

**FUNDING OPPORTUNITY
ANNOUNCEMENT
FOR
THE SCIENCE, MATHEMATICS AND RESEARCH
FOR TRANSFORMATION (SMART)
SCHOLARSHIP FOR SERVICE PROGRAM**



W911NF-17-S-0009

ISSUED BY:

**U.S. Army Contracting Command
Aberdeen Proving Ground
Research Triangle Park Division
P. O. Box 12211
Research Triangle Park, NC 27709-2211**

Table of Contents

I. OVERVIEW OF THE FUNDING OPPORTUNITY	4
1. Agency Name	5
2. Research Opportunity Title	5
3. Announcement Type	5
4. Research Opportunity Number	5
5. Catalog of Federal Domestic Assistance (CFDA) Number and Title	5
6. Response Dates	5
7. Funding	5
8. Cost Share or Matching	6
9. Profit/Fee	6
10. Place of Performance	6
II. DETAILED INFORMATION ABOUT THE FUNDING OPPORTUNITY	7
Program Description	7
Element 1	8
Element 2	9
Element 3	10
Element 4	11
A. Federal Award Information	12
B. Eligibility Information	16
1. Eligible Applicants	16
C. Application and Submission Information	17
1. Address to View Funding Opportunity Announcement	17
2. Content and Form of Application Submission	17
3. Unique Entity Identifier and System for Award Management (SAM)	20
4. Submission Dates and Times	20
5. Intergovernmental Review	21
6. Funding Restrictions	21
7. Other Submission Requirements	21
D. Proposal Review Information	21
1. Criteria	21
2. Review and Selection Process	24
E. Award Administration Information	24
1. Award Notices	24
2. Administrative and National Policy Requirements	25
3. Additional Reporting	31
F. Agency Contacts	33
G. Other Information	33
H. COOPERATIVE AGREEMENT Proposals	34

I. OVERVIEW OF THE FUNDING OPPORTUNITY

The Science, Mathematics and Research for Transformation (SMART) Scholarship for Service Program, established in 2006 by Congress and sponsored by the Department of Defense, serves as a means of increasing the number of United States (U.S.) citizens and others trained in Science, Technology, Engineering & Mathematics (STEM) disciplines of military importance. The SMART Scholarship Program supports undergraduate and graduate students pursuing degrees in STEM disciplines. The program aims to increase the number of civilian scientists and engineers working at Department of Defense (DoD) laboratories.

The SMART Scholarship Program is an opportunity for students pursuing an undergraduate or graduate degree in STEM disciplines to receive a full scholarship and be gainfully employed upon degree completion. The program incentivizes students by providing funding for a STEM degree while providing the opportunity to perform hands on research at a DoD facility during the summer months and creating employment for the scholar upon successful completion of their degree. This not only provides the public with a vehicle in which to perform research topics that are on the cutting edge, but also gives opportunity in the form of full tuition to students who would potentially not have been able to attend universities or colleges due to financial distress. The DoD will offer these scholarships to individuals who have demonstrated ability and special aptitude for training in STEM. Scholarships are awarded to applicants who are pursuing a degree in, or closely related to, one of the following STEM disciplines:

- Aeronautical and Astronautical Engineering
- Biosciences
- Chemical Engineering
- Chemistry
- Civil Engineering
- Cognitive, Neural, and Behavioral Sciences
- Computer and Computational Sciences/Computer Engineering
- Electrical and Engineering
- Geosciences
- Industrial Engineering (technical)
- Information Sciences
- Materials Science and Engineering
- Mathematics
- Mechanical Engineering
- Naval Architecture and Ocean Engineering
- Nuclear Engineering
- Oceanography
- Operations Research (technical)
- Physics

The Government may revise the aforementioned disciplines from year to year to ensure they remain relevant to the Defense mission.

Required Overview Content

1. Agency Name

Office of the Assistant Secretary of Defense for Research and Engineering
(OASD(R&E))/Research Directorate (RD)

Issuing Acquisition Office

U.S. Army Contracting Command-Aberdeen Proving Ground, Research Triangle Park (ACC-APG-RTP) Division

2. Research Opportunity Title

The Science, Mathematics and Research for Transformation (SMART) Scholarship for Service Program

3. Announcement Type

Initial Announcement

4. Research Opportunity Number

W911NF-17-S-0009

5. Catalog of Federal Domestic Assistance (CFDA) Number and Title

12.631 – Science, Technology, Engineering and Mathematics (STEM) Educational Program:
Science, Mathematics and Research for Transformation (SMART)

6. Response Dates

The following is an estimated summary of the events and dates associated with the SMART Funding Opportunity Announcement (FOA):

<u>EVENT</u>	<u>DATE</u>
Final Announcement Issued	10 May 2017
Applications Due	11 July 2017
Evaluations Completed	July 2017
Evaluations Completed	September 2017
Award	31 October 2017

7. Funding

The FOA issued is subject to the availability of funds. The FOA provides the estimated funding levels for the cooperative agreement. The Government has submitted the requisite documents to request funding for the period covered by the cooperative agreement; however, applicants are reminded that this request is subject to Presidential, Congressional and Departmental approval. **The funding levels provided in the FOA are for application preparation purposes only. The actual funding level of the cooperative agreement will be updated annually as part of the appropriation process.**

8. Cost Share or Matching

Cost sharing or matching is not required for this FOA.

9. Profit/Fee

Profit/fee is not permitted under the cooperative agreement.

10. Place of Performance

Historically the SMART Scholarship Program has had an estimated amount of twenty-one (21) FTEs provided by contract support. Due to the close coordination required with OASD(R&E)/RD and DoD components, the Government requires that some personnel be physically located at Government facilities in the following locations. Telework for the first two Full Time Equivalents (FTEs) is at the sole discretion of the Government.

(1) FTE to be located at Randolph Air Force Base, Randolph AFB TX 78150 supporting the Air Force.

(1) FTE to be located at the Office of the Deputy Assistant Secretary of the Army, Research and Technology, 2800 Crystal Drive, Arlington, VA 22202, supporting the Army.

(1) FTE to be located within the continental United States, supporting the OASD(R&E)/RD.

(1) FTE to be located within the continental United States, supporting the Navy.

(1) FTE to be located within the continental United States, supporting Department of Defense facilities that do not fall under the Services.

The government will provide office space and supplies for the first two FTEs above. The five (5) FTEs listed above must be eligible to obtain Common Access Cards (CACs) and access DoD networks. The remainder of the personnel (including the three FTEs supporting the OASD(R&E)/RD, Navy, and Department of Defense facilities above) shall be performed at the contractor's facility or another authorized location.

NOTE: The 21 FTEs are the historical figure. The Recipient shall use their own understanding of the fundamental elements to develop their level of effort.

II. DETAILED INFORMATION ABOUT THE FUNDING OPPORTUNITY

Program Description

The SMART Scholarship Program was established by Congress as a means to strengthen the DoD science and technology workforce with highly skilled science and engineering professionals. This unique and prestigious program provides scholarships, which include tuition and stipend support to undergraduate and graduate students pursuing degrees in the technical fields listed in the overview of the funding opportunity. While in school, participants perform research as summer interns at DoD laboratories and return to those laboratories after graduation to complete a period of obligated employment service. This provides scholars with a unique opportunity to perform research in their respective area of interest that they would not have otherwise been able to do. The post-graduation employment commitment is equal to or greater than the amount of time the student received scholarship funding under this program. The Office of the Assistant Secretary of Defense for Research and Engineering (OASD(R&E))/Research Directorate (RD) manages the SMART Scholarship Program and to carry out its mission in support of these programs, OASD(R&E)/RD requires a recipient to collaborate effectively with the SMART Scholarship Program in achieving the four (4) fundamental elements listed below.

There are four (4) fundamental elements to the successful administration of the SMART Program. These elements are as follows:

1. Cooperatively, with the SMART Program Office, assist in the administration of the program to include, but not limited to, the application cycle, monitoring and interaction with students during academic pursuit, monitoring of scholars upon graduation, hiring tracking, web site development and maintenance, and individual Service SMART program facilitation.
2. In close collaboration with the SMART Program, develop and maintain a SMART Information Management System that will track, update, and maintain all SMART Program data.
3. Develop and implement an annual marketing and outreach plan, in conjunction with the SMART Program, that supports colleges and universities on behalf of the SMART Program
4. Assist the SMART Program with payment of scholar's tuition, stipends, and other expenses on behalf of the Government

The (4) four fundamental elements above is being provided for Applicants to consider as a "starting point" for understanding the context of the role the Recipient will perform in the SMART Program. Since the resulting award will be a cooperative agreement with substantial Government involvement, it is expected the Recipient will be in regular communication, working collaboratively with the Government to identify new and emerging areas of interest and targeted areas of special emphasis during performance under the cooperative agreement. In addition, this collaboration will result in bringing new talent, ideas and techniques to the Government and will also introduce Scholars to the roles and needs of the Warfighter. This collaboration will also provide access to DoD's world class research facilities to the selected Scholar, while pursuing collaborative fundamental research of mutual interest to the Army and the Scholars. Substantial Government involvement with the Recipient is expected through the collaborative planning and management of the SMART and through the research to be performed by the Scholars.

