

**DEPARTMENT OF DEFENSE (DoD)  
PROGRAM ANNOUNCEMENT**



***Instrumentation and Research Support for  
Hispanic-Serving Institutions (HSIs)***  
**Fiscal Year 2004**

**Broad Agency Announcement W911NF-04-R-0002**



**Issued by the Army Research Office (ARO)  
on behalf of the  
Office of the Director of Defense Research and Engineering  
(Laboratories and Basic Sciences)**

**Issued: April 2004  
Proposals Due: July 8, 2004**

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**E. Catalog of Federal Domestic Assistance (CFDA) Title and Number:** Basic, Applied, and Advanced Research in Science and Engineering, 12.630

## **II. ELIGIBILITY**

This competition is open only to Hispanic-Serving Institutions named in the U.S. Department of Education Accredited Postsecondary Minority Institutions list. The list is compiled by the Office for Civil Rights, U.S. Department of Education, using enrollment data reported by Postsecondary Institutions to the National Center for Integrated Statistics and the Office for Civil Rights in the Integrated Postsecondary Education Data System (IPEDS) Fall enrollment survey, formerly called the Higher Education General Information Survey (HEGIS). It is available at

<http://www.ed.gov/about/offices/list/ocr/edlite-minorityinst.html>.

Questions concerning the minority institution list must be directed to the IPEDS Inquiry Line (202-205-9567) in the Office for Civil Rights, U.S. Department of Education, not to the Department of Defense.

Proposing schools need not be research institutions, but they should have accredited science, mathematics and/or engineering programs and a history of graduating students in one or more of these fields. Community colleges or junior colleges responding to this announcement must demonstrate or establish a program in which the graduates will continue science, mathematics, or engineering studies toward the baccalaureate degree. The institution that grants the baccalaureate degree must formally agree to participate and support the community/junior college graduates toward completion of the baccalaureate degree. Further, the institution that grants the baccalaureate degree does not have to be a Hispanic-Serving Institution or meet eligibility criteria of this solicitation.

## **III. PROGRAM DESCRIPTION**

**A. Instrumentation/Equipment Component:** Proposals are solicited for the acquisition of instrumentation/equipment that will enhance education and/or research programs in science, mathematics, and/or engineering disciplines. Proposals must address the impact of the proposed instrumentation/equipment on the institution's ability to attract students to these fields of study and encourage them to pursue undergraduate and graduate degrees in these areas.

Instrumentation/equipment grant awards will range from \$50,000 to \$200,000 (total cost to DoD) with a performance period of 12 months. Proposals may request funding for more than one instrument or piece of equipment if the requested pieces complement or replace existing instruments, interface with existing instruments or each other, or otherwise expand the capabilities of one or more departments.

One instrumentation proposal per institution is allowed. If more than one instrumentation/equipment proposal is received from a given institution, that institution will

be required to select one to remain in competition. This will help assure that each institution's highest priority equipment needs get full consideration, it will reduce the cost of writing proposals, and it may enhance the number and range of institutions receiving awards.

The proposed instrumentation/equipment may be incorporated into other assistance programs that enhance science, mathematics, or engineering education and/or research. For example, if assistance from other sources (e.g., industry, state, federal agencies, etc.) exist or is contemplated, it should be discussed.

**B. Research Component:** Proposals are solicited for basic research in areas of scientific interest to ARO. Areas of scientific interest to ARO may be found at: <http://www.aro.army.mil>. Select 'Funding Opportunities,' then select 'US Army Research Laboratory Broad Agency Announcement (DAAD19-03-R-0017)'. Scroll to Part I.B. to see ARO's research areas of interest (Research Topics 7 – 15).

***Note:** Use this reference to identify areas of scientific interest to ARO. Disregard instructions contained therein pertaining to proposals structure and submission. Instead, follow the instructions in this solicitation.*

Technical points of contact (i.e., research program managers) are listed for each research area along with phone numbers and e-mail addresses. Principal investigators are encouraged to contact these individuals to discuss areas of mutual research interest.

