

ONR FOA Announcement Number: N00014-15-R-FO13  
Amendment 0002  
As of 12 Nov 2015

The funding opportunity announcement is revised to:

1) Correct "Introduction," Bullet 1 of the FOA to read as follows (changes in **bold**):

- Offerors shall include responses to *Representation Regarding an Unpaid Delinquent Liability or a Felony Criminal Conviction under Any Federal Law – DoD Appropriations, Prohibition on Contracting with Entities that Required Certain Internal Confidentiality Agreements, and Certification Regarding Restrictions on Lobbying* in proposal submissions. Refer to Section **VII**, 'Award Administration Information' entitled "Certifications" for further information.

2) The following Questions and Answers are also provided:

Question 1: Is there a limit on the number of times an applicant can participate in the ONR YIP? For example, the NSF CAREER program has a cap of three.

Answer 1: ONR does not place a limit on the number of times qualified individuals can apply for a YIP; however, an individual shall only be named a YIP recipient once. The goal for YIP is to identify promising researches and eventually provide long term support under various ONR core programs.

Question 2: Are recipients of AFOSR YIP and/or DARPA YFA disqualified from submitting a proposal under the ONR YIP?

Answer 2: The Office of Naval Research currently does not disqualify eligible YIP applicants if they have received an AFOSR YIP, DARPA YFA, or other similar award. We have previous awardees that have more than one "young investigator like" award. We rely strongly on our Program Officers to evaluate and recommend the best candidates for a YIP; therefore, any effort proposed under the ONR YIP must be new and innovative and not duplicate work conducted under such previous awards.

End Amendment 0002

## Fiscal Year 2016 Office of Naval Research Young Investigator Program (YIP)

### INTRODUCTION:

This publication constitutes a Funding Opportunity Announcement (FOA) as contemplated in Department of Defense Grant and Agreement Regulation (DoDGARs) 22.315(a). A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued.

The Office of Naval Research (ONR) will not issue paper copies of this announcement. ONR reserves the right to select for award all, some or none of the proposals submitted in response to this announcement. ONR does not provide funding for direct reimbursement of proposal development costs. Technical and cost proposals (or any other material) submitted in response to this FOA will not be returned. It is the policy of ONR to treat all proposals as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

Potential offerors may obtain information on ONR programs and opportunities by checking the ONR website at <http://www.onr.navy.mil/Contracts-Grants/Funding-Opportunities/Broad-Agency-Announcements.aspx>. Specific information about FOAs and amendments and updates to this FOA will be found at that site under the heading “Broad Agency Announcements.”

The following items are highlighted:

- Offerors shall include responses to *Representation Regarding an Unpaid Delinquent Liability or a Felony Criminal Conviction under Any Federal Law – DoD Appropriations, Prohibition on Contracting with Entities that Required Certain Internal Confidentiality Agreements, and Certification Regarding Restrictions on Lobbying* in proposal submissions. Refer to Section VII, ‘Award Administration Information’ entitled “Certifications” for further information.
- Project Summary Abstracts are required in the submission of the proposal and must be publically releasable. Details regarding content of Project Summary Abstracts can be found in section IV, “Application and Submission Information” Paragraph 2 entitled, Content and Format of Full Proposals.

## I. GENERAL INFORMATION

### 1. Agency Name -

Office of Naval Research

### 2. Research Opportunity Title –

Fiscal Year 2016 Office of Naval Research Young Investigator Program (YIP)

### 3. Program Name –

Office of Naval Research (ONR) Young Investigator Program (YIP)

### 4. Research Opportunity Number –

N00014-15-R-FO13

### 5. Response Date –

Full Proposals: 4:00 PM, Eastern Standard Time (EST), on 01 Dec 2015 (Tuesday)

### 6. Research Opportunity Description -

The Office of Naval Research (ONR) is interested in receiving proposals for its Young Investigator Program (YIP). ONR's Young Investigator Program (YIP) seeks to identify and support academic scientists and engineers who are in their first or second full-time tenure-track or tenure-track-equivalent academic appointment, have begun their first appointment on or after 01 Nov 2010, and who show exceptional promise for doing creative research. The objectives of this program are to attract outstanding faculty members of Institutions of Higher Education (hereafter also called "universities") to the Department of the Navy's research program, to support their research, and to encourage their teaching and research careers.

Proposals addressing research areas (as described in the ONR Science and Technology (S&T) Department section of ONR's website at [www.onr.navy.mil](http://www.onr.navy.mil)) which are of interest to ONR Program Officers will be considered. Contact information for each Division (a subgroup of an S&T Department) is also listed within the S&T section of the website. Potential applicants are HIGHLY ENCOURAGED to contact the appropriate Program Officer who is the point of contact for a specific technical area to discuss their research ideas. Brief informal pre-proposals may be submitted to facilitate these discussions. Such discussions can clarify the content and breadth of the priority research areas and enhance the match between a subsequent proposal and Department of the Navy research needs. Please allow adequate time for such discussions with the ONR Program Officer.

