

# **BROAD AGENCY ANNOUNCEMENT**

## **OVERVIEW INFORMATION**

The Air Force Office of Scientific Research manages the basic research investment for the U.S. Air Force. Conferences and workshops constitute key forums for research and technology interchange. We provide partial support for conferences and workshops as defined in the DoD Joint Travel Regulations in special areas of science that bring experts together to discuss recent research or educational findings, or to expose other researchers or advanced graduate students to new research and educational techniques in our areas of research interest. Our research interests are described in the most recent version of our general Broad Agency Announcement titled, "Research Interests of the Air Force Office of Scientific Research" posted on Grants.gov.

We can only consider funding requests from U.S. institutions of higher education (IHE) or nonprofit organizations as described in 2 CFR 25.345, including foreign public entities and foreign organizations operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest. We do not award grants to organizations with a for-profit organization type.

Our support for a workshop or conference is not an endorsement of any organization.

Our financial support through grants for conferences and workshops is dependent on the availability of funds, Program Officer's discretion, and certain other restrictions as described in the full announcement.

## **SUMMARY FUNDING OPPORTUNITY INFORMATION**

### **1. FEDERAL AWARDING AGENCY NAME**

Air Force Office of Scientific Research  
875 North Randolph Street, STE 325, Room 3112  
Arlington, VA 22203

### **2. FUNDING OPPORTUNITY TITLE**

Air Force Defense Research Sciences Conference and Workshop Support

### **3. ANNOUNCEMENT TYPE**

Amendment 0006

### **4. ANNOUNCEMENT NUMBER**

BAA-AFRL-AFOSR-2016-0008

### **5. CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER**

12.800 Air Force Defense Research Sciences Program

### **6. KEY DATES**

Proposals must be submitted at least six (6) months prior to the conference or workshop start date to be considered. This announcement remains open until superseded or closed. We review and evaluate proposals as they are received. You may submit proposals at any time.

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## A. PROGRAM DESCRIPTION

The Air Force Office of Scientific Research manages the basic research investment for the U.S. Air Force. Conferences and workshops constitute key forums for research and technology interchange. We provide partial support for conferences and workshops as defined in the DoD Joint Travel Regulations in special areas of science that bring experts together to discuss recent research or educational findings, or to expose other researchers or advanced graduate students to new research and educational techniques in our areas of research interest. Our research interests are described in the most recent version of our general Broad Agency Announcement titled, “[Research Interests of the Air Force Office of Scientific Research](#)” posted on Grants.gov. You may access this announcement at [http://www.grants.gov/web/grants/search-grants.html?keywords=BAA-AFRL-AFOSR\\*](http://www.grants.gov/web/grants/search-grants.html?keywords=BAA-AFRL-AFOSR*).

We can only consider funding requests from U.S. institutions of higher education (IHE) or nonprofit organizations as described in 2 CFR 25.345, including foreign public entities and foreign organizations operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest. We do not award grants to organizations with a for-profit organization type.

Our support for a workshop or conference is not an endorsement of any organization.

Our financial support through grants for conferences and workshops is dependent on the availability of funds, Program Officer’s discretion, and certain other restrictions including:

- Conference or workshop subject matter must be scientific, technical, or involve professional issues that are relevant to our mission of managing the U.S. Air Force basic research program
- Dissemination of research results from work we fund to relevant scientific and technical audiences
- Transfer of Federally developed technology or technology developed using Federal funding to the private sector or to stimulate wider interest and inquiry into the relevant scientific, technical, or professional issues relevant to our mission

Proposals for conference or workshop support should be submitted a minimum of six (6) months prior to the date of the conference or workshop. We cannot make an award after the conference start date, even if you submitted your proposal earlier.

## B. FEDERAL AWARD INFORMATION

All applications received under this announcement will be considered applications for new awards, including any application marked renewal. Awards may start any time during the year. The actual start date is determined at the time of award, and may be different than the date you propose. We cannot award a grant for conference or workshop support after the event has started. We may not be able to consider an application submitted less than six months prior to the start date of the conference or workshop.

Awards are made under the authority of [10 U.S.C. 4001](#) in the form of grants, cooperative agreements, or contracts. We rely on discretionary appropriated funds for this program. We can only make awards if enough funds are made available. We select what kind of award instrument we can use based on requirements in the Federal Grant and Cooperative Agreement Act 31 U.S.C. 6301 – 31 U.S.C. 6308. Awards may take the form of contracts, grants, cooperative

agreements, technology investment agreements and other transaction agreements as appropriate.

A grant or cooperative agreement award may be made to U.S. institutions of higher education (IHE) or nonprofit organizations as described in 2 CFR 25.345, including foreign public entities and foreign organizations operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest.

We will only consider providing support for conferences or workshops in our areas of research interest. We reserve the right to select and fund for award all, some, part, or none of the proposals received in response to this announcement. There is no guarantee of an award.

## **C. ELIGIBILITY INFORMATION**

### **1. ELIGIBLE APPLICANTS**

Only some organizations are eligible to submit proposals for conference or workshop support. We can consider conference or workshop funding requests from [U.S. institutions of higher education \(IHE\)](#) or nonprofit organizations as described in [2 CFR 25.345](#), including [foreign public entities](#) and [foreign organizations](#) operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest.