Research proposals are limited to two submissions per institution. Research projects will have a performance period of 36 months and will be funded up to \$100,000 per 12-month period. Research proposals may include up to \$200,000 for the acquisition of instrumentation/equipment that is necessary to carry out the proposed research. Thus, a research project with instrumentation/equipment acquisition included may be valued up to \$500,000. All instrumentation/equipment acquisitions must be budgeted in the first year of the project. Please note that the inclusion of instrumentation/equipment in a research proposal does not preclude that institution from submitting a "stand alone" instrumentation/equipment proposal under Section III.A.

Research programs may be conducted by a principal investigator working within a traditional single-institution environment or as a collaborative effort with one or more partners. Collaborators may be with other educational institutions (not limited to HSIs), a DoD laboratory or Research, Development, and Engineering Center (RDEC), a DoD University Affiliated Research Center (UARC), a nonprofit research institution, and/or an industry or small business. Please note that program funds can be awarded only to an HSI. Subaward of funds to a collaborating HSI is permitted, but non-HSI research partners must support their activities with resources otherwise available to them.

A discussion of collaborations, if any, should be included in the proposal. Provide name and location of the institution(s) involved, names and credentials of collaborating scientists, and define coordination procedures that will be employed to assure the success of the project. Partners in the collaboration should describe their support of the project, including

cost sharing where applicable, via a letter to the principal investigator. Such letter(s) shall be included in the proposal package.

Travel and per diem for the principal investigator, other participating faculty and students are appropriate budget items for research projects (see Section VI.B.(4)).

Principal investigators are encouraged to consider innovative approaches for their projects with a view toward enhancing the ability of the institution to develop strong science and engineering programs that will attract and retain good students, expose them to state-of-the-art research, and enable the institution to participate more competitively in defense research programs. Methods through which these goals can be achieved are as varied and diverse as the schools that will submit proposals. Factors such as geographical location, research capabilities, facilities and equipment are unique to each institution. Therefore, DoD will not prescribe the structure for a research project. All proposals, whether single-investigator or collaborations, will be given full consideration and evaluated on scientific merit and other criteria listed in Section VIII.

#### **IV. PROPOSAL SUBMISSION**

All proposals must be received by ARO no later than 4:00 p.m. Local Time on Thursday, July 8, 2004.

The offeror is responsible for submitting the proposal to reach the Army Research Office no later than the stated date and time. Any proposal arriving after the deadline is "late" and will not be considered for an award, unless:

1. There is acceptable evidence that the properly addressed proposal was delivered to the Army Research Office by the deadline; or
2. The properly addressed proposal was sent by U.S. Postal Service Express Mail prior to July 6, 2004.

In case the operation of the Army Research 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.

Please note that proposals delivered by commercial carriers are considered "hand carried" and no exceptions can be made to allow such proposals to be considered if, for any reason, they are received after the deadline. Proposers are encouraged to schedule delivery to occur before the deadline date.

All proposals must be sent to the Army Research Office. Point of contact at delivery site is Jenny Haire, 919-549-4205. Please note the following special instructions:

Use the post office box address for delivery by U.S. Postal Service:

Army Research Office  
ATTN: AMSRD-ARL-MISD (HSI 2004)  
P.O. Box 12211  
Research Triangle Park, NC 27709-2211

Use the street address below for delivery by commercial carrier (e.g., Federal Express, etc):

Army Research Office  
ATTN: AMSRD-ARL-MISD (HSI 2004)  
4300 South Miami Boulevard  
Durham, NC 27703-9142

To obtain acknowledgment that your proposal was received at ARO, enclose the form at Attachment B along with a self-addressed, stamped envelope.

## **V. PROPOSAL CONTENT**

Each proposal must be complete and self-contained to qualify for review. Each proposal requires a signed original and three (3) photocopies. The original should have the word "ORIGINAL" stamped or printed in the upper right corner.

Each proposal should be typed with 1-inch margins on 8 ½ x 11 white paper, one-sided, single-spaced, and using a font size of 10- or 12-point. The proposal should be securely stapled in the upper left corner. Separate attachments, such as brochures or reprints, will not be accepted. Plastic covers or binders should not be used. Proposals submitted in whole or in part by electronic media (computer disk or tape, facsimile machine, electronic mail, etc.) will not be accepted.