An individual wishing to apply for a Young Investigator award must submit a research proposal and a supporting letter through the appropriate university officials. ONR makes awards to institutions, not to individuals. The research proposal should follow the format described in FOA Section IV entitled, "Application and Submission Information."

Proposals may request up to \$170,000 per year for three (3) years. These funds may be budgeted against any reasonable costs related to conducting the proposed research; for example, salary for the Young

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Investigator, graduate student support, supplies, and applicable indirect cost. Additional funds (beyond the basic \$170,000 yearly amount) for capital equipment which enhances the Young Investigator's proposed research may be requested for the first budget period based on the needs of the research.

Requesting funds for capital equipment will not decrease the probability of receiving an award. Additional support for equipment will be decided separately from award selections and will depend upon availability of funds.

Offerors awarded grants under the ONR Young Investigator Program have the opportunity to supplement the basic \$170,000 per year award through a "matching funds" enhancement available only to those receiving an ONR Young Investigator award. Proposals submitted against this FOA do not require offerors to identify if they will seek "matching funds" or provide additional documentation.

As an incentive for becoming involved with other Department of the Navy research activities, the Office of the Director of Research of ONR may match on a 1-for-1 basis, the first \$25,000 of additional Department of the Navy funding which a successful applicant obtains each year to support additional, collaborative research with a Navy laboratory during the YIP award. Potential sources of research support eligible for the 1-for-1 match include Navy laboratories and ONR Program Officers. Thus, these "matching funds" can provide research support over and above the basic \$170,000 per year award, e.g. to support an additional graduate student or an additional research task. A Young Investigator is not prohibited from receiving more than \$25,000 from other Department of the Navy sources; however, the Office of the Director of Research will match on a 1-for-1 basis only the first \$25,000 each year, if funds are available. Other Navy support eligible for matching funds can be arranged at any time and generally will not have been identified at the time of the initial award. ONR Program Officers may assist, upon request, Young Investigators in identifying potential collaborators at Navy laboratories or other Navy organizations interested in funding additional research.

Upon completion of the three (3) year award period, Young Investigators may apply to ONR for continued support under ONR's Long Range BAA. Decisions about continued funding outside the context of the YIP will be made following a review of the new proposal by the cognizant Program Officer, based on the merits of the proposal, ONR's research priorities, and the creativity and productivity exhibited during the previous Young Investigator research program.

The competition for YIP awards continues to be intense. In 2015 over 380 proposals were received resulting in 36 Young Investigator awards. Past awardees have both submitted outstanding research proposals and possessed outstanding records of prior professional accomplishments. Given that "past performance" is a selection criterion, applicants are advised that the biographical information submitted as part of the proposal (see "Qualifications" under "Proposal Content," below) should list all relevant past and present activities. See Section V. Evaluation Information for more details regarding evaluation of submitted proposals.

Proposals not selected for the Young Investigator Program may be considered for grant award under the ONR Long Range Broad Agency Announcement. Under the ONR Long Range BAA, grant proposals would be in competition with all other research proposals submitted in response to the ONR Long Range BAA. Historically, only a limited number of proposals initially submitted to the YIP received funding under the ONR Long Range BAA. Thus, the YIP is not a "research initiation" opportunity with standards that are less demanding than ONR's other research grant programs; however, it is intended to confer honor upon awardees beyond the funding being provided. Consideration of any YIP proposal to another ONR research grant program is at the discretion of the cognizant Program Officer.

## 7. Point(s) of Contact –

Questions of a technical nature shall be directed to the ONR Program Officer responsible for a research area that best matches the research being proposed. See ONR Science and Technology Departments (<http://www.onr.navy.mil/Science-Technology/Departments.aspx>) or Technology Locator (<http://www.onr.navy.mil/en/Science-Technology/Contacts.aspx>) at [www.onr.navy.mil](http://www.onr.navy.mil) to locate the cognizant ONR Program Officer.

Comments or questions regarding this FOA should be concise and to the point. In addition, the relevant part and paragraph of the Funding Opportunity Announcement (FOA) should be referenced.

All S&T questions shall be submitted via e-mail to the ONR Program Officer and include the Business Point of Contact noted below.