Conference or workshop funding support is not available to commercial organizations. DoD Instruction 5410.20, “*Public Affairs Relations with Business and Nongovernmental Organizations Representing Business*” prohibits co-sponsorship of conferences and workshops with commercial concerns.

#### **HBCU/MI, Tribal College and University Proposals Encouraged**

Historically Black Colleges and Universities and Minority institutions (HBCU/MI) as defined by 10 U.S.C. 2323, Tribal Colleges and Universities, and HBCU/MI affiliated medical centers are encouraged to submit conference or workshop proposals, and join others in submitting proposals. However, no funds under this announcement are reserved or otherwise set-aside for any specific entity type.

#### **Eligibility Notice for All Applicants**

We review your application, proposal, and Office of Management and Budget (OMB) designated repositories of government-wide public and non-public data, including comments you have made, as required by 31 U.S.C. 3321 and 41 U.S.C. 2313 and described in [2 CFR 200.205](#) and [32 CFR 22.410](#) to assess risk posed by applicants, and confirm applicants are qualified, responsible, and eligible to receive an award. If we cannot determine you or your organization qualified and responsible, you are not eligible to receive an award.

## 2. COST SHARING

We do not require mandatory or committed cost sharing for proposals under this announcement. Cost sharing is not an evaluation or selection criterion. However, our funding is limited to partial support only. You must document estimates of sources of voluntary uncommitted cost share for conference or workshop costs as described further in section [D.3.f. Project Narrative](#).

## 3. OTHER

### a. Acknowledgement of Support and Disclaimer Requirements

You must include the [F.3.d. Acknowledgement of Research Support](#) on all materials created or produced under our awards.

You must include the [F.3.e. Disclaimer Language](#) on materials as required.

Our award document may provide additional instructions about specific distribution statements to use when you provide research materials to us.

You must not use our agency logo without our advance permission. If you would like to use our logo, the Grants Officer can forward your request to our public affairs department. If use is approved, you will receive additional instructions and image files as necessary.

You are not eligible to submit a proposal if you cannot accept these terms.

## D. APPLICATION AND SUBMISSION INFORMATION

### 1. ADDRESS TO REQUEST APPLICATION PACKAGE

All the application forms you need are available electronically on [Grants.gov](#). From the “View Grant Opportunity” page, you can click on the “Application Package” tab to download the application package.

You can find the electronic application package on [Grants.gov](#) by searching for the announcement number shown on page one or by using this link:

<http://www.grants.gov/web/grants/search-grants.html?keywords=BAA-AFRL-AFOSR-2016-0008>. We will not issue paper copies of this announcement.

*If you have any special accessibility requirements, please contact us at [afosr.baa@us.af.mil](mailto:afosr.baa@us.af.mil) to request a reasonable accommodation.*

### 2. CONTENT AND FORM OF APPLICATION SUBMISSION

**a. Pre-proposal Inquiries and Questions**

If you need help with technical matters, you should email the Program Officer listed for your topic of interest in our most recent general Broad Agency Announcement titled, “[Research Interests of the Air Force Office of Scientific Research](#)” posted on Grants.gov. You may access this announcement at [http://www.grants.gov/web/grants/search-grants.html?keywords=BAA-AFRL-AFOSR\\*](http://www.grants.gov/web/grants/search-grants.html?keywords=BAA-AFRL-AFOSR*).

If you have general questions about this announcement or administrative matters, you must submit your question in writing by email to the contact listed in section [G.2. General Inquiries and Questions](#).

*The Program Officer does not have the authority to make commitments for us. Grants and Contracting Officers acting within their warranted capacity are the only people authorized to make commitments for the Government.*

**b. The Application as a Whole**

You must submit your proposal electronically through Grants.gov. We will not accept or evaluate any proposal submitted by any means other than through Grants.gov.

You must use the electronic Standard Form (SF) 424 Research and Related (R&R) Form Family, OMB Number 4040-0001. The SF 424 (R&R) Application for Federal assistance form must be your cover page. No pages may precede the SF 424 (R&R).

You must mark your application with the announcement number.

**A summary of what is required for a complete proposal is summarized below:**

- We require the forms and attachments in bold text with all applications
- *Some applications* require the attachments in *italic*
- We provide more instructions in [D.3. Component Pieces of the Application](#)

<b>R&amp;R FORM, OMB No. 4040-0001</b>	<b>FIELD ATTACHMENT</b>
<b>SF 424 (R&amp;R) Application for Federal Assistance, including an authorized signature</b>	<b>18. <i>SFLLL Disclosure of Lobbying Activities</i></b>
<b>R&amp;R Other Project Information Form</b>	<b>7. Project Summary / Abstract</b>
	<b>8. Project Narrative</b>
	<b>9. Bibliography &amp; References Cited</b>
	<b>12. Other Attachments</b>
<b>R&amp;R Senior / Key Person Profile Form</b>	<b>Biographical Sketch</b>

R&R FORM, OMB No. 4040-0001	FIELD	ATTACHMENT
R&R Budget Form		Budget Justification
R&R Project / Performance Site Locations Form		None
<i>R&amp;R Personal Data (Optional)</i>		None

The SF 424 (R&R) must include the signature of an authorized representative from your organization. The signature is affixed electronically by [Grants.gov](http://Grants.gov) upon submission. This signature is considered the signature for the application as a whole.

