ANNOUNCEMENT FOR
THE DEPARTMENT OF DEFENSE
DEFENSE UNIVERSITY RESEARCH INSTRUMENTATION PROGRAM
FISCAL YEAR 2002
AFOSR BAA 2001-3

Army Research Office
Office of Naval Research
Air Force Office of Scientific Research
Ballistic Missile Defense Organization

in cooperation with the Office of
the Deputy Under Secretary of Defense
for Science and Technology
I. INTRODUCTION

The Department of Defense (DOD) announces the Fiscal Year (FY) 2002 Defense University Research Instrumentation Program (DURIP), a part of the University Research Initiative (URI). This program will be administered through the Army Research Office (ARO), the Office of Naval Research (ONR), the Air Force Office of Scientific Research (AFOSR), and the office of the chief scientist of the Ballistic Missile Defense Organization (BMDO). DURIP is designed to improve the capabilities of U.S. institutions of higher education to conduct research and to educate scientists and engineers in areas important to national defense by providing funds for the acquisition of research equipment.

II. GENERAL INFORMATION

Through this DURIP competition, DOD intends to award approximately $45 million for FY2002, subject to the availability of funds. These funds will be awarded via grants made by ARO, ONR, AFOSR, and BMDO (henceforth referred to as “agencies”). Grants will be for the purchase of research equipment costing more than $50,000, for items that typically cannot be purchased within the budgets of single-investigator awards. In FY2001, 242 awards totaling $45 million were made. Awards ranged from $50,000 to $1,000,000, averaging $186,000; very few awards exceeded $450,000.

This announcement seeks proposals to purchase instrumentation in support of research areas of interest to DOD, as described in Section V of this announcement. Potential proposers may contact the appropriate program managers from each agency, identified within the announcements listed in Section V, to explore possible mutual interests before submitting proposals.

III. CONDITIONS

This competition is open only to U.S. institutions of higher education (hereafter referred to as universities), with degree granting programs in science, math, and/or engineering.

DURIP funds will be used for the acquisition of major equipment to augment current or develop new research capabilities to support research in the technical areas of interest to DOD. Individual proposals may request funding for more than one instrument if the requested pieces comprise a “system” that is used for a common research purpose. Proposals for purely instructional equipment are not eligible. General-purpose computing facilities are not appropriate for DURIP funding, but requests for computers for DOD-relevant research programs are appropriate.

Proposals to purchase instrumentation may request $50,000 to $1,000,000. No proposals requesting less than $50,000 or more than $1,000,000 will be considered. DURIP proposals may request partial funding (not to exceed $1,000,000) for purchase of instrumentation costing more than $1,000,000, to the extent that the proposals include firm commitments for the balance of the funding needed to purchase the instrumentation. DURIP awards are typically one year in length.

Sufficient funds are not available to meet all of the instrumentation needs of the universities. Awards, therefore, will be restricted to universities conducting, or demonstrably capable of conducting (with the proposed new equipment), research in the areas of interest to DOD.

Funds provided under DURIP may not be used for the construction or modification of buildings, building support systems (e.g. heating/ventilation/air conditioning, plumbing, and electrical), or fixed equipment (e.g. clean rooms and fume hoods). Proposed budgets can include costs (e.g. machine shop expenses) for constructing, assembling and/or installing equipment, but the budget may not request funding for salaries. Costs for continued operation and maintenance are not eligible for consideration.

A central purpose of the DURIP is to provide equipment to enhance research-related education. Therefore proposals must address the impact of the equipment on the institution’s ability to educate, through research, students in disciplines important to DOD missions. See evaluation criterion number 3 under Section VII.

Proposals are encouraged from Historically Black Colleges and Universities and Minority Institutions (HBCU/MI), as defined by 10 U.S.C. 2323 (the Department of Education maintains the list of U.S. accredited postsecondary institutions that currently meet the statutory criteria for identification as minority institutions at the following web site: http://www.ed.gov/offices/OCR/minorityinst.html). However, no funds are specifically allocated for HBCU/MI participation.
IV. DATES

The appropriate office per Section VI must receive proposals, in the quantity and format described herein, no later than 4:00 p.m. EDT (Eastern Daylight Time) on Thursday, 23 August 2001.

Acknowledgement of receipt of a DURIP proposal will be accomplished following receipt of the proposal via the receipt (proposing institution must affix proper postage) at Appendix A of this announcement. No separate acknowledgement will be provided.

Decisions are expected to be announced on or about 1 February 2002, via letter to the Principal Investigator. Awards are expected to be in place by 1 April 2002; this must be cited as the start date of the proposal and associated budget. Awards will be administered through the participating agencies.

