

**UNITED STATES ARMY RESEARCH INSTITUTE
FOR THE BEHAVIORAL AND SOCIAL SCIENCES (ARI)**

PROGRAM ANNOUNCEMENT

ARI Research Fellowship Program



W911NF-16-R-0008

19 February 2016 – 25 March 2016

ISSUED BY:

U.S. Army Contracting Command-Aberdeen Proving Ground
Research Triangle Park Division
P. O. BOX 12211
Research Triangle Park, NC 27709-2211

TABLE OF CONTENTS

A. PROGRAM DESCRIPTION:4

1. Agency Name..... 4

2. Research Opportunity Title.....4

3. Announcement Type.....4

4. Research Opportunity Number.....4

5. Catalog of Federal Domestic Assistance (CFDA) Number and Title.....4

6. Response Dates.....4

7. Basic Research Areas of Interest6

B. FEDERAL AWARD INFORMATION: 13

C. ELIGIBILITY INFORMATION:14

1. Eligible Applicants.....14

2. Cost Sharing or Matching14

D. APPLICATION AND SUBMISSION INFORMATION:15

1. Address to View Broad Agency Announcement.....15

2. Content and Form of Application Submission.....15

3. Unique Entity Identifier and System for Award Management (SAM)18

4. Submission Dates and Times.....18

5. Intergovernmental Review.....19

6. Funding Restrictions.....19

7. Other Submission Requirements.....19

E. APPLICATION REVIEW INFORMATION:19

1. Criteria.....19

2. Review and Selection Process.....22

F. AWARD ADMINISTRATION INFORMATION:24

1. Award Notices.....24

2. Administrative and National Policy Requirements.....24

3. Reporting.....29

G. FEDERAL AWARD AGENCY CONTACTS:31

H. OTHER INFORMATION:31

A. PROGRAM DESCRIPTION:

- **Federal Agency Name:** U.S. Army Research Institute (ARI), 6000 6th Street, Fort Belvoir, VA 22060
- **Issuing Acquisition Office:** U.S. Army Contracting Command (ACC), Aberdeen Proving Ground (APG), Research Triangle Park (RTP) Division, 4300 S. Miami Blvd., Durham, NC 27703
- **Funding Opportunity Title:** ARI Research Fellowship Program (RFP)
- **Announcement Type:** Initial
- **Funding Opportunity Number:** W911NF-16-R-0008
- **Catalog of Federal Domestic Assistance (CFDA) Number(s):** 12.630 - "Basic, Applied, and Advanced Research in Behavioral and Social Sciences"
- **Dates:** The following is a summary of the events and dates associated with the ARI Research Fellowship Program (RFP) Program Announcement (PA):

EVENT

Program Announcement Released
Proposals Due
Award Made

DATES

19 February 2016
25 March 2016
15 June 2016

The purpose of this **United States Army Research Institute (ARI) Research Fellowship Program (RFP)** Program Announcement (PA) is to solicit offers from interested Applicants to establish a program with university¹ students, post-doctoral researchers, and faculty for the conduct of research generally supporting ARI's research program as described herein. The Applicant shall provide the necessary management and support for the RFP for research as described herein. Such support should address the following requirements:

- a) Provide appropriately trained and experienced undergraduate and graduate students, post-doctoral researchers, and faculty for conducting research that is compatible with, and contributes to, ARI research, analysis, and studies;
- b) Match faculty expertise to research and study needs within ARI;
- c) Facilitate a mentoring relationship between ARI researchers and undergraduate and graduate students and post-doctoral researchers;
- d) Provide a structured approach for ARI researchers to collaborate with university faculty and graduate students on research projects; and
- e) Provide research space (to include laboratory space when applicable) for conducting research to support the ARI program if proposed by faculty.

¹ The term "University" is used throughout this Program Announcement to refer to a post-secondary regionally accredited college or university (or the equivalent thereof for non-U.S. colleges or universities).

The ARI RFP will further science and technology through basic and applied research, with this research having the potential for both civilian and military applications. Under the ARI RFP, candidates are sought to conduct collaborative research, applying their knowledge and talents to research areas that are of interest to them and potentially to ARI.

Fellows will perform scholarly research at ARI, which should embody research ideas of the individual and which are of interest to ARI. To facilitate the Fellow selection, the Applicant should propose a competitive application process that incorporates ARI evaluation of the research and capability provided. It is important that a research application be consistent and complimentary with ARI facilities and interests, supporting or stimulating ARI basic and applied research programs. The term 'Fellows' refers to faculty, students, or post-doctoral researchers who will perform scholarly research under the ARI Research Fellowship Program cooperative agreement.

NOTE: No Fellow under this program will be considered an employee of ARI, the Army, or the Federal Government under any circumstance.

1. ARI Background:

The U.S. Army Research Institute for the Behavioral and Social Sciences (ARI) is the Army's lead agency for the conduct of research, development, and analyses for the improvement of Army readiness and performance via research advances and applications of the behavioral and social sciences that address personnel, organization, training, and leadership and leader development issues.

The ARI RFP will help to introduce Fellows to the roles and needs of the Warfighter as well as provide access to ARI's world-class research scientists while pursuing basic and applied research of mutual interest to the Army and the Fellows. Fellows will bring new ideas, expertise, approaches, and techniques to ARI. The ARI RFP allows the United States to rapidly build a critical mass of talent in specific science and technology areas. Under the mentorship of ARI's excellent scientific staff, being involved with research at ARI broadens the Fellows' experience, thus also enhancing the Fellows' credentials. ARI has supported a Research Fellows Program to achieve these mutual benefits since 1982.

2. Purpose:

The purpose of the Cooperative Agreement (CA) to be awarded as a result of this Funding Opportunity is to establish and administer the ARI Research Fellowship Program (RFP) to provide ARI with university students, post-doctoral researchers, and faculty for the conduct of collaborative research. The ARI RFP includes six Fellow designations: Assistant Research Fellow, Associate Research Fellow, Doctoral Research Fellow, Postdoctoral Research Fellow, Senior Research Fellow, and Sabbatical Fellow (as described below). The ARI RFP is expected to contribute significantly to the overall efforts of ARI. This CA will be issued under the authority of 10 USC §2358, Research Projects.

3. Period of Performance:

The award, if any, made as a result of this PA will provide for a base period of performance of five years plus an option period of five years for a total duration of no more than ten years.

4. Place of Performance:

The Fellows are expected to perform research primarily at one or more of ARI locations, which are currently: Ft. Belvoir, VA; Aberdeen Proving Ground, MD; Ft. Benning, GA; Ft. Leavenworth, KS; Ft. Hood, TX. However, Fellows may perform at other facilities, to include non-Federal facilities, based on the proposed research. There is no limitation on the place of performance for all other activities proposed by the Applicant to execute the ARI RFP. For purposes of responding to this PA, an Applicant should assume all performance will be at ARI, Ft. Belvoir, VA.

