



**AIR FORCE OFFICE OF SCIENTIFIC RESEARCH
FUNDING OPPORTUNITY ANNOUNCEMENT
FISCAL YEAR (FY) 2024
YOUNG INVESTIGATOR RESEARCH PROGRAM**

**AFOSR Announcement #FOA-AFRL-AFOSR-2023-0011
Amendment 0002**

The Fiscal Year 2024 Air Force Young Investigator Research Program (YIP) intends to support individual early in career scientists and engineers who have received Ph.D. or equivalent degrees by 01 April 2016 or later showing exceptional ability and promise for conducting basic research. The program objective is to foster creative basic research in science and engineering; enhance early career development of outstanding young investigators; and increase opportunities for the young investigator to recognize the Air Force and Space Force mission and related challenges in science and engineering.

Individual awards are made to U.S. institutions of higher education, industrial laboratories, for-profit, or non-profit research organizations where the principal investigator (PI) is employed on a full-time basis and holds a regular, non-contractor position. YIP PIs must be a U.S. citizen, national, or permanent resident. Researchers working at a Federally Funded Research and Development Center, or a Department of Defense (DoD) Laboratory are not eligible for this competition.

Most YIP awards are funded up to \$150,000 per year for three years, for a total of \$450,000. Each three-year budget **must not** exceed \$150,000; regardless of if the total budget is \$450,000. Exceptional proposals will be considered individually for higher funding levels and/or longer duration. Please review the remainder of this announcement for additional information.

We anticipate at least thirty-six (36) traditionally funded YIPs under this competition if funds are available. There may be up to an additional two YIPs funded in partnership with the Laboratory for Physical Sciences (LPS) in the Quantum Information Sciences area.

Hyperlinks have been embedded within this document and appear as underlined, and or blue-colored words in the midst of paragraphs. The reader may “jump” to the linked section within this document by “clicking” (CTRL + CLICK, or CLICK).

SUMMARY FUNDING OPPORTUNITY INFORMATION

1. FEDERAL AWARDING AGENCY NAME

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

2. FUNDING OPPORTUNITY TITLE

Air Force Fiscal Year 2024 Young Investigator Research Program (YIP)

3. ANNOUNCEMENT TYPE

Initial Announcement

4. ANNOUNCEMENT NUMBER

FOA-AFRL-AFOSR-2023-0011

5. CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER

12.800 Air Force Defense Research Sciences Program

6. KEY DATES

Deadlines

YIP FOA posted

01 May 2023 (Monday)

Pre-Solicitation YIP questions due

15 May 2023 (Monday)

Pre-Solicitation YIP answers posted

29 May 2023 (Monday)

YIP white papers must be received no later than **12**

June 2023 (Monday) at 11:59 PM Eastern Time

YIP white paper Program Officer response due **17 July 2023** (Monday)

YIP proposals must be received no later than **14**

August 2023 (Monday) at 11:59 PM Eastern
Time

SPECIAL NOTE: Applications must be '**VALIDATED**' by Grants.gov by the application deadline, which can take up to 48 hours after successful submission. See Timely Receipt Requirements and Proof of Timely Submission Proposals must be received electronically through Grants.gov by **Monday, 14 August 2023 at 11:59 PM Eastern time** to be considered.

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A. PROGRAM DESCRIPTION

The Fiscal Year 2024 [Air Force Young Investigator Research Program](#) (YIP) intends to provide support for individual scientists and engineers who have either received Ph.D. or equivalent degrees post 01 April 2016. These scientists and engineers must have shown exceptional ability and promise for conducting basic research.

The program objective is to foster creative basic research in science and engineering; enhance early career development of outstanding young investigators; and increase opportunities for the young investigator to recognize the Air Force and Space Force mission and related challenges in science and engineering.

We seek unclassified proposals from qualified and responsible individual applicants in the research areas of interest identified in the most recent Broad Agency Announcement (BAA) titled “[Research Interests of the Air Force Office of Scientific Research](#)” published on Grants.gov at <https://www.grants.gov/web/grants/view-opportunity.html?oppId=345653>.

Additionally, the AFOSR has partnered with the Laboratory for Physical Sciences (LPS) to award additional outstanding YIP proposals in the field of gate-based quantum computing under the “Quantum Information Sciences” research portfolio area (Section A.3.g of the AFOSR open BAA). Proposals for both experimental and theoretical research are encouraged. The primary focus is on innovative research to advance the state of the art in quantum computing systems by understanding and mitigating challenges, developing revolutionary new approaches, tracking, characterizing and reducing noise, and developing supporting technology. Specific research topics of interest include, but are not limited to, the following: improving the gate and readout speed and fidelity in multi-qubit systems, investigating promising new qubit modalities that address existing qubit challenges, developing novel control and readout schemes, and exploring schemes for modular quantum computing. Proposals should describe the long-term vision of the proposed work and how it relates to gate-based quantum computing research. Proposals should also describe expected technical challenges and steps to overcome them. For submissions in the area of quantum computing, please format the title of your submission as, “Quantum Computing – Title of Project” to ensure that your application is properly sorted.

Note: The AFOSR open BAA updates annually in the March/April time frame. Please make sure you are coordinating your topic ideas with the appropriate Program Officer (PO) to ensure the topic area is still relevant to the Air Force.

YIP proposals may be submitted for **only one** research portfolio area.

It is important that your proposal shows strength in as many of the evaluation areas as practicable for maximum competitiveness.

Individual awards are made to U.S. institutions of higher education, industrial laboratories, for-profit, or non-profit research organizations where the individual principal investigator is employed on a full-time basis and holds a regular, non-contractor position. YIP primary investigators must be a U.S. citizen, national, or permanent resident. We discuss this more in section [C.3.a. Primary Investigator Employment Requirements](#).

Researchers working at the Federally Funded Research and Development Centers and DoD

Laboratories are not eligible for this competition.

B. FEDERAL AWARD INFORMATION

Most YIP awards are three (3) years in duration, funded up to \$150,000 per year for a total of approximately \$450,000. The YIP may be funded no more than \$150,000 annually, regardless if the overall amount is \$450,000.

Proposals deemed exceptional by our POs may be considered for higher funding levels. Higher funding levels could take the form of more funding in one or more years of the basic award, and/or an option for continued performance for one (1) or two (2) additional years at a funding level recommended by our POs. You should only submit a supplemental proposal for an option for continued performance beyond the three (3) year basic period if our PO requests.

The YIP projected start date is determined at the time of the award but is most likely projected no later than 1 January 2024 based on the availability of the president's budget.

We anticipate approximately thirty-six (36) awards under the authority of 10 U.S.C. 4001 in the form of grants, cooperative agreements, or contracts. We rely on discretionary appropriated

funds for this program. Awards are only made if funds are available.

We select what kind of award instrument we can use based on requirements in the Federal Grant and Cooperative Agreement Act 31 U.S.C. 6301 – 31 U.S.C. 6308.

- A grant or cooperative agreement award may be made to U.S. institutions of higher education (IHE) or nonprofit organizations as described in 2 CFR 25.345, including foreign public entities and foreign organizations operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest.
- A grant or cooperative agreement may be awarded to applicants with a for-profit organization type as described in 2 CFR 25.325, or to any applicant that requests a fee or profit.

