



FY17 Funding Opportunity Announcement for Navy and Marine Corps Science, Technology, Engineering & Mathematics Education, Outreach and Workforce Program

INTRODUCTION:

This publication constitutes a Funding Opportunity Announcement (FOA) as contemplated by the Department of Defense Grants and Agreements regulations (DoDGARS) 32 CFR 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 received 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 as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

This FOA is intended for proposals related to the Department of the Navy (DoN) education, outreach and workforce projects in Science, Technology, Engineering, and Mathematics (STEM) program. Proposals that do not meet the criteria specified by this document will not be reviewed.

For Research and Development proposals related to basic research, applied research, or advanced technology development, refer to the Long Range N00014-17-R-B001, which can be found at ONR Broad Agency Announcement (BAA) Webpage- <http://www.onr.navy.mil/Contracts-Grants/Funding-Opportunities/Broad-Agency-Announcement.aspx>.

For grant proposals submitted through Grants.gov, offerors must include responses to the Representations indicated in Section VII D and E of this FOA. Documents are located at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal.aspx>

This announcement will remain open until 31 December 2017 or until replaced by a successor FOA. Proposals may be submitted at any time during this period. This announcement replaces N00014-16-R-FO03.

Please note the following important items:

- A requirement that the project summary/ abstract required in the submission of the proposal must be publically releasable as noted in Section IV, entitled “Application and Submission Information” B (b).
- Offerors shall include responses to *Representation Regarding an Unpaid Delinquent Liability or a Felony Criminal Conviction under Any Federal Law – DoD Appropriations*. See Section VII entitled “Other Information” for additional information.

Hyperlinks have been embedded within the table of contents. The reader may ‘jump’ to the linked section within this document by clicking the hyperlink.

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I. GENERAL INFORMATION

A. Agency Name –

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

B. Funding Opportunity Title –

FY17 Funding Opportunity Announcement for the Navy and Marine Corps Science, Technology, Engineering & Mathematics Education Outreach and Workforce Program

C. Program Name –

ONR Science, Technology, Engineering & Mathematics (STEM) Program

D. Funding Opportunity Number –

N00014-17-S-F002

E. Response Date –

This announcement will remain open until 31 December 2017 or until replaced by a successor FOA, whichever occurs first. Two Funding Calls for white paper pre-proposals will occur in this FOA. Please consider each range of dates and potential funding in context of when a project start date may occur and submit under the appropriate response date window. White paper pre-proposals submitted in each Funding Call will be reviewed in that Funding Call only.

- Funding Call 1 of 2 will occur from the public release of this FOA until 3 January 2017. White paper pre-proposals submitted under these dates will be considered for FY17 funding potential.
- Funding Call 2 of 2 will occur from 1 May 2017 to 31 August 2017. White paper pre-proposals will be considered for FY18 funding potential.

White paper pre-proposals will be considered as they are submitted. Therefore, Offerors are encouraged to submit early in the cycle as there is no guarantee of available program funding. Full proposals will be considered under the same FOA as submitted white papers.

It is strongly encouraged that Offerors contact the ONR STEM program in advance of white papers submission for the latest information on the availability of funds.

F. Funding Opportunity Description –

The ONR seeks a broad range of proposals for augmenting existing or developing innovative solutions that directly maintain, or cultivate a diverse, world-class STEM workforce in order to maintain the U.S.

Navy and Marine Corps' technological superiority. The goal of any proposed effort must provide solutions that will establish and maintain pathways of diverse U.S. citizens who are interested in uniformed or civilian DoN (or Navy and Marine Corps) STEM workforce opportunities.

As the capacity of the DoN Science and Technology (S&T) workforce is interconnected with the basic research enterprise and STEM education system, ONR recognizes the necessity to support efforts that can jointly improve STEM student outcomes and align with Naval S&T current and future workforce needs. This announcement explicitly encourages projects that improve the capacity of education systems and communities to create impactful STEM educational experiences for students including active learning approaches and incorporating 21st century skills. Projects must aim to increase student engagement in STEM and persistence of students in STEM degrees, while improving student technical capacity. ONR encourages proposals to utilize current STEM educational research for informing project design and advancing our understanding of how and why students choose STEM careers and opportunities of naval relevance.

