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**I. OVERVIEW OF THE FUNDING OPPORTUNITY**

**A. REQUIRED OVERVIEW CONTENT**

1. **Federal Agency Name:** U.S. Army Research Laboratory (ARL), 2800 Powder Mill Road, Adelphi, MD 20783-1197
2. **Issuing Acquisition Office:** U.S. Army Contracting Command, Aberdeen Proving Ground, Research Triangle Park Division, 4300 S. Miami Blvd., Durham, NC 27703
3. **Funding Opportunity Title:** ARL Postdoctoral Fellowship Program (PFP)
4. **Announcement Type:** Initial
5. **Funding Opportunity Number:** W911NF-11-R-0010
6. **Catalog of Federal Domestic Assistance (CFDA) Number(s):** 12.630 - "Basic, Applied, and Advanced Research in Science and Engineering"
7. **Dates:** The following is a summary of the events and dates associated with the ARL Postdoctoral Fellowship Program (PFP) Announcement (PA):

<u>EVENT</u>	<u>ESTIMATED DATE/TIMEFRAME</u>
PA released	30 September 2011
Proposals due	1 November 2011
Evaluation and Negotiations	November 2011
Final Proposals due	December 2011
Award made	January 2012

## B. EXECUTIVE SUMMARY

The purpose of this United States **Army Research Laboratory (ARL) Postdoctoral Fellowship Program (PFP) Program Announcement (PA)** is to solicit offers to provide post-doctoral scientists and engineers of unusual promise and ability opportunities to engage in research on problems, largely of their own choice, that are compatible with the interests of the Government and will potentially contribute to the general effort of ARL. The PFP will further science and technology through fundamental research, with this research having potentially both civilian and military applications.

The objective of the PFP is to have the Recipient, in a collaborative effort with ARL, provide the overall scientific and technical policy, management and such other required functions as detailed in this PA to execute the ARL PFP. Under the PFP, Postdoctoral Fellows and Senior Researchers are sought and selected. These Fellows/Researchers, will perform fundamental research to apply their knowledge and research talents to research areas that are of interest to them and to potentially to ARL.

A Postdoctoral Fellow or Senior Researcher may or may not be an employee of the Recipient (i.e. the Fellow could also be a self-employed guest researcher) but will not be considered an employee of ARL. The Fellow does not perform any service directly for the benefit or use by ARL. He/she performs scholarly fundamental research at ARL and the research should embody original ideas of the Fellow/Researcher. To facilitate this, a competitive application process will be completed that involves writing and submitting a research proposal. ARL will also participate in this application process by providing a written evaluation of the proposal. It is important that the proposal be consistent with ARL facilities and interests and support or stimulate ARL basic and applied research programs.

**Award Instrument:** Subject to the availability of funds, this PA will result in the award of one Cooperative Agreement (CA) as defined at 31 U.S.C. 6305 for execution of the PFP. The CA is subject to the Department of Defense Grant and Agreement Regulations (DoDGARs). The principal purpose of ARL's partnership with the Recipient is to carry out the public purpose of the support or stimulation of basic and applied (fundamental) research in areas of science with potential interest to ARL rather than the acquisition of supplies or services for the direct benefit of the Government. This partnership will result in bringing new talent, ideas and techniques to ARL and will also introduce emerging researchers to the roles and needs of the Warfighter. This partnership will also provide access to ARL's world class research facilities to researchers, while pursuing collaborative fundamental research of mutual interest to the Army and the researcher. Substantial Government involvement is expected through the collaborative planning, management and research to be performed by the participants in the PFP and ARL.

**Period of Performance:** The award, if any, made as a result of this PA will provide for a period of performance of five years.

**Place of Performance:** The Postdoctoral Fellows and Senior Researchers are expected to perform research primarily at the ARL facilities in Adelphi, MD and Aberdeen Proving Ground, MD. However, Fellows/Researchers may perform at other facilities if it is deemed in the best interest of the Government. **Thus, opportunities for participation as a Fellow/Researcher are only open to citizens of the United States.** There is no limitation on the place of performance for all other activities performed by the Recipient to execute the PFP. For proposal preparation purposes, offerors are to assume that 67% of Fellows/Researchers will be performing at Adelphi, MD and 33% of Fellows/Researchers will be performing at Aberdeen Proving Ground, MD.

**Funding:** This PA is issued subject to the availability of funds. The PA provides the estimated number of Postdoctoral Fellows and Senior Researchers, estimated Stipend levels and performance locations, based on historical data. **These numbers are provided in the PA for proposal preparation purposes only. The numbers of Fellows/Researchers, etc. is likely to change during performance.**

**Profit/Fee:** Profit/fee is not permitted under the CA.

**Cost Sharing:** Cost sharing is not required.

**Proposal Submission:** PART II.D of the PA provides information on proposal preparation and submission. Offerors should note that there are page limitations and other requirements associated with the submission process. Proposals in connection with this PA are due by the date and time specified in PART II.D.