Individual awards are made to U.S. institutions of higher education, industrial laboratories, for-profit, or non-profit research organizations where the individual PI is employed on a full-time basis and holds a regular, permanent position. YIP PIs must be a U.S. citizen, national, or permanent resident. There may not be co-PIs except in cases where the potential proposed individual PI transfers institutions post-closing date of the announcement and the primary institution agrees to add the PI's receiving institution as a sub-award. Researchers working at a Federally Funded Research and Development Center or a DoD Laboratory are not eligible for this competition. No domestic or foreign collaborators, funded or non-funded, are allowed for this single investigator award.

The YIP award is to an institution. However, YIP highlights outstanding individuals and should the awardee transfer institutions after the announcement closing date, the agency may attempt to accommodate these changes if funds are available and approved by the program coordinator, PO, and Contracting office. Potential options may include: (1) grant remains at awarded YIP institution with a new PI, identified by the YIP awardee, (2) primary institution must identify a replacement PI and agree to sub-contract to the new institution of the YIP awardee (must be PI listed on the original YIP proposal), or (3) termination of YIP grant with new award to the YIP awardee as a Core AFOSR grant or any combination of the above. The new PI must meet the stated YIP eligibility requirements.

[Awards](#) are made under the authority of [10 U.S.C. 4001](#) in the form of grants, cooperative agreements, or contracts. We rely on discretionary appropriated funds for this program. We can only make awards if enough funds are made available. We select what kind of award instrument we can use based on requirements in the Federal Grant and Cooperative Agreement Act [31 U.S.C. 6301 – 31 U.S.C. 6308](#). Awards may take the form of contracts, grants, cooperative agreements, technology investment agreements and other transaction agreements as appropriate. The following provides a brief description of potential instrument types:

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

The principal purpose of which is to transfer a thing of value to the recipient to carry out a public purpose of support or stimulation authorized by a law of the United States, rather than acquire property or services for the Federal Government's direct benefit or use.

In which substantial involvement is not expected between the Federal Government and the recipient when carrying out the activity contemplated by the grant.

No fee or profit is allowed.

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, except that substantial involvement is expected between the Federal Government and the recipient when carrying out the activity contemplated by the cooperative agreement. No fee or profit is allowed.

We reserve the right to select and fund for award all, some, part, or none of the proposals received in response to this announcement. There is no guarantee of an award.

C. ELIGIBILITY INFORMATION

a. ELIGIBLE APPLICANTS

Individual awards are made to U.S. institutions of higher education, industrial laboratories, for-profit businesses, or non-profit research organizations where the individual principal investigator is a U.S. citizen, national, or has permanent residency at time of proposal submission; employed on a full-time basis and holds a permanent position. All PIs must meet all eligibility requirements.

a. Eligible Applicants must meet the following criteria:

- i. Doctorate no earlier than 01 Apr 2016

b. Eligibility Notice for All Applicants

We review your application, proposal, and Office of Management and Budget (OMB) designated repositories of government-wide public and non-public data, including comments you have made, as required by 31 U.S.C. 3321 and 41 U.S.C. 2313 and described in [2 CFR 200.205](#) and [32 CFR 22.410](#) to assess risk posed by applicants, and confirm applicants are qualified, responsible, and eligible to receive an award. If we cannot determine you or your organization are qualified and responsible, you are not eligible to receive an award.

c. Ineligible Entities

None of the following entity types are eligible to submit proposals as primary award recipients under this announcement.

- (1) Federally Funded Research and Development Centers (FFRDCs)
- (2) DoD Laboratory Personnel

b. COST SHARING

We do not require cost sharing for proposals under this announcement. Cost sharing is not an evaluation or selection criterion.

c. OTHER

a. Primary Investigator Employment Requirements

As the individual Principal Investigator, you must hold a full-time, non-contractor permanent, career-competitive, or tenure-track position (based on your institution's definition) with your organization, or your proposal must include a letter from your organization stating that you will be considered for a permanent, career- competitive, or tenure-track non-contractor position if you currently hold a short-term appointment. This is in addition to the requirement you are a U.S. citizen, national, or permanent resident. You are not eligible to submit a proposal if you do not meet these requirements. **You must have permanent residency at time of proposal submission.**

b. Acknowledgement of Support and Disclaimer Requirements

You must include the [F.3.d. Acknowledgement of Research Support](#) on all materials created or produced under our awards.

The [F.3.e. Disclaimer Language](#) must be included on materials as required.

Our award document may provide additional instructions about specific distribution statements to use when you provide research materials to us. You are not eligible to submit a proposal if you cannot accept these terms.

c. Expectation of Public Dissemination of Research Results

We expect research funded by this announcement will be fundamental. We expect public dissemination of research results if you receive an award. This is a basic requirement for unclassified research results.

We intend, to the fullest extent possible, to make available to the public all unclassified, unlimited peer-reviewed scholarly publications and digitally formatted scientific data

arising from research and programs funded wholly or in partly by the DoD as described in the OUSD, AT&L Memorandum, “Public Access to Department of Defense-Funded Research” dated 09 Jul 2014.

We follow [DoD Directive 5230.24](#) and [DoD Instruction 5230.27](#) policies and procedures to ensure broad dissemination of unclassified research results to the public and within the Government. The DoD Instruction 5230.27 policy and procedures allowing publication and public presentation of unclassified fundamental research results will apply to all research proposed under this competition unless the Program Officer gives you an explicit, written exclusion to these policies with the Grants or Contracting Officer’s advice and consent. All exclusions must be authorized or required by law and must cite a valid legal authority.

You must provide a copy of all peer-reviewed publications developed or produced from research conducted with Air Force funds to our Program Officer.

You are not eligible to submit a proposal if you cannot accept these terms.

d. Conflict of Interest

(1) General Requirement for Disclosure

You and your organization must disclose any potential or actual scientific or non-scientific Conflict of Interest(s) to us. You must also disclose any potential or actual conflict(s) of interest for any sub recipient you include in your proposal.

You must provide enough information for us to evaluate your disclosure. We may have to ask you more questions if we need more information.

At our discretion, we may ask you for a conflict-of-interest mitigation plan after you submit your proposal. Your plan is subject to our approval.

(2) Scientific Conflict of Interest

Scientific collaborations on research and development projects are generally the result of close collaboration prior to the submission of applications for support. Accordingly, virtually all of these collaborations might be considered to include a potential conflict of interest. The potential conflict is mitigated by the disclosure of these collaborations, and the list of current and pending support you provide for senior and key researchers.

D. APPLICATION AND SUBMISSION INFORMATION

a. ADDRESS TO REQUEST APPLICATION PACKAGE

All the application forms you need are available electronically on [Grants.gov](#). From the “View Grant Opportunity” page, you can click on the “Application Package” tab to download the application package.

You can find the electronic application package on [Grants.gov](#) by searching for the announcement number shown on page one or by using this link:

<https://www.grants.gov/web/grants/search-grants.html?keywords=FOA-AFRL-AFOSR-2023-0011>.

We will not issue paper copies of this announcement.

Please contact us at afosr.baa@us.af.mil to request a reasonable accommodation for any accessibility requirements you may have.

b. CONTENT AND FORM OF APPLICATION SUBMISSION

a. Pre-proposal Inquiries and Questions

If you need help with technical matters, you should email the individual listed in section [Technical Inquires and Questions](#). If you have research specific questions, you should email the Program Officer identified for your topic of interest in our “[Research Interests of the Air Force Office of Scientific Research](#)” broad agency announcement on Grants.gov.

