



**AIR FORCE OFFICE OF SCIENTIFIC RESEARCH
FUNDING OPPORTUNITY ANNOUNCEMENT
FOA-AFRL-AFOSR-2021-0008**

**FY21 DEFENSE ESTABLISHED PROGRAM TO STIMULATE
COMPETITIVE RESEARCH (DEPSCoR) –
CAPACITY BUILDING (CB)**

OVERVIEW INFORMATION

The Department of Defense (DoD) announces the fiscal year 2021 (FY21) Defense Established Program to Stimulate Competitive Research (DEPSCoR) – Capacity Building. The program is sponsored and managed by the Basic Research Office, Office of the Under Secretary of Defense for Research and Engineering (OUSD [R&E]), awarded by the Air Force Office of Scientific Research (AFOSR), and administered through the Office of Naval Research (ONR). The DoD plans to award FY21 DEPSCoR appropriations through this announcement.

DEPSCoR's objectives are to: (1) increase the number of university researchers in eligible States/Territories capable of performing S&E research responsive to the needs of the DoD; and (2) enhance the capabilities of institutions of higher education (IHE) in eligible States/Territories (listed below) to develop, plan, and execute science and engineering (S&E) research that is relevant to the mission of the DoD, and competitive under the peer-review systems used for awarding Federal research assistance; (3) increase the probability of long-term growth in the competitively awarded financial assistance that IHE in eligible States receive from the Federal Government for S&E research.

Consistent with these long-term objectives of building research infrastructure, the DoD intends to competitively make, and fund from fiscal year 2021 appropriations, multiyear awards for capacity building in IHEs with research areas relevant to the DoD's mission and which are important to national security.

This funding opportunity aims to support the strategic objectives of IHEs (either individually or in partnership with others) in DEPSCoR States/Territories to achieve basic research excellence in areas of high relevance to the DoD.

IHEs in the following States/Territories are eligible to apply for this DEPSCoR opportunity under this announcement: Alabama, Alaska, Arizona, Arkansas, Connecticut, Delaware, District of Columbia, Guam, Hawaii, Idaho, Indiana, Iowa, Kansas, Kentucky, Louisiana, Maine, Minnesota, Mississippi, Missouri, Montana, Nebraska, Nevada, New Hampshire, New Mexico, North Dakota, Oklahoma, Oregon, Puerto Rico, Rhode Island, South Carolina, South Dakota, Tennessee, U.S. Virgin Islands, Vermont, West Virginia, Wisconsin, and Wyoming.

Hyperlinks have been embedded within this document and appear as underlined, and 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 OF 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

Defense Established Program to Stimulate Competitive Research (DEPSCoR) –
Capacity Building (CB)

3. ANNOUNCEMENT TYPE

Initial Funding Opportunity Announcement (FOA)

4. FUNDING OPPORTUNITY NUMBER

FOA-AFRL-AFOSR-2021-0008

5. CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER(S)

12.431 – Basic Scientific Research

6. KEY DATES

Schedule of Events		
Event	Date	Eastern Standard Time
nVision website open for registration and submission (https://dod-basicresearch.nvision.noblis.org/program/depacor)	Wednesday, 23 June 2021	NLT 11:59PM
Virtual DEPSCoR Day	Wednesday, 23 June 2021	TBD
nVision Registration (strongly suggested by) Cut-off date for Q&As with DEPSCoR Program Manager	Thursday, 16 September 2021	NLT 11:59PM
White Paper and Supporting Documentation submission on nVision website (https://dod-basicresearch.nvision.noblis.org/program/depacor) (required by)	Monday, 20 September 2021	NLT 11:59PM
Notification of White Paper Selection	Friday, 3 December 2021	NLT 11:59PM
Request for written feedback on your white paper submission (required by) (Email request to: DEPSCoR_feedback@noblis.org)	Friday, 10 December 2021	NLT 11:59PM
Full Proposal Submission (by invitation only) electronically on Grants.gov website (submitted by)	Tuesday, 22 February 2022	NLT 11:59PM
Notification of Selection for Award	Monday, 2 May 2022	NLT 11:59PM

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I. PROGRAM DESCRIPTION

A. OBJECTIVES

The aim of DEPSCoR – Capacity Building is to improve the research capabilities at institutions of higher education (IHE) in eligible States/Territories to perform competitive basic research in science and engineering that is relevant to the DoD mission and reflect national security priorities. As defined in the DoD Financial Management Regulation:

Basic research is systematic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications towards processes or products in mind. It includes all scientific study and experimentation directed toward increasing fundamental knowledge and understanding in those fields of the physical, engineering, environmental, and life sciences related to long-term national security needs. It is farsighted high payoff research that provides the basis for technological progress ([DoD 7000.14-R, vol. 2B, chap. 5, para. 050105.A](#)).

The DoD's basic research program invests broadly in many scientific fields to ensure that it has early cognizance of new scientific knowledge.

To address the program's aim, DEPSCoR – Capacity Building (CB) objectives are to:

- Jumpstart capability development in the State/Territory through increased human, technical, and management resources.
- Achieve excellence in a DoD-relevant research area through funding to support equipment, education, research, and other relevant activities.

Authority for a grant award under this announcement is established in 10 U.S.C. 2358 for basic research. Authority for DEPSCoR specifically was established in the National Defense Authorization Act for Fiscal Year 1995, and has subsequently been amended and reauthorized over the years since (see also a specific note within 10 U.S.C. 2358 referring to DEPSCoR).

Grants awarded under this program are intended to support the strategic objectives of IHEs (either individually or in partnership with others) in DEPSCoR States/Territories to achieve basic research excellence in areas of high relevance to the DoD. Proposals will vary depending on technical field and geographic region.

Applicants must be aware of the following expectations:

1. Applications must present the opportunities for enhanced academic research and development competitiveness and, if appropriate, industrial or economic competitiveness, for the State/Territory. A strategic plan to sustain the investment after the DEPSCoR award period of performance must be discussed.
2. Applications must exhibit a coherent focus on one DoD-related research area, and identification of the gaps in achieving full capacity.
3. Applications must present a management plan for coordinating multiple thrusts working on a common basic research theme. These thrusts could include but are not limited to purchasing new equipment, supporting new hires, and support for graduate students and post-doctoral fellows. Adequate provision for substantive commitment by the IHE's executive offices and appropriate administrative support is an important factor contributing to the success of this Capacity Building effort.
4. Applications (at the Full Proposal Stage) must include Letters of Recommendation for Commitment / Endorsement as noted below and in [SECTION IV.D.3.g](#):
 - a) Letters of recommendation from any regional partners that may benefit from or contribute to the success of your proposed activity (industry, non-profit, other IHEs, etc.). (Required)
 - b) Any current or planned support from the state or region, financial or otherwise. (Not Required)

B. TEAM COMPOSITION

The proposal must be led by a member of the IHE's executive staff such as the Vice-President for Research who will serve as the Team Lead, henceforth referred to as the Applicant. The composition of the team will look different depending on the application, but key participants and proposed subawardees must be identified at the time of application.