**Evaluation and Award:** Evaluation and Award in connection with this PA will be performed in accordance with PART II.E.

**Incumbent Performer:** The ARL PFP is currently being performed under Contract No. W911QX-04-C-0129. The current contractor is Oak Ridge Associated Universities, Incorporated, 100 Orau Way, Oak Ridge, TN 37830-6218.

**Questions & Comments:** All questions or comments concerning this PA must be emailed to christopher.d.justice4.civ@mail.mil. Questions and comments should be concise and to the point. In addition, the relevant part and paragraph of the PA should be referenced. Questions received will be responded to on an individual basis.

## **II. DETAILED INFORMATION ABOUT THE FUNDING OPPORTUNITY**

### **A. FUNDING OPPORTUNITY DESCRIPTION**

#### **1. ARL Background**

The U.S. Army Research Laboratory (ARL) is the Army's corporate, or central, laboratory for materiel technology. Its diverse assortment of unique facilities and its workforce of government engineers and scientists comprise the largest source of world class integrated research and analysis in the Army. ARL's programs consist of basic and applied research and survivability/lethality and human factor analysis. These programs are focused on key non-system specific science and technology that will enable the transformation of the Army into a more versatile, agile, survivable, lethal, deployable, and sustainable force. ARL consists of six directorates and the Army Research Office. These organizations focus on technology areas critical to strategic dominance across the entire spectrum of operations.

By combining its in-house technical expertise with those from academic and industry partners, ARL is able to maximize each dollar invested to provide the best technologies for our Soldiers. ARL also applies the extensive research and analysis tools developed in its direct mission program to support ongoing development and acquisition programs in the Army Research, Development, and Engineering Centers (RDECs), Program Executive Offices (PEOs)/Program Manager (PM) Offices, and Industry. ARL has consistently provided the enabling technologies in many of the Army's most important weapons systems.

The ARL PFP will help to introduce emerging researchers to the roles and needs of the Warfighter as well as provide access to ARL's world class research facilities, while pursuing fundamental research of mutual interest to the Army and the researcher. Postdoctoral and senior level scientists will be bringing new ideas, expertise, approaches, and techniques to ARL. The PFP allows ARL to rapidly build a critical mass of talent in specific research and technology areas. Being involved with research at ARL broadens the Fellows'/Researchers' experience under the mentorship of ARL's excellent scientific staff, thus also enhancing their credentials.

#### **2. Program Participants**

The active participants are the Directorates of the ARL. The Directorates perform basic and applied research from within the broad context of scientific and engineering disciplines. The following is a listing of possible participating Directorates and research areas from each directorate.

##### **I. Computational and Information Sciences Directorate (CISD)**

- Acoustics
- Aerosol physics
- Applied mathematics/CFD
- Artificial intelligence
- Atmospheric characterization
- Atmospheric mitigation and exploitation
- Autonomous processing for robotics and microsystems
- Battlefield atmospheric modeling and simulation
- Battlefield weather data processing

- Computer networking
- Cyber Security/ Information Assurance
- Digital/optical signal processing
- Distributed information processing
- High performance computing
- Information fusion
- Information processing
- Information technology
- Mobile ad hoc networks
- Network modeling and simulation
- Network theory
- Remote sensing
- Scientific visualization
- Simulation technology
- Social network analysis
- Software technology
- Tactical communications and networking
- Tactical computer science
- Wireless sensor networks

## II. Human Research and Engineering Directorate (HRED)

- Biomechanics
- Bone conduction communication
- Control, display, and workstation design
- Human control of automated systems
- Intelligent decision aids and interfaces
- MANPRINT design analysis and integration method
- Moderators of human performance
- Multimodal interfaces
- Neuroergonomics
- Operational neuroscience
- Perceptual, cognitive, and psychomotor performance
- Robotics collaboration
- Simulation and human modeling
- Social Networks Analysis
- Soldier performance measurement
- Spatial sensory perception
- Speech communication

## III. Sensors and Electron Devices Directorate (SEDD)

- Antenna Technology
- Bio-electronics
- Directed Energy
- Electrochemistry
- Electromagnetics
- Electronics
- Flexible Display Devices
- High Power High Frequency Devices
- High Power High Temperature Devices
- Micro & Nanoelectronics
- Microwave/millimeter Wave Radar and Components

Optical Devices & Focal Plane Arrays  
Optoelectronics & Photonics  
Power Components and Sources  
Sensor Technology & Actuator Devices  
Signal & Image Processing (includes sensor integration & fusion)  
Signatures (includes modeling and simulation)

