

PURPOSE OF AMENDMENT: The purpose of this Amendment under ONR-15-FOA-0003 is to add Eastern Local Time on pages 12, 14, 15, 19, 20 and revise the AcquiTrak Registration due date and Letter of Intent due date.



FUNDING OPPORTUNITY ANNOUNCEMENT (FOA)

NATIONAL SECURITY SCIENCE AND ENGINEERING FACULTY FELLOWSHIP

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. The ONR reserves the right to select for award all, some or none of the proposals in response to this announcement. The ONR provides no 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 not incorporated into an award as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

Awards will take the form of grants. Therefore, proposals submitted as a result of this announcement will fall under the purview of the Department of Defense Grant and Agreement Regulations, 32 CFR Part 22(DODGARs).

Any assistance instrument awarded under this announcement will be governed by the award terms and conditions that 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."

Potential offerors may obtain information by checking the following websites:

Information regarding this FOA and amendments:

www.grants.gov or <http://www.onr.navy.mil/en/Contracts-Grants/Funding-Opportunities/Broad-Agency-Announcements.aspx> or <http://www.defenseinnovationmarketplace.mil>

Information regarding submission of letters of intent, white papers, supporting documentation, and nomination letters:

<https://acqtrak.noblis.org/applyNSSEFF>

Information regarding submission of full proposals:

www.grants.gov

Information regarding Research Directorate (RD), Office of Assistant Secretary of Defense for Research & Engineering:

<http://www.acq.osd.mil/rd/>

Information regarding the Program overview and information:

http://www.acq.osd.mil/rd/basic_research/program_info/nsseff.html

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I. GENERAL INFORMATION

A. Agency Name

Office of Naval Research
One Liberty Center
875 North Randolph Street
Code 03R
Arlington, VA 22203-1995

B. Research Opportunity Title

The National Security Science and Engineering Faculty Fellowship (NSSEFF) program

C. Program Name

The National Security Science and Engineering Faculty Fellowship (NSSEFF) program

D. Research Opportunity Number

ONR-15-FOA-0003

E. Response Date

Letter of Intent: **December 16, 2014**

White Papers: Supporting Documentation and Nomination Letters: January 2, 2015

Full Proposal and Confidential Letters of Recommendation: April 24, 2015

F. Research Opportunity Description

The National Security Science and Engineering Faculty Fellowship (NSSEFF) program is sponsored by the Basic Research Office, Office of Assistant Secretary of Defense for Research and Engineering (ASD (R&E)). NSSEFF supports innovative basic research within academia, as well as education initiatives that seek to create and develop the next generation of scientists and engineers for the defense and national security workforce.

The Office of Naval Research (ONR) manages the NSSEFF program for ASD (R&E). To accomplish this task, ONR is soliciting proposals for the NSSEFF program through this Funding Opportunity Announcement. This FOA seeks outstanding and distinguished researchers for the purpose of conducting innovative basic research in areas of interest to the Department of Defense (DoD) and fostering long-term relationships between the NSSEFF Fellows and the DoD.

As defined by the DoD, basic research is “systematic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications towards processes or products in mind. It includes all scientific study and experimentation directed toward increasing fundamental knowledge and understanding in those fields of the physical, engineering, environmental, and life sciences related to long-term national security needs. It is farsighted high payoff research that provides the basis for technological progress.” (http://comptroller.defense.gov/Portals/45/documents/fmr/Volume_02b.pdf) The DoD’s

basic research program invests broadly in many scientific fields to ensure that it has early cognizance of new scientific knowledge.

DoD's basic research investment in this program will also contribute to the development of the next generation of high performing scientists and engineers, who will be educated and trained as a part of the NSSEFF Fellows' research. The NSSEFF program helps to ensure that our Nation has an active, long-term and aggressive research portfolio that attracts the foremost creative, innovative and productive university researchers and their students.

Objectives of the program are to:

- Support scientific research that may lead to extraordinary outcomes
- Educate and train outstanding student and post-doctoral researchers for the defense and national security workforce
- Foster long-term relationships between outstanding university researchers and the DoD
- Familiarize select university researchers and their students with DoD's current and future challenges
- Increase the number of exceptionally talented technical experts that are contributing to DoD's mission and are able to actively participate in its accomplishment as part of the administration of grants issued under this FOA.

The NSSEFF program will focus its funding on innovative basic research projects that have the potential for significant long-term impact and support the development of the next generation of scientists and engineers for the defense and national security workforce. Risk-taking is encouraged; however, all proposals must demonstrate solid judgment and rationale. This FOA is for single investigator grant proposals for basic research in one or more of the following technical subject categories of interest to the DoD:

1. Synthetic Biology including e.g.
 - a. Mammalian platforms/chassis/systems
 - b. Genome scale engineering
2. Quantum Information Science including e.g.
 - a. Quantum sensing
 - b. Quantum metrology
 - c. Quantum algorithms
3. Cognitive Neuroscience including e.g.
 - a. Systems neuroscience
 - b. Cellular and molecular neuroscience
4. Novel Engineered Materials including e.g.
 - a. Functional materials
 - b. Structural materials
 - c. Nanomaterials and nanoscience
5. Applied Mathematics and Statistics including e.g.
 - a. Risk optimization
 - b. Dimensionality reduction
 - c. Scalable algorithms
 - d. Non-linear dynamics

e. Machine learning

6. Other fields of research with high potential

All proposers should ensure that they propose to conduct basic research as previously defined in this section. NSSEFF is oriented towards research that may lead to extraordinary outcomes such as: revolutionizing entire disciplines, creating entirely new fields, or disrupting accepted theories and perspectives.