While this announcement is relevant for any stage of the STEM educational system, funding efforts will be targeted primarily toward the future and current DoN (naval) STEM workforce in High School, all categories of Post-Secondary institutions, the STEM research enterprise, and efforts that enhance the current naval STEM workforce and its mission readiness.

Efforts may encompass a spectrum of project scales:

- Develop and implement exploratory pilot projects that seek to create new educational experiences within educational systems. Projects must engage STEM topics that are applicable to anticipated naval S&T workforce needs. Implementation scale may vary from small to moderate in design but must have an evident plan to impact the proposed audience target.
- Develop cohesive STEM educational activities that strengthen the capacity of communities and stakeholders to improve STEM education. Projects seeking to address this scale are expected to involve multiple stakeholders within a defined community and have evidence supporting the proposed work. Anticipated results and naval relevance must be clearly articulated and indicate a major change within the targeted educational community.
- Establish meeting of stakeholders that must seek to connect relevant people and organizations across sectors (e.g., educational entities, government (federal, state, and local as appropriate), private industry, nonprofits, and others) to explicitly develop broader projects for impacting entire communities. Any proposed meeting is expected to produce an actionable project as a result.

The technical content of any idea must establish naval relevance within the broad scope of key engineering and scientific areas as outlined in the Naval S&T Strategy, or such as our National Naval Responsibilities (see ONR website), or any identified gaps in workforce needs such as data analysts and scientists, among others.

Specific audience priority areas may include, but not be limited to, military dependent children, education systems integral to the naval science and technology enterprise, and veteran initiatives that improve education outcomes and connections to naval STEM careers.

While not a formal requirement or program focus of this FOA, applicants are strongly encouraged to

consider under-represented populations including women and minorities in project plans.

Applicants are encouraged to understand the significant reorganization of STEM funding across the Federal government. Applicants seeking to improve general national STEM performance rather than a focus on Naval workforce needs, and particularly efforts aimed at the P/K-9 levels, are encouraged to seek funding from one of the designated lead agencies: The Department of Education, the National Science Foundation, or the Smithsonian Institution.

Successful *white papers* must clearly demonstrate that they:

- Will create meaningful content and participant experiences that meet Naval STEM education and workforce priorities, and that will expose participants to elements such as Navy and Marine Corps STEM skills, content, careers, facilities and personnel (uniformed, civilian, active duty or retired).
- Will collect a set of program-specific measures of performance and measures of effectiveness appropriate to the goals of the project.
- Will contain a strategy for self-sufficiency, such that following the completion of ONR's investment, the effort will have a clear financial sustainability path and leave enduring organizational capability.
- Will be distinct from those types of efforts requested by ONR's Long Range BAA.

All programs are expected to develop a set of impact measures appropriate to the project objectives that demonstrate whether and how these programs are achieving their intended goals.

Specific proposal evaluation criteria for this FOA are included in Section V.

Proposers whose efforts are *primarily* to purchase supplies and materials, cover the cost of student tuition, stipends, labor, internship costs, or provide salary and/or travel support are discouraged from applying.

G. Point(s) of Contact (POC) –

Questions of a technical nature should be submitted to:

Dr. Michael Simpson
Director of Education and Workforce
Office of Naval Research
875 North Randolph Street
Arlington VA 22203-1995
onr_stem@navy.mil

Questions of a business nature, and suggestions for improvement should be submitted to:

Mr. Ernest L. Marshall
Administrative Support Specialist
Code 22
Office of Naval Research
875 North Randolph Street
Arlington VA 22203-1995
Ernest.Marshall@navy.mil

Ms. Ellen Simonoff
Grant Officer
Code 25
Office of Naval Research
875 North Randolph Street
Arlington, VA 22203-1995
Ellen.Simonoff@navy.mil

Comments or questions should be concise and to the point, eliminating any unnecessary verbiage. In addition, the relevant part and paragraph of the FOA should be referenced. All questions must be submitted in writing by email.

