus an electronic disc copy
- Content – as described below

(1) Advanced Preparation for Electronic Submission

Electronic proposals must be submitted through Grants.gov. There are several one-time actions your organization must have completed before it will be able to submit applications through Grants.gov. Well before the submission deadline, you should verify that the persons authorized to submit proposals for your organization have completed those actions. If not, it may take them up to 21 days to complete the actions before they will be able to submit applications. The process your organization must complete includes obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the System for Award Management (SAM), registering with the credential provider, and registering with Grants.gov. (Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called MPIN are important steps in the SAM registration process.) Go to http://www.grants.gov/applicants/get_registered.jsp for more information.

Use the Grants.gov Organization Registration Checklist at http://www.grants.gov/assets/organizationregcheck_092112.pdf to guide you through the process. To submit a proposal to through Grants.gov, applicants will

need to download Adobe Reader. This small, free program will allow you to access, complete, and submit applications electronically and securely. To download a free version of the software, visit the following web site: http://www.grants.gov/help/download_software.jsp. Consult Grants.gov to ensure you have the required version of Adobe Reader installed. Should you have questions relating to the registration process, system requirements, how an application form works, the submittal process or Adobe Reader forms, call Grants.gov at 1-800-518-4726 or support@Grants.gov for updated information.

(2) Submitting the Application

(a) Electronic Submission: Application forms and instructions are available at Grants.gov. To access these materials, go to http://www.Grants.gov, select "Find Grant Opportunities", and then follow the instructions. In the Grants.gov search function, enter the funding opportunity number for this announcement: BAA-AFOSR-2013-0005. You can also search for the CFDA Number 12.800, Air Force Defense Research Sciences Program. In the Search Results click on the Opportunity title: Young Investigator Research Program (YIP). On the next page, click on the box marked "Application" in the upper right hand corner of the page. Then click on 'Download' under the heading 'Instructions and Application' for the full application package.

Note: All attachments to all forms must be submitted in PDF format (Adobe Portable Document Format). Grants.gov provides a list of PDF file converters at http://www.grants.gov/help/download_software.jsp. Due to high traffic volume, applicants are highly encouraged to submit applications early. Waiting until the due date and time may result in applications being late. Common closing dates include the first, fifteenth and last day of any month. Potential applicants are reminded to plan accordingly. Also, please check Grants.gov prior to submission for any notices posted on Grants.gov offering alternate submission options as a result of system saturation.

(b) Hard Copy Submission: One original and 5 copies and one electronic copy (CD-ROM in Microsoft Word, or Excel, or PDF format) of the proposal should be submitted to the Agency contact in Section VII. Registration in SAM is also required before hard copy proposal submission. See "Advanced Preparation for Electronic Submission" above.

(c) SF 424 Research and Related (R&R): The SF 424 (R&R) form must be used as the cover page for all electronic and hard copy proposals. No other sheets of paper may precede the SF 424 (R&R) for a hard copy proposal. A signed copy of the SF 424 (R&R) should be submitted with all hardcopy proposals. Complete all the required fields in accordance with the "pop-up" instructions on the form and the following instructions for the specified fields. To see the instructions, roll your mouse over the field to be filled out. You will see additional information about that field. For example on the SF424 (R&R) the Phone Number field says 'PHONE NUMBER (Contact Person): Enter the daytime phone number for the person to contact on matters relating to this

application. This field is required.' Mandatory fields will have an asterisk marking the field and will appear yellow on most computers. In Grants.gov, some fields will self-populate based on the BAA selected. Please fill out the SF 424 first, as some fields on the SF 424 are used to auto populate fields in other forms. The completion of most fields is self-explanatory except for the following special instructions:

- **Field 2**: The Applicant Identifier may be left blank.
- **Field 3**: The Date Received by State and the State Application Identified are not applicable to research.
- **Field 7**: Complete as indicated. If Small Business is selected, please note if the organization is Woman-owned and/or Socially and Economically Disadvantaged. If the organization is a Minority Institution, select "Other" and under “Other (Specify)” note that you are a Minority Institution (MI).
- **Field 9**: List Air Force Office of Scientific Research as the reviewing agency. This field is pre-populated in Grants.gov.
- **Field 17**: Choose ‘No’. Check 'Program is not covered by Executive Order 12372'.
- **Field 20:** Leave Field 20 empty.

