

PROGRAM ANNOUNCEMENT

THE DEPARTMENT OF DEFENSE (DoD)

FISCAL YEAR 2007

DEFENSE UNIVERSITY RESEARCH INSTRUMENTATION PROGRAM (DURIP)

AFOSR BAA 2006-04

FULL PROPOSAL DEADLINE:

Must be received no later than 4:00 PM Eastern Daylight Time
Tuesday, 12 September 2006

Army Research Office

Office of Naval Research

Air Force Office of Scientific Research

in cooperation with the Office of
the Deputy Under Secretary of Defense for
Laboratories and Basic Sciences

OVERVIEW INFORMATION

- **Agency Name(s)** – This Department of Defense program will be administered through the Army Research Office (ARO), the Office of Naval Research (ONR), and the Air Force Office of Scientific Research (AFOSR).
- **Funding Opportunity Title** – *Fiscal Year 2007 Defense University Research Instrumentation Program (DURIP)*.
- **Announcement Type** – This is the initial announcement.
- **Funding Opportunity Number** – AFOSR BAA 2006-04.
- **Catalog of Federal Domestic Assistance (CFDA Number(s))** – 12.300, Basic and Applied Research (ONR); 12.431, Basic Scientific Research (ARO); and 12.800, Air Force Defense Research Sciences Program (AFOSR).
- **Dates** – Proposals are due 4:00PM Eastern Daylight Time, 12 September 2006.
- **Additional Overview Content** – The Department of Defense (DoD) announces the Fiscal Year 2007 Defense University Research Instrumentation Program (DURIP), a part of the University Research Initiative (URI). DURIP is designed to improve the capabilities of U.S. institutions of higher education (hereafter referred to as “universities”) to conduct research and to educate scientists and engineers in areas important to national defense, by providing funds for the acquisition of research equipment.

I. Funding Opportunity Description

The Department of Defense (DoD) announces the Fiscal Year 2007 Defense University Research Instrumentation Program (DURIP), a part of the University Research Initiative (URI). DURIP is designed to improve the capabilities of U.S. institutions of higher education (hereafter referred to as “universities”) to conduct research and to educate scientists and engineers in areas important to national defense, by providing funds for the acquisition of research equipment. The research areas of interest for the administering agencies are available on-line at the following addresses:

Army Research Office:

<http://www.aro.army.mil/> (select “For the Researcher” and then “Funding Opportunities”)

See BAA W911NF-04-R-0005

Office of Naval Research:

<http://www.onr.navy.mil/> (select “ONR Science and Technology Departments”)

Air Force Office of Scientific Research:

<http://www.afosr.af.mil/> (select “Research Areas”)

For detailed information regarding technical goals, potential proposers are advised to refer to the announcements cited above and may contact DoD program managers listed therein to explore mutual interest before submitting proposals. A proposal may be submitted to more than one agency; however, only one award will be given.

A central purpose of the DURIP is to provide equipment to enhance research-related education. Therefore proposals must address the impact of the equipment on the institution’s ability to educate students, through research, in disciplines important to DoD missions. This announcement seeks proposals to purchase instrumentation in support of research areas of interest to the DoD, including areas of research supported by the administering agencies.

II. Award Information

Through this DURIP competition, the DoD intends to award approximately \$41 million for FY 2007, subject to the availability of funds. These funds will be awarded via grants made by ARO, ONR, and AFOSR (hereafter referred to as “agencies”). Grants will be for the purchase of research equipment costing \$50,000 or more, for items that typically cannot be purchased within the budgets of single-investigator awards. An individual award may not exceed \$1,000,000 in DoD funding. In FY 2006, 183 awards totaling \$40.4 million were made. Awards ranged from approximately \$51,000 to \$1,000,000 averaging \$217,000; very few awards exceeded \$500,000.

Sufficient funds are not available to meet all of the instrumentation needs of the universities. Awards, therefore, will be made to universities conducting, or demonstrably capable of conducting (with the proposed new equipment), research in areas of interest to the DoD.

DURIP awards are typically one year in length.