5. ARI Areas of Research Interest:

The active Government participants will be from the various research units of ARI. These research units perform basic and applied research within the broad context of the behavioral and social sciences as applied to the U.S. Army. The following is a list of ARI's current and anticipated Science and Technology (S&T) focus areas and relevant research disciplines.

RESEARCH AREAS:

Personnel:

- Advanced theory of individual differences and contextual factors for personnel decisions
- New measurement strategies and methods to assess multiple, complex constructs
- Multi-faceted recruitment methods
- Methods and models for Soldier classification and assignment
- Cognitive and non-cognitive assessments of Soldier potential and capability
- Assessment and prediction of individual readiness
- Multi-level theory of personnel decisions

Organization:

- Multilevel theories of organizational processes, structures, and effectiveness
- Advanced statistical methods to measure organizational dynamics
- Advanced analytics to model and optimize organizational processes
- Advanced methods, measures, and models of team/multi-team processes and effectiveness
- Measures, methods, and models of organizational and unit performance
- Measures, methods, and models of organizational/unit climate and culture
- Multilevel models of individual and unit readiness
- Social issues impacting force readiness

Training:

- Methods and strategies for training complex skills
- Measures and methods to assess learning, retention, and transfer
- Individual and contextual factors in learning, retention, and transfer
- Methods and strategies to maximize collective learning
- Methods to enhance learning in formal and informal environments

Leadership and Leader Development:

- Life cycle of leadership development
- Longitudinal measurement of leadership development
- Contextual factors in leader effectiveness
- Sources of power and status
- Shared leadership and leader networks
- Methods and measures for enhancing strategic leadership skills

Emerging Concepts:

- Individual differences in cognitive processing, biases, and abilities
- Psychophysiological assessments and models of individual differences and cognitive/affective states
- Integrative models of cognition, emotion, and contextual factors
- Mapping human cognitive and social processes to attitudes and behaviors
- Methods, measures, and models to understand socio-cultural systems
- Borderless theories of culture
- Models of cultural construction, de-construction, and change
- Data analytics and personnel decisions
- Computational models of socio-cognitive processes and performance
- Culture, climate, and norms in military organizations
- Regulation of attention and emotion

Assessment of Science and Technology (S&T):

- Determinants of research effectiveness
- Valuation of research investments in S&T
- Forecasting discovery
- Impact of discovery on innovation
- Competitiveness of the S&T workforce

Relevant Scientific Disciplines:

- Psychology (non-clinical)
- Organizational Science
- Management & Organizational Behavior
- Psychometrics
- Statistics and Quantitative Psychology

- Adult Development, Learning, and Education
- Sociology
- Neuroscience
- Economics
- Data Science
- Computational Social Science

The listing above is provided for an Applicant to understand the broad context of research areas and scientific disciplines for the ARI RFP. Since the resulting award will be a cooperative agreement with substantial Government involvement, it is expected the Applicant will be in regular communication, working collaboratively with ARI to identify new and emerging areas of interest and targeted areas of special emphasis during performance under the CA.

6. Fellow Designations and Requirements:

ARI historically has partnered with academia and industry to further its research interests, and has engaged a Research Fellows program since 1982 as part of this partnership. This partnership brings new talent, ideas, and techniques to ARI in furtherance of its research mission. In exchange, Fellows are introduced to the roles and needs of the warfighter and are mentored by ARI's world-class research scientists. The principal purpose of ARI's collaboration with the Recipient is to support and stimulate the advancement of science through the collaborative performance of research between ARI scientists and students, post-doctoral researchers, and faculty affiliated with accredited² universities and colleges. In addition to working with the Applicant, substantial Government involvement is expected through the collaborative research to be performed by the Fellows and ARI scientists.

The following are the six Fellow designations:

- **Assistant Research Fellows-** Candidates must be currently enrolled in an academic program resulting in the award of a Bachelor's degree from an accredited university or college. An Assistant Research Fellow must be available for a period of performance of one continuous year. Based on a semi-annual evaluation and recommendation by the ARI mentor and the Recipient Program Manager (RPM), the period of performance may be extended with approval by the Cooperative Agreement Manager (CAM).
- **Associate Research Fellows-** Candidates must be currently enrolled in an academic program resulting in the award of a masters or doctorate degree from an accredited university or college, and have not yet completed requirements to be Advanced to Candidacy in a doctoral program (i.e., been designated as "ABD" for "all but dissertation"). An Associate Research Fellow must be available for a period of performance of a minimum of one continuous year. Based on a semi-annual evaluation and recommendation by the ARI mentor and the RPM, the period of performance may be extended with approval by the CAM. Associate Research Fellows are eligible to be converted to Doctoral Research

² Accreditation is defined as regional or national accreditation recognized by the U.S. Department of Education or the equivalent accreditation for universities outside the United States.

Fellows upon Advancement to Candidacy (or being designated as “ABD” by their academic program chair, if formal advancement to candidacy is not available).

- **Doctoral Research Fellows-** Candidates must be currently enrolled in an academic program resulting in the award of a doctorate degree from an accredited university or college, and have completed requirements to be Advanced to Candidacy (i.e., been designated as “ABD”). A Doctoral Research Fellow must be available for a period of performance of a minimum of one continuous year. Based on a semi-annual evaluation and recommendation by the ARI mentor and the RPM, the period of performance may be extended with approval by the CAM.
- **Postdoctoral Research Fellows-** Candidates must have received a research-based doctorate degree from an accredited university or college no more than three years prior to selection, or must present acceptable evidence of having completed all formal academic requirements for a doctorate degree before selection. A Postdoctoral Research Fellow must be available for a period of performance of a minimum of one continuous year. Based on a semi-annual evaluation and recommendation by the ARI mentor, the cognizant research unit chief, and the RPM, the period of performance may be extended up to a maximum of three years with approval by the CAM.
- **Senior Research Fellows-** Candidates must hold an appointment in academia and have research experience that has resulted in contributions and recognition as established investigators in their specialized fields. The period of performance for a Senior Research Fellow will vary depending on the proposed research requirements. Senior Research Fellows appointed for a period longer than 90 calendar days will provide a quarterly summary of activities for evaluation and review by the ARI mentor and RPM. The period of performance may be extended at the request of the ARI mentor and with approval by the CAM and RPM.
- **Sabbatical Research Fellows-** Candidates must hold a permanent appointment in academia and have research experience that has resulted in contributions and recognition as established investigators in their specialized fields. Sabbatical Research Fellowships are available to faculty researchers during a university-approved sabbatical. The period of performance for a Sabbatical Research Fellow will be six, nine, or twelve months. Based on a semi-annual evaluation and recommendation by the ARI mentor, the cognizant research unit chief, and the RPM, the period of performance may be extended up to a maximum of two years with approval by the CAM.