G. Point(s) of Contact (POC)

NSSEFF Program Point of Contact:

Dr. Ellen Livingston
NSSEFF Program Manager
Office of Naval Research
Code 03R
E-mail Address: ellen.s.livingston@navy.mil

Mailing address:
Office of Naval Research One Liberty Center
875 North Randolph Street, Suite 14
Arlington, VA 22203-1995

Business Points of Contact:

Primary:

Joe Cloft
Contract and Grants Awards Management
Code 0254
Office of Naval Research
875 North Randolph Street, Arlington, VA 22203-1995
E-mail Address: joseph.cloft@navy.mil

Secondary:

Wade Wargo
Acquisition Branch Head
Contract and Grants Awards Management
Code 0254
Office of Naval Research
875 North Randolph Street, Suite 1270 Arlington VA, 22203-1995
E-mail Address: wade.wargo@navy.mil

Questions concerning this announcement should be submitted via e-mail to POC's listed above.

Questions concerning Letters of Intent should be submitted by November 26, 2014.

Questions concerning White Papers, Supporting Documentation, and Nomination Letters should be submitted by December 24, 2014.

Questions received after the deadlines may not be answered, and the due date for submission of application materials will not be extended.

Answers to questions submitted in response to this FOA will be addressed in the form of an amendment and will be posted to one or more of the following web pages:

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

Applicants should be alert for any amendments that may modify the announcement.

H. Instrument Type(s)

It is anticipated that all awards resulting from this announcement will be grants.

Grants awarded under this announcement will be governed by the award terms and conditions that 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."

Examples of model grants can be found on the ONR website at the following link:

<http://www.onr.navy.mil/en/contracts-Grants/submit-proposal/grants-proposal/model-grant.aspx>

I. Catalog of Federal Domestic Assistance (CFDA) Numbers

12.300

J. Catalog of Federal Domestic Assistance (CFDA) Titles

Department of Defense (DoD) Basic and Applied Scientific Research

K. Other Information

Work funded under a FOA may include basic research and applied research. With regard to any restrictions on the conduct or outcome of work funded under this FOA, ONR will follow the guidance on and definition of 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 fundamental research, in a DoD contractual context, includes [research performed under] grants that are (a) funded by Research, Development, Test and Evaluation Budget Activity 1 (Basic Research), whether performed by universities or industry or (b) funded by Budget Activity 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 that are a) funded by Budget Activity 2 (Applied Research) and NOT performed on-campus at a university does not meet the definition of fundamental research. In conformance with the USD(AT&L) guidance and National Security Decision Directive 189, ONR will place no restriction on the conduct or reporting of unclassified 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 Grantee is restricted research, a sub-awardee may be conducting fundamental research. In those cases, it is the **Grantee's responsibility** in the proposal to identify and describe the sub-awardee unclassified research and include a statement confirming that the work has been scoped, negotiated, and determined to be fundamental research according to the Grantee and research performer.

Normally, fundamental research is awarded under grants with universities. Potential Offerors should consult with the appropriate ONR Technical POCs to determine whether the proposed effort would constitute basic research or applied research.

Grants made under FOAs are for scientific study and experimentation directed towards advancing the state of the art and increasing knowledge or understanding.

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

II. AWARD INFORMATION

A. Amount and Period of Performance

It is anticipated that awards will be made in the form of grants to U.S. institutions of higher education (universities). It is anticipated that the maximum award will be \$3 million per five years, with the actual amount contingent on availability of funds, the specific topic, and the scope of the proposed work.

There is no guarantee that any of the proposals submitted in a particular category will be recommended for funding. More than one proposal may be recommended for funding for a particular category. The Government reserves the right to select for negotiation all, some, one, or none of the proposals received in response to this announcement.

B. Peer Reviews-

In the case of proposals funded as basic research, DoD may utilize peer reviewers from academia, industry, and Government agencies to assist in the periodic appraisal of performance under the awards, following the process outlined under ONR Instruction 3966.1A. Such periodic program reviews monitor technical performance of funded basic research efforts. Peer reviewers 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

Government agencies, DoD laboratories and universities, and Federally Funded Research and

Development Centers (FFRDCs) may collaborate on proposed research but may not receive NSSEFF funds, directly or via subaward.

Non-profit and for-profit organizations may collaborate on proposed research and may receive NSSEFF funds via subaward. However, the NSSEFF program is oriented towards funding research at universities. Universities must perform the majority of the proposed work and receive the majority of granted funds.

All awardees will receive a research grant and the title of NSSEFF Fellow. NSSEFF Fellows and their students are provided with opportunities that are designed to enhance their understanding of DoD's critical research needs and interact with DoD senior Science and Technology (S&T) program leaders. Fellows and their students are expected to attend NSSEFF activities scheduled throughout the year. These activities may include an orientation meeting, site visits to DoD labs, technical workshops, and an annual meeting to report the progress of NSSEFF-sponsored research. NSSEFF Fellows may also be encouraged to serve as members of DoD advisory boards, panels, or groups. For a list of current NSSEFF Fellows, refer to http://www.acq.osd.mil/rd/basic_research/program_info/nsseff.html.

Awardees selected for research grants may be asked to submit a revised proposal for a reduced cost.

Grants to a university may be terminated if the principal investigator (PI) severs connections with the university or is unable to continue active participation in the research. Grants to a university may also be terminated if the university severs connections with the PI.

Eligible Institutions

Accredited U.S. institutions of higher education (universities) with doctoral degree-granting programs are eligible to apply. DoD institutions are not eligible to apply.

