

# **PROGRAM ANNOUNCEMENT**



## **DEPARTMENT OF DEFENSE (DoD)**

### **Proof of Concept Commercialization Pilot Program Innovation Corps @ Department of Defense (I Corps @ DoD)**

**Fiscal Year 2017**

**Program Announcement W911NF-17-S-0011**



**Issued by the U.S. Army Contracting Command-Aberdeen Proving  
Ground Research Triangle Park Division  
on behalf of the Army Research Office  
and the  
Assistant Secretary of Defense for Research and Engineering  
(Research Directorate/Basic Research Office)**

**Issued: July 2017**

**Applications Due: 15 September 2017**

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## **I. OVERVIEW OF THE FUNDING OPPORTUNITY**

### **A. Required Overview Content**

#### **Federal Awarding Agency Name(s)**

This Department of Defense (DoD) program is issued by the U.S. Army Contracting Command-Aberdeen Proving Ground Research Triangle Park Division on behalf of the Army Research Office (ARO).

#### **Funding Opportunity Title**

Proof of Concept Commercialization Pilot Program Innovation Corps @ Department of Defense (I Corps @ DoD) Fiscal Year 2017

#### **Announcement Type**

This is the initial announcement.

#### **Funding Opportunity Number**

W911NF-17-S-0011

#### **Catalog of Federal Domestic Assistance (CFDA) Number**

12.630, Basic, Applied, and Advanced Research in Science and Engineering

#### **Key Dates**

This announcement will be **open to receive applications continuously** until 4:00 p.m. Local Durham, N.C. Time, 15 September 2017, at which point all applications must be received.

### **B. Additional Overview Information**

The Innovation Corps at the Department of Defense (I Corps @ DoD) program is an opportunity for Principle Investigators (PIs) to learn how to commercialize their discoveries / innovations. Winning applicants submit a budget and receive a \$40,000-\$70,000 grant as well as extensive training in product commercialization from industry experts and ‘serial entrepreneurs’ who have helped train over 900 I-Corps™ Teams in how to bring their innovations to market.

The I Corps @ DoD program is a pilot program modeled after the National Science Foundation (NSF) I-Corps™ program. The key component of the I Corps @ DoD program is the I-Corps™ Team. The I-Corps™ Team is comprised of the Technical Lead, the

Entrepreneurial Lead and the Mentor. The Entrepreneurial Lead is typically a postdoctoral researcher, graduate student, or other student, possesses relevant technical knowledge and a deep commitment to investigate the commercial landscape surrounding the innovation. The Mentor brings entrepreneurial experience and serves as the principal guide in determining the technology disposition – Technical Leads/PIs can submit their own mentor or find one using the I-Corps™ Mentor Network.

The I-Corps @ DoD Teams members are required to attend a three-day Entrepreneurial Immersion course together (locations and dates are posted on the I-Corps™ program web site). All I-Corps™ Team members will be required to attend a kick-off workshop at an I-Corps™ Node, to join a series of web-based lectures, and to present their business proposals at a meeting of I-Corps™ grantees. All I-Corps™ Team members also are expected to invest significant effort in their projects outside of the university/laboratory environment. This curriculum requires full participation from the entire I-Corps™ Team. Each team member must commit to in-depth preparation, attendance at the lectures and workshops, and at least 15 additional hours per week for Customer Discovery.

Selection criteria for the “Proof of Concept Commercialization Pilot Program” are in accordance with those provided in Public Law 113-66 and codified in 10 USC 2359.

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

### **A. Program Description**

The Department of Defense (DoD) is soliciting applications from current/recent grant awardees to receive mentoring and funding to accelerate the transition and commercialization of the funded research. The I Corps @ DoD program is designed to support the acceleration of innovation by providing Principal Investigators (PIs) with training and mentorship in customer discovery and commercialization. The purpose of funding under this Program Announcement (PA) is to accelerate the commercialization of basic research innovations from qualifying institutions.

The goals of this program are to spur the transition of fundamental research, to encourage collaboration between academia and industry, and to train students to understand innovation and entrepreneurship.

