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**DEFENSE INTELLIGENCE AGENCY
GRANTS PROCEDURE MANUAL FOR THE
INTELLIGENCE COMMUNITY CENTERS FOR
ACADEMIC EXCELLENCE PROGRAM**

VERSION 1.3

AUGUST 2013

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SECTION 1. INTRODUCTION TO ASSISTANCE AGREEMENTS

(U) 1. INTRODUCTION TO ASSISTANCE AGREEMENTS

(U) This Defense Intelligence Agency (DIA) Grants Procedure Manual (DGPM) is a compendium of DIA policies and procedures related to the broad agency announcement, award, administration, and closeout processes for grants and assistance agreements using Title 50 of the U.S. Code authority. DIA grants and assistance agreements awarded under Title 10 of the U.S. Code authority are governed by the DoD Grant and Agreement Regulations.

(U) The DGPM is intended for use by DIA staff, its grantees and potential grantees.

(U) 1.1 BACKGROUND

(U) The DIA is authorized by ODNI to enter into grants for the purpose of executing the Intelligence Community Centers for Academic Excellence Program under title 50 U.S.C. 403-1(n) (the National Security Act of 1947, as amended).

(U) This manual comprises a general agency structure for the grant proposal, award, administration, and closeout processes. This manual does not apply to contracts, interagency agreements, memorandums of understanding or memorandums of agreement. For information regarding policies and procedures applicable to DIA contracts, consult the DIA Acquisition Supplement Regulation and Instruction (DARSI).

(U) 1.2 ASSISTANCE AWARDS

(U) Assistance awards consist of Federal funding provided to non-Federal organizations to support or stimulate an activity. Grants are not used for procurement actions and should not be used in place of contracts.

(U) 1.2.1 GRANTS

(U) A grant is an award of financial assistance provided to an eligible recipient in order to carry out a public purpose, advance a national objective, address a public problem, or stimulate a particular activity authorized by federal law. Most assistance awards are grants, which are discovery-oriented rather than outcome-oriented.

(U) The award of a grant establishes a relationship between DIA and the recipient. DIA agrees to provide up to a specified amount of financial support for the project, and the recipient agrees to perform the project as proposed, to manage the funds prudently, and to carry out the supported activities in accordance with the approved proposal, the guidelines of the broad agency announcement, and the applicable terms and conditions of the grant. The DIA Grants Officer is the DIA

official responsible for issuing the grant award, monitoring fiscal grant progress and ensuring compliance with applicable standards.

(U) 1.3 PROCEDURES

(U) 1.3.1. BACKGROUND

Intelligence Community (IC) Centers for Academic Excellence (CAE) grants are issued through a process that is initiated by a Broad Agency Announcement being published on the website [Grants.gov](https://www.grants.gov) by the DIA Grants Officer. Schools provide grant proposals that are reviewed for technical/financial sufficiency by a Grants Officer. The grant proposals are then reviewed for program sufficiency by the Program Office. The IC CAE Senior Advisory Board reviews applications deemed sufficient and makes a recommendation on which should be funded, and at what funding level. Prior to making the award final, the recipient is notified and any necessary negotiations are conducted.

Grants are closed out by the receipt of: a termination certificate, or a Final Grant Disbursement Report and a Final Project Report.

(U) 1.3.2 RESPONSIBILITIES

(U) The Program Office is responsible for:

- Developing the broad agency announcement in consultation with the Senior Advisory Board;
- Managing the proposal review process to identify the selectable and fundable proposals;
- Supporting the Senior Advisory Board review, negotiation and selection of proposals;
- Engaging in ongoing programmatic review of the grant awardee activities; and
- Approving final reports.

(U) The Grants Officer exercises final business and financial review of recommended awards. The Grants Officer has responsibility for:

- Releasing the broad agency announcement on [Grants.gov](https://www.grants.gov)
- Processing proposal recommendations and declinations based on the Program Office's list of selectable and fundable proposals;
- Preparing and issuing the grant awards;
- Preparing payment schedules and approving any financial requests before forwarding to the finance office;
- Approving termination certificates;
- Performing the administrative requirements of the agreements, including grant modifications.

(U) DIA General Counsel exercises review of recommended awards to assure consistency with applicable laws, regulations, policies and directives.

(U) Grant recipients are responsible for:

- Submitting all required forms and reports;
- Requesting grant modifications when they are required.
- Notifying the Program Office and Grants Officer of any change in their grant which does not meet the grant modification threshold.

(U) 1.4 GUIDING PRINCIPLES

(U) Guidance that is internal to DIA and external (applicable Government-wide) is available to assist Grants Officers and Program Office with the negotiation, award, administration, and closeout of assistance awards.

(U) 1.4.1 GOVERNMENT-WIDE GUIDANCE

(U) The Office of Management and Budget (OMB) issues policy guidance circulars to Federal agencies to promote efficiency and uniformity in Government activities. OMB has issued three circulars applicable to grants awarded to educational institutions that provide guidance to the awarding agency and the recipient in the areas of cost, administration, and audit.

(U) The circular that provides grant **cost principles** is:

- A-21: "Cost Principles for Educational Institutions"

(U) The circular that provides grant **administrative principles** is:

- A-110: "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations"

(U) The circular that provides grant **audit requirements** is:

- A-133: "Audit of States, Local Governments, and Other Non-Profit Organizations"

(U) Copies of individual circulars are available at OMB's Internet home page: http://www.whitehouse.gov/omb/circulars_default/.

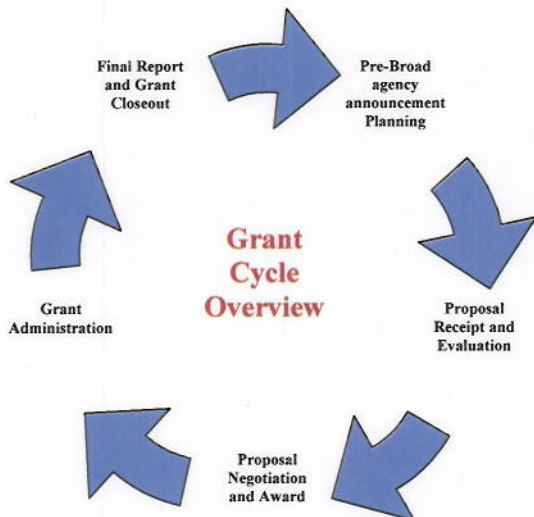
(U) 1.4.2 INTERNAL DIA GUIDANCE

(U) The Chief Financial Officer's Acquisition Policy and Outreach Office has issued several templates that provide guidance on the negotiation, award, administration, and closeout of assistance awards. These templates include the Broad Agency Announcement, Grants Program Evaluation Plan and Assistance Agreement. A summary of each of these templates follows:

- **Broad Agency Announcement:** This document provides guidance to the educational community for the preparation and submission of proposals to DIA. Some program Broad Agency Announcements modify the general provisions of this Guide, and, in such cases, the guidelines provided in the program Broad Agency Announcement must be followed.
- **Assistance Agreement:** This document consists of a federal-wide standard core set of administrative terms and conditions and a list of Agency-specific requirements.
- **Grants Program Evaluation Plan:** This document sets forth the evaluation criteria for grants.

(U) 1.5 THE GRANT CYCLE

(U) DIA grant cycle reflects established policies and procedures related to the proposal and award process for assistance awards. The diagram below identifies the steps of that process. An explanation of each step follows.



(U) **Pre-Broad Agency Announcement Planning:** The pre-broad agency announcement planning phase begins when the Program Office ascertains the availability of funds to undergo a Broad Agency Announcement (BAA) to solicit proposals for assistance awards. It ends when the BAA is released. This phase consists of numerous steps such as identifying the technical requirements for the assistance award, ensuring adequate funds are available, and writing and issuing the broad agency announcement. Section 2

(Pre-Broad Agency Announcement Planning) provides a detailed description of this process.

(U) Proposal Receipt and Evaluation: Proposal evaluation activities include the receipt, review and selection of grant proposals submitted by potential recipients in response to a program BAA. The Program Office and Grants Officer oversee these processes to ensure compliance with management policies and regulations.

(U) The Program Office is responsible for evaluating the programmatic content of the grant proposals to determine which proposals best meet program goals and offer the maximum potential for success. Section 3 (Proposal Receipt and Evaluation) provides a detailed description of this process. The Grants Officer will prepare a Findings and Recommendation Memorandum to summarize the technical and cost evaluations per research topic for review and concurrence by the Contracts Team Chief (See Appendix I).

(U) Proposal Negotiation and Award: The negotiation process may be minimal or it may involve negotiating all aspects of the grant award with the applicant. This is conducted by the Grants Officer in consultation with the Program Office.

(U) The award process involves the preparation of the Notice of Award and the obligation of the funds by the Grants Officer. Section 4 (Proposal Negotiation and Award) provides a description of this process.

(U) Grant Administration: The Grants Officer monitors the administrative requirements of the award and provides post-award approvals for a variety of administrative actions including modifications to the grant budget, changes to the objective or scope of the project, extensions to the duration of the grant, etc. The Program Office monitors the programmatic progress and performance of the grant through a review and analysis of project reports and through observations made during on-site reviews. Descriptions of the procedures used for each type of administrative action can be found in Section 5 (Grant Administration).

(U) Final Report and Grant Closeout: Closeout involves the review of expired grants to ensure that all fiscal and technical requirements are met and all business management issues or special award conditions (e.g., ensuring costs are allowable, ensuring proper disposition of property purchased with grant funds) have been resolved. Section 6 (Final Report and Grant Closeout) provides a detailed description of this process.

(U) 1.6 ROLES AND RESPONSIBILITIES

(U) Effective negotiation, administration, and management of assistance awards require staff trained and experienced in a number of professional disciplines to perform a variety of roles and responsibilities. To achieve Program objectives, it is necessary to understand these responsibilities.

(U) 1.6.1 PROGRAM OFFICE

(U) The DIA Program Office is responsible for the programmatic review and evaluation of proposals. The Program Office conducts merit evaluation, recommends project support, and monitors the award. It is considered subject matter expert and provides programmatic advice.

(U) 1.6.2 OFFICE OF THE CHIEF FINANCIAL OFFICER

(U) The Office of the Chief Financial Officer (CFO) is responsible for the interpretation and implementation of Federal assistance statutes and regulations, management of assistance award policies and procedures, and oversight of the administrative aspects of DIA's federal assistance award program.

(U) The CFO also is responsible for the development, coordination, issuance, and communication of Agency pre- and post-award policies for DIA's assistance award Program. In this capacity, the CFO is responsible for various manuals and publications that provide Agency-wide proposal processing and award administration guidance. These manuals and publications include the *DIA Grants Procedure Manual*, *Broad Agency Announcement Template*, *Assistance Agreement Template*, and *Grants Program Evaluation Plan Template*.

(U) 1.6.2.1 DELEGATION OF AUTHORITY

(U) The Senior Procurement Executive (SPE) has the delegated authority to enter into grants and assistance agreements on behalf of DIA and to obligate the funds that have been specifically authorized and appropriated to DIA for the support of assistance activities. The agreements are issued in accordance with applicable laws, regulations, and policies of DIA.

(U) While the SPE does not normally sign agreements or exercise operational authority, the SPE may exercise final signatory authority for assistance awards when deemed appropriate for purposes of protocol or in special situations (such as a final appeal determination or the resolution of a formal dispute).

(U) The SPE is delegated the authority to enter into grants and may re-delegate this authority, as appropriate, to Grants Officers, provided such delegations are in writing and set forth any limitations required (Appendix N).

(U) 1.6.3 GRANTS OFFICERS

(U) Grants Officers are defined as those Agency officials who have received a written delegation of grant authority from DIA's SPE. This delegated authority allows the Grants Officer to issue grants and obligate funds on behalf of DIA. **Only the DIA Grants Officer has the delegated authority to establish a binding legal relationship with a grant recipient and to obligate Agency funds that support assistance agreements.** It is ultimately the responsibility of

the Grants Officer to ensure that assistance award instruments are not used in place of contracts to procure goods and services and that DIA has been specifically authorized (and funds appropriated) to enter into a given assistance agreement.

(U) Grants Officers are responsible for monitoring the recipient's compliance with the terms and conditions of the award, issuing amendments and providing certain post award approvals, and the administration and closeout of the assistance agreements. In addition, Grants Officers provide pre- and post-award business assistance on the aforementioned policies, regulations, and directives, both to Agency Program officials and recipients. Grants Officers reside within certain contract teams throughout DIA, and provide expertise in the business and other non-Programmatic areas of grant administration that complements the Program Office's academic and technical knowledge.

(U) 1.7 SECURITY REQUIREMENTS

(U) All Agency grants and assistance agreements will be unclassified.

(U) SECTION 2. PRE-BROAD AGENCY ANNOUNCEMENT PLANNING

(U) 2. PRE-BROAD AGENCY ANNOUNCEMENT PLANNING

(U) The pre-broad agency announcement planning phase begins when the Program Office ascertains funds are available to make grant awards available. It ends when the broad agency announcement is released. This phase consists of numerous steps such as identifying the requirements for the assistance award, determining if special financial considerations such as special reporting are applicable, ensuring adequate funds are available, developing the review plan, and writing and issuing the broad agency announcement.

(U) 2.1 PROGRAM BROAD AGENCY ANNOUNCEMENT PLANNING

(U) It is the responsibility of the Program Office to identify the need to provide support for assistance awards and to inform the Grants Officer of that need. In the initial stages of identifying this need, the Program Office (in coordination with the Grants Officer) should:

- Identify the requirements that would be included in the program broad agency announcement.
- Identify the amount of funding that would be available to support the proposed assistance award activity.
- Work with the Grants Officer to develop a schedule for the broad agency announcement processes including due dates for the issuance of the broad agency announcement, the deadline for receipt of proposals, the completion of the review recommendations, and the anticipated award date(s).
- Identify any special reporting requirements or terms and conditions that might be considered so that these can be included in the broad agency announcement to inform prospective applicants.

(U) The Program Office should refer to the manuals and publications referenced in Section 1.4 (Guiding Principles) of this manual for guidance. The Grants Officer should be contacted with any questions regarding the pre-broad agency announcement planning stage or the grant award and administration processes. The Program Office should also obtain a review by the Office of General Counsel as to whether the proposed assistance award is authorized and consistent with the Delegation of Authority for Grants granted by the Director to the Senior Procurement Executive.

(U) 2.1.1 ELIGIBLE APPLICANTS

(U) DIA will accept proposals from eligible and qualified academic institutions. The Grants Officer shall confirm that the people/organizations applying are not excluded or debarred per 2 CFR 180.400, 180.420. The Grants Officer shall also confirm that the people/organizations are not on the Excluded Parties List System (EPLS) maintained by the General Services Administration. In accordance with

Federal statutes and regulations, no person on the grounds of race, color, age, sex, national origin or disability shall be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any Program or activity receiving financial assistance from DIA.

Organizations in the following categories may submit proposals:

- Universities and Colleges. Universities and four-year colleges located and regionally accredited in the U.S., acting on behalf of their faculty members. Such organizations also are referred to as academic institutions.

(U) 2.2 PLAN FOR BROAD AGENCY ANNOUNCEMENTS

(U) The Program Office will develop a plan for all BAAs. All grants awarded under the BAA will be in accordance with the plan. The following are the key elements of a plan:

- There are clear objectives and purpose to provide support for the assistance activities;
- There is an adequate budget and sufficient staff to carry out the proposal review and grant management responsibilities;
- Funding has been identified as available for award of grants by Budget and Finance
- If necessary, there will be appropriate coordination across participating units;
- A plan for proposal review and tracking, and grant award processes is included; and
- The Program Office demonstrates an understanding of their award monitoring responsibilities and result assessment procedures.

(U) The main sections of the plan address the need, objectives, and goals; management and staffing; proposal processing, evaluation, award; and award monitoring and program performance assessment. A plan template as well as guidance for the content of each of the sections in the plan is provided in [Appendix B](#).

(U) 2.3 BROAD AGENCY ANNOUNCEMENT

(U) The term “Broad Agency Announcement” (BAA) refers to the formal package published on a public web site *Grants.gov*, that encourages the submission of proposals in response to specific DIA program. The Broad Agency Announcement includes all of the pertinent information for potential applicants including the program purpose, award types, eligibility requirements, evaluation criteria, submission instructions, program goals and funding priorities, proposal submission deadlines, and application submission instructions. Proposals compete directly with each other on a fair and objective basis. Accordingly, the Program Office agency announcement is responsible for the systematic evaluation of the proposals including comparative analysis of the costs and other significant factors in accordance with the criteria specified in the broad agency announcement.

(U) The Program Office shall actively seek potential grant proposals from eligible organizations that are fully capable and qualified to successfully perform the projects identified in the broad agency announcement. The Program Office may identify such organizations on the basis of prior history or experience with the applicant, history of prior competitions for the same or similar projects, or expressions of interest in performing the project.

(U) Broad Agency Announcements are developed in accordance with the standard format established by the Office of Management and Budget (OMB) for Federal agency announcements of assistance opportunities. The purpose of the standard format is to have information organized in a consistent way to facilitate the review and development of proposals by the public. The government wide format helps potential applicants more easily and quickly find the information they need about federal opportunities. The federal awarding agencies jointly developed this format as part of their grant streamlining efforts to implement the Federal Financial Assistance Management Improvement Act of 1999.