Eligible Individuals

Outstanding faculty with tenure and full-time research staff with the skills, knowledge, and resources necessary to conduct the proposed research as the principal investigator (PI) are invited to work with his/her institution to submit an application.

Applicants selected for NSSEFF awards are likely to have received awards or honors, or have a named position or a position of distinction, such as an elected fellow of a national professional society. In all cases, they will have a record of substantial scientific contributions.

The PI must be a U.S. citizen or permanent resident.

Other Eligibility Criteria

Number of Applications: The PI may submit only one application in response to this FOA. There is no limit to the number of applications that an institution may submit.

Number of PIs: Only one PI may be designated on the application.

Resubmissions: Applicants who have submitted Letters of Intent, Nomination Letters, or Recommendation Letters for the NSSEFF program in a prior year must obtain and submit new letters. Previously submitted letters will not be retrieved. Documents dated prior to the posting date of this FOA will not be accepted.

Cost Sharing

Cost sharing is not required.

IV. APPLICATION AND SUBMISSION INFORMATION

A. Application and Submission Process

- (1) The application process is completed in three stages: Letter of Intent submission via AcquTrak (required)
- (2) White Paper, Supporting Documentation, and Nomination Letter submission via AcquTrak (required)
- (3) Full Proposal submission (via grants.gov)(by invitation only) and Confidential Letters of Recommendation

If an Offeror does not submit a Letter of Intent, White paper, Supporting Documentation and Nomination Letter before the due date and time, it is not eligible to participate in the remaining Full Proposal submission process and is not eligible for Fiscal Year (FY) 2015 funding.

B. Content and Format of Letter of Intent, White Paper, Supporting Documentation, and Nomination Letters

Letters of Intent, White Papers, Supporting Documentation, Nomination Letters and Full Proposals submitted under this FOA are expected to be unclassified.

Unclassified proposals shall be submitted in accordance with Section IV.

All proposal submissions will be protected from unauthorized disclosure in accordance with applicable law and DoD/DoN regulations. Offerors are expected to appropriately mark each page of their submission that contains proprietary information.

STATEMENT OF WORK (SOW)

A non-proprietary version of the SOW must be submitted without other restrictions (e.g. ITAR). The non-proprietary SOW must be a version that is releasable under the Freedom of Information Act without changes.

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.

a. Letter of Intent

All applicants must submit a Letter of Intent (LOI) signed by the Dean or Vice President for Research for the university. If he or she is unavailable for signature, another official in the Office of the President or Chancellor may sign. Letters signed by an official in the PI's department or school will not be accepted. The letter must be in PDF format and comply with the guidelines shown below.

The LOI must:

- Appear on official university letterhead;
- Display the date on which it was signed (Note: Letters dated prior to the posting date of this announcement will not be accepted.);

- State the name and department of each individual that will be submitting a whitepaper;
- Include a statement that the institution and each person nominated for award meet the eligibility requirements listed in Section III of this announcement;
- Be signed by Dean or Vice President for Research for the university; and
- Provide contact information with email address for the Dean or Vice President for Research for the university.

When submitting the LOI to AcquTrak, the following information must be provided for each applicant:

- PI's name, title, department, and e-mail address
- Title of the PI's proposed research topic
- Technical subject category most appropriate for the proposed research from the following list. Please obtain this information from the PI.
 1. Synthetic Biology including e.g.
 - a. Mammalian platforms/chassis/systems
 - b. Genome scale engineering
 2. Quantum Information Science including e.g.
 - a. Quantum sensing
 - b. Quantum metrology
 - c. Quantum algorithms
 3. Cognitive Neuroscience including e.g.
 - a. Systems neuroscience
 - b. Cellular and molecular neuroscience
 4. Novel Engineered Materials including e.g.
 - a. Functional materials
 - b. Structural materials
 - c. Nanomaterials and nanoscience
 5. Applied Mathematics and Statistics including e.g.
 - a. Risk optimization
 - b. Dimensionality reduction
 - c. Scalable algorithms
 - d. Non-linear dynamics
 - e. Machine learning
 6. Other fields of research with high potential

Each individual must be named in an official LOI for the current application cycle to be eligible to submit a white paper. Resubmissions of LOIs submitted in response to previous announcements are not permitted. LOIs dated prior to the posting date of this announcement are not permitted. LOIs dated prior to the posting date of this announcement, submitted after the deadline, or found to be non-compliant will not be accepted.

LOIs must be submitted to AcquTrak (<https://acqutrak.noblis.org/ApplyNSSEFF>) no later than 4:00 p.m. Eastern Local Time on **December 16, 2014**. Persons submitting the LOI must register on the website by 4:00 pm **Eastern Local Time on December 11, 2014**.

An institution may submit one letter of intent that contains the information required for all the individual PIs it intends to nominate. If more individuals request nomination after the letter is sent, additional letter(s) may also be submitted. However, each individual must be named in an official letter of intent to be eligible to submit a white paper.

b. White Paper, Supporting Documentation, and Nomination Letter Content

Individual PIs must submit a Cover Page, Abstract, Basic Research Statement, White Paper, Curriculum Vitae (CV) and Nomination Letter. All documents must be submitted in PDF format in compliance with the guidelines below. When submitting the documents, the PI must upload the Cover Page, Abstract, Basic Research Statement, White Paper and CV as one PDF file and the Nomination Letter as a separate PDF file.

c. Marking of White Papers and Full Proposals

ONR will make every effort to protect any proprietary information submitted in whitepapers and full proposals. Any proprietary information included in application materials must be identified. If the application includes such information, mark the white paper or full proposal as follows:

- (1) Include a cover page with the following legend: "The following contains proprietary/privileged information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation, or pre and post award administration."
- (2) Clearly mark each page containing the proprietary/privileged information with the legend: "Use or disclosure of data contained on this page is subject to the restriction on the cover page of this document."