There will be three outcomes of the I Corps @ DoD program: 1) a clear go/no go decision regarding viability of products and services, 2) should the decision be to move the effort forward, a transition plan to do so, and 3) an understanding of what kind of minimum viable product demonstration would be required by key partners and customer segments.

The go/no go decision of the proposed effort will be made by the I-Corps team in consultation with I Corps @ DoD Program Manager and with the I Corps @ DoD Cognizant Program Directors and NSF I-Corps™ leadership. Government support contractors and NSF I-Corps™ Node instructors will participate in the final decision teleconference and will advise DoD and NSF government officials on the final funding decision.

## Requirements:

**Receipt of a Prior DoD Award:** A DoD Basic Research award using 6.1 funds (in a scientific or engineering field relevant to the proposed innovation) that is currently active or that has been active within five years from the date of the I Corps @ DoD proposal submission is required.

**Team:** An I-Corps @ DoD team will need to be established prior to proposal submission. The I Corps @ DoD team will consist of three roles:

1. Entrepreneurial Lead.
2. I Corps @ DoD Mentor; and
3. Technical Lead (Principal Investigator).

The **Entrepreneurial Lead** could be a Post-Doctoral scholar, graduate or other student with relevant knowledge of the technology and a deep commitment to investigate the commercial landscape surrounding the innovation. In rare circumstances, with approval of the I Corps @ DoD Program Manager, it also could be the PI. The Entrepreneurial Lead should also be capable and have the will to support the transition of the technology, should the I Corps @ DoD project demonstrate the potential for commercial viability.

The **I-Corps @ DoD Mentor** will typically be an experienced entrepreneur with proximity to the institution and experience in transitioning technology out of Academic labs. The I-Corps Teams Mentor should be a third-party resource and may be recommended by the proposing institution. The I-Corps Teams Mentor will be responsible for advising the team on its progress through I-Corps and will usually have contacts in the industry area(s) being explored. For more details on the role of the IM, please see the NSF FAQ at [https://www.nsf.gov/pubs/2017/nsf17083/nsf17083.jsp?WT.mc\\_ev=click](https://www.nsf.gov/pubs/2017/nsf17083/nsf17083.jsp?WT.mc_ev=click). Other than their direct expenses for program participation, Mentors are not compensated through I-Corps Teams awards – Mentors are part of a volunteer cadre of entrepreneurs. **More detailed information on the I-Corps™ network will be available during the scheduled WEBINARS.** The I Corps @ DoD Mentor will be responsible for guiding the team forward and tracking progress through regular communication with the I Corps @ DoD Program Manager.

The **Technical Lead** will typically be a faculty member, senior research scientist or postdoctoral scholar with deep and direct technical expertise in the actual core technology about which the I-Corps team is exploring commercial potential. Typically the Technical Lead will also serve as the proposal Principal Investigator (PI).

## **I-Corps Teams Curriculum Participation**

I-Corps team members are required to participate in the I-Corps Teams Curriculum. This curriculum typically includes an in-person Entrepreneurial Curriculum Immersion Kickoff, a weekly online curriculum, and an in-person Lessons Learned report-out. More details on the exact I-Corps Teams Curriculum can be found in the I-Corps Teams FAQ at [https://www.nsf.gov/pubs/2017/nsf17083/nsf17083.jsp?WT.mc\\_ev=click](https://www.nsf.gov/pubs/2017/nsf17083/nsf17083.jsp?WT.mc_ev=click). Dates for upcoming cohorts will be posted on the NSF I-Corps program website.

The I-Corps Teams Curriculum provides real-world, hands-on, immersive learning about what it takes to evaluate commercial opportunity around the innovation. The main activity is customer discovery where the team leaves the lab to evaluate potential product-market fit and the wider business model. The team's progress in customer discovery will be shared with the entire cohort to facilitate group learning. At the end of the curriculum, Teams are expected to have performed at least one hundred (100) face-to-face interviews with potential customers and potential partners from their proposed target market(s).

I-Corps teams are encouraged to travel extensively to reach their customer discovery goals for the curriculum. Travel to customer discovery interviews typically does not need approval by DoD, however, teams must obtain written prior approval from the DoD I-Corps program officer for either international travel or travel to an academic conference.