(U) The OMB broad agency announcement format has two parts. The first part provides overview information. The purpose of this synopsis is to provide potential proposers with sufficient information to enable them to decide whether they are interested in viewing the full broad agency announcement and compete for the funding opportunity. The second part includes the full text of the broad agency announcement in detail and is organized into separately captioned sections.

(U) All IC CAE broad agency announcements for assistance awards should be prepared, structured, and organized in accordance with this format. Appendix D, Broad agency announcement Template, provides the broad agency announcement format.

(U) 2.4 ANNOUNCEMENT OF OPPORTUNITY

(U) Once the broad agency announcement is approved by the Program Office, General Counsel, and Grants Officer, it is ready for distribution. The BAA will be posted on Grants.gov.

(U) 2.5 CHANGES IN BROAD AGENCY ANNOUNCEMENTS

(U) Any change to the broad agency announcement must be approved by the original approvers. Depending on the nature of the change, it may be necessary to extend the deadline for proposals to ensure that potential applicants have sufficient time to prepare or revise their proposals to take the change into account.

(U) SECTION 3. PROPOSAL RECEIPT AND EVALUATION

(U) 3. PROPOSAL RECEIPT AND EVALUATION

(U) The Grants Officer receives, logs, and reviews all assistance proposal submissions on behalf of DIA. Proposals are screened to ensure conformance with the requirements of the program broad agency announcement. Compliant proposals are forwarded to the Program Office which is responsible for managing the competitive evaluation and proposal recommendation process for awards that best meet the requirements of the program DIA.

(U) 3.1 PROPOSAL RECEIPT**(U) 3.1.1 PROPOSAL RECEIPT**

(U) The instructions provided in the Program broad agency announcement direct the proposer to develop and submit their completed proposal to the Grants Officer. Upon receipt, these proposals are logged in by the Grants Officer and assigned a unique tracking number which will be used to identify the proposal throughout the review process. The Grants Officer prepares and sends a notification to the Authorized Organizational Representative¹ acknowledging receipt. The proposals are screened by the Grants Officer to ensure that they comply with the broad agency announcement requirements and deadlines. They also are reviewed for appropriate signatures and adherence to formatting requirements and page limitations.

(U) Compliant proposals are forwarded to the Program Office.

(U) 3.1.2 NONCOMPLIANT PROPOSALS RETURNED WITHOUT EVALUATION

(U) Proposals that are not in compliance with the preparation and submission requirements identified in the relevant Program broad agency announcement shall be returned to the applicant without evaluation.

(U) A proposal shall be returned if:

- The proposal does not meet IC CAE proposal preparation requirements or formatting instructions;
- The proposal is not responsive to the broad agency announcement; or
- The proposal does not meet an announced proposal deadline date (and time, where specified).

¹ (U) The Authorized Organizational Representative is the administrative official at the proposing organization who has the authority to commit the organization to the terms and conditions of the award.

(U) If the Grants Officer identifies a proposal that deviates from the Program broad agency announcement requirements, they should prepare a letter to the Principal Investigator and the Authorized Organizational Representative notifying them that the proposal will not be considered in the merit evaluation process and provide the reason the proposal is being returned without review. This draft letter should be forwarded to the Grants Officer's Team Chief for concurrence before being sent. A sample letter is provided in Appendix E.

(U) Every proposal submitted to the IC CAE Program must be brought to a final action in the tracking system (award, decline, withdrawn, or return without review) maintained by the Grants Officer. The Grants Officer will update the tracking system to ensure that the proposals rejected during this administrative review stage are captured and assigned the appropriate status of "Returned without Review."

(U) 3.1.3 PROPOSALS REQUIRING SPECIAL HANDLING

(U) There may be occasions when certain proposals need further scrutiny before being processed. For example, proposals from Principal Investigators who are former DIA employees must be managed in accordance with DIA policies on conflicts of interest and standards of ethical conduct and any legal guidance solicited. When these situations are identified by either the Program Office or Grants Officer, the parties should work with their immediate supervisors and the applicable experts (the Office of General Counsel) to determine the best plan of action for processing these proposals.

(U) 3.2 PROPOSAL EVALUATION

(U) 3.2.1 EVALUATION CRITERIA

(U) Acceptable proposals shall receive proper consideration in accordance with the evaluation criteria identified in the broad agency announcement.

(U) 3.2.1.1 CRITERIA FOR PROPOSAL REVIEW

(U) The DIA strives to conduct a fair, competitive merit-review process for the selection of projects. All DIA proposals are evaluated based on the programmatic merit of the proposed activity and the announced criteria and priorities in the broad agency announcement.

(U) The programmatic merit criteria examine:

- How important the proposed activity is to advancing the capability of students to enter the intelligence community;
- The qualifications of the proposer (individual or team) to conduct the project;

- The relevance and potential contributions of the project to the Intelligence Community's missions; and

(U) 3.2.2 USE OF EVALUATORS EXTERNAL TO THE PROGRAM OFFICE

(U) Proposals for IC CAE funding receive evaluation by members of the IC CAE Senior Advisory Board. These are knowledgeable experts both in and outside DIA who will provide recommendations on funding of CAE programs.

(U) 3.2.2.2 EVALUATION METHODS

(U) Evaluation generally takes the form of panel evaluations. The evaluation format will be identified in the Program BAA.

(U) 3.2.2.3 NUMBER OF EXTERNAL EVALUATORS

(U) Whichever method (or combination of methods) of evaluation is used, the Program Office is responsible for choosing appropriate, qualified evaluators and ensuring that an acceptable number of evaluators are available to adequately address each of the evaluation criteria. Each proposal will be reviewed by at least two Senior Advisory Board (SAB) members who will then report their findings to the SAB and it will make recommendations to the Program Office for funding.

(U) 3.2.2.5 POSSIBLE EVALUATOR CONFLICTS OF INTEREST

(U) Implicit in the goal of including differing points of view is the need for the Program Office to be conscious of possible biases in the selection of evaluators and alert to any bias in the reviews received. The Program Office should not select individuals as evaluators who are known by the Program Office to have disqualifying relationships.

(U) Prior to any evaluation of a submission, the Program Office must ask each proposal evaluator to identify any potential conflicts of interest that the evaluator might have with any of the proposals under consideration.

(U) The following situations, while not an exclusive list, should be examined for likely biases:

- Evaluator and proposer are known to be close friends or open antagonists; or
- Evaluator has an unpaid position at an institution with a proposal currently under review.

(U) The Program Office should record all interests, affiliations, and relationships revealed by evaluators or otherwise known to the Program Office in the proposal file. The Grants Officer must determine how, if at all, those interests, affiliations,

or relationships might affect the use of the evaluation in assessing the proposal and document this determination in the file. If the Grants Officer has any doubt about how to handle an issue, he or she should consult Office of the General Counsel/Designated Ethics Official.

(U) 3.2.3 INFORMATION FOR EVALUATORS

(U) 3.2.3.1 SOLICITING EVALUATIONS

(U) The Program Office will provide the evaluators with the weighted criteria to be used to evaluate the proposals (see Appendix H). This guidance must be consistent with the criteria described in the evaluation section of the broad agency announcement.

(U) The Program Office must ensure that correspondence with reviewers includes:

- An explicit request for a review;
- Reference to the evaluation criteria to be used with the rating format;
- Statements on confidentiality and potential for conflicts of interest; and
- A desired deadline for receipt of the review.

(U) A copy of the format to record reviews must be provided to every reviewer from whom a review is requested. Programs that develop their own forms must be sure to incorporate a provision for an overall rating.

(U) Applicants may include references to Universal Resource Locators (URLs) in their Project Description. The Program Office should inform the evaluators that they shall not visit the indicated sites when conducting their evaluation of the proposal. Evaluators also should be cautioned that their anonymity might be compromised if they directly access a referenced URL.

(U) All review materials, standard enclosures, and review formats used in requesting evaluations must be approved by the Grants Officer.

(U) 3.2.3.2 IDENTIFYING EVALUATORS' CONFLICTS OF INTEREST AND MAINTAINING CONFIDENTIALITY

(U) Evaluators must indicate any possible conflicts of interest they might have and must assure the confidential treatment of proposals, reviews, and the review process.

(U) 3.2.3.2.1 CONFLICTS OF INTEREST NOTICES

(U) Correspondence requesting the review must include a verbatim copy of the following statements on confidentiality and the potential for conflicts of interest, and all evaluators must execute the Confidentiality Agreement and Conflict of Interest Certificate (Appendix M):

“The Defense Intelligence Agency receives proposals in confidence and protects the confidentiality of the contents. For this reason, you must not copy, quote from, or otherwise use or disclose to anyone, including your colleagues, graduate students or postdoctoral or research associates, any material from any proposal you are asked to review. Please respect the confidentiality of all Principal Investigators and their proposals. Unauthorized disclosure of confidential information could subject you to administrative sanctions. If you believe a colleague can make a substantial contribution to the review, obtain written permission from the Grants Officer *before* disclosing either the contents of the proposal or the name of any proposer or Principal Investigator. When you have completed your review, please be certain to destroy the paper copy of the proposal and/or delete any electronic correspondence or files related to the proposal.

(U) DIA keeps evaluations and your identity as an evaluator of specific proposals confidential to the maximum extent possible. If you have any relationships with the organization or the persons submitting this proposal, please notify the Program Office and the Grants Officer prior to any review.”

(U) **Panel Reviews.** In the case of panel reviews, the Program Office or other responsible personnel must inform panelists of confidentiality and the potential for conflicts of interest by:

- Ensuring that, before serving on the panel, each panelist has signed a DIA “Confidentiality Agreement and Conflict of Interest Certificate” (Appendix M);
- Including in communications to panelists the following two statements on confidentiality:

“The Defense Intelligence Agency receives proposals in confidence and protects the confidentiality of the contents. For this reason, you must not copy, quote from, or otherwise use or disclose to anyone, including your colleagues, graduate students or postdoctoral or research associates, any material from any proposal you are asked to evaluate. Please respect the confidentiality of all Principal Investigators and their proposals. Unauthorized disclosure of confidential information could subject you to administrative sanctions. If you believe a colleague can make a substantial contribution to the review, please obtain permission from the Grants Officer before disclosing either the contents of the proposal or the name of any proposer or Principal Investigator. When you have completed your review, please be certain to destroy the paper copy of the proposal and/or delete any electronic correspondence or files related to the proposal.

DIA keeps evaluations and your identity as an evaluator of specific proposals confidential to the maximum extent possible. If you have any relationships with the organization or the persons submitting this proposal, please notify the Program Office and the Grants Officer prior to any review."

- Apprising panelists at the beginning of the meeting of the potential for conflicts of interest by reading the following statement:

"If, when we come to consider any particular proposal, you recognize that you have a relationship with the organization or persons submitting the proposal that could be construed as creating a conflict-of-interest, please let me know. I'll ask you to describe the relationship in your own words and will determine from your description what to do about the situation. You must not participate in reviewing any proposal submitted by an entity in which you or a member of your immediate family is a member or has a financial interest."

(U) 3.2.4 ADDITIONAL GUIDANCE ON USE OF PANELS

(U) The panel review can be an especially effective and efficient mechanism for review of a large number of proposals. Panel members' assessment of the intellectual merit and scope of a project can prove invaluable. For large or complex projects, the Program Office also may ask the panelists to provide suggestions on the adequacy of organizational resources and infrastructure or whether the overall budget or certain line items seem appropriate. Convening a panel does involve care in planning and logistics.

(U) The Program Office's goal is to create a balanced panel with the necessary expertise to cover the range of the proposals. Potential panelists must be dedicated to high quality, fair reviews, and be able to devote sufficient time to the review process. The integrity of competitive programs depends upon the stature and qualifications of the individual panelists and the fairness and scientific skill with which they administer their scientific review responsibilities. All these qualities are necessary for the careful review and evaluation of the submitted proposals.

(U) 3.2.4.1 PRE PANEL EVALUATIONS

(U) The Program Office studies the proposals carefully and assigns them for review to panel members. Each panelist is assigned a number of proposals for which they provide written reviews using the evaluation criteria in the program broad agency announcement to assess the strengths and weaknesses of each proposal. During the panel meeting, each panelist also provides an oral evaluation of the assigned proposals.

(U) 3.2.4.2 CONDUCT OF MEETINGS

(U) The Director of the Program Office or a Program Manager serves as chair of the panel meeting and is responsible for assuring that every proposal receives a thorough and objective review. However, the Director of the Program Office is not expected to provide any opinions or reviews of the proposals; the rating and ranking of the proposals are entirely the consensus opinion of the panel.

(U) There are some general points to consider when conducting a panel. Although panelists may ask questions of the Program Office, panelists should provide an independent evaluation of the proposals based on their professional/technical expertise and all of the available information.

(U) At the beginning of the meeting, the Program Office representative should remind the panelists of:

- The goal of avoiding conflicts of interest;
- The confidentiality of panel discussions;
- The protection of proprietary information and/or technical data; and
- The fact that the ranking of proposals is only a recommendation to the agency and that the Grants Office makes the final decision regarding the funding of the proposals.

(U) 3.2.4.3 PANEL EVALUATIONS

(U) Depending on the number of proposals received, panelists may not be assigned the same set of proposals for review. At the panel meeting, panelists are seated around a table to allow the discussion among the various panelists assigned to a proposal. This arrangement also allows the entire panel to participate in the discussion of any proposal reviewed in the panel for which they do not have a conflict of interest. Some programs may assign the same set of proposals to three or four panelists for review. At the panel meeting, panelists might be seated at separate tables with panelists reviewing the same set of proposals assigned to the same table. In this case, the panelists discuss only their assigned proposals and come to a consensus on a final score. They do not participate in the discussion or scoring of other proposals reviewed at other tables in the panel meeting.

(U) During the meeting, the panelists discuss the proposal and evaluations and arrive at a consensus ranking. The ranking categories might be “selected and funded,” “selectable but not funded at this time,” “not selectable,” or “disqualified.” Cost is a Pass/Fail evaluation. Only proposals ranked in the first three categories may be considered for funding.

(U) At the conclusion of the meeting, the panel is expected to provide to the Program Office:

- General consensus on each project;

- Rank-order of the reviewed proposals, if requested by the Program Office;
- Formulated reviews for requested proposals; and
- Panel summary, if requested by the Program Office.

(U) 3.2.4.4 DOCUMENTATION

(U) Following the evaluation and initial ranking of each proposal, a “panel summary” document should be prepared by a panel member reflecting the panel consensus. It should detail the salient points of the panel’s assessment of the strengths and weaknesses of the proposals. Minutes taken should provide a report on the substance of the discussion, and recommendations relating to each proposal.

(U) Each panel summary should accurately reflect the panel’s discussion and consensus on the proposal. On the final day of the panel meeting, the panelists reassess the initial rankings of the proposals and re-rank proposals, as needed, to ensure that they accurately categorize and order the proposals. The panel should review the summary, and the panel summary should conclude with the statement, “The summary was read by/to the panel and the panel concurred that the summary accurately reflects the panel discussion.” The panel scribe should confirm, on behalf of the panel, that the panel has reviewed and concurred with the panel summary.

(U) 3.3 PROPOSAL RECOMMENDATIONS FOR AWARD AND DECLINATION

(U) After the completion of the panel, the Program Office will provide the results of the review to the full Senior Advisory Board which will rank-order all proposals put forward. The Program Office will prepare a memorandum to the Grants Officer which will stipulate the proposals which are selectable and recommended for award with available funding. Note that there may be many selectable proposals but insufficient funds to support them. The memorandum also should stipulate budgetary information such that a procurement request in CMS can be completed to award the funding. This memorandum should be signed by the Director, IC CAE Program Office.

(U) A PR should be prepared and forwarded to the Grants Officer for each recommended proposal. The Grants Officer will review the proposal package per the checklist in Appendix G.

(U) Upon receiving the memorandum and the funding package, the Grants Officer will prepare a Findings and Recommendation Memorandum for review and approval by the appropriate Contracts Team Chief (Appendix I). The Grants Officer will notify the unsuccessful applicants (Appendix F) and begin to prepare the Notice of Award for the successful proposals.

(U) Note that the Program Office (and evaluators) do not have the delegated authority to inform potential recipients that their proposals will be funded. Such notification might

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give the recipients the mistaken impression that an agreement has been awarded. Only the Grants Officer has the delegated authority to notify the recipient of an award.

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(U) SECTION 4. PROPOSAL NEGOTIATION AND AWARD

(U) The Grants Officer reviews the funding package for completeness and accuracy, verifies the commitment of funds and prepares the Notice of Award (see Appendix J). The Grants Officer shall negotiate and reach agreement with the prospective recipient on business and legal matters in compliance with applicable laws and regulations before signing the award and forwarding it to the recipient for concurrence.

(U) 4.1 AWARD TERMS AND CONDITIONS

(U) Each DIA award notice specifies the terms and conditions that govern the award. The administrative terms and conditions, which are general in nature and apply to all recipients, are contained in the *Assistance Agreement*. In addition, there may be situations where special programmatic conditions specific to the program or project, are required. The Grants Officer works with the Program Office to develop a clause with specific language to address the requirements. For a given assistance award, the Grant Officer may deviate from a requirement of this manual with written approval of the Senior Procurement Executive. The Grant Officer shall submit the request via the chain of command to the SPE through OGC. Such deviations must be approved before included as a condition in the Notice of Award.