If you need help with general matters, you should email the individual listed in section [General Announcement Questions](#).

All technical or general pre-proposal inquiries and questions must be submitted no later than **Monday, 15 May 2023**. We may not be able to answer questions received later.

All answers to pre-proposal inquiries and questions received by deadline, will be posted **Monday, 29 May 2023**. We discuss this more in section [D.6. Submission Dates and Times](#).

The Program Officer does not have the authority to make commitments for us. Grants and Contracting Officers acting within their warranted capacity are the only people authorized to make commitments for the Government.

b. The Application as a Whole

You must submit your proposal electronically through Grants.gov. We will not accept or evaluate any proposal submitted by any means other than through Grants.gov. We must receive your proposal before the [Proposal Submission Deadline](#).

Instructions: Read the instructions below about registering to apply for AFOSR funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

The registration process can take up to four weeks to complete. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required application submission deadlines.

You must use the electronic Standard Form (SF) 424 Research and Related (R&R) Form Family, OMB Number 4040-0001. The SF 424 (R&R) Application for Federal assistance form must be your cover page. No pages may precede the SF 424 (R&R).

You must mark your application with the announcement number.

A summary of what is required for a complete proposal is summarized below:

- We require the forms and attachments in **bold text** with **all applications**.
- *Some applications* require the attachments in *italic*.
- We provide more instructions in [Component Pieces of the Application](#)

R&R FORM, OMB No. 4040-0001	FIELD	ATTACHMENT
SF 424 (R&R) Application for Federal Assistance, including an authorized signature	18.	Certification Regarding Lobbying Form or SFLLL Disclosure of Lobbying Activities
R&R Other Project Information Form	7.	Project Summary / Abstract
	8.	Project Narrative
	9.	Bibliography & References Cited
	<i>10.</i>	<i>Facilities and Other Resources</i>
	<i>11.</i>	<i>Equipment</i>
	<i>12.</i>	<i>Other Attachments</i>
R&R Senior / Key Person Profile Form		Biographical Sketch
		Current & Pending Support
R&R Budget Form		Budget Justification
R&R Project / Performance Site Locations Form		None
<i>R&R Personal Data (Optional)</i>		None

The SF 424 (R&R) must include the signature of an authorized representative from your organization. The signature is affixed electronically by [Grants.gov](#) upon submission. You are still required to submit any documentation, including disclosure of any unpaid delinquent tax liability or a felony conviction under any Federal Law (see FAR 52.209-11). This signature is considered the signature for the application as a whole.

c. White Paper Information

You are required to submit a white paper by **12 June 2023** to the Program in your research discipline area. Upon the PO white paper review and feedback, an invitation to submit a YIP proposal may be extended. White papers must be submitted electronically via <https://community.af.mil/wg/afosr/p/submitawhitepaper>. Detailed instructions are included on the submission page. For support, please contact Ms. Ellen Robinson at 703-835-3078 or afosryip@us.af.mil. If you do not submit a white paper, you will be ineligible to submit a YIP proposal.

1. White Paper Format

- Paper Size – 8.5 x 11-inch paper
- Margins – 1 inch

- Spacing – 1.5-line spacing
- Font – Times New Roman or Garamond 12 point
- Page Limitation – 3 pages maximum (excluding cover page, curriculum vitae, and references)

2. White Paper Content

- Cover page include the FOA number, proposal research topic title (research discipline area), proposer's point of contact information (name, telephone number, email address)
- Identification of proposed research and issues
- Potential impact on AF and DoD capabilities
- Potential team members and development plans
- Proposed technical approaches – hypothesis, theories, concepts, approaches, data measurements and analysis, etc.

d. Curriculum Vitae Content

- All publications and presentations must be identified

c. Proposal Information

- a. You must submit a proposal by Monday, 14 August 2023 11:59 pm eastern. Any proposals received after that time will be ineligible. Curriculum Vitae is required to be submitted with the proposal but is excluded from the page count.**

1. Proposal Format

- Paper Size – 8.5 x 11-inch paper
- Margins – 1 inch
- Spacing – 1.5-line spacing
- Font – Times New Roman or Garamond 12 point
- Page Limitation – 20 pages maximum (excludes Curriculum Vitae)
- Content – as described below

2. Proposal Length

Your project narrative must not exceed twenty (20) single-sided pages. We will not consider more than the maximum number of project narrative pages in our evaluation.

You must not include elaborate brochures, reprints, or presentations beyond those sufficient to present a complete and effective proposal.

We created this table to help you understand how to calculate your page count.

INCLUDED IN PAGE COUNT	NOT INCLUDED IN PAGE COUNT
D.3.f Project Narrative	Everything else

You must include enough budget related information in your proposal to support your costs as [reasonable](#) and realistic, and in compliance with [2 CFR 200 Subpart E - Cost Principles](#).

Not having enough information in your proposal to understand if your costs are

reasonable and realistic is the most common reason awards are delayed.

b. Marking Requirements for Confidential or Proprietary Information

You must mark your proposal and proposal sections that contain proprietary or confidential information. You must use the protective legend found at [FAR 52.215- 1\(e\)](#) Instructions to Offerors -- Competitive Acquisition (Jan 2004) modified to permit release to our outside evaluators.

We make every effort to protect the confidentiality of proposals, including any proposal evaluations; however, under Freedom of Information Act (FOIA) requirements, some or all proposal information may be subject to release.

Your entire proposal, or any portions thereof, without protective markings or otherwise identified as requiring protection will be considered voluntarily furnished to us without restriction and will be treated as such for all purposes.

c. Electronic Form and Proposal Attachments

Your application and proposal attachments must be in electronic file formats. You should use the Portable Document Format (PDF) for your attachments.

DO NOT password protect any attachments.

The website <http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html> provides additional important instructions.

d. Advance Preparation for Electronic Submission through Grants.gov

Your proposal must be submitted electronically through your [Grants.gov](#) organization. You must complete several one-time actions before electronic submission. Registration with [Grants.gov](#) may take up to twenty-one (21) days.

You should verify that the person authorized to submit proposals for your organization has completed [Grants.gov](#) registration well in advance of the submission deadline. Grants.gov electronic proposal submissions cannot be accomplished before your organization is fully registered.

(1) A [Grants.gov](#) getting started checklist is available at:

<http://www.grants.gov/web/grants/learn-grants/grants-101/getting-started-checklist.html>.

(2) Guidance for registering with [Grants.gov](#) as an organization may be found at:

<http://www.grants.gov/web/grants/applicants/organization-registration.html>.

(3) Questions relating to the Grants.gov registration process, system requirements, how an application works, or the proposal submittal process can be answered by email at support@grants.gov, telephone at (800) 518-4726 or (606) 545-5035, or at <http://www.grants.gov/web/grants/support.html>.

(4) *Obtain a UEI Number:* All entities applying for funding must have a Unique Entity Identified (UEI).

As of April 2022, the federal government stopped using the DUNS number to uniquely identify entities registered in the System for Award Management (SAM). At that point, entities doing business with the federal government are

now using a Unique Entity Identifier (UEI) created in SAM.gov. They no longer have to go to a third-party website to obtain their identifier. Active registrants will have their UEI assigned and viewable within SAM.gov; there is no action for registered entities to take at this time.

