X. ACRONYMS

AANAPISI - Asian American Native American Pacific Islander Serving Institutions

ANNH - Alaska Native and Native Hawaiian Serving Institutions

CAGE – Commercial and Government Entity

CFDA - Catalog of Federal Domestic Assistance

CFR – Code of Federal Regulations

CONUS – Continental United States

D&B – Dun and Bradstreet, Inc.

DIA - Defense Intelligence Agency

DNI - Director of National Intelligence

DOD – Department of Defense

DUNS – Data Universal Numbering System

FAR – Federal Acquisition Regulation

F&A - Facilities and Administration

FFP – Firm Fixed Price

FOA - Funding Opportunity Announcement

HBCU - Historically Black Colleges and Universities

IC CAE - Intelligence Community Centers for Academic Excellence

IHE - Institutions of Higher Education

NCES - National Center for Education Statistics

OCONUS – Overseas Continental United States

ODNI - Office of Director of National Intelligence

OMB – Office of Management and Budget

PI – Principal Investigator

SAM – System for Award Management

SOCC - Service of Common Concern

SSEB - Source Selection Evaluation Board

TCCU - Tribally Controlled Colleges and Universities

TIN – Taxpayer Identification Number

U.S.C. - United States Code

XI. DEFINITIONS

Amendment: A formal written change to the amount, terms and conditions performance period or scope of work of an assistance award.

Asian American and Native American Pacific Islander Serving Institutions: AANAPISIs are the most recent Minority Serving Institution designation, first recognized in 2008. They are defined as having at least 10 percent of undergraduate enrollment as AAPI students. There are currently 307 AANAPISIs in the United States with a population of students that encompasses more than 48 different ethnicities. AANAPISIs tend to be four- and two-year public institutions located on either the East or West Coast.

Assistance Agreement: Awards that entail the transfer of money, property, services or other things of value from the Federal government to a recipient to accomplish a public purpose of support or stimulation.

Authorized Organizational Representative (AOR): The administrative official who is empowered, on behalf of the proposing organization, to make certifications and assurances and can commit the organization to the conduct of a project while also adhering to DIA policies and award requirements.

Award: Financial assistance that provides support or stimulation to accomplish a public purpose. Awards include grants and other agreements in the form of money or property in lieu of money, by the Federal government to an eligible recipient.

Budget: The approved financial plan for both the Federal and non-federal funds to carry out the purpose of the assistance agreement. The plan is the financial expression of the project or program as approved during the grant proposal and award process.

Budget Period: An interval of time into which the assistance award support is divided, usually one year, for budgetary and reporting purposes.

Catalog of Federal Domestic Assistance (CFDA): A Government-wide compendium of Federal programs that provide assistance or benefits to the American public. The purpose of the Catalog is to assist users in identifying programs that meet specific objectives of a potential applicant, and to obtain general information on Federal assistance programs. The Catalog provides the user with information on more than 1,000 assistance programs, ranging from research to welfare, which are administered by Federal Departments and agencies.

Closeout: The process by which the Grants Officer administering an award made by a DIA determines that all applicable administrative actions and all required work of the award have been completed by the recipient and DIA.

Commercial and Government Entity (CAGE) Code: a unique identifier assigned to suppliers to various government or defense agencies, as well as to government agencies themselves and also various organizations. **CAGE codes** provide a standardized method of identifying a given facility at a specific location.

Cost Principles: The principles used to determine whether costs are allowable, allocable and reasonable in federal assistance agreements in accordance with 2 CFR 200, Subpart E.

Cost sharing or matching: That portion of project or program costs not borne by the Federal Government.

Consortium: an association of two or more regionally accredited colleges, universities, or other four-year degree-granting institutions in the U.S., its territories or possessions, that provides post-secondary school courses of study with the objective of pooling their resources to carry out part of the IC CAE grant program.