V. AREAS OF INTEREST

Proposals for equipment that will be used to perform research in areas important to national defense, including areas of research supported by the administering agencies and other program offices and laboratories of the Army, Navy, Air Force and DOD agencies, will be considered. The research areas of interest for the administering agencies are available on-line at the following addresses:

Army Research Office:
http://www.aro.army.mil/ (select “Funding Opportunities”)
See BAA DAAD19-00-R-0010
The help line is available at 919-549-4375

Office of Naval Research:
http://www.onr.navy.mil/ (select “Science and Technology”)

Air Force Office of Scientific Research:
http://www.afosr.af.mil/ (select “Research Opportunities”)
The help line is available at 301-975-0103 from 8:30 to 5:00 p.m. EDT

Ballistic Missile Defense Organization:

For detailed information regarding technical goals, potential proposers are advised to consult the announcements cited above and may contact DoD program managers therein to explore mutual interest before submitting proposals. The agency whose research interest best matches the research to be facilitated by the requested instrumentation should be listed on the cover as the “primary reviewing agency.” To assist in directing the proposal to the most appropriate component of that agency for review, also list the most appropriate Division/Directorate/Office (available from the on-line list of research interests cited above) of that agency.

In some cases, proposed instrumentation and associated research may be relevant to more than one of the participating agencies. In such cases, proposers can request that a proposal be reviewed at more than one agency. To do so, identify on the proposal cover (Appendix B) a primary reviewing agency as well as any other reviewing agency having a research area of interest that is addressed directly by the DURIP proposal. The original proposal and five (5) copies must be delivered to the mailing address listed for the primary reviewing agency; five additional copies of the proposal must be delivered to the mailing address for each of the other reviewing agencies listed on the cover.

VI. PROPOSALS

A. Proposal Submission

A proposal signed by the appropriate university officials and marked “ORIGINAL,” along with five copies of the signed original, must be delivered to the mailing address listed for the primary reviewing agency (see below). The proposer may submit to more than one agency, but only one DURIP award will be made. Five copies, each with a proposal cover (Appendix B), must be delivered to the mailing address for each additional agency to which the proposal is being submitted. All copies must indicate all participating agencies receiving the proposal for review. Proposals submitted in whole or in part by electronic media (computer disk or tape, facsimile machine, electronic mail, etc.) will not be accepted.
To be eligible for consideration, proposals must bear Appendix B as a cover. The original proposal and each copy must include this cover. No other sheets of paper should precede this cover.

Proposals must be received at the appropriate office, listed below, no later than 4:00 p.m. EDT on Thursday, 23 August 2001, to be considered for an award via the FY2002 DURIP announcement. Mailing addresses for FY2002 DURIP proposals being submitted to the agencies are:

Use this address for commercial carriers for ARO:
Army Research Office
ATTN: AMSRL-RO-RI DURIP
4300 South Miami Boulevard
Durham, NC 27703-9142
(919) 549-4207
Point of Contact: Dave Seitz

Use this address for U. S. mail for ARO:
Army Research Office
ATTN: AMSRL-RO-RI DURIP
P. O. Box 12211
Research Triangle Park, NC 27709-2211

Office of Naval Research
ATTN: Mailroom (DURIP/ONR 363)
800 N. Quincy Street, Room 304
Arlington, VA 22217-5660
(703) 696-4111
Point of Contact: Paula Barden

Air Force Office of Scientific Research
ATTN: NI/DURIP
801 North Randolph Street, Room 732
Arlington, VA 22203-1977
(703) 696-7315
Point of Contact: Spencer Wu

Ballistic Missile Defense Organization
7100 Defense; BMDO-ST (DURIP)
The Pentagon:
Washington, DC 20301-7100
(703) 697-3577
Point of Contact: Dr. Juergen L. W. Pohlmann

Proposals received after the above exact time will be processed according to Appendix C: Late Submissions.

Please note that proposals delivered by commercial carriers are considered “hand carried” and that no exceptions can be made to allow such proposals to be considered if, for any reason, they are received after the deadline. Offerors are advised that some proposals responding to past announcements that were sent via commercial carriers were delayed during shipment and arrived after the deadlines, typically by one or two days. To decrease the probability that proposals delivered by commercial carriers will arrive after the deadline and thus be ineligible to compete, offerors are encouraged to schedule delivery to occur before the deadline date.

To obtain acknowledgement of receipt of your DURIP proposal, please address Appendix A to the Principal Investigator, affix proper postage, and CLIP TO ORIGINAL COPY OF THE PROPOSAL (do not tape or staple).

Each proposal should be TYPED, 10-12 PITCH, one sided, on 8 1/2 x 11 inch white paper, stapled or bound, and NO LONGER THAN 25 PAGES, ALL INCLUSIVE. The cover is not included in the 25-page limit. Separate attachments, such as institutional brochures or reprints, will not be accepted. Plastic covers or binders should not be used.