(U) 4.1.1 PROCEDURES AND RESPONSIBILITIES

(U) Many special award conditions have been standardized by the Grants Officer and maintained by the Grants Officer in a clause listing. Some examples of special clauses may include the following:

- Paying on a reimbursable basis;
- Establishing additional prior approvals;
- Withholding authority to proceed beyond one phase without proof of acceptable performance;
- Requiring recipient to furnish detailed financial reports;
- Providing additional project monitoring; or
- Requiring the recipient to obtain technical or management assistance.

(U) The Program Office can request that any of these clauses be added to the award. The requested clause should be indicated in the funding package that is forwarded to the Grants Officer.

(U) 4.2 PENDING AWARD NEGOTIATION

(U) The negotiation process may be minimal or it may involve negotiating several aspects of the award with the prospective recipient. It may involve explaining to the prospective recipient that the budget must be changed to comply with regulations or it may involve a comprehensive give-and-take negotiation of all aspects of the award, including the scope of work, the budget, or the special or programmatic terms and conditions.

(U) The Grants Officer represents the government in all negotiations with prospective recipients and has the authority to obligate the funds on behalf of DIA. The Program Office will provide information and/or participate in negotiations, in coordination with the Grants Officer.

(U) 4.3 NOTICE OF AWARD

(U) The Grants Officer will review the PR received from the Program Office and complete negotiations with the recipient before preparing the Notice of Award letter (See Appendix J). The Notice of Award letter is the official instrument used for DIA's financial assistance programs that provides notification of selection for award of an Agency assistance agreement. The Grants Officer will prepare an Assistance Agreement which establishes a legal binding arrangement between DIA and the recipient and contains or references the terms and conditions of the agreement.

(U) The Assistance Agreement must:

- Include the legal names of the recipient and the institution.
- Include the amount awarded.
- Include the dates of the performance period for the assistance agreement.
- Include the purpose of the assistance agreement.
- Include by reference the authorizing legislation.
- Incorporate by reference the proposal submitted for the assistance agreement and any modifications received to that proposal.
- Incorporate by reference any Agency policy directives which apply to the agreement.
- Include or incorporate by reference all terms, conditions, or agreement clauses that are required by the IC CAE program as administered by DIA.

(U) Appendix K contains an assistance agreement.

(U) 4.4 LEGAL REVIEW

(U) Assistance actions require review and approval by GC in the following circumstances:

- Before the award of any assistance action with a potential value over the life of the agreement greater than \$500,000 in federal funds;

- Any time when review of a program broad agency announcement, award, or modification of award is considered advisable because of complexity or other legal issues or concerns;
- Before a proposed assistance agreement is converted to a contract, on the question of whether the broad agency announcement and award properly complied with the requirements of FAR part 35 (and, by reference, part 6).

(U) 4.5 APPROVING ASSISTANCE AGREEMENTS

(U) By approving the assistance award, the Grants Officer certifies that in his or her opinion, the agreement is in accord with all applicable policies and regulations. No person will be required to approve an assistance agreement unless he or she is fully satisfied with the award. Approved grants are signed by the Grants Officer and forwarded to the recipient's Authorized Organizational Representative for concurrence.

(U) The recipient is expected to review the grant agreement for accuracy before signing. Signing the agreement sets up a legal, binding relationship between DIA and the recipient whereby the recipient agrees to accept assistance support and comply with the terms and conditions of the award. The signed grant agreement must be returned to the Grants Office before the recipient is able to draw down funds.

(U) 4.6 GRANT FILE AND DOCUMENTATION

(U) An official grant management file must be established and maintained in paper hard copy format for each assistance agreement. Relevant emails and any other electronic information must be printed and maintained in the official file. Assistance agreement files are the responsibility of the Grants Office.

(U) The official assistance agreement file must, at a minimum, contain the following items:

- All items received from the recipient
- Assistance Agreement
- Information sent out with the award
- Findings and Recommendations Memorandum
- Proposal Technical Evaluation Form
- Recipient reports
- Monitoring statements or other documentation that performance was reviewed
- Correspondence including letters of approval
- Funding Document
- Broad agency announcement

(U) Appendix L provides information on the grant management file organization.

(U) SECTION 5. GRANT ADMINISTRATION

(U) 5. GRANT ADMINISTRATION

(U) Assistance awards are administered in accordance with the terms and conditions of the federal cost principles and the administrative guidelines, DIA specific conditions, and any special clauses that are included in the award. The Grants Officer works together with the Program Office to monitor the administration of the award.

(U) 5.1 POST AWARD GRANT ADMINISTRATION RESPONSIBILITIES

(U) The Program Office has general responsibility to:

- Monitor the programmatic progress of the award,
- Review reports and follow up on those that are delinquent or unsatisfactory, and
- Review recipient requests for modifications to the assistance agreement and provide recommendations to the Grants Officer.

(U) The Grants Officer has general responsibility to:

- Incorporate special reporting requirements into awards where appropriate;
- Take timely action on Program Office recommendations for further funding or administrative modifications to the assistance agreements; and
- Take appropriate measures when serious financial-accountability problems within an organization are identified, including and in coordination with Audit where applicable: providing advice, performing site visits to reconcile accounts and assuring that recipient systems are adequate, requesting detailed audits of recipient accounts, suspending cash advances, suspending or terminating active awards, or withholding new awards until financial problems are resolved.

(U) 5.2 RECIPIENT NOTIFICATIONS AND REQUESTS

(U) Modifications and requests requiring DIA approval must be submitted by the recipient in writing to the Grants Officer. Descriptions of the procedures used for each type of notification and request are provided below. In each instance, the Program Office must approve the request and forward their approval to the Grants Officer who will provide written confirmation to the recipient.

(U) 5.3 CHANGES IN THE GRANT BUDGET

(U) On occasion, it may be necessary for an organization to provide a revised budget to the DIA. When a revised budget is required by the terms and conditions of the award, it must be signed by the Authorized Organizational Representative (AOR) and submitted in writing to the Grants Officer. Circumstances that warrant submission of a revised budget and level of approval are explained below.

(U) 5.3.1 RECIPIENT REQUIRES POST-AWARD REVISED BUDGET

(U) During the performance of a project, it may be appropriate for funds to be reallocated to support advancement of the project. Recipients have broad discretion to rebudget within the applicable cost and administrative principles. Unless otherwise stated in the terms and conditions of the award or as noted below, the recipient is authorized to transfer funds from one budget category to another for allowable expenditures without Grants Officer approval. However, any budget changes that reflect a change in objective scope or in the Principal Investigator's estimated person-months require Grants Officer approval. These requests will require a signed, revised budget request.

(U) 5.3.2 DIA REQUIRES POST-AWARD REVISED BUDGET

(U) Revised budget information is required if there are any changes in the size or scope of the project or in the originally negotiated total estimated cost for the project period. Revised post-award budgets also may be required for continuing grant increments that are initially awarded as placeholders; that is, requiring negotiations with Program Office to determine the final funded amount. Proposed post-award revised budgets should be requested from the recipient.

(U) 5.3.3 PROCEDURES AND RESPONSIBILITIES

(U) The recipient, in most cases, is permitted by the terms and conditions of the award to transfer funds between direct and indirect cost categories of the budget. These budget changes should be made in accordance with the organization's policies and procedures and do not require approval by DIA.

(U) However, there are provisions in the applicable Federal cost principles and administrative requirements that do require prior Agency approval. Article 8, *Revision of Financial Plans*, of the *Assistance Agreement* requires written prior approval from the Grants Officer for the following significant project changes:

- Changes in objective or scope;
- Transfer of the project effort;
- Absence or change of the Principal Investigator;
- and
- Request for no cost extensions.

(U) When a budget revision requires Grants Officer approval, the request should be sent to the Grants Officer clearly stating the line item to be changed, the amount, and the reason for the request. The Grants Officer will review the request and will convey approval or disapproval to the AOR in writing.

(U) 5.4 CHANGES IN OBJECTIVE OR SCOPE

(U) The objectives of the project stated in the proposal or agreed modifications thereto may not be changed without prior Grants Officer approval. If changes are necessary, the Principal Investigator (PI) must request approval from DIA before initiating the changes. The AOR will forward the change request to the Program Office for review. If approved, the Program Office will forward their concurrence to the Grants Officer who will amend the grant to reflect the change in the objective or scope of the project. If the request is not approved, the Grants Officer will contact the PI and AOR to inform them of that decision.

(U) 5.5 TRANSFER OF THE PROJECT EFFORT

(U) Excluding the procurement of items such as commercially-available supplies, materials, equipment or general support services allowable under the grant, no significant part of the substantive effort under an IC CAE grant may be contracted or otherwise transferred to another organization without prior DIA authorization. The purpose is to ensure that the recipient performs a substantive role in carrying out the project or program activities.

(U) 5.5.1 PROCEDURES AND RESPONSIBILITIES

(U) The recipient is responsible for the programmatic and administrative performance of its sub-recipients. DIA's role encompasses the following: (1) evaluating the desirability and need for transferring substantive work from the recipient to a sub-recipient; (2) monitoring the work performed by the prime recipient to ensure that it is consistent with the primary objectives of the Program as reflected in the award; and (3) monitoring the progress of the work to ensure that the programmatic and administrative management of the project complies with IC CAE's policies, regulations, and terms of the award and standards of good business management practices. The recipient remains responsible for maintaining the necessary documentation on all sub-agreements and must provide the DIA access to those materials upon request. The recipient shall provide information on the sub-agreement activities in their quarterly and Final Reports.

(U) 5.5.2 PRE-AWARD

(U) If the recipient plans to enter into a sub-agreement to support part of the grant, the proposed sub-agreement information should be included in the applicant's proposal if it is available. The Program Office is responsible for reviewing the sub-agreement material to ensure that the:

- Proposed sub-agreement budget is reasonable for the proposed effort, and
- Work proposed is appropriate and necessary for the overall project and appropriate technical oversight is in place.

(U) The Grants Officer is responsible for reviewing the Program Office's recommendation and the submitted material to ensure that the proposed sub-

agreement meets the requirements of OMB Circular A-110 and is allowable in accordance with the applicable Federal cost principles. Agency approval to enter into the sub-agreement will be provided in the Notice of Award. It should be noted, however, that this does not constitute approval of the sub-agreement nor the related terms and conditions which are the responsibility of the recipient.

(U) The applicable provisions for sub-agreements are described in Appendix K of the Assistance Agreement.

(U) 5.5.3 POST-AWARD

(U) If it becomes necessary to transfer, by contract or other means, a significant part of the substantive effort after an award has been made; the recipient is required to submit to the Program Office request containing pertinent sub-agreement information.

(U) If the Program Office approves the request, he/she will forward their concurrence to the Grants Officer to amend the grant. If disapproved, the Program Office will send a notice of disapproval to the Principal Investigator (PI) and the AOR with a copy of the notice to the Grants Officer.

(U) 5.5.4 CHANGES TO EXISTING SUBAGREEMENTS

(U) If there is a need to change the sub-agreement amount from that which was originally approved in the award, the organization should send a revised budget and budget justification to the Program Office for review. If the Program Office concurs with the request, the Program Office will forward their concurrence to the Grants Officer for written approval. DIA authorization will be indicated by an amendment to the award signed by the Grants Officer.

(U) 5.6 CHANGES IN PRINCIPAL INVESTIGATOR (PI) OR PERSON-MONTHS DEVOTED TO THE PROJECT

(U) The DIA decision to support or not to support a proposed project is based, in part, upon its evaluation of the proposed PI's knowledge and his/her capabilities to conduct the project in an efficient and productive manner. The named PI should be continuously responsible for the conduct of the project and be closely involved with the effort.

(U) 5.6.1 LONG-TERM ABSENCE OF PI

(U) In the event the named PI will be away from the project for a period greater than three months (e.g., sabbatical leave) but intends to return, arrangements for oversight of the project by another individual shall be sent to the Grants Officer for approval. The Program Office will determine if the arrangements are satisfactory and will notify the PI and AOR of their decision. No formal amendment to the grant will be made. If the arrangements are not satisfactory to the DIA, the grant may be terminated.

(U) If the PI's temporary activities might constitute a conflict of interest (e.g., working for a Federal agency), a substitute PI should be named by the organization and forwarded to the Grants Officer for approval by the Program Office.

(U) 5.6.2 CHANGE IN PERSON-MONTHS DEVOTED TO THE PROJECT

(U) If the PI will devote substantially less time to the project than anticipated in the proposal (defined as a reduction of 25% or more in time), he/she should consult with the AOR and the Program Office to discuss how this change in level of effort might affect the project. DIA may:

- Ask the recipient to nominate a replacement PI acceptable to the Program Office (Please see "Change of PI" section, below);
- Negotiate an appropriate modification to the grant, reflecting the change in the level of effort and resulting change in the budget, or
- Terminate the grant.

(U) 5.6.3 CHANGE OF PI

(U) In the event the named PI severs his/her connection with the recipient organization or otherwise relinquishes active direction of the project, the AOR should notify the Grants Officer in writing. In the event the recipient wishes to continue the project with a substitute PI, the AOR should submit to the Grants Officer the name of the new/substitute PI and their qualifications and current and pending research support from all sources.

(U) The Program Office must approve the request. The Grants Officer will amend the grant to reflect the new Principal Investigator. If the request is not approved, the Grants Officer will notify the PI and AOR and will take steps to suspend or terminate the grant.

(U) 5.7 PRE-AWARD COSTS

(U) Recipients may incur pre-award costs within the 90-day period immediately preceding the effective date of the grant provided:

- Approval of pre-award spending is made by the AOR and documented in accordance with the recipient's procedures,
- The pre-award cost is necessary for the effective and economical conduct of the project, and
- The costs are otherwise allowable.

(U) Pre-award expenditures are made at the recipient's risk. Recipient authority to approve pre-award costs does not impose any obligation on DIA prior to the obligation of funds.

(U) The AOR must request Grants Officer approval for pre-award costs which were incurred more than 90 calendar days prior to the effective date of the grant. Grants will not be amended to change the effective date of the award. The Grants Officer will provide written notification to the AOR of the approval or denial of the request.

(U) Pre-award costs which were expended on an active continuing grant prior to receipt of a continuing grant increment are not subject to these approval requirements but must adhere to the cost principles noted above.

(U) 5.8 PARTICIPANT SUPPORT COSTS

(U) Participant support costs are direct costs for items such as stipends or subsistence allowances, travel allowances and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with meetings, conferences, symposia or training projects. Support costs may only be awarded to registered students at a CAE institution.

(U) Funds provided for participant support may not be used by recipients for other categories of expense without the specific prior approval of the Program Office. The Program Office will either approve or disapprove the request on behalf of DIA and will notify the PI and the AOR of their decision.

(U) Participant support costs may not be included in the basis for any indirect costs charged to the grant.

(U) 5.9 REPORTING REQUIREMENTS

(U) The IC CAE requires programmatic and financial reports for all assistance awards. These reports provide Program Office and Grants Officer with information on the progress of supported projects and the ways in which the funds are used.

(U) 5.10 AWARD AMENDMENT TRANSACTIONS

(U) Actions requiring notification to or approval by the DIA (i.e., no-cost extensions, supplemental support) must be submitted in writing to the Program Office for action.

(U) 5.10.1 CONTINUING GRANT INCREMENTS (CGIs)

(U) Continuing grants are normally made for periods of 18 to 60 months (five years). The original award period should be for at least 12 months with future increments supporting 12 month budget periods unless justification for shorter

time increments is fully documented in the grant file and approved at the Grant Office level.

(U) All commitments for future support should be identified in the Program Office's recommendations. The continuing grant will provide initial support and stipulate an approximate level of future funding for each projected increment. For an award with annual increments exceeding \$200,000, the grant may state an estimated support level with provisions for annual renegotiation of incremental funding levels and award duration.

(U) 5.10.1.1 PROPOSALS AND EVALUATIONS

(U) The original proposal includes the entire scope of the project and is evaluated based on the work proposed. Therefore, the original reviews should cover the work to be supported by all proposed increments of a continuing grant. Thus, neither a new proposal nor new reviews are required for later increments unless a special need for new reviews is indicated based on: (1) project reports or monitoring of the project; (2) major changes in the project or the senior personnel involved; or (3) proposed increments substantially greater than initially approved.

(U) 5.10.1.2 CONTINUED SUPPORT FUNDING

(U) The Program Office, with input from the Senior Advisory Board, recommends approval of CGIs based on the availability of funds, satisfactory progress of the project, and recipient compliance with any special conditions. A formal budget is not required unless stipulated in the original award notice.

(U) The PI must submit an annual workplan report with a summary of progress. Specific plans and objectives for the following year, if funded, should also be included.

(U) The required project report and other information should be submitted to the DIA at least 90 days prior to the end of the current funding period. This provides the time necessary for the Program Office and Senior Advisory Board to review the report and the Grants Officer to obligate the funds and issue the incremental funding amendment.

(U) 5.10.2 NO-COST EXTENSIONS

(U) Requests for no cost extensions shall be submitted to the Grants Officer for review and approval. Grantees may not work beyond the period of performance of their grant without prior approval of the Government.

(U) 5.10.3 SUPPLEMENTAL SUPPORT

(U) In unusual circumstances, small amounts of supplemental funding and up to 12 months of additional support may be requested by the recipient to assure adequate completion of the original scope of work.

(U) The Program Office reviews the request and if it concurs, will provide the necessary funds and forward their recommendation and commitment document to the Grants Officer for review. The Grants Officer will obligate the funds and modify the award. Supplemental funds should not exceed 20% of the original award total.