IV. Weapons and Materials Research Directorate (WMRD)

Adhesive Bonding and Joining Technology  
Advanced Armor Materials  
Aerodynamics  
Analytical Chemistry  
Applied Mathematics  
Chemical/Biological Protective Materials  
Combustion Research  
Composite Materials  
Computational Chemistry  
Computational Mechanics  
Corrosion Inhibition  
Electromagnetics  
Electro-Optical Ceramics  
Energetic Materials  
Environmental Chemistry  
Fluid Mechanics  
Guidance, navigation, and control  
High Strain Rate Behavior of Materials  
Lightweight Ballistic Resistant and Structural Materials  
Manufacturing Science and Life Extension  
Materials Processing  
Materials Synthesis and Characterization  
Molecular Electronics  
Molecular Spectroscopy and Chemical Kinetics  
Multifunctional Materials  
Nanoengineered Materials  
Nanomaterials Science and Engineering  
Nanophotonic Materials  
Organic and Inorganic Chemistry  
Penetration Mechanics  
Physics  
Physical Chemistry  
Polymer Science  
Surface Science  
Thin-film Dielectric Materials  
Weapons Technology Analysis

VI. Vehicle Technology Directorate (VTD)

Active Controls  
Aeromechanics  
Autonomous Robot Control  
Computational Fluid Dynamics

Computational Lifting Methods  
Computational Structural Dynamics  
Design Methodologies, Tools, and Techniques  
Engines  
High Fidelity Vehicle Analysis  
Learning and Adaptation for Robotic Systems  
Microsystem Mechanics  
Multifunctional Structures  
Non-Linear Structural Analysis and Methods  
Prognostics and Diagnostics  
Propulsion Drives  
Propulsion Materials  
Reduced Order Modeling  
Robotics Manipulation  
Robotic Mobility  
Robotic Perception  
Rotorcraft Aeroelasticity  
Structural Mechanics  
Technology Identification and Evaluation  
Vehicle Dynamics  
Vertical Lift Design and Analysis

### **3. Program Description**

ARL historically has partnered with academia and industry to participate in ARL PFP. This participation brings new talent, ideas and techniques to ARL. The principal purpose of ARL's partnership with the Recipient is to support and stimulate the furthering of science through the performance of fundamental research. Substantial Government involvement is expected through the collaborative research to be performed by the Fellows/Researchers and the scientists and engineers of ARL.

In addition to the overarching description of ARL PFP above, the following are classifications of the participants:

- Postdoctoral Fellows- Applicants must have received the Ph.D., Sc.D. or other earned research doctoral degree from an accredited university or college, or must present acceptable evidence of having completed all formal academic requirements for one of these degrees before appointment. Postdoctoral Fellows must be available for a tenure period of performance of one year. The period of performance may be extended an additional two years by one year increments with approval by the Cooperative Agreement Manager (CAM).
- Senior Researchers- Senior Researchers are applicants who have held the doctorate five years or more at the time of application or to persons who hold a permanent appointment in academia, government, or industry and have research experience that has resulted in significant contributions and recognition as established investigators in their specialized fields. The period of performance for Senior Researchers is usually for one year; however, periods of three months or longer may be considered. Based on an annual evaluation and recommendation by the ARL advisor, the period of performance may be extended for a total of up to 3 years with approval by the CAM.



- Summer Faculty Fellows- Summer Faculty Fellows must meet the requirements of the Postdoctoral Fellows or the Senior Researchers described above. The Summer Faculty Fellows participation will be for a term not to exceed 20 weeks.

It is the intent of this PA to solicit the most creative, innovative, and effective approaches to the execution of the ARL PFP. In response to the PA, offerors should be prepared to:

- Formulate an advertising plan to attract qualified applicants based on the ARL mission and capabilities. This plan should consider issues such as potential sources of applicants, *e.g.*, major domestic colleges, universities, (Historically Black Colleges and Universities (HBCUs), Minority Serving Institutions (MSIs); various types of methods to disseminate information (*e.g.*, professional trade journals, and professional society meetings and seminars; different ways to advertise (*e.g.*, electronic and print media) and implementation methods.
- Prepare Marketing Materials annually, in collaboration with the CAM, to outline the ARL PFP. At a minimum the marketing materials should contain or identify web links that contain: (a) Information considered in advertisements as described above; (b) Information concerning background and accomplishments of ARL; (c) information on the history and accomplishments of ARL through the ARL Public Affairs Officer.
- Establish an application process to solicit the interest of qualified individuals (*i.e.* postdoctoral and senior level scientists and engineers) with interests in Research that is consistent with the ARL mission.
- Establish a competitive review process for the review of applications and the selection of the various types of applicants. Identify the process by which the applications will be reviewed, vetted, approved and recommended to ARL.
- Identify a management structure and plan to address the management required for successful execution of the PFP, to include items such as progress reports and evaluations for each Fellow, recordkeeping requirements, payment and financial reports.

In order for the ARL PFP to be successful, the Recipient must have familiarity with the ARL programs and functions and the needs of ARL and its Directorates. The Recipient must have an understanding of the sciences involved in the ARL mission and be able to communicate it effectively to candidates.