- **Attachments: All attachments to all Grants.gov forms must be submitted in PDF format** (Adobe Portable Document Format).

(d) Certification: All awards require some form of certifications of compliance with national policy requirements.

For assistance awards, i.e., grants and cooperative agreements, proposers using the SF 424 (R&R) are providing the certification required by 32 CFR Part 28 regarding lobbying a copy will be provided up on request if you have lobbying activities to disclose, you must complete the optional form SF-LLL, Standard Form-LLL, ‘Disclosure of Lobbying Activities’ in the downloaded ADOBE forms package.

(e) Research and Related (R&R) Other Forms: The following other forms must be used for all electronic and hard copy proposals: R&R Senior/Key Person Profile form, R&R Project/Performance Site Locations form, R&R Other Project Information form and the R&R Budget form. The R&R Subaward Budget Attachment Form is required when subawardees are involved in the effort. The SF-LLL form is required when applicants have lobbying activities to disclose. PDF copies of all forms may be obtained at the Grants.gov website.

(f) R&R Senior/Key Person Profile Form: Complete the R&R Senior/Key Person Profile Form for those key persons who will be performing the research. Information about an individual is subject to the requirements of the Privacy Act of 1974 (Public Law 93-579). The information is requested under the authority of Title 10 USC, Sections 2358 and 8013. The principal purpose and routine use of the requested information are for evaluation of the qualifications of those persons who will perform the proposed research. Provide the principal investigator’s

eligibility information including the date of receipt of the investigator's Ph.D. (or equivalent degree) and citizenship (national or permanent resident status).

Failure to provide such information will delay award. For the principal investigator and each of the senior staff, provide a short biographical sketch and a list of significant publications (vitae) and attach it to the R&R Senior/Key Person Profile Form.

(g) R&R Project/Performance Site Locations Form: Complete all information as requested.

(h) R&R Other Project Information Form: Human Subject/Animal Use and Environmental Compliance.

Human Subject Use. Each proposal must address human subject involvement in the research by addressing Field 1 and 1a of the R&R Other Project Information Form. If Field 1 indicates "Yes", the Air Force must receive a completed OMB No. 0990-0263 form before a contract, grant, or cooperative agreement may be awarded to support research involving the use of human subjects. Attach the document to the R&R Other Project Information Form. If using Grants.gov, a completed OMB No. 0990-0263 form shall be attached in field 11 of the R&R Other Project Information Form. Refer any questions regarding human subjects to Stephanie Bruce of the AFOSR of the Department of Information, Decision and Complex Networks at stephanie.bruce.2@us.af.mil.

Animal Use. Each proposal must address animal use protocols by addressing Field 2 and 2a of the R&R Other Project Information Form. If selected for award, additional documentation in accordance with Air Force standards will be required. Additional proposal guidance may be found at the AFOSR web site http://www.wpafb.af.mil/library/factsheets/factsheet.asp?id=9388. Refer any questions regarding animal subjects to Stephanie Bruce of the AFOSR of the Department of Information, Decision and Complex Networks at stephanie.bruce.2@us.af.mil.

Environmental Compliance. Federal agencies making contract, grant, or cooperative agreement awards and recipients of such awards must comply with various environmental requirements. The National Environmental Policy Act of 1969 (NEPA), 42 U.S.C. Sections 4321-4370(a), requires that agencies consider the environmental impact of "major Federal actions" prior to any final agency decision. With respect to those awards which constitute "major Federal actions," as defined in 40 CFR 1508.18, federal agencies may be required to comply with NEPA and prepare an environmental impact statement (EIS) even if the agency does no more than provide grant funds to the recipient. Questions regarding NEPA compliance should be referred to the applicable AFOSR Program Manager. Most research efforts funded by AFOSR will, however, qualify for a categorical exclusion from the need to prepare an EIS. Air Force instructions/regulations provide for a categorical exclusion for basic and applied scientific research usually confined to the laboratory, if the research complies with all other applicable safety, environmental and natural resource conservation laws. Each proposal shall address environmental impact by filling in fields 4a

through 4d of the R&R Other Project Information Form. This information will be used by AFOSR to make a determination if the proposed research effort qualifies for categorical exclusion.