Amendments will be posted to one or more of the following webpages:

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

H. Instrument Type(s) –

Awards may take the form of grants. Grants awarded under this announcement will be governed by the award terms and conditions that conform to DoD implementation of OMB circulars applicable to financial assistance. Terms and conditions of new 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.” The DoD Terms and Conditions is located at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-terms-conditions.aspx>.

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/model-grant.aspx>.

I. Catalog of Federal Domestic Assistance (CFDA) Numbers –

12.330

J. Catalog of Federal Domestic Assistance (CFDA) Titles –

ONR Science, Technology, Engineering & Mathematics (STEM) Program

II. AWARD INFORMATION

The amount and period of performance of each selected proposal may vary depending on the research area and the technical approach to be pursued by the selected Offeror. The ONR plans to make multiple awards under this FOA, selecting those that represent the greatest overall value to the Government in accordance with the evaluation criteria contained in Section V, Evaluation Criteria of N00014-17-S-F002.

Offerors are encouraged to be creative in the selection of the technical and management processes and approaches to address the areas of interest described above. The projects must take into consideration the greatest and broadest impact possible.

The period of performance of the awards will typically range from twelve (12) months to thirty-six (36) months. ONR typically funds individual awards up to \$250,000 per year. Cost proposals for larger amounts will be considered on a case by case basis. Projects addressing a larger community effort must consult with the Technical POC listed in Section I.G.

Due to the time required for reviewing and commenting on the white paper and subsequently invited full proposal, and taking into account the time required for funding an award, performers selected for award must anticipate that funds may not be available until well into FY17.

Proposal Received by ONR	Period of Performance Start
During CY 2016	March 2017
January-March 2017	July 2017
April-June 2017	September 2017
July-September 2017	January 2018
October-December 2017	March 2018

III. ELIGIBILITY INFORMATION

All responsible sources from academia, the nonprofit sector, and industry may submit proposals under this FOA.

Federally Funded Research & Development Centers (FFRDCs), including Department of Energy National Laboratories, are not eligible to receive awards under this FOA. However, teaming arrangements between FFRDCs and eligible principal bidders are allowed so long as they are permitted under the sponsoring agreement between the Government and the specific FFRDC.

Navy laboratories, military universities, and warfare centers as well as other Department of Defense and civilian agency laboratories are also not eligible to receive awards under this FOA and must not submit either white papers or full proposals in response to this FOA. If any such organization is interested in the program described herein, the organization must contact ONR STEM Program Office, onr_stem@navy.mil, to discuss potential projects. As with FFRDCs, these types of Federal organizations may team with other responsible sources from academia, non-profits, and industry that are submitting proposals under this FOA.

University Affiliated Research Centers (UARC) are eligible to submit proposals under this FOA unless precluded from doing so by their Department of Defense UARC contract.

Cost sharing is not expected and will not be used as a factor during the merit review of any proposal hereunder. However, the Government may consider voluntary cost sharing if proposed.

IV. APPLICATION AND SUBMISSION INFORMATION

A. White Paper Application and Submission Process –

Initial submissions must be a white paper. White papers are to be submitted only as a PDF or Microsoft Word 2010 compatible file via email to onr_stem@navy.mil. The subject line of the email shall read “N00014-17-S-F002 White Paper Submission”. There is an email size limit of 5MB per email. Each white paper must state that it is submitted in response to this FOA. A separate white paper is required for submission for each project.

NOTE: Do not send:

- hardcopies of White Papers (including Facsimiles)
- .ZIP files
- password protected files

In order to provide traceability and evidence of submission, Offerors may wish to use the "Delivery Receipt" option available from Microsoft Outlook and other email programs that will automatically generate a response when the subject email is delivered to the recipient's email system. Consult the User's Manual for your email software for further details on this feature.