It is the intent of this FOA to solicit the most creative, innovative, and effective approaches to assist in the success of the SMART Program. In response to the FOA an Applicant must submit a proposal that provides evidence of their ability to perform the following:

Element 1

Cooperatively, with the SMART Program Office, assist in the administration of the program to include, but not limited to, the application cycle, web site development and maintenance, and individual Service SMART program facilitation.

Overview: The SMART Program reaches across all the military Services and other DoD agencies. The objective is to recruit and retain highly qualified, highly talented students to the DoD facilities that are participating in the program. These facilities fall under many different organizations within the DoD and the effectiveness of the program relies heavily on the cooperation and coordination with the Applicant. The Applicant is expected to provide assistance and coordination across the Services and other DoD agencies as well as be the public interface for the program. While working closely with the Government, the applicant provide program information not only within the DoD, but to the public and other federal agencies, while assisting the SMART Program Office efficiently and effectively administer the program. In order to be able to provide these scholarships to the public, the Recipient must be able to demonstrate its capabilities to assist the Government in the tasks below.

The Recipient will host, maintain and update the existing SMART Scholarship Program website to include the following:

- SMART Scholarship Program information
- Application portal
- Evaluation and Selection panel portals
- Program Award Winner portal containing forms and information specific to program and participant status
- Virtual orientation presentation or webinar for SMART Scholarship Program Award Winners
- Administrative portal to permit access to applicant and participant data and files for statistical and management purposes readily accessible and easily manipulated into reports and charts

The Recipient shall have a transition in plan, to transfer the management of the existing website, within 15 calendar days of award. It is anticipated that the full transition for a fully operational website, to include all portals, will be completed within 60 calendar days.

The Recipient will update the website as required at various times within the scholarship lifecycle.

The Recipient will implement a web design that will take into consideration the entirety of the application cycle of the SMART program to include, but not limited to, application, evaluation, selection, and award. The SMART Program is looking for creative and innovative designs and

implementation of this website. Things to consider are partitioning of data, personally identifiable information (PII), program information, page layout, and other web design features. The recipient will establish an application process to solicit interest of eligible individuals, recruit an evaluation panel, comprised of academia and DoD subject matter experts, to review applicants, provide a method for the selection of individual applicants by DoD facilities, and the ability to make awards to SMART applicants and collect data from those awards.

The Recipient will work closely with the Government to communicate with outside information inquiries from the general public as well as applicants or participants. These communications can come in the form of email, telephone, fax, or other traditional forms of communication. Responses to these communications should occur within one (1) business day. Any information needed to develop a response should be worked jointly between the Recipient and the Government.

The Recipient will establish a tracking, updating, and monitoring system that has the ability to track and monitor scholars throughout the entire SMART program from application through post service commitment and debt collection, if required.

The Recipient, in collaboration with the SMART Program and military Services, will assist in supporting and administering the SMART Program for OASD(R&E)/RD and the Military Services. Tasks to consider will include, but are not limited to, data calls and analytics, program information distribution to the Services and other DoD agencies, assist with scholar issues or concerns and resolution, debt collection, and other tasks. These tasks will be accomplished by working directly with the SMART Program Office, military Services, participating SMART facilities, and SMART scholars.

Element 2

In close collaboration with the SMART Program, develop and maintain a SMART Information Management System that will track, update, and maintain all SMART Program data.

Overview: A complex, comprehensive database and web based user interface is imperative to the successful administration and management of the SMART Program. The database is used to house SMART scholar information that is collected, compiled, reported, and maintained by the Recipient during the course and scope of administering the SMART Scholarship Program. The data elements that should be considered are, but not limited to: names, addresses, schools/grades/and other participant academic information, demographic data, financial data, internship data, site visit data, service commitment data, post-service commitment data and debt collection data, as required. Much of this information falls under Personally Identifiable Information (PII) guidelines. PII data collected shall be collected in accordance with DoD Instructions (DoD 5400.11-R), as amended and up to date. This database is the backbone of the program and provides the main capability to track participants degree pursuit, internships, satisfaction with the program, changes to the individual service agreements, financial projections, and other details that enable the program to run efficiently and effectively.

The Recipient, using a well known software development lifecycle, will propose a plan to create and maintain a SMART Information Management System (SIMS) database to support all the participant data and files for statistical and management purposes readily accessible and easily manipulated into reports and charts. The Government will work closely with the Applicant to determine if the plan is feasible and the course of action to implement the approved plan. The Applicant will then continue to work in close coordination with the Government to discuss and implement new functionality, improvements, user views, and other tasks.

The database needs to be accessible via the SMART website; and, at all times, the Government shall own the database and all data rights associated with the information contained within the database and website. Data to be considered to be in the database should include, participant legacy data and files cover over 10 years and span the entire life of the SMART scholarship, a repository for program, policy and process documents, and other data involved with the program. The recipient should also consider the personnel needed, that are sufficiently trained in database management such that they can maintain and update the system, generate required reports and respond to queries for information, to complete this task.

At the conclusion of this agreement or when terminated, all such data shall be forwarded to the Government using PII-regulatory procedures. Any copies shall be destroyed when PII-protected records/documents are successfully transferred to Government. The Government point of contact is the CAM. PII information shall be properly marked as PII and protected, stored, transmitted and destroyed as the Recipient would its trade secrets, business sensitive information, and PII. Recipient shall execute a non-disclosure agreement with all who have access to this data; and shall not disclose this data for any purpose than that set forth in this agreement. Therefore, it is not available for third-party access without the express consent of the CAM, or an auditor/investigator/inspector general of the United States, Department of Defense. Recipient personnel shall receive training in proper handling of PII information.

Element 3

The Recipient will actively market and provide outreach support to colleges and universities on behalf of the SMART Program as follows:

Overview: A comprehensive and coordinated overarching marketing strategy is essential to the successful management, administration, and measurement of SMART. The primary objective of the SMART marketing strategy is to promote SMART as a coordinated and cohesive effort. This includes the inclusion of individual SMART facilities' outreach events to promote the SMART Program to the public. In order to meet SMART goal of recruiting and retaining highly qualified, highly talented students, SMART marketing strategies and tactics will be designed to influence and educate High School and College students, educators and other key stakeholders about the STEM educational opportunities available across the SMART continuum, as well as DoD STEM career opportunities, while increasing participation among historically underserved/and underrepresented populations. This plan will include what information will be given to the public to include one of a kind internship opportunities and employment opportunities.

The Recipient will prepare marketing and promotional materials annually, in collaboration with the Cooperative Agreements Manager (CAM), to outline the SMART Program and ensure a high application response rate. Marketing and promotional material should contain or identify web

links that contain SMART Program information, program contact information, and other promotional information.

Publicize and promote the SMART Scholarship Program to a wide ranging, national audience, comparable to other nationally renowned undergraduate and graduate level science and technology program, to attract the highest qualified prospective applicants. This includes the design and distribution of advertising and application materials and an appropriate method to reach audiences from which qualified applicants will be drawn. This can include print, electronic, and other media outlets.

The target audiences of the promotion of the SMART Scholarship Program to be considered include U.S. colleges and universities, appropriate industry and student professional and academic associations, National Defense Science and Engineering Graduate (NDSEG) fellowship and National Science Foundation award recipients whose award periods are ending by have not yet completed their degree programs, deans and department chairs in STEM disciplines at U.S. colleges and universities. Consideration should also include DoD services and agencies as directed by the CAM, ensuring SMART has wide visibility within the science and technology directorates (i.e. commands and organizations w/in the DoD responsible for science and/or technology research, and/or engineering, programs and/or activities) (herein referred to as directorates and/or commands) in each service.