All Assistant, Associate, and Doctoral Research Fellows must continue to be in good academic standing and maintain academic progress while appointed as a Fellow under the ARI RFP. Because the intent of the ARI RFP is to provide concurrent benefit to ARI, the appointed Fellows, the US Army, and the US S&T workforce, it is in the interest of all parties to ensure that Fellows still in progress of their education are afforded sufficient time to pursue their educational requirements. As such, Assistant and Associate Research Fellows may be appointed to work up to half-time (i.e., up to 20 hours per week) during the academic year, and full time during academic breaks. Doctoral Research Fellows may be appointed to work up to three-quarters time (i.e., up to

30 hours per week) during the academic year and full time during academic breaks. Post-Doctoral and Sabbatical Research Fellows are expected to work full-time in accordance with their proposed research plans. Level of effort for Senior Research Fellows will vary depending on the proposed research plans and activities.

Post-Doctoral and Sabbatical Research Fellows will be provided with an orientation day at ARI's Fort Belvoir office within 90 calendar days of the beginning their term as a Fellow. This orientation day will be jointly planned and conducted by the ARI Cooperative Agreement Manager (CAM) and Recipient Program Manager (RPM). The RPM is encouraged to coordinate this orientation among all Post-Doctoral and Sabbatical Research Fellows starting at approximately the same time, and allowances may be made to extend the 90 day requirement to allow for this coordination.

On a case-by-case basis, and with the approval of the CAM and RPM, Senior Research Fellows may be appointed with a provision for an Associate Research Fellow or Doctoral Research Fellow to collaborate with them. In these instances, Senior Research Fellow appointments should explicitly note this allowance in the request. In cases where the primary location of performance is other than an ARI facility, the Associate or Doctoral Research Fellow shall spend at least one day per month at the ARI facility with the ARI mentor and Senior Research Fellow, and the ARI mentor shall spend at least one day per month at the location of performance with the Senior Research Fellow and the Associate or Doctoral Research Fellow. Continuation of these arrangements is subject to the semi-annual review and approval of the CAM and RPM.

A candidate typically will be a U.S. citizen, U.S. national, or a permanent resident of the U.S. (*i.e.*, Green Card Holder). A candidate with Dual Citizenship may be considered on a case-by-case basis. In rare cases, and with the concurrence of the CAM and ARI Director, a foreign national may be considered for this program. An Applicant must address how they will be responsible for ensuring a foreign national has an appropriate visa for their entry into the United States and employment by the Applicant. An Applicant must also address how they will be responsible for ensuring all non-U.S. citizens are explicitly identified to the CAM and cognizant research unit chief prior to appointment. Any non-U.S. citizen may be disapproved by the CAM for appointment as a Fellow for any reason.

Performance by a Research Fellow under the ARI RFP (other than Senior Research Fellows on appointments not requiring access to Army data or Army computer systems) will be contingent upon the following:

- a) satisfactory completion by the Fellow of the National Agency Check with Inquiries (NACI) paperwork and submission of the NACI to U.S. Office of Personnel Management (OPM) with no derogatory information present and
- b) completion of an FBI fingerprint check with favorable results.

If a problem arises with a Fellow's investigation or security status once they are appointed, the appointment may be suspended or terminated.

7. Funding:

This PA is issued subject to the availability of funds. The PA provides the estimated number of Fellows (based on historical data) and recommended stipend levels. For proposal preparation purposes, an Applicant is to assume all performance will be at ARI, Fort Belvoir, VA. Applicants are to propose a structured approach to pay and compensation for all fellows, which should be rely primarily on the education and experience of candidates but may incorporate other factors (e.g., location). For Post-Doctoral Fellows and Sabbatical Fellows, Applicants are provided with the following additional guidance. First, a Post-Doctoral Fellow's pay should be competitive with, but not exceed, a GS-12 Research Psychologist (series 0180) compensation of similar education and expertise. Second, in order to not conflict with typical university guidance on sabbaticals, a Sabbatical Research Fellow be provided (a) a salary to make up any decrement in academic salary during the sabbatical period, and (b) a living stipend when appropriate to help offset the cost of maintaining a temporary residence in proximity to the planned ARI location during the term of appointment. Additionally, the applicant may provide reimbursement for expenses related to relocation, which should be included in the overall funding plan. **For proposal preparation purposes, the below table sets forth the projected numbers of Fellows by year of performance under the CA. The numbers of Fellows is likely to change during the performance period.**

| Research Fellow Designation | Yr 1 | Yr 2 | Yr 3 | Yr 4 | Yr 5 | Yr 6 | Yr 7 | Yr 8 | Yr 9 | Yr 10 |
|------------------------------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|--------------|
| Assistant | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 |
| Associate | 25 | 25 | 30 | 30 | 35 | 35 | 35 | 35 | 35 | 35 |
| Doctoral | 20 | 20 | 25 | 25 | 30 | 30 | 30 | 30 | 30 | 30 |
| Postdoctoral | 6 | 6 | 10 | 10 | 10 | 10 | 10 | 10 | 10 | 10 |
| Senior | 20 | 25 | 30 | 30 | 35 | 35 | 35 | 35 | 35 | 35 |
| Sabbatical | 2 | 2 | 5 | 5 | 5 | 5 | 5 | 5 | 5 | 5 |

An Applicant's proposal should include reimbursement for program-related travel and other research expenses for all Fellows. An Applicant shall use the GSA approved rates for per diem, lodging, meals, and incidentals for purposes of travel estimation and reimbursement. Exceptions to the GSA approved rates shall be accepted in accordance with the Federal Travel Regulation (see 41 CFR 300-304). An Applicant's proposal will also provide to Post-Doctoral and Doctoral Research Fellows and their families the opportunity to enroll in a group health insurance program provided by the Recipient.

8. Intellectual Property:

The Intellectual Property Rights contained in 2 CFR §200 or 32 CFR §34.25, as applicable, and the patent rights clause at 37 CFR §401.14, will be incorporated by reference into the CA. ARI does not consider selected Fellows to be subject to 35 USC §212 as selected Fellows are not educational awardees. Applicants recognize that this Program may result in intellectual property that is generated by the Recipient personnel, Fellows, and/or Government personnel. Should this occur, all parties agree to use their best efforts to mutually agree to an equitable distribution of

property rights and distribution of filing fees or other administrative costs. Should the parties reach an impasse in determining the distribution of property rights, the parties shall resort to the Disputes, Claims, and Appeals Process as set forth at 32 CFR §22.815. An Applicant's proposal should address how they intend to manage this requirement.

9. Facility Requirements:

All Fellows performing onsite collaboration at a Government or a non-federal facility are required to comply with the safety, environmental, security, and operational regulations or requirements of that facility. The Government or non-federal facility will provide adequate office space, communications connections, administrative support, and office supplies, as needed and if available, for Fellows.