White paper submission is via email ONLY to onr_stem@navy.mil following the detailed instructions below. If an Offeror does not submit a white paper, it is not eligible to participate in the remaining full proposal submission process and is not eligible for funding

The ONR STEM Office will notify each submission of their successful entry and assign a designated tracking number for each white paper received within a week of being received. Review of white papers will occur per section I. E. and F. Following the review of each white paper, each submission will receive an email notice from the ONR STEM Office indicating their status next steps if a proposal is requested. Due to uncontrollable variables, this office cannot guarantee an exact review date for each white paper.

B. Content, Format, and Submission of White Papers/Full Proposals –

1. General Instructions –

White Papers and Full Proposals submitted under this FOA are to be unclassified.

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. Do not put proprietary data or markings in, or on the proposal abstract.

Titles given to the White Papers/Full Proposals must be descriptive of the work they cover and not be merely a copy of the title of this announcement.

2. White Papers –

a. White Paper Format –

Submit White Papers according to the following format:

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

b. White Paper Content –

White Papers must address the following sections:

- **Cover Page** – The Cover Page shall be labeled "WHITE PAPER", and shall include N00014-17-S-F002, proposed title, Offeror's administrative and technical points of contact, telephone numbers, facsimile numbers, and email addresses.
- **Summary** – A one paragraph Summary of the proposed effort.
- **Technical Concept (2 Page Maximum)** – A description of the proposed effort and how it advances the ONR's STEM Education and Workforce mission. The project idea, technical rationale, and approach must identify a problem(s), arguments to substantiate the claims made, and proposed approach to address the issue. The Offeror's capacities must be discussed as they relate to achieving success in the project. The project must address the Funding Opportunity Description stated in Section I.F.
- **Rough Order of Magnitude Cost (One-half Page Maximum)** – White Paper submissions shall include a rough order of magnitude cost showing requested funding per year, total cost, and suggests spending priorities to satisfy Section I.F.
- **Naval Relevance (One-half Page Maximum)** – A description of potential STEM Education and Naval STEM relevance and contributions of the effort to the agency's specific mission.

3. Proposals –

a. Full Proposal Format –

Submit Full Proposals using the following format:

- **Paper Size** – 8.5 x 11 inch paper
- **Margins** – 1 inch
- **Spacing** – Single-spaced
- **Font** – Times New Roman, 12 point
- **Number of Pages** – Full Proposals exceeding the page limit may not be evaluated.
 - The cover page, table of contents, resumes, curricula vitae, references, letters of support, current and pending project, and responsibility sections are excluded from the page limitations.
 - The **22 page limitation includes** Technical Approach and Justification, Project Schedule

- and Milestones, Metrics and Evaluation, Management Approach, and Qualifications.
- Volume (Vol.) 1 (Technical Proposal) is limited to no more than **22 pages**. Limitations within sections of the proposal, if any, are indicated in the individual descriptions shown below.
 - Volume (Vol.) 2 has no page limit.
 - Note: The electronic file name for all documents submitted under this FOA must not exceed 68 characters in length including file name extension.

b. Full Proposal Content –

Content and Form of Application:

Prospective offerors must complete the mandatory forms in accordance with the instructions provided on the forms and the additional instructions below. Files that are attached to the forms must be in Adobe Portable Document Format (.PDF) unless otherwise specified in this announcement.

Form: SF 424 (RESEARCH & RELATED)

Complete all the required fields in accordance with the pop-up instructions on the form. To activate the instructions, turn on the “Help Mode” (icon with the pointer and question mark at the top of the form). The following information must be completed in the SF 424 located on Grants.gov to ensure that the application is directed to the correct individual for review and to be considered for award, Offerors must fill out Block 4 of the SF 424 R&R as follows:

- Block 4a “Federal Identifier”: If the application is not a renewal or expansion of an existing award, enter the previous ONR award number, or N00014.
- Block 4b “Agency Routing Identifier”: Enter the three (3) digit Program Office Code and the Program Officer’s name, last name first, in brackets (e.g., 03R [Simpson, Michael]).

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

- Block 4c, Previous Grants.gov Tracking ID: If this submission is for a Changed/Corrected Application, enter the Grants.gov tracking number of the previous proposal submission; otherwise, leave blank.