Employee: The employee of a grantee directly engaged in the performance of work under the grant, including: (i) All "direct charge" employees; (ii) All "indirect charge" employees, unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the payroll; or employees of sub-recipients or sub-contractors in covered workplaces).

Evaluation: External reviewer's analysis of the merits of a proposal, based on the review criteria outlined in the applicable program Funding Opportunity Announcement to provide information to the DIA Program Office in making a recommendation regarding funding of the proposal.

Expiration Date: The date an assistance agreement comes to an end.

Federal agency: Any United States executive department, military department, government corporation, government controlled corporation, any other establishment in the executive branch (including the Executive Office of the President), or any independent regulatory agency.

Federal Awarding Agency: The Federal agency that provides a Federal award directly to a non-Federal entity. The awarding agency issuing the grant.

Funding Opportunity Announcement: A funding opportunity announcement (FOA) is a notice in Grants.gov of a federal grant funding opportunity.

Funding Package: The set of documents related to an assistance agreement proposal which is prepared by the Program Office to justify and support the approval recommendation made to the Grants Officer.

Funding Period: The period of time when Federal funding is available for obligation by the recipient.

Grant: A legal instrument, that consistent with 31 U.S.C. 6304, is used to enter into a relationship in which-

a) The principal purpose is to transfer a thing of value to the recipient to carry out a public purpose of support or stimulation authorized by a law or the United States, rather than to acquire property or services for the federal government's direct benefit or use.
b) Substantial involvement is not expected between the Defense Intelligence Agency and the recipient when carrying out the activity contemplated by the grant.
c) No fee or profit is allowed.
d) Grants for Institutions of Higher Education are governed by the Uniform Guidance, Title 2 Code of Federal Regulation, and Part 200.

Grant Fraud: Grant fraud typically occurs when award recipients attempt to deceive the government about their spending of award money. Such behavior amounts to "lying, cheating and stealing," according to the Department of Justice.

Grantee: The legal entity who applies for or receives a grant directly from a Federal agency. The grantee is the entire legal entity even if only a particular component of the entity is designated in the grant award document.

Grants Officer: Agency Official authorized to enter into, modify, administer, and/or terminate grants by a delegation of authority from the Procurement Executive.
Hispanic Serving Institutions: As defined by the U. S. Department of Education, Hispanic-Serving Institutions (HSIs) are accredited, post-secondary higher educational institution with at least 25 percent total full-time enrollment of Hispanic undergraduate student pursuing terminal degrees. HSIs included four-year and two-year, public and private educational institutions. HSIs enroll 40 percent of all Hispanic-American students of higher education. There are 195 institutions of higher education defined as HSIs using the criteria defined by the White House Initiative and the Department of Education.

Historically Black Colleges and Universities: The Higher Education Act of 1965, as amended, defines an HBCU as: ".any historically black college or university that was established prior to 1964, whose principal mission was, and is, the education of black Americans, and that is accredited by a nationally recognized accrediting agency or association determined by the Secretary [of Education] to be a reliable authority as to the

quality of training offered or is, according to such an agency or association, making reasonable progress toward accreditation.

Indian tribe and tribal organization: Any Indian tribe, band, nation, or other organized group or community, including any Alaska Native village or regional or village corporation as defined in or established pursuant to the Alaska Native Claims Settlement Act (43 U.S.C. Chapter 33), which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians (25 U.S.C. 450b(e)).

Institution of Higher Education: IHE is defined at 20 U.S.C. 1001. A domestic college, university, or sub-element thereof providing postsecondary school courses of study, including foreign campuses of such domestic institutions. The term includes junior colleges, community colleges, and institutions providing courses leading to undergraduate and post-graduate degrees.

National Center for Education Statistics: The National Center for Education Statistics (NCES) is the primary federal entity for collecting and analyzing data related to education. http://nces.ed.gov/.