Questions regarding YIP policy should be submitted to the YIP Program Manager:

Dr. Reginald G. Williams  
Program Manager, Code 03R, YIP  
Office of Naval Research  
875 North Randolph Street - Suite 660  
Arlington, VA 22203-1995  
Email Address: [reginald.g.williams@navy.mil](mailto:reginald.g.williams@navy.mil)

Questions of a business nature should be submitted to:

Mary Helen Dent Adams  
Contracting Officer/Grants Officer Code BD254  
Office of Naval Research  
875 North Randolph Street Suite  
Arlington, VA 22203-1995  
Email Address: [mary.dent@navy.mil](mailto:mary.dent@navy.mil)

Questions asked that direct a questioner to a page number in the YIP may not be included in YIP amendment(s). Amendments to this FOA will be generated only if a question is asked that requires the Government to provide information not already contained in the FOA or to clarify FOA language.

FOA amendments, if any, will be posted to:

- Grants.gov Webpage - <http://www.grants.gov/>
- ONR Broad Agency Announcement Webpage (Including FOA's)-  
<http://www.onr.navy.mil/Contracts-Grants/Funding-Opportunities/Broad-Agency-Announcements.aspx>

## 8. Instrument Type(s) –

Awards will take the form of grants.

## 9. Catalog of Federal Domestic Assistance (CFDA) Number -

12.300

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## 10. Catalog of Federal Domestic Assistance (CFDA) Title -

Basic and Applied Scientific Research, (ONR)

## 11. Other Information -

Work funded under this FOA must be basic research and falls under the guidance of the Under Secretary of Defense (Acquisition, Technology, and Logistics) Memorandum of 24 MAY 2010.

As regards to the present FOA, the Research and Development efforts to be funded will consist of basic research. The funds available to support awards are Budget Activity 1 as defined in the DoD Financial Management Regulation.

**THIS ANNOUNCEMENT IS NOT FOR THE ACQUISITION OF TECHNICAL, ENGINEERING AND OTHER TYPES OF SUPPORT SERVICES.**

## II. AWARD INFORMATION

### 1. Amount and Period of Performance

The amount of resources made available under this FOA will depend on the quality of the proposals received and the availability of funds. Multiple awards are anticipated. Awards under this FOA will be made to proposers on the basis of the evaluation criteria listed in Section V and program balance to provide overall value to the Government.

Proposed research should be structured to have a three (3) year period of performance beginning 01 Jun 2016 (Wednesday). It is anticipated that individual awards will be up to \$170,000 per year for three (3) years (with the possibility of greater support for equipment and/or to support additional, collaborative research with a Navy laboratory). The \$170,000 limit includes all funds paid to the university, including all indirect costs.

### 2. ONR Peer Reviews and Use of Advisors

In the case of proposals funded as basic research, as outlined in ONR Instruction 3966.1A, peer reviews will be utilized. Such periodic program reviews monitor the cost, schedule and technical performance of funded basic research efforts. The reviews are used in part to determine which basic research projects will receive continued ONR funding.

ONR may utilize advisors from academia, industry, and Government agencies to assist in the periodic appraisal of performance under the awards. Advisors who are not U.S. Government employees must sign nondisclosure agreements before receiving full or partial copies of proposals and reports submitted by the basic research performers. Offerors may include travel costs for the Principal Investigator (PI) to attend the peer review.

## III. ELIGIBILITY INFORMATION

Awards under this FOA must be made only to U.S. Institutions of Higher Education which award degrees in science, engineering, and/or mathematics. 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

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full-time tenure-track or tenure-track-equivalent faculty position at that university, and has begun her/his first full-time appointment on or after 01 November 2010. The term "national" of the United States includes a native resident of a possession of the United States, such as American Samoa.

#### IV. APPLICATION AND SUBMISSION INFORMATION

##### 1. Application and Submission Process – Full Proposals

###### Full Proposal Submission:

*Full Proposals submitted under this FOA are expected to be unclassified.*

*For all proposals, a non-proprietary version of the Statement of Work must also be submitted. Do not put proprietary data or markings in or on the Abstract Summary. For proposals containing data that the offeror does not want disclosed to the public for any purpose, or used by the Government except for evaluation purposes, the offeror shall mark the title page with the following legend:*

*"This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed--in whole or in part--for any purpose other than to evaluate the proposal. If, however, a grant is awarded to this offeror as a result of--or in connection with-- the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting award document. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in (insert numbers or other identification of sheets)."*

*Also, mark each sheet of data that the offeror wishes to restrict with the following legend:*

*"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal."*

**IMPORTANT NOTE:** Titles given to the Full Proposals should be descriptive of the work they cover and not be merely a copy of the title of this solicitation.

The deadline for receipt of proposals is 4:00 PM Eastern Standard Time (EST) on 01 Dec 2015 (Tuesday). Proposals received after this date may not be considered for a FY16 YIP award under this FOA. After the proposal evaluation process is completed, the proposed Principal Investigator (PI) will be notified via e-mail and/or U.S. mail stating whether or not the proposal has been recommended for an award.