However, offerors should be aware that under the Freedom of Information Act (FOIA) requirements, proprietary information contained in whitepapers and proposals (marked or unmarked) may still potentially be subject to release.

It is the offerors responsibility to notify ONR of proposals containing proprietary information and to identify the relevant portions of their proposals that require protection. The entire proposal (or portions thereof) without protective markings or otherwise identified as requiring protection will be considered to be furnished voluntarily to ONR without restriction and will be treated as such for all purposes.

It is the intent of ONR to treat all white papers and full proposals as privileged information before the award and to disclose their contents only for the purpose of evaluation. Whitepapers may also be disclosed to reviewers for training purposes in future competitions.

d. White Paper and Supporting Documentation

- (1) Cover page: Include the PI's name and university. Include a protective legend for proprietary information, if applicable.
- (2) Abstract (not to exceed 300 words): Describe the research objective, technical approaches, anticipated outcome and impact of the specific research.
- (3) Suitability for the NSSEFF program (one (1) page limit, single-sided): Describe how the proposed research meets the DoD definition of basic research provided in Section I entitled, "Funding Opportunity Description" of this announcement. Describe the extraordinary outcomes that may be achieved as a result of the proposed project.

- (4) White paper (three (3) page limit, single-sided): Describe the basic scientific or technical research to be undertaken. Describe the technical approach. Summarize the state of the field and describe what is innovative about the proposed approach. Given the successful completion of the course of investigation, what results, new knowledge, or insights might it afford compared to alternate approaches other researchers in this field have taken. Include approximate yearly costs for the project. Reference citations are not required but may be included within the three-page limit.
- (5) PI's Curriculum Vitae (CV) (two (2) page limit, single-sided) -The CV should include relevant experience, publications, and funding received in the area of interest, and any previous involvement and experiences with the DoD. **List all previous DoD funding including project titles within the last eight years.**

Documents must be submitted in the following format:

- Paper Size – 8.5 x 11 inch paper
- Margins - 1 inch
- Spacing – single
- Font – Times New Roman, 12 point

Do not include proprietary information in the Cover Page, Abstract, or CV. Include appropriate markings on each page of the Basic Research Statement and White Paper that contains proprietary information or other restrictions.

e. Nomination Letter

Each individual PI must obtain a nomination letter from his/her institution to submit with the White Paper and Supporting Documentation. The letter must be signed by the Dean or Vice President for Research for the university. If he or she is unavailable for signature, another official in the Office of the President or Chancellor may sign. A letter signed by an official in the PI's department or school will not be accepted. The letter must be in PDF format and comply with the guidelines shown below.

Nomination letters must:

- Appear on official university letterhead;
- Be limited to two single-sided pages;
- Display the date on which it was signed. (Note: Letters dated prior to the posting date of this announcement will not be accepted.);
- State the name of the PI;
- Briefly address the significance of the proposed research in relation to the frontiers of knowledge in the PI's field ;
- Address the PI's overall record of academic and professional accomplishments that make the applicant an outstanding researcher and deserving of the award;
- State a commitment from the university to comply with the requirements of the grant, if awarded;
- Be signed by an official in the Office of the President or Chancellor; and
- Provide contact information with email address for the Dean or Vice President for Research for the university

When submitting the White Paper, Supporting Documentation, and Nomination Letter the PI must provide the title of the proposed research project, contact information (name, e-mail address, and phone number) for the Sponsored Programs Office at the university, and indicate whether he or she

is a US citizen or permanent resident. In addition, the PI must select one (and only one) technical subject category most appropriate for the proposed research from the following list:

1. Synthetic Biology including e.g.
 - a. Mammalian platforms/chassis/systems
 - b. Genome scale engineering

2. Quantum Information Science including e.g.
 - a. Quantum sensing
 - b. Quantum metrology
 - c. Quantum algorithms

3. Cognitive Neuroscience including e.g.
 - a. Systems neuroscience
 - b. Cellular and molecular neuroscience

4. Novel Engineered Materials including e.g.
 - a. Functional materials
 - b. Structural materials
 - c. Nanomaterials and nanoscience

5. Applied Mathematics and Statistics including e.g.
 - a. Risk optimization
 - b. Dimensionality reduction
 - c. Scalable algorithms
 - d. Non-linear dynamics
 - e. Machine learning

6. Other fields of research with high potential

The technical category designation will assist NSSEFF staff in assigning applications to appropriate reviewers.

The White Papers, Supporting Documentation, and Nomination Letters must be submitted to AcquTrak (<https://acqutrak.noblis.org/ApplyNSSEFF>) no later than 4:00 p.m. Eastern Local Time on January 2, 2015. Persons submitting the White Papers, Supporting Documentation, and Nomination Letter must register on the website by 4:00 pm **Eastern Local Time** on December 29, 2014. The submission process could take several minutes depending on the network connection and the size of the file being submitted. The offeror is responsible for allowing enough time to complete the online form, upload the documents and press the submit button before the deadline. An e-mail confirmation will be sent to the applicant upon receipt of the submission.

Documents submitted after the deadline or found to be non-compliant will not be reviewed.

f. AcquTrak Registration

In order to submit to AcquTrak a username and password must be established no later than three business days before the submission deadline. Registrations to submit a Letter of Intent can be used for the White Paper, Supporting Documentation, and Nomination submission as well.