Instrumentation proposals must not exceed 25 pages. Research proposals must not exceed 50 pages. Pages should be numbered consecutively beginning with the first page after the cover (Attachment A) and extending through the budget section. Any pages exceeding the limit will not be considered by evaluators.

Each proposal must contain the requisite cover, the abstract, the technical description, curriculum vitae, and a detailed budget, in that order. Details are provided below and in Section VI.

**A. COVER:** Each proposal must bear Attachment A as a cover. Complete all sections of the form and place it on top of the proposal. Ensure that signatures of the Principal Investigator and other authorized administrators are provided where indicated. No other sheet or document should precede this cover (i.e., transmittal letter is not needed). To facilitate administrative handling and evaluation procedures, indicate in the designated space the ARO research topic area that best matches the proposed research or provide the

name of the Technical Point of Contact with whom the research was discussed (see Section III.B.).

**B. ABSTRACT:** Provide a concise, one-page summary of the proposed project.

**C. TECHNICAL DESCRIPTION:**

1. Instrumentation/Equipment Proposal. Describe how the proposed instrumentation/equipment will:

(a) Enhance the quality of academic programs in science, mathematics and/or engineering.

(b) Indicate the educational department and other groups within or outside the institution that will use the instrument/equipment, as well as any other programs that will benefit from its use.

(c) Describe how the proposed instrumentation/equipment will interface with existing facilities or upgrade other equipment currently available.

(d) Describe any special circumstances regarding the acquisition or installation of the new instrumentation/equipment. For example, will installation require facility renovation such as plumbing or electrical upgrades? If so, this should be budgeted.

(e) Indicate the estimated useful life of the instrumentation/equipment and describe the plan to service and maintain it, including source(s) of funds. The cost for continued operation and maintenance must be met by normal support mechanisms and are not to be part of the budget.

(f) Indicate if faculty members will require training for optimum use of proposed instrumentation/equipment. If so, this should be budgeted. Funds for extramural technical assistance may also be requested.

Additionally, the proposal should describe how students and faculty would utilize the new instrumentation/equipment. For example:

(g) Beyond regular coursework, will students use the instrumentation/equipment for research projects? Will faculty use it for research or other applications beyond the classroom?

(h) Will there be workshops to acquaint local high school teachers with the new instrumentation/equipment?

(i) Will there be outreach initiatives with the local school community that may encourage younger students to become acquainted with the college and possibly attracted to studies in science or mathematics?



Any existing or planned mentoring programs or other after-hours educational activities should be discussed.

2. **Research Proposal**: The technical portion of a research proposal shall contain the following:

(a) Describe in detail the research to be undertaken. State objectives and approach and discuss the relationship to the state of knowledge in the field and to comparable work elsewhere. Include a bibliography and list of literature citations.

(b) Describe the nature and extent of the anticipated results and, if known, the manner in which the work will contribute to the accomplishment of the Army's mission.

(c) Describe the facilities available for performing the proposed research. If instrumentation/equipment acquisition is proposed, provide rationale for each item requested. Describe how such equipment will be utilized beyond this immediate project and how it will enhance infrastructure and research capabilities of the institution.

**D. CURRICULUM VITAE**: Furnish curriculum vitae for the Principal Investigator and other personnel who are critical to success of the project. Include any relevant publications.

## **VI. PROPOSAL BUDGET**

For planning purposes, each proposal should use an award start date of November 15, 2004. If a change in start date is necessary, this will be addressed by the Contracting Officer during grant negotiations.

### **A. Instrumentation/Equipment Proposal Budget**

The instrumentation/equipment proposal budget should:

(1) List equipment to be purchased, including cost per item and total cost. Indicate the proposed source(s) of the equipment. Include the name and phone number of a contact at the source(s) or a web site that lists the equipment and price;

(2) List installation cost for the equipment and cost of facility renovations necessary to accommodate such equipment (i.e., electrical or plumbing upgrades);

(3) List contractor support for initial set up, calibration or other operational assistance.

The cost of continued operation and maintenance must be met by normal support mechanisms and are not to be part of the equipment budget.

Salaries and overhead are not appropriate for an equipment proposal.