Be advised that Grants.gov applicants have been experiencing system slowness and validation issues which may impact the time required submitting 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 any soft-copy proposals be uploaded at least two days before the deadline established in the solicitation so that it will not be received late and be ineligible for award consideration.

**NOTE:** Full Proposals must be submitted electronically through grants.gov.

##### 2. Content and Format of Full Proposals –

The following information must be completed as follows in the SF 424 located on [www.grants.gov](http://www.grants.gov) to ensure that the application is directed to the correct individual for review: Block 4a, Federal Identifier: Enter N00014; Block 4b, Agency Routing Number, Enter the two (2) or three (3) digit Program Office Code and the Program Officer's name, last name first, in brackets (e.g., 03R [Williams, Reggie]). Applicants who fail to provide a Program Officer Code identifier may receive a notice that their proposal will be 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"  
The offeror will see a new PDF document titled "Research & Related Other Project Information"

Block 7 is the Project Summary Abstract. Offerors will click on "Add attachment" and attach the project summary abstract. The project summary abstract shall be included in the submission of the proposal and will be publicly releasable.

The project summaries of all awarded proposals will be placed on DoD websites open to the public and shall not contain restrictive markings.

Project Summary Abstracts shall contain the following information:

- 1) Identify the research problem, technical approaches, anticipated outcome of the research, if successful, and impact on DoD capabilities;
- 2) Identify the Principal Investigator and the University involved in the YIP;
- 3) Identify the proposal title;
- 4) Identify the total funds requested from ONR for the performance period,

Project Summary Abstracts shall be prepared by using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right) with font Times New Roman 12 point. The project summary must not exceed 1 page when printed.

Block 8 is the Project Narrative -> click on Add attachment and attach the technical proposal. (Save the file as Volume I- Technical Proposal since text is not allowed in the box.)

Full Proposal Format – Volume 1 - Technical Proposal and Volume 2 - Cost Proposal

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single spaced
- Font – Times New Roman, 12 point
- Page Limit: Volume 1-Technical Proposal is limited to no more than 20 single-sided pages. The cover page, table of contents, list of references, letter(s) of support, current and pending project and proposal submissions, and curriculum vitae are excluded from the 20 page limitation. Unnecessarily elaborate information such as brochures, reprints, or presentations not required for an effective proposal are not desired. Proposal narratives, in the proper format, in excess of the 20 page limitation will not be considered. There are no page limitations to the Cost Proposal, Volume 2.
- Copies – the full proposal should be submitted electronically at <http://www.grants.gov/> as delineated in



paragraph 5 below.

NOTE: The electronic file name for all documents submitted under this FOA must not exceed 68 characters in length, including the file name extension.

#### Volume 1: Technical Proposal

• Cover Page: This should include the words “Technical Proposal” and the following:

- 1) FOA number: N00014-15-R-FO13
- 2) Title of Proposal;
- 3) Identity of prime Offeror and complete list of subrecipients, if applicable;
- 4) Technical contact (name, address, phone/fax, electronic mail address)
- 5) Administrative/business contact (name, address, phone/fax, electronic mail address) and;
- 6) Proposed period of performance (identify both the base period and any options, if included).
- 7) Name and address of University President (or Chancellor/Provost if no on-campus President); Dean (if applicable); and Department Chair/Head or Supervisor; this information will be used for courtesy notification in the event of award

• Table of Contents: An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.

• Technical Approach and Justification: The major portion of the proposal should consist of a clear description of the technical approach being proposed. This discussion should provide the technical foundation/justification for pursuing this particular approach/direction and why one could expect it to enable the objectives of the proposal to be met.

• Future Naval Relevance (where applicable): A description of potential Naval relevance and contributions of the effort to the agency’s specific mission.

• Operational Naval Concept (where applicable): A description of the project objectives, the concept of operation for the new capabilities to be delivered, and the expected operational performance improvements.

• Operational Utility Assessment Plan (where applicable): A plan for demonstrating and evaluating the operational effectiveness of the Offeror’s proposed products or processes in field experiments and/or tests in a simulated environment.

• Project Schedule and Milestones: A summary of the schedule of events and milestones.

• Reports: The following are sample data reports that are typically required under a research effort:

- – Technical and Financial Progress Reports
- – Final Report

Grants do not include the delivery of software, prototypes, and other hardware deliverables.

• Management Approach: Identify which personnel and subcontractors/subrecipients (if any) will be involved. Include a description of the facilities that are required for the proposed effort, along with a

description of any Government Furnished Equipment/Hardware/ Software/Information required, by version and/or configuration.