**NOTE: More detailed information on the on-line curriculum content will be available at the scheduled [WEBINARS](#).**

Online content establishing the process and progress tracking throughout the post-award effort will be hosted by NSF. The team's progress will be tracked through a closed Wiki environment accessible only by NSF, the I Corps @ DoD PM and the team.

**Expectations from the I Corps @ DoD Grant:** Successful completion of the I Corps @ DoD grant is expected to contribute to one or more of the following:

- New for-profit start-up businesses
- Licensing the intellectual property developed under an SBIR/STTR project
- A business plan suitable for review by third-party investors
- Enhancing the entrepreneurial mindset among DoD-funded researchers

DoD will seek to collect outcomes from the awardees along the lines listed above during post-award period.

## **B. Federal Award Information**

DoD intends to award roughly \$500,000 under this PA, subject to the availability of funds. Awards will be in the form of grants, and all awards will be made by the U.S. Army Contracting Command-Aberdeen Proving Ground Research Triangle Park Division (ACC-APG-RTP Division) on behalf of the ARO, as an agent of the ASD(R&E). Award size will

not exceed \$70,000. Up to 10 awards are anticipated for FY 16. All awards will have a performance period of 12 months.

### **C. Eligibility Information**

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

Eligible applicants under this PA include degree-granting universities or industrial concerns. There is no restriction on the place of performance included in the PA.

A qualifying institution shall be eligible for an award under the pilot program if the institution agrees to—

- (1) Use funds from the award for the uses specified in paragraph (a) below; and
- (2) Oversee the use of the funds through—

- (i) Rigorous review of commercialization potential or military utility of technologies, including through use of outside expertise;
- (ii) Technology validation focused on market feasibility;
- (iii) Simple reporting on program progress;

#### **a. USE OF AWARD.—**

(1) **IN GENERAL.**—Subject to subparagraph (2), the funds from an award may be used to evaluate the commercial potential of existing discoveries, including activities that contribute to determining a project’s commercialization path, including technical validations, market research, clarifying intellectual property rights, and investigating commercial business opportunities.

#### **(2) LIMITATIONS.—**

- (i) The amount of an award may not exceed \$70,000 a year.
- (ii) Funds from an award will be not be used for basic research, or to fund the acquisition of research equipment or supplies unrelated to commercialization activities.

#### **2. Cost Sharing or Matching**

Cost sharing or matching is not required under this PA, and is not an evaluation factor.

#### **3. Other Amount and composition of requested funding.**

An application may request DoD funding between \$40,000 and \$70,000. An application that requests aggregate funding less than \$40,000, or greater than \$70,000 will be considered non-responsive and will not be accepted for review. Applicants that use a “modified total direct costs” base for reimbursement of indirect costs are reminded that



the costs of equipment are excluded from the base for purposes of indirect (facilities and administration) cost calculations.

## **D. Application and Submission Information**

### **1. Address to Request Application Package**

All applications must be submitted electronically through Grants.gov in the format specified below. Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants,” and then follow the instructions. In the Grants.gov search function, enter the funding opportunity number for this PA [W911NF-17-S-0011]. You can also search for the CFDA Number 12.630, Basic, Applied, and Advanced Research in Science and Engineering. On the Selected Grant Applications for Download page, click on 'download' under the heading 'Instructions and Applications' to download the application package.

In order to submit applications through Grants.gov, recipients must obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number and register in SAM (see Section D.3 below), register with the credential provider, register with Grants.gov, and obtain approval for an Authorized Representative (AR) to submit applications on behalf of the organization. Registration in Grants.gov must be accomplished prior to submitting an application. Go to <http://www.grants.gov/web/grants/grantors/grantor-registration.html> for further information. Use the Grants.gov Organization Registration Checklist, which may be accessed at <http://www.grants.gov/web/grants/applicants/organization-registration.html> to guide you through the process.

**VERY IMPORTANT:** To view, complete, and submit an application, an institution may need to download the appropriate software. Go to <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html> for further information.