This transition allows Federal Agencies to streamline the entity identification and validation process, making it easier and less burdensome for entities to do business with the federal government.

For more detailed instructions for obtaining a UEI number, refer to: <https://sam.gov/content/entity-registration>.

- (5) Grants.gov applicants can apply online using Workspace. Workspace is a shared online environment where members of a grant team may simultaneously access and edit different web forms within an application. For each funding opportunity announcement (FOA), you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to:

<https://www.grants.gov/applicants/apply-for-grants.html>

Create a Workspace

Creating a workspace allows you to complete it online and route it through your organization for review before submitting.

Complete a Workspace

Add participants to the workspace, complete all the required forms, and check for errors before submission.

- **Adobe Reader:** If you decide not to apply by filling out web forms you can download individual PDF forms in Workspace so that they will appear similar to other Standard or administering agency forms. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe reader.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at: <https://www.grants.gov/applicants/adobe-software-compatibility.html>

- **Mandatory Fields in Forms:** In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.
- **Complete SF-424 Fields First:** The forms are designed to fill in common required fields across other forms, such as applicant name, address, and UEI number. To trigger this feature, an applicant must complete the SF-424 information first. Once it is completed, the information will transfer to the other forms.

Submit a Workspace

An application may be submitted through Workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with enough time to correct any potential technical issues that may disrupt the application submission.

Track a Workspace

After successfully submitting a workspace package, a Grants.gov Tracking Number (GRANTXXXXXXXXXX) is automatically assigned to the package. The number will be listed on the Confirmation page that is generated after submission.

For additional training resources, including video tutorials, refer to: <https://www.grants.gov/applicants/applicant-training.html>

Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. For questions related to the specific grant opportunity, contact the number listed in the application package of the grant you are applying for.

If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number. The Support Center ticket number will assist the administering agency with tracking your issue and understanding background information on the issue.

d. COMPONENT PIECES OF THE APPLICATION

a. SF 424 (R&R) Application for Federal Assistance

The SF 424 (R&R) Application for Federal assistance form must be your cover page. No pages may precede the SF 424 (R&R).

Complete all required fields in accordance with the “pop-up” instructions on the SF 424 (R&R) form. The completion of most fields is self-explanatory. You can turn on Grants.gov “Help Mode” to provide additional instructions for forms. “Help Mode” is turned on by the icon with the pointer and question mark at the top of the form.

We have special instructions for completion of several SF 424 (R&R) form fields in your application. Our instructions are:

FIELD	INSTRUCTION
2.	You may leave “Applicant Identifier” blank
3.	You may leave “Date Received by State” and “State Application Identifier” blank
9.	You must list Air Force Office of Scientific Research as the reviewing agency if Grants.gov has not pre-populated this answer
16.	You should check “No.” and “Program is Not Covered by Executive Order 12372”

17. Select “I Agree” to:
- Provide the certification regarding lobbying that is required by [31 U.S.C. 1352](#) as implemented by DoD in [32 CFR Part 28](#).
 - Certify that all statements in the proposal, your Representation for Felony Conviction, and Internal Confidentiality Agreements are true, complete, and accurate to the best of your knowledge.
 - By checking "I Agree" on the SF 424 (R&R) block 17 you agree to abide by the following statement: "By signing this application, I certify the proposing entity is in compliance with Section 223(a) of the William M. (Mac) Thornberry National Defense Authorization Act for Fiscal Year 2021 which requires that: (a) the PI and other key personnel certify that the current and pending support provided on the proposal is current, accurate and complete; (B) agree to update such disclosure at the request of the agency prior to the award of support and at any subsequent time the agency determines appropriate during the term of the award; and (c) the PI and other key personnel have been made aware of the requirements under Section 223(a)(1) of this Act. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. code, Title 18, Section 1001.”

See section [eAdministrative and National Policy Requirements](#) for more information and links to the full text of these items.

FIELD	INSTRUCTION
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- | | |
|-----|---|
| 18. | You may have to attach the completed D.3.c. SFLLL Disclosure of Lobbying Activities if you have lobbying activity that you must disclose. |
|-----|---|

b. SFLLL Disclosure of Lobbying Activities

When required, attach this disclosure to field 18 of the R&R Other Project Information Form.

If you have lobbying activity that you must disclose under [31 U.S.C. 1352](#) as implemented by the DoD at [32 CFR Part 28](#), you must attach the completed [SFLLL Disclosure of Lobbying Activities](#). You can find instructions for completing this form at <https://www.gsa.gov/forms-library/disclosure-lobbying-activities>.

R&R Other Project Information Form

Complete this form as indicated. You must include all necessary attachments.

FIELD	INSTRUCTION
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- | | |
|--------|---|
| 1, 1a. | You must address all prospective human subject involvement by answering these questions. Additional documentation pursuant to National Policy and U.S. Air Force standards is required for all proposals with human use or involvement. |
|--------|---|

- | | |
|--------|--|
| 2, 2a. | You must address all prospective animal subject and/or recombinant deoxyribonucleic acid (rDNA) involvement by answering these questions. Additional documentation in accordance with National Policy and U.S. Air Force standards is required for any proposal with an actual or potential impact on the environment. |
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FIELD	INSTRUCTION
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- | | |
|-----|---|
| 4a. | For any proposal that has an actual or potential impact on the environment, answer yes and provide the answers and attachments required for fields 4b, 4c, and 4d. Additional documentation in accordance with National Policy and U.S. Air Force standards is required for any proposal with an actual or potential impact on the environment. |
|-----|---|

- | | |
|----|---|
| 7. | Attach your D.3.e. Publicly Releasable Abstract |
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|----|--|
| 8. | Attach your D.3.f. Project Narrative |
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- | | |
|----|--|
| 9. | Attach your D.3.g. Bibliography and References Cited |
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- | | |
|-----|--|
| 10. | Attach a Facilities and Other Resources description document here if you need to supplement your D.3.f. Proposal Narrative facilities and resources section. |
|-----|--|

11. You may supplement your [D.3.j. Budget Justification](#) by attaching an Equipment Justification here. Do not duplicate information included on your budget justification. If you attach an Equipment Justification, make sure you reference the attachment in your budget justification.

12. Attach your D.3.m Data Management Plan here if applicable

a. Publicly Releasable Project Summary / Abstract

You must attach the Project Summary / Abstract to field 7 of the R&R Other Project Information form.

You **must** identify the research discipline area your proposed research falls under.

You must provide a concise abstract of 300 words or less with your proposal. You must mark this abstract publicly releasable. Your abstract should use terms the public can understand to describe the research objective, technical approach, anticipated outcome, and potential impact of the specific research.

Your abstract header must include the research discipline area, and office symbol from section G. Technical Inquiries and Questions below.

If you receive an award, we must publish your abstract to a [searchable website](#) available to the general public in accordance with [Public Law 113-235](#). The website address is <https://dodgrantawards.dtic.mil/grants/#/home>.

b. Project Narrative

Your project narrative must not be longer than twenty (20) single-side pages. We will not consider any pages beyond this maximum in our evaluation. You must attach the Project Narrative to field 8 of the R&R Other Project Information Form. The narrative must be complete and self-contained to qualify for review. This attachment is included in your page count.