Element 4

Assist the SMART Program with payment of scholar's tuition, stipends, and other expenses on behalf of the Government

Overview: One of the SMART Program's biggest obstacles is the payment of tuition, stipends, and other expenses to non-DoD organizations and individuals. The need for the SMART Program to pay tuition to universities and colleges on behalf of students, as well as pay the scholar's their stipends is imperative to the effective administration of the program. The timely payment of stipends and tuition solidifies the reputation of the SMART Program among public opinion allowing it to retain its prestige and ability to recruit. The need for an intermediary to take federal funds and disburse them to universities, colleges, and individuals is an essential element to the SMART Program that needs to be fulfilled.

The Applicant should consider that upon selection of the scholarship awardees, administrative files for each new scholarship recipient and information will be entered into the SIMS database. The Government is looking for innovative and novel solutions for this data entry. Presently, the scholarship provides stipend, textbook/miscellaneous allowances, internship support payments, if required, and full tuition and required fees to the institution attended by the scholarship awardee. The annual stipend for scholarship recipients will be determined for each year for each class. Stipends are determined by the OASD(R&E)/RD. Stipends and other expenses are paid monthly directly to the scholars while tuition and fee payments are paid directly to the academic institution based on institutional billing practices. The Applicant will propose an efficient and effective plan to distribute stipend and academic fees even during peak payment periods, provide stipend payments monthly directly to the awardees, and pay tuition and fees based on institutional billing practices, using common financial business practices and tools. The anticipated number of scholars in academic pursuit is 500-800, with 400-700 scholars requiring

stipends paid through this agreement. The Recipient will need to consider other payments such as: funding for new awardees eligible for a site visit allotment, stipends for the academic evaluation panelists participating in the evaluation panel, or other payments that may be made throughout the year. Anticipated funding level for tuition and stipends and other academic expenses is \$30 - \$50 million per year, based on budget.

The Recipient needs to take into consideration that a report of the amount of all stipend payments and allowance on each scholarship program participant is needed to be sent to the Internal Revenue Service (IRS) on the appropriate Federal forms and within the IRS required timeframe.

Each year approximately 100 SMART Scholarship Program participants are current DoD employees. The Applicant will propose an efficient and effective plan to prepare the Military Interdepartmental Purchase Request (MIPRs) and SOWs needed to fund the SMART Scholarship Program participants at their DoD Components and Commands, in close coordination with the SMART Program Office.

A. Federal Award Information

The FOA is expected to result in the award of a cooperative agreement with a performance period of five (5) years. The anticipated award amount of the cooperative agreement over the five year performance period is \$236,375,000. See breakout below:

Year 1 Up to \$ 30,000,000

Year 2 Up to \$ 42,000,000

Year 3 Up to \$ 51,000,000

Year 4 Up to \$ 56,000,000

Year 5 Up to \$ 56,000,000

Total: Up to \$236,375,000*

*The total amount includes a not to exceed (NTE) amount of \$200,000 per year for travel and Marketing/Outreach shall remain a NTE amount of \$200,000 per year, unless authorized by the CAM. In addition, stipends and tuition account for approximately 90% of the cost per year. The remaining balance would be used as the amount to put towards the level of effort proposed by the applicant.

Below is a brief description of a cooperative agreement:

Cooperative Agreement. A legal instrument which, consistent with 31 U.S.C. 6305, is used to enter into the same kind of relationship as a grant (see definition "grant"), except that substantial involvement is expected between the Federal Government and the recipient when carrying out the activity contemplated by the cooperative agreement. The term does not include "cooperative research and development agreements" as defined in 15 U.S.C. 3710a. No fee or profit is allowed.

Cooperative agreements for institutions of higher education, nonprofit organizations, foreign organizations, and foreign public entities are primarily governed by the following:

- a. Federal statutes
- b. Federal regulations

- c. 2 CFR Part 200, as modified and supplemented by DoD's interim implementation found at 2 CFR Part 1103
- d. 32 CFR Parts 21, 22, 26, and 28
- e. DoD Research and Development General Terms and Conditions
- f. Agency-specific Research Terms and Conditions

Cooperative agreements for for-profit and nonprofit organizations exempted from Subpart E—Cost Principles of 2 CFR Part 200, are primarily governed by the following:

- a. Federal statutes
- b. Federal regulations
- c. 32 CFR Part 34 - Administrative Requirements for Grants and Agreements with For-Profit Organizations
- d. 32 CFR Parts 21, 22, 26, and 28
- e. DoD Research and Development General Terms and Conditions
- f. Agency-specific Research Terms and Conditions

The authority for the SMART Program is USC Title 10, Section 2192a: “The Secretary of Defense shall carry out a program to provide financial assistance for education in science, mathematics, engineering, and technology skills and disciplines that, as determined by the Secretary, are critical to the national security functions of the Department of Defense and are needed in the Department of Defense workforce.”

The following websites may be accessed to obtain an electronic copy of the governing regulations and terms and conditions:

- a. Code of Federal Regulations (CFR): <http://www.ecfr.gov>
- b. DoD Research and Development General Terms and Conditions: <https://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-terms-conditions.aspx>
- c. Agency-specific Research Terms and Conditions: <http://www.arl.army.mil/www/default.cfm?page=8>

Substantial Government involvement is expected under the cooperative agreement and essential to the performance and successful execution of the SMART Program. The cooperative agreement enables and encourages the Recipient to synchronize and coordinate the program planning and execution of the SMART Program with the Government’s primary representative, the Cooperative Agreement Manager (CAM). It is the CAM’s responsibility to provide technical and fiscal oversight over the SMART Cooperative Agreement.

The CAM must ensure that the SMART Program is planned and executed in alignment with priorities and core objectives, within the parameters of the cooperative agreement, and in adherence to annually approved program plans and funding levels. In addition, it is the CAM’s responsibility to effectively and efficiently integrate STEM assets/resources across DoD’s Science and Technology (S&T) Enterprise to ensure program participants are exposed to and learn about STEM opportunities and careers within DoD. Substantial Government involvement is required to provide students STEM opportunities at laboratories and to integrate DoD involvement and representation during SMART events.

Reporting:

Element#	Title	Description/Type of Format	Due Date	Reviewer/ Acceptor
All Elements (1-4)	Written monthly status reports describing work performed during the month, anticipated future work, problems and/or delays	Microsoft Word, Access, Excel	10th of each month	CAM
All Elements (1-4)	Quarterly Meetings Agenda and Presentation	Microsoft Word, Access, Excel	5 calendar days prior to quarterly meeting	CAM
Element 1	Final fully functional web portal including online application, selection, awards, orientation, and administrative portals	Website should be available and fully functional. Access for SMART Participants and all individuals and organizations as directed by the CAM	The Recipient shall have a transition in plan, to transfer the management of the existing website, within 15 calendar days of award. It is anticipated that the full transition for a fully operational website, to include all portals, will be completed within 60 calendar days. Then continuous through performance period	CAM
Element 1	Web Maintenance and Hosting Services	The recipient will host and provide web maintenance services on a routine continually basis throughout agreement performance	Continuous through performance period with no downtime longer than 8 hours per day with a monthly limit of 24 hours per month	CAM
Element 3	Promotion Materials	Print materials, electronic correspondence, journal articles, advertisements, announcements in both print and digital form where appropriate	Government shall have 5 calendar days to approve material. Published/reprinted materials shall be available within 10 calendar days of each print or correspondence	CAM
Element 3	Science and Technology Academia List	The recipient will update and maintain a list of Science and Technology faculty members	No later than 30 calendar days after award	CAM

Element 1	Applicant Cost Detail Worksheet	A Microsoft Excel worksheet listing the expected tuition costs for each applicant. The worksheet should also include other applicant specific data as required by the CAM	NO later than 10 calendar days after close of application	CAM
Element 1	Final award lists and applicant materials	Electronic copies of service/command specific awardee files to be sent to each primary service POC and each command having selected participants	Due to service CAM, CAOs and command POC's no later than 5 calendar days after close of selection	CAM
Element 2	Fully functioning Database of participant records to support, track and report program progression, termination and debt collection and other issue, as needed	SMART Information Management (SIMS) database	Draft database within 15 calendar days of award. The Government will have 5 business days to review the draft and provide comments and changes. The final deliverable will be required 45 calendar days after receipt of the Government comments on the draft. All SMART data shall be migrated to the SIMS including validation of data accuracy within 60 calendar days of award of agreement.	CAM
Element 1	Attendance at meetings and presentation of program briefs	Personal appearance or video or teleconference, meeting minutes as necessary	Ongoing and as needed in coordination with service CAO and CAM	CAM
All Elements (1-4)	Program documentation	Reports, lists, tables, charts, forms as required in Microsoft Office format	Ongoing	CAM
Element 4	Administer Stipends	Administer reports and records of payment to scholarship recipients	Continuous through performance period	CAM
Element 1	IRS reporting of stipend and allowance for each participant and academic evaluation panelist.	Federal forms as required by IRS	As required by IRS	IRS
Element 1	SMART Program Annual Report	Annual report following report template in Microsoft Word format	30 calendar days after the end of the program year	CAM

PROGRAM TRANSITION

Current SMART Contract ends on 14 JAN 2018. The US Army intends to award the cooperative agreement for the SMART Scholarship Program in October 2017 to allow a transitional period between the current contract awardee and the new agreement awardee. The CAM will facilitate the transition of all fundamental elements from the current contractor to new recipient.