**c. Proposal Format**

- Paper Size – 8.5 x 11-inch paper
- Margins – 1 inch
- Spacing – 1, 1.5, or 2.0 line spacing
- Font – Times New Roman or Garamond, 10, 11, or 12 point
- Page Limitation – None, although unnecessarily elaborate or lengthy proposals are not desirable
- Attachments – Electronic Portable Document Format (PDF)
- Content – As described below

**d. Proposal Length**

We do not limit the length of your proposal for this competition; however, you must not include elaborate brochures, reprints, or presentations beyond those sufficient to present a complete and effective proposal.

**e. No Confidential or Proprietary Information Allowed**

You must not include any confidential or proprietary information in your proposal. We will not evaluate any proposal for conference or workshop support that includes any confidential or proprietary information.

**f. Electronic Form and Proposal Attachments**

Your application and proposal attachments must be in electronic file formats. You should use the Portable Document Format (PDF) for your attachments.

DO NOT password protect any attachments.

The website <http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html> provides additional important instructions.

**g. Advance Preparation for Electronic Submission through Grants.gov**

Your proposal must be submitted electronically through [Grants.gov](http://Grants.gov). Your organization must complete several one-time actions before electronic submission. Registration with [Grants.gov](http://Grants.gov) may take up to twenty-one (21) days.

You should verify that the person authorized to submit proposals for your organization has completed [Grants.gov](http://Grants.gov) registration well in advance of the submission



deadline. Grants.gov electronic proposal submissions cannot be accomplished before your organization is fully registered.

- (1) A [Grants.gov](http://www.grants.gov/web/grants/learn-grants/grants-101/getting-started-checklist.html) getting started checklist is available at:  
<http://www.grants.gov/web/grants/learn-grants/grants-101/getting-started-checklist.html>.
- (2) Guidance for registering with [Grants.gov](http://www.grants.gov) as an organization may be found at:  
<http://www.grants.gov/web/grants/applicants/organization-registration.html>.
- (3) Questions relating to the Grants.gov registration process, system requirements, how an application works, or the proposal submittal process can be answered by email at [support@grants.gov](mailto:support@grants.gov), telephone at (800) 518-4726 or (606) 545-5035, or at <http://www.grants.gov/web/grants/support.html>.
- (4) An active System for Award Management (SAM) registration and an active Dun and Bradstreet Data Universal Numbering System (DUNS) number are required to register through [Grants.gov](http://www.grants.gov). Section [D.5](#) provides more information.

By April of 2022, the federal government will stop using the DUNS number to uniquely identify entities registered in the System for Award Management (SAM). At that point, entities doing business with the federal government will use a Unique Entity Identifier (UEI) created in SAM.gov. They will no longer have to go to a third-party website to obtain their identifier. Active registrants will have their UEI assigned and viewable within SAM.gov; there is no action for registered entities to take at this time.

This transition allows Federal Agencies to streamline the entity identification and validation process, making it easier and less burdensome for entities to do business with the federal government.

For more detailed instructions for obtaining a UEI number, refer to:  
<https://sam.gov/content/entity-registration>.

### **3. COMPONENT PIECES OF THE APPLICATION**

#### **a. SF 424 (R&R) Application for Federal Assistance**

The SF 424 (R&R) Application for Federal assistance form must be your cover page. No pages may precede the SF 424 (R&R).

Complete all required fields in accordance with the “pop-up” instructions on the SF 424 (R&R) form. The completion of most fields is self-explanatory. You can turn on Grants.gov “Help Mode” to provide additional instructions for forms. “Help Mode” is turned on by the icon with the pointer and question mark at the top of the form.

We have special instructions for completion of several SF 424 (R&R) form fields in your application. Our instructions are:

FIELD	INSTRUCTION
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2. You may leave “Applicant Identifier” blank

3.	You may leave “Date Received by State” and “State Application Identifier” blank
9.	You must list Air Force Office of Scientific Research as the reviewing agency if Grants.gov has not pre-populated this answer
16.	You should check “No.” and “Program is Not Covered by Executive Order 12372”
17.	<p>By checking "I Agree" on the SF 424 (R&amp;R) block 17 you agree to abide by the following statement: "By signing this application, I certify the proposing entity is in compliance with Section 223(a) of the William M. (Mac) Thornberry National Defense Authorization Act for Fiscal Year 2021 which requires that: (a) the PI and other key personnel certify that the current and pending support provided on the proposal is current, accurate and complete; (B) agree to update such disclosure at the request of the agency prior to the award of support and at any subsequent time the agency determines appropriate during the term of the award; and (c) the PI and other key personnel have been made aware of the requirements under Section 223(a)(1) of this Act. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. code, Title 18, Section 1001)."</p> <ul style="list-style-type: none"> <li>Provide the certification regarding lobbying that is required by <a href="#">31 U.S.C. 1352</a> as implemented by DoD in <a href="#">32 CFR Part 28</a>. <i>The full text of this certification may be found at <a href="http://www.wpafb.af.mil/shared/media/document/AFD-070817-127.pdf">http://www.wpafb.af.mil/shared/media/document/AFD-070817-127.pdf</a> or we will provide you a copy if you ask for one.</i></li> <li>Certify that all statements in the proposal, your Representation for Tax Delinquency, Felony Conviction, and Internal Confidentiality Agreements are true, complete, and accurate to the best of your knowledge. <i>See section <a href="#">F.3. Administrative and National Policy Requirements</a> for more information and links to the full text of these items.</i></li> </ul>
18.	You may have to attach the completed <a href="#">D.3.c. SFLLL Disclosure of Lobbying Activities</a> if you have lobbying activity that you must disclose.