Applicant institutions are limited to no more than one application under this FOA.

C. DoD RELEVANT AREAS

Applications must address one or more of the technical research areas outlined in the Services (Army Research Office [ARO], Office of Naval Research [ONR], and Air Force Office of Scientific Research [AFOSR]) broad agency announcements (BAA). Please refer to the websites cited below for detailed technical information and goals for the Services.

SERVICES	HOW TO FIND THE SERVICES' RESEARCH INTEREST
Army Research Office (ARO) https://www.aro.army.mil/	Select “Broad Agency Announcements” in the “Business” section to see the most recent ARO Core Broad Agency Announcement for Fundamental Research for 1 April 2017 - 31 March 2022 .
Office of Naval Research (ONR) https://www.onr.navy.mil/	Select “Work With Us” and then “Funding Opportunities” and then “BAAs, FOAs and Special Program Announcements” to see the Long Range Broad Agency Announcement for Navy and Marine Corps Science and Technology, N00014-21-S-B001 . Navigate to https://www.onr.navy.mil/our-research/our-program-managers for a list of program officers and their specific program.
Air Force Office of Scientific Research (AFOSR) https://www.wpafb.af.mil/afri/afosr/	On grants.gov search using keyword(s) “Research Interests of the Air Force Office of Scientific Research” to see the latest core announcement. The current funding opportunity number for general research interests is FA9550-19-S-0003 .

II. FEDERAL AWARD INFORMATION

The Basic Research Office anticipates approximately \$1 million in total funding will be made available for this program to fully fund at award one grant up to \$1 million (total cost). The award will be funded up to \$500,000 (total cost) per year for two (2) years.

The award is subject to funding availability. The Basic Research Office reserves the right to select and fund for award all, some, part, or none of the proposals received. There is no guarantee of an award.

Cost sharing or matching is not required or considered as an evaluation criterion, but you may propose voluntary committed cost sharing or matching; for example, additional support for students. Any voluntary committed cost sharing amount will be included in the total award value.

The DEPSCoR Capacity Building award is to an IHE. However, should there be any changes to the Team Lead for the capacity building effort, these changes must be proposed, reviewed, and approved by the DEPSCoR Program Manager and Basic Research Office at least 30 days in advance.

The award start date is determined at the time of award but is most likely projected for a JULY 2022 start date.

Authority for award under this competition is established in 10 U.S.C. 2358 for basic research. Regulations, terms, and conditions that will apply to the award can be found in [Section VI. Federal Award Administration Information](#).

A. ADDITIONAL DEPSCoR FUNDING OPPORTUNITIES

In addition to this DEPSCoR - Capacity Building FOA, the Basic Research Office anticipates funding up to 21 awards under the DEPSCoR – Research Collaboration FOA-AFRL-AFOSR-2021-0007 to support collaborative research activities in DoD-relevant fields. This additional competitive research funding is separate than this announcement and is also set aside for researchers at IHEs in DEPSCoR eligible States/Territories.

You are strongly encouraged to examine and apply directly to this opportunity as well. The full FOA can be found on [grants.gov](#).

III. ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS

1. You are eligible to submit an application if you are a qualified and responsible IHE and in a DEPSCoR eligible State/Territory as listed in the table below. Applicant institutions are limited to no more than one application under this FOA.
2. All activities supported by a DEPSCoR award must be performed in a DEPSCoR eligible State/Territory. Funding support for the Applicant and any potential subawardees is limited to those with addresses within one or more DEPSCoR eligible States/Territories.
3. The Team Lead must be a member of the IHE's executive staff such as the Vice-President of Research and be employed in a DEPSCoR eligible State/Territory.

IHE in 37 States/Territories are eligible to receive awards under this announcement.

IHEs do not need to submit proposals through an EPSCoR State Committee in response to this announcement. Awards made as a result of this announcement will be limited to IHE in States/Territories that are eligible under the DEPSCoR program authority.

**STATES/TERRITORIES DoD HAS DETERMINED ELIGIBLE FOR
FY21 DEPSCoR AWARDS¹**

Alabama	Delaware	Indiana	Maine	Nebraska	Oklahoma	South Dakota	Wisconsin
Alaska	District of Columbia	Iowa	Minnesota	Nevada	Oregon	Tennessee	Wyoming
Arizona	Guam	Kansas	Mississippi	New Hampshire	Puerto Rico	U.S. Virgin Islands	
Arkansas	Hawaii	Kentucky	Missouri	New Mexico	Rhode Island	Vermont	
Connecticut	Idaho	Louisiana	Montana	North Dakota	South Carolina	West Virginia	

The Basic Research Office and AFOSR will 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 to confirm applicants are qualified, responsible, and eligible to receive an award.

B. INELIGIBLE ENTITIES

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

1. Federally Funded Research and Development Centers (FFRDCs)
2. Federal agencies (to include Military Educational Institutions)

C. COST SHARING OR MATCHING

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

¹ *The average annual amount of all DoD obligations for S&E research and development that were in effect with IHE in the state/territory for the three fiscal years preceding the fiscal year for which the designation is effective or for the last three fiscal years for which statistics are available is less than the amount determined by multiplying 60 percent times the amount equal to 1/50 of the total average annual amount of all DoD obligations for S&E research and development that were in effect with IHE in the United States for such three preceding or last fiscal years, as the case may be.*

D. OTHER

1. Acknowledgment of Support and Disclaimer Requirements

- You must include the [VI.C.3. Acknowledgement of Research Support](#) on all materials created or produced under our awards.
- The [VI.C.4. Disclaimer Language for Research Materials and Publications](#) 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 white paper or proposal if you cannot accept these terms.

2. Expectation of Public Dissemination of Research Results

We expect research funded by this announcement will be basic research. 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 part by the DoD as described in the OUSD Memorandum, "[Public Access to Department of Defense-Funded Research](#)" dated 9 JULY 2014.

We follow [DoDI Directive 5230.24](#) and [DoDI 5230.27](#) policies and procedures to ensure broad dissemination of unclassified research results to the public and within the Government. The [DoDI 5230.27](#) policy and procedures allowing publication and public presentation of unclassified fundamental research results, and [DoDD 5230.25](#) policy and procedures regarding withholding of unclassified technical data from public disclosure, will apply to all research proposed under this competition unless the Basic Research Office gives you an explicit, written exclusion to these policies with the Grants 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 DoD funds to the Basic Research Office.