Form: Project Abstract

Abstracts of all funded research projects will be posted on a DTIC website, <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 4,000 character limit.

Form: RESEARCH & RELATED Other Project Information

Attach the Technical Proposal as follows:

- Download the application package;
- Click on "Research and Related Other Project Information";
- Click on "Move form to Submission List";
- Click on "Open Form";
- A new PDF entitled "Research & Related Other Project Information" will appear;
- Locate Field 8 entitled, "Project Narrative;"
- Click on "Add Attachment;" and
- Attach the technical proposal.

NOTE: Ensure the attachment is a single PDF file with File name: "Volume 1 – Technical Proposal".

Full Proposal Format:

(1) Volume 1 – Technical Proposal

- **Cover Page** – This must include the words "Technical Proposal" and the following:
 - N00014-17-S-F002
 - Title of Proposal
 - Identity of prime Offeror and complete list of subawards, if applicable
 - Technical contact (name, address, phone/fax, electronic mail address)
 - Administrative/business contact (name, address, phone/fax, electronic mail address)
 - 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 proposal must consist of a clear description of the technical approach being proposed and its potential Naval relevance and contribution to the agency's specific education and science and engineering workforce. Broadly, the proposal may address in some combination as is relevant the following discussion points: 1) Discuss scientific and technical merits and its potential to achieve the objectives of the program, including the extent to which the proposed effort would enhance current capabilities; 2) Identify proposed efforts for increasing or maintaining the educational pathway and the potential of the proposed program to educate future scientists and engineers in STEM disciplines critical to the Naval mission; 3) Discuss increased or enhanced opportunities to disseminate information on Naval programs and careers; 4) Discuss the potential and extent to which the proposed program engages Naval laboratories as active participants in program execution. *Limit the number of pages for this section to 13.*

- **Project Schedule and Milestones** – A summary of the schedule of events and milestones. *Limit the number of pages for this section to 2.*
- **Reports** – The Offeror must acknowledge that the following reports are required under an ONR funded STEM effort:
 - Quarterly Technical and Financial Progress Reports – A template will be provided to each starting grant. This report will include information on current expenses and invoices for the time period, programmatic developments, and major successes or major problems that warrant ONR attention.
 - Annual Reports – Complete annual Research Performance Progress Report mandated by ONR. This report will occur during the summer months regardless of grant start date.
 - Annual Naval STEM Program Data Call Form – Completion of the form. A illustrative template will be provided when the proposal is requested.
 - Final Report – Detail the full programmatic accomplishments summarized from prior reports and including unreported activities to the close of financial activities, and a forecast for ongoing program sustainability and contribution to Naval education and workforce need as the funding ends. Include, as feasible, examples of educational materials produced, links to digital materials, and other resultant material from the award. *Limit the number of pages in this section to one-half page.*
- **Metrics and Evaluation** – Discuss the metrics and evaluation plans for this project. Metrics and evaluation components must include but not be limited to:
 - Logic models and program operating guidelines.
 - Anticipated data collection and results.
 - Data instruments as feasible.*Limit the number of pages for this section to 2.*
- **Management Approach** – A discussion of the overall approach to the management of this effort, including brief discussions of the total organization, project/function/subcontractor/subrecipient relationships, government research interfaces, and planning, scheduling and control practice. Identify which personnel and subcontractors/subrecipients (if any) will be involved. *Limit the number of pages for this section to 2.*
- **Qualifications** – A summary discussion of the qualifications of the proposed Principal Investigator and any other key personnel. Include a summary bio for the Principal Investigator and other key personnel. *Limit the number of pages for this section to 2.* Full curricula vitae/resumes are to be attached under the additional attachments section separate from this section.
- **References**
- **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 to whatever sources (e.g., ONR, Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations).