#### **4. Funding**

The Recipient will be funded under the CA under 2 line items (CLINs) for each Postdoctoral Fellow or Senior Researcher. One CLIN will be for the payment of actual costs directly related to the Postdoctoral Fellow or Senior Researcher (*i.e.* stipend, insurance, relocation, etc.). NOTE: A new CLIN will be established for each Fellow/Researcher. The other CLIN will encompass all other costs associated with the execution of the PFP, at an agreed-to amount per Fellow/Researcher. Funding will be added to this CLIN each time a Fellow/Researcher is added to the CA.

The Recipient will pay each stipend in equal monthly installments, issued at the end of each month. Generally, the stipend will be equivalent to the current General Schedule Locality Pay

Table for the appropriate geographical area, issued by the U.S. Office of Personnel Management, at a level of Grade 12. For first year Postdoctoral Fellows, a Grade 12, Step 1 will be used. For each year the Postdoctoral Fellow is extended, the stipend is to be increased to coincide with the next Step level. For Senior Researchers, the Recipient will propose a Step level to be used commensurate with the credentials of the Senior Researcher. The Step level must be approved by the CAM prior to the Senior Researcher performing under the CA. Occasionally certain scientific and engineering fields have been qualified for special (accelerated) pay by the Government, with additional funds for experience. Any such special pay or additional funds must be approved by the CAM prior to performance under the CA. A Postdoctoral Fellow or Senior Researcher may request and receive a stipend advance (interest free) at the beginning of his/her tenure. The advance will be paid back by equal monthly deductions from the regular monthly stipend.

For proposal preparation purposes, set forth below are the projected numbers of Fellows and Researchers by year. Offerors are to assume that approximately half of the Postdoctoral Fellows will be Step 1 level and the other half will be Step 2 level. For Senior Researchers, offerors are to use a Step 5 level. For Summer Faculty, offerors are to assume that there will be one Senior Research (Step 5 level) and the remaining are Postdoctoral Fellows to be proposed at a Step 1 level.

	<b>Yr 1</b>	<b>Yr 2</b>	<b>Yr 3</b>	<b>Yr 4</b>	<b>Yr 5</b>
<b>Postdoctoral Fellow</b>	26	37	37	37	37
<b>Senior Researcher</b>	6	6	6	6	6
<b>Summer Faculty</b>	5	6	6	6	6

The Recipient will also approve and provide reimbursement for relocation expenses and other program-related travel expenses for Postdoctoral Fellows and Senior Researchers. These costs must be determined reasonable prior to the performance by the Fellow/Researcher. Only US approved carriers will be reimbursed.

The Recipient will provide insurance coverage to Fellows and their families. The minimum type and amount shall be a workman's compensation type coverage that will pay 100% of medical costs associated with work related injury. The Recipient will also provide to the Fellows and their families the opportunity to enroll in a group health insurance program provided by the Recipient.

Notwithstanding the above, the funding for this CA shall not exceed the limit of \$5 million a year or \$25 million over the 5 years of performance of the award.

**5. Intellectual Property** - The Intellectual Property Rights contained in 32 CFR 32.36 or 34.25, as applicable, and the patent rights clause at 37 CFR 401.14, will be incorporated by reference into the CA award. In addition, the participants recognize that this program may result in intellectual property that is generated by the Recipient or Sub-recipient personnel and Government personnel. Should this occur, the parties agree to use their best efforts to mutually agree to an equitable distribution of property rights and distribution of filing fees or other administrative costs. Should the parties reach an impasse in determining the distribution of property rights, the parties shall resort to the Disputes, Claims, and Appeals Process as set forth at 32.CFR 22.815.

**6. Management**

#### **a. Overall Management Concept**

The following flexible framework is required for the management and oversight of the CA. It consists of parallel managers from ARL and the Recipient who will provide day-to-day coordination. A description of each component of Management follows:

- **Cooperative Agreement Manager (CAM).** The Government's technical representative from ARL charged with the overall responsibility of management and guidance of the CA. The ARL Grants Officer will receive recommendations from the CAM and will be the ultimate legal authority empowered to make formal adjustments in the CA.
- **Recipient Program Manager (RPM).** The RPM is the Recipient's technical representative charged with the Recipient's overall responsibility of management and guidance of the CA.
- **Grants Officer** -- Is the Government's principal point of contact for all administrative, financial or other nontechnical issues arising under the CA.

#### **b. Agreement Administration**

During the course of performance, the Grants Officer, in coordination with the CAM, will have approval authority for certain specific changes to the CA including but not limited to:

- The absence for more than three months, or a 25% reduction in time devoted to the project, by the approved RPM;
- The need for additional Federal funding; and
- Any subaward, transfer, or contracting out of substantive program performance under an award, unless described in the application and funded in the approved awards.

