Funding Opportunity Announcement FY2017 Office of Naval Research (ONR) Young Investigator Program (YIP)

INTRODUCTION:

This publication constitutes a Funding Opportunity Announcement (FOA) as contemplated in the Department of Defense Grants and Agreements regulations (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 and fund all, some, or none of the proposals in response to this announcement. 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 submitted under this FOA as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

This FOA is intended for proposals related to basic research projects. Proposals that do not meet the criteria specified by this document will not be reviewed. Awards will take the form of grants.

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, Content and Format of Full Proposals.

All grant proposals are to be submitted through Grants.gov. Offerors should include responses to the Representations indicated in Section VII, D, of this FOA and located at http://www.onr.navy.mil/en/Contracts-Grants/submit-proposal/grants-proposal.aspx

Table of Contents

I. PROGRAM DESCRIPTION

A. Agency Name

Office of Naval Research
One Liberty Center
875 N. Randolph Street
Arlington, VA 22203-1995

B. Research Opportunity Title

Funding Opportunity Announcement FY2017 Office of Naval Research (ONR) Young Investigator Program (YIP)

C. Program Name

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

D. Research Opportunity Number

N00014-16-S-FO15

E. Response Date

Questions due: 07 October 2016 (Friday) 3:00 PM Eastern Daylight Time (EDT)

Full Proposals due: 04 November 2016 (Friday) 11:59 PM Eastern Daylight Time (EDT)

IMPORTANT NOTE: White Papers are NOT being solicited and will NOT be accepted. This FOA is for full proposal submission only.

F. 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 04 November 2011, 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) 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.

Applicants are <u>STRONGLY ENCOURAGED</u> to contact the appropriate Program Officer who is the point of contact for a specific technical area to discuss their research ideas. A list of Program Officers and their contact information can be found at:
http://www.onr.navy.mil/en/Science-Technology/Contacts.aspx

Brief informal pre-proposals may be submitted to facilitate these discussions but are not required. 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 at least one letter of support through the appropriate university officials. Refer to Section V "Evaluation Information" regarding the importance of the letter(s) of support in the overall evaluation criteria and Section IV "Application and Submission Information" regarding its content. The research proposal should follow the format described in FOA Section IV entitled, "Application and Submission Information." ONR makes awards to institutions, not to individuals.

Offerors 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 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 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 2016 more than 260 proposals were received resulting in 47 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. The YIP is not a "research initiation" opportunity with standards that are less demanding than ONR's other research grant programs; instead, 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.

G. Points of Contact (POC)

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 (S&T) (http://www.onr.navy.mil/Science-Technology/Departments.aspx) or Technology Locator (http://www.onr.navy.mil/en/Science-Technology/Contacts.aspx) to locate the cognizant ONR program officer.

Questions regarding **YIP policy** should be submitted to:

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

Questions of a **Business** nature should be submitted to:

Mr. David Broadwell
Grant Management Specialist
Code 255
Office of Naval Research
875 North Randolph Street
Arlington VA 22203-1995
david.broadwell@navy.mil

All questions shall be submitted via email and should be concise and to the point. In addition, the relevant part and paragraph of the FOA should be referenced. Questions presented by telephone call, fax message, or other means will not be responded to. Questions must be submitted no later than 07 October 2016, 3:00 PM EDT. Questions submitted after this date will not be answered and the due date for submission of proposals will not be extended.

Amendments to this FOA will be posted to one or more of the following web pages:

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

H. Instrument Type

Awards will take the form of grants. These awards will be governed by the guidance in title 2 of the Code of Federal Regulations (CFR) Part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards," as supplemented by the Department of Defense's (DoD) interim implementation found at 2 CFR Part 1103, "Interim Grants and Cooperative Agreements Implementation of Guidance in 2 CFR Part 200" (79 FR 76047, December 19, 2014), all of which are incorporated herein by reference.