## **B. Research Proposal Budget:**

The budget for each research proposal must be sufficiently detailed by cost element for a meaningful evaluation. Include the period of performance, total estimated costs, and a break down for each 12-month period. The proposer is encouraged to use the standard ARO budget form that is available from the ARO web site:

[http://www.aro.army.mil/forms/forms2.htm#fm\\_baa](http://www.aro.army.mil/forms/forms2.htm#fm_baa). Select 'Summary Proposal Budget (ARO Form 99). Locally produced budget form or spreadsheet may be used in lieu of the ARO form. If so, itemization should include at least the following categories, as applicable:

(1) Salaries and Wages: For all employees, indicate the amount of time being charged to the proposed project (e.g., number of months) and show resulting costs based on current or projected salary and benefits.

(2) Expendable Supplies and Materials: Estimate cost of supplies and materials.

(3) Equipment: Describe any equipment proposed for acquisition and the basis of cost estimates. Costs should be based on recent quotations from manufacturers or distributors.

(4) Travel Costs: Identify any travel requirements associated with the proposed research and define its relationship to the project. List proposed destinations, cost estimate, and basis of cost estimate. Domestic travel must not exceed \$2,500 per year per principal investigator. Special approval is required for foreign travel, which is limited to \$1,800 per year per principal investigator. Justification will be required for travel requests in excess of the amounts stated above and for travel by individuals other than the principal investigator(s), such as graduate and undergraduate students, postdoctoral associates, etc.

(5) Publication and Report Costs: Estimate the cost of publishing and reporting research results.

(6) Subaward Costs (allowable only to another HSI): Describe the work to be done under a Subaward and provide an itemized cost summary. Provide the name of the institution to receive Subaward, the name of individual who will do the work, and qualifications (curriculum vitae) for that individual.

(7) Other Direct Costs: Itemize other direct costs such as rental for computers or other equipment. Unusual or expensive items must be justified.

(8) Indirect Costs: Provide approved rate agreement.

## **VII. CERTIFICATIONS**

All awards require certification of compliance with national policy requirements. Statutes and government-wide regulations require some certifications be submitted at the time of proposal submission. These include Appendix A to 32 CFR Part 25 regarding

debarment, suspension, and other matters; Appendix C to 32 CFR Part 25 regarding drug-free workplace; and Appendix A to 32 CFR part 28 regarding lobbying. Full text of these certifications is provided at Attachment C. Proposers are certifying compliance with these regulations by signing the Proposal Cover (Attachment A). *It is not necessary to include the certification text with your proposal.*

## **VIII. PROPOSAL EVALUATION AND SELECTION**

### **A. Evaluation Criteria for Instrumentation/Equipment Proposals**

Instrumentation/equipment proposal evaluations will be based on the following criteria of equal importance:

1. Impact of requested instrumentation/equipment on the science, mathematics and/or engineering educational programs of the institution;
2. Impact of requested instrumentation/equipment on students and the number of students who will use the instrumentation/equipment or will benefit from its use in the science, mathematics and/or engineering curricula;
3. Degree to which the requested instrumentation/equipment will interface with or upgrade programs and instruments and the impact relative to current capabilities;
4. Qualifications of the faculty to carry out the educational program, including the use and maintenance awareness of the instrumentation/equipment proposed for purchase;
5. Realism and reasonableness of cost.

### **B. Evaluation Criteria for Research Proposals**

Research proposals will be evaluated using the following criteria. Primary evaluation criteria (of equal importance to each other) are:

1. Scientific and technical merits of the proposed research;
2. Potential contributions of the proposed research to the mission of the ARO;
3. Likelihood of the proposed research to develop new research capabilities or enhance existing research capabilities and to broaden the university research base in support of national defense, and the potential to contribute to the education of future scientists and engineers in disciplines critical to the mission of the Department of Defense.
4. The potential to contribute to the education of future scientists and engineers in disciplines critical to the DoD mission;

Other evaluation criteria (of less importance than 1, 2, 3, and 4, but of equal importance to each other) are:

5. Qualifications, capabilities, experience, and research accomplishments of the Principal Investigator and other key personnel whose involvement is critical to achieving the objectives of the proposal;

6. Proposed involvement and interaction with DoD laboratories, other federal laboratories, industry, or other research centers;

7. Budgetary realism and cost effectiveness of the proposal.

**C. Review and Selection Process:** Proposals will be evaluated by scientists and engineers of the ARO and ranked according to the above criteria. The most meritorious will be recommended for award. Approval of the ARO's selections rests with the Deputy Director of Defense Research and Engineering (Laboratories and Basic Science).