Fellows may be required to attend Army designated mandatory training upon the CAM request.

Although a Fellow is not an employee of ARI, the Army or the Federal Government, there may be some restrictions on work hours, facilities use, etc. that will be established in each Fellow's letter of acceptance or during the Fellow's performance.

10. Management:

i. Overall Management Concept-

A description of each component of Management follows:

- **Cooperative Agreement Manager (CAM).** The Government's technical representative from ARI charged with the overall responsibility of management and guidance of the CA.
- **Recipient Program Manager (RPM).** The RPM is the Recipient's technical representative charged with the Recipient's overall responsibility of management and guidance of the CA.
- **Grants Officer.** The Government's principal point of contact for all administrative, financial, or other nontechnical issues arising under a CA. The ARI Grants Officer will receive recommendations from the CAM and will be the ultimate legal authority empowered to make any formal adjustments in the CA.

ii. Meetings-

The Recipient will schedule a meeting with the CAM within 30 calendar days after the CA award and AT LEAST every six months thereafter, to review in detail the status of the program - its objectives, philosophies, and procedures - and to discuss policies, issues, and other items of mutual interest. At these meetings, the Recipient will describe its efforts to further the RFP program initiatives since the last meeting held.

iii. Agreement Administration-

During the course of performance, the Grants Officer, in coordination with the CAM, will have approval authority for certain specific changes to the CA including but not limited to:

- The absence of the approved RPM for more than three months, or a 25% reduction in his/her time devoted to the CA;
- The replacement of the approved RPM or other key personnel;
- The need for additional Federal funding; and
- Any subaward, transfer, or contracting out of substantive program performance under an award, unless described in the application and funded in the approved award.

B. FEDERAL AWARD INFORMATION:

Award Instrument: Subject to the availability of funds, this PA will result in the award of one Cooperative Agreement (CA), as defined at 31 U.S.C. 6305, with the Recipient for the establishment of the ARI RFP. This award will be governed by:

- 2 Code of Federal Regulations (CFR) Part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards," as modified and supplemented by the Department of Defense's (DoD) interim implementation found at 2 CFR Part 1103, "Interim Grants and Cooperative Agreements Implementation of Guidance in 2 CFR Part 200" (79 FR 76047, December 19, 2014)
- 32 CFR Part 21, DoD Grants and Agreements – General Matters
- 32 CFR Part 22, DoD Grants and Agreements – Award and Administration
- 32 CFR Part 26, Government-wide Requirements for Drug-Free Workplace
- 32 CFR Part 28, New Restrictions on Lobbying
- 32 CFR Part 34, Administrative Requirements for Grants and Agreements with For-Profit Organizations
- 2 CFR Part 1125, Non-Procurement Debarment and Suspension

All of the above will be incorporated by reference into the award. The principal purpose of ARI's collaboration with the Recipient is to carry out the public purpose of the support or stimulation of basic and applied (fundamental) research in areas of science with potential interest to ARI, rather than the acquisition of supplies or services for the direct benefit of the Government. This collaboration will result in bringing new talent, ideas, and techniques to ARI and will also

introduce Fellows to the roles and needs of the Warfighter. This collaboration will also provide Fellows with access to ARI's world class research scientists, while pursuing collaborative research of mutual interest to the Army and the Fellows. Substantial Government involvement with the Recipient is expected through the collaborative planning and management of the ARI RFP and through the Fellows' research.

It is anticipated performance will start on 15 June 2016 and for budget preparation purposes in response to this Funding Opportunity, Applicants should use a planned start date of 15 June 2016.

C. ELIGIBILITY INFORMATION:

1. Eligible Applicants: Proposals are sought from domestic educational institutions, non-profit/not-for-profit organizations focused on research and research facilitation, and scientific societies/associations.

To be qualified, a potential Applicant must:

- Have sufficient understanding and expertise in ARI's research domains and the relevant scientific disciplines to be able to identify and recruit high quality candidates for Fellowships.
- Have the management capability and adequate financial and technical resources, given those that would be made available through the CA, to execute the program of activities envisioned.
- Have a satisfactory record of executing such programs or activities (if a prior recipient of an award).
- Have a satisfactory record of integrity and business ethics.
- Be otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulation.

In deciding whether an Applicant is otherwise qualified, the Grants Officer shall ensure the potential Recipient: is not identified in the Government wide Excluded Parties List System (EPLS) as being debarred, suspended, or otherwise ineligible to receive the award; has provided all certifications and assurances required by Federal statute, Executive order, or codified regulation, unless they are to be addressed in award terms and conditions at the time of award; and meets any eligibility criteria that may be specified in the statute authorizing the specific program under which the award is being made.

2. Cost Sharing or Matching:

Cost sharing or matching is allowed, but it is not required. Any proposed cost sharing will be evaluated as it relates to the evaluation factors set forth in the PA, based on the degree to which the proposed cost sharing enhances the proposal to result in added benefits to the Program. In order for the proposed cost sharing to receive appropriate credit during the evaluation process, the proposal must evidence a firm commitment to provide such cost sharing.

3. Other:

An Applicant (an individual or organization) may submit only **one** application under this announcement.

D. APPLICATION AND SUBMISSION INFORMATION:

1. Address to Request Application Package:

Proposals shall be submitted electronically through the www.grants.gov portal. Proposals sent by any other means will not be considered.

Registration Requirements for www.grants.gov: There are several one-time actions that an Applicant must complete in order to submit an application through Grants.gov (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the Central Contract Registry (CCR), register with the credential provider, and register with Grants.gov). See www.grants.gov/GetRegistered to begin this process. Use the Grants.gov Organization Registration Checklist at www.grants.gov/Applicants/get-registered.isp to guide you through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in the CCR registration process. Applicants who are not registered with CCR and Grants.gov should allow at least 21 days to complete these requirements. It is suggested that the process be started as soon as possible.

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

2. Content and Form of Application Information:

Application forms and instructions will be available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select "Apply for Grants", and then select "Download an Application Package." Enter the funding opportunity number, W911NF-16-R-0008.

NOTE: Compatible versions of Adobe Reader are currently 9.0.0 and later. Click here for assistance in complying with the Grants.gov Adobe software requirements: <http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>.

An Applicant must complete the mandatory forms and any optional forms (e.g., SF-LLL Disclosure of Lobbying Activities) in accordance with the instructions on the forms and the additional instructions below. The required fields should be completed in accordance with the "pop-up" instructions on the forms. To activate the instructions, turn on the "Help Mode" (icon with the pointer and question mark at the top of the form). Files that are attached to the forms must be in Adobe Portable Document Form (PDF) unless otherwise specified in this announcement.