Non-Federal Entity: A state, local government, Indian tribe, institution of higher education (IHE), or nonprofit organization that carries out a Federal award as a recipient or sub-recipient.

Obligations: The amounts of orders placed, contracts and grants awarded, services received and similar transactions during a given period that require payment by the recipient during the same or a future period.

Office of Director of National Intelligence: The Office of Director of National Intelligence (ODNI) serves as the head of the U.S. Intelligence Community, overseeing and directing the implementation of the National Intelligence Program and acting as the principal advisor to the President, the National Security Council, and the Homeland Security Council for intelligence matters related to national security.

Office of Management and Budget (OMB): Cabinet level office within the Executive Office of the President that oversees and coordinates the Administration's procurement, financial management, information, and regulatory policies to assure that grants are managed properly and that federal dollar are spent in accordance with applicable laws and regulations.

Office of Management and Budget Circulars: Issued by OMB to communicate various instructions and guidance to Federal agencies and the recipient community.

Per Diem: For or by the day. A daily fee or allowance.

Performance Progress Report (PPR): Standard Form PPR: The *Performance Progress Report (PPR)* is a standard, government-wide performance progress-reporting format used by Federal agencies to collect performance information from recipients of Federal funds awarded under all Federal programs that exceed $100,000 or more per project/grant period, excluding those that support research.

Principal Investigator: (a) The individual designated by the recipient and approved by DIA, who bears responsibility for the scientific or technical direction of the project. (b) Persons who have a critical influence on or substantive control over a covered transaction.

Program Office: DIA office designated to manage the Intelligence Community Centers for Academic Excellence Program on behalf of the Defense Intelligence Agency.

Project Costs: All allowable costs, as set forth in the Uniform Guidance Cost Principles, incurred by a recipient and the value of the contributions made by third parties in accomplishing the objectives of the award during the project period.

Project Period: The period established in the award document during which Federal sponsorship begins and ends.

Proposal: A solicited or unsolicited bid, application, request, invitation to consider or similar communication by or on behalf of a person seeing to participate or to receive a benefit, directly or indirectly, in or under a covered transaction.
Recipient: A non-Federal entity that receives a Federal award directly from a Federal awarding agency to carry out an activity under a Federal program. The term recipient does not include sub-recipients.

Regulations: Governmental orders having the force of law. Regulations are published in the Federal Register and the Code of Federal Regulations as the official notification to the public of the implementation of a program or the establishment of rules or procedures.
Rural: Universities and Colleges are considered rural as listed in the National Center for Education Statistics (NCES) College Navigator Tool located at http://nces.ed.gov/collegenavigator/.

Scope Change: A programmatic change in the work to be performed under an assistance agreement that is outside the range of work contemplated at the time of the award.

Service of Common Concern (SOCC): Head of a DoD Component to whom the Office of Director of National Intelligence has assigned specific responsibilities, functions, and authorities to provide defined levels of support for operational missions, or administrative or other designated activities.

Sub-Award: An award provided by a pass-through entity to a sub-recipient for the sub-recipient to carry out part of a Federal award received by the pass-through entity. It does

not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A sub-award may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

Sub-Recipient: a non-Federal entity that receives a sub-award from a pass-through entity to carry out part of a Federal program; but does not include an individual that is a beneficiary of such program. A sub-recipient may also be a recipient of other Federal awards directly from a Federal awarding agency.

Taxpayer Identification Number (TIN): An identifying number used for tax purposes in the United States. It is also known as a Tax Identification Number or Federal Taxpayer Identification Number. A TIN may be assigned by the Social Security Administration or by the Internal Revenue Service (IRS).

Tribal Colleges and Universities: Presently, there are 32 fully accredited Tribal Colleges and Universities (TCUs) in the United States, with one formal candidate for accreditation. Three are in Associate Status. These TCUs offer 358 total programs, including apprenticeships, diplomas, certificates, and degrees. These programs include 181 associate degree programs at 23 TCUs, 40 bachelor's degree programs at 11 TCUs, and 5 master's degree programs at 2 TCUs (AIHEC).