### **B. AWARD INFORMATION**

One CA will be awarded as a result of this PA. Should your proposal be selected for award, you will be contacted telephonically or via email by the Grants Officer or his/her representative. At that time the offeror will be asked to execute the CA. Award is not made until the CA is signed by both the successful offeror and the Grants Officer. Substantial Government involvement is expected throughout the five year agreement.

### **C. ELIGIBILITY INFORMATION**

#### **1. Eligible Applicants**

**To be qualified, a potential applicant must:**

- Have the management capability and adequate financial and technical resources, given those that would be made available through the CA, to execute the program of activities envisioned under the CA.
- Have a satisfactory record of executing such programs or activities (if a prior recipient of an award).
- Have a satisfactory record of integrity and business ethics.
- Be otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulation.

In deciding whether a recipient is otherwise qualified, the Grants Officer shall ensure that the potential recipient: is not identified in the Government wide Excluded Parties List System (EPLS) as being debarred, suspended, or otherwise ineligible to receive the award; has provided all certifications and assurances required by Federal statute, Executive order, or codified regulation, unless they are to be addressed in award terms and conditions at the time of award; and meets any eligibility criteria that may be specified in the statute authorizing the specific program under which the award is being made.

## **2. Cost Sharing Or Matching**

Cost sharing or matching is not required.

## **3. Dun and Bradstreet Universal Numbering System (DUNS) Number and Central Recipient Registration (CCR)**

### *I. Central Recipient Registration and Universal Identifier Requirements.*

*A. Requirement for recipients.* Unless you are excepted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the Central Recipient Registration (CCR) until you submit the final financial report required under this award or receive the final payment, whichever is later.

*B. Requirement for subrecipients.* If you are authorized to make subawards under this award, you:

1. Must notify potential subrecipients that no entity (*see* definition in para C of this award term) may receive a subaward from you unless the entity has provided its Data Universal Numbering System (DUNS) number to you and is registered in the CCR.
2. May not make a subaward to an entity unless the entity has provided its DUNS number to you and is registered in the Central Recipient Registration.

*C. Definitions.* For purposes of this award term:

1. *Central Recipient Registration (CCR)* means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>).
2. *Data Universal Numbering System (DUNS) number* means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).
3. *Entity*, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:

- a. A Governmental organization, which is a State, local government, or Indian tribe;
- b. A foreign public entity;
- c. A domestic or foreign nonprofit organization;
- d. A domestic or foreign for-profit organization; and
- e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

4. *Subaward*:

- a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
- b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. \_\_.210 of the attachment to OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations”).
- c. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

5. *Subrecipient* means an entity that:

- a. Receives a subaward from you under this award; and
- b. Is accountable to you for the use of the Federal funds provided by the subaward.

## D. APPLICATION AND SUBMISSION INFORMATION

### 1. Address to Request Application Package -

Proposals shall be submitted electronically through the [www.grants.gov](http://www.grants.gov) portal. Proposals sent by fax or email will not be considered.

**Registration Requirements for [www.grants.gov](http://www.grants.gov):** There are several one-time actions that an offeror must complete in order to submit an application through Grants.gov (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the Central Contract Registry (CCR), register with the credential provider, and register with Grants.gov). See [www.grants.gov/GetRegistered](http://www.grants.gov/GetRegistered) to begin this process. Use the Grants.gov Organization Registration Checklist at [www.grants.gov/Applicants/get-registered.isp](http://www.grants.gov/Applicants/get-registered.isp) to guide you through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in the CCR registration process. Applicants, who are not registered with CCR and Grants.gov, should allow at least 21 days to complete these requirements. It is suggested that the process be started as soon as possible.

**Questions:** Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov).

### 2. Content and Form of Application Information

Application forms and instructions will be available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select "Apply for Grants", and then select "Download an Application Package." Enter the funding opportunity number, W911NF-11-R-0002.

NOTE: Compatible versions of Adobe Reader are currently 8.1.1 and 8.1.2. You will be asked to specify your Operating System (examples: Windows, Mac) and Version (examples: XP, Vista, 10.4.9) be sure to specify Adobe Reader Version 8.1.2 to get the compatible version to apply for grants on Grants.gov. Click here to download version 8.1.2 from Adobe Website: [http://www.adobe.com/products/acrobat/readstep2\\_allversions.htm](http://www.adobe.com/products/acrobat/readstep2_allversions.htm).

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

The following formatting rules apply for the file attachments:

Paper size when printed – 8.5 x 11 inch paper

Margins – 1 inch

Spacing – single

Font – No smaller than Times New Roman, 10 point

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

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

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

- Project Narrative (Field 8 on the form) - Chapters and Numbers of pages – Field 8 is to contain the chapters set forth below and may not exceed the stipulated page counts for those chapters. Pages in excess of the page limits may be removed for the evaluation of the proposal.
- Chapter 1 - **Recruitment Plan**. The pages included in Chapter 1 shall be numbered. Offerors are advised that Chapter 1 **shall not exceed 20 pages**, utilizing one side of the page.
- Chapter 2 - **Management and Execution Plan**. The pages included in Chapter 2 shall be numbered. Offerors are advised that Chapter 2 of the proposal **shall not exceed 20 pages**, utilizing one side of the page.
- Chapter 3 - **Past Performance Information** - The pages included in Chapter 3 shall be numbered. Offerors are advised that Chapter 3 of the proposal **shall not exceed 10 pages**, utilizing one side of the page.
- Chapter 4 - **Biographical Sketches** - Biographical sketches shall be limited to two (2) pages per individual, with no limitation on the number of individuals.