Abstract. Include a concise (not to exceed 300 words) abstract that describes the research objective, technical approaches, anticipated outcome and impact of the specific research.

In the header of the abstract please include (if known) the program manager's name(s) and directorate who the applicant recommends receive the proposal for consideration and evaluation. For a list of AFOSR program managers and technical interests, please refer to BAA-AFOSR-2013-0001 available at Grants.gov.

Attach the Abstract to the R&R Other Project Information form in field 7.

(i) R&R Other Project Information Form – Project Narrative Instructions:

Project Narrative. Describe clearly the research including the objective and approach to be performed keeping in mind the evaluation criteria listed in Section V of this announcement. Also briefly indicate whether the intended research will result in environmental impacts outside the laboratory, and how the proposer will ensure compliance with environmental statutes and regulations. Attach the proposal narrative to R&R Other Project Information form in field 8.

Project Narrative - Statement of Objectives. Describe the actual research to be completed, including goals and objectives, on one-page titled Statement of Objectives. This statement of objectives may be incorporated into the award instead of incorporating the entire technical proposal. Active verbs should be used in this statement (for example, "conduct" research into a topic, "investigate" a problem, "determine" to test a hypothesis). It should not contain proprietary information.

Project Narrative - Research Effort. Describe in detail the research to be performed. State the objectives and approach and their relationship and comparable objectives in progress elsewhere. Additionally, state knowledge in the field and include a bibliography and a list of literature citations. Discuss the nature of the expected results. The adequacy of this information will influence the overall evaluation. Proposals for renewal of existing support must include a description of progress if the proposed objectives are related.

Project Narrative – Principal Investigator (PI) Time. PI time is required. List the estimate of time the principal investigator and other senior professional personnel will devote to the research. This shall include information pertaining to other commitments of time, such as sabbatical or extended leave; and proportion of time to be devoted to this research and to other research. Awards may be terminated when the principal investigator severs connections with the organization or is unable to continue active participation in the research. State the number of graduate students for whom each senior staff member is responsible. If the principal investigator or other key personnel are currently engaged in research under other auspices, or expect to receive support from

other agencies for research during the time proposed for AFOSR support, state the title of the other research, the proportion of time to be devoted to it, the amount of support, name of agency, dates, etc. Send any changes in this information as soon as they are known. Submit a short abstract (including title, objectives, and approach) of that research and a copy of the budget for both present and pending research projects.

Project Narrative – Facilities. Describe facilities available for performing the proposed research and any additional facilities or equipment the organization proposes to acquire at its own expense. Indicate government-owned facilities or equipment already possessed that will be used. Reference the facilities contract number or, in the absence of a facilities contract, the specific facilities or equipment and the number of the award under which they are accountable.

Project Narrative – Special Test Equipment. List special test equipment or other property required to perform the proposed research. Segregate items to be acquired with award funds from those to be furnished by the Government. When possible and practicable, give a description or title and estimated cost of each item. When information on individual items is unknown or not available, group the items by class and estimate the values. In addition, state why it is necessary to acquire the property with award funds.

Project Narrative – High Performance Computing Availability. Researchers that are supported under an AFOSR grant or contract, and meet certain restrictions, are eligible to apply for special accounts and participation in a full-spectrum of activities within the DOD high performance computing modernization program. This program provides, at no cost to the user, access to a range of state-of-the-art high performance computing assets and training opportunities that will allow the user to fully exploit these assets. Details of the capabilities of the program can be found at the following Internet address: http://www.hpcmo.hpc.mil. Researchers needing high performance cycles should address the utilization of this program to meet their required needs. AFOSR program managers will facilitate the establishment of accounts awarded.

Attach the Project Narrative to the R&R Other Project Information form in field 8.