- **Current and Pending Project and Proposal Submissions:** Offerors are required to provide information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing contracts, grants, and other assistance agreements. Offerors shall provide the following information of any related or complementary proposal submissions from whatever sources (e.g., ONR, Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations).

The information must be provided for all proposals already submitted or submitted concurrently to other possible sponsors, including ONR. Concurrent submission of a proposal to other organizations will not prejudice its review by ONR:

- 1) Title of Proposal and Summary;
- 2) Source and amount of funding (annual direct costs; provide contract and/or grant numbers for current contracts/grants);
- 3) Percentage effort devoted to each project;
- 4) Identity of prime Offeror and complete list of subcontractors/subreceptients, if applicable;
- 5) Technical contact (name, address, phone/fax, electronic mail address)
- 6) Administrative/business contact (name, address, phone/fax, electronic mail address);
- 7) Period of performance (differentiate basic effort);
- 8) The proposed project and all other projects or activities requiring a portion of time of the Principal Investigator and other senior personnel must be included, even if they receive no salary support from the project(s);
- 9) The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months or labor hours per year to be devoted to the project, regardless of source of support; and
- 10) State how projects are related to the proposed effort and indicate degree of overlap.

- **Qualifications:** A discussion of the qualifications of the proposed Principal Investigator and any other key personnel. Include resumes or curricula vitae for the Principal Investigator, other key personnel and consultants. The resumes/curricula vitae shall be attached to the proposal.

- **Letter(s) of support:** There is no specified format or content required for the letter(s) of support other than being authored by the appropriate University Officials and supporting long-term commitment by the University to the applicant and his or her research. Long-term commitment may include (but is not limited to) other related research funding, related laboratory and/or computer investments, new faculty start-up package, and mentoring. The letter(s) can include any and all commitments and investments made by the university towards the applicant being a successful researcher, instructor, and advisor, as well as the applicant's achievements.

## Volume 2: Cost Proposal

The offeror must use the Grants.gov forms (including the Standard Form (SF) Research and Related (R&R) Budget Form) from the application package template associated with the FOA on the Grants.gov web site located at <http://www.grants.gov/>. If options are proposed, the cost proposal must provide the pricing information for the option periods; failure to include the proposed costs for the option periods will result in the options not being considered in the award. Assume that performance will start approximately ) 01 Jun 2016 (Wednesday). A separate Adobe .pdf document should be included in the

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application that provides appropriate justification and/or supporting documentation for each element of cost proposed.

Part 1:

The offer shall provide a detailed cost breakdown of all costs, by cost category and by federal government fiscal year. Start date for budget purposes should be 01 Jun 2016 (Wednesday). Thus, as noted below, the proposed budget for three years beginning 01 Jun 2016 (Wednesday) will have four budget periods.

- (1) Four months (01 Jun 2016 through 30 September 2016)
- (2) Twelve months (01 October 2016 through 30 September 2017)
- (3) Twelve months (01 October 2017 through 30 September 2018)
- (4) Eight months (01 October 2018 through 31 May 2019)

Note that the budget for each of the budget-periods (e.g., 01 Jun 2016 to 30 Sep 2016) should include only those costs to be expended during that budget period.

Annual budget should be driven by program requirements. The itemized budget must include the following:

- Direct Labor – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates. Provide any escalation rates for out years.
- 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.
- Fringe Benefits and Indirect Costs (F&A, Overhead, G&A, etc.) – The proposal should show the rates and calculation of the costs for each rate category. If the rates have been approved/negotiated by a Government agency, provide a copy of the memorandum/agreement. If the rates have not been approved/negotiated, provide sufficient detail to enable a determination of allowability, allocability and reasonableness of the allocation bases, and how the rates are calculated. Additional information may be requested, if needed. If composite rates are used, provide the calculations used in deriving the composite rates.
- Travel – The proposed travel cost should include the following for each trip: the purpose of the trip, origin and destination if known, approximate duration, the number of travelers, and the estimated cost per trip must be justified based on the organizations historical average cost per trip or other reasonable basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principals. Offerors may include travel costs for the Principal Investigator to attend the peer reviews described in Section II of this FOA.
- Subawards/Subcontracts – Provide a description of the work to be performed by the subrecipient/subcontractor. For each subaward, a detailed cost proposal is required to be submitted by the subrecipient(s). A proposal and supporting documentation must be received and reviewed before the Government can complete its cost analysis of the proposal and enter negotiations. The

preferred method of receiving subcontract information is for this information to be included with the Prime's proposal; however, a subcontractor's cost proposal can be provided in a sealed envelope with the recipient's cost proposal or via e-mail directly to the Program Officer at the same time the prime proposal is submitted. The e-mail should identify the proposal title, the prime Offeror, and that the attached proposal is a subcontract. Fee/Profit guidance is noted below.