Specific items to be transitioned to the new recipient are listed below, but are not inclusive of everything to be transferred:

- the domain smartscholarship.org and all sub-domains under it (the Government owns the domain, however the recipient will pay all fees associated with the upkeep of the domain)
- social media
- data in SIMS in COTS format
- iPads and other equipment
- financial projections and documents
- all other documentation
- outreach and marketing plans, tools, and supplies

The Recipient will develop and implement a plan to identify the tasks and activities required to efficiently transfer all support (i.e., documentation, processes, etc.) to recipient hardware and software systems to ensure seamless program operation upon agreement award. The plan should identify resources and organizations required with responsibilities, define schedules and resource estimates, and address plans to minimize operation risks. The recipient will participate in person or via electronic participation in a Government-scheduled, Kick-Off Meeting after award. The Recipient and any sub-recipient(s) shall participate in the Kick-Off Meeting. The purpose of this Kick-Off Meeting is to (1) aid both the Government and recipient personnel in achieving a clear and mutual understanding of all requirements, and (2) identify and resolve potential problems.

B. Eligibility Information

1. Eligible Applicants

Through the SMART Program, DoD envisions the Government will work with the Recipient to collaboratively advance STEM education and outreach programs conducted across the United States, Puerto Rico as well as DoD locations in Europe and the Pacific. All applicants are expected to have significant involvement and input into the program. To be qualified, potential applicants must:

- Have the management capability and adequate financial and technical resources

to administer the program of activities envisioned under the SMART Program.

- Have a satisfactory record of administering such programs or activities (if a prior recipient of an award).
- Have a satisfactory record of integrity and business ethics.
- Be otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulation.

In deciding whether a Recipient is otherwise qualified, the Grants Officer shall ensure that the potential Applicant is registered and in good standing in the System for Award Management (SAM).

C. Application and Submission Information

1. Address to View Funding Opportunity Announcement

This FOA may be accessed via the following websites:

- a. Grants.gov (www.grants.gov)
- b. Federal Business Opportunities (www.fbo.gov)
- c. ARL website <http://www.arl.army.mil/www/default.cfm?page=8>

Amendments to this FOA, if any, will be posted to these websites when they occur. Interested parties are encouraged to periodically check these websites for updates and amendments.

The following information is for those wishing to respond to the FOA:

2. Content and Form of Application Submission

Application forms and instructions will be available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select "Apply for Grants", and then select "Download an Application Package." Enter the funding opportunity number, W911NF-17-S-0009.

NOTE: Compatible versions of Adobe Reader are currently 8.1.1 and 8.1.2. You will be asked to specify your Operating System (examples: Windows, Mac) and Version (examples: XP, Vista, 10.4.9) be sure to specify Adobe Reader Version 8.1.2 to get the compatible version to apply for grants on Grants.gov. Click here to download version 8.1.2 from Adobe Website: http://www.adobe.com/products/acrobat/readstep2_allversions.htm.

Applicants must complete the mandatory forms and any optional forms (e.g., SF-LLL Disclosure of Lobbying Activities) in accordance with the instructions on the forms and the additional instructions below. The required fields should be completed in accordance with the "pop-up" instructions on the forms. To activate the instructions, turn on the "Help Mode" (icon with the pointer and question mark at the top of the form). Files that are attached to the forms must be in Adobe Portable Document Form (PDF) unless otherwise specified in this announcement.

The following formatting rules apply for the file attachments:

Paper size when printed – 8.5 x 11 inch paper

Margins – 1 inch on all sides of paper

Spacing – single

Font – No smaller than Times New Roman, 10 point

Form: SF 424 (R&R) (Mandatory) – Complete this form first to populate data in other forms. Authorized Organization Representative (AOR) usernames and passwords serve as “electronic signatures” when your organization submits applications through Grants.gov. By using the SF 424 (R&R), applicants are providing the certification required by 32 CFR Part 28 regarding lobbying.

Form: Research & Related Other Project Information - Complete questions 1 through 6 and attach files.

Project Summary/Abstract (Field 7 on the form) - The Project Summary should be a brief abstract that summarizes the content of the proposal. The project summary must not exceed 5 pages. Pages in excess of this page limit will not be evaluated.

- Project Narrative (Field 8 on the form) - Chapters and Numbers of pages – Field 8 is to contain the chapters set forth below and may not exceed the stipulated page counts for those chapters. Pages in excess of the noted page limits will not be evaluated.

- Chapter 1- **Plan**. The pages included in Chapter 1 shall be numbered. Applicants are advised that Chapter 1 **must not exceed 20 pages**, utilizing one side of the page.

- Chapter 2 - **Management and Execution Plan**. The pages included in Chapter 2 shall be numbered. Applicants are advised that Chapter 2 of the proposal **must not exceed 10 pages**, utilizing one side of the page.

- Chapter 3 - **Past Performance Information** - The pages included in Chapter 3 shall be numbered. Applicants are advised that Chapter 3 of the proposal **must not exceed 10 pages**, utilizing one side of the page. This does not include past performance questionnaires.

- Chapter 4 - **Credentials** - Credentials are **limited to 10 pages** but does not include the resumes or biographical sketches of individuals.

Bibliography and References Cited (Field 9 on the form) - Attach a listing of applicable publications cited in above sections.

Facilities and Other Resources (Field 10 on the form) - The applicant is to include a listing of facilities and other resources available to support the proposal. Any Government resources necessary for performance are to be clearly identified. Attach this information at Field 10.

Equipment (Field 11 on the form) - The applicant is to include a listing of equipment available to support the proposal. Any Government equipment necessary for performance is to be clearly identified. Attach this information at Field 11.

Other Attachments (Field 12 on the form) are as follows:

ATTACHMENT 1. Attach the Cost Proposal. The cost portion of the proposal shall contain cost estimates sufficiently detailed for meaningful evaluation. For budget purposes, assume a performance start date of 31 October 2017. For all proposals, the elements of the budget should include:

- Direct Labor - Individual labor category or person, with associated labor hours and unburdened direct labor rates.
- Indirect Costs - Fringe benefits, overhead, G&A, etc. (must show base amount and rate). Justify.
- Travel - Number of trips, destination, duration, etc. Justify and include basis for costs.
- Subaward - A cost proposal, as detailed as the Applicant's cost proposal, will be required to be submitted by each proposed subrecipient.
- Consultant - Provide consultant agreement or other document that verifies the proposed loaded daily/hourly rate. Include a description of the nature of and the need for any consultant's participation. Provide budget justification.
- Materials - Specifically itemized with costs or estimated costs. An explanation of any estimating factors, including their derivation and application, shall be provided. Include a brief description of the applicant's procurement method to be used (competition, engineering estimate, market survey, etc.). Justify.
- Other Directs Costs - Particularly any proposed items of equipment or facilities. Equipment and facilities generally must be furnished by the recipient (justifications must be provided when Government funding for such items is sought). Include a brief description of the applicant's procurement method to be used (competition, engineering estimate, market research, etc.). Justify.

ATTACHMENT 2. SF-LLL - Disclosure of Lobbying Activities

If applicable, attach a complete SF- LLL. Applicability: If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/collaborative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying."

ATTACHMENT 3 – Complete the following and include with the submission:

Representations under DoD Assistance Agreements: Appropriations Provisions on Tax Delinquency and Felony Convictions

(1) The applicant represents that it is ___ is not ___ a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been

exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

(2) The applicant represents that it is ___ is not ___ a corporation that was convicted of a criminal violation under any Federal law within the preceding 24 months.

NOTE: If an applicant responds in the affirmative to either of the above representations, the applicant is ineligible to receive an award unless the agency suspension and debarment official (SDO) has considered suspension or debarment and determined that further action is not required to protect the Government's interests. The applicant therefore should provide information about its tax liability or conviction to the agency's SDO as soon as it can do so, to facilitate completion of the required consideration before award decisions are made. Applicant's authorized representative must sign and date form.