Examples of model grants can be found on the ONR website at the following link: http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal.aspx

I. Catalog of Federal Domestic Assistance (CFDA) Numbers

12.300

J. Catalog of Federal Domestic Assistance (CFDA) Titles

Basic and Applied Scientific Research (ONR)

K. Other Information

Work funded under a FOA may include basic research, applied research and some advanced technology development 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 "contracted fundamental research" as provided in 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

A. Funding 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 June 2017. 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.

B. Peer Reviews

In the case of proposals funded as basic research, ONR may utilize peer reviewers from academia, industry, and Government agencies to assist in the periodic appraisal of performance under the awards, as outlined in ONR Instruction 3966.1A. 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. 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

Awards under this FOA will 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 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 04 November 2011. 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

A. Application and Submission Process

Full Proposals: The due date for receipt of Full Proposals is 11:59 PM (EDT) on Friday, 04 November 2016. Full proposals received after the published due date and time will not be considered. It is STRONGLY recommended that proposals be uploaded sufficiently in advance to avoid any possible delays with Grants.gov.

After the final full proposal evaluation process is completed, offerors will be notified via email of their project's selection or non-selection for FY17 funding.

B. Content and Format of Full Proposals

Full proposals submitted under this FOA shall be unclassified and for unclassified basic research. Full proposal submissions will be protected from unauthorized disclosure in accordance with applicable laws and DoD regulations.

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 following information must be completed as follows in the Standard Form (SF) 424 located on 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 three (3) digit Program Office Code and the Program Officer's name, last name first, in brackets (e.g., 351 [Doe, John]).
Block 4c, Previous Grants.gov Tracking ID: Enter the Grants.gov tracking number of the

previous proposal submission if this submission is for a Changed/Corrected Application; otherwise, leave blank.

Applicants who fail to provide a Program Officer Code identifier may receive a notice that their proposal is rejected.

Attach the technical proposal in Grants.gov: download the application package.
> click on "Research and Related Other Project information"
> click on "Move form to Submission List"
> click on "Open Form"
You will see a new PDF document titled "Research & Related Other Project Information"

Block 7, Project Summary/Abstract: > click on "Add attachment" and attach the project summary/abstract. (You will not be able to type in the box, therefore, save the file you want to attach as Project Summary or Abstract that should be marked Approved for Public Release). Abstracts of all funded research projects will be posted on a public site at: https://dodgrantawards.dtic.mil/grants/index.html#/home. **Do not** include proprietary or confidential information. Use only characters available on a standard QWERTY keyboard. Spell out all Greek letters, other non-English letters and symbols. Graphics are not allowed and there is a 500 character limit.

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; and

   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 a 500 character limit.

Block 8, Project Narrative: > click on attachment and attach the technical proposal. (Save the file as Volume I- Technical Proposal since you will not be able to type in the box).

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 – **Technical Proposal** - not more than 20 pages single-sided. (NOTE: The cover page, table of contents, curriculum vitae, letter(s) of support, references and current/pending project submissions are NOT INCLUDED in the Technical Proposal.)
- Page limit – **Cost Proposal** - there is no page limitation.

The full proposal must be submitted electronically at http://www.grants.gov/.

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 must include the words "Technical Proposal" and the following:

1) FOA Number: N00014-16-S-FO15
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)
6) Proposed period of performance (identify both the base period and any options, if included).

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 would 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 reports that are typically required under a research effort, and are to be submitted electronically:

- − Technical and Financial Progress Reports
- − Annual Research Performance 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 subwards, 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 PI 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.

<u>Curriculum Vitae</u>: One curriculum vitae of the Principal Investigator (no page limit).

<u>Letter(s) of support</u>: 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 SF-424 Research and Related (R&R) Budget Form) from the application package template associated with the FOA on the Grants.gov web site located at <u>http://www.grants.gov/</u>. 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 included in the award. Assume that performance will start <u>01 June 2017</u>.

A separate Adobe .pdf document should be included in the application that provides appropriate justification and/or supporting documentation for each element of cost proposed.

Part 1: The itemized budget must include the following:

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 June 2017. Thus, as noted below, the proposed budget for three years beginning 01 June 2017 will have four budget periods.