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

3. Representation for Tax Delinquency, Felony Conviction, and Internal Confidentiality Agreements

You must complete the “Representation for Tax Delinquency, Felony Conviction, and Internal Confidentiality Agreements” form provided with the Grants.gov package. We provide more specific information about this requirement in section [IV.D.3.B](#).

We cannot determine you are eligible for funding unless we receive this form.

4. Conflict of Interest (COI) / Conflict of Commitment (COC)

Definitions

- **Conflict of interest (financial conflict of interest):** is a situation in which an individual, or the individual’s spouse or dependent children, has a financial interest or financial relationship that could directly and significantly affect the design, conduct, reporting, or funding of research.²
- **Conflict of commitment (non-financial conflict of interest):** is a situation in which an individual accepts or incurs conflicting obligations between or among multiple employers or other entities. Many institutional policies define conflicts of commitment as conflicting commitments of time and effort, including obligations to dedicate time in excess of institutional obligations, including obligations to improperly share information with, or withhold information from, an employer or funding agency, can also threaten research security and integrity, and are an element of a broader concept of conflicts of commitment.³

5. General Requirement for Disclosure

You and your IHE must disclose any potential or actual scientific or nonscientific COI/COC to us. You must also disclose any potential or actual COI/COC for any sub-recipient you include in your proposal. You must provide enough information for us to

² The White House Office of Science and Technology Policy, Enhancing the Security and Integrity of America’s Research Enterprise (Washington, D.C.: June 23, 2020).

³ The White House Office of Science and Technology Policy, Enhancing the Security and Integrity of America’s Research Enterprise (Washington, D.C.: June 23, 2020).

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 COI/COC mitigation plan after you submit your proposal. Your plan is subject to our approval.

6. Scientific COI/COC

Scientific collaborations on research and development projects are generally the result of close collaboration prior to the submission of applications for support. Accordingly, these collaborations should be given consideration for potential conflicts of interest and commitment, and any undue influence on the integrity of research, national security, and economic security. A potential conflict is mitigated by the appropriate disclosure of these collaborations, foreign affiliations, associations, and activities, and the list of current and pending support you provide for senior and key researchers for both prime and subrecipients.

Examples that increase risk and can harm the DoD research enterprise.

Failures to disclose:

- Financial conflicts of interest (both domestic and foreign)
- Conflicts of commitment
- External employment arrangements
- Financial support that overlaps with U.S. funding
- Shadow laboratories or other parallel research activities
- Diversion of intellectual property
- Peer review violations

Examples of Behaviors that May Violate Laws:

- Theft or diversion of materials and intellectual capital
- Grant fraud

IV. APPLICATION AND SUBMISSION PROCESS

The application and submission process is completed **in three stages**:

- 1. Completed online registration via nVision. (Required)**
- 2. White Paper submission via nVision. (Required)**
- 3. Full Proposal Submission Package. (via grants.gov – Required)**
(This is by invitation only. Must include acceptance email as an attachment in block 20 of the SF424.)

A. ONLINE REGISTRATION VIA nVISION

The nVision Online Registration portal opens on **Wednesday, 23 June 2021**. It is strongly encouraged that you register on the nVision website no later than **11:59 PM Eastern Standard Time on Thursday, 16 September 2021** (see Section [IV.G.5 Submission Dates and Times](#)).

Note: If you registered at the AcquiTrak website in a prior competition, you must re-register for this competition using the new nVision portal. Usernames and passwords used to submit previous applications will not be retrieved.

While registration in nVision and submission of your white paper can be done at the same time, we HIGHLY recommend that you register in nVision and submit your white paper and supporting documentation well before the deadline in case you encounter any questions or problems.

There are two DEPSCoR competitions running concurrently. Make sure you are applying for this DEPSCoR – Capacity Building FOA-AFRL-AFOSR-2021-0008.

B. WHITE PAPER AND SUPPORTING DOCUMENTATION SUBMISSION

White Papers are a **MANDATORY** component for this three-stage application and submission process to minimize the labor and cost associated with the production of detailed proposals that have very little chance of being selected for funding.

If you do not register and submit a White Paper before the due dates and times, you will not be eligible to participate in the remaining Full Proposal submission process and are not eligible for funding.

To submit White Papers and Supporting Documentation, **you are strongly encouraged to register** on nVision (<https://dod-basicresearch.nvision.noblis.org/program/depacor>) by **11:59 PM Eastern Time on Thursday, 16 September 2021** (see Section [IV.G.5 Submission Dates and Times](#)).

White Papers and Supporting Documentation **must be submitted** to nVision (<https://dod-basicresearch.nvision.noblis.org/program/depacor>) by **11:59 PM Eastern Time on Monday, 20 September 2021** (see Section [IV.G.5 Submission Dates and Times](#)).

The submission process could take several minutes depending on the network connection and the size of the file being submitted. You are responsible for allowing enough time to complete the online form, upload the documents and press the submit button before the deadline. An e-mail confirmation will be sent to the Applicant upon receipt of the submission.

Documents submitted after the deadline or found to be non-compliant will not be reviewed.

Evaluation of the White Paper will be issued via email notification. You are ineligible to submit a full proposal package under this FOA if your White Paper was not identified as being of “particular value” to the DoD.

Only electronic submissions will be accepted and reviewed.

C. CONTENT AND FORMAT OF THE WHITE PAPER

1. Pre-White Paper Inquiries and Questions

For help with technical and programmatic matters, please **submit your question in writing by email** to the Basic Research Office DEPSCoR Program Manager identified in section [VII.A TECHNICAL AND PROGRAMMATIC INQUIRIES AND QUESTIONS](#). All technical and programmatic discussions must take place prior to white paper submission. After the White Paper deadline, applicants may no longer contact the DEPSCoR Program Manager.

If you have general questions about this announcement or administrative matters, please **submit your question in writing by email** to the **Grants Officer** (see section [VII.B GENERAL INQUIRIES AND QUESTIONS](#)).

The Basic Research Office does not have the authority to make commitments. Grants Officers acting within their warranted capacity are the only people authorized to make commitments for the Government.

2. White Paper (as a whole)

White papers submitted under this FOA are expected to be unclassified; classified proposals are not permitted.

All white paper submissions will be protected from unauthorized disclosure in accordance with applicable law and DoD regulations.

You are expected to appropriately mark each page of the submission that contains proprietary information.

IMPORTANT NOTE: Titles given to white papers should be descriptive of the basic research capacity building activities they cover and not be merely a copy of a topic title from one of the technical research areas outlined in the Services' BAAs.

Applicants must submit a single white paper with the following four (4) components:

- (1) Cover Page
- (2) Abstract
- (3) Capacity Building Narrative
- (4) CVs (2-page limit each) for Team Lead and any subawardees

3. Marking Requirements for Confidential Proprietary Information

You must mark the white paper sections that contain proprietary or confidential information. However, under Freedom of Information Act (FOIA) requirements, some or all proposal information may be subject to release.

