ONR BAA 13-024 Amendment 0002

The purpose of this amendment is to remove language under Section IV for ONR BAA 13-024.

Section IV is revised to read as follows:

"IV. APPLICATION AND SUBMISSION INFORMATION

1. Application and Submission Process -

General Information:

The white papers and full proposals submitted under this BAA must address unclassified basic research. White papers and full proposal submissions will be protected from unauthorized disclosure in accordance with applicable laws and DoD regulations. Proposers are expected to appropriately mark each page of their submission that contains proprietary information. Grants awarded under this announcement shall be unclassified.

Important Note: Titles given to the White Papers/Full Proposals should be descriptive of the work they cover and not be merely a copy of the title of this solicitation.

The proposal submission process has two stages.

Stage 1 - Prospective offerors are expected to submit white papers to minimize the labor and cost associated with the production of detailed proposals that have little chance of being selected for funding. Further, offerors are strongly encouraged to contact the appropriate Research Topic Chief (see Section VIII of this BAA) for discussion of their ideas to enhance the chances that white papers will receive positive feedback. Based on an assessment of the white papers, the responsible Research Topic Chiefs will provide email feedback to the prospective recipients to encourage or discourage submission of full proposals. The reviewers will advise the recipients whether their white papers outlined proposals that appear to be of particular value to the Department of Defense (DoD) and the Minerva Research Initiative. A party is allowed to submit a full proposal even if its white paper was not evaluated as being of particular value to the DoD, but the white paper feedback is likely to be a good indicator of how a full proposal based upon the white paper will be evaluated. White papers arriving after the deadline may not receive feedback. Therefore, it is strongly encouraged that all white papers are submitted by the deadline to ensure feedback from the appropriate Research Topic Chiefs.

Stage 2 – Subsequent to white paper feedback, interested offerors are required to submit full proposals. All proposals submitted under the terms and conditions cited in this BAA will be evaluated in accordance with the evaluation criteria stated herein. Offerors can submit a proposal without submitting a white paper. However, interested parties are strongly encouraged to submit white papers within the deadline provided in this BAA so feedback can be obtained.

Submission dates and times may be found in paragraph 3 of this section.

2. Content and Format of White Papers/Full Proposals -

The Proposals submitted under this BAA must be unclassified.

a. WHITE PAPERS

White papers shall be submitted electronically to minerva@osd.mil. The email subject line should contain the following: FY13 Minerva Topic [topic number] white paper

Due Date: The due date for receipt of white papers is no later than November 18, 2013, 3:00 PM Eastern Time. White papers received after the deadline may not be reviewed.

White papers shall comply with the following format.

- Paper size when printed - 8.5 x 11 inch paper
- Margins - 1 inch
- Spacing - single
- Font – No smaller than Times New Roman, 10 point
- Number of pages - no more than four (4) single-sided pages (excluding cover letter, cover, and curriculum vitae).

White papers not complying with formatting instructions will not be evaluated.

White paper content should be as follows:

- A one page cover letter (optional)
- A cover page, labeled "PROPOSAL WHITE PAPER," that includes the BAA number, proposed title, and offeror's technical point of contact, with telephone number, facsimile number, e-mail address, topic number, and topic title.
- Identification of the research and issues
- Proposed methods
- Potential implications for national defense
- Potential team and management plan
- Summary of estimated costs
- Curriculum vitae of key investigators (not included in page count)

The white paper should provide sufficient information on the research being proposed (e.g., hypothesis, theories, concepts, methods, approaches, data collection, measurement and analyses) to allow for an assessment by a subject matter expert. It is not necessary for white papers to carry official institutional signatures.

Acknowledgement of receipt of a white paper under this BAA will be sent via email to the addressee approximately one week after receipt.

b. FULL PROPOSALS

Full proposals shall be submitted electronically through www.grants.gov. Full proposals sent by fax or email will not be considered.

Registration Requirements for Grants.gov: Proposals must be submitted electronically through Grants.gov. There are several one-time actions your institution must complete in order to submit applications through Grants.gov (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number; register with the Central Contract Registry (CCR); register with the credential provider; register with Grants.gov; and obtain approval for an Authorized Organization Representative (AOR) to submit applications on behalf of the organization). Go to http://www.grants.gov/applicants/get_registered.jsp for further information. Use the Grants.Gov Organization Registration Checklist, which may be accessed at http://www.grants.gov/applicants/register_your_organization.jsp to guide you through the process.