Users will be asked for his or her name, title, department or office, university, phone number and e-mail address at the time of registration. Note: Applicants who registered at the AcquTrak website in a prior year must re-register this year. Usernames and passwords used to submit applications in previous years will not be retrieved.

g. Full Proposal Package and Letters of Recommendation

Full Proposal Packages will only be accepted from PIs invited to submit full proposals. Proposal packages must be submitted electronically to Grants.gov (<http://www.grants.gov/>) no later than 4:00 p.m. **Eastern Local Time** on 24 April 2015.

Letters of recommendation must be submitted via e-mail to ONR at paula.barden.ctr@navy.mil no later than 4:00 p.m. **Eastern Local Time** on 24 April 2015.

Full Proposal Package – Format

Proposal package format should be as follows:

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch (excluding the Summary Chart)
- Spacing – single (excluding the Summary Chart)
- Font – Times New Roman is strongly recommended, 12 point or larger
- PI's name and institution in header or footer
- Appropriate markings on each page that contains proprietary or confidential information (see Section IV entitled, "Application and Submission Information". Paragraph number c entitled, "Marking of White Papers and Full Proposals")

Full Proposal Package Content

The forms required for Grants.gov submission include:

- i. SF-424 Research & Related (R&R) Application for Federal Assistance Form**

The SF-424 (R&R) form must be used as the cover page for all proposals. Complete all required fields in accordance with the "pop-up" instructions on the form and the following instructions for specific fields. To see the instructions, roll the mouse over the field to be filled out and additional information about that field will be displayed. For example, on the SF-424 (R&R) the Phone Number field says "PHONE NUMBER (Contact Person): Enter the daytime phone number for the person to contact on matters relating to this application. This field is required." Mandatory fields will have an asterisk marking the field and will appear yellow on most computers. In Grants.gov, some fields will self-populate based on the FOA selected. Please fill out the SF-424 first, as some fields on the SF-424 are used to auto populate fields in other forms. The completion of most fields is self-explanatory except for the following special instructions:

Field 3 - Date Received by State. The Date Received by State and the State Application Identifier are not applicable to research.

Field 7 - Type of Applicant. Complete as indicated. If the organization is a Minority Institution, select "Other" and under "Other (Specify)" note that the institution is a Minority Institution (MI).

Field 9 - Name of Federal Agency. List the Office of Naval Research as the reviewing agency. This field is pre-populated in Grants.gov.

Field 16 - Is Application Subject to Review by State Executive Order 12372 Process? Choose "No". Check "Program is Not Covered by Executive Order 12372."

Field 17 – Certification. All awards require some form of certifications of compliance with national policy requirements. By checking the "I agree" box in field 17, and attaching the representation to field 18 of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov, the Grant Applicant is providing the certification on lobbying required by 32 CFR Part 28 and representation regarding an unpaid delinquent tax liability or a felony conviction under any federal law – DoD appropriations.

ii. Research & Related Senior/Key Person Profile Form

Complete the R&R Senior/Key Person Profile form for those key persons who will be performing the research. Information about an individual is subject to the requirements of the Privacy Act of 1974 (Public Law 93 579). The information is requested under the authority of Title 10 USC, Sections 2358 and 8013. The principal purpose and routine use of the requested information are for evaluation of the qualifications of those persons who will perform the proposed research. Failure to provide such information will delay award. Attach curricula vitae (CVs) for the principal investigator and senior staff. The CV should list any previous involvement and experiences with the DoD.

Page limits for attachments:

- PI Curriculum Vitae (five (5) page limit)
- Key Personnel Curricula Vitae (two (2) page limit each)

iii. Project/Performance Site Locations Form

Complete all information as requested.

iv. Research And Related Other Project Information Form

Fields 1 and 1a - Human Subject Use. Each proposal must address human subject involvement in the research by addressing Fields 1 and 1a of the R&R Other Project Information form. For any proposal for research involving human subjects, 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 exception 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. If 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.

Fields 2 and 2a - Animal Use. Each proposal must address animal use protocols by addressing Fields 2 and 2a of the R&R Other Project Information form. 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 Association for Assessment and Accreditation of Laboratory Animal Care (AAALAC) accreditation and/or National Institute of Health assurance, Institutional Animal Care and Use Committee (ACUC) 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 sevgi.bullock@navy.mil.

Fields 4a through 4d - Environmental Compliance. Federal agencies making contract, grant, or cooperative agreement awards and recipients of such awards must comply with various environmental requirements. The National Environmental Policy Act of 1969 (NEPA), 42 U.S.C. Sections 4321-4370 (a), requires that agencies consider the environmental impact of “major Federal actions” prior to any final agency decision. With respect to those awards which constitute “major Federal actions,” as defined in 40 CFR 1508.18, federal agencies may be required to comply with NEPA and prepare an environmental impact statement (EIS), even if the agency does no more than provide grant funds to the recipient. Questions regarding NEPA compliance should be referred to the applicable ONR Program Manager Dr. Ellen Livingston, at ellen.s.livingston@navy.mil. Most research efforts funded by ONR will, however, qualify for a categorical exclusion from the need to prepare an EIS. Navy instructions/regulations provide for a categorical exclusion for basic and applied scientific research usually confined to the laboratory, if the research complies with all other applicable safety, environmental and natural resource conservation laws. Each proposal shall address environmental impact by filling in Fields 4a through 4d of the R&R Other Project Information form. This information will be used by ONR to make a determination if the proposed research effort qualifies for categorical exclusion.