**D. Announcement of Selections and Award Dates:** Announcement of selections will be made through the DoD Public Affairs Office via a News Release that is expected to be available in early September 2004 at <http://www.defenselink.mil/releases/> (search by title). Awards are expected to be in place by November 15, 2004. This date should be cited as the start date of the proposal performance period.

## **IX. AWARD ADMINISTRATION INFORMATION**

### **A. Notices:**

After the DoD News Release is posted on the web site above, ARO will send a letter to each principal investigator. Approximately four weeks later, an ARO procurement officer will contact the college/university business office to initiate award processes. Initial contact will be with the individual whose name and number is provided in section 4 of the Proposal Cover (Attachment A).

Principal investigators selected for an award will be authorized to incur pre-agreement costs 90 days prior to award. Please note, however, that all pre-agreement costs are incurred at the recipient's risk (i.e., the Government is under no obligation to reimburse such costs if for any reason the recipient does not receive an award or if the amount of the agreement is less than anticipated and inadequate to cover such costs).

In compliance with provisions of 32 U.S.C. 6306 and with the intent of this program to increase university capabilities in science, mathematics, and engineering education and research, title to instrumentation/equipment acquired under this solicitation will be vested with the university without further obligation to the government.

**B. Payment by Electronic Fund Transfer – CENTRAL CONTRACTOR REGISTRATION DATABASE (CCR):** All payments by the Government under any award resulting from this

BAA shall be made by electronic funds transfer (EFT). PLEASE NOTE: Before ARO can make an award under this announcement, awardees (i.e., the college or university) must be registered in the DoD CCR database. Proposers should verify with their business offices that this has been done. To register in the DoD CCR database, go to <http://www.CCR.GOV> or call (888) 227-2423 for assistance.

**C. Reporting Requirements:** Detailed guidance and schedules for reporting will be provided at the time of grant award. The following information will be useful for familiarization and planning purposes:

1. Instrumentation/Equipment grants require a technical report 90 days after the end of the performance period defined in the award agreement. The report should (a) list items of equipment acquired, name of the manufacturer, and cost per item; (b) summarize how the equipment has been or will be used, including support of educational and/or research projects; and (c) indicate fulfillment of proposed objectives described in the proposal. The Standard Form 298 (SF 298), Report Documentation Page, is available on the ARO web site at <http://www.aro.army.mil/forms/sf298.htm>. This form should be completed and appended to the final report for transmittal to ARO.

2. Research Grants: Reporting requirements for research grants are governed by 'ARO Terms and Conditions,' incorporated herein by reference and available electronically at <http://www.aro.army.mil/forms/forms2.htm#fm18> (See 'Reporting Instructions' (ARO Form 18)). If the grantee does not have access to the Internet, copies of ARO Form 18 are available by calling the ARO Information Line at 919-549-4375.

**Attachment A: PROPOSAL COVER**

**This proposal is submitted to the Army Research Office for consideration under:  
ARO Broad Agency Announcement W911NF-04-R-0002  
FY 2004 DoD Instrumentation and Research Support Program for  
Hispanic-Serving Institutions (HSIs)**

*(Check only one)*

\_\_\_\_\_ INSTRUMENTATION Proposal

Proposal Number \_\_\_\_\_  
*(to be completed by ARO)*

\_\_\_\_\_ RESEARCH Proposal

\_\_\_\_\_  
\_\_\_\_\_  
(Indicate research topic area and name of research program manager with whom research was discussed. (see Section III.B. of this solicitation.)