Applicants who are not registered with CCR and Grants.gov, should allow at least 21 days to complete these requirements. It is suggested that the process be started as soon as possible.

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

VERY IMPORTANT – Download PureEdge Viewer: In order to view, complete, and submit an application package, you will need to download the appropriate software packages. Go to

Submitting the Application

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 select "Download Application Package." Enter the CFDA number, 12.300, DOD **Basic and Applied Scientific Research**.

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

Form: SF 424 (R&R) (Mandatory)

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

The following information must be completed as follows in the SF 424 located on www.grants.gov to ensure that the application is directed to the correct individual for review: Block 4a, Federal Identifier: Enter the previous ONR award number, or N00014 if the application is not a renewal or expansion of an existing award; Block 4b, Agency Routing Number: Enter the three (3) digit Program Office Code and the Program Officer's name, last name first, in brackets (i.e., [Shifler, David]). Applicants who fail to provide a Program Officer code identifier may receive a notice that their proposal is rejected.

To attach the technical proposal in Grants.gov, download the application package
Click on "Research and Related Other Project Information"
Click on "Move form to Submission List"
Click on "Open Form"
You will see a new PDF document titled "Research & Related Other Project Information"
Block 7 is the Project Summary/Abstract -> click on "Add attachment" and attach the project summary/abstract. (You will not be able to type in the box, therefore, save the file you want to attach as Project Summary or Abstract).
Block 8 is the Project Narrative -> click on Add attachment and attach the technical proposal. (Save the file as Volume I- Technical Proposal since you will not be able to type in the box).

Form: Research & Related Other Project Information

Complete questions 1 through 5 and attach files. The files must comply with the following instructions:

Project Summary/Abstract (Field 7 on the form)

The project summary should be a single page that identifies the research problem, proposed methods, anticipated outcome of the research, if successful, and impact on DoD capabilities or broader implications for national defense. It should identify the Principal Investigator, the university/research institution (and other universities involved in the Minerva team, if applicable), the proposal title, the Minerva topic number, and the total funds requested from DoD for the 3-year base period (and, in the case of 5-year proposals, the additional 2-year option period and the potential 5-year total period). The project summary must not exceed 1 page when printed using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right) with font no smaller than Times New Roman, 10 point. To attach a Project Summary/Abstract, click "Add Attachment."

Project Narrative (Field 8 on the form)

The following formatting rules apply for Field 8

- Paper size when printed - 8.5 x 11 inch paper
- Margins - 1 inch
- Spacing - single
- Font – No smaller than Times New Roman, 10 point
- Number of pages - no more than twenty-five (25) single-sided pages.
  The cover, table of contents, list of references, letters of support, and curriculum vitae are excluded from the page limitations. Full proposals exceeding the page limit may not be evaluated.

Include the following in Field 8

The narrative's first page **must** include the following information:

- Principal Investigator name
- Phone number, fax number, and e-mail address
- Institution, Department, Division
- Institution address
- Other institutions involved in the Minerva team, if applicable
- Past or current DoD Contractor or Grantee? If yes, provide Agency, point of contact; number
- Proposal title
- Institution proposal number
- Topic number and topic title

- Table of Contents: List project narrative sections and corresponding page numbers.

- Technical Approach: Describe in detail the basic science research to be undertaken. State the objective and approach, including how data will be analyzed and interpreted. Discuss the relationship of the proposed research to the state-of-the-art knowledge in the field and to related efforts in programs elsewhere, and discuss potential scientific breakthroughs. Include appropriate literature citations/references. Discuss the nature of expected results. Discuss potential applications to defense missions and requirements. Describe plans for the research training of students. Include the number of full time equivalent graduate students and undergraduates, if any, to be supported each year. Discuss the involvement of other students, if any.

- Project Schedule, Milestones, and Deliverables: A summary of the schedule of events, milestones, and a detailed description of the results and products to be delivered.

- Management Approach: A discussion of the overall approach to the management of this effort, including brief discussions of: required facilities; relationships with any subawardees and with other organizations; availability of personnel; and planning, scheduling, and control procedures.

  (a)   Describe the facilities available for the accomplishment of the proposed research and related education objectives. Describe any capital equipment planned for acquisition under this program and its application to the proposed research. If possible, budget for capital equipment should be allocated to the first budget period of the grant. Include a description of any government furnished equipment/hardware/software/information, by version and/or configuration that are required for the proposed effort.