Field 7 – Project Abstract/Summary (not to exceed 300 words). Include a concise abstract that describes the research objective, technical approaches, anticipated outcome and impact of the specific research. Attach the Abstract to the R&R Other Project Information form in Field 7.

Field 8 – Project Narrative. Describe clearly the research, including the objective and approach to be performed, keeping in mind the evaluation criteria listed in Section V entitled, “Evaluation Information paragraph A. entitled, “Evaluation Criteria. Also, briefly indicate whether the intended research will result in environmental impacts outside the laboratory, and how the proposer will ensure compliance with environmental statutes and regulations. Attach the proposal narrative to R&R Other Project Information form in Field 8. The narrative should describe the research in sections as described below.

- **Project Narrative - Statement of Objectives.** Summarize the actual research to be completed, including goals and objectives, on one page titled Statement of

Objectives. This statement of objectives may be incorporated into the award instead of the entire technical proposal. Active verbs should be used in this statement (for example, “conduct” research into a topic, “investigate” a problem, “determine” to test a hypothesis). It should not contain proprietary information.

- **Project Narrative - Research Effort (15-page limit, excluding list of references).** Describe the basic scientific or technical concepts that will be investigated, giving the complete research plan. Describe the technical approach and what is innovative about the proposed approach. How does the proposed approach compare to alternate approaches other researchers in this field have taken? Given the successful completion of the five-year course of investigation, what results, new knowledge, or insights, might it afford?
- **Project Narrative – Management Approach.** Describe the overall management approach, including how the project will be managed and provide rationale for participation of key team members. Briefly describe the planned relationships with any subawardees or collaborators. If appropriate, briefly describe anticipated schedule and milestones.
- **Project Narrative – Principal Investigator (PI) Time.** PI time is required. List the estimate of time the principal investigator and other senior professional personnel will devote to the research. This shall include information pertaining to other commitments of time, such as sabbatical or extended leave; and proportion of time to be devoted to this research and to other research. Grants to a university may be terminated, if the PI severs connections with the university or is unable to continue active participation in the research. State the number of undergraduate students, graduate students, and postdoctoral researchers for whom each senior staff member is responsible. If the principal investigator or other key personnel is currently engaged in research under other auspices, or expect to receive support from other agencies for research during the time proposed for NSSEFF support, state the title of the other research, the proportion of time to be devoted to it, the amount of support, name of agency, dates, etc. Send any changes in this information as soon as they are known. Submit a short abstract (including title, objectives, and approach) of that research and a copy of the budget for both current and pending research projects.
- **Project Narrative – Facilities.** Describe facilities available for performing the proposed research and any additional facilities or equipment the organization proposes to acquire at its own expense. Indicate government-owned facilities or equipment already possessed that will be used. Reference the facilities contract number or, in the absence of a facilities contract, the specific facilities or equipment and the number of the award under which they are accountable.
- **Project Narrative – Special Test Equipment.** List special test equipment or other property required to perform the proposed research. Segregate items to be acquired with award funds from those to be furnished by the Government. When practical, give a description or title and estimated cost of each item. When information on individual items is unknown or not available, group the items by class and estimate the values. In addition, state why it is necessary to acquire the property with award funds.

- **Project Narrative – Equipment.** Justify the need for each equipment item. Additional facilities and equipment will not be provided unless the research cannot be completed by any other practical means. Include the proposed life expectancy of the equipment and whether it will be integrated with a larger assemblage or apparatus. If so, state who owns the existing apparatus.

v. Research & Related Budget Form

Estimate the total research project cost. Categorize funds by year. Provide separate annual budgets for each of the five years of the NSSEFF award. For planning purposes, assume that grants will start in late August 2015. In addition to the Research & Related Budget forms available on Grants.gov, the budget proposal should include a budget justification for each year, clearly explaining the need for each item. Applicants who enter a fee on Part J of the budget will not be eligible to receive a grant. Should a grant be awarded, ONR will make payments to the educational institution based upon a predetermined payment schedule. Payments will normally be made quarterly in advance of performance, based upon a spending profile which must be provided as part of the proposal. Payments should be limited to the amounts needed to conduct research during each respective period. Educational organizations shall submit a spending profile with their cost proposal. Attach the budget justification and/or spending profile to Section K of the R&R Budget form.

vi. Attachments Form

- Nomination Letter - Submit a copy of the signed nomination letter that was submitted with the white paper.
- List of Referees - Identify three (and only three) persons who have been asked to submit confidential letters of recommendation. Also, provide the name, e-mail address, phone number, and professional relationship with these persons. Refer to Section IV. entitled, "Application and Submission Information" paragraph vii entitled "Confidential Letters of Recommendation" for instructions on the format, content, and submission of these letters. No more than three letters will be forwarded to evaluators.
- Summary Chart (one (1) page limit, single-sided) – A completed summary chart must be submitted with the full proposal. This summary chart should be in quad chart format which will include objectives, technical approach, DoD benefit, and budget.

vii. Confidential Letters of Recommendation (3 letters total)

A letter of recommendation must be submitted by each of the three referees listed above on official letterhead. These letters have no content requirements, but they should accurately describe relevant information about the nominee with regard to professional abilities, technical skills, research management acumen, and integrity.

The letters of recommendation must be submitted in PDF format via e-mail to ONR at paula.barden.ctr@navy.mil by 4:00 p.m. **Eastern** Local Time on 24 April 2015. This

information should be forwarded by the applicant to each of the persons submitting a letter of recommendation.

Individuals may contact Ms. Barden to confirm submission of the letters.