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

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

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

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

1. Attach the Cost Proposal. **Cost Proposal shall include the entire cost submission for the PFP for the five years of performance. The Cost Proposal shall be divided into 2 sections, one for the proposed costs related to the Fellow/Researchers (as described above) and the second for the proposed cost of the execution of the PFP.** The cost portion of the proposal shall contain cost estimates sufficiently detailed for meaningful evaluation. For budget purposes, assume a performance start date of **1 January 2012**. The proposed amounts shall not exceed the funding ceilings identified for this program. For all proposals, the elements of the budget should include:

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

## 2. SF-LLL - Disclosure of Lobbying Activities

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

agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying."

### **3. Submission Dates and Times**

Proposals are due by 3:00 pm (Local North Carolina, USA time), 17 October 2011.

After a proposal is submitted through Grants.gov, the Authorized Organization Representative (AOR) will receive a series of three e-mails. It is extremely important that the AOR watch for and save each of the e-mails. Offerors will know that the proposal has been properly received when the AOR receives e-mail Number 3. Retain the Submission Receipt Number (e-mail Number 1) to track a submission. The three e-mails are:

Number 1 – The AOR will receive a confirmation page upon completing the submission to Grants.gov. This confirmation page is a record of the time and date stamp for the submission.

Number 2 – The AOR will receive an email indicating that the proposal has been validated by Grants.gov within a few hours of submission. (This means that all of the required fields have been completed.)

Number 3 – The third notice is an acknowledgment of receipt in email from Grants.gov. The email is sent to the AOR for the institution. The email notes that the proposal has been received and provides the assigned tracking number. **THE PROPOSAL IS NOT CONSIDERED PROPERLY RECEIVED UNTIL THE AOR RECEIVES EMAIL #3.**

### **4. Intergovernmental Review - Not applicable**

### **5. Funding Restrictions - See PART II.A above**

### **6. Other Submission Requirements - None**



## **E. APPLICATION REVIEW INFORMATION**

### **1. Proposal Evaluation Criteria**

The following represents the evaluation criteria for this PA:

The award decision will be based on an overall evaluation of each offeror's proposal in accordance with the factors set forth below. The four factors are: (A) Recruitment Plan, (B) Management Plan (C) Past Performance, and (D) Cost.

#### **FACTOR A – RECRUITMENT PLAN**

Evaluation of this factor includes the Offeror's proposed plan for recruitment of the Postdoctoral Fellows and Senior Researchers. As part of the proposal, the offeror is to describe the proposed plan to effectively market /publicize the ARL PFP to attract high quality applicants. Further, the proposed plan is to describe the proposed competitive application review process. The plan shall include: the various methods by which the offeror will market and publicize the program to include citing specific organizations that will be targeted; the methods by which those specific organizations will be marketed to ensure the participation of the highly qualified applicants; and, the appropriateness / demonstrated effectiveness of the usages of the approaches upon the targeted organizations. The plan should demonstrate the offeror's ingenuity and novel means to convey the program in a manner that will effectively optimize the objective and engage high quality applicants. Targeted societies and schools include, but are not limited to, accredited universities, engineering schools, and professional engineering societies. The proposed plan should also demonstrate the ease of application to the targeted audience and applications should include appropriate references. The plan should evidence familiarity with ARL and the plans to work with ARL throughout the recruitment process. The plan should evidence the inclusion of the appropriate technical expertise and subject matter experts required to execute a competitive selection process that is expected to result in the recruitment of applicants of the highest caliber. Offerors shall provide documentation supporting the availability, experience and qualifications of proposed technical experts / organizations. Documentation may include, but not be limited to: prior use of the expert to review post-doctoral qualifications, agreements with scientific organizations / individuals, etc. Evaluation of this factor also includes evaluation of the qualifications and credentials of those involved in the recruitment process for applicants of the ARL PFP.

#### **FACTOR B – MANAGEMENT AND EXECUTION PLAN**

Evaluation of this factor includes the Offeror's proposed plan for management and execution of the PFP. Evaluation includes the following areas: the adequacy of the management plan and organizational structure to ensure a successful program; demonstrated understanding/ ability to manage the day-to-day needs of the Fellows/Researchers participating in the PFP; and the plan for submission of reports to the Army, evaluations for each Fellow/Researcher and recording keeping, payments and financial reporting. Evaluation of this factor also includes evaluation of the qualifications and credentials of those involved in the management and execution of the ARL PFP.