The following formatting rules apply for the file attachments:

Paper size when printed – 8.5 x 11 inch paper

Margins – 1 inch

Spacing – single

Font – No smaller than Times New Roman, 11 point

Form: SF 424 (R&R) (Mandatory) – Complete this form first to populate data in other forms. Authorized Organization Representative (AOR) usernames and passwords serve as “electronic signatures” when your organization submits applications through Grants.gov. By using the SF 424 (R&R), applicants are providing the certification required by 32 CFR Part 28 regarding lobbying.

Form: Research & Related Other Project Information – Complete questions 1 through 6 and attach files.

- Project Summary/Abstract (Field 7 on the form) – The Project Summary should be a brief abstract that summarizes the content of the proposal. The project summary must not exceed 5 single-sided pages. Pages in excess of this page limit will not be evaluated.
- Project Narrative (Field 8 on the form) – Chapters and Numbers of pages – Field 8 is to contain the chapters set forth below and may not exceed the stipulated page counts for those chapters. Pages in excess of the noted page limits will not be evaluated.
 - Chapter 1 - Plan. The pages included in Chapter 1 shall be numbered. Applicants are advised that Chapter 1 **must not exceed 25 single-sided pages**.
 - Chapter 2 - Management and Execution Plan. The pages included in Chapter 2 shall be numbered. Applicants are advised that Chapter 2 of the proposal **must not exceed 10 single-sided pages**.
 - Chapter 3 - Past Performance Information. The pages included in Chapter 3 shall be numbered. Applicants are advised that Chapter 3 of the proposal **must not exceed 10 single-sided pages**.
 - Chapter 4 - Biographical Sketches. Biographical sketches are limited to **two (2) single-sided pages per individual**, with no limitation on the number of individuals.
- Bibliography and References Cited (Field 9 on the form) – Attach a listing of applicable publications cited in above sections.
- Facilities and Other Resources (Field 10 on the form) – The Applicant is to include a listing of facilities and other resources available to support the proposal. Any Government resources necessary for performance are to be clearly identified. Attach this information at Field 10.
- Equipment (Field 11 on the form) – The Applicant is to include a listing of equipment available to support the proposal. Any Government equipment necessary for performance is to be clearly identified. Attach this information at Field 11.
- Other Attachments (Field 12 on the form) are as follows:

ATTACHMENT 1. Attach the Cost Proposal. The cost portion of the proposal shall contain cost estimates sufficiently detailed for meaningful evaluation. For budget purposes, assume a performance start date of 15 May 2016. For all proposals, the elements of the budget should include:

- Direct Labor - Individual labor category or person, with associated labor hours and unburdened direct labor rates (reference the table on page 11).
- Indirect Costs - Fringe benefits, overhead, G&A, etc. (must show base amount and rate). Justify.
- Travel - Number of trips, destination, duration, etc. Justify and include basis for costs. Travel estimates should be provided separately for the administration of the ARI RFP and the technical execution (i.e., Fellows) of the RFP.
 - Travel for Fellows should be estimated as two trips per Senior Research Fellow per annum and four trips for all other Fellows per annum, from Kansas City, MO to Washington, DC for four days.
 - Travel for administration should reflect the Program management and oversight plan, and should include as a minimum one trip per year to each of ARI's locations at Fort Belvoir, VA; Aberdeen Proving Ground, MD; Fort Leavenworth, KS; Fort Benning, GA; and Fort Hood, TX.
- Consultant - Provide consultant agreement or other document that verifies the proposed loaded daily/hourly rate. Include a description of the nature of and the need for any consultant's participation. Provide budget justification.
- Materials & Other Direct Costs - Procedure to determine the appropriateness of proposed costs. Provide explanation of any estimating factors, including derivation and application, to assess reasonableness of costs, and when applicable, provide description of procurement strategy to be used (competition, market survey, etc.). Justify. Equipment and facilities generally must be furnished by the Recipient (justifications must be provided when Government funding for such items is sought). Describe method to assess reasonableness of cost, including estimating factors and application, and procurement method to be used (competition, market survey, etc.).

ATTACHMENT 2. SF-LLL - Disclosure of Lobbying Activities

If applicable, attach a complete SF- LLL. Applicability: 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 grant/collaborative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying."

ATTACHMENT 3. Complete the following and include with the submission:

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

(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 ___ a corporation that was convicted of a criminal violation under any Federal law within the preceding 24 months.

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

Applicant's authorized representative must sign and date form.

3. Unique entity identifier and System for Award Management (SAM):

Each Applicant (unless the Applicant is an individual or Federal agency that is exempt from those requirements under 2 CFR §25.110(b) or (c), or has an exception approved by the agency under 2 CFR §25.110(d)) is required to: (i) Be registered in the SAM prior to submitting its application; (ii) provide a valid DUNS number in its application; and (iii) continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by an agency. An award will not be made to an Applicant until the Applicant has complied with all applicable DUNS and SAM requirements. If an Applicant has not fully complied with the requirements by the time the Agency is ready to make award, the Government may determine that the Applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another Applicant.

4. Submission Dates and Times:

Electronic submission of proposals are due by **5:00 PM Eastern Daylight Time (EDT) on 25 March 2016.**

After a proposal is submitted through Grants.gov, the Authorized Organization Representative (AOR) will receive a series of three e-mails. It is extremely important that the AOR watch for and save each of the e-mails. An Applicant will know that the proposal has been properly received when the AOR receives e-mail Number 3. Retain the Submission Receipt Number (e-mail Number 1) to track a submission. The three e-mails are:

Number 1 – The AOR will receive a confirmation page upon completing the submission to Grants.gov. This confirmation page is a record of the time and date stamp for the submission.

Number 2 – The AOR will receive an e-mail indicating that the proposal has been validated by Grants.gov within a few hours of submission. (This means that all of the required fields have been completed.)

Number 3 – The third notice is an acknowledgment of receipt in e-mail from Grants.gov. The e-mail is sent to the AOR for the institution. The e-mail notes that the proposal has been received and provides the assigned tracking number. **THE PROPOSAL IS NOT CONSIDERED PROPERLY RECEIVED UNTIL THE AOR RECEIVES E-MAIL #3.**

An Applicant is responsible for submitting proposals so as to be received and accepted at the Government site indicated in this Program Announcement no later than the date and time specified above. When sending electronic files, an Applicant shall account for potential delays in file transfer from the originator's computer to the Government website/computer server. An Applicant is encouraged to submit their response early to avoid potential file transfer delays due to high demand or problems encountered in the course of submission.

An Applicant should receive confirmation of delivery at the Government site, not just successful relay from the Applicant's system. Acceptable evidence to establish the time of receipt at the Government site includes documentary and electronic evidence of receipt maintained by the Government site. All submissions shall be submitted before the deadline identified above in order to be considered – no exceptions. Late submissions will not be considered for award.