III. Eligibility Information

1. Eligible Applicants – This competition is open only to accredited U.S. institutions of higher education with degree granting programs in science, mathematics and/or engineering.

Proposals are encouraged from Historically Black Colleges and Universities and Minority Institutions (HBCU/MI), as defined by 10 U.S.C. 2323. Accredited U.S. postsecondary institutions that meet the statutory criteria for identification as minority institutions are listed at the following Department of Education web site: www.ed.gov/about/offices/list/ocr/edlite-minorityinst.html. However, no funds are specifically allocated for HBCU/MI participation.

2. Cost Sharing or Matching – Cost sharing is not required.

3. Other – DURIP funds will be used for the acquisition of major equipment to augment current or develop new research capabilities to support research in the technical areas of interest to the DoD. Individual proposals may request funding for more than one item of equipment if the requested items of equipment comprise a “system” that is used for a common research purpose. Proposals for purely instructional equipment are not eligible. General-purpose computing facilities are not appropriate for DURIP funding, but requests for computers for DoD-relevant research programs are appropriate.

Proposers may request \$50,000 to \$1,000,000 to purchase instrumentation. Proposals indicating less than \$50,000 or more than \$1,000,000 in DoD funding will not be considered. DURIP proposals may request partial funding for the purchase of instrumentation costing more than \$1,000,000, to the extent that the proposals include firm commitments for the balance of the funding needed to purchase the instrumentation.

See also funding restrictions described in Section IV.4. There are no limits to the number of applications an applicant may submit.

IV. Application and Submission Information

1. Address to Request Announcement Package – This DURIP 07 announcement may be accessed from the Internet from the “Other Opportunities” portion of AFOSR’s web site (<http://www.afosr.af.mil/>) through the “Need Funding?” link. Paper copies may be obtained by writing to AFOSR/PIE, 875 North Randolph Street, Suite 325, Room 3112, Arlington, VA 22203, or by FAX (703) 696-7320, or by e-mailing to uri@afosr.af.mil.

2. Content and Form of Application Submission –The DoD is interested primarily in the research and related science and engineering education that the equipment would facilitate. For this reason, the proposal must adequately describe the goals of the research and research-related education, so that judgments can be made on relevance to DoD goals. In some cases, proposed instrumentation and associated research may be

relevant to more than one of the participating agencies. In such cases, proposers can request that a proposal be reviewed at more than one agency (but only one DURIP award will be made). To do so, proposals must be submitted directly to the reviewing agencies.

The proposal may be submitted either electronically or in hard copy form, but not both. All proposers must include the SF 424 (R&R) form as the cover page. All proposals, electronic and hard copy, should be NO LONGER THAN 25 PAGES, ALL INCLUSIVE when printed out. Font is to be 10-12 point, on one sided 8 ½ x 11 inch white paper. *The SF 424 form(s) are not included in the 25-page limit.* Separate attachments, such as institutional brochures or reprints, will not be accepted.

Advanced Preparation For Electronic Submission - Electronic proposals must be submitted through Grants.gov. There are several one-time actions your organization must have completed before it will be able to submit applications through Grants.gov. Well before the DURIP submission deadline, you should verify that the persons authorized to submit proposals for your organization have completed those actions. If not, it may take them up to **21 days** to complete the actions before they will be able to submit DURIP applications.

The process your organization must complete includes obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the Central Contract Registry (CCR), registering with the credential provider, and registering with Grants.gov. (Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called MPIN are important steps in the CCR registration process.) Go to www.Grants.gov/GetStarted. Use the Grants.gov Organization Registration Checklist at <http://www.Grants.gov/assets/OrganizationRegCheck.doc> to guide you through the process. If a proposal is submitted through Grants.gov, PureEdge Viewer will need to be downloaded. This small, free program will allow you to access, complete, and submit applications electronically and securely. For a free version of the software, visit the following web site: www.Grants.gov/DownloadViewer. Should you have questions relating to the registration process, system requirements, how an application form works or the submittal process, call Grants.gov at 1-800-518-4726 or support@Grants.gov.