- Consultants – Provide a breakdown of the consultant’s hours, the hourly rate proposed, any other proposed consultant costs, a copy of the signed Consulting Agreement or other documentation supporting the proposed consultant rate/cost, and a copy of the consultant’s proposed statement of work if it is not already separately identified in the prime contractor’s proposal.
- Materials & Supplies – Provide an itemized list of all proposed materials and supplies including quantities, unit prices, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).
- 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 would be 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 Direct 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).
- Fee Profit – Fee/profit is unallowable under assistance agreements at either the prime or subaward level but may be permitted on subcontracts issued by the prime awardee.

Part 2: Cost breakdown by Government fiscal year and task/sub-task corresponding to the same task breakdown in the proposed Statement of Work. When options are contemplated, options must be separately identified and priced by task/subtask.

3. Significant Dates and Times –

Event	Date	Time
Questions regarding FOA	13 Nov 2015 (Friday)*	4:00 PM EST
Due date for proposals	01 Dec 2015 (Tuesday)	4:00 PM EST
Notification of Recommendation for Award	01 Feb 2016 (Monday)**	N/A
Grant Start Date	01 Jun 2016 (Wednesday)**	N/A

\*Questions submitted after the Q&A deadline as noted in the table above may not be answered.

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

The due date for submission of the full proposal will not be extended.

A list of proposals (to include name of individual, educational institution, and grant proposal title) being recommended for an award will be posted on the ONR website at <http://www.onr.navy.mil> as soon as it is available, on or after 01 Feb 2016.

#### 4. Submission of Late Proposals –

The deadline for receipt of proposals is 4:00 PM Eastern Standard Time (EST) on 01 Dec 2015 (Tuesday). Proposals received after this date may not be considered for a FY16 YIP award under this FOA. After the proposal evaluation process is completed, the proposed Principal Investigator (PI) will be notified via e-mail and/or U.S. mail whether or not the proposal has been recommended for an award.

#### 5. 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 are under the Acquisition Department — Submitting a Proposal section of the website at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-gov.aspx>.

By completing Block 17 of the SF 424 R&R 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, there are several one-time actions that 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 System for Award Management (SAM), registering with the credential provider, and registering with Grants.gov. See [www.grants.gov](http://www.grants.gov), specifically [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted).

Use the Grants.gov Organization Registration Checklist which can be found at:

<http://www.grants.gov/web/applicants/organization-registration.html>

This document will provide guidance through the process. Designating an E-Business Point of Contact (E-Biz 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 requirements, 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](mailto:support@grants.gov).

Special Notices Relative to Grant Applications to be submitted through Grants.Gov:

All attachments to grant applications submitted through Grants.Gov must be in Adobe Portable Document Format. Proposals with attachments submitted in word processing, spreadsheet, or any format other than Adobe Portable Document Format will not be considered for award.

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. Prospective offerors will know that the proposal has reached ONR when the AOR receives e-mail Number 3. Prospective offerors will need 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 that is used to determine whether the proposal was submitted.

Number 2 – The applicant will receive an e-mail indicating that the proposal has been validated by Grants.gov within two days of submission (This means that all of the required fields have been completed). After an institution submits an application, Grants.gov generates a submission receipt via email and also sets the application status to “Received.” This receipt verifies the Application has been successfully delivered to the Grants.gov system. Next, Grants.gov verifies the submission is valid by ensuring it does not contain viruses, the opportunity is still open, and the applicant login and applicant DUNS number match. If the submission is valid, Grants.gov generates a submission validation receipt via email and sets the application status to “Validated.” If the application is not validated, the application status is set to "Rejected." The system sends a rejection email notification to the institution, and the institution must resubmit the application package. Applicants can track the status of their application by logging in to Grants.gov.

Number 3 – The third notice is an acknowledgment of receipt in e-mail form from ONR within ten days from the proposal due date, if applicable. 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.

## V. EVALUATION INFORMATION

### 1. Evaluation Criteria –

Awards under this FOA will be made to proposers on the basis of the evaluation criteria listed below and program balance to provide overall value to the Government. The Government reserves the right to request any additional, necessary documentation once it makes the award determination. The Government reserves the right to remove proposers from award consideration should the parties fail to reach agreement on award terms, conditions, and cost/price within a reasonable time, or the proposer fails to timely provide requested additional information.

Evaluations will be conducted using the following evaluation criteria. Criteria 1 through 3 are of equal importance.

1. Past performance and experience of the Principal Investigator, demonstrated by the significance and impact of previous research, publications, professional activities, awards and other recognition, etc.;
2. A creative research proposal, demonstrating the potential for making progress in an ONR research area; and
3. A long-term commitment by the University to the applicant and the research.