(j) R&R Budget Form: Estimate the total research project cost. It is anticipated that the awards will have an initial performance period of twelve months with two twelve month options, assuming a 2 January 2014 effective date. However, the start date of the contract is subject to the arrival date of funding and negotiation process. Individual budgets should be provided for each period. Categorize funds by year and provide separate annual budgets for projects lasting more than one year. Estimates should consider major outlays for materials, equipment and other costs. Required funding during the academic year and summer will vary based on proposal research. Applicants who enter a fee on Part J of the budget will not be eligible to receive a grant or cooperative agreement. Attach personnel, equipment, travel, and all other justifications to the budget forms in the areas provided. Equipment purchase will not be funded unless the research cannot be completed by any other practical means. Include the proposed life

expectancy of the equipment and whether it will be integrated with a larger assemblage of apparatus. If so, state who owns the existing apparatus. Any sub-awards should have budgets completed on the optional R&R Subaward Budget form(s). Please include the same level of detail as on the primary budget.

4. Other Submission Requirements

Proposals submitted in whole or in part by electronic media (computer disk or tape, facsimile machine, electronic mail, etc.) ***will not be accepted*** (unless the full proposal is submitted electronically through Grants.gov).

If a contract is the award instrument and the proposal exceeds $550,000, a Small Business Subcontracting Plan is required in accordance with FAR 52.219-9.

5. Application Receipt Notices

a. For Electronic Submission

The applicant's approved account holder for Grants.gov will receive a confirmation page upon completing the submission to Grants.gov. This confirmation page is a record of the time and date stamp that is used to determine whether the proposal was submitted by the deadline. After an institution submits an application, Grants.gov generates a submission receipt via email and also sets the application status to "Received". This receipt verifies the Application has been successfully delivered to the Grants.gov system. Next, Grants.gov verifies the submission is valid by ensuring it does not contain viruses, the opportunity is still open, and the applicant login and applicant DUNS number match. If the submission is valid, Grants.gov generates a submission validation receipt via email and sets the application status to "Validated". If the application is not validated, the application status is set to "Rejected". The system sends a rejection email notification to the institution and the institution must resubmit the application package. Applicants can track the status of their application by logging in to Grants.gov.

A proposal received after the deadline is "late" and will not be considered for an award.

b. For Hard Copy Submission

An applicant that submits a hard copy proposal to AFOSR will receive an email from the agency approximately ten days after the proposal due date to acknowledge receipt of the proposal and provide the agency's assigned tracking number. The email is sent to the authorized representative for the applicant institution**.** ***A hard copy proposal received at an agency's listed mailing address after the deadline is "late" and will not be considered for an award*****,** except for cases in which there is acceptable evidence to establish that the proposal:

(1) Was delivered to the agency and was under the agency's control prior to the deadline: or

(2) Was sent to the agency's listed mailing address by the U.S. Postal Service Express Mail with a postmark date at least three days prior to the date specified for the receipt of the proposals. The term "business days" excludes weekends and U.S. federal holidays.

Both the electronic and hard copy proposers will be notified by letter or e-mail that the proposal has been received by AFOSR approximately ten days after the due date.

6. Submission Dates and Time – Full proposals must be received at AFOSR by 4:00 PM, EDT, 16 September 2013, whether submitted electronically or in hard copy.

For electronic submission, the proposal must be validated by the Grants.gov to indicate that the Grants.gov has received and kept the submission. Should the site of Grants.gov not be operational on the due date and is unable to receive the proposal, the deadline is extended to the same time of the first day when the site is in operation.

For hard copy submission, in case the operation of the agency is interrupted and unable to receive the proposal, the deadline is extended to the same time of the first day when the agency is in operation.

Proposals received late will not be considered for the Young Investigators Research Program competition.

White papers are due by 01 August 2013.