You **must** identify the research discipline area your proposed research falls under. You must clearly describe your research, including your research objective and approach. Your project narrative will be evaluated using the criteria listed in section [E.1. Criteria](#). You should show strength in as many of the evaluation and selection areas as practicable to demonstrate maximum competitiveness.

You must describe any environmental impacts of your research outside the laboratory in any appropriate narrative section, including how you will ensure compliance with environmental statutes and regulations.

Your narrative should include the following elements:

(1) Statement of Objectives

You must summarize your proposed research on a single page titled “Statement of Objectives.” We may decide to incorporate your statement of objectives into the award as a description of the work instead of incorporating the whole technical proposal.

You should use active verbs when you prepare the statement of objectives, e.g., “conduct” research in a subject area, “investigate” a problem, “determine” to test a hypothesis.

(2) Research Effort

- (a) You should describe the research you plan in detail. State the research objectives and approach, and the relationship and comparable objectives to research progress elsewhere. Describe your research team’s knowledge in the field, and provide a [bibliography and list of literature citations](#). Discuss the nature of the expected results. Discuss how your research is relevant to current AFOSR and AF research.
- (b) The adequacy of this information will influence the overall evaluation in accordance with the criteria and procedures specified in section [E. Application Review Information](#) below.

(3) Principal Investigator (PI) and Senior Personnel Time

- (a) You must provide estimate of time the principal investigator and other senior professional personnel will devote to the research. Your estimate must include information pertaining to the proportion of time anticipated devoted to this research, to other research, and to other commitments of time such as sabbatical, extended leave, and teaching duties.
- (b) State the number of graduate students for whom each senior staff member is responsible.
- (c) If your principal investigator or other key personnel have current, pending, or expected research supported by other sponsors or agencies during the period you seek our support, state the title of the other research, the proportion of time to be devoted to it, the amount of support, name of agency, dates, etc.
You must attach a list of Current and Pending Support for each person listed on the [D.3.g. R&R Senior / Key Person Profile Form](#). Each abstract should include research title, objectives, approach, and budget for both present and pending research projects. Send any changes as they become known.

(4) Your Facilities

- (a) Describe the facilities available for performing the proposed research, and any additional facilities or equipment the organization proposes to acquire at its own expense for the work.
- (b) Indicate any government-owned facilities that will be used. Indicate any government-owned equipment possessed presently that will be used. The facilities contract number, or in absence of a facilities contract, the specifics of the facilities or equipment, and the number of the award under which they are accountable are required.
- (c) Government Furnished Equipment

You may list any special Government-owned property or test equipment required to complete the research. When possible and practicable, give a

description or title for each item, the current location, and an estimated cost as applicable. If you do not have information about individual items, group items you require by class and provide an estimate of values.

(5) High Performance Computing Requirements

You may be eligible to use DoD high performance computing resources at no cost to your research. You should address utilization of this program if you need high performance computing cycles to meet the needs of your research. This program provides access to a range of state-of-the-art high performance computing assets and user training opportunities that can be used in some of our awards; special terms and conditions apply. You can review the details, capabilities, and requirements of the program at <https://www.hpc.mil/>.

AFOSR Program Officers will help you establish an account if your proposal is selected for an award, and can answer questions before you submit your proposal.

(6) Support of Permanent Resident Status for Foreign National Principal Investigators

If you are a foreign national that has U.S. permanent resident status, you must provide the following information in your project narrative.

- (1) Full name and any other names used;
- (2) Country or countries of citizenship;
- (3) Date and place of birth;
- (4) Permanent Resident Card (Green Card) type; and,
- (5) Green Card issue and expiration date.

c. Bibliography and References Cited

You must attach your narrative Bibliography and References to field 9 of the R&R Other Project Information Form.

d. R&R Senior / Key Person Profile Form

You must attach a short biographical sketch and list of all publications (vitae) for each Senior / Key Person. You must also attach a list of current and pending support as discussed in [Principal Investigator \(PI\) and Senior Personnel Time](#).

You must list all key persons proposed for the research on the R&R Senior/Key Person Profile Form. Key persons are generally the PI and senior staff. We use this information to evaluate the qualifications of you and your research team.

e. R&R Budget Form

You must provide all information requested. You must estimate the total research project cost. You must categorize funds by year and provide separate annual budgets for projects lasting more than one year. A [budget justification](#) must be attached. You must identify a date no later than 15 January 2024 as the anticipated start date in your proposal and budget; however, the actual effective date is not final until an award is made. The budget may not exceed \$150,000 annually.

f. Budget Justification

You must provide a detailed budget justification for each year that clearly explains the need for each item. The entire budget justification and supporting documentation must be combined into a single file and attached to field K of the R&R Budget Form.

- (1) You should itemize travel. State the purpose of each trip proposed, the number of trips, the number of travelers, the destination, the duration, and the basis for calculating costs such as airlines and hotels.
- (2) You should itemize materials, supplies, and equipment. List all material/equipment by type and kind with associated costs. Indicate what your costs are based on, such as vendor quotes, historical data and/or engineering estimates. **You should include vendor quotes and/or catalog pricing data.** Proposals including request to purchase equipment must include equipment quotes or vendor agreements.
- (3) If you have any subaward(s), you should describe how you determined subaward costs were determined fair and reasonable. Your business office usually makes this determination.
- (4) If you use a Government rate agreement to propose indirect cost rates and/or fringe benefit rates, you should attach a copy of the agreement you used.
- (5) Helpful Cost Principle Reference Information
 - (a) Grant Applicants
 - (i) [2 CFR 200, Subpart E – Cost Principles](#)
 - (ii) General Provisions for Selected Items of Cost in [2 CFR 200.420 through 2 CFR 200.475](#)

g. R&R Project / Performance Site Locations Form

You must complete all information as requested. You must include the ZIP+4 for each performance location you list.

h. R&R Personal Data Form (Optional)

You can decide if you want to include the R&R Personal Data form with your proposal. We use this form to understand demographic information about senior and key persons identified in applications. We do not consider information on this form as part of our evaluation or selection process.

i. Data Management Plan (Optional)

You can decide if you want to include a Data Management Plan with your application. If you do, attach your Data Management Plan to field 12 of the R&R Other Project Information Form.

Your “Data Management Plan” should be two (2) pages or less in length and discuss:

- (a) The types of data, software, and other materials to be produced in the course of the project, and include a notation marking items that are publicly

releasable;

- (b) How the data will be acquired;
- (c) Time and location of data acquisition if they are scientifically pertinent;
- (d) How the data will be processed;
- (e) The file formats and the naming conventions that will be used;
- (f) A description of the quality assurance and quality control measures during collection, analysis, and processing;
- (g) If existing data are to be used, a description of their origins;
- (h) A description of the standards to be used for data and metadata format and content;
- (i) Plans and justifications for archiving the data;
- (j) The timeframe for preservation; and
- (k) If for legitimate reasons the data cannot be preserved, the plan must include a justification citing such reasons.

e. INFORMATION YOU MUST SUBMIT IF SELECTED FOR POSSIBLE AWARD

We may request additional necessary information from you during negotiations, or as required for award considerations. You must respond promptly.

If you not fully comply with our information requests by the time we are ready to make an award, we may determine that you are not qualified to receive an award and use that determination as a basis for making an award to another applicant.

If your proposal includes human, animal, or rDNA use or involvement you must submit all documentation requested during negotiations or you may not receive an award.