(U) 5.11 AWARD COMPLIANCE AND RELATED ISSUES

(U) 5.11.1 COOPERATION WITH THE OFFICE OF THE INSPECTOR GENERAL

(U) Every employee is responsible for:

- Promptly reporting to the Office of the Inspector General (IG) allegations of misconduct, fraud, waste, abuse, or corruption involving DIA, DIA employees, DIA-funded activities, or proposals for DIA funding (IG will maintain confidentiality, if so requested); and
- Fully and promptly cooperating with IG requests, including providing records, interviews, and briefings to IG employees or agents.

(U) 5.11.2 SUSPENSION AND TERMINATION OF ASSISTANCE AGREEMENTS

(U) An active award may be suspended or terminated (in whole or in part) in accordance with the procedures described in 2 CFR § 215.61 and 2 CFR § 215.62 and also delineated in the *Assistance Agreement (Appendix K – Article 19)*. The award may be terminated in whole or in part if the following conditions apply:

- By DIA, if a recipient materially fails to comply with the terms and conditions of any award.
- By DIA with the consent of the recipient, in which case the two parties shall agree upon the termination conditions, including the effective date and, in the case of partial termination, the portion to be terminated.
- By the recipient upon sending to DIA written notification setting forth the reasons for such termination, the effective date, and, in the case of partial termination, the portion to be terminated. However, if DIA determines in the case of partial termination that the reduced or modified portion of the grant will not accomplish the purposes for which the grant was made, it may terminate the grant in its entirety.

(U) The award may be suspended in whole or in part if the Recipient fails to comply with the terms and conditions of this agreement. The DIA Grants Officer will provide written notice of breach or deficiency to the Recipient and will provide the Recipient an opportunity to explain or correct the breach or deficiency

within 30 days from receipt of notice. If the explanation does not satisfy the Government's requirements, it may suspend performance. In accordance with 2 CFR § 215.62, DIA may take one or more of the following actions when the Recipient is noncompliant:

- Temporarily withhold cash payments pending correction of the deficiency by the recipient or more severe enforcement action by the Federal awarding agency.
- Disallow (that is, deny both use of funds and any applicable matching credit for) all or part of the cost of the activity or action not in compliance.
- Wholly or partly suspend or terminate the current award.
- Withhold further awards for the project or program.
- Take other remedies that may be legally available.

(U) If suspension is invoked, the Government may withhold further payments, or prohibit the Recipient from incurring additional obligation of funds until corrective action is taken.

(U) The Programs Office should consult with the Grants Officer as soon as possible when such a situation arises. Programs are responsible for documenting their reasons for recommending a suspension or termination of an IC CAE award. Concurrence at the Senior Advisory Board level is necessary when such actions are initiated by the Program Office.

(U) The IC CAE Program Office may decide to discontinue funding of continuing grant out-years when progress on the project is insufficient or award conditions have not been met. Unless the recipient failed to submit a request for additional funding (generally via submission of an acceptable project report), The Program Office is responsible for documenting the award file to reflect the reasons for discontinuing the funding.

(U) 5.11.3 RECIPIENT-INITIATED SUSPENSION, REDUCTION, OR CANCELLATION

(U) There are occasions with the recipients will request that an assistance award be suspended, reduced, or canceled. These actions may be treated as routine administrative transactions. The Grants Officer will modify the award to reflect the change.

(U) SECTION 6. FINAL REPORT AND GRANT CLOSEOUT

(U) 6. FINAL REPORT AND GRANT CLOSEOUT

(U) DIA's final reporting requirements and close-out procedures seek to ensure that funds have been properly used without imposing complex or overly burdensome requirements on award recipients. Closeout involves the review of expired grants to ensure that all fiscal and technical requirements are met and all business management issues or special award conditions have been resolved.

(U) 6.1 REPORTING MECHANISMS**(U) 6.1.1 FINAL DISBURSEMENT REPORT**

(U) The recipient is required to submit a Federal Financial Report (FFR) for each expired grant reflecting the final total disbursements for the award. The FFR constitutes the final fiscal report.

(U) 6.1.2 FINAL PROJECT REPORT

(U) DIA grant awards require the recipient to submit a final project report to the Program Office and Grants Officer within 90 days after the expiration of the award. Some grant awards may also specify unique reporting requirements or mechanisms for submission.

(U) 6.1.3 AUDITS

(U) Audits of recipients receiving federal assistance awards are rarely required. DIA will rely on single audits conducted under OMB Circular A-133. The Grants Officer is responsible for the resolution of any audit findings relating to a specific DIA award.

(U) 6.2 CLOSEOUT RESPONSIBILITIES**(U) 6.2.1 RECIPIENTS**

(U) The Principal Investigator and the Authorized Organizational Representative have the primary responsibility for ensuring submission of all required reports. The recipient is required to submit, at a minimum, (1) a Federal Financial Report (FFR) showing final total disbursements and certifying the validity of the charges; and (2) a final project report. Some DIA awards also contain special provisions which specify additional requirements for unique reports or other types of end products.

(U) 6.2.2 THE PROGRAM OFFICE

(U) The Program Office has the general responsibility to:

- Follow up, as required, to obtain completed final project reports and any unique technical items required by the terms and conditions of the award;
- Certify that all programmatic aspects of the award have been satisfied;
- Notify the Grants Officer of the receipt of the required reports and provide copies of the Annual Project Report(s) and the final project report for the official grant file; and
- Consult with the Grants Officer to resolve any outstanding grant issues.

(U) 6.2.3 GRANTS OFFICER

(U) The Grants Office is responsible for the administrative closeout of assistance awards to all organizations. Awards are administratively closed when all financial, administrative, and technical reporting requirements have been satisfied.

(U) The Grants Officer has general responsibility to:

- Administratively close out assistance awards when the final expenditure data has been received and all unique reporting requirements and terms and conditions have been met;
- Take appropriate action when organizations have excessive numbers of delinquent or unsatisfactory project reports;
- Make appropriate determinations in special cases where reasonable follow-up efforts for delinquent reports have been exhausted (e.g., when a PI cannot be reached because he/she has left the country, or is no longer doing research);
- Take appropriate measures when serious financial-accountability problems within an organization are identified, including and in coordination with Audit where applicable: providing advice, performing site visits to reconcile accounts and assuring that recipient systems are adequate, requesting detailed audits of recipient accounts, suspending cash advances, suspending or terminating active awards, or withholding new awards until financial problems are resolved; and
- Record final disbursement data from the FFR and financially closeout grants. If there is an unexpended residual balance of \$300 or less at time of closeout, the Grants Officer will instruct the AOR to use the balance to support other research efforts and not return the funds to the DIA/Treasury.

(U) 6.3 RETENTION AND RETIREMENT OF PROPOSAL AND AWARD RECORDS

(U) Managing recorded information is an important responsibility of every Federal agency. DIA records (e.g., award files, declined or withdrawn proposal files, etc.) must be retained and either retired or disposed of in accordance with Federal law and

regulation. Additionally, the Recipient shall retain all financial records, supporting documents, statistical records and all other records pertinent to an award for a period of three years pursuant to 2 CFR 215.53.

(U) SECTION 7. SPECIAL CONSIDERATIONS

(U) 7. SPECIAL CONSIDERATIONS

(U) This section addresses special proposal and award related issues or requirements that should be considered and documented. Issues and requirements addressed in this section include:

- Non-Discrimination Statutes
- Government Permits and Activities Abroad
- Title to Equipment
- Intangible Property
- Program Income
- Justification for Funding Grant after Initial Award

(U) 7.1 NON-DISCRIMINATION STATUTES**(U) 7.1.1 SCOPE**

(U) A number of statutes bar recipients of Federal financial assistance from excluding persons, because of their race, sex, color, age or national origin, from participation in Federally-supported activities. These include: Title VI of the Civil Rights Act of 1964 (barring discrimination on grounds of race, color, or national origin); Section 504 of the Rehabilitation Act (barring discrimination against individuals with disabilities); and the Age Discrimination in Employment Act. Title IX of the Educational Amendments of 1972 bars sex discrimination in Federally-assisted education programs or activities. In addition to statutory prohibitions, E.O. 11246 bars various types of discriminatory employment practices under grants for construction.

(U) 7.1.2 RESPONSIBILITIES AND PROCEDURES

(U) If any DIA employee has questions regarding the DIA non-discrimination regulations or statutes or becomes aware of a possible act of discrimination by a DIA grant recipient, he/she should contact the Grants Officer, who should consult with the DIA's Office of General Counsel (GC). GC will determine the appropriate course of action.

(U) 7.4 GOVERNMENT PERMITS AND ACTIVITIES ABROAD

(U) For awards that include activities that require permits from Federal, state, or local government authorities, the recipient is responsible for obtaining the required permits before undertaking the proposed activities.

(U) 7.4.1 RESPONSIBILITIES

(U) 7.4.1.1 RECIPIENT

(U) The recipient's activities conducted outside the U.S. must be coordinated as necessary with appropriate U.S. and foreign government authorities and the necessary licenses, permits or approvals are obtained prior to undertaking proposed activities. Cost incurred for licenses, permits, or approvals are non-reimbursable and will not be paid by the Government. The recipient must comply with the laws and regulations of any foreign country in which study is to be conducted. Areas of potential concern include: (1) requirements for advance approval to conduct research or surveys; (2) special arrangements for the participation of foreign scientists and engineers; and (3) special visas for persons engaged in studies. DIA does not assume responsibility for recipient compliance with the laws and regulations of the country in which the work is to be conducted.

(U) 7.5 TITLE TO EQUIPMENT**(U) 7.5.1 TITLE TO PROPERTY ACQUIRED UNDER DIA ASSISTANCE AWARDS**

(U) Unless otherwise specified in the grant, title to equipment purchased or fabricated with DIA grant funds of less than \$5,000 by a college or other nonprofit organization will vest in the recipient organization upon acquisition.

(U) 7.5.2 RECIPIENT RESPONSIBILITIES

(U) The recipient assures that for each purchase of equipment, it is necessary for the research or activity supported by the grant, not otherwise reasonable, available, or accessible, and acquired in accordance with organizational practice. The equipment must remain in use for the specific project for which it was obtained in accordance with the property management standards. Pursuant to 2 CFR 215.31, recipients shall, at a minimum, provide the equivalent insurance coverage for property acquired with Federal funds as provided to other property owned by the recipient.

(U) 7.6 INTANGIBLE PROPERTY**(U) 7.6.1 RIGHTS IN INVENTIONS MADE UNDER DIA AWARDS**

(U) The Bayh-Dole Act (35 USC, Sections 200–212) provides that small business firms and non-profit organizations, including universities, may normally retain the principal patent rights to inventions made during research, development, or experimentation. In accordance with a Presidential Memorandum entitled *Government Patent Policy* issued on February 18, 1983, DIA applies the policies of that Act to all its grant recipients. Guidance for compliance with the Bayh-Dole Act are published in 37 CFR §401.

(U) 7.6.2 DIA'S STANDARD PATENT RIGHTS AND COPYRIGHT CLAUSE (37 CFR 401.14)

(U) All rights and title to data and technical data, as defined in 48 CFR 27.401, shall vest in the Recipient.

(U) The Recipient shall grant to the U.S. Government a irrevocable, non-exclusive, non-transferable, royalty-free, fully paid-up license to use, duplicate, or disclose for governmental purposes any data, technology and inventions, whether patented or not, made or developed under this Agreement.

(U) The Recipient reserves the right to protect by copyright original works developed under this agreement. All such copyrights will be in the name of the Recipient. The Recipient shall grant the U.S. Government a irrevocable, non-exclusive, non-transferable, royalty-free, fully paid-up license to reproduce, prepare derivative works, distribute copies to the public, and perform publicly and display publicly, for governmental purposes, any copyrighted materials developed under this agreement, and to authorize others to do so.

(U) The Recipient is responsible for affixing appropriate markings indicating the rights of the Government on all data and technical data delivered under the agreement. The Government shall be deemed to have unlimited rights in all data and technical data delivered without markings.

(U) The Recipient shall file Invention (Patent) Reports as of the close of the performance year and at the end of the term for this Agreement. Annual reports are due 60 days after the end of each year of performance and final reports are due 60 days after the expiration of the final performance period. Negative reports are also required. The Recipient shall submit the original and one copy to the Grants Officer.

(U) Final payment cannot be made nor can the agreement be closed out until the recipient delivers to the Government all disclosures of subject inventions required by this agreement, an acceptable final report pursuant to article 10 entitled "*Annual Performance Reports*," and all confirmatory instruments.

(U) 7.6.2.1 REQUIRED ACTION

(U) Generally, DIA is required to take the following actions relating to inventions and patents at the times specified:

- Before an award is made, exceptional circumstances requiring a nonstandard allocation of patent rights must be identified so that a special patent clause can be negotiated;
- At the time of award, the appropriate patent clause must be made part of the award;

- Once an invention is disclosed to DIA, it must be recorded and its subsequent handling monitored to assure that all legal requirements are fulfilled;
- When the owner of a DIA-supported invention requests waiver of a requirement or restriction, an appropriate response must be made promptly; and
- At any time, if information received from the recipient or other sources indicates that a DIA-supported invention was not disclosed or administered as required by DIA's patent policy and regulation, an investigation must be made and corrective action taken.

(U) 7.7 JUSTIFICATION FOR FUNDING GRANT AFTER INITIAL AWARD

(U) When a decision is made by the program to fund a grant proposal after initial award (in the Selectable but Not Funded Category), a Justification Memorandum (see Appendix O) must be prepared by the Program Office describing the rationale to fund the proposal. This memorandum must be submitted with a Procurement Request (PR) and forwarded to the Grants Officer for appropriate concurrence and approval.

(U) APPENDIX A - GLOSSARY

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

Assistance Award: 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. For the purposes of this manual, the term “assistance awards” or “assistance agreements” refers to grants only.

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.

Broad Agency Announcement: A broad agency announcement of proposals for funding of projects under the program.

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.

DIA Grants Procedure Manual: A compendium of Defense Intelligence Agency (DIA) policies and procedures related to the proposal and award process for assistance awards. The DIA Grants Procedure Manual (DGPM) supplements other internal and external guidelines and should be used in conjunction with the provisions of applicable Office of Management and Budget (OMB) circulars and government-wide common rules related to Grants. The DGPM is intended for DIA internal use only. It should be the first document that DIA staff members refer to when there is a question related to the DIA grant proposal and award process.

Closeout: Completion by the recipient and government of all appropriate final actions except audit, and a determination by DIA that the assistance award is complete.

Conflict of Interest: Reviewing outside activities, relationships, or financial interests of a recipient or an employee to determine whether they are proper to prevent the entity from being, or appearing to be, motivated by a desire for private gain.

Cost Principles: The principles used to determine whether costs are allowable in Federal assistance agreements in accordance with OMB circulars.

Evaluation: External reviewer's analysis of the merits of a proposal, based on the review criteria outlined in the applicable program broad agency 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.

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.

Grant: A type of assistance award and a legal instrument which permits an executive agency of the Federal government to transfer money, property, services or other things of value to a recipient when no substantial involvement is anticipated between DIA and the recipient during the performance of the contemplated activity.

Grants Officer: Agency Official authorized to enter into, modify, administer, and/or terminate grants by a delegation of authority from the Procurement Executive.

Incremental Funding: An amendment to a continuing grant which provides additional funding to the recipient at the level indicates in the original award notice when the initial grant was partially funded.

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.

Principal Investigator: The individual designated by the recipient, and approved by DIA, who bears responsibility for the scientific or technical direction of the project.

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

Broad agency announcement Recipient: The organization or other entity that receives a grant and assumes legal and financial responsibility and accountability both for the awarded funds and for the performance of the grant-supported activity.

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.

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.

Suspension: An action which temporarily suspends Federal assistance under an assistance agreement while awaiting corrective action by the recipient or the Federal agency's decision to terminate the agreement.

Supplemental Funding: An amendment to an initial grant award, based on a written request from the recipient to provide additional funds over and above the request in the original application to perform additional work or pay for unexpected costs

Termination: The cancellation, in whole or in part, of Federal support under an assistance agreement prior to completion of the approved expiration date.

This appendix is UNCLASSIFIED.

(U) APPENDIX B - REVIEW PLAN TEMPLATE

Program Broad Agency Announcement Title: Intelligence Community Centers for Academic Excellence Program
A. Need, Objectives, and Goals:

Guidance: This section should demonstrate the need for and describe the specific objectives of the activity. It should align the activity to one or several of IC's strategic goals and to IC's overall portfolio of activities. The following items should be addressed:

- The purpose and objective of the proposed activity;
- How the activity aligns with IC's strategic goals;
- How the activity complements, or differs from, ongoing activities;
- The demonstrated need for the activity;
- The anticipated number of awards to be supported under this Program broad agency announcement;
- Eligibility requirements and restrictions; and
- The expected duration of the Program.

B. Management and Staffing

Guidance: This section should explain the Program management responsibilities and the availability of the required budget and staffing resources. It should identify the roles and responsibilities for each of the parties involved in the proposal evaluation, grant award, grant administration, and grant closeout processes. Examples of such responsibilities include:

- Implement policy and provide oversight and general management of the review and award selection process (*Program Office and Grants Officer*);
- Coordinate activities that cut across DIA or associated working groups (*Program Office*);
- Coordinate interagency activity (*Program Office*);
- Receive, distribute, and process incoming proposals (*Grants Officer*);
- Respond to general administrative inquiries on the Program broad agency announcement (*Grants Officer*);
- Execute administrative responsibilities and proposal/award cost review (*Grants Officer*);
- Execute proposal/award programmatic review by its office and Senior Advisory Board (*Program Office*);
- Approve the final award selection (*Senior Advisory Board*) and
- Obligate/award funding (*Grants Officer*).