3. Unique Entity Identifier and System for Award Management (SAM)

a. Each applicant (unless the applicant is an individual or Federal awarding agency that is exempt from those requirements under 2 CFR 25.110(b) or (c), or has an exemption approved by the Federal awarding agency under 2 CFR 25.110(d)) is required to:

- i. Be registered in SAM prior to submitting its application;
- ii. Provide a valid unique entity identifier (formerly DUNS) in its application; and
- iii. Maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

b. The Federal awarding agency may not make a Federal award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements. If an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

4. Submission Dates and Times

a. Proposals

Electronic submission of proposals through grants.gov are due by 3:00 PM local Durham, NC, USA time 11 July 2017. Proposals submitted after the closing date will not be considered or evaluated by the Government.

b. Proposal Receipt Notices

i. Grants.gov: After a proposal is submitted to Grants.gov, the AOR will receive a series of three emails from Grants.gov. The first two emails will be received within 24 to 48 hours after submission. The first email will confirm time of receipt of the proposal by the Grants.gov system and the second will indicate that the proposal has either been successfully validated by the system prior to transmission to the grantor agency or has been rejected due to errors. A third email will be received once the grantor agency has confirmed receipt of the proposal. Reference the

Grants.gov User Guide at http://www.grants.gov/help/html/help/index.htm?callingApp=custom#t=Get_Started%2FGet_Started.htm for information on how to track your application package.

For the purposes of this FOA, an applicant's proposal is not considered received by ARO until the AOR receives email #3.

5. Intergovernmental Review

Not Applicable

6. Funding Restrictions

There are no specific funding restrictions associated with this FOA (e.g. direct costs, indirect costs, etc.).

7. Other Submission Requirements

a. Information to Be Requested from Successful Applicants: Applicants whose proposals are accepted for funding will be contacted before award to provide additional information required for award. The required information may include requests to clarifying budget explanations, representations, certifications, and some technical aspects.

D. Proposal Review Information

1. Criteria

It is the intent of the FOA to solicit the most creative, innovative, and effective approach to the administration of the SMART Program. The award decision will be based on an overall evaluation of each applicant's proposal in accordance with the factors set forth below. The factors are (1) Technical Plan to administer the Smart Program, (2) Management, (3) Past Performance, and (4) Credentials.

Factor (1) Technical Plan - This plan shall include details on how the SMART program fundamental elements will be administered; focusing on how such plans will lead to achieving the four (4) SMART fundamental elements. Each of the fundamental elements needs to be addressed individually, and then an explanation of how the applicant will bring all 4 of the fundamental elements together for successful and satisfactory administration of the SMART program. Evidence of the inclusion of the appropriate technical expertise required to execute a competitive selection process expected to result in the recruitment of candidates of the highest caliber. Applicants must provide documentation supporting the ability to host an evaluation of applications to include the recruitment of subject matter experts from both DoD and academia. Documentation may include, but not be limited to: prior experience with the administration of application cycles, monitoring and interaction with students during academic pursuit, monitoring of scholars upon graduation, hiring tracking, prior use of the expert/organization to students qualifications, prior experience with

debt collection, agreements with scientific organizations / individuals, etc. The applicant must also demonstrate the capability to develop and maintain a complex, multi-user database and web-based front end. This capability can be in the form of technical expertise, ongoing projects for other contracts/agreements/grants, or a combination of other demonstrable capabilities. The applicant shall clearly address its plan for increasing awareness of SMART. The applicant's application shall also address the process the applicants will use to facilitate transitioning from the current program to the resulting program once awarded. The Government will use all of the submitted documentation to evaluate the applicant's capability and technical competence in all areas of the SMART Program Lifecycle, to include but not limited to, application cycle, monitoring of scholars in academic pursuit, monitoring of students in service commitment, hiring tracking, database development and maintenance, marketing and outreach for STEM programs, and disbursing and tracking funds. The application shall include a discussion on how sub-recipients are selected, if applicable. All of these areas listed as well as the scope of work listed in the fundamental elements will be evaluated against the submitted documentation and application to develop an overall technical score for this factor.

Factor (2) Management - This element will focus upon the plan for managing the administration of recipient activities over the lifetime of the SMART Program. The applicant should demonstrate a viable management approach by providing a feasible, comprehensive management plan considering each of the following items as a minimum: a detailed description of its overall management concept to include, but not limited to, management of data, personnel, and application cycle; a detailed description of its methodology and mechanisms for development of a comprehensive program plan, to include, but not limited to, marketing and outreach, assistance with payments, and overall ability to manage all four (4) fundamental elements simultaneously; management procedures to oversee and maximize progress; management concepts to foster collaboration with the government; management of the vast amount of data that is to be collected and used in the SMART program; management of student feedback and reporting to possibly improve the program; specifics of the integration of SMART website into all components/efforts; and controls to assure timely submission and tracking of recipient invoices submitted to the Government. The Government will also evaluate the methodology and mechanisms of the proposed comprehensive program plan to ensure that it provides for adequate oversight and management of the SMART program in the furtherance of the Government's objectives.

Factor (3) Past Performance –This element will focus on previous or current efforts performed by the applicant that demonstrates the ability to successfully performed requirements similar to those outlined in the FOA. The applicant shall include contact information (agency/company name, point of contact, telephone and facsimile numbers, e-mail address, etc.) as well as the project/contract/grant/agreement name and number of three (3) references that can verify and validate its ability to successfully perform the requirements in the PA. The applicant shall provide a brief description of its ongoing and previous Government Agreements/contracts during the past three (3) years, which are relevant to the

effort required in this FOA. Identify in specific detail for each contract/grant/agreement listed why or how the effort is relevant or similar to the effort required in this PA. Applicants shall discuss in detail corporate experience solving challenging problems similar to those that may arise with this program. The applicant will be responsible for overall management and administration, its past performance shall clearly demonstrate that it has successfully done so in the past three (3) years. Additionally, the past performance for proposed applicants shall clearly demonstrate that it has successfully performed in the area(s) where they will have administrative management control. Applicants are encouraged to include information on performance problems encountered on identified contracts/grants/agreements and the corrective actions taken. The Government will evaluate the applicant on this factor using all of the documentation submitted with the application.

Factor (4) Credentials. This factor will focus on the applicant's credentials, as an organization (reputation or recognition in the area of STEM outreach or education) as well as the credentials of the specific individuals proposed. Credentials include, but are not limited to, personnel on board, ability to recruit qualified personnel, and reputation within the STEM outreach and education community. The application shall provide a sufficient description of the leadership roles and management personnel to include the names, brief biographies and availability of key personnel substantially and meaningfully engaged in the cooperative agreement. The applicant's application shall clearly identify the components and/or functions each of the named persons will be responsible for managing. The Government's assessment of this factor will focus on how the demonstrated education and experience of proposed personnel is expected to contribute to the applicant's understanding of the DoD's goals for STEM education and outreach and the core objectives of the cooperative agreement. The Government will assess the application to determine if proper biographical and work experience has been provided for all personnel whose performance will significantly impact the successful completion of the requirements outlined in the FOA.

Factor (5) Cost

While this area will not be weighted, it will be used in the final determination of a Recipient. Evaluation of this area will consider cost realism, cost reasonableness, and affordability within funding constraints. The Government may make adjustments to the cost of the total proposed effort as deemed necessary to reflect what the effort should cost. These adjustments shall consider the task undertaken and approach proposed. These adjustments may include upward or downward adjustments to proposed labor hours, labor rates, quantity of materials, price of materials, overhead rates and G&A, etc.

RELATIVE IMPORTANCE OF EVALUATION FACTORS

Evaluation factors are listed in descending order of importance with Technical Plan, Management, and Past Performance all weighted equally, followed by Credentials. Cost is not weighted, however, as the other Factor ratings of the proposals become closer, the importance of cost increases.

2. Review and Selection Process

All information necessary for the review and evaluation of a proposal must be contained within the proposal. No other material will be provided to those evaluating proposals. An initial review of the proposals will be conducted to ensure compliance with the requirements of this FOA. Failure to comply with the requirements of the FOA may result in a proposal receiving no further consideration for award.

An initial review of the proposals will be conducted to ensure compliance with the requirements of the FOA. Failure to comply with the requirements of the FOA may result in a proposal receiving no further consideration for award.