APPENDIX A

MERIT EVALUATION

I. MERIT EVALUATION CRITERIA

Proposals will be evaluated on a merit basis and in accordance with the Merit Evaluation Table. The merit criteria are components approved by the IC CAE Senior Advisory Board to guide the evaluation.

Objective 1. The institution has demonstrated the ability to develop, modify, and integrate intelligence courses into an undergraduate or graduate intelligence or national security certificate, major, or minor degree program to be called the IC Centers for Academic Excellence (IC CAE). This terminology can be used as a 'tag line' along with a university's name for the program.

Objective 2. The institution has demonstrated the availability of language study in one or more of the following languages: **Arabic (all dialects), Azerbaijani, Bangla, Burmese, Cambodian/Khmer, Chinese (all dialects), Dari, Farsi, Georgian, Hindi, Indonesian, Japanese, Korean, Kurdish, Lao, Pashto, Persian, Punjabi, Russian, Swahili, Turkish, Turkmen, Urdu, Uzbek, Vietnamese or other less commonly taught languages of interest to the Community.**

Objective 3. The institution has demonstrated compliance with the mission of the IC CAE program, as reflected in the Intelligence Officers Training Program (50 U.S.C. 3224), that is, ethnic and cultural diversity.

Objective 4. The institution has demonstrated compliance with the FY 2016 Intelligence Authorization Act (HPSCI), which states institutions must be part of a consortium to specifically enhance collaboration with under-resourced schools in their area in a manner that promotes diversity.

Objective 5. The institution has proposed to facilitate student participation in on-campus academic programs and off-campus professional development activities in intelligence or national security.

Objective 6. The institution has proposed student study abroad/cultural immersion and regional studies opportunities.

Objective 7. The institution has proposed faculty research and professional development in support of teaching an intelligence curriculum.

Objective 8. The institution has proposed annual colloquia, or a speaker series, in collaboration with rural and under-resourced regional colleges and universities, local and federal government and industry partners on Intelligence and National Security topics.

Objective 9. The institution has demonstrated the presence of program management and sustainment action plans.

II. MERIT EVALUATION TABLE

The scores of all evaluation criteria will be converted to numeric scores per the table below.

a. For example, the numeric score is arrived at by multiplying the merit weight point in the 'Merit Definition & Weight Points' column by the 'Evaluation Rating' choice of either Excellent (5), Good (4), Fair (3) or Poor (2). Top proposal merit score possible is 500 points. Submissions receiving under 300 merit points will not be considered for funding.

b. Sample formula for evaluation. The evaluation rating of Excellent to Poor will be multiplied by the merit rating in the respective Evaluation Criteria.

c. In the event of an overall *Excellent* evaluation rating for a total weight score of 500, the Merit Weight points in A through I, shall each be multiplied by the *Excellent* Evaluation Rating of *5*. All points added together will equal *500 points*.

d. In the event of an overall *Good* evaluation rating for a total weight score of 400, the Merit Weight points in A through I, shall each be multiplied by the *Good* Evaluation Rating of *4*. All points added together will equal 4*00 points*.

e. In the event of an overall *Fair* evaluation rating for a total weight score of 300, the Merit Weight points in A through I, shall each be multiplied by the *Fair* Evaluation Rating of *3*. All points added together will equal 3*00 points*.

f. In the event of an overall *Poor* evaluation rating for a total weight score of 200, the Merit Weight points in A through I, shall each be multiplied by the *Poor* Evaluation Rating of *2*. All points added together will *equal 200 points*.