#### **FACTOR C - PAST PERFORMANCE**

Offeror's probability/likelihood of successful performance based on the offeror's demonstrated experience in working / managing programs of a similar nature. The Government will consider the

offeror's record of complying with the requirements in the areas of schedule, technical quality, and cost control. Offerors are requested to provide three examples of similar efforts being performed. Offerors are requested to describe the dollar amount of the agreements, periods of performance, number of Fellows/Researchers supported, Customers, and Customer contact information (which may be used to verify the information provided in the proposal.)

An offeror with no past performance information will be treated as neutral, which is neither a positive or negative assessment, but an offeror with a positive past performance assessment will be viewed more favorably than an offeror with a neutral or negative past performance rating.

#### **FACTOR D - COST**

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

#### **RELATIVE IMPORTANCE OF EVALUATION FACTORS**

Evaluation factors are listed in descending order of importance, with Factor A, accounting for approximately half of the weight. Cost is not weighted, however, as the other Factor ratings of the proposals become closer, the importance of cost increases.

#### **2. Review and Selection Process**

All information necessary for the review and evaluation of a proposal must be contained within the proposal. No other material will be provided to those evaluating proposals.

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

Proposals that are in compliance with the requirements of the PA will be evaluated in accordance with the evaluation factors described above using an adjectival and color rating system.

Award will be based on an integrated assessment of each offeror's ability to satisfy the PA requirements. The Government reserves the right to award without discussions. If discussions are held, offerors in the competitive range will be invited to submit Final Proposal Revisions which will be evaluated using the same evaluation procedures as were used in the initial proposals. The Government will make award to the offeror, conforming to the PA, which offers the best value to the Government, cost and other factors considered. Further, award may be made to other than the offeror who offers the lowest cost proposal. ARL reserves the right not to make an award should no acceptable offer be submitted.

**3. Recipient Qualification** - See **PART II.C.1** above.

**4. Anticipated Announcement And Award Dates** - See **PART I** above.

#### **F. AWARD ADMINISTRATION INFORMATION**

## **1. Award Notices**

Should your proposal be selected for award, you will be contacted telephonically or via email by the Grants Officer or his/her representative. At that time the offeror will be asked to execute the CA. Award is not made until the CA is signed by both the successful offeror and the Grants Officer.

## **2. Administrative And National Policy Requirements**

Offerors must comply with National Policy Requirements Matrix Appendix "C" found at <http://www.nsf.gov/bfa/dias/policy/rtc/appc.pdf>.

## **3. Reporting – The following reporting requirements will be included in any resulting CA award:**

### **a. Monthly Performance and Cost Report**

The report will account for all finances, accrued and disbursed, during the reporting period. This report will provide detail separated by CLIN. This report will include receipts and disbursements, travel, and other benefits for the fellows. The report will also include and sum admin costs by the categories of:

TRAVEL,  
ADVERTISING,  
OFFICE COSTS,  
SALARIES,  
OTHER  
Total

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

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

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

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

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

### **b. Joint Papers and Presentations**

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

**c. Journal Articles**

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

**d. Fellow/Researcher Progress Reports and Final Report**

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

**e. Annual and Final Reports**

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

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

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

One (1) copy of the Final Report shall be provided to:  
Defense Technical Information Center (DTIC)  
8725 John J. Kingman Road, Suite 0944  
Ft. Belvoir, VA 22060-6218.

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

1. Reporting period end dates fall on the end of the calendar year for annual reports (12/31) and the end date of the grant project or period for the final report. Annual reports are due 30 days after the reporting period end date, and the final report is due 90 days after the end date of the grant.

All financial reports shall be submitted to the Grant Administration Office. Copies of the forms and instructions may be found on the Internet at <http://www.aro.army.mil/forms/forms2.htm>.

The Recipient shall make distribution of the Annual and Final (SF425) Reports as follows:

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

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

## **g. Federal Funding Accountability And Transparency Act (FFATA) Reporting**

### Appendix A to Part 170 - Award Term

#### I. Reporting Subawards and Executive Compensation.

##### A. Reporting of first-tier subawards.

1. Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e of this award term).

2. Where and when to report.

i. You must report each obligating action described in paragraph a.1. of this award term to [www.frs.gov](http://www.frs.gov).

ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

3. What to report. You must report the information about each obligating action that the submission instructions posted at [www.frs.gov](http://www.frs.gov) specify.

##### B. Reporting Total Compensation of Recipient Executives.

1. Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if –

i. The total Federal funding authorized to date under this award is \$25,000 or more;

ii. In the preceding fiscal year, you received—

(a) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(b) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

2. Where and when to report. You must report executive total compensation described in paragraph b.1. of this award term:

i. As part of your registration profile at [www.ccr.gov](http://www.ccr.gov).

ii. By the end of the month following the month in which this award is made, and annually thereafter.