**b. SFLLL Disclosure of Lobbying Activities**

*When required, attach this disclosure to field 18 of the R&R Other Project Information Form.*

If you have lobbying activity that you must disclose under [31 U.S.C. 1352](#) as implemented by the DoD at [32 CFR Part 28](#), you must attach the completed [SFLLL Disclosure of Lobbying Activities](#). You can find instructions for completing this form at <http://www.whitehouse.gov/sites/default/files/omb/grants/sflllin.pdf>.

**c. R&R Other Project Information Form**

*Complete this form as indicated. You must include all necessary attachments.*

FIELD	INSTRUCTION
1, 1a.	You must address all prospective human subject involvement by answering
FIELD	INSTRUCTION
	these questions. We will not consider any application for conference or workshop support that requires evaluation or approval of a human use or involvement protocol.
2, 2a.	You must address all prospective animal subject and/or recombinant deoxyribonucleic acid (rDNA) involvement by answering these questions. We will not consider any application for conference or workshop support that requires evaluation or approval of with animal or rDNA use or involvement protocol.
4a.	For any proposal that has an actual or potential impact on the environment, answer yes and provide the answers and attachments required for fields 4b, 4c, and 4d. Additional documentation in accordance with National Policy and U.S. Air Force standards is required for any proposal with an actual or potential impact on the environment. We will not consider any application for conference or workshop support that requires any form of environmental impact study.
7.	Attach your <a href="#">D.3.e. Publicly Releasable Abstract</a>
8.	Attach your <a href="#">D.3.f. Project Narrative</a>
9.	Attach your <a href="#">D.3.g. Bibliography and References Cited</a> if necessary
10.	Attach a Facilities and Other Resources description document here if you need to supplement your <a href="#">D.3.f. Proposal Narrative</a> facilities and resources section.

#### **d. Publicly Releasable Project Summary / Abstract**

*You must attach the Project Summary / Abstract to field 7 of the R&R Other Project Information form.*

You must provide a concise abstract of 300 words or less with your proposal. You must mark this abstract publically releasable. We will deem your abstract publicly releasable even if you do not mark it publically releasable. Your abstract should use terms the public can understand to describe the research objective, technical approach, anticipated outcome, and potential impact of the specific research.

Your abstract header should include the Program Officer's name and office symbol from section [G.1. Technical Inquiries and Questions](#) below.

If you receive an award, we must publish your abstract to a [searchable website](#) available to the general public in accordance with [Public Law 113-235](#). The website address is <https://dodgrantawards.dtic.mil/grants/#/home>.

#### **e. Project Narrative**

*You must attach the Project Narrative to field 8 of the R&R Other Project Information Form. The narrative must be complete and self-contained to qualify for review.*

There are special requirements for conference and workshop funding proposals. The

technical information section below replaces section [D.3.f. Project Narrative](#) instructions for conference and workshop proposals, and supplements other referenced sections. The cost information section supplements section [D.3. Component Pieces of the Application](#).

Your proposal must contain the following elements:

(1) Technical Information

- (a) Summary and objective(s) of the conference or workshop
- (b) Topic(s) covered and your description of how these topic(s) are relevant to our mission of managing the U.S. Air Force basic research program
- (c) Explanation of relationship to one or more research topics identified in our most recent general Broad Agency Announcement titled, “[Research Interests of the Air Force Office of Scientific Research](#)” posted on Grants.gov. You may access this announcement at [http://www.grants.gov/web/grants/search-grants.html?keywords=BAA-AFRL-AFOSR\\*](http://www.grants.gov/web/grants/search-grants.html?keywords=BAA-AFRL-AFOSR*).
- (d) Chairperson or principal investigator, including biographical information on the [D.3.h. R&R Senior / Key Person Profile Form](#).
- (e) List of proposed participants and method or copies of the announcement or invitation

(2) Cost Information

Not having enough information in your conference or workshop support proposal to understand if your costs are [allowable, allocable, reasonable](#), and realistic is the most common reason awards are delayed. We encourage you to take special care in developing your cost proposal to minimize processing delays.

- (a) Section [D.3.i R&R Budget Form](#)
- (b) Section [D.3.j. Budget Justification](#) that breaks down and explains how Air Force funds will be spent in enough detail for us to determine your costs are allowable, allocable, and reasonable. Costs must be itemized.
- (c) Narrative and tabular description of total conference or workshop cost by major cost element
- (d) Anticipated sources of conference or workshop income, and an estimated amount from each source

The [2 CFR 200, Subpart E – Cost Principles](#) and General Provisions for Selected Items of Cost in [2 CFR 200.420 through 2 CFR 200.475](#) may be helpful as you prepare your proposal.

**f. Bibliography and References Cited**

*You may attach your narrative Bibliography and References to field 9 of the R&R Other Project Information Form as necessary to support your proposal. If you are not sure if you need to include this attachment, please contact the Program Officer for the research area to make sure.*

**g. R&R Senior / Key Person Profile (Expanded) Form**

*You must attach a short biographical sketch and list of significant publications (vitae) for each Senior / Key Person.*

You must list all key persons on the R&R Senior/Key Person Profile Form. We use this information to evaluate your qualifications with respect to the conference or workshop topic area.