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 Principal Investigator and other senior personnel must be included, even if they receive no salary support from the project(s);
 - 9) The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months or labor hours per year to be devoted to the project, regardless of source of support; and
 - 10) State how projects are related to the proposed effort and indicate degree of overlap.
- **Letter(s) of support** – There is no specified format or content required for the letter(s) of support other than being authored by the appropriate representative and supporting commitment the applicant and his or her project. Commitment may include (but is not limited to) funding, related materials and/or computer investments, technical advisement, and organizational or infrastructure support. The letter(s) can include any and all commitments and investments made by the representative towards the applicant and the overall statement about the relevance of the project to naval science and technology goals.
 - **Responsibility** – Offeror's are requested to provide the following information to ONR in order to assist in ONR's evaluation of the offeror's responsibility:
 - a. Describe how you have adequate resources or the ability to obtain such research as required to complete the activities proposed.
 - b. Describe how you have the ability to comply with the grant conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
 - c. Describe your performance history, specifically your record in managing Federal awards and the extent to which any previously awarded amounts will be expended prior to future awards.
 - d. Describe your record of integrity and business ethics.
 - e. Describe qualifications and eligibility to receive an award under applicable laws and regulations.
 - f. Describe your organization, experience, accounting, and operational controls and technical skills, or the ability to obtain them (including as appropriate such elements as property control systems, quality assurance measures, and safety programs applicable to the services to be performed).

(2) Volume 2 – Cost Proposal

(a) Part 1 –

The Offeror *must* use the Grants.gov forms from the application package template associated with the FOA on the Grants.Gov website located at <http://www.grants.gov/>. If options are proposed, the cost proposal must provide the pricing information for the option periods; failure to include the proposed costs for the option periods will result in the options not being included in the award.

The Offeror shall provide a cost narrative PDF document describing the Statement of Work per the listed budget categories described. This cost narrative is required to justify the requested federal funding. The cost narrative shall provide an annual itemized budget. The Offeror shall substantiate the cost narrative with documentation as requested in each category.

The funds provided by ONR may be used to pay for food or beverages as a direct cost only in exceptional circumstances. The funds shall not be used for food or beverages unless

- a. the grant proposal contains a request for such funding that is fully supported factually in accordance with the cost principles of the relevant OMB Circular, and*
- b. the Grants Officer determines that the funding is a reasonable, allocable, allowable expense under the relevant cost principles.*

The annual itemized budget must include the following:

- **Direct Labor** – 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** – (i.e., 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 principals. Offerors may include travel costs for the Principal Investigator to attend the peer reviews described in section VII, H of this FOA.
- **Subawards** – 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 must identify the proposal title, the prime Offeror and that the attached proposal is a subcontract.
- **Consultants** – Provide a breakdown of the consultant's hours, the hourly rate proposed, any other proposed consultant costs, a copy of the signed Consulting Agreement or other documentation supporting the proposed consultant rate/cost, and a copy of the consultant's proposed statement of work if it is not already separately identified in the prime contractor's proposal.
- **Materials & Supplies** – Provide an itemized list of all proposed materials and supplies including quantities, unit prices, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).
- **Recipient Acquired Equipment or Facilities** – Equipment and/or facilities are normally furnished by the Recipient. If acquisition of equipment and/or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all equipment and/or facilities costs and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). Allowable items normally would be limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, laptops, office equipment) must 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 report and publication costs, licensing and certification fees of education materials, necessary items not covered above, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).

- **Fee/Profit** – Fee/profit is unallowable under grants at either the prime or subaward level but may be permitted on any subcontracts issued by the prime awardee.

(b) Part 2 –

A cost breakdown by Government fiscal year and task/sub-task corresponding to the same task breakdown in the proposed Statement of Work must be provided per the Budget Sheet in the application package. When options are contemplated, options must be separately identified and priced by task/subtask and added as period(s) of performance in one year increments until the total time of the proposed work is covered.

C. Significant Dates and Times –

The applicable dates and deadlines for this announcement are given in Section I.E, above.

D. Submission of Grant Proposals through Grants.gov –

1. Submission Process –

Detailed instructions entitled "Grants.Gov Electronic Application and Submission Information" on how to submit a Grant proposal through Grants.gov are under the Submit 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>.