5. Intergovernmental Review: Not Applicable

6. Funding Restrictions: See Section A.7.

7. Other Submission Requirements: None

E. APPLICATION REVIEW INFORMATION:

1. Criteria:

It is the intent of this PA to solicit the most creative, innovative, and effective approaches to the management and execution of the ARI RFP. In response to the PA, an Applicant must submit a proposal that provides evidence of their ability to:

- Understand ARI's S&T focus areas and scientific disciplines in order to identify and recruit high quality candidates for Fellowships.
- Formulate a marketing plan to attract qualified candidates based on the ARI mission and S&T focus areas. This plan should consider issues such as (a) potential sources of candidates, *e.g.*, major domestic colleges, universities, Historically Black Colleges and

Universities (HBCUs), Minority Serving Institutions (MSIs), (b) ethnic and gender diversity, (c) academic diversity, (d) various types of methods to disseminate information (e.g., professional trade journals, and professional society meetings and seminars), (e) different ways to advertise (e.g., electronic and print media), and (f) implementation methods. Advertisements should indicate that research projects can come from a broad context of scientific disciplines applicable to the mission of ARI.

- Prepare Marketing Materials annually, in collaboration with the CAM, to outline the ARI RFP. Marketing materials should contain or identify web links that contain: (a) information considered in advertisements as described above and (b) information concerning background and accomplishments of ARI. The Recipient will obtain information on the history and accomplishments of ARI through the CAM to include in the marketing materials. Further, marketing materials will contain a list of research opportunities and corresponding ARI research units. New research opportunities and updates to current opportunities are expected to be posted/released by the Recipient within 2 weeks of receipt of this material from the CAM by the Recipient. Finally, marketing materials will contain information concerning the eligibility of candidates, the availability of stipends and benefits, and the application and selection process.
- Establish a Fellow application process to solicit the interest of university students, post-doctoral researchers, and faculty of research-based programs with interests in research that is consistent with the ARI mission and in a contextual framework that can be understood by the nongovernment scientific community. The application processes for Post-Doctoral and Sabbatical Research Fellows shall be specified separately from the other types of Fellows.
- Identify the process by which the Fellow applications will be reviewed, vetted, approved, and recommended to ARI.
- Identify a management structure and plan to address the management required for successful execution of the ARI RFP, to include items such as progress reports and evaluations for each Fellow, recordkeeping requirements, travel arrangements, payments, and financial reports. Management plans should also address compensation and intellectual property related to Fellows, as noted in SECTION A of this solicitation.

In order for the ARI RFP to be successful, the Recipient must have familiarity with the ARI programs and functions and the needs of ARI. The Recipient must have an understanding of the sciences involved in the ARI mission and be able to communicate this information effectively to candidates.

The following represents the evaluation criteria for this PA:

The award decision will be based on an overall evaluation of each applicant's proposal in accordance with the factors set forth below. The four factors are: (A) Plan to Identify Fellows to Perform Research with Technical Merit, (B) Past Performance, (C) Management Plan, and (D) Cost.

FACTOR A – PLAN TO IDENTIFY AND RECRUIT FELLOWS TO PERFORM RESEARCH WITH TECHNICAL MERIT

Evaluation of this factor includes the Applicant's proposed plan for identification and recruitment of Fellows performing research with technical merit. A proposed plan must address the following requirements:

- Effective marketing/publicizing of the ARI RFP to attract high quality candidates to perform research with technical merit.
- The proposed competitive Fellow application review process, to include demonstration of the ease of application process to the targeted audience.
- The various methods by which the Applicant will market and publicize the program, to include citing specific organizations that will be targeted for recruitment; the methods by which those specific organizations will be marketed to ensure the participation of highly qualified candidates; and, the appropriateness / demonstrated effectiveness of the approaches upon the targeted organizations. Targeted organizations include, but are not limited to, accredited universities and professional societies.
- Evidence of familiarity with ARI, ARI's research program, and the relevant scientific domains (see page 5). The proposed plan to work with ARI throughout the recruitment process so the potential relationship of the proposed research by each candidate to the ARI mission is very clear.
- Evidence of the inclusion of the appropriate technical expertise and/or subject matter experts required to execute a competitive selection process expected to result in the recruitment of high caliber candidates to perform research with technical merit.

FACTOR B – PAST PERFORMANCE

Applicant's probability/likelihood of successful performance based on the Applicant's demonstrated experience in working / managing programs of a similar nature and complexity. The Government will consider the Applicant's record of complying with the requirements in the areas of technical quality, timeliness, and cost control. An Applicant is requested to provide three examples of similar efforts that are being performed or have been performed in the last 10 years, addressing technical quality, timeliness and cost control. An Applicant is requested to describe the dollar amount of the agreements, periods of performance, number of Fellows supported, Customers, Customer contact information (which may be used to verify the information provided in the proposal), and any other information to demonstrate the program was of a similar nature and complexity to the ARI RFP.

An Applicant with no past performance information will be treated as neutral, which is neither a positive nor negative assessment, but an Applicant with a positive past performance assessment

will be viewed more favorably than an Applicant with a neutral or negative past performance rating.

FACTOR C – MANAGEMENT AND EXECUTION PLAN

Evaluation of the Applicant’s proposed plan for management and execution of the RFP includes the following areas:

- the adequacy of the management plan and organizational structure to ensure a successful program;
- demonstrated understanding / ability to manage the day-to-day needs of the Fellows participating in the ARI RFP, to include the Intellectual Property and facility requirements identified in A.8 and A.9;
- the plan for submission of reports to the Army;
- semi-annual or other evaluations for each Fellow as required;
- recording keeping, payments, and financial reporting; and
- annual evaluation of the qualifications and credentials of Recipient personnel involved in the management and execution of the ARI RFP.

FACTOR D – COST

While this area will not be weighted, evaluation of this area will consider cost realism, cost reasonableness, and affordability within funding constraints. The Government may make adjustments to the cost of the total proposed effort as deemed necessary to reflect what the effort should cost. These adjustments shall consider the task undertaken and approach proposed. These adjustments may include upward or downward adjustments to proposed labor hours, labor rates, quantity of materials, price of materials, overhead rates and G&A, etc.

RELATIVE IMPORTANCE OF EVALUATION FACTORS

Evaluation factors are listed in descending order of importance. Cost is not weighted, however, as the other Factor ratings of the proposals become closer, the importance of cost increases.

2. Review and Selection Process:

All information necessary for the review and evaluation of a proposal must be contained within the proposal within the specified page counts. No other material will be provided to those evaluating proposals.

An initial review of the proposals will be conducted to ensure compliance with the requirements of this PA. Failure to comply with the requirements of the PA may result in a proposal receiving no further consideration for award.

Proposals that are in compliance with the requirements of the PA will be evaluated in accordance with the evaluation factors described above using an adjectival and color rating system.