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

### **2. Content and Form of Application Submission**

DoD is interested in accelerating the transition of DoD funded Basic Research. For this reason, the application narrative must clearly describe the extent to which a qualifying institution (1) has commercialization resources (such as a technology transfer office) which could be utilized; (2) has an intellectual property rights strategy or office; and (3) demonstrates a plan for sustainability beyond the duration of the funding from the award.

Applicants must complete all forms and attachments in accordance with the instructions on the forms and the additional instructions below. To activate the “pop up” instructions

on the forms, turn on the “Help Mode” (icon with the pointer and question mark at the top of the form). All attachments to Grants.gov forms must be in PDF format (Adobe Portable Document Format). Most office software applications provide a “Save As PDF” capability. All attachments to Grants.gov forms must be in PDF format (Adobe Portable Document Format). To convert attachments into PDF format, Grants.gov provides a list of PDF file converters at <http://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>. Please ensure that your attachments are not password protected.

The following formatting rules apply for the file attachments except as indicated below:

- Paper size when printed – 8.5 x 11-inch white paper, one-sided
- Margins – 1 inch
- Spacing – single
- Font – No smaller than Times New Roman, 12 point font (excluding mandatory forms)
- **Number of pages – 25: The 25-page limit applies to the technical portion of the application, which consists of the following: Project Summary/Abstract and Project Narrative, as described below, as well as any letters of support that an applicant chooses to submit. Pages exceeding this limit will not be considered in the application evaluation.**

**The following SF 424 (R&R) forms and, as applicable, attachments are required for all applications:**

**FORM: The SF 424 (R&R) (Mandatory)** - The SF 424 (R&R) form is to be used as the cover page. Complete this form first to populate data in other forms. By submitting an application through Grants.gov, the AR (identified by username and password) is providing an “electronic signature.” By “signing” the SF 424 (R&R), an applicant is providing the certification required by 32 CFR Part 28 regarding lobbying as contained in Section II.F.2 of this PA, and the appropriate representation on tax delinquency and felony convictions (see below regarding “Other Attachments,” Field 12). If you encounter problems, contact customer support at 1-800-518-4726 or at support@grants.gov. If you forget your user name or password, follow the instructions provided in the Credential Provider tutorial. Tutorials may be printed by right-clicking on the tutorial and selecting “Print.”

**FORM: Research & Related Senior/Key Person Profile** – Biographical sketches are required for the PI and for other key personnel (not to exceed three (3) pages each). These will not be included in the page count. Be sure to include education and the year in which each degree was received.

To attach biographical sketches, click “Add Attachment.”

**FORM: Research & Related Other Project Information (Mandatory)** – Complete questions 1 through 6 and attach a file for items 7, 8, and, as applicable, 12. Under this PA, applicants are not required to provide attachments for items 9, 10, and 11. The files **must** comply with the following instructions:

**Project Summary/Abstract (Field 7 on the form) (Mandatory)** – The Project Summary/Abstract must be no longer than a single page. The abstract must be marked that it is publicly releasable, as abstracts for all awarded applications will be placed on a DoD website(s) searchable by the public. The abstract should provide a concise description of the product / idea which the team intends to commercialize. The header of the abstract should identify the PI, the institution, and the proposal title.

To attach a project summary/abstract, click “Add Attachment.”

**Project Narrative (Field 8 on the form)** – The project narrative must address the following:

- For projects where the Entrepreneurial Lead (EL) is an international student or PhD student – what is status of the EL’s Visa and finish date of the program of study?
- Are the Mentor, PI, and EL co-located?
- Are the EL, PI, or Mentor related in any way?
- How many courses is the PI teaching in the upcoming semester? How many course is the EL taking or teaching?
- Briefly describe the previously funded DoD research which lead to the product / idea to be commercialized at the end of the program?
- Describe why the team believes the proposed topic has commercial potential.
- Who are your target consumers and what capability will this effort provide them?
- How would the team use a \$40,000-\$70,000 grant?
- How will the intellectual property for this effort be shared or protected?
- How would you demonstrate the value of your product or idea?
- Has everyone read the syllabus, and is everyone aware of the time commitment?
- Describe the vision for how this product / idea could be of value to a DoD entity and how it might be acquired. (e.g. via a new ‘Start Up’ business, licensing the technology to other businesses to produce, etc.)