Proposals that are in compliance with the requirements of the FOA will be evaluated in accordance with the evaluation factors using an adjectival and color rating system. Award will be based on an integrated assessment of each Applicant's ability to satisfy the FOA requirements. The Government reserves the right to award without discussions. If discussions are held, those Applicants will be invited to submit Proposal Revisions which will be evaluated using the same evaluation procedures as were used in the initial proposals. The Government will make award to the Applicant, conforming to the FOA, which offers the best value to the Government, cost and other factors considered. Further, award may be made to other than the Applicant who offers the lowest cost proposal. The Government reserves the right not to make an award should no acceptable offer be submitted.

Applications received in response to the FOA will undergo review to determine technical merit using a selection assessment panel.

The panel will not compare one application against another, but rather assess each application against the element and merit definition published within the FOA. The assigned merit consistent with the elements will be derived from the demonstrated ability of the applicant, as represented in the Technical Section (Elements 1 – 4), to perform the work in accordance with all aspects of the requirements outlined in this FOA and from the affordability and realism of the Cost Section (Element 5). Applications which are unrealistic in terms of technical commitments or price, will be deemed to reflect an inherent lack of technical competence or failure to comprehend the complexity and risks of requirements, may be rejected.

E. Award Administration Information

1. Award Notices

Applicants whose proposals are recommended for award may be contacted by a Grants Officer or his/her representative. The notification email must not be regarded as an authorization to commit or expend funds. Award is not made until the cooperative agreement is signed by both the successful applicant and the Grants Officer.

The award document signed by the Grants Officer is the official and authorizing award instrument. The authorizing award instrument, signed by the Grants Officer, will be emailed to the PI and AOR.

2. Administrative and National Policy Requirements

a. Required Representations and Certifications:

ii. Grant and Cooperative Agreement Proposals:

(1) Grant awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. Statutes and Government-wide regulations require the certification to be submitted prior to award. When submitting your grant through Grants.gov, by completing blocks 18 and 19 of the SF 424 (R&R) Form, the grant applicant is providing the certification on lobbying required by 32 CFR Part 28; otherwise a copy signed by the AOR must be provided. Below is the required certification:

CERTIFICATION AT APPENDIX A TO 32 CFR PART 28 REGARDING LOBBYING: Certification for Contracts, Grants, Loans, and Cooperative Agreements the undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit SF-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than

\$10,000 and not more than \$100,000 for each such failure.

(2) In accordance with Continuing Appropriations Act, 2017 (Pub. L. 114-223), or any other Act that extends to fiscal year (FY) 2017 funds the same prohibitions as contained in section 743, division E, title VII, of the Consolidated Appropriations Act, 2016 (Pub. L. 114-113), none of the funds appropriated or otherwise made available by that or any other Act may be made available for a grant or cooperative agreement with an entity that requires its employees or contractors seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting those employees or contractors from lawfully reporting that waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive the information.

PROHIBITION ON CONTRACTING WITH ENTITIES THAT REQUIRED CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS – REPRESENTATION

Agreement with the representation below will be affirmed by checking the “I agree” box in block 17 of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

By submission of its proposal or application, the applicant represents that it does not require any of its employees, contractors, or subrecipients seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting those employees, contractors, subrecipients from lawfully reporting that waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

*Note that: Section 743 states that it does not contravene requirements applicable to SF 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

(3) Recipients are required to submit the following representation with the application package:

REPRESENTATIONS UNDER DOD ASSISTANCE AGREEMENTS: APPROPRIATIONS PROVISIONS ON TAX DELINQUENCY AND FELONY CONVICTIONS

The applicant is () is not () a “Corporation” meaning any entity, including any institution of higher education, other nonprofit organization, or for-profit entity that has filed articles of incorporation.

If the applicant is a “Corporation” please complete the following representations:

(a) The applicant represents that it is () is not () a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax

liability.

(b) The applicant represents that it is () is not () is not a corporation that was convicted of a criminal violation under any Federal law within the preceding 24 months.

NOTE: If an applicant responds in the affirmative to either of the above representations, the applicant is ineligible to receive an award unless the agency suspension and debarment official (SDO) has considered suspension or debarment and determined that further action is not required to protect the Government's interests. The applicant therefore should provide information about its tax liability or conviction to the agency's SDO as soon as it can do so, to facilitate completion of the required considerations before award decisions are made.

b. Policy Requirements:

The following list provides notable national policy requirements that may be applicable to an award. NOTE: The following is not an all-inclusive list of policy requirements. For assistance awards, refer to the DoD Research and Development General Terms and Conditions at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-terms-conditions.aspx> for additional national policy requirements that may apply.

i. PROTECTION OF HUMAN SUBJECTS:

(1) Assistance Instruments:

(a) The recipient must protect the rights and welfare of individuals who participate as human subjects in research under this award and comply with the requirements at 32 CFR part 219, Department of Defense Instruction (DoDI) 3216.02, 10 U.S.C. 980, and when applicable, Food and Drug Administration (FDA) regulations.

(b) The recipient must not begin performance of research involving human subjects, also known as human subjects research (HSR), that is covered under 32 CFR part 219, or that meets exemption criteria under 32 CFR 219.101(b), until you receive a formal notification of approval from a DoD Human Research Protection Official (HRPO). Approval to perform HSR under this award is received after the HRPO has performed a review of the recipient's documentation of planned HSR activities and has officially furnished a concurrence with the recipient's determination as presented in the documentation.

(c) In order for the HRPO to accomplish this concurrence review, the recipient must provide sufficient documentation to enable his or her assessment as follows:

(i) If the HSR meets an exemption criteria under 32 CFR 219.101(b), the documentation must include a citation of the exemption category under 32 CFR 219.101(b) and a rationale statement.

(ii) If the recipient's activity is determined as "non-exempt research involving human subjects", the documentation must include:

- Assurance of Compliance (i.e., Department of Health and Human Services Office for Human Research Protections (OHRP) Federal Wide Assurance (FWA)) appropriate for the scope of work or program plan; and

- Institutional Review Board (IRB) approval, as well as all documentation reviewed by the IRB to make their determination.

(d) The HRPO retains final judgment on what activities constitute HSR, whether an exempt category applies, whether the risk determination is appropriate, and whether the planned HSR activities comply with the requirements in paragraph (a) of this section.

(e) The recipient must notify the HRPO immediately of any suspensions or terminations of the Assurance of Compliance.

(f) DoD staff, consultants, and advisory groups may independently review and inspect the recipient's research and research procedures involving human subjects and, based on such findings, DoD may prohibit research that presents unacceptable hazards or otherwise fails to comply with DoD requirements.

(g) Definitions for terms used in this article are found in DoDI 3216.02.

ii. ANIMAL USE:

(1) Assistance Instruments:

(a) Prior to initiating any animal work under the award, the recipient must:

(i) Register the recipient's research, development, test, and evaluation or training facility with the Secretary of Agriculture in accordance with 7 U.S.C. 2136 and 9 CFR section 2.30, unless otherwise exempt from this requirement by meeting the conditions in 7 U.S.C. 2136 and 9 CFR parts 1-4 for the duration of the activity.

(ii) Have the recipient's proposed animal use approved in accordance with DoDI 3216.01, Use of Animals in DoD Programs by a DoD Component Headquarters Oversight Office.

(iii) Furnish evidence of such registration and approval to the grants officer.

(b) The recipient must make the animals on which the research is being conducted, and all premises, facilities, vehicles, equipment, and records that support animal care and use available during business hours and at other times mutually agreeable to the recipient, the United States Department of Agriculture Office of Animal and Plant Health Inspection Service (USDA/APHIS) representative, personnel representing the DoD component oversight offices, as well as the grants officer, to ascertain that the recipient is compliant with 7 U.S.C. 2131 et seq., 9 CFR parts 1-4, and DoDI 3216.01.

(c) The recipient's care and use of animals must conform with the pertinent laws of the United States, regulations of the Department of Agriculture, and regulations, policies, and procedures of the DoD (see 7 U.S.C. 2131 et seq., 9 CFR parts 1-4, and DoDI 3216.01).