    (1) Four months (01 June 2017 through 30 September 2017)
    (2) Twelve months (01 October 2017 through 30 September 2018)
    (3) Twelve months (01 October 2018 through 30 September 2019)
    (4) Eight months (01 October 2019 through 31 May 2020)

Note that the budget for each of the budget-periods (e.g., 01 June 2017 to 30 Sep 2017) should include only those costs to be expended during that budget period.

Annual budget should be driven by program requirements.

<u>Direct Labor</u>:   Individual labor categories or persons, with associated labor hours and unburdened direct labor rates. Provide 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 must 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 must 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 principles. Offerors may include travel costs for the PI to attend the peer reviews described in Section II, B. 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. ONR's 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 for subawards/subcontracts: Fee/Profit is unallowable under assistance agreements at either the prime or subaward level but may be permitted on any subcontracts issued by the prime awardee.

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 are limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, laptops, office equipment) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.

Other 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.

For submission instructions, see Part IV, Section D. Submission of Grant Proposals through Grants.gov

C. Significant Dates and Times

Schedule of Events		
Event	**Date**	**Time**
Questions Regarding Full Proposals	07 October 2016 (Friday)*	3:00 PM Eastern Daylight Time
Full Proposals Due	04 November 2016 (Friday)	11:59 PM Eastern Daylight Time
Notifications of Selection for Award	01 February 2017 (Wednesday) **	
Start Date of Grant	01 June 2017 (Thursday)**	

* Questions submitted after the Q&A deadline may not be answered.
** These dates are estimates as of the date of this announcement.

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 February 2017.

D. 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 Contracts and Grants — Submitting Proposals section of the ONR website at http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-gov.aspx.

For electronic submission of full proposals for grants, 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 http://www.grants.gov/web/grants/support.html. Click on Grants.gov Online User Guide.

Use the Grants.gov Organization Registration Checklist which can be found at: http://www.grants.gov/web/grants/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.

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 (PDF). Proposals with attachments submitted in word processing, spreadsheet, or any format other than Adobe Portable Document Format (PDF) 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. <u>APPLICATION REVIEW INFORMATION</u>

A. Evaluation Criteria

Awards under this FOA will be made to Offerors 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 after the decision to award is made. The Government reserves the right to remove Offerors from award consideration should the parties fail to reach agreement on award terms, conditions, and cost/price within a reasonable time, or the Offeror fails to timely provide requested additional information.

The primary basis for selecting proposals for acceptance will be technical, importance to agency programs and fund availability. Cost realism and reasonableness will also be considered. The following criteria, all being of equal value, will be used for the evaluation:

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 proposed research should be detailed in the letter(s) of support from appropriate university official.

The ultimate recommendation for award of proposals is made by ONR's scientific community. Recommended proposals will be forwarded to the ONR Contracts and Grant Awards Management office. 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 department to conduct cost analysis, determine the Offeror's responsibility, and to take other relevant steps necessary prior to commencing negotiations with the Offeror.

B. Evaluation Panel

Technical and cost proposals submitted under this FOA will be protected from unauthorized disclosure. The cognizant Program Officer and other Government scientific experts will perform the evaluation of technical proposals. Restrictive notices notwithstanding, one or more support contractors 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 having access to technical and cost proposals submitted in response to this FOA will be required to sign a non- disclosure agreement prior to receipt of any proposal submissions.

C. General Information Regarding the Review and Selection Process for Grants

i) Prior to making an award with total amount of Federal share greater than the simplified acquisition threshold, ONR shall review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS).

ii) The applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.

iii) ONR will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by the applicant as described in 2 CFR 200.205, Federal awarding agency review of risk posed by applicants.

VI. AWARD ADMINISTRATION INFORMATION

A. 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.

SAM may be accessed at https://www.sam.gov/portal/SAM/

B. Reporting

In general, for each grant award, annual research performance progress reports and a final report are required to summarize the technical progress and accomplishments during the performance period. These reports must be submitted electronically.