To attach the project narrative, click “Add Attachment.”

**Other Attachments (Field 12 on the form)** – To include any other relevant attachments, all of which must be in PDF format, click “Add Attachment.” This must include a completed representation on tax delinquency and felony convictions (the form is found on the last page of this PA) and, as applicable, a completed SF-LLL, Lobbying.

**SF-LLL Form “Disclosure Form to Report Lobbying”** -- If your university has lobbying activities that you are required to disclose under 31 USC 1352, as implemented by the DoD at 32 CFR part 28, you also must complete and attach the SF-LLL form in the downloaded Adobe forms package at Grants.gov.

**FORM: SF 424 (R&R) Research & Related Budget (Mandatory)** – Complete Sections A through I and attach a budget justification in Section K. The budget must be consistent with a 12-month period of and include the total amount requested and a breakdown by cost element. The budget justification should provide additional data (not included in Sections A through I) by element of cost, sufficient to meet the guidance provided below and ensure meaningful evaluation.

To attach the budget justification at Section K, click “Add Attachment.”

**Note: Be sure that the total amount requested in the budget agrees with the amount entered in Block #15 of the Cover Page (Form SF 424 (R&R)).**

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

Each eligible applicant under this PA is required to (a) be registered in SAM prior to submitting its application; (b) provide a valid Dun and Bradstreet Universal Numbering System (DUNS) number in its application; and (c) continue to maintain an active SAM registration with current information at all times during which it has an active federal award or an application or plan under consideration by an agency.

ACC-APG-RTP Division on behalf of the ARO, as the awarding office for awards under this PA, will not make an award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements. If an applicant has not fully complied with the requirements by the time ACC-APG-RTP Division is ready to make an award, the evaluation panel will determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant.

4. Submission Dates and Times

- a. Applications must be received by 4:00 p.m. Local Durham, N.C. Time, 15 September 2017.

Applicants are responsible for submitting their applications in sufficient time to allow them to reach Grants.gov by the time specified in this PA. If the application is received by Grants.gov after the exact time and date specified as the deadline for receipt, it will be considered “late” and will not be considered for review. Acceptable evidence to establish the time of receipt by Grants.gov includes documentary evidence of receipt maintained by Grants.gov.

**To avoid the possibility of late receipt, which will render the application ineligible for consideration, it is strongly recommended that applications be uploaded at least 2 days before the deadline established in the PA. This will help avoid problems caused by high system usage or any potential technical and/or input problems involving the applicant's own equipment.**

If an emergency or unanticipated event interrupts normal federal government processes so that applications cannot be received by Grants.gov by the exact time specified in this PA, and the situation precludes amendment of the PA closing date, the time specified for receipt of applications will be deemed to be extended to the same time of day specified in this PA on the first work day on which normal federal government processes resume.

- b. **Application Receipt Notices** - After an application is submitted to Grants.gov, the AR (listed in Block #19 of the SF 424) will receive a series of three e-mails from Grants.gov. The first e-mail will confirm receipt of the application by the Grants.gov system, and the second e-mail will indicate that the application has either been successfully validated by the system prior to transmission to ARO or has been rejected due to errors. The second email will also determine if the proposal is late based on the aforementioned receipt time. A third e-mail should be received once ARO has confirmed receipt of the application within 10 days from the application due date. The last e-mail will indicate that the application has been received and provide the assigned tracking number. Applicants can track the status of their applications through at <http://www.grants.gov/web/grants/applicants/track-my-application.html>.

5. Intergovernmental Review

There is no requirement for intergovernmental review under this PA.

6. Funding Restrictions

- a. Funds from an award may not be used for additional research, or to fund the acquisition of research equipment or supplies unrelated to commercialization activities.
- b. Applications may not request funds for, and awards under this PA may not be used for, subawards.