Your entire white paper, 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. White papers may be disclosed to reviewers for training purposes in future competitions.

4. White Paper Package

The due date for receipt of white papers is **Monday, 20 September 2020 by 11:59 PM Eastern Time** (see Section [IV.G.5 Submission Dates and Times](#)). White Papers received after the published deadline will not be considered under any circumstance. Early submission of white papers is welcomed and encouraged.

All documents in the white paper package must be submitted in PDF format in compliance with the guidelines and file naming convention below. When submitting the white paper, you must upload the following as one (1) PDF file:

(1) White Paper

- a. *Cover page*** (one (1) page limit, single-sided): Include all key personnel names and IHE affiliations and the Services' BAA number and research area(s) your application addresses. Include a protective legend for proprietary information, if applicable.
- b. *Abstract*** (not to exceed 300 words): Describe the overall approach to achieving the strategic objectives of your IHE to achieve basic research excellence in areas of high relevance to the DoD. The abstract must be submitted without proprietary restrictions. Therefore, this non-proprietary abstract must be a version that is releasable under the Freedom of Information Act without changes.
- c. *Capacity Building Narrative*** (six (6) page limit, single-sided): Your white paper must clearly describe your IHE's strategic objectives to achieve basic research excellence in an area of high relevance to the DoD, including existing seed capability, vision, the thrusts that will be pursued to build capacity, your complete team composition and potential partners, management plan, and potential for long-term sustainment.
- d. *Identify anticipated human subject or vertebrate animal subject research*** (one (1) page limit, single-sided) (where applicable).
- e. *Curriculum Vitae (CV)*** (two (2) page limit, single-sided each): Provide a CV for the Team Lead and any subawardees.

White paper components must be submitted in the following format as a **single** PDF file with the following naming convention:

- IHE NAME_DEPSCoR_FY21CB

Documents must be submitted in the following format as one (1) PDF file:

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single-spaced
- Font – Times New Roman, 12 point
- Use the file naming convention specified above.

Concurrent submission of a proposal to other organizations will not prejudice review. Send any changes as they become known.

D. FULL PROPOSAL SUBMISSION PACKAGE

1. Full Proposal Packages will only be accepted from applicants invited to submit proposals.

All the application forms you need are available electronically on [Grants.gov](https://www.grants.gov). From the “View Grant Opportunity” page, you can click on the “Package” tab to download the application package. These same application forms will also be available in the “Related Documents” tab to download individually.

We will not issue paper copies of this announcement.

Proposal packages must be submitted electronically to Grants.gov **no later than 11:59 p.m. Eastern Time on Tuesday, 22 February 2022** (see Section [IV.G.5 Submission Dates and Times](#)).

Please [contact us](#) to request a reasonable accommodation for any accessibility requirements you may have.

2. Content and Form of Application Submission

a. The application as a whole

You must submit your proposal electronically through [Grants.gov](https://www.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 [IV.G.1. Proposal Submission Deadline](#).

DO NOT password protect any attachments.

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 FOA number.

b. 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 [IV.D.3. 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 (Required)	18	Representation for Tax Delinquency, Felony Conviction, and Internal Confidentiality Agreements (Required)
	<i>18</i>	<i>Disclosure of Lobbying Activities (SF-LLL) (If Applicable)</i>
	20	Invitation email to submit a full proposal (Required)
	21	Cover Letter Attachment (Not Required)
R&R Other Project Information Form (Required)	7	Project Summary / Abstract (Required)
	8	Project Narrative Attachment Form to attach the Capacity Building and Team Composition and Management Plans (Required)
	9	<i>Bibliography & References Cited (If Applicable)</i>
	10	<i>Facilities and Other Resources (If Applicable)</i>
	11	<i>Equipment (If Applicable)</i>
	12	Other Attachments (Required)
R&R Senior/Key Person Profile Form Expanded (Required)		Biographical Sketch (Required)
		Current & Pending Support (Required)
R&R Budget Form (Required)		Budget Justification (Required)
<i>R&R Subaward Budget (If Applicable) Attachments Form</i>		<i>Subaward Budget Justification</i>
R&R Project/Performance Site Locations Form (Required)		None
R&R Personal Data (Required)		None

The SF 424 (R&R) must include the signature of an authorized representative from your IHE. The signature is affixed electronically by Grants.gov upon submission. This signature is considered the signature for the application as a whole.

c. Proposal Format

- Paper Size – 8.5 x 11-inch paper
- Margins – 1 inch
- Spacing – 1.5-line spacing
- Font – Times New Roman, 12 point
- Page Limitation – please see proposal length below
- Content – As described below

d. Proposal Length

Your [Capacity Building Plan](#) section must not exceed ten (10) single-sided pages.

Your [Team Composition and Management Plan](#) section must not exceed five (5) single-sided pages.

Your [Data Management Plan \(Optional\)](#) must not exceed two (2) single-sided pages.

We will not consider more than the maximum number of 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
Project Narrative – Capacity Building and Team Composition and Management Plans (Required) Data Management Plan (Optional)	Everything else

You must include enough budget related information in your proposal to support your costs as necessary, reasonable,

allocable, 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 necessary, allowable, reasonable, allocable, and realistic is the most common reason awards are delayed.

e. Marking Requirements for Confidential or Proprietary Information

You must mark the proposal sections that contain proprietary or confidential information. However, under the 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.

f. Advance Preparation for Electronic Submission through Grants.gov

Your proposal must be submitted electronically through [Grants.gov](#). 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. Registration with Grants.gov may take up to twenty-one (21) days.

- A Grants.gov getting started checklist is available at: <https://www.grants.gov/en/web/grants/learn-grants/grants-101/getting-started-%20checklist.html>.
- Guidance for registering with Grants.gov as an organization may be found at: <https://www.grants.gov/web/grants/applicants/organization-registration.html>.
- 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 1-800-518-4726, or at <https://www.grants.gov/web/grants/support.html>.

- An active Dun and Bradstreet Data Universal Numbering System (DUNS) number and an active System for Award Management (SAM) registration [are required to register through Grants.gov](#). Section [IV.F.1 SAM Registration Required](#) provides more information.

3. Component Pieces of the Application

IMPORTANT NOTE: Titles given to proposals should be descriptive of the basic research capacity building activities they cover and not be merely a copy of the topic title from one of the technical research areas outlined in the Services’ BAAs.

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

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. 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
4.	For block 4.a. Federal Identifier - Enter “FA9550” For block 4.b. Agency Routing Identifier – you may leave blank For block 4.c. Previous Grants.gov Tracking ID – If this submission is for a changed/corrected application, enter the Grants.gov tracking number of the previous proposal submission; otherwise, leave blank.
5.	Applicant Information: DoD agencies recommend that organizations provide a global business address
7.	Complete as indicated.
9.	You must list Air Force Office of Scientific Research as the reviewing agency if Grants.gov has not pre-populated this answer.

