

Amendment 0001

ONR BAA Announcement Number 10-025

Fiscal Year 2011 Office of Naval Research Young Investigator Program (YIP)

The purpose of this amendment is to: 1) revise Paragraph 11 entitled “Other Information” under Section I – General Information; 2) revise Section III entitled “Eligibility Information”; and 3) revise Paragraph 1 entitled, “Administrative Requirements” under Section IV - Award Administration Information.

1. Under Section I, entitled, “General Information”, Paragraph 11, entitled, “Other Information”, is hereby deleted in its entirety and replaced with the following:

11. Other Information -

Work funded under this BAA may include basic research, applied research and some advanced research. With regard to any restrictions on the conduct or outcome of work funded under this BAA, ONR will follow the guidance on and definition of “contracted fundamental research” as provided in the Under Secretary of Defense (Acquisition, Technology and Logistics) Memorandum of 24 May 2010.

As defined therein the definition of “contracted fundamental research,” in a DoD contractual context, includes [research performed under] grants and contracts that are (a) funded by Research, Development, Test and Evaluation Budget Category 1 (Basic Research), whether performed by universities or industry or (b) funded by Budget Category 2 (Applied Research) and performed on campus at a university. The research shall not be considered fundamental in those rare and exceptional circumstances where the applied research effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the contract or grant.

Pursuant to DoD policy, research performed under grants and contracts that are a) funded by Budget Category 6.2 (Applied Research) and NOT performed on-campus at a university or b) funded by Budget Category 6.3 (Advanced Research) does not meet the definition of “contracted fundamental research.” In conformance with the USD(AT&L) guidance and National Security Decision Direction 189, ONR will place no restriction on the conduct or reporting of unclassified “contracted fundamental research,” except as otherwise required by statute, regulation or Executive Order. For certain research projects, it may be possible that although the research being performed by the prime contractor is restricted research, a subcontractor may be conducting “contracted fundamental research.” In those cases, it is the *prime contractor’s responsibility* in the proposal to identify and describe the subcontracted unclassified research and

include a statement confirming that the work has been scoped, negotiated, and determined to be fundamental research according to the prime contractor and research performer.

Normally, fundamental research is awarded under grants with universities and under contracts with industry. Non-fundamental research is normally awarded under contracts and may require restrictions during the conduct of the research and DoD pre-publication review of such research results due to subject matter sensitivity. Potential Offerors should consult with the appropriate ONR POCs to determine whether the proposed effort would constitute basic research, applied research or advanced research.

2. Section III, entitled, "Eligibility Information", is hereby deleted in its entirety and replaced with the following:

III. ELIGIBILITY INFORMATION

Awards under this BAA will be made only to U.S. Institutions of Higher Education which award degrees in science, engineering, and/or mathematics. Historically Black Colleges and Universities (HBCUs) and Minority Institutions (MIs) are encouraged to submit proposals and join others in submitting proposals. However, no portion of this BAA will be set aside for HBCU and MI participation. Further, the Principal Investigator of a proposal must be a U.S. citizen, national, or permanent resident (on the date proposals are due), holding a first or second full-time tenure-track or tenure-track-equivalent faculty position at that university, and who for FY2011 have begun her/his first full-time appointment on or after 01 November 2005. The term "national" of the United States includes a native resident of a possession of the United States, such as American Samoa.

The Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by Section 6202 of Public Law 110-252, requires that all agencies establish requirements for recipients reporting information on subawards and executive total compensation as codified in 2 CFR 170.110. Any company, non-profit agency or university that applies for financial assistance (either grants, cooperative agreements or other transaction agreements) as either a prime or sub-recipient under this BAA must provide information in its proposal that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR 170.220. An entity is **exempt** from this requirement **UNLESS** in the preceding fiscal year it received: a) 80 percent or more of its annual gross revenue in Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; b) \$25 million or more in annual gross revenue from Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; and c) the public does not have access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 or section 6104 of the Internal Revenue Code of 1986.

3. Under Section VI, entitled "Award Administration Information", Paragraph 1, entitled, "Administrative Requirements" is hereby deleted in its entirety and replaced with the following:

1. Administrative Requirements:

- . Central Contractor Registration: All Offerors submitting proposals or applications must:
 - (a) be registered in the Central Contractor Registration (CCR) prior to submission;
 - (b) maintain an active CCR registration with current information at all times during which it has an active Federal award or an application under consideration by any agency; and
 - (c) provide its DUNS number in each application or proposal it submits to the agency.