7. Other Submission Requirements

An applicant may withdraw an application at any time before award by written notice or by email. Notice of withdrawal shall be sent to the Grants Officer identified in Section II.G, of this PA. Withdrawals are effective upon receipt of notice by the Grants Officer.

## **E. Application Review Information**

### **1. Criteria**

Primary evaluation criteria (of equal importance to each other) are:

- a. The extent to which a qualifying institution—
  - (i) has commercialization resources (such as a technology transfer office) and has a plan for engaging those resources in the program's implementation or has outlined an innovative approach to technology transfer that has the potential to increase or accelerate technology transfer outcomes.
  - (ii) has an intellectual property rights strategy or office; and
  - (iii) demonstrates a plan for sustainability beyond the duration of the funding from the award.
- b. The potential impact on the identified market
- c. The time horizon to realize the market impact
- d. The composition of the team

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

Scientists and engineers of the DoD Agencies will evaluate applications according to the above criteria. The most meritorious applications will be recommended for award. Approval of the recommendation for award is the authority of the Director of the ASD(R&E) Research Directorate/Basic Research Office.

Submissions will be reviewed by an evaluation panel. An evaluation panel will consist of technical experts who are Government employees or who are detailed under the Intergovernmental Personnel Act (IPA). Restrictive notices notwithstanding, one or more support contractors or advisors external to the US Government may be utilized as subject-matter-expert technical consultants. These individuals will sign a conflict of interest statement and a non-disclosure agreement prior to receiving proposal information.

The initial evaluation will be based on the written submission.

Teams that describe projects with viable commercialization potential will be scheduled to engage in a telephone interview call with the I-Corps @ DoD Program Manager and NSF's I-Corps Management Team. The purpose of this conference call is to assess the

proposing team's capabilities and commitment to the program. At the conclusion of this initial call, teams may be invited for a second telephone interview that includes both the NSF I-Corps Management team and instructors of the I-Corps Teams Curriculum.

3. Anticipated Announcement and Federal Award Dates

Decisions are expected to be announced by acceptance/declination letters via email. Awards are expected to be in place within six (6) weeks of proposal receipt.

4. Recipient Qualification

The Office of Management and Budget (OMB) has issued final guidance implementing section 872 of the Duncan Hunter National Defense Authorization Act for Fiscal Year 2009 as it applies to grants. As required by section 872, OMB and the General Services Administration have established the Federal Awardee Performance and Integrity Information System (FAPIS) as a repository for government-wide data related to the integrity and performance of entities awarded federal grants and contracts. This final guidance implements reporting requirements for recipients and awarding agencies; requires awarding agencies to consider information in FAPIS before awarding a grant to a non-federal entity, and addresses how FAPIS and other information may be used in assessing recipient integrity.

Specifically, effective January 1, 2016, the guidance requires:

- a. Federal awarding agencies to report information to FAPIS about any termination of an award due to a material failure to comply with the award terms and conditions; any administrative agreement with a non-federal entity to resolve a suspension or debarment proceeding; and any finding that a non-federal entity is not qualified to receive a given award, if the finding is based on criteria related to the entity's integrity or prior performance under federal awards.
- b. Federal awarding agencies, prior to making award to a non-federal entity, to review information in FAPIS to determine that entity's eligibility to receive the award.
- c. Recipients of federal contracts, grants, and cooperative agreement awards with a cumulative total value exceeding \$10,000,000 to provide to FAPIS information on certain civil, criminal, and administrative proceedings that reached final disposition within the most recent five year period and that were connected with the award or performance of a federal award; and to disclose semiannually the information about the criminal, civil, and administrative proceedings described in section 872(c).
- d. Notice of funding opportunities and federal award terms and conditions to inform a non-federal entity that it may submit comments to FAPIS (<https://www.fapis.gov>) about any information the federal awarding agency had reported to the system about the non-federal entity, for consideration by the awarding agency in making future awards to the non-federal entity.

## **F. Federal Award Administration Information**

### **1. Federal Award Notices**

Notification of selection of applications will be e-mailed by ARO to successful applicants within 30 days of proposal receipt. Unsuccessful applicants will be notified shortly thereafter.