V. Application Review Information

Proposals submitted under this BAA are evaluated through a peer or scientific review process. If selected for grant/assistance instrument award, evaluation will use merit-based competitive procedures according to DoDGARS citation of 32 C.F.R Sec 22.315. Proposals may be evaluated by program managers at EOARD/AOARD/SOARD and the appropriate AFRL Technology Directorates, other military services, DoD agencies, and civilian agencies **However as previously stated in Section IV para 2, AFOSR is seeking unclassified white papers and proposals that do not contain proprietary information. If proprietary information is submitted it is the offeror's responsibility to mark the relevant portions of their proposal as specified in Section IV para 2.** Employees of commercial firms under contract to the Government

may also be used to perform administrative duties (e.g., information technology support) related to proposal evaluations and post award administration. By submitting a proposal, offerors consent to allowing access to their proposals by these support contractors. These support contracts include nondisclosure agreements prohibiting their contractor employees from disclosing any information submitted by other contractors. Subject to funding availability, all proposals will be evaluated under the following two primary criteria, of equal importance, as follows:

1. Technical merits of the proposed research and development; and
2. Potential relationship of the proposed research and development to Department of Defense missions.

Other evaluation criteria used in the technical reviews, which are of lesser importance than the primary criteria and of equal importance to each other, are:

1. The likelihood of the proposed effort to develop new research capabilities and broaden the research base in support of U.S. national defense.
2. The proposer's, principal investigator's, team leader's, or key personnel's qualifications, capabilities, related experience, facilities, or techniques or a combination of these factors that are integral to achieving USAF objectives.
3. The realism and reasonableness of proposed costs.

No further evaluation criteria will be used in source selection. The technical and cost information will be analyzed simultaneously during the evaluation process.

Additional administrative information regarding submission of applications is contained in Section VIII below.

Proposals may be submitted for one or more topics or for a specific portion of one topic. A proposer may submit separate proposals on different topics or different proposals on the same topic. The U.S. Government does not guarantee an award in each topic area. Further, be advised that as funds are limited, otherwise meritorious proposals may not be funded. Therefore, it is important that proposals show strength in as many of the evaluation areas as practicable for maximum competitiveness.

VI. Award Administration Information

1. Award Notices – The Award winners will be announced November 2013. Principal Investigators of successful proposals will receive a notice, by letter or e-mail. For those proposals being recommended for an award, the notification should not be regarded as an authorization to commit or expend funds. Pre-award costs of up to 90 days may be authorized on a case by case basis for those proposals selected for funding. However, the award of pre-award costs is not guaranteed and recipients incur pre-award costs at the recipient's own risk. Negotiations may result in funding levels that are less than proposed. Only an award document signed by a Government Contracting/Grants Officer will bind the Government. Your business office will be contacted by the grant or contracting officer to negotiate the terms of your award.

2. Reporting Requirements – Grants and cooperative agreements typically require annual and final technical reports, financial reports, and final patent reports. Copies of publications and presentations should be submitted along with the technical reports. Additional deliverables may be required based on the research being conducted.

3. Additional information for offerors seeking contract awards.

(1). 5352.245-9005 Elimination of Competitive Advantage in the Use of Government Property.

ELIMINATION OF COMPETITIVE ADVANTAGE IN THE USE OF GOVERNMENT PROPERTY (AFMC) (OCT 2008)

(a) Unless otherwise specified in this solicitation or attachments, the Government does not plan to furnish any facilities, special tooling, special test equipment or other Government property for use in the performance of the contract resulting from this solicitation.

(b) The Government may, however, authorize such use in accordance with **FAR 45.3**, Providing Government Property to Contractors. To use existing Government property in the performance of this proposed contract, a copy of the cognizant Contracting Officer's written concurrence with such use must be furnished to the Government as a part of the response to this solicitation. Your proposal must include a listing of Government property you desire to use in the performance of the proposed contract, including the following information for each item: nomenclature, date of purchase, acquisition value, number of months of contemplated use (identify first, last, and all intervening months), rental fee, if applicable, and the copy of the Contracting Officer's written concurrence for such use.

(c) In the event that permission for such use of Government property is not authorized and the Contractor must furnish the property to perform the contract, identify the total cost impact, if any, to the proposed price.

(d) An evaluation factor as set forth in **FAR 45.202**, Evaluation Procedures will be used to eliminate any competitive advantage from the use of such property unless the Contracting Officer determines that the use of an evaluation factor would not affect the choice of Contractor.

(End of provision)

(2). Occupational Safety and Health Administration's (OSHA) Voluntary Protection program (VPP).