C. Submission of Grant Proposals through Grants.gov

This announcement package may be accessed from the Internet at the Grants.gov web site (<http://www.grants.gov/>) and on the ONR website at <http://www.onr.navy.mil/Contracts-Grants/Funding-Opportunities/Broad-Agency-Announcements.aspx>

Forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov/>, select "Apply for Grants," followed by "Step 1 – Download a Grant Application Package." In the search function, enter the funding opportunity number for this announcement (ONRFOA15-003). In the search results, click on "download" under the heading "Instructions and Application" to download the instructions and application package. Offerors can also search for the CFDA Number "12.300" or Funding Opportunity Competition ID "NSSEFF" to download the instructions and application.

Due to high traffic volume, applicants are highly encouraged to submit applications early. Waiting until the due date and time may result in applications being late. Common closing dates include the first, fifteenth and last day of any month. Potential applicants are reminded to plan accordingly. Also, please check Grants.gov prior to submission for any notices posted on Grants.gov offering alternate submission options as a result of system saturation. Note: All attachments to all forms must be submitted in PDF format (Adobe Portable Document Format).

Full Proposal Packages will only be accepted from PIs invited to submit full proposals. Proposal packages must be submitted electronically to Grants.gov (<http://www.grants.gov/>) no later than 4:00 p.m. **Eastern** Local Time on 23 January 2015.

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>.

Letters of Intent, White Papers, Supporting Documentation and Nomination Letter submissions should not be submitted through the Grants.gov Apply process. They should be submitted via Acqtrak.

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, specifically www.grants.gov/GetStarted.

Use the Grants.gov Organization Registration Checklist at <http://www.grants.gov/web/applicants/organization-registration.html> which 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.

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. You will know that your proposal has reached ONR when the AOR receives e-mail Number 3. You 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

A. Evaluation Criteria

The NSSEFF program seeks to invest in basic research and to identify challenging fundamental scientific areas of investigation that may have potential for long term benefit to DoD. Proposed research should describe cutting-edge efforts on basic scientific problems. White papers deemed to be applied research, as opposed to basic research, will not advance to the proposal stage of the competition. Refer to the DoD definitions of basic research and applied research at http://comptroller.defense.gov/fmr/current/02b/Volume_02b.pdf.

Subject to funding availability, white papers and proposals deemed to be basic research will be evaluated under the following criteria:

Principal Criteria

1. Scientific and technical merits of the proposed research;
2. Potential relationship of the proposed research to the DoD mission including potential interest of the proposed research to the DoD and the relevance of the proposed project to NSSEFF program objectives and priorities;

Other Criteria

3. The principal investigator's qualifications, ability to perform the proposed work; The overall management approach; and
4. The realism and reasonableness of proposed costs.

The Principal Criteria are of equal importance. The Principal Criteria are of more importance than the Other Criteria. The Other Criteria are of equal importance. The U.S. Government does not guarantee an award in each research area. Further, be advised that as funds are limited, otherwise meritorious proposals may not be funded.

B. Options

The Government will evaluate options for award purposes by adding the total cost for all options to the total cost for the basic requirement. Evaluation of options will not obligate the Government to exercise the options during contract performance.

C. Evaluation Panel

White papers and proposals submitted under this FOA are evaluated through a peer or scientific review process. Evaluation will use merit-based competitive procedures according to Department of Defense Grant and Agreement Regulations (DoDGARs) citation of 32 C.F.R Sec 22.315. White papers and proposals will be evaluated by Government personnel and Non-Government reviewers. Non-Government reviewers will include university faculty and staff researchers. Each reviewer is required to sign a conflict-of-interest and confidentiality statement attesting that the reviewer has no known conflicts of interest, and that application and evaluation information will not be disclosed outside the evaluation panel. The names and affiliations of reviewers are not disclosed.

White papers that best fulfill the evaluation criteria will be identified by members of the white paper evaluation panels and recommended to the Assistant Secretary of Defense for Research & Engineering (ASD(R&E)). ASD(R&E) will invite approximately twenty (20) individual PIs to submit full proposals. Feedback on white papers will only be provided to those invited to submit a full proposal.

Proposals that best meet the evaluation criteria will be recommended for funding. ASD(R&E) will make the final recommendations for award. The Government reserves the right to select and fund for award all, some, one, or none of the proposals in response to this announcement.

Employees of commercial firms under contract to ASD(R&E) and ONR may be used to process white papers and proposals. By submitting a proposal, offerors consent to allowing access to their proposals by these support contractors. These support contracts include nondisclosure agreements prohibiting contractor employees from disclosing any information submitted by other contractors.

VI. SUMMARY OF PROPOSAL SUBMISSION FORMS

Form	Attachment	Action
SF-424 (R&R) Application for Federal Assistance	SF-LLL if there are lobbying activities to disclose	Enter appropriate information in the data fields as described in Section IV.3.C Attach SF-LLL to box 18 if necessary. (Last_Name_SFLLL.pdf) Attach Representation Regarding an Unpaid Delinquent Tax Liability or a Felony Conviction Under any Federal Law – DoD Appropriations to box 18 with other documentation.
R&R Senior/Key Person Profile Form	PI Curriculum Vitae	Attach to PI Biographical Sketch field (LastName_CV.pdf)
	Key Personnel Biographical Sketches	Attach to Biographical Sketch field for each senior/key person (LastName_Bio.pdf)
R&R Project/Performance Site Locations Form	None	Enter appropriate information in the data fields as described below.
R&R Other Project Information Form	Project Summary	Attach to Field #7 (LastName_Abstract.pdf)
	Project Narrative	Attach to Field #8 (LastName_Narrative.pdf)
R&R Budget Form	Budget Justification	Enter appropriate information in the data fields as described below. Attach budget justification to Section K of the budget form for each applicable year (LastName_Budget.pdf)
Attachments Form	Nomination Letter	Upload as attachment 1
	List of 3 Persons Submitting Letters of Recommendation	Upload as attachment 2
	Summary Chart	Upload as attachment 3