The document will include representations and certifications that your organization has not completed as part of the SAM registration, representations and certifications required by DoD Class Deviation(s), or that must be requested with each acquisition. The completed Section K will be incorporated into any resultant contract.

Foreign national principal investigators or research personnel may be asked to provide a copy of the front and back of their green card by secure means such as DoD SAFE (Secure Access File Exchange) at <https://safe.apps.mil/> if our Grants or Contracting Officer asks for this information, or if our Program Officer needs the information for purposes such as access to the DoD High Performance Computing.

f. UNIQUE ENTITY IDENTIFIER (UEI), CAGE, AND SYSTEM FOR AWARD MANAGEMENT (SAM)

a. SAM Registration Required

As required in [2 CFR 25.110](#) all applicants, unless exempted, must:

- (1) Be registered in [SAM.gov](https://sam.gov) before submitting its application;

- (2) Provide a valid UEI; and
- (3) Continue to maintain an active SAM registration with current information at all times any Federal award is active, or any application is under consideration by a Federal awarding agency.

A Commercial and Government Entity (CAGE) code is obtained or specified as part of the SAM registration process. A CAGE code is required.

b. SAM Exemption or Exceptions Not Available Under This Announcement

We will not issue an Agency level exemption to SAM registration under [2 CFR 25.110\(d\)\(1\)](#) for applicants under this announcement.

You must comply with SAM registration requirements and include a UEI and CAGE code on your application or we cannot make an award.

Questions about SAM Registrations and Updates

You can get questions about SAM registration and entity updates answered by live chat at https://www.fsd.gov/fsd-gov/gsafsd_sp and telephone at (866) 606-8220 or (324) 206-7828. Top help topics for [SAM.gov](#) are available at https://www.fsd.gov/fsd-gov/learning-center-system.do?sysparm_system=SAM.

c. Consequences of Non-Compliance with SAM Registration Requirements

We cannot make an award to you unless you comply with SAM requirements. If you are non-compliant, we may determine you are not qualified to receive an award, and use that determination to make an award to someone else as authorized by [2 CFR 25.205\(b\)](#). You cannot receive payments without an active SAM record and CAGE.

g. SUBMISSION DATES AND TIMES

a. Pre-Proposal Inquiries and Questions Deadline

You must submit all technical and general pre-proposal inquiries and questions in writing by email not later than **Monday, 15 May 2023** as described in section [G. Agency Contacts](#).

Our replies will be provided as soon as practicable. We estimate all our answers will be provided not later than **Monday, 29 May 2023**.

b. How Submission Time for Pre-Proposal Inquiries and Questions is Determined

We use the date and time stamp on your email to determine when you submitted pre-proposal correspondence.

c. Effect of Missing Pre-Proposal Inquiries and Questions Deadline

We will not be able to provide responses or answers to late inquiries or questions.

d. White Paper Deadline

You must electronically submit your required white paper no later than **Monday, 12 June 2023** to <https://community.apan.org/wg/afosr/p/submitawhitepaper> as described in

section [G.Agency Contacts](#).

We estimate all feedback will be provided no later than **Monday, 17 July 2023**.

e. Proposal Submission Deadline

We must receive your proposal electronically through Grants.gov not later than **Monday, 14 August 2023 at 11:59 PM Eastern time** to be considered for selection. This is the final due date. We strongly recommend you submit your application(s) early.

You are responsible for making sure your application is submitted, received, and validated by Grants.gov before the application deadline. If you submit your application late, your proposal is not eligible for consideration.

f. How Proposal Submission Time is Determined

We use the system-generated Grants.gov time stamp to determine when you submitted your successfully validated proposal. Grants.gov policies and procedures for application submission and processing apply. ***AFOSR will only accept applications submitted electronically through Grants.gov.***

g. Grants.gov Tracking Number is Application Receipt

Grant.gov generates a confirmation page when you submit your application. A second confirmation is provided by email when your application has passed Grants.gov validations and the status is updated from received to validated.

The confirmation page includes a system-generated Grants.gov tracking number; this serves as your receipt. You should keep a copy of all confirmations.

You can verify the submission time and application status with your tracking number through Grants.gov at <https://www.grants.gov/applicants/track-my-application.html>.

h. Effect of Missing the Proposal Submission Deadline

Grants.gov will not accept your proposal after the submission deadline.

We will not accept proposals submitted other than electronically through Grants.gov.

h. INTERGOVERNMENTAL REVIEW

N/A - This program is excluded from coverage under Executive Order (E.O.) 12372.

i. FUNDING RESTRICTIONS

a. Proposal Preparation Costs

Your proposal or application preparation costs are not considered an allowable direct charge to any award under this announcement. Your costs are, however, an allowable expense to the normal bid and proposal indirect cost as specified in [2 CFR 200.460](#) Proposal costs if you receive a grant or cooperative agreement, or [FAR 31.205-18](#) Independent Research and Development and Bid and Proposal Costs for contracts.

b. Pre-Award Costs for Grants

You must request our prior approval if you need more than ninety (90) days pre-award cost authorization as described in [2 CFR 200.308\(e\)\(1\)](#) and [2 CFR 200.458](#). **Your business office must provide this request in writing.** You must document why pre-award costs are necessary and essential for the research in the request, and identify a specific date for our Grants Officer to consider. We will only consider approval of a specific date of more than ninety days pre-award costs before an award is made.

Our grants include up to ninety (90) calendar days pre-award costs in accordance with the DoD Research and Development General Terms and Conditions, January 2023 (DoD T&C) [FMS Article IV.C. Pre-award costs](#) section; however, the actual date costs become allowable is not final until an award is made. We recommend you ask for a specific date as described above to prevent misunderstandings.

All costs incurred before a grant or cooperative agreement award are at the recipient's risk as described in [2 CFR 200.308\(e\)\(2\)](#). We are under no obligation to reimburse your costs if for any reason you do not receive an award, or if your award is less than anticipated and inadequate to your pre-award costs.

c. Air Force Office of Scientific Research No-cost Extension (NCE) Policy

AFOSR grants NCE's only in situations in which the extension is truly warranted and properly documented. AFOSR requires prior written approval to extend the period of extension to be granted recipients are to provide notice in writing on the University's letterhead, and with the supporting reasons, and revised expiration date, and ensure all required previous annual reports have been received by AFOSR at least thirty (30) days prior to the expiration of the award and include a Standard Form (SF) 425 Federal Financial Report showing the unexpended remaining funds. All PIs must submit NCE requests through the following website:

https://community.apan.org/wg/afosr/p/nce_request.

AFOSR will no longer accept NCE requests via email. All requests that are submitted through other avenues will have to be re-routed through the above website.

j. OTHER SUBMISSION REQUIREMENTS

If Grants.gov [rejects](#) your electronic application submission for any reason, you must correct all errors and resubmit your application before the proposal submission deadline.

E. APPLICATION REVIEW INFORMATION

1. CRITERIA

Our overriding purpose in supporting research is to advance the state of the art in areas related to the technical problems the U.S. Air Force encounters in developing and maintaining a superior U.S. Air Force; lowering cost and improving the performance, maintainability, and supportability of U.S. Air Force weapon systems; and creating and

preventing technological surprise.