10. You must list the Catalog of Federal Domestic Assistance Number as “12.431” and the title as “Basic Scientific Research” if Grants.gov has not pre-populated this answer

12. The award start date is determined at the time of the award but is most likely projected for JULY 2022. The award ending date will be 2 years after.

16. You should check “No.” and “Program is Not Covered by Executive Order 12372”

17. All awards require some form of certifications of compliance with national policy requirements. 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 (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances and agree to comply with any resulting terms if I accept an award. 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).

18. You must attach the completed [IV.D.3.b Representation Regarding an Unpaid Delinquent Tax Liability or a Felony Conviction under Any Federal Law – DoD Appropriations & Representation Regarding the Prohibition on Using Funds under Grants and Cooperative Agreements with Entities that Require Certain Internal Confidentiality Agreements Form](#).

You must attach your completed [Grants Certifications Report](#) from SAM.gov which addresses your Certification Regarding Lobbying, as required by [31 U.S.C. 1352](#) as implemented by DoD in [32 CFR Part 28](#). The full text of this certification is also found at Appendix A to Part 28 of 32 CFR at <http://www.ecfr.gov/>.

You may have to attach the completed Disclosure of Lobbying Activities (SF-LLL) if you have lobbying activity that you must disclose.

Concatenate these documents into a single document and attach the concatenated document into Field 18.

b. Representation Regarding an Unpaid Delinquent Tax Liability or a Felony Conviction under Any Federal Law – DoD Appropriations & Representation Regarding the Prohibition on Using Funds under Grants and Cooperative Agreements with Entities that Require Certain Internal Confidentiality Agreements & SAM.gov Grants Certifications Report (Required)

You must attach these representations to field 18 of the SF 424 (R&R).

You must complete, sign, and attach the “Representations Regarding Unpaid Tax and Internal Confidentiality Agreements” form provided with the Grants.gov package. We cannot fund an award if this information is not provided.

If you answer “is” a corporation that has an unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and is not being paid in timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; and/or “is” a corporation that was convicted of a felony criminal violation under any Federal law within the preceding 24 months on this representation form, you may not be eligible for an award if your proposal is selected. You should [contact us right](#) away to discuss your situation to find out if you can submit your application.

If you do not attach this form to the SF 424, we may request the representation after you submit your application.

c. Disclosure of Lobbying Activities (SF-LLL) (If Applicable)

If applicable, you must attach this disclosure to field 18 of the SF 424 (R&R).

If you have lobbying activity that you must disclose under [31 U.S.C. 1352](#) as implemented by the DoD in [32 CFR Part 28](#), you must attach the completed [Disclosure of Lobbying Activities](#) (SF-LLL). Instructions for completing this form are available [here](#). If you do not have lobbying activities to disclose, you do not need to complete the SF-LLL.

d. R&R Other Project Information Form (Required)

Complete this form as indicated. You must include all necessary attachments. Additional guidance on each field on the form is located [here](#).

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. Your inquiries about our human subject requirements should be sent by email directly to the Basic Research Office Program Manager who will coordinate an answer with the AFOSR Human Research Protections Officer.
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- 2, 2a. You must address all prospective animal subject and/or recombinant deoxyribonucleic acid (rDNA) involvement by answering these questions. Additional documentation pursuant to National Policy and U.S. Air Force standards is required for all proposals with animal or rDNA use or involvement. Your inquiries about our requirements should be sent by email directly to our Research Protections Officer at brett.j.taylor2.mil@mail.mil with a copy to the DEPSCoR Program Manager.
-
3. Is proprietary/privileged information included in the application? Select “Yes” or “No”.
-
- 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.
-
5. Is the research performance site designated, or eligible to be designated, as a historic place? Select “Yes” or “No”.
- 5.a. If you checked the “Yes” box indicating any performance site is designated, or eligible to be designated, as a historic place, provide the explanation in Block 5.a.
-
6. Does this project involve activities outside of the United States or partnerships with international collaborators? Select “Yes” or “No”.
- 6.a. If you checked the “Yes” box identify the countries with which international cooperative activities are involved.
- 6.b. Enter an explanation for involvement with outside entities (optional).
-
7. Attach your [IV.D.3.e. Publicly Releasable Project Summary/Abstract](#)
-
8. Attach your [IV.D.3.f. Capacity Building and Team Composition and Management Plans to the Project Narrative Attachment Form and attach that form to field 8.](#)
-
9. Attach your [IV.D.3.g Bibliography and References Cited](#)
-
10. Attach your [IV.D.3.h. Facilities & Other Resources](#) description document here if you need to supplement your [IV.D.3.f. Capacity Building and Team Composition and Management Plans](#) facilities and resources section.
-
11. You may supplement your [IV.D.3.k. Budget Justification](#) by attaching an [IV.D.3.l. 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. Other Attachments –
- Attach your [IV.D.3.m. R&R Sub-award Budget Attachments Form](#) (If Applicable)
- Attach your [IV.D.3.q. Data Management Plan](#) (Optional)
- Attach your [IV.D.3.r. Letters of Recommendation](#) (Required)

e. Publicly Releasable Project Summary/Abstract (Required)

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

You must provide a concise abstract of 300 words or less with your proposal. Do not include proprietary or confidential information. The project summary/abstract must be marked by the applicant as “Approved for Public Release.” The abstract should use terms the public can understand to describe the capacity building research objective, technical approach, anticipated outcome, and potential impact of the specific research.

Use only characters available on a standard QWERTY keyboard. Spell out all Greek letters, other non-English letters, and symbols. Graphics are not allowed.

Abstracts of all funded research projects will be posted on the public DTIC website:

<https://dodgrantawards.dtic.mil/grants/#/home>.

f. Project Narrative – Capacity Building and Team Composition and Management Plans (Required)

You must attach the Project Narrative – Capacity Building and Team Composition and Management Plans to the Project Narrative Attachment Form and attach that form to field 8 of the R&R Other Project Information Form.

Your project narrative will be evaluated using the criteria listed in section [V.A CRITERIA](#). You should show strength in as many of the evaluation and selection areas as practicable to demonstrate maximum competitiveness.

Your narrative should include the following elements:

- 1. Capacity Building Plan – limited to 10 pages, please number them.** Your capacity building plan must clearly describe your IHE’s strategic objectives to achieve excellence in an area of high relevance to the DoD. Your plan must include a description of your existing seed capability, strategic vision, the thrusts that will be pursued using DEPSCoR funds to build capacity, and strategy for long-term sustainment.