Award will be based on an integrated assessment of each Applicant's ability to satisfy the PA requirements based on the evaluation described above. The Government reserves the right to award without discussions. If discussions are held, those Applicants with which the Government has discussions will be invited to submit Proposal Revisions which will be evaluated using the same evaluation procedures as were used in the initial proposals. The Government will make award to the Applicant, conforming to the PA, which offers the best value to the Government, cost and other factors considered. Further, award may be made to other than an Applicant who offers the lowest cost proposal. ARI reserves the right not to make an award should no acceptable proposal be received.

3. Recipient Qualification:

2 CFR PART 200 - FEDERAL AWARDEE PERFORMANCE AND INTEGRITY REPORTING SYSTEM:

In accordance with 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, concerning grants, cooperative agreements, and TIAs.

1. If the total Federal share will be greater than the simplified acquisition threshold on any Federal award under a notice of funding opportunity (see §200.88 Simplified Acquisition Threshold):
 - a. The Federal awarding agency, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, 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 Federal awarding agency 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 §200.205 Federal awarding agency review of risk posed by applicants.

2. If the total Federal share exceeds \$500,000.00 on any Federal award under a notice of funding opportunity, the post-award reporting requirements reflected in Appendix XII to Part 200 of Title 2 CFR will be included in the award document. This requirement also applies to modifications of awards that: 1) increase the scope of the award, 2) are issued on or after January 1, 2016, and 3) increase the federal share of the award's total value to an amount that exceeds \$500,000.00.

4. Anticipated Announcement and Award Dates: See Overview of the Funding Opportunity and Program

F. FEDERAL AWARD ADMINISTRATION INFORMATION:

1. Federal Award Notices:

Should your proposal be selected for award, you will be contacted telephonically or via e-mail by the Grants Officer (award is not made until the cooperative agreement is signed by both the successful Applicant and the Grants Officer).

2. Administrative and National Policy Requirements:

Applicants must comply with National Policy Requirements Matrix Appendix "C" found at <http://www.nsf.gov/bfa/dias/policy/rtc/appc.pdf>.

Applicants must comply with DoD requirements for research involving human subjects:

(a) *Definitions.* As used in this clause—

(1) *Assurance of compliance* means a written assurance that an institution will comply with requirements of 32 CFR Part [219](#), as well as the terms of the assurance, which the Human Research Protection Official determines to be appropriate for the research supported by the Department of Defense (DoD) component (32 CFR [219.103](#)).

(2) *Human Research Protection Official (HRPO)* means the individual designated by the head of the applicable DoD component and identified in the component's Human Research Protection Management Plan as the official who is responsible for the oversight and execution of the requirements of this clause, although some DoD components may use a different title for this position.

(3) *Human subject* means a living individual about whom an investigator (whether professional or student) conducting research obtains data through intervention or interaction with the individual, or identifiable private information (32 CFR [219.102\(f\)](#)). For example, this could include the use of human organs, tissue, and body fluids from individually identifiable living human subjects as well as graphic, written, or recorded information derived from individually identifiable living human subjects.

(4) *Institution* means any public or private entity or agency (32 CFR [219.102\(b\)](#)).

(5) *Institutional Review Board (IRB)* means a board established for the purposes expressed in 32 CFR Part [219](#) (32 CFR [219.102\(g\)](#)).

(6) *IRB approval* means the determination of the IRB that the research has been reviewed and may be conducted at an institution within the constraints set forth by the IRB and by other institutional and Federal requirements (32 CFR [219.102\(h\)](#)).

(7) *Research* means a systematic investigation, including research, development, testing, and evaluation, designed to develop or contribute to generalizable knowledge. Activities that meet this definition constitute research for purposes of 32 CFR Part [219](#), whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities (32 CFR [219.102\(d\)](#)).

(b) The Contractor shall oversee the execution of the research to ensure compliance with this clause. The Contractor shall comply fully with 32 CFR Part [219](#) and DoD Directive 3216.02, applicable DoD component policies, [10 U.S.C. 980](#), and, when applicable, Food and Drug Administration policies and regulations.

(c) The Contractor shall not commence performance of research involving human subjects that is covered under 32 CFR Part [219](#) or that meets exemption criteria under 32 CFR [219.101\(b\)](#), or expend funding on such effort, until and unless the conditions of either the following paragraph (c)(1) or (c)(2) have been met:

(1) The Contractor furnishes to the HRPO, with a copy to the Contracting Officer, an assurance of compliance and IRB approval and receives notification from the Contracting Officer that the HRPO has approved the assurance as appropriate for the research under the Statement of Work and also that the HRPO has reviewed the protocol and accepted the IRB approval for compliance with the DoD component policies. The Contractor may furnish evidence of an existing assurance of compliance for acceptance by the HRPO, if an appropriate assurance has been approved in connection with previous research. The Contractor shall notify the Contracting Officer immediately of any suspensions or terminations of the assurance.

(2) The Contractor furnishes to the HRPO, with a copy to the Contracting Officer, a determination that the human research proposed meets exemption criteria in 32 CFR [219.101\(b\)](#) and receives written notification from the Contracting Officer that the exemption is determined acceptable. The determination shall include citation of the exemption category under 32 CFR [219.101\(b\)](#) and a rationale statement. In the event of a disagreement regarding the Contractor's furnished exemption determination, the HRPO retains final judgment on what research activities or classes of research are covered or are exempt under the contract.

(d) DoD staff, consultants, and advisory groups may independently review and inspect the Contractor's research and research procedures involving human subjects and, based on such findings, DoD may prohibit research that presents unacceptable hazards or otherwise fails to comply with DoD procedures.

(e) Failure of the Contractor to comply with the requirements of this clause will result in the issuance of a stop-work order under Federal Acquisition Regulation clause 52.242-15 to immediately suspend, in whole or in part, work and further payment under this contract, or will result in other issuance of suspension of work and further payment for as long as determined necessary at the discretion of the Contracting Officer.

(f) The Contractor shall include the substance of this clause, including this paragraph (f), in all subcontracts that may include research involving human subjects in accordance with 32 CFR Part [219](#), DoD Directive 3216.02, and [10 U.S.C. 980](#), including research that meets exemption criteria under 32 CFR [219.101\(b\)](#). This clause does not apply to subcontracts that involve only the use of cadaver materials.

Required Certifications:

32 CFR PART 28 - CERTIFICATION AT APPENDIX A REGARDING LOBBYING:

Awards greater than \$100,000.00 require a certification of compliance with a national policy mandate concerning lobbying. Statutes and Government-wide regulations require the certification to be submitted prior to award. The certification is set forth at Appendix A to 32 CFR 28 regarding lobbying. When submitting a grant or cooperative agreement proposal through Grants.gov, by completing blocks 18 and 19 of the Standard Form 424 Research and Related (R&R) Form, the applicant is providing the certification on lobbying required by 32 CFR Part 28. Otherwise, a copy of the certification signed by the authorized representative must be provided. Below is the required certification:

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000.00 and not more than \$100,000.00 for each such failure.