Discuss staffing availability. Confirm that adequate staff resources are available and describe how the activity will be accommodated within existing resources. Indicate how other directorates or groups may be asked to provide Program Officer and support staff to assist with proposal processing and evaluation. Although review plans may explain the

need for additional resources, these plans should not include requests for additional resources.

Assess the budget needs for the proposed activity. This assessment should address:

- The estimated costs to conduct the evaluation process (e.g., travel for evaluators, per diem costs, etc.) and the office responsible for these costs;
- The total amount of funding that will be available for the broad agency announcement;
- The proposed funding level for each award; and
- The estimated costs for post award monitoring activities.

This section also should confirm: (1) the source of DIA funds that will be used to support the award budgets and the administrative costs; and (2) that sufficient funds are available to the program to support the Program broad agency announcement.

C. Proposal Processing, Evaluation, and Award

Guidance: This section identifies the proposal evaluation process and criteria, the proposal deadline, the proposal processing timetable, the division of responsibility for the processing steps, and the award management process. This section consists of an explanation of the planned process for the merit evaluation and the method used to select the evaluators. It also should include a discussion on how the Program Office will develop instructions for the evaluators, invite and brief the evaluators, select the evaluation site, and oversee the panel operation as well as identify the merit evaluation criteria to be used in the proposal selection. Lastly, this section should document the schedule and timeline for the evaluation and award processes to include proposed dates for broad agency announcement release, proposal due dates, merit evaluation panel meetings (if applicable), and issuance of grant award notifications.

D. Impact Monitoring and Assessment

This section describes the plan for award monitoring and Program (performance) assessment. It should discuss the ways in which the impact of the activity will be evaluated and how progress toward the activity's goals will be measured. This section also should address the performance assessment tools to be used such as annual reports, weekly or monthly Principal Investigator meetings and/or site visits, and external evaluations. Basic questions applicable to this section include:

- How will the recipient's performance be monitored?
- How will the impact of the activity be evaluated?

How will the progress towards the activity's goals be measured?

This appendix is UNCLASSIFIED.

**(U) APPENDIX C - BROAD AGENCY ANNOUNCEMENT SYNOPSIS
TEMPLATE**

Date:

To: ALL OFFERORS

From: (Name and Title)

Subject: FY () (Insert Broad Agency Announcement Program Name)

I am pleased to announce the release of the FY (Broad agency announcement Program Name) Broad Agency Announcement # (Insert Broad agency announcement Number). All information regarding this program has been posted on Grants.gov. If you are interested in this broad agency announcement, please visit the website and follow the online instruction to either create an account if you are a new user, or log in if you already have an existing account. We look forward to your proposal submissions.

Sincerely,

(Name)
Grants Officer

This appendix is UNCLASSIFIED.

(U) APPENDIX D - BROAD AGENCY ANNOUNCEMENT TEMPLATE

**INTELLIGENCE COMMUNITY CENTERS FOR ACADEMIC EXCELLENCE
(INSERT FY) BROAD AGENCY ANNOUNCEMENT # (INSERT NUMBER)**

OVERVIEW INFORMATION

FEDERAL AGENCY NAME: Defense Intelligence Agency, Mission Services Directorate, Office of Training, Education and Development, and the (Office Head)

FUNDING OPPORTUNITY TITLE: Fiscal Year (TBD) Intelligence Centers for Academic Excellence Program

ANNOUNCEMENT TYPE: Initial Announcement

FUNDING OPPORTUNITY NUMBER: Fiscal year # (TBD) Broad Agency Announcement # (TBD)

CATEGORY OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER: 12.598

DATES: Proposal Due Date is (insert date and time).

Concise Description: This Broad Agency Announcement (BAA) describes the FYXX competition for grants under the Intelligence Community Centers for Academic Excellence (IC CAE) Program. The Defense Intelligence Agency has been designated as Executive Agent for this program by the Director of National Intelligence. The proposals submitted as a result of this announcement will fall under the purview of the Defense Intelligence Agency Grants Procedure Manual.

The IC CAE Program's purpose is to develop a cadre of qualified intelligence professionals to carry out America's long-term national security initiatives by assisting to shape a competitive, knowledgeable and diverse workforce.

The design of the IC CAE Program was formulated and executed in accord with Executive Order 13355 and the Intelligence Authorization Act for Fiscal Year 2010. Additional authorities include 50 U.S.C, Chapter 15, Part C, Section 441 p. ("Intelligence Officer Training Program") and 50 U.S.C. 403-1 (n) ("Acquisition and Other Authorities").

Potential applicants are encouraged to obtain and become familiar with the information in the IC CAE Program by accessing the DIA website at <http://www.dia.gov/CAE>.

ANTICIPATED AMOUNT/NUMBER OF AWARDS: It is anticipated that five or six grants will be funded under this broad agency announcement Broad Agency Announcement. Each award will be for no greater than \$500,000 per year for no more than five (5) years. If additional funding becomes available, the Program may choose to make additional awards under the terms of this Broad agency announcement from the remaining selectable proposals.

EXECUTIVE AGENCY

The Defense Intelligence Agency (DIA) Office of **Training ,Education and Development** is the executive agent for the **Intelligence Community Centers for Academic Excellence program**. DIA's role as executive agent includes developing and distributing this Broad agency announcement Broad Agency Announcement, managing the proposal review process, awarding the grants using DIA's grant authority, and managing the administration of the grants after award.

The Grants Officer for this program is **(insert Name)**.

ELIGIBILITY AND REQUIREMENTS

Key elements to be addressed are:

1. **Eligible Applicants.** Eligible applicants are four-year colleges or universities within the United States which are regionally accredited.
2. **Cost Sharing or Matching.** **No cost sharing is required.DIA**
3. **Other Eligibility Criteria.** If there are other eligibility criteria (i.e., criteria that would have the effect of making a proposal or project ineligible for award such as "responsiveness" criteria, "go-no-go" criteria, "threshold" criteria) clearly state them. Also state any limit on the number of proposals an applicant may submit under the Program broad agency announcement and make clear whether the limitation is on the submitting organization, individual Investigator, or both. This section should also make clear whether an applicant must be able to meet the eligibility criterion for award by the time of the proposal submission or the time of the award. It should also indicate whether a proposer's failure to meet the eligibility criterion by the time of submission will result in rejection of the proposal.

(Exemplar: Broad agency announcement the applicant must be a U.S. domestic accredited four-year college, or university. Each recipient **MUST** be a U.S. academic institution. The Principal Investigator (PI)/mentor is required to be a U.S. citizen.)

SUBMISSION REQUIREMENTS

The Government will evaluate all eligible proposals submitted under the terms and conditions of this Broad agency announcement Broad Agency Announcement. Government-paid consultants or subject matter experts may be involved in providing comments during the review process.

GENERAL

The Program, through DIA as the executive agent, intends to make **(insert period of performance of grant term)**. To be considered and evaluated, the Government must receive the full proposal

via Grants.gov. by **(insert time) Eastern Standard Time on (insert date).** **DIA will not accept proposals after the time and date specified in this section.** Proposals will be evaluated against criteria described in the broad agency announcement. The estimated grant start date of **(insert date)** should be used for budget and proposal purposes. However, the applicant may request a later start date and may therefore develop the proposed budget based on their proposed start date. The start date may be no later than one year from the date of the award.

After the technical evaluations, DIA will send a notification to the Principal Investigator, with a copy to the Authorized Organizational Representative, announcing whether the proposal is being recommended for an award.

Requests for hard copies of the announcement will not be honored. **Interested parties must stay apprised of this broad agency announcement including revision information and answers to submitted questions by checking Grants.gov.**

INQUIRIES FROM APPLICANTS

Potential applicants can submit questions or comments regarding this program, but these must be submitted via Grants.gov. New users of the website must first register and obtain a user identifier and password to use for login at the site.

Once registered and logged in to the website, potential applicants can click the “Current Efforts” tab and select the (insert broad agency announcement name or number) page under the list. Applicants must use the “Q&A” link on that page to submit a question or comment, and to view the responses to all questions and comments, including those submitted by other organizations. For technical questions/comments, applicants should reference the specific Research Topic number in order to better direct and respond to topic questions. Answers will be posted as they are developed. Applicants are encouraged to review all previous questions and answers prior to posting a question/comment to avoid duplication of questions. **Questions/comments submitted via email or phone questions, WILL NOT RECEIVE A RESPONSE. Cut-off date for questions is (insert time) on (insert date).**

PROGRAM UPDATES

It is the applicant’s responsibility to periodically check Grants.gov for updates and revisions and responses to questions/comments from other applicants that may contain additional guidance regarding this program. Announcements regarding this effort (to include the Questions and Answers) and any amendments to the program requirements will be posted only on Grants.gov.

SUBMISSION

Proposals from all eligible institutions must be submitted by following the directions for submitting a final response under the **(insert tab name)** tab on the **(insert broad agency announcement name or number)** site. **(Proposals submitted by any applicant via the “Submit Unsolicited” link on the site, as well as by email, fax, or any other means, will not be accepted under any circumstances.)** Grants.gov will acknowledge receipt of the proposal.

Proposals can be submitted as one or multiple files, but if multiple files are submitted they must be combined into one compressed folder (.zip) and submitted as one .zip file. If an applicant fails to follow this requirement and submits multiple files individually (not zipped) for a proposal, the Government may elect to not review all the individual files in the interest of efficiency while downloading and reviewing responses. Allowable file formats are MS Word (.doc - MS Word 2003 or earlier version), Adobe Acrobat (pdf) file with copy permission granted, and MS Excel (xls - MS Excel 2003 or earlier version). The single or zipped (.zip) file must be less than 3.0 MB in file size.

In the event of system problems when submitting a proposal, contact the Grants.gov Technical Points of Contact listed under the "Contacts" link on the Grants.gov homepage. These technical personnel are available to assist only during normal working hours (Eastern Time Zone) on Government workdays Monday through Friday. **Failure to follow the submission instructions shall result in your proposal being disqualified. Applicants are strongly encouraged to submit proposals well before the submission deadline as proposals submitted the day of the deadline may be deemed late proposals and not accepted if they cannot be submitted on time due to applicant or Government technical problems.**

DIA will use the process and criteria described in this broad agency announcement to evaluate each proposal submitted under the terms and conditions of this Broad agency announcement Broad Agency Announcement. To be accepted for evaluation, a proposal must be received from an eligible institution in the complete and proper format as described below. Proposals that do not meet these criteria will be returned without review.

PROPOSAL PREPARATION INSTRUCTIONS

INTRODUCTION

This section provides guidance to the applicant for preparing a proposal in response to this Broad agency announcement Broad Agency Announcement. The applicant's proposal shall include all data and information required by this section and must be submitted in accordance with these instructions. Proposals that do not conform to these instructions will be returned to the applicant without review and will not be considered for award.

GENERAL INSTRUCTIONS

- a) The proposal shall be clear and concise and include sufficient detail for effective evaluation.
- b) Elaborate brochures or documentation, binding, detailed artwork, or other embellishments are unnecessary and are not desired.

CONTACT INFORMATION

A) Point of Contact:

The Grants Officer of the DIA is the sole point of contact for this Broad Agency Announcement Broad agency announcement and can be reached through the ARC. Address any questions or concerns you may have to the Grants Officer.

B) Proposal Retention:

The Government will retain copies of all unsuccessful proposals.

C) Proposal Format:

Proposals must be complete and stand-alone to qualify for review. Proposals prepared in Microsoft Word or Adobe Acrobat shall be single-spaced in 12-point Times New Roman font, with at least one-inch margins on top, bottom and sides, on an 8½" by 11" sized document. (Insert general areas of interest of the Program.) For this reason, all proposals must adequately describe the technical objectives and approaches, support of the Principal Investigator and individual recipients, and expenditures for equipment, all of which will be evaluated by qualified reviewers. Separate attachments, such as institutional brochures or reprints, will not be evaluated.

PROPOSAL ITEMS

The proposal shall include all of the following items.

A) PROJECT SUMMARY/ABSTRACT

The Project Summary/Abstract shall include the Broad agency announcement Broad Agency Announcement number (**insert number**), and proposal title. The Project Summary/Abstract also must indicate the name of **both the Principal Investigator and an appropriate Authorized Organizational Representative (AOR)** in the university or organization's administration/grants/contracting office, along with contact information, including at least (1) full, legal name and academic/functional title, (2) telephone number, (3) fax number, (4) postal mailing address, (5) Internet electronic-mail address. The Project Summary/Abstract shall not exceed three paragraphs.

Alternate contact information should also be included in the proposal. If proposal clarifications are required during the receipt, evaluation, or negotiation process, DIA will make every effort to contact the listed Principal Investigator or AOR based on the information provided by the applicant with the proposal. If those efforts fail, however, DIA will be forced to terminate the evaluation or award process for that proposal. Therefore, the Principal Investigator should provide alternate contact information—alternate telephone numbers and, if possible, the names of other persons and their telephone numbers—that will ensure DIA's ability to contact the Principal Investigator and AOR whenever needed.

B) PROJECT NARRATIVE

The project narrative is the descriptive portion of the proposal and shall be no more than three (3) pages and shall include the following:

- i. Description of the proposed program objectives, the approach to be undertaken, and the relationship to the state-of-knowledge in the field and to similar work in progress; and
- ii. Description of the expected outcomes and relevance to the IC CAE program.

C) RESUME

The resume shall be limited to two (2) pages and shall provide the credentials of the Principal Investigator, demonstrating why the individual is qualified to do the work proposed.

D) BUDGET

Beginning on a new page, the financial portion of the proposal should contain cost estimates in sufficient detail for meaningful evaluation, including cost details for proposed sub-awards. Although expected to be short, there is no page limit for the budget section of the proposal. The estimated costs should be broken down for each year of the program and shown by three distinct and separate totals: a total for the first year, second year, third year, fourth year and fifth year. For proposal purposes, use the later of the estimated award start date or the applicant's proposed start date.

The proposed annual budget should not exceed (insert number) in total.

The budget proposal must include the total estimated cost of the project, as well as a breakdown of the amount(s) by source(s) of funding (e.g., funds requested from DIA, other Government funding, and institutional funds to be provided as cost sharing). Costs of entertainment, amusement, diversion and social activities and any costs directly associated with such activities are unallowable. It is expected that the cost of travel, materials/equipment, and ODCs be held to a minimum. **This section shall include complete statements regarding the basis of estimate for all proposed costs, as all submitted proposal budgets are final after the deadline and may not be revised in any way.** Cost elements should include, but are not limited to, the following:

1. Salary and Benefits. The persons (i.e., the Principal Investigator, other faculty and institutional staff, and graduate and undergraduate students), whose time will be charged to the project, and their commensurate salaries and benefits. Allowable charges for students include salary, appropriate project/training costs, and tuition.

2. Equipment. The category shall include costs of equipment to be used in the project based on recent quotations and broken down in sufficient detail for evaluation. Equipment costs should be budgeted primarily during the first year. Allowable equipment ordinarily will be limited to specialized equipment that is not already available for the conduct of the work. General-purpose equipment, such as a personal computer, is not eligible for support unless primarily or exclusively used in the actual conduct of the proposed project.
3. Travel. Costs and personnel time for travel and the relevance of the travel to stated project objectives. This shall include a breakdown of the number of travelers, location, and duration; and estimated costs for transportation, rental car, and per diem.
4. Other direct costs. Materials and supplies; publication, documentation and dissemination; consultant services; computer services; communication costs not included in overhead; and other (identify). In addition, backup data for the source of costs should be provided, i.e., quote, historical data, etc. **(Include any publication costs if required).**
5. Sub-awards. Costs and types of sub-awards (the portion of work to be sub-awarded and rationale for the sub-awards). Note that the sub-award of funds among all university and non-university performers responding as one consortium must be described carefully.
6. Facilities and Administrative (F & A) Costs. Costs that are incurred for common or joint objectives and, therefore, cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity. F & A costs are synonymous with "indirect costs." F & A costs must not exceed twenty-three point five (23.5) percent of the total of the grant. **Please fill out the attached Vendor Information Form for administrative purposes and include with your proposal submission.**
7. Lobbying and Political Activities. Lobbying costs and political activity costs are specifically disallowed.

ACKNOWLEDGEMENT OF DIA SPONSORSHIP

It is necessary for the President, Vice-President, Chancellor, Vice-Chancellor, or Provost at the University to acknowledge that the effort is being sponsored by the IC Centers for Academic Excellence. **This memo must be submitted with the proposal submission and received before the proposal will be considered. Failure to comply with this requirement will result in your proposal being disqualified.**

EVALUATION CRITERIA AND SELECTION PROCESS

CRITERIA

The initial evaluation criteria used for evaluations are:

- The qualifications of the Principal Investigator;
- Programmatic merits of the proposed work;
- The realism and reasonableness of cost. Evaluation of cost shall be based on cost realism as it relates to the Government's degree of confidence in the applicant's ability to perform the proposed work at the proposed cost)
- Relevance to the furtherance of shaping the IC potential workforce.

PROPOSAL EVALUATION PROCESS

The Program Office will review the proposals in accordance with the criteria stated above and will complete an evaluation for each proposal. Next, all proposals will be discussed by Evaluation Panels consisting of the Senior Advisory Board members from varied IC agencies. The panels will consider the overall contribution of each proposal as reflected by the numeric score, and considerations of program balance and available funding. The set of proposals that most effectively advances the IC Centers for Academic Excellence program needs will be first reviewed by the entire Senior Advisory Board and then recommended for award.