- 2. Team Composition and Management Plan – limited to 5 pages, please number them.** Describe the complete composition of the team and an overview of your management plan and how that will support your capacity building plan. CVs of all Key Personnel should be included in the R&R Senior/Key Person Profile Form Expanded

The adequacy of this information will influence the overall evaluation in accordance with the criteria and procedures specified in section [V. APPLICATION REVIEW INFORMATION](#) below.

g. Bibliography and References Cited (If Applicable)

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

h. Facilities & Other Resources (If Applicable)

You must attach your Facilities & Other Resources description document to field 10 of the R&R Other Project Information Form if applicable.

- 1.** 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.
- 2.** 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.
- 3.** Government Furnished Equipment: List any special Government-owned property or test equipment possessed or required to support the capacity building effort. 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.

i. R&R Senior/Key Person Profile Form Expanded (Required)

You must list all Key Persons proposed for the research effort on the R&R Senior/Key Person Profile (Expanded) Form.

Failure to submit this information may cause the proposal to be returned without further review.

This information will be used to support protection of intellectual property, controlled information, senior/key personnel, and information about critical technologies relevant to national security. Additionally, this information will be used to limit undue influence, including foreign talent programs, by countries that desire to exploit United States' technology within the DoD research, science and technology, and innovation enterprise.

1. You must attach a short biographical sketch and list of significant publications (vitae) for each Senior/Key Person, whether or not the individuals' efforts under the projects are to be funded by the DoD.
2. If Senior/Key Personnel have current pending, or expected research supported by other sources (e.g., Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations) during the period you seek our support the following information must be provided for each project:

List of Current and Pending Support:

- Title of Proposal and Summary;
- Source and amount of funding (annual direct costs; provide contract and/or grant numbers for current contracts/grants);
- Percentage of effort devoted to each project;
- Identity of prime applicant and complete list of subawards, if applicable;
- Technical contact (name, address, phone, electronic mail address);
- Period of performance (differentiate basic effort);
- The proposed project and all other projects or activities requiring a portion of time of the Applicant and other Senior/Key Personnel must be included, even if they receive no salary support from the project(s);

- The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months or labor hours per year to be devoted to the project, regardless of source of support; and
- State how project(s) is/are related to the proposed effort and indicate degree of overlap.

Concurrent submission of a proposal to other organizations will not prejudice review. Send any changes as they become known.

j. R&R Budget Form (Required)

You must provide all information requested. You must estimate the total 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 include enough budget related information in your proposal to support your costs as necessary, allowable, reasonable, allocable, 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 necessary, reasonable, allocable, and realistic is the most common reason awards are delayed.

k. Budget Justification (Required)

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 L of the R&R Budget Form. The budget narrative submitted with the application must match the dollar amounts on all required forms. Please explain each calculation and provide a narrative that supports each budget category. This detailed budget justification must match the proposed budget categories. Each year of the budget justification narrative must stand alone; lump sum budget justifications are not allowed. If options are proposed, option detailed budget justifications must stand alone as well, no lump sum justifications allowed.

You must 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.

You must 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 requests to purchase equipment must include equipment quotes or vendor agreements. "Equipment" is nonexpendable, tangible personal property with a unit cost of \$5,000 or more having a useful life of more than 1 year. Items that do not meet the "equipment" definition can be included under supplies. List each piece of equipment to be purchased and provide a description of how it will be used in the project. The budget narrative should explain why the equipment is necessary for successful completion of the project. Provide quotes in the English language (US Dollars) if available, or indicate the basis of the equipment cost. If you have any sub-award(s), you should describe how you determined sub-award costs were determined fair and reasonable. Your business office usually makes this determination.

DHHS/ONR Rate Agreement: If you use a Government rate agreement to propose indirect cost rates and/or fringe benefit rates, attach a copy of the agreement you used.

Helpful Cost Principle Reference Information

(i) [2 CFR 200, Subpart E – Cost Principles](#)

(ii) General Provisions for Selected Items of Cost in [2 CFR 200.420 through 2 CFR 200.476](#)

1. Equipment Justification (If Applicable)

If applicable attach your Equipment Justification to field 11 of the R&R Other Project Information Form.

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 with a supporting vendor quote. If you do not have information about

individual items, group items you require by class and provide an estimate of values.

m. R&R Sub-award Budget Attachments Form (If Applicable)

You must attach all sub-award budgets to the R&R Subaward Budget Attachments Form.

You must provide a budget at the same level of detail as your [D.3.j. Prime budget](#) for each proposed sub-award.

You must attach the R&R Sub-award Budget Attachments Form to field 12 of the R&R Other Project Information Form.

n. Sub-award Budget Justification (If Applicable)

The entire sub-award budget justification and supporting documentation must be combined into a single file and attached to field L of the R&R Sub-award Budget Attachments Form.

You must provide a sub-award budget justification at the same level of detail as your [D.3.k. Prime budget justification](#) for each proposed sub-award.

o. R&R Project/Performance Site Locations Form (Required)

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

p. R&R Personal Data Form (Required)

This form will be used by DoD as the source of demographic information, such as gender, race, ethnicity, and disability information for the Principal Investigator and all other persons identified as Co-Principal Investigator(s). Each application must include this form with the name fields of the Principal Investigator and any Co-Principal Investigator(s) completed; however, provisions of the demographic information in the form is voluntary. If completing the form for multiple individuals, each Co-Principal Investigator can be added by selecting the “Next Person” button. The demographic information may be accessible to the reviewer, but will not be considered in the evaluation. Applicants who do not wish to provide some or all of this information should check or select the “Do not wish to provide” option.

q. Data Management Plan (Optional) – limited to two (2) single-sided pages

Attach your Data Management Plan to field 12 of the R&R Other Project Information Form.

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) single-sided pages or less in length and discuss:

1. 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;
2. How the data will be acquired;
3. Time and location of data acquisition if they are scientifically pertinent;
4. How the data will be processed;
5. The file formats and the naming conventions that will be used;
6. A description of the quality assurance and quality control measures during collection, analysis, and processing;
7. If existing data are to be used, a description of their origins;
8. A description of the standards to be used for data and metadata format and content;
9. Plans and justifications for archiving the data;
10. The timeframe for preservation; and;
11. If for legitimate reasons the data cannot be preserved, the plan must include a justification citing such reasons.

r. Letters of Recommendation for Commitment / Endorsement (Required)

Attach your Letters of Recommendation for Commitment / Endorsement to field 12 of the R&R Other Project Information Form.

1. Letters of recommendation from any regional partners that may benefit from or contribute to the success of your proposed activity (industry, non-profit, other IHEs, etc.) **(Required)**
2. Any current or planned support from the state or region, financial or otherwise. **(Not Required)**

E. INFORMATION YOU MUST SUBMIT IF SELECTED FOR POSSIBLE AWARD

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

If you do 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.