  (b)   Describe in detail proposed subawards to other eligible universities or relevant collaborations (planned or in place) with government organizations, industry, or other appropriate institutions. Particularly describe how collaborations are expected to facilitate the transition of research results to applications. If subawards to other universities/institutions are proposed,

make clear the division of research activities, to be supported by detailed budgets for the proposed subawards.

(c)   Designate one Principal Investigator for the award to serve as the primary point-of-contact. Briefly summarize the qualifications of the Principal Investigators and other key investigators to conduct the proposed research.

(d)   Describe plans to manage the interactions among members of the proposed research team, if applicable.

(e)   Identify other parties to whom the proposal has been, or will be sent, including agency contact information.

- <u>Curriculum Vitae</u>: Include curriculum vitae of the Principal Investigator and key co-investigators.

All applications should be in a single PDF file. To attach a Project Narrative in Field 8, click "Add Attachment."

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

Facilities and Other Resources (Field 10 on the form)

This field not required.

Equipment (Field 11 on the form)

This field not required.

Other Attachments (Field 12 on the form)

Attach budget proposal at Field 12. You must provide a detailed cost breakdown of all costs, by cost category, by the funding periods described below, corresponding to the proposed Technical Approach which was provided in Field 8 of the Research and Related Other Project Information Form. Any options must be separately priced.

The budgets should adhere to the following guidelines:

Detailed breakdown of all costs, by cost category, by the calendar periods stated below. For budget purposes, use an award start date of 01 June 2014.

For up to a three-year base grant, the cost should be broken down to reflect funding increment periods of:

       1)   Twelve months (01 Sep 2014 to 31 Aug 2015),
       2)   Twelve months (01 Sep 2015 to 31 Aug 2016),
       3)   Twelve months (01 Sep 2016 to 31 Aug 2017)

For a potential two year extension option (large team awards only), the additional cost should be broken down to reflect funding increment periods of:

       6)   Twelve months (01 Sep 2017 to 31 Aug 2018), and
       7)   Twelve months (01 Sep 2018 to 31 Aug 2019).

Note that the budget for each of the calendar periods (e.g., 01 Sep 2014 to 31 Aug 2015) should include only those costs to be expended during that calendar period.

Annual budgets should be driven by program requirements. Elements of the budget should include:

- Direct Labor – Individual labor category or person, with associated labor hours and unburdened direct labor rates. Provide escalation rates for out years. Provide the basis for the salary proposed.

- Administrative and clerical labor – Salaries of administrative and clerical staff are normally indirect costs (and included in an indirect cost rate). Direct charging of these costs may be appropriate when a major project requires an extensive amount of administrative or clerical support significantly greater than normal and routine levels of support. Budgets proposing direct charging of administrative or clerical salaries must be supported with a budget justification which adequately describes the major project and the administrative and/or clerical work to be performed.

- Indirect Costs – Fringe benefits, overhead, G&A, etc. (must show base amount and rate). Provide the most recent rates, dates of negotiations, the period to which the rates apply, and a statement identifying whether the proposed rates are provisional or fixed. If the rates have been negotiated by a Government agency, state when and by which agency. Include a copy of the current indirect rate agreement.

- Travel – 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.

- Subawards – Provide a description of the work to be performed by the subrecipients. For each subaward, a detailed cost proposal is required to be included in the principal investigator's cost proposal. Fee/profit is unallowable on subawards.

- Consultant – Provide consultant agreement or other document that verifies the proposed loaded daily/hourly rate. Include a description of the nature of and the need for any consultant's participation. Strong justification must be provided, and consultants are to be used only under exceptional circumstances where no equivalent expertise can be found at a participating university. Provide budget justification.

- Materials and Supplies – Specifically itemized with costs or estimated costs. An explanation of any estimating factors, including their derivation and application, shall be provided. Include a brief description of the offeror's procurement method to be used (competition, engineering estimate, market survey, etc.). Justify.

- Recipient Acquired Equipment or Facilities – Equipment and/or facilities are normally furnished by the Recipient. If acquisition of equipment and/or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all equipment and/or facilities costs and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). Allowable items normally are limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, laptops, office equipment) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.

- Other Directs Costs – Provide an itemized list of all other proposed other direct costs such as Graduate Assistant tuition, laboratory fees, report and publication costs and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). NOTE: If the grant proposal is for a conference, workshop, or symposium, the proposal should include the following statement: "The funds provided by ONR will not be used for food or beverages."

- Fee/Profit – Fee/profit is unallowable.