VII. SIGNIFICANT DATES AND TIMES

Schedule of Events		
Event	Date	Time
AcquTrak Registration for Letters of Intent (required)	December 11, 2014	4:00 PM Eastern Local Time
Questions Regarding Letter of Intent	November 26, 2014	4:00PM Eastern Local Time
Letter of Intent (required)	December 16, 2014	4:00 PM Eastern Local Time
Questions Regarding White Paper, Supporting Documentation and Nomination Letter	December 24, 2014	4:00 PM Eastern Local Time
AcquTrak Registration for White Paper, Supporting Documentation and Nomination Letter (required if not already registered for LOI)	December 29, 2014	4:00 PM Eastern Local Time
White Paper, Supporting Documentation and Nomination Letter (required)	January 2, 2015	4:00 PM Eastern Local Time
Proposal and Confidential Letters of Recommendation (by invitation only)	April 24, 2015	4:00 PM Eastern Local Time

a. Submission of Late Proposals

Any full proposal submitted and validated through Grants.gov where the time and date for submission (e-mail Number #2) is after the deadline for proposal submission in Section IV entitled, "Application and Submission Information" paragraph number 3 entitled, "Significant Dates and Times" 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 FOA 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 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.

b. Intergovernmental Review

The funding opportunity is not subject to intergovernmental review.

c. Funding Restrictions

An institution may, at its own risk and without prior approval, incur obligations and expenditures to cover costs up to 90 days before the beginning date of the initial budget period of a new or renewal award if such costs: 1) are necessary to conduct the project, and 2) would be allowable under the grant, if awarded, without prior approval.

All pre-award costs are incurred at the recipient's risk. DoD Research and Engineering Enterprise (ASD(R&E)) and ONR are under no obligation to reimburse such costs, if for any reason the institution does not receive an award or if the award is less than anticipated and inadequate to cover such costs.

Government agencies, DoD laboratories and universities, and Federally Funded Research and Development Centers (FFRDCs) may collaborate on the research but may not receive NSSEFF funds, directly or via subaward.

d. Other Submission Requirements

Other Submission Requirement application materials submitted in whole or in part by electronic media (computer disk or tape, facsimile machine, electronic mail, etc.) or in hard copy form to ASD(R&E) or ONR will not be accepted (unless the materials have also been submitted in accordance with the requirements outlined in this announcement).

VIII. Award Administration Information

A. Administrative Requirements

A. 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 web site that consolidates the capabilities you 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/>

B. Access to your Grant

Effective 01 October 2011, hard copies of award/modification documents are no longer mailed to Offerors. All ONR award/modification documents will be available via the 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.

If you do not currently have access to EDA, 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 your registration to be processed. EDA will notify you by email when your 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 (Subject: EDA Assistance).

i. Federal Funding Accountability 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 codified 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.

ii. Military Recruiting on Campus (DoDGARs § 22.520):

This 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.

iii. Certification regarding Restrictions on Lobbying:

Grant and Cooperative Agreement awards greater than \$100,000 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). The following certification applies likewise to each cooperating agreement and normal OTA applicant seeking federal assistance funds exceeding \$100,000:

(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.

iv. Representation Regarding an Unpaid Delinquent Tax Liability or a Felony 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.

v. Security Classification:

In order to facilitate intra-program collaboration and technology transfer, the Government will attempt to enable technology developers to work at the unclassified level to the maximum extent possible. If access to classified material will be required at any point during performance, the Offeror must clearly identify such need in Section II, Block 11 of the Technical Proposal Template.

If it is determined that access to classified information will be required during the performance of an award, a Department of Defense (DD) Form 254 will be attached to the contract, and FAR 52.204-2 - Security Requirements will be incorporated into the contract.

ONR does not provide access to classified material under grants.

vi. 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 documentation, contact the ONR Animal Use Administrator at sevgi.bullock@navy.mil.

Similarly, for any proposal for research involving human subjects, 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 ONR_343_contact@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 sevgi.bullock@navy.mil.

For contracts and orders, the award and execution of the contract, order, or modification to an existing contract or order serves as notification from the Contracting Officer to the Contractor that the HRPO has approved the assurance as appropriate for the research under the Statement of Work and also that the HRPO has reviewed the protocol and accepted the IRB approval or exemption determination for compliance with the DoD Component policies. See, DFARS 252.235-7004.

vii. Recombinant DNA:

Proposal 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.

viii. Department of Defense High Performance Computing Program:

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

ix. Project Meetings and Reviews:

Individual program reviews between the ONR sponsor and the performer may be held as necessary. Program status reviews may also be 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 ONR, Arlington VA and 60% at other contractor or government facilities. Interim meetings are likely, but these will be accomplished via video telephone conferences, telephone conferences, or via web-based collaboration tools.

xi. Reporting Requirements:

Grants typically require annual and final technical reports, financial reports and final patent reports. Copies of publications and presentations should be submitted in accordance with award documentation. Additional deliverables may be required based on the research being conducted.

Awardees named as NSSEFF Fellows are expected to participate in all NSSEFF activities.

viii. Reporting Executive Compensation and First-Tier Subawards:

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 U.S. Institutions of Higher Education 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 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.

A similar award term will be used in all grants.