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

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

**h. R&R Budget Form**

You must provide all information requested. You must estimate the total research project cost. You must categorize funds by year and provide separate annual budgets for projects lasting more than one year. A [budget justification](#) must be attached.

You must include enough budget related information in your proposal to support your costs as [reasonable](#) and realistic, and in compliance with [2 CFR 200 Subpart E - Cost Principles](#).

*Not having enough information in your proposal to understand if your costs are reasonable and realistic is the most common reason awards are delayed.*

**i. Budget Justification**

You must provide a detailed budget justification that clearly explains the need for each item of cost. The entire budget justification and supporting documentation must be combined into a single file and attached to field K of the R&R Budget Form.

- (1) All cost elements you request support for must be itemized.
- (2) Indicate what your costs are based on, such as vendor quotes, historical data and/or estimates. You should include vendor quotes, catalog pricing data, or other documentation to support all costs you ask us to fund.
- (3) If you use a Government rate agreement to propose indirect cost rates and/or fringe benefit rates, you should attach a copy of the agreement you used.
- (4) Helpful Cost Principle Reference Information
  - (a) Grant Applicants
    - (i) [2 CFR 200, Subpart E – Cost Principles](#)

(ii) General Provisions for Selected Items of Cost in [2 CFR 200.420 through 2 CFR 200.475](#)

**j. R&R Project / Performance Site Locations Form**

You must complete all information as requested. The site of the conference or workshop is the principal performance location. You must include the ZIP+4 for each performance location you list.

**k. R&R Personal Data Form (Optional)**

You can decide if you want to include the R&R Personal Data form with your proposal. We use this form to understand demographic information about senior and key persons identified in applications. We do not consider information on this form as part of our evaluation or selection process.

**4. INFORMATION YOU MUST SUBMIT IF SELECTED FOR POSSIBLE AWARD**

We may request additional necessary information from you during negotiations, or as required for award considerations. You must respond promptly, providing enough time for us to evaluate your responses and make an award decision.

If you not fully comply with our information requests by the time we are ready to make an award, we may determine that you are not qualified to receive an award and use that determination as a basis for making an award to another applicant.

Foreign recipients must complete a payment information form to receive wire transfer payments.

**5. DATA UNIVERSAL NUMBERING SYSTEM (DUNS), UNIQUE ENTITY IDENTIFIER (UEI), CAGE, AND SYSTEM FOR AWARD MANAGEMENT (SAM)**

**a. SAM Registration Required**

As required in [2 CFR 25.110](#) all applicants, unless exempted, must:

- (1) Be registered in [SAM.gov](#) before submitting its application;
- (2) Provide a valid DUNS OR UEI; and
- (3) Continue to maintain an active SAM registration with current information at all times any Federal award is active, or any application is under consideration by a Federal awarding agency.

By April of 2022, the federal government will stop using the DUNS number to uniquely identify entities registered in the System for Award Management (SAM). At that point, entities doing business with the federal government will use a Unique Entity Identifier (UEI) created in SAM.gov. They will no longer have to go to a third-party website to obtain their identifier. Active registrants will have their UEI assigned and viewable within SAM.gov; there is no action for registered entities to take at this time.

This transition allows Federal Agencies to streamline the entity identification and

validation process, making it easier and less burdensome for entities to do business with the federal government. For more detailed instructions for obtaining a UEI number, refer to: <https://sam.gov/content/entity-registration>

A Commercial and Government Entity (CAGE) code is obtained or specified as part of the SAM registration process. A CAGE code is required.

**b. SAM Exemption or Exceptions Not Available Under This Announcement**

We will not issue an Agency level exemption to SAM registration under [2 CFR 25.110\(d\)\(1\)](#) for applicants under this announcement.

You must comply with SAM registration requirements and include a DUNS, UEI, or CAGE code on your application or we cannot make an award.

**c. Questions about SAM Registrations and Updates**

You can get questions about SAM registration and entity updates answered by live chat at <https://www.fsd.gov/fsd-gov/home.do> and telephone at (866) 606-8220 or (324) 206-7828. Top help topics for [SAM.gov](#) are available at [https://www.fsd.gov/fsd-gov/learning-center-system.do?sysparm\\_system=SAM](https://www.fsd.gov/fsd-gov/learning-center-system.do?sysparm_system=SAM).

**d. Consequences of Non-Compliance with SAM Registration Requirements**

We cannot make an award to you unless you comply with SAM requirements. If you are non-compliant, we may determine you are not qualified to receive an award, and use that determination to make an award to someone else as authorized by [2 CFR 25.205\(b\)](#). You cannot receive payments without an active SAM record and CAGE.

**6. SUBMISSION DATES AND TIMES**

**a. Proposal Submission**

This announcement remains open until superseded or closed. We review and evaluate proposals as they are received. You may submit proposals at any time; however, you must submit your proposal at least six (6) months prior to the start date of the conference or workshop.

**b. How Proposal Submission Time is Determined**

We use the system-generated Grants.gov time stamp to determine when you submitted your successfully validated proposal and the announcement your submission was associated with. Grants.gov policies and procedures for application submission and processing apply. We will only accept applications submitted electronically through Grants.gov.

**c. Grants.gov Tracking Number is Application Receipt**

Grant.gov generates a confirmation page when you submit your application. A second confirmation is provided by email when your application has passed Grants.gov validations and the status is updated from received to validated.

The confirmation page includes a system-generated Grants.gov tracking number; this serves as your receipt. You should keep a copy of all confirmations.