(d) The recipient must acquire animals in accordance with DoDI 3216.01.

iii. BIOLOGICAL SAFETY PROGRAM REQUIREMENTS:

(1) Assistance Instruments and Contracts: Awards may be subject to biological safety program requirements IAW:

(a) Army Regulation (AR) 385-10, Chapter 20

http://armypubs.army.mil/epubs/DR_pubs/DR_a/pdf/web/r385_10.pdf

(b) Department of Army (DA) Pamphlet (PAM) 385-69

http://armypubs.army.mil/epubs/DR_pubs/DR_a/pdf/web/p385_69.pdf

(c) DoD Manual 6055.18-M, Enclosure 4, Section 13

<http://www.dtic.mil/whs/directives/corres/pdf/605518m.pdf>

(d) DoD Executive Agent List (see item 3)

http://www.oaa.army.mil/aea_functions.aspx

iv. MILITARY RECRUITING:

(1) Assistance Instruments: This is to notify potential applicants that each grant or cooperative agreement awarded under this announcement to an institution of higher education must include the following term and condition:

(a) As a condition for receiving funds available to the DoD under this award, you agree that you are not an institution of higher education (as defined in 32 CFR part 216) that has a policy or practice that either prohibits, or in effect prevents:

(i) The Secretary of a Military Department from maintaining, establishing, or operating a unit of the Senior Reserve Officers Training Corps (ROTC)—in accordance with 10 U.S.C. 654 and other applicable Federal laws—at that institution (or any sub-element of that institution);

(ii) Any student at that institution (or any sub-element of that institution) from enrolling in a unit of the Senior ROTC at another institution of higher education.

(iii) The Secretary of a Military Department or Secretary of Homeland Security from gaining access to campuses, or access to students (who are 17 years of age or older) on campuses, for purposes of military recruiting in a manner that is at least equal in quality and scope to the access to campuses and to students that is provided to any other employer; or

(iv) Access by military recruiters for purposes of military recruiting to the names of students (who are 17 years of age or older and enrolled at that institution or any sub-element of that

institution); their addresses, telephone listings, dates and places of birth, levels of education, academic majors, and degrees received; and the most recent educational institutions in which they were enrolled.

(b) If you are determined, using the procedures in 32 CFR part 216, to be such an institution of higher education during the period of performance of this award, we:

(i) Will cease all payments to you of DoD funds under this award and all other DoD grants and cooperative agreements; and

(ii) May suspend or terminate those awards unilaterally for material failure to comply with the award terms and conditions.

vii. DRUG-FREE WORKPLACE:

(1) Assistance Instruments: The recipient must comply with drug-free workplace requirements in Subpart B of 2 CFR part 26, which is the DoD implementation of 41 U.S.C. chapter 81, “Drug-Free Workplace.”

viii. DEBARMENT AND SUSPENSION:

(1) Assistance Instruments: The recipient must comply with requirements regarding debarment and suspension in Subpart C of 2 CFR part 180, as adopted by DoD at 2 CFR part 1125. This includes requirements concerning the recipient’s principals under an award, as well as requirements concerning the recipient’s procurement transactions and subawards that are implemented in DoD Research and Development General Terms and Conditions PROC Articles I through III and SUB Article II.

ix. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION:

(1) Assistance Instruments: The recipient must report information about subawards and executive compensation as specified in the award term in Appendix A to 2 CFR part 170, “Reporting subaward and executive compensation information,” modified as follows:

(a) To accommodate any future designation of a different Government wide Web site for reporting subaward information, the Web site “<http://www.fsrs.gov>” cited in paragraphs a.2.i. and a.3 of the award provision is replaced by the phrase “<http://www.fsrs.gov> or successor OMB-designated Web site for reporting subaward information”;

(b) To accommodate any future designation of a different Government wide Web site for reporting executive compensation information, the Web site “<http://www.sam.gov>” cited in paragraph b.2.i. of the award provision is replaced by the phrase “<https://www.sam.gov> or successor OMB-designated Web site for reporting information on total compensation”; and

(c) The reference to “Sec. ____ .210 of the attachment to OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations” in paragraph e.3.ii of the award term is

replaced by “2 CFR 200.330, as implemented in DoD Research and Development General Terms and Conditions SUB Article I of this award.”

3. Additional Reporting

a. Additional reports including number and types will be specified in the award document, but will include as a minimum monthly financial status reports. The reports shall be prepared and submitted in accordance with the procedures contained in the award document and mutually agreed upon before award. Reports and briefing material will also be required as appropriate to document progress in accomplishing program metrics. A final report that summarizes the project and tasks will be required at the conclusion of the performance period for the award.

a. Monthly Performance and Cost Report

The report will account for all finances, accrued and disbursed, during the reporting period under the cooperative agreement. This report will include a summary of receipts and disbursements, travel, and other benefits for the students. The report will also include costs by the categories of:

TRAVEL,
ADVERTISING,
OFFICE COSTS,
SALARIES,
OTHER
Total

The "other" category will include all administrative expenses that do not apply to the other administrative cost categories. All administrative expenses will be summed under the "Total" category.

The report will contain a listing of students added to the program, departing from the program, and continuing in the program as of the report date. Furthermore, the Recipient will include in this listing or in a separate listing the sum of all costs associated with each of these students in order that the expenses associated with each may be known (e.g. stipends, travel expenses, medical benefits, additional anticipated cost for students to finish tenure, and all other costs that can be attributable to each student).

The Recipient will include a summary of the candidate review committee meeting, if a meeting was conducted during the month.

The Recipient shall make distribution of the Monthly Performance and Cost Report as follows:

Cooperative Agreement Manager - 1 original plus 1 copy;
Agreement Administration Office - 1 copy, and the
Grants Officer - 1 copy of the letter of transmittal only.

Joint Papers and Presentations

Periodic joint papers and presentations may be given. Copies of such shall be provided to the CAM.

Journal Articles

Journal articles in general and joint ARO/Recipient/Student journal articles are strongly encouraged as a reporting mechanism for the research effort.

Fellow Progress Reports and Final Report

The Recipient will submit periodic progress reports and a final report under the cooperative agreement for each Fellow. The periodic progress reports will be submitted every 6 months. Each progress report and the Final report will include the date written, name of student, date of tenure, title of research project, research advisor's name, professional travel during tenure, programmatic travel during tenure, seminars or lectures delivered during tenure, work in progress, summary of research, publications and papers resulting from research, and patents applied for as a result of research. The final report will also include a forwarding address and appraisal of the program. The progress reports and final report for each student will be submitted to the ARO CAM.

Annual and Final Reports

The Recipient shall submit Annual Reports and a Final Report of all activity under the program. This report will summarize the monthly reports and highlight all activities under the cooperative agreement. The report will also provide an accounting of all Federal funds expended during the term of the Agreement. With the approval of the CAM, reprints of published articles may be attached to the Final Report. The Recipient shall also submit Annual Reports and a Final Report summarizing activities and an accounting of all Federal Funds expended during the term of the cooperative agreement.

The Recipient shall make distribution of the Annual Reports and Final Report as follows:

Cooperative Agreement Manager - 1 original plus 1 copy;
Agreement Administration Office - 1 copy, and the
Grants Officer - 1 copy of the letter of transmittal only.
One (1) copy of the Final Report shall be provided to:
Defense Technical Information Center (DTIC)
8725 John J. Kingman Road, Suite 0944
Ft. Belvoir, VA 22060-6218.

Financial Reporting: Federal Financial Report (SF 425): Annual and Final Reports

1. Reporting period end dates fall on the end of the calendar year for annual reports (12/31) and the end date of the grant project or period for the final report. Annual reports are due 30 calendar days after the reporting period end date, and the final report is due 90 calendar days after the end date of the grant. All financial reports shall be submitted to the Grant Administration Office. Copies of the forms and instructions may be found on the Internet at <http://www.aro.army.mil/forms/forms2.htm>. The Recipient shall make distribution of the Annual and Final (SF425) Reports as follows:

Cooperative Agreement Manager - 1 original plus 1 copy;
Agreement Administration Office - 1 copy, and

Note: The SF 425 is a single form that consolidates and replaces the Federal Cash Transaction Report (FACTOR or SF 272/SF 272A) and the Financial Status Report (FSR or SF 269/SF 269A).

F. Agency Contacts

Questions regarding program execution and administration should be directed to:

Christina Deckard
SMART Program Manager
Christina.j.deckard.civ@mail.mil

Tylar Temple
SMART Deputy Program Manager
tylar.c.temple.civ@mail.mil

The DoD Grants Officer is:

Jessica Wilkerson
US Army Contracting Command-Aberdeen Proving Ground
RTP Division
Jessica.wilkerson2.civ@mail.mil

G. Other Information

Applicants are advised that any data or supporting materials submitted to the Government in response to this announcement may be released to non-Government personnel for review and analysis. The participation of these non-government personnel will be limited to offering an opinion, which may be used as a guide by the government evaluators. The exclusive responsibility for merit assessment and application selection will reside solely with the Government. Proprietary information submitted in response to this announcement will be protected from unauthorized disclosure as required by 41 U.S.C §423. These individuals will be authorized access only to those portions of the application data and discussions that are necessary to enable them to perform their respective duties. Such firms are expressly prohibited from competing on the subject acquisition.