Submitting the Application

For Electronic Submission – Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants”, and then select “Download Application Package”. Enter the CFDA number for the agency to which you are directing your application. (CFDA Number(s) for each agency are as follows: 12.300, Basic and Applied Research (ONR); 12.431, Basic Scientific Research (ARO); and 12.800, Air Force Defense Research Sciences Program (AFOSR). You should also enter the funding opportunity number for this announcement (AFOSR BAA 2006-4). Then follow the

prompts to download the application package. Note that if more than one agency will review the proposal, the SF 424 (R&R) may be saved and modified to indicate the updated agency and CFDA number to that agency. This requires up to three electronic submissions, one in response to the DURIP announcement posted at Grants.gov by each agency that will review the proposal, or three mailings of hard copies following the hard copy instructions below. As a reminder, only one DURIP award will be made.

For Hard Copy Submission – For hard copy submission, the original proposal and five (5) copies must be delivered to each of the reviewing agencies directly. Mailing addresses for all the participating agencies are listed under the Section IV.5 in this document.

SF 424 (R&R) - The SF 424 (R&R) form must be used as the cover page for all electronic and hard copy proposals. No other sheets of paper may precede the SF 424 (R&R) for a hard copy proposal. Complete all the required fields in accordance with the “pop-up” instructions on the form and the following instructions for the specified fields. To activate the instructions, turn on the “Help Mode” in Grants.gov. (The “Help Mode” is turned on by the icon with the pointer and question mark. This is located at the top of the form). The completion of most of the fields is self-explanatory except the following special instructions:

- a. Field 2: In the Applicant Identifier area, please list the most appropriate Division/Directorate/Office or technical area/program officer to receive the proposal. To assist in directing the proposal to the most appropriate component of the reviewing agency, use the list of research interests cited in section I of this announcement. Note that the program officer is not the point of contact indicated in Section IV.5., Agency Contacts. Rather, it is the program officer associated with the research area of interest.
- b. Field 3: The State Application Identifier may be left blank.
- c. Field 7: Complete as indicated. Please note under “Other (Specify)” if your organization is a Minority Institution (MI).
- d. Field 8: Complete fields as indicated. In the third area, state other agencies receiving this funding request (DURIP participating agencies only). In some cases, a proposer may submit a proposal for review to more than one of the participating agencies. Please state Name(s) and Phone Number(s) of Point(s) of Contact at those agencies in this block. If you run out of space in Field 8, include in an attachment to the SF 424 (R&R), naming the document “Continuation of SF 424 (R&R).” (Attach along with the Proposal Narrative as described below.)
- e. Field 9: Note one of the following to indicate the reviewing agency to which this proposal is being submitted: ARO, ONR, or AFOSR.
- f. Field 20: Use Field 20 to attach the proposal narrative as described below.

Certification

Each proposal must be accompanied by a certification of compliance with lobbying requirements (a statute requires the submission of that certification at the time of proposal submission rather than at the time of award). By using the SF 424 (R&R), proposers are providing the certification required by 32 CFR Part 28 regarding lobbying. (The full text of this certification may be found at http://www.afosr.af.mil/Documents/funding_GrantCertForm.htm or a copy will be provided upon request.)

Proposal Narrative – Attach the proposal narrative to the SF 424 (R&R) cover sheet (for an application submitted through Grants.gov, electronically attach the proposal narrative at Field 20). The proposal narrative contains the abstract, budget and supplementary information as follows:

Abstract. Include a concise (not to exceed 300 words) abstract that describes the instrumentation requested and the research and research-related education that will be supported by that instrumentation.

Budget. Include a budget that identifies equipment to be purchased, cost per item and total cost. Indicate the proposed source of the equipment. Include the name and phone number of a contact at that source or a website address listing the equipment and price. All equipment being requested must be considered part of one “system” costing more than \$50,000, and thus all equipment being purchased must be exempt from indirect costs. At your option, you may use the SF 424 (R&R) budget form to submit this information rather than including it in the proposal narrative, but you are not required to do so.