**1. THE PRINCIPAL INVESTIGATOR**

*(If there are Co-PIs, indicate one as primary for record and correspondence purposes):*

\_\_\_\_\_  
(Title) (First Name) (MI) (Last Name)

\_\_\_\_\_  
(Phone number, including Area Code) (Fax Number) (E-mail address)

\_\_\_\_\_  
(Organization)

\_\_\_\_\_  
(Department/Division)

\_\_\_\_\_  
(Street/ P.O. Box)

\_\_\_\_\_  
(City) ( State) ( Zip Code)

CURRENT DoD CONTRACTOR OR GRANTEE: YES\_\_\_ NO\_\_\_ (If yes, give Agency Name, Contract/Grant Number, Point of Contact, Phone Number)

**2. THE PROPOSAL**

\_\_\_\_\_  
TITLE OF PROPOSAL *(Be brief and descriptive; use key words suitable for indexing and retrieval; avoid acronyms and mathematical or scientific notation.)*

\_\_\_\_\_  
Total Funds Requested from DoD

\_\_\_\_\_  
Proposed Start Date  
(Month/Day/Year)

3. CERTIFICATIONS:

By signing this form and submitting this proposal, the proposer is certifying compliance with 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. The full text of these certifications may be found in Attachment C. (Note: It is not necessary to send the text of the certifications with your proposal; signature of authorized university official(s) below is sufficient.)

4. APPROVALS BY OTHER UNIVERSITY OFFICIALS: Use this space for names, titles, and signatures of officials approving the submission of this proposal (i.e., the Principal Investigator, Department Head, Dean or other officials).

_____	_____
(Principal Investigator)	(Date)
_____	_____
(Other University Official)	(Date)
_____	_____
(Other University Official)	(Date)

5. THE INSTITUTION:

NAME, ADDRESS and SIGNATURE OF UNIVERSITY OFFICIAL AUTHORIZED TO OBLIGATE CONTRACTUALLY:

_____				_____	
(Signature)				(Date)	
_____	_____	_____	_____	_____	
(Title)	(First Name)	(MI)	(Last Name)	(Area Code & Phone Number)	
_____				_____	
Legal 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.<sup>1</sup> \_\_\_\_\_ Taxpayer Identification No. (TIN): \_\_\_\_\_  
Commercial and Government Entity (CAGE) Code: \_\_\_\_\_

<sup>1</sup> The institution's number in the data universal numbering system or DUNS is a unique 9-character identification number for organizations and subsidiaries. Dun & Bradstreet Corporation assigns these numbers. You can receive a DUNS number by calling Dun & Bradstreet at 1-800-333-0505 or go to the Dun & Bradstreet web site at <http://www.dnb.com/>. To facilitate payment under any award, the institution must be registered in the Central Contract Registry (CCR). CCR uses the DUNS as a unique identifier for each organization. Information on registering in the CCR may be found at <http://www.CCR.GOV/> or 1-888-227-2423.

Attachment B: ACKNOWLEDGMENT RECEIPT

DATE:



*Prepare two mailing labels for the Principal Investigator.  
Place one label in the space above and place the other on a #10 envelope.  
Fold this form and place it in the self-addressed, stamped envelope. It will be returned to you by mid July 2004.*

**NOTE: ARO will no longer pay postage if you forget the stamp!**

Dear Principal Investigator:

The proposal that you submitted to the Army Research Office for the Fiscal Year 2004 Department of Defense Instrumentation and Research Program for Hispanic Serving Institutions (HSIs), BAA No. W911NF-04-R-0002, was received on time and is under evaluation.

Your proposal has been assigned No. \_\_\_\_\_. This number is for tracking purposes. Please reference this number when inquiring about your proposal.

Announcement of selections is expected in late September 2004 via DoD News Release posted at <http://www.defenselink.mil/releases/>.



## **Attachment C: CERTIFICATIONS--EDUCATIONAL/NONPROFIT INSTITUTIONS**

### **A. CERTIFICATION REGARDING LOBBYING**

This certification is required for an award of a Federal contract, grant, or cooperative agreement exceeding \$100,000 and for an award of a Federal loan or a commitment providing for the United States to insure or guarantee a loan exceeding \$150,000.

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) 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.

(2) 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 and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, sub grants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients 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 for each such failure.

### **B. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS--PRIMARY COVERED TRANSACTIONS**

(1) The prospective primary participant certifies, to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State

antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

### **C. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS**

A. The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about-

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy to maintain a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will--

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such

conviction. Employers of convicted employees must provide notice, including position title, to every grants officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted--

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant: Place of Performance (street address, city, county, state, zip code). Unless identified otherwise, location is as shown in Section 1 of Attachment A (Proposal Cover).