F. DUNS UNIQUE ENTITY IDENTIFIER, CAGE, AND SYSTEM FOR AWARD MANAGEMENT (SAM)

1. SAM Registration Required

As required in [2 CFR 25](#) all applicants, unless exempted, must:

- Be registered in [SAM.gov](#) before submitting its application;
- Complete their Grants Certifications in [SAM.gov](#) to be eligible to apply for a Federal financial assistance project or program;
- Provide a valid DUNS unique entity identifier; and
- Continue to maintain an active SAM registration with current information at all times any Federal award is active, or when 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.

2. 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\(d\)](#) for applicants under this announcement.

You must comply with SAM registration requirements and include an Organizational DUNS code in field 5 of the SF 424 (R&R) application or we cannot make an award.

3. 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/gsafsd_sp and telephone at (866) 606-8220. Top help topics for [SAM.gov](#) are available at https://www.fsd.gov/gsafsd_sp?id=kb_category&kb_category=f56ee43edbfadc102c5f368f7c961906.

4. 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 code.

G. SUBMISSION DATES AND TIMES

1. Proposal Submission Deadline

We must receive your validated proposal electronically through Grants.gov **no later than 11:59 PM Eastern Time on Tuesday, 22 February 2022** to be considered for selection (see Section [IV.G.5 Submission Dates and Times](#)). This is the final due date. We recommend you submit your application 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.

Timely Receipt Requirements and Proof of Timely Submission

Online Submission: All applications must be validated by Grants.gov **no later than 11:59 PM Eastern Time on Tuesday, 22 February 2022**. Proof of timely submission is automatically recorded by Grants.gov. The applicant AOR will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. Applicant AORs will also receive the official date/time stamp and Grants.gov tracking number in an email.

A second confirmation is provided by email when your application has passed Grants.gov validation and the status is updated from received to validated. **Your application is not complete until you receive the validation confirmation.** Your submission must be validated before the submission deadline.

When the administering agency successfully retrieves the application from Grants.gov, and acknowledges the download of submissions, Grants.gov will provide an electronic acknowledgement of receipt of the application to the email address of the applicant with the AOR role.

Applications received by Grants.gov after the established due date will be counted as late and will not be considered.

Applicants using slow internet, should be aware that transmission can take some time before Grants.gov receives your application. Again, Grants.gov will provide either an error or a successfully received transmission in the form of an email to the applicant with the AOR role. The Grants.gov Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. *Please be patient and give the system time to process the application.*

2. 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.

3. Grants.gov Tracking Number is Application Receipt

Grants.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. Your application is not complete until you receive the validation confirmation.

The validation 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 <http://www.grants.gov/web/grants/applicants/track-my-application.html>.

4. 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 as outlined in section [IV.G.1. Proposal Submission Deadline](#).

5. Submission Dates and Times

Schedule of Events		
Event	Date	Eastern Standard Time
nVision website open for registration and submission (https://dod-basicresearch.nvision.noblis.org/program/depacor)	Wednesday, 23 June 2021	NLT 11:59PM
Virtual DEPSCoR Day	Wednesday, 23 June 2021	TBD
nVision Registration (strongly suggested by) Cut-off date for Q&As with Program Officers	Thursday, 16 September 2021	NLT 11:59PM
White Paper submission on nVision website (https://dod-basicresearch.nvision.noblis.org/program/depacor) (required by)	Monday, 20 September 2021	NLT 11:59PM
Notification of White Paper Selection	Friday, 3 December 2021	NLT 11:59PM
Request for written feedback on your white paper submission (required by) (Email request to: DEPSCoR-feedback@noblis.org)	Friday, 10 December 2021	NLT 11:59PM
Full Proposal Submission (by invitation only) electronically on Grants.gov website (submitted by)	Tuesday, 22 February 2022	NLT 11:59PM
Notification of Selection for Award	Monday, 2 May 2022	NLT 11:59PM

H. INTERGOVERNMENTAL REVIEW

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

I. FUNDING RESTRICTIONS

1. 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.

2. Pre-award Costs

You must request our prior approval if your research requires a specific date [pre-award costs](#) become allowable, or 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.

Our grants include up to ninety (90) calendar days pre-award costs in accordance with the DoD Research and Development General Terms and Conditions, (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\(e\)\(1\)](#). 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.

V. APPLICATION REVIEW INFORMATION

A. CRITERIA

DEPSCoR seeks to increase the number of researchers at and improve the capabilities of IHEs in eligible States/Territories to perform competitive S&E research relevant to the DoD.

Proposed capacity building research should describe cutting-edge efforts on basic scientific problems. White papers deemed to be applied research, as opposed to basic research, will not advance to the proposal stage of the competition.

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

1. Evaluation Criteria

Your white paper and proposal will be evaluated against the following five (5) criteria. Criteria 1, 2, 3, and 4 are equally important to each other; Criteria 5 is of least importance:

- (1) Demonstration of initial seed capability (Leading experts / researchers, existing projects, infrastructure, industry access, etc.)
- (2) Demonstration of the potential for the effort to build research capacity and improve research capability in DoD relevant fields.
- (3) Demonstration of regional interest to support the need for capacity building.
- (4) Demonstration of a long-term plan for sustainment of the enhanced capacity with non-DEPSCoR funding.
- (5) **(Full Proposal Evaluation Only)** Realism and [reasonableness](#) of proposed costs.

All, some, one, or none of the applicants may be contacted after the proposal review process by phone by the Director of the Basic Research Office, USD (R&E) to clarify certain aspects of their proposed research efforts.

2. No Further Evaluation Criteria or Criterion will be used for Proposal Selection

B. REVIEW PROCESS

1. Cost Analysis

If your proposal is selected for possible award, we will analyze the cost of the work for realism and [reasonableness](#). We must make sure the costs you propose are necessary, allowable, reasonable, realistic, and allocable to the proposed research before we can make an award. We may analyze your technical and cost information at the same time.

2. Agency Review of Risk Posed by Applicants

- a.** 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](#) to receive a grant award.
- b.** We must consider the non-public segment of the Federal Awardee Performance and Integrity Information System (FAPIIS) system accessible through [SAM.gov](#) for all awards exceeding the current simplified acquisition threshold of \$250,000.
- c.** 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.
- d.** 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](#).

- e. We must comply with the guidelines on government-wide suspension and debarment described in [2 CFR 200.214](#), and must require you to comply with these provisions for all work we fund.
- f. These provisions restrict Federal awards and sub-awards with certain parties that are debarred, suspended or otherwise excluded from or ineligible for participation in Federal programs or activities.

C. DISCLOSURE OF ADMINISTRATIVE PROCESSING BY CONTRACTOR PERSONNEL

We use support contractor personnel to help us with administrative proposal processing. These 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.