C. Access to your Grant Award

ONR award/modification documents are only available via the DoD Electronic Document Access System (EDA) within the WideArea WorkFlow e-Business Suite (https://wawf.eb.mil/).

Unless otherwise specified by the Offeror, notifications for the posting of award and modification documents to EDA will be directed to both the Technical Point of Contact and the Business Point of Contact identified in the Offeror's proposal on the SF-424.

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, you may complete a self-registration request as a "Vendor" via https://wawf.eb.mil/ following the steps below:

1) Click "Accept"
2) Click "Register" (top right)
3) Click "Agree"
4) In the "What type of user are you?" drop down, select "Vendor"
5) Select the systems you would like to access (iRAPT at a minimum)
6) Complete the User Profile and follow the site instructions

Allow five business days for your registration to be processed. EDA will notify you by email when your account is approved. To access awards after your registration has been approved, log into https://wawf.eb.mil/, select "EDA", select either EDA location, Select "Contracts", select your search preference, enter the Grant Number in the Contract Number field, and select "View".

Registration questions may be directed to the EDA help desk toll free at 866-618-5988, commercial at 801-605-7095, or via email at disa.ogden.esd.mbx.cscassig@mail.mil (Subject: EDA Assistance).

VII. OTHER INFORMATION

A. 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 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.

B. Military Recruiting on Campus (DoDGARS Part 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.

C. Certification regarding Restrictions on Lobbying:

Grant and Cooperative Agreement awards greater than $100,000, as well as Other Transaction Agreements (OTAs) 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 SF-424 (R&R) as a part of the electronic proposal submitted via Grants.gov (complete Block 17).   The following certification applies likewise to each Cooperative 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.

D. 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 SF-424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

(1) The applicant represents that it _____ 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 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 must 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.

E. Representation Regarding the Prohibition on Using Funds with Entities that Require Certain Internal Confidentiality Agreements

Agreement with the representation below will be affirmed by checking the "I agree" box in block 17 of the SF-424 (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.

The basis for this representation is a found in section 743 of the Financial Services and General Government Appropriations Act, 2015, Pub. L. 113-235, which prohibits appropriated funds from being made available under a contract, grant or cooperative agreement to an entity that requires such confidentiality agreements. Section 743 also states that this prohibition does not contravene requirements applicable to SF-312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

F. Applicants for grants, cooperative agreements, or other transaction agreements as applicable are required to comply with 2 CFR 215.42, Codes of Conduct, to prevent real or apparent conflicts of interest in the award and administration of any contracts supported by federal funds. This provision will be incorporated into all assistance instruments awarded under this FOA.

G. Security Classification:

ONR does not provide access to classified material under grants.

H. Use of Animals and Human Subjects in Research:

If animals are to be utilized in the research effort proposed, the Offeror must submit prior to award a Full Appendix or Abbreviated Appendix with supporting documentation (copies of IACUC Approval, IACUC Approved Protocol, and most recent USDA Inspection Report) prior to award. For assistance with submission of animal research related documentation, contact the ONR Animal Use Administrator at (703) 696-4046. Guidance: http://www.onr.navy.mil/en/About-ONR/compliance-protections/Research-Protections/Animal-Recombinant-DNA.aspx

Use of Human Subjects in Research:

Similarly, for any proposal for research involving human subjects, the Offeror must 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. Determinations that the activity is not research involving human subjects must also be provided. 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 (703) 696-4046.

Guidance: http://www.onr.navy.mil/About-ONR/compliance-protections/Research-Protections/Human-Subject-Research.aspx

I.   Recombinant DNA:

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

J.   Institutional Dual Use Research of Concern:

As of September 24, 2015, all institutions and USG funding agencies subject to the United States Government Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern must comply with all the requirements listed therein. If your research proposal directly involves certain biological agents or toxins, contact the cognizant Technical Point of Contact. U.S. Government Science, Safety, Security (S3) guidance may be found at http://www.phe.gov/s3/dualuse.

K.   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 requirements are favorably completed. Additional information and an application may be found at http://www.hpcmo.hpc.mil/.

L.   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.