**REPRESENTATIONS UNDER DOD ASSISTANCE AGREEMENTS:
APPROPRIATIONS PROVISIONS ON TAX DELINQUENCY AND FELONY
CONVICTIONS**

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

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

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

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

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

**PROHIBITION ON USING FUNDS UNDER GRANTS AND COOPERATIVE
AGREEMENTS WITH ENTITIES THAT REQUIRE CERTAIN INTERNAL
CONFIDENTIALITY AGREEMENTS**

A. The Recipient may not require 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 them 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.

B. The Recipient must notify its employees, contractors, or subrecipients that the prohibitions and restrictions of any internal confidentiality agreements inconsistent with paragraph (a) of this award provision are no longer in effect.

C. The prohibition in paragraph (a) of this award provision does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

D. If the Government determines that the Recipient is not in compliance with this award provision, it:

1. Will prohibit the Recipient's use of funds under this award, in accordance with section 743 of Division E of the Consolidated and Further Continuing Resolution Appropriations Act, 2015, (Pub. L. 113-235) or any successor provision of law; and

2. May pursue other remedies available for the recipient's material failure to comply with award terms and conditions.

32 CFR PART 216 - MILITARY RECRUITING AND RESERVE OFFICER TRAINING CORPS PROGRAM ACCESS TO INSTITUTIONS OF HIGHER EDUCATION:

"As a condition for receipt of funds available to the Department of Defense (DOD) under this award, the recipient agrees that it is not an institution of higher education (as defined in 32 CFR part 216) that has a policy of denying, and that it is not an institution of higher education that effectively prevents, the Secretary of Defense from obtaining for military recruiting purposes: (A) entry to campuses or access to students on campuses or (B) access to directory information pertaining to students. If the recipient is determined, using the procedures in 32 CFR part 216, to be such an institution of higher education during the period of performance of this agreement, and therefore to be in breach of this clause, the Government will cease all payments of DOD funds under this agreement and all other DOD grants and cooperative agreements to the recipient, and it may suspend or terminate such grants and agreements unilaterally for material failure to comply with the terms and conditions of award."

2 CFR §180.335 DISCLOSING INFORMATION- PRIMARY TIER PARTICIPANTS

Before you enter into a covered transaction at the primary tier, you as the participant must notify the Federal agency office that is entering into the transaction with you, if you know that you or any of the principals for that covered transaction:

(a) Are presently excluded or disqualified;

(b) Have been convicted within the preceding three years of any of the offenses listed in §180.800(a) or had a civil judgment rendered against you for one of those offenses within that time period;

(c) Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses listed in §180.800(a); or

(d) Have had one or more public transactions (Federal, State, or local) terminated within the preceding three years for cause or default.

2 CFR §180.355 DISCLOSING INFORMATION- LOWER TIER PARTICIPANTS

Before you enter into a covered transaction with a person at the next higher tier, you as a lower tier participant must notify that person if you know that you or any of the principals are presently excluded or disqualified.

3. Reporting:

The following reporting requirements will be included in any resulting CA award:

a. Monthly Performance and Cost Report

The report will account for all finances, accrued and disbursed, during the reporting period under the CA. This report will include a summary of hours worked, receipts and disbursements, travel, and other benefits for each of the Fellows. The report will also include and sum administrative costs, with separate reporting for travel for administration of the ARI RFP and research space outside of federal facilities.

Semi-annually, the Recipient will provide a report containing a listing of Fellows added to the program, departing from the program, and continuing in the program as of the report date. Furthermore, the Recipient will include in this listing or in a separate listing the sum of all costs associated with each of these Fellows in order that the expenses associated with each may be known (e.g. stipends, travel expenses, medical benefits, and all other costs that can be attributable to each Fellow). This report will also include a listing of candidates considered for but not appointed to Fellowship.

The Recipient shall make electronic distribution of the Monthly Performance and Cost Report as follows:

- Cooperative Agreement Manager - 1 copy;
- Agreement Administration Office - 1 copy, and the
- Grants Officer - 1 copy of the letter of transmittal only.

b. Joint Papers and Presentations

Periodic joint papers and presentations may be given. Copies of all such papers and presentations shall be provided to the CAM.

c. Journal Articles

Journal articles in general and joint ARI/Recipient/Fellows journal articles are strongly encouraged as a reporting mechanism for the research effort. Publications resulting from research conducted as part of the ARI RFP shall also be uploaded into the Defense Technical Information Center (DTIC).

d. Annual and Final Reports

The Recipient shall submit Annual Reports and a Final Report for the CA of all activity under the program. This report will summarize the monthly reports and highlight all activities under the CA. The report will also provide an accounting of all Federal funds expended during the term of the Agreement. With the approval of the CAM, reprints of published articles may be attached to the Final Report. The Recipient shall also submit Annual Reports for each Fellow summarizing activities, listing publications and papers resulting from their research, ARI Mentor, title of research project(s), and an accounting of all Federal Funds expended during the term of the Fellow.

The Recipient shall make distribution of the Annual Reports and Final Report as follows:

- Cooperative Agreement Manager - 1 original plus 1 copy;
- Agreement Administration Office - 1 copy, and the
- Grants Officer - 1 copy of the letter of transmittal only.

One (1) copy of the Final Report shall be provided to:
Defense Technical Information Center (DTIC)
8725 John J. Kingman Road, Suite 0944
Ft. Belvoir, VA 22060-6218.

e. Financial Reporting: Federal Financial Report (SF 425): Annual and Final Reports

Reporting period end dates fall on the end of the federal fiscal year for annual reports (9/30) and the end date of the CA for the final report. Annual reports are due 30 days after the reporting period end date, and the final report is due 90 days after the end date of the CA.

All financial reports shall be submitted to the Grant Administration Office. Copies of the forms and instructions may be found on the Internet at <http://www.aro.army.mil/forms/forms2.htm>.

The Recipient shall make distribution of the Annual and Final (SF425) Reports as follows:

- Cooperative Agreement Manager - 1 original plus 1 copy;
- Agreement Administration Office - 1 copy

Note: The SF 425 is a single form that consolidates and replaces the Federal Cash Transaction Report (FACTOR or SF 272/SF 272A) and the Financial Status Report (FSR or SF 269/SF 269A).

G. FEDERAL AWARDING AGENCY CONTACTS:

Questions or comments concerning this PA will be directed in writing to Ms. Maria Nelson by e-mail at maria.d.nelson.civ@mail.mil. All e-mails will include the PA number “W911NF-16-R-0008” in the subject line. Questions and comments should be concise and to the point. In addition, the relevant part and paragraph of the PA should be referenced. Government responses to questions received will be responded to via e-mail. **Questions must be submitted no later than 18 March 2016** in order for the Government to have time to respond prior to the due date for submission under this PA.

H. OTHER INFORMATION: NOT APPLICABLE