You can verify the submission time and application status with your tracking number



through Grants.gov at <http://www.grants.gov/web/grants/applicants/track-my-application.html>.

**d. Effect of Superseding Announcement**

This announcement is open until superseded or closed. We generally allow approximately thirty (30) days for you to submit a proposal started under this announcement after we post the superseding announcement. We reserve the right to close this announcement at any time. Grants.gov will not accept your proposal after we close the announcement.

**7. INTERGOVERNMENTAL REVIEW**

N/A - This program is excluded from coverage under Executive Order (E.O.) 12372.

**8. FUNDING RESTRICTIONS**

**a. Proposal Preparation Costs**

Your proposal or application preparation costs are not considered an allowable direct charge to any award under this announcement. Your costs are, however, an allowable expense to the normal bid and proposal indirect cost as specified in [2 CFR 200.460](#) Proposal costs if you receive a grant or cooperative agreement, or [FAR 31.205-18](#) Independent Research and Development and Bid and Proposal Costs for contracts.

**b. Pre-Award Costs for Grants**

You must request our prior approval if you require a specific date [pre-award costs](#) become allowable, or if you need more than ninety (90) days pre-award cost authorization as described in [2 CFR 200.308\(d\)\(1\)](#) and [2 CFR 200.458](#). Your business office must provide this request in writing. You must document why pre-award costs are necessary and essential in the request, and identify a specific date for our Grants Officer to consider. We will only consider approval of a specific date or more than ninety (90) days pre-award costs before an award is made.

Our grants include up to ninety (90) calendar days pre-award costs; however, the actual date costs become allowable is not final until an award is made. We recommend you ask for a specific date as described above to prevent misunderstandings.

All costs incurred before a grant or cooperative agreement award are at the recipient's risk as described in [2 CFR 200.308\(d\)\(2\)](#). We are under no obligation to reimburse your costs if for any reason you do not receive an award, or if your award is less than anticipated and inadequate to your pre-award costs.

**c. Additional Funding Restriction**

You may not use any funds we provide or propose any cost to pay any Federal government employee for support, subsistence, or services in connection with the proposed conference or workshop.

**9. OTHER SUBMISSION REQUIREMENTS**

If Grants.gov [rejects](#) your electronic application submission for any reason, you must



correct all errors and resubmit your application.

## **E. APPLICATION REVIEW INFORMATION**

### **1. CRITERIA**

Our overriding purpose in supporting research and related conferences and workshops is to advance the state of the art in areas related to the technical problems the U.S. Air Force encounters in developing and maintaining a superior U.S. Air Force; lowering cost and improving the performance, maintainability, and supportability of U.S. Air Force weapon systems; and creating and preventing technological surprise.

You should show strength in as many of the evaluation and selection areas as practicable to demonstrate maximum competitiveness.

#### **a. Principal Evaluation and Selection Criteria**

Our two (2) principal evaluation and selection criteria are specified in [32 CFR 22.315\(c\)](#). Our principal selection criteria are of equal importance to each other. The combined principal selection criteria are more important than the additional evaluation and selection criteria.

Our principal evaluation and selection criteria are:

- (1) The technical merits of the proposed research and development; and,
- (2) Potential relationship of the proposed research and development to Department of Defense missions.

#### **b. Additional Evaluation and Selection Criterion**

Our sole additional evaluation and selection criterion for conference or workshop support proposals, which is of lesser importance than the primary evaluation and selection criteria combined is:

- (1) The qualifications of the principal investigator(s) or conference chair(s).

#### **c. No further evaluation criteria or criterion will be used for proposal selection**

### **2. REVIEW AND SELECTION PROCESS**

#### **a. Merit-based, Competitive Procedures**

Proposals will be subjected to a peer or programmatic review. The peer review will use external reviewers to assess technical merit and Air Force and Space Force relevance of the proposal.

The programmatic review assesses the technical quality of the proposal, relevance of the proposed research to the portfolio descriptions in this BAA, relevance of the work to Air Force, Space Force and DoD needs, and the potential of the research balanced against the available funding resources of a given portfolio. Selection for award consideration will be made based on the outcome of these reviews

We select proposals for possible funding on a competitive basis according to Public Law 98-369, the Competition in Contracting Act of 1984, 10 USC 4141, and 10 USC

4023 using the merit-based, competitive procedures described in [32 CFR 22.315](#), incorporated here by reference.

**b. Cost Analysis**

If your proposal is selected for possible award, we will analyze the cost of the work for realism and [reasonableness](#). The cost of your proposal is considered, but is not an evaluation factor or criterion.

We must make sure the costs you propose reasonable, realistic, and allocable to this work before we can make an award. All costs must be allowable to be reasonable. We may analyze your technical and cost information at the same time.

**3. DISCLOSURE OF ADMINISTRATIVE PROCESSING BY CONTRACTOR PERSONNEL**

We use support contractor personnel to help us with administrative proposal processing. Our contractor personnel are employees of commercial firms that have a contract with us. We make sure all of our support contracts include nondisclosure agreements that prohibit disclosure of any information you submit to other parties.

**4. NO GUARANTEED AWARD**

We do not guarantee that any award will be made under this competition.

**F. FEDERAL AWARD ADMINISTRATION INFORMATION**

**1. SELECTION NOTICES**

**a. Electronic Notification**

If your proposal is selected for possible award, an email will be sent to the principal investigator.