Merit Definition & Weight Points *(Constant)*	Evaluation Rating *(Variable)*			
	Excellent (5)	**Good (4)**	**Fair (3)**	**Poor (2)**
A. Curriculum development: 1. Plan to develop, modify, & integrate intelligence courses into undergraduate major, minor or certificate program to be called an IC Center for Academic Excellence; 2. Sustaining applicants plan to significantly expand their previously-developed IC curricula under the name of an IC Center for Academic Excellence. **(Merit weight: 10 points)**	Proposal includes at least one major, minor, or certificate program in intelligence or national security studies; the latter to be in concert with a desired major such as STEM or language.	Proposal includes at least one minor in intelligence or national security studies.	Proposal includes a certificate program in intelligence or national security studies.	Proposal includes fewer than four courses on intelligence or national security studies.
SCORE:	**50**	**40**	**30**	**20**
B. Languages of interest courses available. **(Merit weight: 10 points)**	Proposal offers courses in two or more identified languages on campus for four semesters each.	Proposal offers a course in one identified language for two semesters on campus.	Proposal offers identified language familiarization through travel only.	Proposal reflects general languages provided on campus.
SCORE:	**50**	**40**	**30**	**20**
C. Adherence to CAE mission ethnic and cultural diversity, which are traditionally under-resourced populations. NOTE: Schools designated as Historically Black Colleges and Universities (HBCU), Hispanic Serving Institutions (e.g., HSI), Asian American Native American Pacific Islander Serving Institutions (AANAPISIs), or Tribal Institutions will be graded Excellent. **(Merit weight: 15 points)**	Have a greater than 75% diverse student population.	Have a greater than 50% diverse student population.	Have between 50% and 25% diverse student populations.	Have less than 25% diverse student population.
SCORE:	**75**	**60**	**45**	**30**

D. Consortium. Institutions must be part of a consortium to specifically enhance collaboration with under-resourced schools in their area in a manner that promotes diversity. NOTE: Schools designated as Historically Black Colleges and Universities (HBCU), Hispanic Serving Institutions (e.g., HSI), Asian American Native American Pacific Islander Serving Institutions (AANAPISIs), or Tribal Institutions will be graded Excellent. **(Merit weight: 15 points)**	Plan to form a consortium consisting of three (3) or more under-resourced schools.	Plan to form a consortium consisting of two (2) under-resourced schools.	Plan to form a consortium consisting of one (1) under-resourced schools.	Plan to form a consortium consisting of zero (0) under-resourced school.
SCORE:	**75**	**60**	**45**	**30**
E. Facilitate student participation in on-campus academic programs, and professional development activities. **(Merit weight: 10 points)**	Plan to hold quarterly or more frequent developmental events on intelligence or national security and send students to multiple conferences.	Plan to hold semi-annual developmental events on intelligence or national security and an intelligence conference.	Plan to hold semi-annual development events.	Plan to hold an annual colloquium only.
SCORE:	**50**	**40**	**30**	**20**
F. Provide student study abroad, cultural immersion and regional studies opportunities. **(Merit weight: 10 points)**	Intend to provide students with semester abroad study opportunities.	Intend to provide students with 2-3 month study abroad opportunities.	Intend to provide students with study abroad opportunities one month in length.	Intend to provide students with less than one-month study abroad opportunities.
SCORE:	**50**	**40**	**30**	**20**