Funding breakdown corresponding to the proposed Technical Approach which was provided in Field 8 of the Research and Related Other Project Information Form must also be attached.

Research and Related – Senior/Key Person Profile Form

Attach statements of current and pending support for the Principal Investigators and co-investigators listed in the proposal, as applicable. These statements require that each investigator specify all grants and contracts through which he or she is currently receiving or may potentially receive financial support. Describe the research activities and amount of funding. Biographical sketches are required for the Principal Investigator and for other key personnel. Please be sure to include education and years.

Submission of Grant Proposals through Grants.gov

Detailed instructions entitled "Grants.gov Electronic Application and Submission Information" on how to submit a grant proposal through Grants.gov may be found at the ONR website listed under the 'Acquisition Department – Contracts & Grants Submitting a Proposal" link at: http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-gov.aspx.

White Papers should not be submitted through the Grants.gov Apply process, but rather should be sent directly to ONR. White Papers should be e-mailed directly to the Technical Points of Contact. White Paper format requirements are found in Section IV, item 2a above.

By completing Block 17, the Grant Applicant is providing the certification on lobbying required by 32 CFR Part 28. Refer to Section VI, "Award Administration Information" entitled "Certifications" for further information.

For electronic submission of grant full proposals, several one-time actions must be completed in order to submit an application through Grants.gov. These include obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the System for Award Management (SAM), registering with the credential provider, and registering with Grants.gov. See http://www.grants.gov, specifically http://www.grants.gov/GetStarted.

Use the Grants.gov organization Registration Checklist at http://www.grants.gov/applicants/register_your_organziation.jsp which will provide guidance through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called "MPIN" are important steps in the SAM registration process. Applicants who are not registered with SAM.gov and Grants.gov should allow at least 21 days to complete these requirements. The process should be started as soon as possible. Any questions relating to the registration process, system requirement, how an application form works, or the submittal process **must** be directed to Grants.gov at 1-800-518-4726 (1-606-545-5035 for foreign applicants) or support@grants.gov.

Full Proposal Receipt Notices

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

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

Number 2 – The applicant will receive an e-mail indicating that the proposal has been validated by Grants.gov within a few hours of submission. (This means that all of the required fields have been completed.) This initial email will also include a grants.gov tracking number.

Number 3 – The third notice is an acknowledgment of receipt in e-mail form from grants.gov.   The e-mail is sent to the authorized representative for the institution. The e-mail for proposals notes that the proposal has been received

and provides the assigned tracking number. The document, Tracking Your Application Package, located at http://www.grants.gov/assets/TrackingYourApplicationPackage.pdf explains this process.

The proposal is not considered properly received until the AOR receives email #3.

Late Submission of Full Proposals

Any full proposal submitted through Grants.gov where the time and date for submission (e-mail Number #1) is after the deadline for proposal submission in Section IV, paragraph 4 below will be late and **will not be evaluated** unless the Grants.gov website was not operational on the due date and was unable to receive the proposal submission. If this occurs, the time specified for the receipt of proposals through Grants.gov will be extended to the same time of the day specified in this BAA on the first workday on which the Grants.gov website is operational.

Be advised that Grants.gov applicants have been experiencing system slowness and validation issues which may impact the time required to submit proposals. After proposals are uploaded to grants.gov, the submitter receives an email indicating the proposal has been submitted and that grants.gov will take up to two days to validate the proposal. As it is possible for grants.gov to reject the proposal during this process, it is STRONGLY recommended that proposals be uploaded at least two days before the deadline established in the BAA so that it will not be received late and be ineligible for award consideration. It is also recommended to start uploading proposals at least two days before the deadline to plan ahead for any potential technical and/or input problems involving the proposer's own equipment.

3. **Significant Dates and Time**s

Anticipated Schedule of Events		
Event	**Date (MM/DD/YEAR)**	**Time (Local Eastern Time)**
Pre-Proposal Conference/Industry Day	N/A	
White Papers Due Date	11/18/2013	3:00 PM
Notification of Initial Evaluations of White Papers*****	12/20/2013	
Oral Presentation of White Papers*	N/A	
Notification of Evaluations of Oral Presentations*****	N/A	
Full Proposals Due Date	02/14/2014	3:00 PM
Notification of Selection for Award *	04/15/2014	
Contract Awards*****	09/01/2014	
Kickoff Meeting*****	12/01/2014	

* These dates are estimates as of the date of this announcement."