**b. Selection for Possible Award Does Not Authorize Work**

Our selection notice is not an authorization to start work, and is not an award guarantee. We will contact your business office to get answers to any questions we have about your proposal, and negotiate specific award terms.

**2. AWARD NOTICES**

**a. Federal Award Document**

A grant or contract signed by a warranted Grants or Contracting Officer is the only official notice that an award has been made.

**b. Electronic Federal Award Distribution**

We send award documents to your business office by email. This is called award distribution. We always ask your business office to forward the award to the Principal Investigator indicated on the award document.

**3. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

**a. Reporting of Matters Related to Recipient Integrity and Performance**

You must report recipient integrity and performance information as required by [Appendix XII to 2 CFR Part 200](#) – Award Term and Condition for Recipient Integrity and Performance Matters, incorporated here by reference. You should read the full text of this award term now using the link above to make sure you understand our requirements. You can also find this term at <http://www.ecfr.gov>.

**b. Agency Review of Risk Posed by Applicants**

- (1) We must review information available about you and entities included in your proposal through the Office of Management and Budget (OMB) designated repositories of government-wide eligibility qualification and financial integrity information. Our risk review is required by [31 U.S.C. 3321](#) and [41 U.S.C. 2313](#), and includes both public and non-public information. You must be qualified and responsible as described at [32 CFR 22.415](#) Standards to receive a grant award.  
Contract applicants must be responsible based on the requirements in [FAR Subpart 9.1](#) Responsible Prospective Contractors.
- (2) We must consider the non-public segment of the [Federal Awardee Performance and Integrity Information System \(FAPIIS\)](#) for all awards exceeding the current simplified acquisition threshold.
- (3) At a minimum, the information in the system for a prior Federal award recipient must demonstrate a satisfactory record of executing programs or activities under Federal grants, cooperative agreements, or procurement awards; and integrity and business ethics. We will consider any comments you provide, in addition to the other information in the designated integrity and performance system, when making our risk judgment about your integrity, business ethics, and record of performance under Federal awards.
  - (a) We may make an award to a recipient who does not fully meet our standards as described at [2 CFR 200.205\(a\)\(2\)](#) if it is determined that the information is not relevant to the current Federal award under consideration or there are specific conditions that can appropriately mitigate the effects of the non-Federal entity's risk in accordance with [2 CFR 200.207](#) Specific conditions.
- (4) We must comply with the guidelines on government-wide suspension and debarment described in [2 CFR 200.213](#), and must require you to comply with these provisions for all work we fund.

These provisions restrict Federal awards, sub-awards and contracts with certain parties that are debarred, suspended or otherwise excluded from or ineligible for participation in Federal programs or activities.

**c. Cross-Cutting National Policy Requirements**

You must comply with all applicable national policy requirements as a condition of award. Key national policy requirements may be found in the [DoD Research and Development General Terms and Conditions \(DoD T&C\)](#); and, [Appendix B to 32 CFR Part 22 – Suggested Award Provisions for National Policy Requirements that Often Apply](#), incorporated here by reference.

**d. Acknowledgement of Research Support**

You must acknowledge support provided by the Government in all materials based on or developed under our awards. The requirement extends to copyrighted and non-

copyrighted materials published or displayed in any medium.

The following language must be used unless the award document provides different instructions:

*“This material is based upon work supported by the Air Force Office of Scientific Research under award number\_\_\_\_\_.”*

You must require any sub-recipients or subcontractors under your award to include this acknowledgement too.

**e. Disclaimer Language for Research Materials and Publications**

Some materials based on or developed under our awards must include special disclaimer language. You must to include this language in all materials except scientific articles or papers published in scientific journals unless your award document provides different instructions:

*“Any opinions, findings and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the U.S. Department of Defense.”*

You must require any sub-recipients or subcontractors under your award to include this acknowledgement also.

**f. Uniform Administrative Requirements, Cost Principles, and Audit Requirements**

Our grants are governed by the guidance in [Title 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 in [2 CFR Part 1103](#) [79 FR 76047, December 19, 2014] and [2 CFR Part 1125](#). Provisions of [Chapter 1, Subchapter C of Title 32, CFR](#), “DoD Grant and Agreement Regulations” other than parts 34 and 37 continue to be in effect and apply as stated.

These regulations are incorporated by reference into this announcement.

**g. Domestic Grants - DoD Research and Development General Terms and Conditions**

Our domestic grants are subject to the current “DoD Research and Development General Terms and Conditions” (DoD T&C) at time of award found at [DoD Research and Development General Terms and Conditions](#).

These terms and conditions are incorporated by reference into this announcement. We can provide a generic model grant or cooperative agreement upon request.

We may award commercial grants to for-profit organizations

If we publish updated terms and conditions, the updated terms and conditions may apply to any grant made under this announcement.

**h. Foreign Grants – Terms and Conditions**

Our foreign grants and cooperative agreements are governed by award-specific terms

and conditions that implement and supplement the section [F.3.f. Uniform Administrative Requirements, Cost Principles, and Audit Requirements](#). We can provide a generic model grant or cooperative agreement upon request.

**i. Conditions of Award for Recipients Other Than Individuals**

You must agree to comply with the requirements at [2 CFR Part 182, Subpart B “Requirements for Recipients Other Than Individuals”](#) as a condition of award.