The ultimate recommendation for award of proposals is made by ONR's scientific/technical

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community. Recommended proposals will be forwarded to the ONR contracts/grants department. Any notification received from ONR that indicates that the Offeror's full proposal has been recommended, does not ultimately guarantee an award will be made. This notice indicates that the proposal has been selected in accordance with the evaluation criteria above and has been sent to the contracting/grants department to conduct cost analysis, determine the offeror's responsibility, and to take other relevant steps necessary prior to commencing negotiations with the offeror.

The primary basis for selecting proposals for acceptance shall be technical, importance to agency programs, and fund availability. Cost realism and reasonableness shall also be considered to the extent appropriate.

## 2. Evaluation Panel –

The cognizant Program Officer and other Government scientific experts will perform the evaluation of technical proposals first. Cost proposals will be evaluated by Government business professionals. Restrictive notices notwithstanding, one or more support contractors or advisors external to the US Government may be utilized as subject-matter-expert technical consultants. However, proposal selection and award decisions are solely the responsibility of Government personnel. Each support contractor's employee and advisors external to the US Government having access to technical and cost proposals submitted in response to this FOA will be required to sign a non-disclosure and a conflict of interest statement prior to receipt of any proposal submission.

## VI. AWARD ADMINISTRATION INFORMATION

### 1. Administrative Requirements –

System for Award Management (SAM): All Offerors submitting proposals or applications must:

- 1) Be registered in the SAM prior to submission;
- 2) Maintain an active SAM registration with current information at all times during which it has an active Federal award or an application under consideration by any agency; and
- 3) Provide its DUNS number in each application or proposal it submits to the agency.

The System for Award Management (SAM) is a FREE WEBSITE that consolidates the capabilities offerors used to find in CCR/FedReg, ORCA, and EPLS. Future phases of SAM will add the capabilities of other systems used in Federal procurement and awards processes. SAM may be accessed at <https://www.sam.gov/portal/public/SAM/>.

### 2. Reporting

In general, for each grant award, annual reports and a final report are required summarizing the technical progress and accomplishments during the performance period, as well as any other report as requested by the Research Topic Chief.

#### Access to the Grant

Effective 01 October 2011, hard copies of award/modification documents are no longer mailed to Offerors. All award/modification documents will be available via the Department of Defense (DoD) Electronic Document Access System (EDA).

EDA is a web-based system that provides secure online access, storage, and retrieval of awards and modifications to DoD employees and vendors.

Prospective offerors that do not currently have access to EDA, need to complete a self-registration request as a "Vendor" via <http://eda.ogden.disa.mil> following the steps below:

Click "New User Registration" (from the left Menu)  
Click "Begin VENDOR User Registration Process"  
Click "EDA Registration Form" under Username/Password (enter the appropriate data)  
Complete & Submit Registration form

Allow five (5) business days for the registration to be processed. EDA will notify prospective offerors by email when the account is approved.

Registration questions may be directed to the EDA help desk toll free at 1-866-618-5988, Commercial at 801-605-7095, or via email at [cscassig@csd.disa.mil](mailto:cscassig@csd.disa.mil) (Subject: EDA Assistance).

## VII. OTHER INFORMATION

### 1. Use of Animals and Human Subjects in Research

If animals are to be utilized in the research effort proposed, the Offeror must complete a DoD Animal Use Protocol with supporting documentation (copies of AAALAC accreditation and/or NIH assurance, IACUC approval, research literature database searches, and the two most recent USDA inspection reports) prior to award. For assistance with submission of animal research related documents, contact the ONR Animal Use Administrator at (703) 696-4046 or [sevgi.bullock@navy.mil](mailto:sevgi.bullock@navy.mil).

Similarly, for any proposal for research involving human subjects submitted to an ONR topic, the Offeror must submit or indicate an intention to submit prior to award: documentation of approval from an Institutional Review Board (IRB); IRB-approved research protocol; IRB-approved informed consent form; proof of completed human research training (e.g., training certificate or institutional verification of training); an application for a DoD-Navy Addendum to the Offeror's DHHS-issued Federal wide Assurance (FWA) or the Offeror's DoD-Navy Addendum. In the event that an exemption criterion under 32 CFR.219.101 (b) is claimed, provide documentation of the determination by the Institutional Review Board (IRB) Chair, IRB vice Chair, designated IRB administrator or official of the human research protection program including the category of exemption and short rationale statement. This documentation must be submitted to the ONR Human Research Protection Official (HRPO), by way of the ONR Program Officer. Information about assurance applications and forms can be obtained by contacting [sevgi.bullock@navy.mil](mailto:sevgi.bullock@navy.mil). If the research is determined by the IRB to be greater than minimal risk, the Offeror also must provide the name and contact information for the independent medical monitor. For assistance with submission of human subject research related documentation, contact the ONR Human Research Protection Official at (703) 696-4046.