1. AFOSR is in the process of pursuing recognition under the Occupational Safety and Health Administration's (OSHA) Voluntary Protection program (VPP). Include the OSHA website in the solicitation and request offerors use it to familiarize themselves with the VPP program.
2. Contractors are required to provide 3 years of Total Case Incident Rate / Days Away, Restricted, or Transferred data rates with their proposal for Government evaluation.
3. Contractors will be required to provide their Safety Plans within 10 days of award.

(3). 252.227-7017 Identification and Assertion of Use, Release, or Disclosure Restrictions.

As prescribed in 227.7103-3(b), 227.7104(e)(2), or 227.7203-3(a), use the following provision:

IDENTIFICATION AND ASSERTION OF USE, RELEASE, OR DISCLOSURE RESTRICTIONS (JUN 1995)

(a) The terms used in this provision are defined in following clause or clauses contained in this solicitation—

(1) If a successful offeror will be required to deliver technical data, the Rights in Technical Data--Noncommercial Items clause, or, if this solicitation contemplates a contract under the Small Business Innovative Research Program, the Rights in Noncommercial Technical Data and Computer Software--Small Business Innovative Research (SBIR) Program clause.

(2) If a successful offeror will not be required to deliver technical data, the Rights in Noncommercial Computer Software and Noncommercial Computer Software Documentation clause, or, if this solicitation contemplates a contract under the Small Business Innovative Research Program, the Rights in Noncommercial Technical Data and Computer Software--Small Business Innovative Research (SBIR) Program clause.

(b) The identification and assertion requirements in this provision apply only to technical data, including computer software documentation, or computer software to be delivered with other than unlimited rights. For contracts to be awarded under the Small Business Innovative Research Program, the notification and identification requirements do not apply to technical data or computer software that will be generated under the resulting contract. Notification and identification is not required for restrictions based solely on copyright.

(c) Offers submitted in response to this solicitation shall identify, to the extent known at the time an offer is submitted to the Government, the technical data or computer software that the Offeror, its subcontractors or suppliers, or potential subcontractors or suppliers, assert should be furnished to the Government with restrictions on use, release, or disclosure.

(d) The Offeror's assertions, including the assertions of its subcontractors or suppliers or potential subcontractors or suppliers, shall be submitted as an attachment to its offer in the following format, dated and signed by an official authorized to contractually obligate the Offeror:

Identification and Assertion of Restrictions on the Government's Use, Release, or Disclosure of Technical Data or Computer Software

The Offeror asserts for itself, or the persons identified below, that the Government's rights to use, release, or disclose the following technical data or computer software should be restricted:

Technical Data or Computer Software to be Furnished With Restrictions*	Basis for Assertion**	Asserted Rights Category***	Name of Person Asserting Restrictions****
(LIST)*****	(LIST)	(LIST)	(LIST)

*For technical data (other than computer software documentation) pertaining to items, components, or processes developed at private expense, identify both the deliverable technical data and each such item, component, or process. For computer software or computer software documentation identify the software or documentation.
**Generally, development at private expense, either exclusively or partially, is the only basis for asserting restrictions. For technical data, other than computer software documentation, development refers to development of the item, component, or process to which the data pertain. The Government's rights in computer software documentation generally may not be restricted. For computer software, development refers to the software. Indicate whether development was accomplished exclusively or partially at private expense. If development was not accomplished at private expense, or for computer software documentation, enter the specific basis for asserting restrictions.
***Enter asserted rights category (e.g., government purpose license rights from a prior contract, rights in SBIR data generated under another contract, limited, restricted, or government purpose rights under this or a prior contract, or specially negotiated licenses).
****Corporation, individual, or other person, as appropriate.
*****Enter “none” when all data or software will be submitted without restrictions.