The budget should make clear how DURIP funding will affect the successful and complete purchase of the requested equipment. Relevant information includes details of any other federal funds to be used and any funds to be contributed by nonfederal sources toward the purchase of the instrumentation. For budgeting purposes, presume a grant start date of 1 April 2007, although this is subject to negotiation.

Supporting Information

The proposal must be complete and self-contained to qualify for review. Specifically, the proposal must describe how the proposed instrumentation will:

a. enhance the quality of research and research-related education currently funded by the DoD (indicate the DoD organization, the contract or grant number, and the Principal Investigator; and concisely describe the thrust of the research and research-related education in sufficient detail to enable review of the proposal by an evaluator who is not familiar with your research program), and/or

- b. contribute to research and research-related education currently proposed to the DoD (indicate the organization and Principal Investigator of the proposal under consideration, the prospective DoD sponsor; and concisely describe the thrust of the research and research-related education in sufficient detail to enable review of the DURIP proposal by an evaluator who is not familiar with your research proposal), and/or
- c. establish new research capabilities or enhance current research capabilities for performing research and research-related education in areas of interest to the DoD.

Describe how the proposed instrumentation will interface with existing facilities or upgrade other instrumentation now available for research and research-related education.

Describe the amounts and sources of ongoing or proposed support for the research and research-related education to be facilitated by the instrumentation.

Describe any special circumstances regarding the acquisition or installation of the equipment.

Indicate the estimated useful life of the equipment.

Include curriculum vitae for the Principal Investigator and for other senior investigators, which will be counted as part of the 25 page limit.

3. Submission Dates and Times – Full proposals must be received no later than 4:00 PM Eastern Daylight Time on Tuesday, 12 September 2006, whether submitted electronically or in hard copy. Exceptions:

For electronic submission, should the site of Grants.gov not be operational on the due day and is unable to receive the proposal submission, the deadline is extended to the same time of the first day when the site is in operation.

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

Application Receipt Notices and Consequence of Late Submission

For electronic submission - The applicant will receive a confirmation page upon completing the submission to Grants.gov. This confirmation page is a record of the time and date stamp that is used to determine whether the proposal was submitted by the deadline. A proposal received after the deadline is “late” and will not be considered for an award. The applicant will receive an e-mail within a few hours of submission indicating that the proposal has been validated by Grants.gov. (This means

that all the required fields have been completed.) The third notice the applicant will receive is an e-mail from the designated agency to which the electronic proposal was submitted, to acknowledge receipt of the proposal and provide the agency's assigned tracking number. The email is sent to the authorized representative for the applicant institution approximately ten days from the *proposal due date*.

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

- a. Was delivered to the agency and was under the agency's control prior to the deadline; or
- b. Was sent to the agency's listed mailing address by U.S. Postal Service Express Mail three or more business days prior to the date specified for the receipt of the proposals. The term "business days" excludes weekends and U.S. federal holidays.

4. Funding Restrictions – Funds provided under DURIP may not be used for the construction or modification of buildings, building support systems (e.g. heating/ventilation/air conditioning, plumbing, and electrical), or fixed equipment (e.g. clean rooms and fume hoods). DURIP funds may not be requested or used for direct salaries of faculty, postdoctoral associates, or students. DURIP proposal budgets may include costs for design, construction, assembly, and/or installation of the equipment by an external contractor or by university technicians/engineers. Costs for continued operation and maintenance, including extended warranties, are not eligible for funding within DURIP.

5. Other Submission Requirements and Agency Contacts – Mailing addresses for FY2007 DURIP proposals being submitted to the agencies are:

Use this address for commercial carriers for ARO:
Army Research Office
ATTN: AMSRD-ARL-RO-SG-SI (DURIP)
4300 South Miami Boulevard
Durham, NC 27703-9142
Point of Contact: Dr Kurt Preston, E-mail kurt.preston@us.army.mil

Use this address for U. S. mail for ARO
Army Research Office
ATTN: AMSRL-RO-RI DURIP
P. O. Box 12211
Research Triangle Park, NC 27709-2211