White Papers must *not* be submitted through the Grants.gov application process. White paper submissions must be e-mailed directly to the ONR STEM Program Office. White paper format requirements are found in Section IV, A, above.

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 the System for Award Management (SAM), registering with the credential provider, and registering with Grants.gov. See <http://www.grants.gov>.

Use the Grants.gov Organization Registration Checklist at <http://www.grants.gov/web/grants/applicants/organization-registration.html> which will provide guidance through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called 'MPIN' are important steps in the SAM registration process. Applicants who are not registered with CCR and Grants.gov must allow at least 21 days to complete these requirements. The process must 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 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 (i.e., .PDF files)**. Proposals with attachments submitted in word processing, spreadsheet, or any format other than Adobe Portable Document Format will not be considered for award.*

2. 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. 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 acknowledgement 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. Proposal 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 offerors 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 technical evaluation.

- Degree of innovation and novelty presented by the proposed effort.
- Naval relevance, impact and contributions of the effort to ONR's mission to advance STEM education and outreach and to improve the future Naval STEM workforce.
- The Offeror's capabilities, related experience including key personnel, facilities, techniques or unique combinations of these which are integral factors for achieving the proposal objectives.
- Contribution to overall Naval STEM portfolio and STEM priorities, with opportunities to increase the STEM pipeline and expand nationally.
- Cost effectiveness and capacity to achieve self-sufficiency and the degree to which proposed costs align with the proposed efforts.

The ultimate recommendation for award of proposals is made by ONR's scientific/technical/STEM community. Recommended proposals will be forwarded to the ONR Contracts and Grant Award Management office. Any notification received from ONR indicating 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, to confirm whether the funds are available, and to take other relevant steps necessary prior to commencing negotiations with the offeror.

ONR encourages partnering among industry, academia, nonprofits, and with Government when partnerships may enhance the incorporation of STEM education advances into educational settings, increase the scale and impact, improve the sustainability of projects, and increase Naval relevance.

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 the period of performance.

C. Evaluation Panel –

Technical and cost proposals submitted under this FOA will be protected from unauthorized disclosure. The Technical POC Officer and other Government 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 employee having access to technical and cost proposals submitted in response to this FOA is required to sign a non-disclosure agreement prior to receipt of any proposal submission.

D. General Information Regarding the Review and Selection Process for Grants –

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). 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. 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. System for Award Management (SAM) –

All Offerors submitting proposals or applications must:

- Be registered in the SAM prior to submission;
- 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
- Provide its DUNS number in each application or proposal it submits to the agency.

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

B. Access to your Grant Award –

Office of Naval Research (ONR) award/modification documents are only available via the Department of Defense (DoD) [Electronic Document Access System](https://wawf.eb.mil/) (EDA) within the WideArea WorkFlow e-Business Suite (<https://wawf.eb.mil/>).

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

ONR creates an award notification profile for every award.

For grants, the notification profile will use the email addresses from the Application for Federal Assistance, SF424, to notify the recipient of an award. ONR is using the following three email addresses entered by the grantee on the SF424 application to create the EDA notification profile:

- a. Project Director / Principal Investigator (Block 14 - Email)
- b. Applicant Information (Block 5 - Email)
- c. Authorized Representative (Block 19 - Email)

For all other awards, the notification profile will use the email address from the Business Point of Contact to notify the recipient of an award.

IMPORTANT: In some cases, EDA notifications are appearing in recipients' Junk Email folder. If you are experiencing issues receiving EDA notifications, please check your junk email. If found, please mark EDA notifications as "not junk."

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 Contract Number (or, if applicable, 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

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 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. Refer to 2 CFR Part 170, including Appendix A, for a detailed explanation of the requirements, exceptions, and exemptions.

B. Certification regarding Restrictions on Lobbying –

Grant 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:

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.

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.

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.

C. 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:

- 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.
- 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 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.