B. Proposal Content

The proposal must be complete and self-contained to qualify for review.
The Department of Defense is interested primarily in the research and related science and engineering education that the equipment would facilitate. For this reason, the proposal must adequately describe the goals of the research and research-related education, so that judgments can be made on relevance to DOD goals.

The proposal must include the following:

1. **Cover.** A completed proposal cover (Appendix B).

2. **Abstract.** Include a concise (not to exceed 300 words) abstract that describes the instrumentation requested and the research and research-related education that will be supported by that instrumentation.

3. **Budget.** Include a budget that identifies equipment to be purchased, cost per item and total cost. Indicate the proposed source of the equipment. Include the name and phone number of a contact at that source or a website address listing the equipment and price. All equipment being requested must be considered part of one “system” costing more than $50,000, and thus all equipment being purchased must be exempt from indirect costs.

   The budget should make clear how DURIP funding will affect the successful and complete purchase of the requested equipment. Relevant information includes details of any other federal funds to be used and any funds to be contributed by nonfederal sources toward the purchase of the instrumentation. For budgeting purposes, presume a grant start date of 1 April 2002, although this is subject to negotiation.

4. **Supporting Information.** Describe how the proposed instrumentation will:

   (a) enhance the quality of research and research-related education currently funded by DOD (indicate the DOD organization, the contract or grant number, the Principal Investigator, and a paragraph describing the thrust of the research), and/or

   (b) contribute to research and research-related education currently proposed to DOD (indicate the organization and Principal Investigator of the proposal under consideration, the prospective DOD sponsor, and a paragraph describing the thrust of the research and research-related education), and/or

   (c) establish new research capabilities or enhance current research capabilities for performing research and research-related education in areas of interest to DOD.

   Describe how the proposed instrumentation will interface with existing facilities or upgrade other instrumentation now available for research and research-related education.

   Describe the amounts and sources of ongoing or proposed support for the research and research-related education to be facilitated by the instrumentation.

   Describe any special circumstances regarding the acquisition or installation of the equipment.

   Indicate the estimated useful life of the equipment.

   Include a curriculum vitae for the Principal Investigator and for other senior investigators, which will be counted as part of the 25 page limit.

C. **Certifications**

All awards require certifications of compliance with national policy requirements. Statutes and government wide regulations require some certifications to be submitted at the time of proposal submission rather than at the time of award. Proposers by signing and submitting a proposal and the required cover, Appendix B, are providing the certification at Appendix A to 32 CFR Part 25 regarding debarment, suspension, and other matters; the certification at Appendix C to 32 CFR Part 25 regarding drug-free workplace; and the certification at Appendix A to 32 CFR Part 28 regarding lobbying. Full text of these certifications may be found at: [http://afosr.sciencewise.com/pdfs/March2000assistancecerts1.pdf](http://afosr.sciencewise.com/pdfs/March2000assistancecerts1.pdf). Copies will be provided upon request.
VII. PROPOSAL EVALUATION AND SELECTION

The primary evaluation criteria, of equal importance, are:

1. The impact of the equipment on research currently funded by DOD and/or the impact on research currently planned for DOD funding and/or the likelihood of the equipment to establish new research capabilities or to enhance current research capabilities that are relevant to DOD areas of research interest.

2. The scientific and technical merits and the relevance and potential contribution to DOD missions of the research to be supported by the proposed instrumentation.

3. The potential to enhance the institution’s ability to educate, through the research to be conducted with the proposed equipment, future scientists and engineers in disciplines important to the DOD mission, thereby contributing to DOD research-related educational objectives.

Other evaluation criteria, which are of lesser importance than the primary criteria but of equal importance to each other, are:

4. The past performance, experience, and qualifications of the institution to perform the research, and to operate and maintain the equipment proposed for purchase.

5. The past performance, qualifications, education and experience of the Principal Investigator and other key personnel.

6. Realism and reasonableness of cost. Cost sharing is not an evaluation factor.

Proposals will undergo a multi-stage evaluation procedure. First, cognizant DOD research program managers will review proposals received in their technical areas. Second, the most significant proposals will be selected for funding by each agency based upon recommendations by the program managers. Third, the agencies, in coordination with the Office of the Deputy Under Secretary of Defense for Science and Technology, will reconcile any overlap and coordinate complementary efforts so as to ensure the broadest possible impact with the funds available.

VIII. AWARDS

Participating agencies will award grants under this program. Each also will conduct negotiations with the business officers of the institutions submitting the proposals selected for funding. Negotiations may result in funding levels less than those proposed.

In keeping with the provisions of 31 U.S.C. 6306 and with the intent of this program to increase university capabilities to conduct DOD-relevant research and research-related education, title to equipment will be vested with the university without further obligation to the government.