You should show strength in as many of the evaluation and selection areas as practicable to demonstrate maximum competitiveness.

a. Principal Evaluation and Selection Criteria

Our two (2) principal evaluation and selection criteria are specified in [32 CFR 22.315\(c\)](#). Our principal selection criteria are of equal importance to each other. The combined principal selection criteria are more important than the additional evaluation and selection criteria.

Our principal evaluation and selection criteria are:

- (1) The technical merits of the proposed research and development; and,
- (2) Potential relationship of the proposed research and development to Department of Defense missions.

b. Additional Evaluation and Selection Criteria

Our three (3) additional evaluation and selection criteria are shown below. These criteria are of equal importance to one another. The additional evaluation and selection criteria when combined are of lesser importance than the principal evaluation and selection criteria.

- (1) The likelihood of the proposed effort to develop new research capabilities and broaden the research base in support of U.S. national defense; and,
- (2) The applicant, principal investigator, team leader(s), and key personnel qualifications, capabilities, related experience, facilities, or techniques, or a combination of these factors, that are integral to achieving Department of the Air Force objectives.
- (3) The applicant's capabilities integral to achieving U.S. Air Force and Space Force objectives. This includes principal investigator's, team leaders, or key personnel's qualifications, related experience, facilities, or techniques or a combination of these factors integral to achieving U.S. Air Force and Space Force objectives, and the potential risk of this effort to the U.S. Air Force and Space Force.

2. REVIEW AND SELECTION PROCESS

a. Merit-based, Competitive Procedures

Proposals will be subjected to a peer or programmatic review. The peer review will use external reviewers to assess technical merit and Air Force and Space Force relevance of the proposal.

The programmatic review assesses the technical quality of the proposal, relevance of the proposed research to the portfolio descriptions in this BAA, relevance of the work to Air Force, Space Force and DoD needs, and the potential of the research balanced against the available funding resources of a given portfolio. Selection for award consideration

will be made based on the outcome of these reviews.

We will use peer or a programmatic review process to evaluate proposals received under this competition. We will select proposals for possible funding on a competitive basis according to Public Law 98-369, the Competition in Contracting Act of 1984, 10 USC 4141, and 10 USC 4023 using the merit-based, competitive procedures described in [32 CFR 22.315](#), incorporated here by reference.

b. Cost Analysis

If your proposal is selected for possible award, we will analyze the cost of the work for realism and [reasonableness](#). The cost of your proposal is considered but is not an evaluation factor or criterion.

We must make sure the costs you propose are reasonable, realistic, and allocable to this work before we can make an award. We may analyze your technical and cost information at the same time.

3. DISCLOSURE OF ADMINISTRATIVE PROCESSING BY CONTRACTOR PERSONNEL

We use support contractor personnel to help us with administrative proposal processing. Our contractor personnel are employees of commercial firms that have a contract with us. We make sure all of our support contracts include nondisclosure agreements that prohibit disclosure of any information you submit to other parties.

4. NO GUARANTEED AWARD

We do not guarantee that any award will be made under this competition.

F. FEDERAL AWARD ADMINISTRATION INFORMATION

1. SELECTION NOTICES

a. Electronic Notification

If your proposal is selected for possible award, an email will be sent to the principal investigator.

b. Selection for Possible Award Does Not Authorize Work

Our selection notice **is not** an authorization to start work and **is not** an award guarantee. We will contact your business office to get answers to any questions we have about your proposal and negotiate specific award terms.

2. AWARD NOTICES

a. Federal Award Document

A grant or contract signed by a warranted Grants or Contracting Officer is the only official notice that an award has been made.

b. Electronic Federal Award Distribution

We send award documents to your business office by email. This is called award distribution. We always ask your business office to forward the award to the Principal

Investigator indicated on the award document.

3. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

a. Reporting of Matters Related to Recipient Integrity and Performance

You must report recipient integrity and performance information as required by [Appendix XII to 2 CFR Part 200](#) – Award Term and Condition for Recipient Integrity and Performance Matters, incorporated here by reference. You should read the full text of this award term now using the link above to make sure you understand our requirements. You can also find this term at <http://www.ecfr.gov>.

b. Responsible Prospective Awardees

- (1) We must review information available about you and entities included in your proposal through the Office of Management and Budget (OMB) designated repositories of government-wide eligibility qualification and financial integrity information. Our risk review is required by [31 U.S.C. 3321](#) and [41 U.S.C. 2313](#), and includes both public and non-public information. You must be qualified and responsible as described at [32 CFR 22.415](#) Standards to receive a grant award. Contract applicants must be responsible based on the requirements in [FAR Subpart 9.1](#) Responsible Prospective Contractors.
- (2) We must consider the non-public segment of the [Federal Awardee Performance and Integrity Information System \(FAPIIS\)](#) for all awards exceeding the current simplified acquisition threshold of \$250,000.
- (3) At a minimum, the information in the system for a prior Federal award recipient must demonstrate a satisfactory record of executing programs or activities under Federal grants, cooperative agreements, or procurement awards; and integrity and business ethics. We will consider any comments you provide, in addition to the other information in the designated integrity and performance system, when making our risk judgment about your integrity, business ethics, and record of performance under Federal awards.
 - (a) We may make an award to a recipient who does not fully meet our standards as described at [2 CFR 200.206\(a\)\(2\)](#) if it is determined that the information is not relevant to the current Federal award under consideration or there are specific conditions that can appropriately mitigate the effects of the non-Federal entity's risk in accordance with [2 CFR 200.208](#) Specific conditions.
- (4) We must comply with the guidelines on government-wide suspension and debarment described in [2 CFR 200.213](#), and must require you to comply with these provisions for all work we fund.

These provisions restrict Federal awards, sub-awards and contracts with certain parties that are debarred, suspended or otherwise excluded from or ineligible for participation in Federal programs or activities.

c. Cross-Cutting National Policy Requirements

You must comply with all applicable national policy requirements as a condition of

award. Key national policy requirements may be found in the [DoD Research and Development General Terms and Conditions, January 2023](#) (DoD T&C); and [2 CFR Part 1122 – NATIONAL POLICY REQUIREMENTS: GENERAL AWARD TERMS AND CONDITIONS](#).

d. Acknowledgement of Research Support

You must acknowledge support provided by the Government in all materials based on or developed under our awards. The requirement extends to copyrighted and non-copyrighted materials published or displayed in any medium.

The following language must be used unless the award document provides different instructions:

“This material is based upon work supported by the Air Force Office of Scientific Research under award number FAXXXX-XX-X-XXXX.”

You must require any sub-recipients or subcontractors under your award to include this acknowledgement too.

e. Disclaimer Language for Research Materials and Publications

Some materials based on or developed under our awards must include special disclaimer language. You must include this language in all materials except scientific articles or papers published in scientific journals unless your award document provides different instructions:

“Any opinions, findings and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the U.S. Department of Defense.”

You must require any sub recipients or subcontractors under your award to include this acknowledgement too.

f. Grants - Uniform Administrative Requirements, Cost Principles, and Audit Requirements

Our grants are governed by OMB guidance in [Title 2, Code of Federal Regulations \(CFR\) Part 200](#), “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.”

These regulations are incorporated by reference into this announcement.

g. Grants - DoD Research and Development General Terms and Conditions

Our grants are subject to the “DoD Research and Development General Terms and Conditions, JAN 2023” (DoD T&C) found at <https://www.onr.navy.mil/work-with-us/manage-your-award/manage-grant-award/grants-terms-conditions>. These terms and conditions are incorporated by reference into this announcement.