Date _____
Printed Name and Title _____
_____
Signature _____

(End of identification and assertion)
(e) An Offeror's failure to submit, complete, or sign the notification and identification required by paragraph (d) of this provision with its offer may render the offer ineligible for award.
(f) If the Offeror is awarded a contract, the assertions identified in paragraph (d) of this provision shall be listed in an attachment to that contract. Upon request by the Contracting Officer, the Offeror shall provide sufficient information to enable the Contracting Officer to evaluate any listed assertion.
(End of provision)

VII. Agency Contact(s)

Address questions to:

Dr. Jason Marshall
Telephone Number: (703) 696-7721
Email: afosryip@us.af.mil

Mail to:

Air Force Office of Scientific Research
ATTN: Dr. Jason Marshall
875 North Randolph Street
Suite 325, Room 3112

Arlington, Virginia 22203-1768

VIII. Additional Information

1. The cost of proposal preparation in response to this Announcement is not considered an allowable direct charge to any resulting award. Such cost is, however, an allowable expense to the normal bid and proposal indirect cost specified in OMB Circular A-21, Cost Principles for Educational Institutions or OMB Circular A-122, Cost Principles for Nonprofit Organizations.

2. Every effort will be made to protect the confidentiality of the proposal and any evaluations. The proposer must mark the proposal with a protective legend as indicated in paragraph IV.2.above.

3. Offerors are advised that employees of commercial firms under contract to the Government may be used to administratively process proposals. By submitting a proposal, offerors consent to allowing access to their proposals by these support contractors. These support contracts include nondisclosure agreements prohibiting their contractor employees from disclosing any information submitted by other contractors.

4. Only grants officers are legally authorized to bind the government.

5. Responses should reference Broad Agency Announcement BAA-AFOSR-2013-2005.

6. AFOSR expects the performance of research funded by this announcement to be fundamental. DoD Directive 5230.24 and DoD Instruction 5230.27 define contracted fundamental research in a DoD context as follows:

   "Contracted Fundamental Research. Includes [research performed under] grants and contracts that are (a) funded by budget Category 6.1 ("Research"), whether performed by universities or industry or (b) funded by budget Category 6.2 ("Exploratory Development") and performed on-campus at a university. The research shall not be considered fundamental in those rare and exceptional circumstances where the 6.2-funded effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the contract or grant."

7. If the proposal is not selected for the Young Investigator Research Program Award, it may be reviewed and re-evaluated under the current AFOSR General BAA unless it is stated that this proposal is for the Young Investigator Research Program only.

8. Federal Awardee Performance and Integrity Information System (FAPIIS)

   There is a Government-wide policy on the use of the Federal Awardee Performance and Integrity Information System (FAPIIS) in the award of grants that may affect the agencies' processes for judging proposed recipients to be qualified to receive financial assistance awards. The policy implements requirements of section 872 of the Duncan Hunter National Defense Authorization Act for fiscal year 2009 (Public law 110-417). For additional background information, see the Supplementary

Information section in OMB's proposal of the policy for comment, which appeared in the Federal Register on February 18, 2010 [FR 7316]. Note that the particulars of the proposed guidance may change when OMB issues the final guidance.

9. SAM Registration

Prospective awardees shall be registered in the SAM database prior to award, during performance, and through final payment of any award resulting from this announcement. Offerors may obtain information on registration and annual confirmation requirements via the Internet at http://www.acquisition.gov click on 'Acquisition Systems', then SAM or by calling 1-888-227-2423, or 269-961-5757 SAM Registration.

Awardees must:

a. Be registered in the System for Award Management (SAM) prior to submitting an application or proposal;

b. Maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or proposal under consideration by an agency; and

c. Provide its DUNS number in each application or proposal it submits to the agency.

10. Reporting Subawards and Executive Compensation.

Reporting of first-tier subawards.

Applicability. Unless you are exempt (in the previous tax year, you had gross income, from all sources, under $300,000) you must report each action that obligates $25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111–5) for a subaward to www.acquisition.gov click on 'Acquisition Systems', then FSRS.

11. AFOSR Policy on No Cost Extensions (NCE's)

AFOSR grants NCE's only in situations in which the extension is truly warranted and properly documented. AFOSR Agency Specific Requirements, 1 July 2008, which are incorporated into every AFOSR grant by reference, require prior written approval "to extend the period of performance, without additional funds, beyond the expiration date of the grant." For an extension to be granted, Articles 2 and 15 of the AFOSR Specific Requirements indicate recipients are to provide notice "in writing and with the supporting reasons and revised expiration date at least thirty (30) days prior to the expiration of the award." In no event will the period of performance be extended merely for the purpose of using unobligated balances. Institutions should make every effort to ensure work is completed on time. If an institution deems an NCE is truly warranted, it should submit its request for an extension and supporting reasons to the relevant Program Manager.