G. Faculty research and professional development in support of teaching an intelligence or national security curriculum. **(Merit weight: 10 points)**	Proposal includes specific, knowledge-based plan to support and fund faculty research and professional development including intelligence or national security conference attendance, workshop and seminar attendance, or other methods.	Proposal includes plan to support and fund faculty research and professional development including attendance at workshops and intelligence or national security seminars.	Proposal includes general statement of support for faculty development.	Proposal does not plan or budget for faculty research or professional development.
SCORE:	**50**	**40**	**30**	**20**
H. In collaboration with rural and under-resourced regional colleges and universities, local and federal government and industry partners, host an annual colloquium or speaker series on Intelligence and National Security topics. **(Merit weight: 10 points)**	Plan to hold annual colloquium or speaker series with at least 12 university, government or industry partners.	Plan to hold annual colloquium or speaker series with at least 6 university, government or industry partners.	Plan to hold annual colloquium or speaker series with at least 3 university, government or industry partners.	Plan to hold annual colloquium or 1-2 speaker events; no details on partners given.
SCORE TOTAL:	**50**	**40**	**30**	**20**
I. Establish and maintain a program management and a sustainment action plan. **(Merit weight: 10 points)**	Proposal includes specifics on how the program will be managed now and sustained once federal funding has ended; PI is an experienced former IC professional.	Proposal contains general management plan and speaks to some sustainment; PI has done research and interacted with IC previously.	Proposal contains general plans for management and sustainment; the PI has only limited IC knowledge and program management experience.	Proposal refers to program management plan without any specifics; PI has no IC or program management experience.
SCORE:	**50**	**40**	**30**	**20**
TOTAL POINTS:	**500**	**400**	**300**	**200**

APPENDIX B

ADDITIONAL COST VOLUME INSTRUCTIONS

VOLUME III: BUDGET

****IMPORTANT NOTE – APPROACH A****

A1. New, Initial and First Time Offers to DIA IC CAE grants program shall provide a proposal that represents and supports their cost Volume III and shall include total cost estimates for each budget year of the proposed program: year one total, year two total, year three total, year four total, and year five total. All proposed cost elements for each year shall have detailed support explanations that clearly identify the relationship of budget cost elements to proposal objectives and descriptions. The amounts shall clearly demonstrate costs for any sub-awards and allocations of their budget cost elements.

Descriptions shall reflect a PHASED APPROACH to implementing the program components detailed in Volume I, with each year's efforts building on the previous year. Cost elements and descriptions shall reflect program growth over the five-year period, moving from development to sustainment. Planned activities and their associated costs shall demonstrate the program's evolution:

EXAMPLE:

PHASE ONE: Base Year – development of IC-CAE program components and trial implementation with student participation.

PHASE TWO: Option Year 1 – start of each program component operations and student participation.

PHASE THREE: Option Year 2 – continuation of each program component operations and improvements as well as student participation.

PHASE FOUR: Option Year 3 – continuation of each program component operations and improvements, student participation, as well as development of a Grant transition to sustainment.

FINAL PHASE: Option Year 4 – program components operation and improvements, student participation, as well as implementation of Grant transition to sustainment.

******IMPORTANT NOTE – APPROACH B******

B1. Prior and Sustaining Offers who were previously issued a Grant from DIA IC CAE or currently have an intelligence studies program established shall include total cost estimates for each budget year of the proposed program: year one total, year two total, year three total, year four total, and year five total. All proposed cost elements for each year shall have detailed support explanations that clearly identify the relationship of budget cost elements to proposal objectives and descriptions. The amounts shall clearly demonstrate costs for any sub-awards and allocations of their budget cost elements.

Descriptions shall reflect a PHASED APPROACH in sustainment, incorporation and or development/improvement with implementing IC CAE required program components detailed in Volume I; Section 2;(1 through 9); with each year's efforts building on or refining the previous year's. Cost elements and descriptions shall reflect program growth over the five-year period, moving from development to sustainment. Planned activities and their associated costs shall demonstrate the program's evolution:

EXAMPLE:

PHASE ONE: Base year – incorporation of IC-CAE program components, improvements, as well as providing student participation.

PHASE TWO: Option year 1 – continuation of IC-CAE program components, and improvements as well as student participation.

PHASE THREE: Option year 2 – continuation of each IC-CAE program component operations and improvements as well as student participation.

PHASE FOUR: Option year 3 – continuation of each IC-CAE program component operations and improvements as well as student participation and develop Grant transition to sustainment.

FINAL PHASE: Option year 4 – continuation of each IC-CAE program component operations and improvements as well as student participation and implement Grant transition to sustainment.