Office of Naval Research
ATTN: DURIP/ONR 03R
875 North Randolph Street, Room 257
Arlington, VA 22203-1927
Point of Contact: Dr. Bill Lukens, (703) 696-4668
FAX (703) 588-1013, E-mail, lukensw@onr.navy.mil

Air Force Office of Scientific Research
ATTN: PIE/DURIP
875 North Randolph Street
Suite 325, Room 3112
Arlington, VA 22203 -1768
Points of Contact: Ms Susan Mason, (703) 696-5944
FAX (703) 696-7320, E-mail susan.mason@afosr.af.mil

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

V. Application Review Information

1. Criteria – The primary evaluation criteria, of equal importance, are:

- a. The impact of the equipment on research currently funded by the DoD and/or the impact on research currently planned for DoD funding and/or the likelihood of the equipment to establish new research capabilities or to enhance current research capabilities that are relevant to DoD areas of research interest.
 - b. The scientific and technical merits and the relevance and potential contribution to DoD missions of the research to be supported by the proposed instrumentation.
 - c. The potential to enhance the institution's ability to educate, through the research to be conducted with the proposed equipment, future scientists and engineers in disciplines important to the DoD mission, thereby contributing to DoD research-related educational objectives.
- Other evaluation criteria, which are of lesser importance than the primary criteria but of equal importance to each other, are:
- d. The past performance, experience, and qualifications of the institution to perform the research, and to operate and maintain the equipment proposed for purchase.
 - e. The past performance, qualifications, and experience of the Principal Investigator and other key personnel to conduct research of interest to the DoD.
 - f. Realism and reasonableness of cost. Cost sharing is not an evaluation factor.

2. Review and Selection Process – Proposals will undergo a multi-stage evaluation procedure. First, cognizant DoD research program managers and/or other technical experts will review proposals received in their technical areas. Second, the most significant proposals will be selected for funding by each agency based upon recommendations by the program managers and/or other technical experts. Third, the agencies, in coordination with the Office of the Deputy Under Secretary of Defense (Laboratories and Basic Sciences) will reconcile any overlap and coordinate complementary efforts so as to ensure the broadest possible impact with the funds available. Please note that proposals may be handled for administrative purposes by AFOSR support contractors.

3. Anticipated Announcement and Award Dates – Decisions are expected to be announced on or about 14 February 2007, via acceptance/declination letter or e-mail to the proposer. Awards are expected to be in place by 1 April 2007; this must be cited as the start date of the proposal and associated budget. Grants will be awarded by the participating agencies – the Army Research Office, Office of Naval Research and Air Force Office of Scientific Research. Negotiations may result in funding levels less than proposed.

VI. Award Administration Information

1. Award Notices – Successful proposers will receive a separate notice (acceptance letter or e-mail as indicated in V.3) stating that an application has been selected (before the award is in place). The notification letter or e-mail should not be regarded as an authorization to commit or expend funds (except at the recipient's own risk, to the extent that the recipient elects to charge up to 90 days of pre-award costs, as permitted under paragraph 32.25(d)(2)(i) of 32 CFR part 32). The Government is not obligated to provide any funding under a DURIP award until a Government Grants Officer signs the grant document.

2. Administrative and National Policy Requirements – In keeping with the provisions of 31 U.S.C. 6306 and with the intent of this program to increase university capabilities to conduct DoD-relevant research and research-related education, title to equipment will be vested with the university without further obligation to the government.

The Army, Navy, and Air Force administering agencies' requirements are available online at the following addresses:

ARO - <http://www.aro.army.mil/research/terms99.htm> Menu TAB select "For the Researcher"

ONR - <http://www.onr.navy.mil/02/terms.htm>

AFOSR - http://www.afosr.af.mil/Documents/funding_GrantTermsConditions.pdf

3. Reporting – A financial report using the standard form SF-269 (or SF-272) is required by Part 32 of the DoD Grant and Agreement Regulations (32 CFR part 32). A final technical report is required, to indicate fulfillment of the proposed objective by the acquisition and use of the instrumentation.

VII. Other Information – None.