**j. Minimum Record Retention Requirements**

You must keep records related to our awards for at least three years after completion and the final Federal Financial Report is submitted. This requirement is described further in [2 CFR 200.333](#), incorporated here by reference. For grant or cooperative agreement awards, the DoD T&C [OAR Article II. Records retention and access](#) describes additional requirements. Contract awards have similar requirements.

Sometimes records must be retained for more than three years.

**4. REPORTING**

**a. Monitoring and Reporting Program Performance**

All of our awards require at least a final technical performance report as required in [2 CFR 200.328](#). Some of our awards require more frequent technical reports.

**You must provide your reports on time.** Our awards include a schedule specifying the latest date for submission of each required report.

You must use a completed SF 298 Report Documentation Page as the first page of the final report. You can download an electronic SF 298 from <http://www.gsa.gov/portal/forms/download/116146>.

Federal-wide Research Progress Performance Report (RPPR) Format (All grant awards)

We now use the [Federal-wide Research Progress Performance Report \(RPPR\)](#) for annual and final research performance reports. The reporting requirements will be detailed in the grant award documents.

**b. Standard Form (SF) 425 Federal Financial Report**

Our awards require a final SF 425 Federal Financial Report. You can get the form at [http://www.whitehouse.gov/sites/default/files/omb/assets/grants\\_forms/SF-425.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf).

(1) If you request any advance payment(s) under your award or have scheduled payments, you must submit quarterly SF 425 reports for the life of the award. Our awards include specific instructions.

(2) You do not have to submit quarterly SF 425 reports if you only request payment by reimbursement.

**c. Electronic Payment Requests and Electronic Payment**

You must submit payment requests electronically using the Invoicing, Receipt,

Acceptance, and Property Transfer (iRAPT) application unless your award specifies different instructions. Domestic grant payments must be made using the electronic funds transfer (EFT). We prefer to make foreign payments by wire transfer.

To submit electronic payment requests you must register to use iRAPT in the Wide Area Workflow (WAWF) e-Business Suite at <https://wawf.eb.mil>. The website includes registration instructions.

**d. WAWF or iRAPT Questions**

If you have WAWF or iRAPT questions or problems, you can get help by telephone at (866) 618-5988 or (801) 605-7095, by electronic mail at

[disa.ogden.esd.mbx.cscassig@mail.mil](mailto:disa.ogden.esd.mbx.cscassig@mail.mil), or the via Internet at

<https://wawf.eb.mil/xhtml/unauth/web/homepage/vendorCustomerSupport.xhtml>

**e. Other Reports**

Our Program Officers may ask for informal technical reports as needed. We use these informal reports for program purposes, such as preparation for meetings and other technical purposes. We highly recommend you provide this information in a timely manner by electronic mail directly to the Program Officer.

**f. Electronic Submission of Reports**

You must plan on submitting reports electronically. You can submit most reports through the internet application at <http://afosr.reports.sgizmo.com/s3/>. Some reports must be sent using electronic mail. Our award documents provide specific instructions that you must follow.

**G. AGENCY CONTACTS**

**1. TECHNICAL INQUIRES AND QUESTIONS**

You should submit your technical questions and inquiries in writing by electronic mail to the Program Officer listed for your topic of interest in our most recent general Broad Agency Announcement titled, “[Research Interests of the Air Force Office of Scientific Research](#)” posted on Grants.gov. You may access this announcement at [http://www.grants.gov/web/grants/search-grants.html?keywords=BAA-AFRL-AFOSR\\*](http://www.grants.gov/web/grants/search-grants.html?keywords=BAA-AFRL-AFOSR*).

You should include the announcement number in the subject line.

*If you submit a question by telephone call, fax message, or other means you may not receive a response.*

**2. GENERAL INQUIRIES AND QUESTIONS**

You must send all general questions about this announcement to us by email. Your questions will generally be consolidated with other questions and posted on Grants.gov so everyone gets the same information. We may provide an individual response by email if your question does not apply to anyone else.

CALVIN D. SCOTT, AFOSR/RBKC

Senior Procurement Analyst

Email: [afosr.baa@us.af.mil](mailto:afosr.baa@us.af.mil)

DANIEL P SMITH, AFOSR/PKC  
Procurement Analyst  
Email: [afosr.baa@us.af.mil](mailto:afosr.baa@us.af.mil)

## **H. OTHER INFORMATION**

### **1. 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 officer, grants officer, 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 grant or 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 or contracting 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 GO, concerned parties may contact the AFRL Ombudsman, Director of Contracting, HQ AFRL/PK. The AFRL Alternate Ombudsman is the Deputy Director of Contracting, HQ AFRL/PK. Please send an email to [afrl.pk.workflow@us.af.mil](mailto:afrl.pk.workflow@us.af.mil) with the subject of "Ombudsman".
- (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 or contracting officer.

### **2. GRANTS AND CONTRACTING OFFICERS AUTHORITY**

Grants and Contracting Officers acting within their warranted capacity are the only individuals legally authorized to make commitments or bind the Government.

No other individuals are authorized to make commitments or otherwise bind us.

### **3. ADDITIONAL FUNDING OPPORTUNITIES**

We post new funding opportunities throughout the year looking for today's breakthrough science for tomorrow's Air Force. You can find more information about Air Force Office of Scientific Research interests and funding opportunities on our website at <http://www.wpafb.af.mil/afrl/afosr>.

Thank you for your interest in this announcement.