12. Ombudsman

a. An ombudsman has been appointed to hear and facilitate the resolution of concerns from offerors, potential offerors, and others for this acquisition. When requested, the ombudsman will maintain strict confidentiality as to the source of the concern. The existence of the ombudsman does not affect the authority of the program manager, contracting officer, or source selection official. Further, the ombudsman does not participate in the evaluation of proposals, the source selection process, or the adjudication of protests or formal contract disputes. The ombudsman may refer the party to another official who can resolve the concern.

b. Before consulting with an ombudsman, interested parties must first address their concerns, issues, disagreements, and/or recommendations to the grants officer for resolution. Consulting an ombudsman does not alter or postpone the timelines for any other processes (e.g., agency level bid protests, GAO bid protests, requests for debriefings, employee-employer actions, contests of OMB Circular A-76 competition performance decisions).

c. If resolution cannot be made by the grants officer, concerned parties may contact the Center/MAJCOM ombudsmen,

Ombudsman: Ms. Barbara G. Gehrs, HQ AFRL/PK, Wright-Patterson AFB OH. Telephone: (937) 904-4407, Email: Barbara.Gehrs@wpafb.af.mil.

Concerns, issues, disagreements, and recommendations that cannot be resolved at the MAJCOM/DRU level, may be brought by the concerned party for further consideration to the Air Force ombudsman, Associate Deputy Assistant Secretary (ADAS) (Contracting), SAF/AQC, 1060 Air Force Pentagon, Washington DC 20330-1060, phone number (703) 588-7004, facsimile number (703) 588-1067.

d. The ombudsman has no authority to render a decision that binds the agency.

e. Do not contact the ombudsman to request copies of the solicitation, verify offer due date, or clarify technical requirements. Such inquiries shall be directed to the grants officer.

13. Grant Payment Process

a. Effective 1 November 2011, the Air Force Office of Scientific Research no longer sets up automatic payments for Grants to educational and nonprofit recipients. Therefore, all Grantees must access Wide Area Workflow (WAWF) and complete WAWF's Standard Form (SF) 270, Request for Advance or Reimbursement, for payment. Grantees should submit SF 270s as expenses occur; however, Grantees should have no more than one month cash on hand at any given time.

b. Each Grantee must register with WAWF at https://wawf.eb.mil. To begin the registration process, click on the accept button at the bottom of the page. WAWF will display the login page with a block for new users with hyperlinks to instructions for "Pre-registration for Vendors" and the actual registration link.

Please note that each Grantee must be registered in SAM and have an Electronic Business Point of Contact set up to approve new registrations within their Institution. Each Grantee will also need to set up a Group Administrator (GAM) to register their CAGE Code and DUNS number, in addition to setting up an organizational email

address for email notification from WAWF advising on the status of vouchers submitted for payment. The Grantee will also need to contact the WAWF Help Desk to register their CAGE code within the WAWF system. WAWF Help Desk information is available at the WAWF web site.

c. If you encounter any problems with your WAWF registration please click on "Vendor Customer Support" in the blue bar at the bottom of the login page. This link will provide phone numbers and an email address to the WAWF Help Desk.

d. Please direct all WAWF questions to Vendor Customer Support.

14. Prohibition Against Contracting with Corporations that have an Unpaid Delinquent Tax liability or Felony Conviction under Federal Law

Offerors should be aware that: OUSD (AT&L) DPAP Memo, Class Deviation, 22 Jan 13, http://www.acq.osd.mil/dpap/policy/policyvault/USA000323-13-DPAP.pdf precludes Contracting Officers from awarding FY13 funds to any corporation that has an unpaid delinquent tax liability or felony conviction under Federal law. This requirement, applicable to contracts and requiring a certificate from offerors, has not yet been implemented for grants. However, because Public Law 112-74 does include grants, it is anticipated that OMB guidance for grant implementation will occur during the period this BAA is active. We anticipate that this restriction will continue into FY14 and therefore apply to grants and contracts awarded from this BAA.