APPENDIX A: ACKNOWLEDGEMENT RECEIPT

APPENDIX B: PROPOSAL COVER

APPENDIX C: LATE SUBMISSIONS
Proposing Institutions must affix mailing label of Principal Investigator and postage

Dear Proposer:

Your **FY2002** DURIP proposal has been received by _________________

______and will be evaluated, Control Number _________________.

______will not be evaluated for the following reason (s):

Announcement of selectees should be made on or about 1 February 2002.
APPENDIX B: PROPOSAL COVER
(Complete and submit with the Proposal)

SUBMITTED TO FY2002 DURIP
(May 2001 Program Announcement)

Proposal No: __________________
(To Be Completed by Agency Only)

1. THE PRINCIPAL INVESTIGATOR (one name only):

<table>
<thead>
<tr>
<th>(Title)</th>
<th>(First Name)</th>
<th>(MI)</th>
<th>(Last Name)</th>
<th>(Signature – please use blue ink)</th>
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<td>(City)</td>
<td>(State)</td>
<td>(Zip Code)</td>
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CURRENT DOD CONTRACTOR OR GRANTEE? YES ___ NO ___ If yes, give Agency, Contract Number, Point of Contact, Phone Number:

2. THE PROPOSAL:

<table>
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<th>(Title of the Proposal)</th>
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<tr>
<td>1-April-02 to ____________</td>
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<tr>
<td>Total Funds Requested From DOD</td>
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<tr>
<td>Proposed Dates</td>
</tr>
<tr>
<td>Your Institution’s Proposal Number</td>
</tr>
</tbody>
</table>

Primary reviewing agency and relevant Division/Directorate/Office or technical area/program officer

Other reviewing agency(ies) (and relevant Division/Directorate/Office or technical area) to which the proposal is being submitted

OTHER AGENCIES RECEIVING THIS INSTRUMENTATION FUNDING REQUEST [e.g., NSF, DOE, NASA, NIH, or other] Please identify agency(ies) and give Name(s) and Phone Number(s) of Point(s) of Contact at those agencies:
3. CERTIFICATIONS: By signing and submitting this proposal, the proposer is providing the certification at Appendix A to 32 CFR Part 25 regarding debarment, suspension, and other matters; the certification at Appendix C to 32 CFR Part 25 regarding drug-free workplace; and the certification at Appendix A to 32 CFR Part 28 regarding lobbying.

4. MINORITY INSTITUTION: __________. Check here if the academic institution named above is qualified to be identified by the Department of Education as a minority institution (i.e., a historically Black college or university, Hispanic-serving institution, Tribal college or university, or other institution meeting statutorily-defined criteria for serving ethnic groups that are underrepresented in science and engineering). The Department of Education maintains the list of U.S. accredited postsecondary institutions that currently meet the statutory criteria for identification as minority institutions at the following web site: www.ed.gov/offices/OCR/minorityinst.html

5. THE INSTITUTION

NAME AND ADDRESS OF UNIVERSITY OFFICIAL AUTHORIZED TO OBLIGATE CONTRACTUALLY:

(Title) (First Name) (MI) (Last Name) (Phone Number, Including Area Code)

Name of Grantee (University) (Fax Number)

Street Address (P.O. Box Numbers Cannot Be Accepted) (E-mail address)

(City) (State) (Zip Code)

DUNS + 4 No.\(^{1}\) ______________

_________________________________________________
Signature of Authorized University Official
(Please use blue ink)

\(^{1}\) The institution’s number in the data universal numbering system or DUNS+4 is a unique 13-character identification number for organizations and subsidiaries. Dun & Bradstreet Corporation assigns these numbers. You can receive a DUNS+4 number by calling Dun & Bradstreet at 1(800) 333-0505 or go to the Dun & Bradstreet Web site at http://www.dnb.com/dunsno/list.htm. To facilitate payment under any award, the institution must be registered in the Central Contract Registry (CCR). CCR uses the DUNS+4 as a unique identifier for each organization. Information on registering in the CCR may be found at http://www.ccr2000.com or 1-(888) 227-2423.
APPENDIX C: LATE SUBMISSIONS

(1) Offeror is responsible for submitting proposal so as to reach the Government office at the stated address by the date and time specified in the broad agency announcement. Any proposal arriving at the designated Government office after the deadline is “late” and will not be considered for an award, except for the following:

(a) There is acceptable evidence that, although it was not received in the office stated in the announcement, the proposal was delivered to the designated Government agency by the deadline;

or

(b) The proposal was sent by U.S. Postal Service Express Mail three or more business days prior to the date specified for the receipt of the proposals. The term “business days” excludes weekends and U.S. federal holidays.

(2) In case the operation of the designated Government office is interrupted and the office is unable to receive the proposal, the deadline is extended to the same time of the first day when the office is in operation.