

Amendment 0001
ONR BAA Announcement Number 10-026
Fiscal Year 2011 Multidisciplinary University Research Initiative (MURI)

The purposes of this amendment are as follows:

- 1) Revise Section I entitled, “General Information”, Paragraph number 11 entitled “Other Information”;
- 2) Revise Section III entitled “Eligibility Information”; and
- 3) Revise Section VI entitled, “Award Administration Information” paragraph number 1 entitled, “Administrative Requirements”.

1. Section I, entitled, “General Information”, Paragraph 11, entitled, “Other Information”, is hereby deleted in its entirety and revised to read as follows:

11. Other Information –

The Non-ONR Agency Information:

Air Force Office of Scientific Research
875 North Randolph Street
Suite 325 Room 3112
Arlington, VA 22203-1768

Army Research Office
4300 S. Miami Blvd.
Durham, NC 27703-9142

Work funded under this BAA must be basic research. With regard to any restrictions on the conduct or outcome of work funded under this BAA, ONR will follow the guidance on and definition of “contracted fundamental research” as provided in the Under Secretary of Defense (Acquisition, Technology and Logistics) Memorandum of 24 May 2010.

As defined therein the definition of “contracted fundamental research,” in a DoD contractual context, includes [research performed under] grants and contracts that are (a) funded by Research, Development, Test and Evaluation Budget Category 1 (Basic Research), whether performed by universities or industry or (b) funded by Budget Category 2 (Applied Research) and performed on campus at a university. The research shall not be considered fundamental in those rare and exceptional circumstances where the applied research effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the contract or grant.

Pursuant to DoD policy, research performed under grants and contracts that are a) funded by Budget Category 6.2 (Applied Research) and NOT performed on-campus at a university or b) funded by Budget Category 6.3 (Advanced Research) does not meet the definition of “contracted fundamental research.” In conformance with the USD (AT&L) guidance and National Security Decision Direction 189, ONR will place no restriction on the conduct or reporting of unclassified “contracted

fundamental research,” except as otherwise required by statute, regulation or Executive Order. For certain research projects, it may be possible that although the research being performed by the prime contractor is restricted research, a subcontractor may be conducting “contracted fundamental research.” In those cases, it is the *prime contractor’s responsibility* in the proposal to identify and describe the subcontracted unclassified research and include a statement confirming that the work has been scoped, negotiated, and determined to be fundamental research according to the prime contractor and research performer.

Normally, fundamental research is awarded under grants with universities and under contracts with industry. Non-fundamental research is normally awarded under contracts and may require restrictions during the conduct of the research and DoD pre-publication review of such research results due to subject matter sensitivity.

2. Section III, entitled, “Eligibility Information”, is hereby deleted in its entirety and revised to read as follows:

III. Eligibility Information

This MURI competition is open only to and full proposals are to be submitted only by, U.S. institutions of higher education (universities) including DoD institutions of higher education, with degree-granting programs in science and/or engineering.* Ineligible organizations (e.g., industry, DoD laboratories, Federally Funded Research and Development Centers (FFRDCs), and foreign universities) may collaborate on the research but may not receive MURI funds, directly or via subaward.

When a modest amount of additional funding for an ineligible organization is necessary to make the proposed collaboration possible, such funds may be requested via a separate proposal from that organization. This supplemental proposal should be attached to the primary MURI proposal and will be evaluated separately by the responsible Research Topic Chief. If approved, the supplemental proposal will be funded by the responsible agency using non-MURI funds. Since it is not certain that non-MURI funding would be available for ineligible organizations, Principal Investigators are encouraged to restrict funding requests to eligible organizations when practical.

Awards under this BAA will be made only to U.S. Institutions of Higher Education which award degrees in science and/or engineering. Historically Black Colleges and Universities (HBCUs) and Minority Institutions (MIs) are encouraged to submit proposals and join others in submitting proposals. However, no portion of this BAA will be set aside for HBCU and MI participation. The Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by Section 6202 of Public Law 110-252, requires that all agencies establish requirements for recipients reporting information on subawards and executive total compensation as codified in 2 CFR 170.110. Any company, non-profit agency or university that applies for financial assistance (either grants, cooperative agreements or other transaction agreements) as either a prime or sub-

*To the extent that it is a part of a U.S. institution of higher education and is not designated as an FFRDC, a University Affiliated Research Center (UARC) or other University Affiliated Laboratory (UAL) is eligible to submit a proposal to this MURI competition and receive MURI funds. However, the eligibility of a UAL (other than an FFRDC) to submit a URI proposal does not exempt the proposal from any evaluation factor contained in this Broad Agency Announcement, to include the potential impact on the institution's ability to perform defense-relevant research and to train students in science and/or engineering.

recipient under this BAA must provide information in its proposal that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR 170.220. An entity is **exempt** from this requirement **UNLESS** in the preceding fiscal year it received: a) 80 percent or more of its annual gross revenue in Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; b) \$25 million or more in annual gross revenue from Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; and c) the public does not have access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 or section 6104 of the Internal Revenue Code of 1986.

3. Section VI entitled, “Award Administration Information” paragraph number 1 entitled, “Administrative Requirements” is hereby deleted in its entirety and revised to read as follows:

1. Administrative Requirements

• Central Contractor Registration: All Offerors submitting proposals or applications must:

(a) be registered in the Central Contractor Registration (CCR) prior to submission;

(b) maintain an active CCR registration with current information at all times during which it has an active Federal award or an application under consideration by any agency; and

(c) provide its DUNS number in each application or proposal it submits to the agency