The notification e-mail regarding a successful application must not be regarded as authorization to commit or expend DoD funds. A grant award signed by the DoD Grants Officer is the authorizing document. Applicants whose applications are recommended for negotiation of award will be contacted by a DoD Contract/Grant Specialist to discuss any additional information required for award. This may include representations and certifications, revised budgets or budget explanations, or other information as applicable to the proposed award. The award start date will be determined at this time.

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

- a. Each grant awarded under this PA will be governed by the general terms and conditions in effect at the time of the award that conform to DoD's implementation of OMB guidance applicable to financial assistance in 2 CFR part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards." The DoD Research and Development General Terms and Conditions (latest version, July 2016) are located at <https://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-terms-conditions>.

These terms and conditions are incorporated by reference in this PA.

- b. A recipient must comply with all applicable national policy requirements. The key national policy requirements that may relate to an award under this PA are included in the terms and conditions specified in paragraph 2.a. above.
- c. By electronically signing the SF-424, the applicant affirms its agreement with the following certification:

#### **Certification Required for Grant Awards**

The certification at Appendix A to 32 CFR Part 28 regarding lobbying is the only certification required at the time of application submission for a grant award. The certification is as follows: (NOTE: This is standard language and certain portions, e.g., discussion of subawards, may not apply under a particular PA)

"By signing and submitting an application that may result in the award of a grant exceeding \$100,000.00, the prospective awardee is certifying, to the best of his or her knowledge and belief, that:



- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions and include it in the submitted application package.
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, and subgrants, and contracts under grants, loans, or cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code.

Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000.00 for each such failure."

**d. The following representations are required for grant awards:**

**Representations on tax delinquency and felony convictions**

Check either "is" or "is not" for each of these two representations, as appropriate for the proposing institution, and attach the representations page to field 18 of the SF-424. The page for these representations is provided on the last page of this PA.

**Representation regarding the Prohibition on Using Funds under Grants and Cooperative Agreements with Entities that Require Certain Internal Confidentiality Agreements**

By submission of its proposal or application, the applicant represents that it does not require any of its employees, contractors, or subrecipients seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting those employees, contractors, or subrecipients from lawfully reporting that waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information. Note that: (1) the basis for this representation is a prohibition in section 743 of the Financial Services and General Government Appropriations Act, 2015 (Division E of the Consolidated and Further

Continuing Appropriations Act, 2015, Pub. L. 113-235) and any successor provision of law on making funds available through grants and cooperative agreements to entities with certain internal confidentiality agreements or statements; and (2) section 743 states that it does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

### 3. Reporting

Recipients must submit a final financial report using the Standard Form (SF)-425, Federal Financial Report.

Recipients must submit a final technical report in PDF format within 90 days following the expiration of the grant. The report should summarize the I-Corps @ DoD curriculum participation, the face-to-face interviews, the reasoning behind the go / no go decision regarding viability of products and/or services, if the go decision is selected a transition plan and an outline of the minimum viable product demonstration which would be required by key partners and/or customers, and a list of lessons learned and recommendations for the I-Corps @ DoD program.

### **G. Federal Awarding Agency Contacts**

For questions concerning programmatic content, potential applicants are advised to contact the Agencies' program managers identified in the PAs listed in Section I.B above. For help with administrative questions or problems, points of contact are as follows:

Questions regarding program policy should be directed to:

James Harvey  
Army Research Office  
[James.f.harvey.civ@mail.mil](mailto:James.f.harvey.civ@mail.mil)

The DoD Grants Officer is:  
Mr. Kevin Bassler  
Grants Officer  
US Army Contracting Command-Aberdeen Proving Ground  
RTP Division

### **H. Other Information**

Applications must not include any information that has been identified as classified national security information under authorities established in Executive Order 12958, Classified National Security Information.

Applicants are advised that employees of commercial firms under contract to the government may be used to administratively process applications. By submitting an application, an applicant consents to allowing access to its application(s) by support contractors. These support contracts include nondisclosure agreements prohibiting their contractor employees from disclosing any information submitted by applicants.

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

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

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

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

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

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

Name of Organization \_\_\_\_\_

Name of person Authorized to sign \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_