The number of awards made is dependent upon available funding. If additional funding becomes available, the Program may choose to make additional awards under the terms of this Broad agency announcement from the remaining proposals within one year. An IC sponsoring organization will be free to support any proposal(s) that addresses the research interests of that organization.

The list of proposals recommended for award, along with a description of the proposed work and the overall results of the evaluation process will be forwarded to the DIA's IC CAE Director. When approved, the award list will be forwarded to the DIA Grants Officer for award action to include, as necessary, cost analysis and award negotiation of grant terms. Awards will be made upon successful negotiation of terms.

AWARDS

After the Senior Advisory Board's decision and subsequent approvals, DIA will send a notification announcing whether the proposal is being recommended for an award to the Principal Investigator, with a copy to the Authorized Organizational Representative. **(Insert period of performance and that the grant will be incrementally funded)**. Granting option year funding is the unilateral right of the Government and the option year(s) may or may not be exercised. However, the proposal should include this option to allow the possibility for DIA to continue funding promising research. Progress must be demonstrated before the Government will provide the next increment of funds.

The DIA grant award consists of: (1) the assistance agreement, which includes any special provisions applicable to the grant and any numbered amendments thereto; (2) the budget, which indicates the amounts, by categories of expense, on which the DIA has based its

support; (3) the proposal referenced in the grant; (4) the applicable award conditions, (5) DIA Specific Requirements; (6) the Broad agency announcement, and (7) other DIA issuances that may be incorporated by reference in the assistance agreement.

Awards are expected to be in place by the proposed start date or the estimated start date identified in the schedule, whichever is later.

SIGNIFICANT DATES

The following table provides the significant dates referred to in the body of this announcement. The Estimated Start Date given here should be used for planning and budgeting purposes. Applicants may, however, request a later start date and develop their project plan and budget in accordance with that later date. All proposals should be valid for **365** days to allow time for the evaluation, selection, and award process.

<u>Action</u>	<u>Responsibility</u>	<u>Due Date</u>
Broad Agency Announcement	Government	TBD
Questions Due	Principal Investigators	TBD
Proposals Due	Principal Investigators	TBD
Letter of Intent to Recommend for Award and Declinations	Government	TBD
Grant Award	Government	TBD

LATE SUBMISSIONS

Proposals will be considered for award if submitted in a timely manner. **Proposals submitted after (insert time) on (insert date), will be considered late and will not be accepted. There are no exceptions to this rule.**

GRANT NOTICES

After evaluation of the submitted proposals, DIA will notify the proposing institutions whether or not their proposals are being recommended for an award. For each proposal, notification will be sent, according to the schedule above, in an electronic-mail message to the Principal Investigator and the Authorized Organizational Representative listed in the proposal. Awards are expected to be in place by either the proposed start date or the estimated start date.

This appendix is UNCLASSIFIED.

(U) APPENDIX E – SAMPLE LETTER FOR RETURN OF PROPOSAL WITHOUT EVALUATION

Date

To: Insert Name, Title
 Insert Institution Name

From: Insert Name, Grants Officer

Subject: Return of Grant Proposal without Evaluation

Reference: Insert Program Name and Broad agency announcement Number dated (insert
 release date of broad agency announcement)

Dear Dr. **(Insert Name)**:

On behalf of the IC CAE **Broad agency announcement Program Office(Insert Names)**, I regret to inform your office the proposal titled **(Insert Proposal Title Name)** submitted against the **(Insert Grant Broad agency announcement Title and Number)** has been deemed ineligible and was disqualified by the evaluation panel for **(Specific Reason)**.

Should you have any questions or concerns, please do not hesitate to contact the Grants Officer at **(Insert Phone Number or Email Address)**.

Sincerely,

(Name)
Grants Officer

This appendix is UNCLASSIFIED.

(U) APPENDIX F – NOTICE OF NONSELECTION

Date:

To: Insert Name, Title
 Insert Institution Name

From: Insert Name, Grants Officer

Subject: Notice of Non-selection of Grant Award

Reference: Insert Program Name and Broad agency announcement Number dated (insert
 release date of broad agency announcement)
 Insert Proposal Number, Topic Number, Title of Proposal

Dear Dr. XXX:

On behalf of the Intelligence Community Centers for Academic Excellence Broad agency announcement Program Officer, I regret to inform your office the proposal titled (insert Proposal Title Name) submitted against the (insert Grant Broad agency announcement Title and Number) has not been selected to receive funding at this time. Your proposal is still eligible to receive funding in the future, however, and should additional funds become available at some point within the next year, we will contact you as soon as possible.

Should you have any questions or concerns, please do not hesitate to contact the Grants Officer at (insert phone number or email address).

Sincerely,

(Name)
Grants Officer

This appendix is UNCLASSIFIED.

(U) APPENDIX G - GRANTS OFFICE REVIEW CHECKLIST

The Grants Office will review the following:

- Proposals reviewed for completeness and accuracy
- Proposal and certificates signed (lobbying, drug free workplace, debt/debarred)
- Proposal meets all requirements of the program broad agency announcement
- Proposal evaluation summary supports funding
- Recommendation Memorandum signed by Program Office
- Funds committed and amount verified
- Budgeted costs are allowable, allocable, and reasonable for the proposed work
-
- Recommended special language is included in grant award

This appendix is UNCLASSIFIED.

(U) APPENDIX H – GRANTS PROGRAM EVALUATION PLAN TEMPLATE

EVALUATION PLAN

INSERT PROGRAM NAME

(INSERT FY) BROAD AGENCY ANNOUNCEMENT # (INSERT NUMBER)

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ATTACHMENT 1: PROPOSAL TECHNICAL EVALUATION FORM

ATTACHMENT 2: CONFIDENTIALITY AGREEMENT AND CONFLICT OF INTEREST CERTIFICATION

1. IDENTIFICATION OF PLAN

(Provide a brief description of mission or goals of the program).

This Evaluation Plan for the **(insert Program Name)** sets forth the criteria and procedures for evaluating proposals submitted in response to Broad Agency Announcement # **(insert broad agency announcement number)** soliciting proposals for recipients interested in research projects in the subject areas described therein. Eligible applicants for this broad agency announcement must be associated with U.S. domestic regionally accredited colleges or universities.

2. ACQUISITION STRATEGY

The Defense Intelligence Agency's (DIA) Office of **Training, Education and Development** is the executive agent for the **Intelligence Community Centers for Academic Excellence** and will issue the Broad Agency Announcement on **(insert date)**.

The Government may provide unclassified data (GFI) required to carry out research to applicants at their request under the terms and conditions of Government purpose license rights. It is intended and presumed that all resulting work and data will be unclassified.

Government technical peers, generally led by the IC Advisors, will evaluate proposals and score them in accordance with this Evaluation Plan. Proposals will be prioritized and recommended for review based on **(insert evaluation criteria)** and realism and reasonableness of costs as it relates to the Government's degree of confidence in the applicant's ability to perform the proposed work at the proposed cost.

Following review of technical evaluator recommendations by the Program Office, members of the Senior Advisory Board and the Grants Officer DIA, the combination of proposals that most effectively advances the interests will be recommended to the Defense Intelligence Agency's Grants Officer for approval to commence Negotiation for Award. The Program expects to make **(insert number)** grant awards, and if additional funding becomes available, the Program may choose to make additional awards under the terms and conditions of the Broad Agency Announcement from the remaining proposals.

The Government intends to acquire unlimited rights to the technical data resulting from research work specified as an element of performance under the resulting grant.

3. FORMAT OF PROPOSALS

Each technical proposal shall conform to the specifications listed in the broad agency announcement.

4. MINIMUM QUALIFICATIONS

All applicants must meet the following minimum standards to be qualified for receipt of an award:

- A. U.S. domestic regionally accredited four-year college or university.
- B. All Primary Investigators must be U.S. citizens.

5. EVALUATION PROCESS

5.1 PRE-EVALUATION

Prior to evaluation:

- A. Each Senior Advisory Board member will review this Evaluation Plan and its attachments;
- B. The Grants Officer or representative will receive proposals and log them in;
- C. The Grants officer will administer Certifications of Confidentiality and Conflict of Interest (Attachment 1) to the Evaluators;
- D. The Program Office and the Grants Officer or representative will prepare pre-evaluation training for the Evaluators and deliver the training at a meeting or via written instruction; and
- E. The Grants Officer or representative will then provide the proposals to the Evaluation Teams.

5.2 PROPOSAL EVALUATION

- 1) The initial evaluator(s) will be a team that will:
 - Independently review the proposals;
 - Evaluate them per the evaluation criteria shown in paragraph 8 of this document;
 - Complete a set of Evaluation Worksheets (Attachment 1) for each proposal per the instructions shown in Attachment 1; and
 - Prioritize proposals in the order of preference for award.

Next, all the recommended proposals will be discussed by the Senior Advisory Board which will consider the overall merit of each proposal as reflected by the numerical score, the potential contribution to the advancement of the targeted technical topic(s), the amount of similar or related research already underway on a given topic, and the amount of available funding. This step brings a cross-discipline balance to the selection process, reconciles recommendations about proposals spanning more than one technical area, and allows for strategic consideration of the diversity of proposals across the topic areas.

2) The list of proposals recommended for award by the Senior Advisory Board along with a description and results of the evaluation process, will be provided to the Defense Intelligence Agency's IC CAE Program Office Director. The Senior Advisory Board's list of recommended proposals will be in

the form of a memorandum to the Grants Officer. The memorandum will include all worksheets for each proposal and any other supporting rationale for the basis of recommendation. The memorandum will include a summary report and will identify those proposals recommended for award.

Negotiation and Award

The Grants Officer will proceed with award activities to include cost analysis and negotiation. The Program Office will continue to provide support to the Grants Officer during the pre-award phase.

Awards will be made upon successful negotiation.

6. TECHNICAL EVALUATION CRITERIA

For the initial technical evaluation, proposals will be evaluated in accordance with the following criteria that are in order of relative importance using the scoring definitions shown in paragraph 8.

The initial technical evaluation criteria are:

A. (insert technical evaluation criteria and weights)

- B. The realism and reasonableness of cost. Evaluation of cost shall be based on cost realism as it relates to the Government's degree of confidence in the applicant's ability to perform the proposed work at the proposed cost (evaluated as pass/fail).

All proposals will undergo additional evaluation by the Senior Advisory Board for the purpose of determining the proposal(s) that will receive a grant. This selection will be based upon the following.

The final evaluation criteria are:

- A. The numeric evaluation score.
- B. The amount of available funding.

7. SCORING PLAN

Evaluators will prepare a narrative summary of the strengths and weaknesses exhibited by each proposal considering each evaluation criterion, and then assign the score most appropriate in their opinion to each evaluation criterion. The narrative summary of the strengths and weaknesses must fully document the initial evaluators' opinion and must support the score assigned.

The scores of all initial evaluation criteria will be converted to numeric scores per a rubric developed and agreed upon.

	<u>Excellent</u>	<u>Good</u>	<u>Fair</u>	<u>Poor</u>
Insert Technical Evaluation Criteria	Insert numeric scores			

The numeric scores will be summed to develop a Total Proposal Technical Score.

8. EVALUATION TEAM

9.3 EVALUATION PANEL (AGENCY POINTS OF CONTACT)

<u>Member</u>	<u>Organization</u>	<u>Phone Number</u>
List names	List Organization	List Phone number

9. SCHEDULE

<u>Milestone</u>	<u>Date</u>
Evaluator Training Meeting	
Evaluations Due	
Evaluation Panel assesses and selects proposals	
Estimated Notification of Award or Declination	

CONCURRENCE SIGNATORIES

(insert name)
Director, Program Office

Date

(insert name)
DIA Grants Officer

Date

ATTACHMENT 1

INSERT PROGRAM NAME
PROPOSAL EVALUATION FORM

Date:

Evaluator Name:

Program Area for This Evaluation:

YES If NO, suggest alternate/additional Topical Area(s) in the Brief Evaluation Synopsis block below.

Institution Submitting Proposal:

Title of Proposal:

Principal Investigator(s):

Recipient(s):

Total Cost of Proposal (All years): \$ K

Duration of Proposed Program (Years funded): Years

The Senior Advisory Board Panel will have this evaluation file available when they consider the individual evaluations of all proposals to create a preference order for grant award. For initial comparison of the individual evaluations, the Evaluation Panel will use an Evaluation Summary spreadsheet displaying the above data on the proposal and a brief synopsis of your evaluation. Please provide that brief synopsis in the space below. Include (1) a sentence or two describing what is proposed, (3) comments on the quality of the Principal Investigator(s), (4) comments on significant cost issues if any, and (5) your ranking of this proposal with other proposals in the same Program Please do not exceed the space available for your synopsis in the block below. You may want to complete this synopsis after you conduct your evaluation on the following pages.

Brief Evaluation Synopsis Proposing Institution:

64 PAGE

Proposal Title:

1. Evaluation Criteria #1).

Strengths (What is the strength?/Why is it strength?/What is the impact to the Government?):

Weaknesses (What is the weakness?/Why is it a weakness?/What is the impact to the Government?):

Score:

Proposing Institution:
Proposal Title:
Evaluation Criteria #2.

Strengths (What is the strength?/Why is it strength?/What is the impact to the Government?):

Weaknesses (What is the weakness?/Why is it a weakness?/What is the impact to the Government?):

Score:

Proposing Institution:

Proposal Title:

2. Evaluation Criteria # 3

Strengths (What is the strength?/Why is it strength?/What is the impact to the Government?):

Weaknesses (What is the weakness?/Why is it a weakness?/What is the impact to the Government?):

Score:

Proposing Institution:

Proposal Title:

- 3. Realism and Reasonableness of Cost, (cost realism as it relates to the Government's degree of confidence in the offeror's ability to perform the proposed work at the proposed cost).**

Strengths (What is the strength?/Why is it strength?/What is the impact to the Government?):

Weaknesses (What is the weakness?/Why is it a weakness?/What is the impact to the Government?):

Score:

Proposing Institution:

Proposal Title:

4. Recommendation for Selection/Award and Additional Summary Comments.

0

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(U) APPENDIX I – FINDINGS & RECOMMENDATION MEMORANDUM

FINDINGS AND RECOMMENDATION MEMO

DATE: **(Insert Date)**

TO: **(Insert Name)**, Chief, Contracts Team, **(Directorate)**/Grants Officer

FROM: **(Insert Name)**, Administrative Grants Officer

SUBJECT: **Insert Program Name**

REFERENCE: BROAD AGENCY ANNOUNCEMENT (BAA) NUMBER **(Insert Number)**
INSERT TOPIC NUMBER AND TITLE

1. (U) The purpose of this memorandum is to provide an overall summary of the selection proceedings, document the findings of the evaluation, and present the overall recommendation to the Grants Officer. The Senior Advisory Board team performed its evaluation in accordance with the Evaluation Criteria and Selection Process outlined in the subject Broad Agency Announcement.

2. (U) In accordance with the Evaluation Criteria and Selection Process, award is to be made to the Offeror whose proposal represents the best potential contribution to the advancement of the targeted technical topic(s), and considerations of program balance and available funding.

3. (U) On **(insert date)**, the Administrative Grants Officer distributed the subject Broad Agency Announcement to the **(insert types of institutions)** via the Acquisition Resource Center.

4. (U) On **(insert date)**, the Grants Officer received proposals from **(list all institutions)** for the referenced topic. The proposals were distributed to the Program Office and the Senior Advisory Board for review.

5. (U) The Grants Officer and Program Office reviewed the proposals for compliance with the Proposal Preparation Instructions (PPI) outlined in the Broad Agency Announcement. **(List any proposals deemed non-compliant and provide rationale).**

6. (U) On **(insert date)**, the Grants Officer received an emailed report from the Senior Advisory Board documenting their findings. The team individually reviewed and evaluated the written proposals and assigned an adjectival rating for each set of evaluation criteria. The results of the evaluation were consolidated in a single report and were presented to the **(insert panel name)** on **(insert date)** at a consensus meeting. At the meeting, which was held at **(insert location)**, the evaluation team presented their findings and recommendation to the panel. It was determined that the **(insert names of institutions)** be funded and the **(insert number)** additional eligible offerors, **(insert names of institutions)** were selectable, but not currently fundable.

7. (U) The consensus on the evaluation factors is reflected in the following tables, which list evaluation criteria and the score.