D. NO GUARANTEED AWARD

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

VI. FEDERAL AWARD ADMINISTRATION INFORMATION

A. WHITE PAPER SELECTION AND NONSELECTION NOTICES

1. Electronic Notification of White Paper Selection by Friday, 3 December 2021

If your white paper is selected for a full proposal submission and possible award, a notification will be sent to the Applicant via email.

If your white paper is not selected for a full proposal submission for this year's DEPSCoR – Capacity Building funding opportunity, a notification will be sent to the Applicant via email.

If you would like to request written feedback on your white paper submission, you must send the request to the following email address **no later than 11:59 PM Eastern Time on Friday, 10 December 2021**:

DEPSCoR-feedback@noblis.org

2. 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.

B. AWARD NOTICES

1. Electronic Notification of Full Proposal Selection by Monday, 2 May 2022.

If your full proposal submission is selected for award, a notification will be sent to the Applicant via email.

If your full proposal submission is not selected for award for this year's DEPSCoR – Capacity Building funding opportunity, a notification will be sent to the Applicant via email.

If you would like to request written feedback on your full proposal submission, instructions will be provided in the notification email.

2. Federal Award Document

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

3. Electronic Federal Award Distribution

We send award documents to the Applicant and their IHE business office by email. This is called award distribution.

C. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

1. 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>.

2. 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](#), (DoD T&C); and, [32 CFR Part 22 Subpart E](#), incorporated here by reference.

3. Acknowledgement of Research Support

You must acknowledge support provided by the Government in all materials based on or developed under our awards in accordance with [DoDM 5200.01, Volume 2](#) policy. 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 Office of the Under Secretary of Defense for Research and Engineering under award number _____.”

You must require any sub-recipients under your award to also include this acknowledgement.

4. Disclaimer Language for Research Materials and Publications

All materials based on or developed under our awards except scientific articles or papers published in scientific journals must use the following language unless the 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 under your award to also include this acknowledgement.

5. Grants - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards

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

Federal Awards” as modified and supplemented by the Department of Defense’s (DoD) interim implementation in [2 CFR Part 1104](#) and [2 CFR Part 1125](#). Provisions of [Chapter 1, Subchapter C of Title 32, CFR](#), “DoD Grant and Agreement Regulations” other than parts 32 and 33 continue to be in effect and apply as stated.

These regulations are incorporated by reference into this announcement.

6. Conditions of Award for Recipients Other Than Individuals

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.

7. Minimum Record Retention Requirements

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 most recently dated [DoD R&D T&C’s - OAR Article II. Records retention and access](#) describes additional requirements.

Sometimes records must be retained for more than three years.

D. REPORTING

1. 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](#), [2 CFR 200.329](#), and [2 CFR 200.330](#). The DoD R&D T&C’s - [REP Article I. Performance management, monitoring, and 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.

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>.

2. Technical Performance Report Format

Interim and final RPPRs are to be submitted in accordance with reporting requirements identified in the grant document. Typically interim RPPRs are due annually, however the report due dates can vary. A link to the report submission site will be included in the grant award document.

3. Department of Defense (DD) Form 882 Report of Inventions and Sub-awards

a. Invention Reports

(1) You must provide a final invention report on a DD Form 882. Our award documents specify the due date.

You can get the form at:

<https://www.esd.whs.mil/Portals/54/Documents/DD/forms/dd/dd0882.pdf>

(2) You must submit this report even if you do not have a patent to report.

b. Sub-Award Reporting

You must report information about sub-awards and executive compensation in accordance with the terms in [REP Article IV. of the most recently dated DoD T&C's.](#)

4. Standard Form (SF) 425 Federal Financial Report

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

You can get the form at:

<https://www.gsa.gov/forms-library/federal-financial-report>

b. You do not have to submit quarterly SF 425 Federal Financial reports if you only request payments by reimbursement.

5. Electronic Payment Requests and Electronic Payment

You must submit payment requests electronically using the Wide Area Work Flow application. All payments must be made using the electronic funds transfer (EFT) method.

You must register to use WAWF in the Procurement Integrated Enterprise Environment (PIEE) e-Business Suite at <https://piee.eb.mil/>. The website includes registration instructions.

If you have WAWF or PIEE questions or problems, you can get help by telephone at (866) 618-5988, or by electronic mail at disa.global.servicedesk.mbx.eb-ticket-requests@mail.mil, or via the Internet at: <https://piee.eb.mil/xhtml/unauth/web/homepage/vendorCustomerSupport.xhtml>

6. 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 200.330](#) and further implemented for grants by the most recently dated [DoD T&C's - REP Article III. Reporting on Property](#).

7. Other Reports

The Basic Research Office may ask for quarterly 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 Basic Research Office.

8. Electronic Submission of Reports

You must plan on submitting reports electronically through our online service specific portals or by email. Our award documents will provide the specific instructions.

VII. AGENCY CONTACTS

A. TECHNICAL AND PROGRAMMATIC INQUIRIES AND QUESTIONS

Questions of a technical and programmatic nature can be directed to the Basic Research Office Program Manager and **must be sent in writing by email**. You should include FOA-AFRL-AFOSR-2021-0008 in the subject line. All technical discussions must take place prior to white paper submission. After the white paper deadline, applicants may no longer contact the DEPSCoR program manager.

DR. JENNIFER BECKER
Program Manager
Email: jennifer.j.becker.civ@mail.mil

If you submit a question by telephone call, fax machine, or other means you may not receive a response.

B. GENERAL INQUIRIES AND QUESTIONS

General questions about this announcement **must be sent to us by email**. You should include FOA-AFRL-AFOSR-2021-0008 in the subject line.

MRS. ELAINA BARKER
Grants Officer
Email: elaina.barker@us.af.mil

If you submit a question by telephone call, fax machine, or other means you may not receive a response.

VIII. OTHER INFORMATION

A. OMBUDSMAN

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, Grants Officer, 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 disputes. The Ombudsman may refer the party to another official who can resolve the concern.

Before consulting with an Ombudsman, interested parties must first address their concerns, issues, disagreements, and/or recommendations to

the Grants Officer for resolution. Consulting the Ombudsman does not alter or postpone the timelines for any other processes.

If resolution cannot be made by the Grants Officer, 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".

The Ombudsman has no authority to render a decision that binds the agency.

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 Officer.

B. GRANTS OFFICERS AUTHORITY

Grants 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 the DoD.

C. ADDITIONAL FUNDING OPPORTUNITIES

New funding opportunities are posted throughout the year on the AFOSR, ARO, and ONR sites, we encourage you to monitor them for future opportunities and announcements.

AFOSR: <http://www.wpafb.af.mil/afrl/afosr>

ARO: <https://www.arl.army.mil/business/broad-agency-announcements/>

ONR: <https://www.onr.navy.mil/en/work-with-us/funding-opportunities>

Thank you for your interest in this announcement.