D. 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 SF424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

By submission of its proposal or application, the applicant represents that it does not require any of its employees, contractors, or subrecipients seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting those employees, contractors, subrecipients from lawfully reporting that waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

Note that: (1) the basis for this representation is a prohibition in section 743 of the Financial Services and General Government Appropriations Act, 2015, Pub. L. 113-235) on provision of funds through grants and cooperative agreements to entities with certain internal confidentiality agreements or statements; and 92) section 743 states that it does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

E. Code of Conduct –

Applicants for grants are required to comply with 2 CFR 200.318(c), 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.

F. Reporting –

If the Federal share of any Federal award may include more than \$500,000 over the period of performance, the post award reporting requirements, Award Term and Condition for Recipient Integrity and Performance Matters (2 U.S.C. 200 Appendix XII), is applicable as follows:

1. Reporting of Matters Related to Recipient Integrity and Performance

a. General Reporting Requirement

If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

b. Proceedings About Which You Must Report

Submit the information required about each proceeding that:

- (1). Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;
- (2). Reached its final disposition during the most recent five year period; and
- (3). Is one of the following:
 - (i) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;
 - (ii) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;
 - (iii) An administrative proceeding, as defined in paragraph 5. of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages

in excess of \$100,000; or

(4) Any other criminal, civil, or administrative proceeding if:

- (i) It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition;
- (ii) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and
- (iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

c. Reporting Procedures

Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under Federal procurement contracts that you were awarded.

d. Reporting Frequency

During any period of time when you are subject to the requirement in paragraph 1 of this award term and condition, you must report proceedings information through SAM for the most recent five year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have Federal contract, grant, and cooperative agreement awards with a cumulative total value greater than \$10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

e. Definitions

For purposes of this award term and condition:

- (1). Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.
- (2). Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

- (3). Total value of currently active grants, cooperative agreements, and procurement contracts includes—
- (i) Only the Federal share of the funding under any Federal award with a recipient cost share or match; and
 - (ii) The value of all expected funding increments under a Federal award and options, even if not yet exercised.

G. Use of Human Subjects in Research –

1. You must protect the rights and welfare of individuals who participate as human subjects in research under this award and comply with the requirements of the Common Rule at 32 CFR part 219 and applicable provisions of DoD Instruction 3216.02, Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research (2011), the DON implementation of the human research protection program contained in SECNAVINST 3900.39D (or its replacement), 10 USC 980 “Limitation on Use of Humans as Experimental Subjects,” and when applicable, Food and Drug Administration (FDA) and other federal and state law and regulations.
2. For proposals containing activities that include or may include “research involving human subjects” as defined in DoDI 3216.02, prior to award, the Offeror must submit documentation of:
 - a. Approval from an Institutional Review Board (IRB) (IRB-approved research protocol, IRB-approved informed consent document, and other material they considered); proof of completed human research training (e.g., training certificate or institutional verification of training for the principal investigator, and any co-investigators; and the Offeror’s Department of Health and Human Services (DHHS)-issued Federal-wide Assurance (FWA#),
 - b. Any claimed exemption under 32 CFR 219 101(b), including the category of exemption, supporting documentation considered by your institution in making the determination (e.g., protocol, data collection tools, advertisements, etc.). The documentation shall include a short rationale statement from the IRB Chair (or IRB vice Chair, designated IRB administrator or official of the human research protection program) supporting the exemption determination. This documentation must be signed by the IRB Chair or IRB vice Chair, designated IRB administrator or official of the human research protection program.
 - c. Any determinations that the proposal does not contain activities that constitute research involving human subjects, including supporting documentation considered by your institution in making the determination. This documentation must be issued by the IRB Chair or IRB vice Chair, designated IRB administrator or official of the human research protection program.

3. Documentation must be submitted to the ONR Human Research Protection Official (HRPO), by way of the ONR Program Officer. If the research is determined by the IRB to be greater than minimal risk, you also must provide the name and contact information for the independent research monitor and a written summary of the monitors' duties, authorities, and responsibilities as approved by the IRB. For assistance with submission of human subject research related documentation, contact the ONR Human Research Protection Official (HRPO) at (703) 696-4046. Guidance: <http://www.onr.navy.mil/About-ONR/compliance-protections/Research-Protections/Human-Subject-Research.aspx>

H. 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 must 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.