If we publish updated terms and conditions, the updated terms and conditions may apply to any grant made under this announcement.

h. Minimum Record Retention Requirements

You must agree to comply with the requirements at [2 CFR Part 182, Subpart B “Requirements for Recipients Other Than Individuals”](#) as a condition of award. You must keep records related to our awards for at least three years after completion and the final Federal Financial Report is submitted. This requirement is described further in [2 CFR 200.334](#), incorporated here by reference. For grant awards, the DoD T&C [OAR Article II. Records retention and access describes](#) additional requirements. Contract awards have similar record retention requirements.

Sometimes records must be retained for more than three years.

4. REPORTING

a. Monitoring and Reporting Program Performance

All of our awards require at least annual and final technical performance reports as required in [2 CFR 200.328](#). The DoD T&C REP Article I. Performance reporting will apply to grant awards. Some of our awards require more frequent technical reports.

You must provide your reports on time. Our awards include a schedule specifying the latest date for submission of each required report. Failure to provide required reports, or providing reports after required due dates, could lead to being considered ineligible for future awards.

b. Standard Form (SF) 298 Report Documentation Page

- (1) You may use a SF 298 Report Documentation Page for interim progress reports.
- (2) You must use a completed SF 298 Report Documentation Page as the first page of the final report. You can download an electronic SF 298 from <http://www.gsa.gov/portal/forms/download/116146>.

c. Technical Performance Report Format

[Federal-wide Research Progress Performance Report\(RPPR\) Format](#) is used for interim, annual, and final research performance reports. These reporting requirements will be detailed in the grant award documents.

d. Department of Defense (DD) Form 882 Report of Inventions and Subcontracts

(1) Invention Reports

- (a) You must provide at least a final invention report on a DD Form 882. We may ask for annual reports. Our award documents specify the due date. You can get the form at:

https://www.esd.whs.mil/Directives/forms/dd0500_0999/.

- (b) You must submit invention reports even if you do not have a patent to report.

(2) Sub-Award and Subcontract Reporting

You must use the DD Form 882 to tell us about any sub awards or subcontracts. Your award will provide specific instructions. You can get the form at

https://www.esd.whs.mil/Directives/forms/dd0500_0999/.

e. Standard Form (SF) 425 Federal Financial Report

Our awards require a final SF 425 Federal Financial Report. You can get the form at <https://www.gsa.gov/forms-library/federal-financial-report#>.

If you request any advance payment(s) under your award, you must submit quarterly SF 425 reports for the life of the grant. Our awards include specific instructions.

- (1) You do not have to submit quarterly SF 425 reports if you only request payments by reimbursement.

f. Electronic Payment Requests and Electronic Payment

You must register to use Wide Area Work Flow (WAWF) for payment. Payment requests shall be made electronically using an SF270 through the WAWF application in the Procurement Integrated Enterprise Environment (PIEE) e-Business Suite at <https://piee.eb.mil>. The website includes registration instructions. All payments must be made using the electronic funds transfer (EFT) method.

If you have WAWF or iRAPT questions or problems, you can get help by telephone at (866) 618-5988 or (801) 605-7095, or the website <https://piee.eb.mil/xhtml/unauth/web/homepage/vendorCustomerSupport.xhtml>.

g. Property Reports

If we furnish any property owned by the Government under an award, you must submit periodic property status reports as described in [2 CFR 200.329](#) and further implemented for grants by the DoD T&C [REP Article III. Reporting on Property](#).

h. Other Reports

Our Program Officers may ask for informal technical reports as needed. We use these informal reports for program purposes, such as preparation for meetings and other technical purposes. We highly recommend you provide this information in a timely manner by electronic mail directly to the Program Officer.

i. Electronic Submission of Reports

You must plan on submitting reports electronically. **You must submit most reports through the internet application detailed in the grant award document.** Some reports must be sent using electronic mail. Our award documents provide specific instructions that you must follow.

G. AGENCY CONTACTS

1. TECHNICAL INQUIRES AND QUESTIONS

You must submit all questions in writing by electronic mail. You should include the FOA number in the subject line. *If you submit a question by telephone call, fax message, or other means you may not receive a response.*

MS. ELLEN M. ROBINSON
AFOSR/RTC
PROGRAM MANAGER
Telephone: (703) 835-3078
Email: afosryip@us.af.mil

2. WHITE PAPER SUBMISSIONS

All submissions to: <https://community.apan.org/wg/afosr/p/submitawhitepaper>

3. GENERAL INQUIRIES AND QUESTIONS

You must send all general questions about this announcement to us by email. Your questions will generally be consolidated with other questions and posted on Grants.gov so everyone gets the same information. We may provide an individual response by email if your question does not apply to anyone else.

MS. LAURA PLATI
GRANTS OFFICER
Email: laura.plati@us.af.mil

H. OTHER INFORMATION

1. OMBUDSMAN

- (a) An Ombudsman has been appointed to hear and facilitate the resolution of concerns from offerors, potential offerors, and others for this acquisition. When requested, the Ombudsman will maintain strict confidentiality as to the source of the concern. The existence of the Ombudsman does not affect the authority of the Government Program Officer, GO, or evaluation officials. Further, the Ombudsman does not participate in the evaluation of proposals, the source selection process, or the adjudication of protests or formal grant/cooperative agreement disputes. The Ombudsman may refer the party to another official who can resolve the concern.
- (b) Before consulting with an ombudsman, interested parties must first address their concerns, issues, disagreements, and/or recommendations to the Grants or Contracting Officer for resolution. Consulting the Ombudsman does not alter or postpone the timelines for any other processes.
- (c) If resolution cannot be made by the GO, concerned parties may contact the AFRL Ombudsman, Director of Contracting, HQ AFRL/PK. The AFRL Alternate Ombudsman is the Deputy Director of Contracting, HQ AFRL/PK. Please send an

email to afrl.pk.workflow@us.af.mil with the subject of "Ombudsman."

- (d) The ombudsman has no authority to render a decision that binds the agency.
- (e) Do not contact the ombudsman to request copies of the solicitation, verify offer due date, or clarify technical requirements. Such inquiries must be directed to the Grants or Contracting Officer.

2. GRANTS AND CONTRACTING OFFICERS AUTHORITY

Grants and Contracting Officers acting within their warranted capacity are the only individuals legally authorized to make commitments or bind the Government.

No other individuals are authorized to make commitments or otherwise bind us.

3. UNSELECTED PROPOSAL RESUBMISSION UNDER GENERAL BAA

Funding is limited under the YIP competition. As a result, otherwise meritorious proposals may not be selected. If your proposal is not selected under the YIP competition, you may resubmit your proposal under our most recent general broad agency announcement titled "[Research Interests of the Air Force Office of Scientific Research](#)" as published on Grants.gov at <https://www.grants.gov/web/grants/view-opportunity.html?oppId=345653>.

4. ADDITIONAL FUNDING OPPORTUNITIES

We post new funding opportunities throughout the year looking for today's breakthrough science for tomorrow's Air Force and Space Force. You can find more information about Air Force Office of Scientific Research interests and funding opportunities on our website at <https://www.afrl.af.mil/AFOSR/>.

Thank you for your interest in this announcement.