### C. Reporting of Total Compensation of Sub-recipient Executives.

1. Applicability and what to report. Unless you are exempt as provided in paragraph D. of this award term, for each first-tier sub-recipient under this award, you shall report the names and total compensation of each of the sub-recipient's five most highly compensated executives for the sub-recipient's preceding completed fiscal year, if -

- i. In the sub-recipient's preceding fiscal year, the sub-recipient received –
  - (a) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
  - (b) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and
- ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/excomp.htm>.)

2. Where and when to report. You must report sub-recipient executive total compensation described in paragraph C.1. of this award term:

- i. To the Recipient.
- ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the sub-recipient by November 30 of that year.

### D. Exemptions.

1. If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

- i. subawards, and
- ii. The total compensation of the five most highly compensated executives of any sub-recipient.

### E. Definitions. For purposes of this award term:

1. Entity means all of the following, as defined in 2 CFR part 25:

- i. A Governmental organization, which is a State, local government, or Indian tribe;
- ii. A foreign public entity;
- iii. A domestic or foreign nonprofit organization;
- iv. A domestic or foreign for-profit organization;
- v. A Federal agency, but only as a sub-recipient under an award or subaward to a non-Federal entity.

2. Executive means officers, managing partners, or any other employees in management positions.

3. Subaward:

- i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the Recipient award to an eligible sub-recipient.
- ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").
- iii. A subaward may be provided through any legal agreement, including an agreement that you or a sub-recipient considers a contract.

4. Sub-recipient means an entity that:

- i. Receives a subaward from you (the Recipient) under this award; and
- ii. Is accountable to you for the use of the Federal funds provided by the subaward.

5. Total compensation means the cash and noncash dollar value earned by the executive during the Recipient's or sub-recipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

- i. Salary and bonus.
- ii. Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
- iii. Earnings for services under nonequity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- iii. Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- iv. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
- v. Above-market earnings on deferred compensation which is not tax-qualified.
- vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

#### **4. Award Term for Recipient Integrity and Performance Matters**

##### *I. Reporting of matters related to recipient integrity and performance.*

A. General reporting requirement. If there is any period of time during which the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal agencies exceeds \$10,000,000, then you as the recipient are required during that period of time to maintain the currency of information about all civil, criminal, or administrative proceedings described in para B. of this award term that reached their final disposition during the most recent 5-year period. This is a statutory requirement under section 872 of Public Law 110-417.

B. Proceedings about which you must report. During any period of time when you are subject to the requirement in paragraph A. of this award term, submit information about each proceeding that is connected with the award or performance of a grant, cooperative agreement, or procurement contract from either the Federal Government or a State, and is:

1. A criminal proceeding that resulted in a conviction;
2. A civil proceeding that resulted in a finding of fault and liability and your paying a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;
3. An administrative proceeding, as defined in paragraph e. of this award term, that resulted in a finding of fault and liability and your payment of either monetary fine or penalty of \$5,000 or more or a reimbursement, restitution, or damages in excess of \$100,000; or
4. Any other criminal, civil, or administrative proceeding if:
  - a. It is practical for you to judge that it could have led to an outcome described in paragraph B.1, 2, or 3 of this award term;
  - b. It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and
  - c. The requirement in this award term to disclose information about the proceeding does not conflict with applicable laws and regulations.

C. *Reporting procedures.* Submit the information specified at the Federal Awardee Performance and Integrity Information System, or FAPIIS (when it is available, the FAPIIS Web site should provide information on how and where to enter the information), about each proceeding described in paragraph B. of this award term, in accordance with the procedures specified at that Internet site. You do not need to submit the information a second time under assistance instruments that you received if you already submitted the information to FAPIIS because you were required to do so under Federal procurement contracts that you were awarded.

D. *Reporting frequency.* During any period of time when you are subject to the requirement in paragraph A. of this award term, you must report to FAPIIS no less frequently than semiannually following your initial report of any proceedings for the most recent 5-year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report.

E. *Definitions.* For purposes of this award term:

1. *Administrative proceeding* means any Federal Government, State, or local or foreign government proceeding, other



than a criminal or civil proceeding, to render a decision concerning an entity's alleged violation of or failure to comply with a Federal, State, local, or foreign statute or regulation if the proceeding may result in both:

- i. A finding of fault or misconduct; and
- ii. Imposition of a fine or penalty, assessment of damages, or a requirement for restitution or repayment.

2. *Total value* of currently active grants, cooperative agreements, and procurement contracts includes the value of all options, even if not yet exercised.

## **G. AGENCY CONTACTS**

Questions or comments concerning this PA will be directed to Mr. Chris Justice by email at christopher.d.justice4.civ@mail.mil. Questions and comments should be concise and to the point. In addition, the relevant part and paragraph of the PA should be referenced. Responses to questions received will be responded to via email.