EVALUATION CRITERIA

(U) (Insert Evaluation Criteria and Weights)

(U) The realism and reasonableness of cost, including proposed cost sharing. Evaluation of cost shall be based on cost realism as it relates to the Government's degree of confidence in the applicant's ability to perform the proposed work at the proposed cost (Pass/Fail)

OFFEROR #1: (INSERT NAME OF INSTITUTION)

**NOTE: ONE TABLE PER EACH OFFEROR NEEDS TO BE INCLUDED IN
MEMORANDUM**

CRITERIA	SCORE	STRENGTHS	WEAKNESS
EVALUATION CRITERIA #1	(INSERT NUMERIC SCORE))	(Insert comments from Evaluation Sheets)	(Insert Comments from Evaluation Sheets)
EVALUATION CRITERIA #2	(INSERT NUMERIC SCORE:)	(Insert comments from Evaluation Sheets)	(Insert comments from Evaluation Sheets)
EVALUATION CRITERIA #3	(INSERT NUMERIC SCORE:)	(Insert comments from Evaluation Sheets)	(Insert comments from Evaluation Sheets)
COST	(INSERT NUMERIC SCORE:)	(Insert comments from Evaluation Sheets)	(Insert comments from Evaluation Sheets)

comparison of Offerors: (List all Offerors and Scores Per Criteria)

	Institution Name	Institution Name	Institution Name	Institution Name	Institution Name
Evaluation					

Criteria #1					
Evaluation Criteria #2					
Evaluation Criteria #3					
Cost					

8. (U) AS A RESULT OF THIS EVALUATION, IT WAS DETERMINED THAT THE OFFERORS BE RATED IN THE FOLLOWING WAY:

<u>OFFEROR(S)</u>	<u>RATED</u>	<u>Rationale</u>
NAME	RATINGS: Selectable and funded, Selectable but not funded at this time, Disqualified.	Provide a short rationale for rating and selection for each institution.

9. (U) As a result of this evaluation, it was determined that **(insert institution names)** be funded at this time. Additionally, it is recommended that **(insert institution names)** be funded if/when additional funding becomes available.

(INSERT NAME)
ADMINISTRATIVE GRANTS OFFICER

CONCUR:

(INSERT NAME)
DEPUTY TEAM CHIEF, (INSERT NAME) CONTRACTS

DATE

APPROVED:

(INSERT NAME)
CHIEF, CONTRACTS DIVISION, (INSERT DIRECTORATE)/GRANTS OFFICER

DATE

This appendix is UNCLASSIFIED.

(U) APPENDIX J – NOTICE OF AWARD TEMPLATE

Date:

To: **Insert Name, Title**
 Insert Institution Name

From: **Insert Name, Grants Officer**

Subject: Notice of Award, Assistance Agreement No **(Insert Number)**

Reference: **Insert Program Name and Broad agency announcement Number dated**
 (insert release date of broad agency announcement)
 Insert Proposal Number, Topic Number, Title of Proposal

Dear Dr. **XXX**:

On behalf of **(insert Grant Broad agency announcement Program Name)** and the Program Office **(insert names)**, I am pleased to inform your office the proposal titled **(insert Proposal Title Name)** submitted against the **(insert Grant Broad agency announcement Title and Number)** has been selected to receive funding at this time. Please see the attached Assistance Agreement for review of the terms and conditions. Please return the signed Assistance Agreement to the undersigned by facsimile at **(insert fax number)**.

Should you have any questions or concerns, please do not hesitate to contact the Grants Officer at **(insert phone number or email address)**.

Sincerely,

(Name)
Grants Officer

This appendix is UNCLASSIFIED.

ASSISTANCE AGREEMENT			
1. Award No. Grant Number	2. Modification No.	3. Effective Date	4. CFDA No.

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(U) APPENDIX K – ASSISTANCE AGREEMENT TEMPLATE

		Amendment Number	Effective date of Grant	12.598
5. Awarded To		6. Sponsoring Office		7. Period of Performance
Populated with Recipient of the Grant		Insert Office Name		PoP of Grant
8. Type of Agreement Grant ☒	9. Authority 50 USC 403-1(n) and 50 USC 1902		10. Purchase Request or Funding Document No. PR Number	
11. Remittance Address See Article 4		12. Total Grant Amount Govt. Share \$XXX,XXX Total \$XXX,XXX		13. Funds Obligated: This action: \$XXX,XXX Total: \$XXX,XXX
14. Principal Investigator Name of PI Phone number of PI	15. Program Officer COTR Name COTR Phone Number		16. Administrator: CO Name and Phone number	
17. Submit Payment Requests To Vendor Payments Attn: Mail Room Address: ND1, 2M052, Washington, DC 20505		18. Paying Office Same as Block 17		19. Submit Reports To As Directed by the Technical Point of Contact
20. Accounting and Appropriation Data Amount Obligated: \$XXX,XXX				
21. Title and/or Description of Project: Specific for each Grant				
For the Recipient		For the United States of America		
22. Signature of Person Authorized to Sign		25. Signature of Grants/Agreements Officer		
23. Name and Title	24. Date Signed	• Name of Officer Name of Signatory GO, Grants Officer		27. Date Signed

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ARTICLE 1 SCOPE OF THE AGREEMENT

The Recipient shall perform a program in accordance with the Recipient's proposal entitled “[title of the grant proposal]”

First Year (dates to be filled in by GO)

Government's Share	\$xxx,xxx
Recipients Share (cash or in-kind)	\$xxx,xxx
Total First Year Agreement	\$xxx,xxx

Second Year (dates to be filled in by GO)

Government's Share	\$xxx,xxx
Recipients Share (cash or in-kind)	\$xxx,xxx
Total Second Year Agreement	\$xxx,xxx

Total Government Share of Agreement	\$xxx,xxx
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Option Year (dates to be filled in by GO)

Government's Share	\$xxx,xxx
Recipients Share (cash or in-kind)	\$xxx,xxx
Total Option Year Agreement	\$xxx,xxx

Option Year (dates to be filled in by GO)

Government's Share	\$xxx,xxx
Recipients Share (cash or in-kind)	\$xxx,xxx
Total Option Year Agreement	\$xxx,xxx

Option Year (dates to be filled in by GO)

Government's Share	\$xxx,xxx
Recipients Share (cash or in-kind)	\$xxx,xxx
Total Option Year Agreement	\$xxx,xxx

Grand Total Government Share of Agreement	\$xxx,xxx
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ARTICLE 2 DEFINITIONS

Parties -- For the purposes of this Agreement, the parties are [Name of University] and the United States of America, hereinafter called the Government or DIA, represented by the Defense Intelligence Agency.

Agreement -- The articles of this assistance agreement and its attachments.

Recipient -- An organization or other entity receiving a grant or assistance agreement. For purposes of this Agreement, the Recipient is [Name of University].

Performance Year -- Each consecutive twelve-month period from the effective date of this agreement throughout the term of the agreement.

ARTICLE 3 ADMINISTRATIVE REQUIREMENTS

A. This Agreement will be administered in accordance with, and recipients shall comply with, the requirements of the following OMB Circulars which are incorporated herein by reference:

- OMB Circular A-21 now codified at 2 CFR part 220, "Cost Principles for Educational Institutions"
- OMB Circular A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations now codified at 2 CFR part 215
- OMB Circular A-133, "Audits of State, Local Governments, and Nonprofit Institutions" (27 June 03); (revised 26 June 07) and
- The Provisions of DIA Broad Agency Announcement No. [BAA Number], entitled "[title of BAA]".

B. Should there be any inconsistency between the special conditions contained in the Articles of this agreement and the Research Terms and Conditions, the Articles of the agreement shall control. Should there be any inconsistency between the Research Terms and Conditions and any special conditions contained in the DIA Broad Agency Announcement, guides, brochures, etc., cited or included by reference in the agreement, the matter should be referred to the DIA Grants Officer for guidance.

ARTICLE 4 ADMINISTRATIVE RESPONSIBILITIES

Defense Intelligence Agency Grants Office

Attn: [Name of administrative grants officer]
Address: [mailing address of administrative grants officer]
Phone: [phone number of grants officer]
Fax: [fax number of grants officer]
Email: [email address of grants officer]

Technical Point of Contact

Defense Intelligence Agency Program Office

ATTN: [Name of GOR]
Address: [mailing address of GOR]
Phone: [phone number of GOR]
Fax: [fax number of GOR]
Email: [email address for GOR]

Government Payment Office

(a) Invoices shall be submitted through the electronic invoicing internet website using the procedures described at: http://www.nsa.gov/business/programs/electronic_invoicing.shtml, unless otherwise authorized. Access to the electronic invoicing website requires an External Certificate Authority/Interim External Certificate Authority (ECA/IECA) PKI certificate. Information on purchasing an ECA/IECA certificate is available on the internet at: <http://iase.disa.mil/pki/eca/index.html>. Contact the electronic commerce office at (410) 854-5445 if you need additional information. After obtaining the ECA/IECA certificate, contact the electronic commerce office to obtain an account if one currently does not exist.

(b) At a minimum, invoices must contain the following.

- (1) Name and address of the grantee.
- (2) Invoice date and invoice number.
- (3) Grant number.
- (4) Name of the contractor's official (and address) to whom payment is to be sent, if other than Electronic Funds Transfer (EFT) is authorized.
- (5) Name, title, phone number and mailing address of person to be notified in the event of a defective invoice.
- (6) Taxpayer Identification Number (TIN), EFT banking information, and Data Universal Numbering System (DUNS) number.
- (7) Program Officer's name.
- (8) Any other information or documentation required by the grant.

(c) The grantee is authorized to invoice bi-weekly.

(d) Questions regarding payment shall be directed to the Finance and Accounting Office at (443) 654-3700.

Invention Reporting

Grants Office

Address: [mailing address of grants officer]
Phone: [phone number of grants officer]
Fax: [fax number of grants officer]
Email: [email of grants officer]

Recipient's Principal Investigator

P.I. Name: [name of Principal Investigator]
Department: [department of Principal Investigator]
Address: [mailing address of Principal Investigator]
Phone: [phone number of Principal Investigator]
Fax: [fax number of Principal Investigator]

Email: [email address of Principal Investigator]

Recipient's Authorized Organizational Representative

AOR Name: [name of AOR]

Title: [title of AOR]

Address: [address of AOR]

Phone: [phone number of AOR]

Fax: [fax number of AOR]

Email: [email address of AOR]

ARTICLE 5 TERM OF THE AGREEMENT

]. The period of performance is [start date and end date of grant].

ARTICLE 6 KEY PERSONNEL

The key personnel listed below must be employed with [Successful University] at the time of award and shall be maintained, to the maximum extent possible, throughout this agreement. Should changes be necessary, [Successful University] shall notify DIA Grants Office (identified in Block 6 of the face page) in writing of the proposed substitute(s) within 30 days of the change in order to obtain approval of the substitution from the DIA Program Officer.

KEY PERSONNEL:

Principal Investigator: [name of Principal Investigator]

Recipient (when identified): [name of Recipient]

ARTICLE 7 FISCAL MANAGEMENT

7.1 Restrictions of the Use of Government Funds

Government funds provided under this Agreement must be allocated by the Recipient exclusively for the execution and operation of the Agreement Scope. Government funds shall not be utilized to support the Recipient's operations or administration unrelated to this Agreement.

7.2. Obligation

In no case shall the Government's financial obligation exceed the amount obligated on this Agreement or by amendment to this Agreement. The Government's share for full performance of this award is [\$xxx,xxx]. Of this amount, [\$xxx,xxx] is allotted and available for payment. This grant is fully funded. The Government is not obligated to reimburse the Recipient for expenditures in excess of the amount of funding obligated and allotted by the Government.

7.3 Incremental Funding Actions

Unless otherwise specified in the agreement, each successive increment of a continuing grant will be funded at the level specified in Article 1 without a formal request from the recipient provided an annual report has been received from the Principal Investigator.

Incremental funding is contingent on:

- i. Availability of funds;
- iii. Compliance with any special conditions of the agreement.

7.4 Program Income

All program income earned during the project period shall be added to funds committed to the project by the Government and the Recipient and used to further eligible program objectives.

7.5 Closeout Adjustments

The Government may make a downward adjustment to the Government funding amount after completion of the effort under an agreement, when appropriate in accordance with OMB Circular A-110.

ARTICLE 8 REVISION TO FINANCIAL PLANS

A. The financial plan, or approved budget, is the financial expression of the effort to be performed under this agreement as approved during the award process. This agreement and its terms and conditions reflect the approved financial plan. Some changes to the plan require prior approval, as described below.

B. Recipients are authorized to:

Carry forward unobligated balances to subsequent funding periods (with the exception of the final funding period)

C. The DIA Grants Officer's prior written approval is required for actions which:

1. Change the scope or objective of a project. The Principal Investigator must consult with the Program Officer and receive written approval from the Grants Officer before deviating from the research objectives defined in the grant proposal or any sub-award, transfer or contracting out of substantive program performance under this agreement.
2. Change key personnel. Support for the project may not continue without the active direction of the Principal Investigator and/or recipient approved for, and identified in, this Assistance Agreement. If the approved Principal Investigator/Recipient severs his or her connection with the recipient institution or otherwise relinquishes active direction of the

project, either permanently or for a significant length of time (three months or more), the recipient institution must either:

- i. Appoint a replacement Principal Investigator/recipient with the approval of the Program Officer, or
 - ii. Relinquish the Assistance Agreement, in which case the Agreement shall be terminated.
3. Change the recipient institution's cost share amount reflected in the approved budget.
 4. Use human subjects or vertebrate animals.
 5. Require no cost extensions.
 6. With the approval of the Grant Officer, any unexpended balance of funds which remains at the end of any funding period, except the final funding period of the grant, may be carried over to the next funding period, and may be used to defray costs of any funding period of the grant. This includes allowing the carryover of funds to the second and subsequent years of a multiple year grant. This provision also applies to subcontractors performing substantive work under the grant.

7. SPECIAL CONDITIONS

N/A

8. OPTION

The Government may extend the term of this grant by issuing a unilateral modification.

Option Year	[[dates to be filled in by CO]]
Government's Share	\$xxx,xxx
Recipients Share (cash or in-kind)	0
Total Option Year Agreement	\$xxx,xxx

ARTICLE 9 ACTIVITIES ABROAD

The Grantee shall assure that project activities carried on outside the United States are coordinated, as necessary, with appropriate Government authorities and that appropriate licenses, permits, or approvals are obtained prior to undertaking proposed activities. The awarding agency does not assume responsibility for Grantee compliance with the laws and regulations of the country in which the activity(ies) is (are) to be conducted.

ARTICLE 10 PERFORMANCE REPORTS

10.1 Performance Reports

A For the purpose of the IC CAE Program, three semester reports are due per year. These reports will provide a concise and factual discussion of the significant accomplishments and progress during the period covered by the report. Each of the topics described below shall be addressed for the effort being performed:

1. A comparison of actual accomplishments with the goals and objectives established for the period, the findings of the investigator, or both.
2. Reasons why established goals were not met, if appropriate.
3. Other pertinent information including, when appropriate, analysis and explanation of cost overruns.

B. In addition, for research awards, each of the following topics (4) through (7) shall be addressed as appropriate to the effort being performed:

10.2 Final Report

A. A Final Report is due at the completion of the agreement. This report will provide a comprehensive, cumulative, and substantive summary of the progress and significant accomplishments achieved during the total period of the effort covered by the agreement. Each of the topics described shall be addressed as appropriate for the effort performed. Publications may be bound and attached as appendices.

10.3 Report Submittal

The Recipient shall submit reports to DIA's Program Office within 30 days after completion of the period covered by the report. The Recipient shall provide a copy of the transmittal letter to the Grants Officer.

10.4 Format

A. Cover and title page. Standard Form (SF) 298, Report Documentation Page, shall be used. Item 13 of the form should contain a 100 to 200 word abstract summarizing progress during the reporting period. Style should be third person singular using past tense. Jargon, special symbols or notations, subscripts, mathematical symbols or foreign alphabet letters are not permitted. All pages should be of good quality for copying purposes.

B. Recipient's format is acceptable.

ARTICLE 11 GOVERNMENT VISITS

The Government may visit the Recipient to discuss project status and results.

ARTICLE 12 REPORTING FINANCIAL INFORMATION

Recipients shall submit financial reporting information in accordance with the following.

12.1 Interim Financial Reports

A. The Recipient shall submit an interim Federal Financial Report (FFR 425) within 30 days following the end of each quarter. The original and a copy of the report should be submitted to the Grants Officer list identified in Block 16 of the cover page. Recipients are required to update, certify and submit the FFR to DIA by the due date even if funds have not been drawn during the reporting period.

B. A no less than quarterly submission of expenditures, by original budget category, shall be submitted, complete with paid invoiced and certification, for the purposes of reimbursement. Both cash management and financial status information should be reported on the same form for single award reporting.

12.2 Final Federal Financial Report

The recipient shall submit the final FFR no later than 90 days following the completion of the agreement. The original and a copy of the report shall be submitted to the Grants Administration Office identified in block 16 of the cover page.

ARTICLE 13 MODIFICATIONS

Any party to this Agreement who wishes to modify the Agreement shall confer in good faith with the other signatory parties to determine the desirability of the proposed modification. Modifications shall not be effective until a written modification is signed by the Agreement signatories (or their successors). Administrative modifications may be unilaterally executed by the DIA Grants Officer.

ARTICLE 14 SUSPENSION AND TERMINATION PROCEDURES

14.1 The Government reserves the right to suspend or terminate this agreement for cause. If the Recipient fails to comply with the terms and conditions of this agreement, the DIA Grants Officer will provide written notice of breach or deficiency to the Recipient and will provide the Recipient an opportunity to explain or correct the breach or deficiency within 30 days from receipt of notice. If grounds for termination for cause still exist, the Government may terminate or suspend performance. If suspension is invoked, the Government may withhold further payments, or prohibit the Recipient from incurring additional obligation of funds until corrective action is taken. If this agreement is terminated after the Recipient has received Government funding, the closeout procedures in OMB Circular A-110 apply.