If the applicant objects to disclosure of information, applicants shall provide the objection in writing to the Grants Officer. The objection shall include a detailed statement of the basis for the objection and identify specific portions of the application of which the applicant objects to disclosure to non-Government personnel.

Incumbent Performer: The SMART Program is currently being performed under Contract Number HQ0034-16-C-0008. The current Contractor is American Society for Engineering Education, 1818 N ST NW STE 600, Washington, DC 20036-2476.

H. COOPERATIVE AGREEMENT Proposals

Before award it must be established that an approved accounting system and financial management system exist.

a. *Direct Labor*: Show the current and projected salary amounts in terms of man-hours, man-months, or annual salary to be charged by the PI(s), faculty, research associates, postdoctoral associates, graduate and undergraduate students, secretarial, clerical, and other technical personnel either by personnel or position. State the number of man-hours used to calculate a man-month or man-year. For proposals from universities, research during the academic term is deemed part of regular academic duties, not an extra function for which additional compensation or compensation at a higher rate is warranted. Consequently, academic term salaries shall not be augmented either in rate or in total amount for research performed during the academic term. Rates of compensation for research conducted during non-academic (summer) terms shall not exceed the rate for the academic terms. When part or all of a person's services are to be charged as project costs, it is expected that the person will be relieved of an equal part or all of his or her regular teaching or other obligations. For each person or position, provide the following information:

- i. The basis for the direct labor hours or percentage of effort (e.g., historical hours or estimates);
- ii. The basis for the direct labor rates or salaries. Labor costs should be predicted upon current labor rates or salaries. These rates may be adjusted upward for forecast salary or wage cost-of-living increases that will occur during the agreement period. The cost proposal should separately identify the rationale applied to base salary/wage for cost-of-living adjustments and merit increases. Each must be fully explained;
- iii. The portion of time to be devoted to the proposed research, divided between academic and non-academic (summer) terms, when applicable;
- iv. The total annual salary charged to the research project; and
- v. Any details that may affect the salary during the project, such as plans for leave and/or remuneration while on leave.

Note: There is no page limitation for budget proposals or budget justifications.

b. Fringe Benefits and Indirect Costs (Overhead, G&A, and Other): The most recent rates, dates of negotiation, the base(s) and periods to which the rates apply must be disclosed and a statement included identifying whether the proposed rates are provisional or fixed. If the rates have been negotiated by a Government agency, state when and by which agency. A copy of the negotiation memorandum should be provided. If negotiated forecast rates do not exist, applicants must provide sufficient detail to enable a determination to be made that the costs included in the forecast rate are allocable according to applicable cost provisions. Applicants' disclosure should be sufficient to permit a full understanding of the content of the rate(s) and how it was established. As a minimum, the submission should identify:

- i. All individual cost elements included in the forecast rate(s);
- ii. Basis used to prorate indirect expenses to cost pools, if any;
- iii. How the rate(s) was calculated;
- iv. Distribution basis of the developed rate(s);
- v. Basis on which the overhead rate is calculated, such as "salaries and wages" or "total costs;" and
- vi. The period of the applicant's FY.

c. Permanent Equipment: If facilities or equipment are required, a justification why this property should be furnished by the Government must be submitted. State the organization's inability or unwillingness to furnish the facilities or equipment. Applicants must provide an itemized list of permanent equipment showing the cost for each item. Permanent equipment is any article or tangible nonexpendable property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. The basis for the cost of each item of permanent equipment included in the budget must be disclosed, such as:

- i. Vendor Quote: Show name of vendor, number of quotes received and justification, if intended award is to other than lowest bidder.
- ii. Historical Cost: Identify vendor, date of purchase, and whether or not cost represents lowest bid. Include reason(s) for not soliciting current quotes.
- iii. Engineering Estimate: Include rationale for quote and reason for not soliciting current quotes.

If applicable, the following additional information shall be disclosed in the applicant's cost proposal:

iv. Special test equipment to be fabricated by the awardee for specific research purposes and its cost.

v. Standard equipment to be acquired and modified to meet specific requirements, including acquisition and modification costs, listed separately.

vi. Existing equipment to be modified to meet specific research requirements, including modification costs. Do not include equipment the organization will purchase with its funds if the equipment will be capitalized for Federal income tax purposes. Proposed permanent equipment purchases during the final year of an award shall be limited and fully justified.

vii. Grants and cooperative agreements may convey title to an institution for equipment purchased with project funds. At the discretion of the Contracting/Grants Officer, the agreement may provide for retention of the title by the Government or may impose conditions governing the equipment conveyed to the organization per the governing laws and regulations.

d. Travel: Forecasts of travel expenditures (domestic and foreign) that identify the destination and the various cost elements (airfare, mileage, per diem rates, etc.) must be submitted. The costs should be in sufficient detail to determine the reasonableness of such costs. Allowance for air travel normally will not exceed the cost of round-trip, economy air accommodations. Specify the type of travel and its relationship to the research project. Individuals other than the PI(s) are considered postdoctoral associates, research associates, graduate and undergraduate students, secretarial, clerical, and other technical personnel. Additional travel may be requested for travel to Army laboratories and facilities to enhance agreement objectives and to achieve technology transfer.

e. Participant Support Costs: This budget category refers to costs of transportation, per diem, stipends, and other related costs for participants or trainees (but not employees) in connection with ARO-sponsored conferences, meetings, symposia, training activities, and workshops (see the "Other Programs" section as described earlier in this BAA). Generally, indirect costs are not allowed on participant support costs. The number of participants to be supported should be entered in the parentheses on the budget form. These costs should also be justified in the budget justification page(s) attached to the cost proposal.

f. Materials, Supplies, and Consumables: A general description and total estimated cost of expendable equipment and supplies are required. The basis for developing the cost estimate (vendor quotes, invoice prices, engineering estimate, purchase order history, etc.) must be included. If possible, provide a material list.

g. Publication, Documentation, and Dissemination: The budget may request funds for the costs of preparing, publishing, or otherwise making available to others the findings and products of the work conducted under an agreement, including costs of reports, reprints, page charges, or other journal costs (except costs for prior or early publication); necessary illustrations, cleanup, documentation, storage, and indexing of data and databases; and development, documentation, and debugging of software.

h. Consultant Costs: Applicants normally are expected to utilize the services of their own staff to the maximum extent possible in managing and performing the project's effort. If the need for consultant services is anticipated, the nature of proposed consultant services should be justified and included in the technical proposal narrative. The cost proposal should include the names of consultant(s), primary organizational affiliation, each individual's expertise, daily compensation rate, number of days of expected service, and estimated travel and per diem costs.

i. Computer Services: The cost of computer services, including computer-based retrieval of scientific, technical, and educational information, may be requested. A justification/explanation based on the established computer service rates at the proposing organization should be included. The budget also may request costs, which must be shown to be reasonable, for leasing automatic data processing equipment. The purchase of computers or associated hardware and software should be requested as items of equipment.

j. Subawards (Subcontracts or Subgrants): A precise description of services or materials that are to be awarded by a subaward must be provided. For subawards totaling \$10,000 or more, provide the following specific information:

- i. A clear description of the work to be performed;
- ii. If known, the identification of the proposed subawardee and an explanation of why and how the subawardee was selected or will be selected;
- iii. The identification of the type of award to be used (cost reimbursement, fixed price, etc.);
- iv. Whether or not the award will be competitive and, if noncompetitive, rationale to justify the absence of competition; and
- v. A detailed cost summary.

k. ODCs: Itemize and provide the basis for proposed costs for other anticipated direct costs such as communications, transportation, insurance, and rental of equipment other than computer related items. Unusual or expensive items must be fully explained and justified.

l. Profit/ Fee: Profit/fee is not allowed for the recipient of or subaward to an assistance instrument, where the principal purpose of the activity to be carried out is to stimulate or support a public purpose (i.e., to provide assistance), rather than acquisition (i.e., to acquire goods and services for the direct benefit of the Government). A subaward is an award of financial assistance in the form of money, or property in lieu of money, made under a DoD grant or cooperative agreement by a recipient to an eligible subrecipient. The term includes financial assistance for substantive program performance by the subrecipient of a portion of the program for which the DoD grant or cooperative agreement was made. It does not include the recipient's procurement of goods and services needed to carry out the program.