### 2. Recombinant DNA

Proposals which call for experiments using recombinant DNA must include documentation of compliance with Department of Human and Health Services (DHHS) recombinant DNA regulations, approval of the Institutional Biosafety Committee (IBC), and copies of the DHHS Approval of the IBC letter for all three



Services. For assistance with submission of rDNA research related documents, contact the ONR rDNA Administrator at (703) 696-4046 or [sevgi.bullock@navy.mil](mailto:sevgi.bullock@navy.mil).

### 3. Department of Defense High Performance Computing Program

The DoD High Performance Computing Program (HPCMP) furnishes the DoD S & T and DT & E communities with use-access to very powerful high performance computing systems. Awardees of DoD contracts, grants, and assistance instruments may be eligible to use HPCMP assets in support of their funded activities if Program Officer approval is obtained and if security/screening requirements are favorably completed. Additional information and an application may be found at <http://www.hpcmo.hpc.mil/>.

### 4. Project Meetings and Reviews

Generally an annual program review will be required by the DoD program manager. Other reviews will be held as necessary. Program status reviews are held to provide a forum for reviews of the latest results from experiments and any other incremental progress towards the major demonstrations. These meetings will be held at various sites throughout the country. For costing purposes, offerors should assume that 40% of these meetings will be at or near Arlington, VA and 60% at other contractor or government facilities. Interim meetings are likely, but if possible these will be accomplished via video telephone conferences, telephone conferences, or via web-based collaboration tools.

### 5. Military Recruiting On Campus

Military Recruiting on Campus (DoDGARs Part 22.520) applies to domestic U. S. colleges and universities. Appropriate language from 32 CFR 22.520, Campus access for military recruiting and Reserve Officer Training Corps (ROTC), will be incorporated in all university grant awards.

### 6. Federal Funding Accounting and Transparency Act of 2006

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 implemented in 2 CFR Part 170. 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 FOA 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 Part 170 Appendix A. Entities are required to meet reporting requirements unless an exception or exemption applies. Please refer to 2 CFR Part 170, including Appendix A, for a detailed explanation of the requirements, exceptions and exemptions.

### 7. Conflicts of Interest:

The DoDGARs and the applicable OMB circulars impose certain requirements on grant recipients to avoid or mitigate conflicts of interest, including organizational conflicts of interest. Offerors are encouraged to review those requirements. If a prospective offeror believes that any conflict of interest exists or may exist (whether organizational or otherwise), the offeror should promptly raise the issue with the specific agency by sending his/her contact information and a summary of the potential conflict by e-mail to the Business Point of Contact before time and effort are expended in preparing a proposal and mitigation plan.

If, in the sole opinion of the Business Point of Contact and after full consideration of the circumstances, any conflict situation cannot be effectively avoided, the proposal may be rejected without technical evaluation and withdrawn from further consideration for award under this FOA.

#### 8. Office of Management and Budget (OMB) guidance effective 26 Dec 2014

Any assistance instrument awarded under this announcement will be governed by the award terms and conditions, which conform to DoD's implementation of OMB circulars applicable to financial assistance. Terms and conditions of new awards and funding increments to existing awards made after December 26, 2014, may include revisions to reflect DoD implementation of new OMB guidance in 2 CFR part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards."

#### 9. Grants Certification Requirements

##### Certification Regarding Restrictions on Lobbying

Grant awards greater than \$100,000, not under Section 845, require a certification of compliance with a national policy mandate concerning lobbying. Grant applicants shall provide this certification by electronic submission of SF424 (R&R) as a part of the electronic proposal submitted via Grants.gov (complete Block 17):

(1) No Federal appropriated funds have been paid or will be paid by or on behalf of the applicant, 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 the Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and 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.C. 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.

##### Representation Regarding An Unpaid Delinquent Liability or a Felony Criminal Conviction Under Any Federal Law – DoD Appropriations

All grant applicants are required to complete the "Representation on Tax Delinquency and Felony Conviction" found at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal.aspx>

by checking the "I agree" box in block 17. and attaching the representation to block 18. of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

(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 timely manner pursuant to an agreement with the authority responsible for collecting the tax liability

(2) The applicant represents that it is \_\_\_ is not \_\_\_ a corporation that was convicted of a felony 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 consideration before award decisions are made.

#### Prohibition on Contracting with Entities that Required Certain Internal Confidentiality Agreements – Representation

Agreement with the representation below will be affirmed by checking the "I agree" box in block 17 of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

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, 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, Pub. L. 113-235) on provision of funds 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.