The agreement may be suspended or terminated in whole or in part in any of the following situations by:

- A. DIA when the recipient has materially failed to comply with the terms and conditions of the award;
- B. DIA when it has other reasonable cause; including departure of the Principal Investigator.
- C. DIA and the recipient by mutual agreement (if DIA and the recipient cannot reach an agreement, DIA reserves the right to unilaterally terminate the award); or
- D. The recipient on written notice to DIA setting forth the reasons for such action, the effective date, and, in the case of partial termination, the portion to be terminated or suspended (with the understanding that if DIA determines that the unterminated portion will not accomplish the purposes of the agreement, it may suspend or terminate the entire agreement.)
- E. Notwithstanding the above, for security or safety reasons or in the case of a serious breach that could lead to irreparable damage, DIA Grants Officer may order immediate suspension of work, in whole or in part.

ARTICLE 15 - INFORMAL RESOLUTION OF GRANT ADMINISTRATION DISPUTES

A. Consistent with the Recommendation on Grant Disputes by the Administrative Conference of the U.S., and with the intent of the provisions of Alternative Dispute Resolution, the DIA provides the informal resolution processes described below concerning disputes or disagreements that may arise over a Grants Officer's post-award decisions under a DIA agreement.

B. Scope of Post-Award Disputes Covered

The disputes below are covered under this process:

1. Cost disallowances pursuant to a Grants Officer's decision (e.g., specific disallowances under an individual grant or as a result of an audit report);
2. Termination orders; and
3. The final settlement amount under a termination.

C. Procedures

1. The recipient should submit a certified letter to DIA's Senior Procurement Executive via the Grants Officer noting the recipient's disagreement or dispute and identifying DIA's Grants Officer's decision in question, giving reasons for the request for review and providing any other material pertinent to the request.
2. The letter to the Senior Procurement Executive must be postmarked no later than 30 days after the date of the letter notifying the recipient of the decision in question. The

time for filing a request for review is strictly enforced and no extensions for the purpose of preparing it will be granted.

3. The request for review need not follow a prescribed format; however, it must contain a full statement of the recipient's position with respect to the disputed matter and the facts and reasons in support of the recipient's position. Requests will be reviewed if the recipient submits new information (which was unavailable at the time of the original decision); if an error in fact or application of Agency policy is noted in the original decision; or improper procedures were followed in the original decision.
4. The Senior Procurement Executive will review or designate one or more individuals to review the matter. One reviewing official will be at least at a management level equivalent to the official who made the decision that is being reviewed. In no case, will the review be undertaken by any individual involved with the decision or involved in recommending and/or monitoring the scientific and engineering aspects of the project or responsible for negotiating and/or administering its business aspects.
5. The designated individual(s) will review and consider all relevant information available. A report which identifies the conclusion and recommendation will be completed within 30 days and forwarded to the Senior Procurement Executive or his/her designee for a final and unappealable written decision for DIA. The Senior Procurement Executive or his/her designee will communicate the decision in writing to the recipient.

ARTICLE 16 ENVIRONMENTAL STANDARDS

The Recipient agrees to the following environment standards;

A. Comply with applicable provisions of the Clean Air Act (42 U.S.C 7401, et seq.) and Clean Water Act (33 U.S.C. 1251, et seq.), as implemented by Executive Order 11738 (3 CFR, 1971- 1975 Comp., p799] and Environmental Protection Agency (EPA) rules at 40 CFR part 15. In accordance with the EPA rules, the Recipient further agrees that it will:

- Not use any facility on EPA's List of Violating Facilities in performing any award that is nonexempt under 40 CFR 15.5, as long as the facility remains on the list.
- Notify the awarding agency if it intends to use a facility in performing this award that is on the List of Violating Facilities or that the Recipient knows has been recommended to be placed on the List of Violating Facilities.

B. Identify to the awarding agency any impact this award may have on the quality of the human environment, and provide help DIA may need to comply with the National Environmental Policy Act (NEPA, at 42 U.S.C. 4321, et seq.) and to prepare Environmental Impact Statements or other required environmental documentation. In such cases, the Recipient agrees to take no action that will have an adverse environmental impact (e.g. physical disturbance of a site such as breaking of ground) until DIA provides written Approval.

ARTICLE 17 NONDISCRIMINATION

By signing this agreement or accepting funds under the agreement, the Recipient assures that it will comply with applicable provisions of the following, national policies prohibiting discrimination:

- A. On the basis of race, color, or national origin, in Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d, et seq.).
- B. On the basis of sex or blindness, in Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.)
- C. On the basis of age, in the Age Discrimination Act of 1975 (42 U.S.C. 6101, et seq.), as implemented by the Department of Health and Human Services regulations at 45 CFR part 90.
- D. On the basis of disability, in the Americans with Disabilities Act.

ARTICLE 18 CERTIFICATIONS

The following Certifications, which have been executed by the Recipient prior to award of this agreement, are hereby incorporated by reference:

- A. Certification regarding Debarment, Suspension, and Other Responsibility Matters.
- B. Certification regarding Drug-Free Workplace Requirements.
- C. Certification regarding Lobbying.

ARTICLE 19 LIABILITY

DIA cannot assume any liability for accidents, illnesses or claims arising out of any work supported by an award or for unauthorized use of patented or copyrighted materials. The grantee institution is advised to take such steps as may be deemed necessary to insure or protect itself, its employees, and its property.

ARTICLE 20 SPONSORSHIP BY AN AGENCY WITHIN THE INTELLIGENCE COMMUNITY

This grant is managed by the Defense Intelligence Agency, an Agency within the Intelligence Committee. To ensure compliance with Executive Order 12333, dated 4 December 1981, (revised 30 July 08) the individual signing this instrument on behalf of the academic institution is authorized by the institution to contract with an Agency within the Intelligence Community.

ARTICLE 21 PRIOR APPROVALS

As appropriate, prior approval of the following deviations from budget and program plans are required:

A. The Grantee must consult the Program Office in Block 15 of the Award/Modification document through the AGO at the Administrative Office in Block 16 or the Grant Procurement Office in Block 6 of the Award/Modification document before deviating from the research objectives defined in the grant proposal or any sub-award, transfer or contracting out of substantive program performance under this award.

B. Support for the project may not continue without the active direction of the Principal Investigator approved for, and identified in, this Grant. If the approved Principal Investigator severs his or her connection with the Grantee or otherwise relinquishes active direction of the project, either permanently or for a significant length of time (three months or more), the Grantee must either:

1. Appoint a replacement Principal Investigator with the approval of the Program Officer in Block 15 through the Grant Procurement Office in Block 6 of the Award/Modification document, or
2. Relinquish the Grant, in which case the Grant shall be terminated

C. Extension for the expiration period of this Grant – The AGO at the Administrative Office in Block 16 of the Award/Modification document has authority to approve a no-funds extension request **meeting all** of the following parameters:

1. A one-time basis only; and
2. For a period not to exceed 90 days; and
3. Where \$50,000.00 or less of obligated funds remain to be expended.

In other cases, where a request **is outside** one or more of the parameters, a no-funds extension can only be approved with the concurrence of the Program Office in Block 15 of the Award/Modification document. For any no-funds extension to be effective, a written grant modification must be issued and signed by the AGO at the Administrative Office in Block 16 under the circumstances above or the Sponsoring Office in Block 6 of the Award/Modification document.

ARTICLE 22 DATA RIGHTS

A. All rights and title to data, as defined in 48 CFR 27.401, generated under this agreement shall vest in the Recipient.

B. The Recipient hereby grants to the U.S. Government a irrevocable, non-exclusive, non-transferable, royalty-free, fully paid-up license to use, duplicate, or disclose for governmental purposes any data, technology and inventions, whether patented or not, made or developed under this Agreement.

C. The Recipient reserves the right to protect by copyright original works developed under this agreement. All such copyrights will be in the name of the Recipient. The Recipient hereby grants the U.S. Government a non-exclusive, non-transferable, royalty-free, fully paid-up license to reproduce, prepare derivative works, distribute copies to the public, and perform publicly and display publicly, for governmental purposes, any copyrighted materials developed under this agreement, and to authorize others to do so.

D. The Recipient is responsible for affixing appropriate markings indicating the rights of the Government on all data and technical data delivered under the agreement. The Government shall be deemed to have unlimited rights in all data and technical data delivered without markings.

ARTICLE 23 USING TECHNICAL INFORMATION RESOURCES

To the extent practical, the recipient will use the technical information resources of the Defense Technical Information Center (DTIC) and other Government or private facilities to investigate recent and on-going research and avoid needless duplication of scientific and engineering effort.

ARTICLE 24 TRAFFICKING IN PERSONS PROTECTION

A. Provisions applicable to a recipient that is a private entity.

1. You as the recipient, your employees, sub recipients under this award, and sub-recipients' employees may not –
 - i. Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
 - ii. Procure a commercial sex act during the period of time that the award is in effect; or
 - iii. Use forced labor in the performance of the award or sub awards under the award.
2. We as the Federal Awarding Agency may unilaterally terminate this award, without penalty, if you or a sub recipient that is a private entity –
 - i. Is determined to have violated a prohibition in paragraph A.1 of this award term; or
 - ii. Has an employee who is determined by DIA official authorized to terminate the award to have violated a prohibition in paragraph A.1 of this award term through conduct that is either –
 - a. Associated with performance under this award; or
 - b. Imputed to you or the sub recipient using the standards and due process for imputing the conduct of an individual to an organization that is provided in 2 CFR part 180, "OMB Guidelines to Agencies on Government wide Debarment and Suspension (Nonprocurement).

B. Provision applicable to a recipient other than a private entity. We as the Federal Government awarding agency may unilaterally terminate this award, without penalty, if a sub recipient that is a private entity –

1. Is determined to have violated an applicable prohibition in paragraph A.1 of this award term; or

2. Has an employee who is determined by DIA official authorized to terminate the award to have violated an applicable prohibition in paragraph A.1 of this award term through conduct that s either –
 - i. Associated with performance under this award; or
 - ii. Imputed to the sub recipient using the standards and due process for imputing the conduct of an individual to an organization that is provided in CFR Part 180, “OMB Guidelines to Agencies on Government wide Debarment and Suspension (Nonprocurement).

C. Provisions applicable to any recipient.

1. You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph A.1 of this award term.
2. Our right to terminate unilaterally that is described in paragraph A.2 or B of this section:
 - i. Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and
 - ii. Is in addition to all other remedies for noncompliance that are available to us under this award.
3. You must include the requirements of paragraph A.1 of this award term in any sub award you make to a private entity.

D. Definitions. For purposes of this award term:

1. “Employee” means either:
 - i. An individual employed by you or a sub recipient who is engaged in the performance of the project or program under this award; or
 - ii. Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.
2. “Forced Labor” means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.
3. “Private entity”:
 - i. Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25.
 - ii. Includes:
 - a. A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR175.25(b).
 - b. A for-profit organization.
4. “Severe forms of trafficking in persons,” “commercial sex act,” and “coercion” have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

This appendix is UNCLASSIFIED.

UNCLASSIFIED

(U) APPENDIX L – ASSISTANCE AGREEMENT FILE ORGANIZATION

Materials in the file should be segmented in accordance with the following:

I. Approved Proposal

This segment contains documents included in the original proposal and amendment applications:

- Application for Federal Assistance
- Budget information broken out by line item with all required backup information
- Project narrative
- Any assurances, certifications or disclosure reports required as part of the proposal broad agency announcement
- Any supporting information included with the proposal submission
- Letter revisions to the proposal

II. Legal Documents

- Assistance Agreement
- Amendments to Assistance Agreement
- Letters of Approval

III. Agency Findings/Review/Documentation

This segment contains documentation of internal actions taken by DIA during the evaluation process including:

- All documentation of evaluations and recommended actions
- Reports of pre-award conferences with recipient
- Telephone conversation records
- Funding Availability Notification
- Findings and Recommendations Memorandum

IV. Financial/Performance Reporting Documents

- Federal Financial Report
- Narrative Performance Reports
- Closeout documentation and reports
- Portions of audit reports, reviews, and resolution of audit issues and other actions affecting the grant
- Any general correspondence and transmittal letters concerning the grant.

This appendix is UNCLASSIFIED.

(U) APPENDIX M – CONFLICT OF INTEREST

**CONFIDENTIALITY AGREEMENT
AND
CONFLICT OF INTEREST CERTIFICATION**

TO: _____
(Grants Officer)

1. In anticipation of my service on or before the (Name of Board, Committee, or Panel), formed to evaluate the proposals submitted in response to the Grant Broad agency announcement for the (Name of Project), I agree that I will not disclose any information, either before, during, or after the proceedings of the source selection evaluation without first obtaining written approval of the Grants Officer. Furthermore, I will immediately report to the Grants Officer any communication concerning the procurement or the Board's composition and activities directed to me from any source outside the Board.

2. I certify that I am not aware of any matter which might reduce my ability to participate in the proceedings and activities of the forum, as described in paragraph one, in an objective and unbiased manner or which might place me in a position of a conflict, real or apparent, between my responsibilities as a member of the Board and my other interests.

3. In making this certification, to the best of my knowledge, neither I nor any member of my immediate family (spouse, minor children, and other members of immediate household) has a direct or indirect interest, either financial (e.g. stocks) or otherwise, or employment arrangements (past, present, or under consideration), in any of the organizations that may be submitting proposals for the consideration of the evaluation team or board of which I am a member.

4. If, after the date of this certification, any person, or organization with which, to my knowledge, I (including my spouse, minor children, and other members of my immediate household) have a financial interest, or with which I have (or had) an employment arrangement, submits a proposal or otherwise becomes involved in the subject project, I will immediately notify the Grants Officer and the Chairperson of this Board and thereafter, until advised to the contrary, I will not participate further in any way (by rendering advice, making recommendations, voting, or otherwise) in the work of the Board.

Date:

(Signature)

Date of Disqualification: _____

Disqualified by: _____

This appendix is UNCLASSIFIED.

(U) APPENDIX N – DELEGATION OF PROCUREMENT AUTHORITY

MEMORANDUM FOR:

FROM:

SUBJECT: Delegation of Grant Authority

1. Grant Authority: Pursuant to the authority vested in me as Senior Procurement Executive, I hereby delegate to _____ unlimited grant authority to negotiate, execute, and administer grant actions in support of the _____ Office, effective _____ (date)

2. This authority includes grants for the _____ Program. These grants shall be for the following purpose:

- a. public purpose,
- b. advance a national objective
- c. address a public problem
- d. stimulate a particular activity

3. The grant authority granted in paragraph 1 and 2 may be redelegated as set forth below:

a. Grant authority up to \$ _____ may be redelegated to a designated Deputy Chief or in the absence of a designated deputy position a single senior grants officer at a GS-13 level or above.

b. Grant authority up to \$ _____ per grant action may be delegated to grant officers at the GS-11 through GS-13 level.

c. Grant authority up to \$ _____ per grant action may be delegated to any grant officer where the Team Chief has determined that the individual possesses the requisite education, experience and skill necessary to handle such actions.

d. Each delegation issued pursuant to this authority shall be forwarded to the Senior Procurement Executive and the Office of General Counsel (GC) for concurrence. Copies of the signed delegations or rescissions thereof will be forwarded to the Office of the Acquisition Executive.

e. Any redelegation issued under this authority may not be further redelegated.

4. Responsibilities: Your authority to obligate funds by grant is unlimited in amount. You will exercise your delegation of grant authority in accordance with all applicable Agency regulations (Defense Intelligence Agency Title 50 Grants Manual). This authority is delegated to you subject to the following:

a. You will ensure prior to the execution of any grant document that appropriated funds have been made available to you for the proposed actions, and further, that all required approvals have been obtained from the appropriate approving officials.

b. A grant shall not be terminated without my approval.

c. You shall without undue delay advise me of any claims or matters brought by a grant recipient that may result in litigation.

d. You shall obtain legal concurrence from the Office of General Counsel (GC) when required by the DIA Title 50 Grants Manual).

5. This delegation of grant authority remains in effect as long as you retain this specific position or until rescinded in writing.

Name
Senior Procurement Executive

Accepted:

Name
Title

Date

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(U) APPENDIX O – JUSTIFICATION FOR FUNDING OF GRANT MEMORANDUM

JUSTIFICATION FOR FUNDING OF GRANT MEMORANDUM

DATE: (Insert Date)

TO: (Insert Name), Grants Officer

FROM: (Insert Name), Program Office

SUBJECT: Insert Program Name

REFERENCE: **BROAD AGENCY ANNOUNCEMENT (Insert Number)**
INSERT TOPIC NUMBER AND TITLE
INSERT FINDING AND RECOMMENDATIONS MEMORANDUM
DATE

1. (U) The purpose of this memorandum is to provide justification for funding a grant to **(insert institution name)** after the initial awards were made under the above broad agency announcement number on **(insert date)**.

2. (U) (Insert justification for why this topic and institution has been selected for award. State the scores received per each criteria. State what was their final rating (Selectable and funded or Selectable but not funded at this time). Provide rationale for why this grant should be funded at this time. If score received is “Poor” and is still chosen to be selected to fund, please provide specific justification for funding the effort.)

3. (U) This grant will be funded by Procurement Request (PR) No. **(Insert Number)**.

4. (U) As a result of this justification, it was determined that **(insert institution names)** be funded at this time.

(INSERT NAME)
Program Officer

(INSERT NAME)

Grants Officer

CONCUR:

(INSERT NAME)
TEAM CHIEF, (insert name) CONTRACTS

DATE

(INSERT NAME)
Deputy Team Chief, (INSERT NAME) Contracts

DATE

APPROVED:

(INSERT NAME)
Chief, Contracts Division, (insert directorate)/Grants Officer

DATE

This appendix is UNCLASSIFIED.