



## Fiscal Year 2014 Office of Naval Research Young Investigator Program (YIP)

### INTRODUCTION:

This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Department of Defense Grant and Agreement Regulation (DODGARS) 22.315(a). A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued. Request for same will be disregarded.

The Office of Naval Research (ONR) will not issue paper copies of this announcement. The ONR and Department of Defense (DoD) agencies involved in this program reserve the right to select for award all, some or none of the proposals submitted in response to this announcement. The ONR and other participating DoD agencies provide no funding for direct reimbursement of proposal development costs. Technical and cost proposals (or any other material) submitted in response to this BAA will not be returned. It is the policy of ONR to treat all proposals as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

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

## Table of Contents

I. GENERAL INFORMATION	3
1. Agency Name	3
2. Research Opportunity Title	3
3. Program Name	3
4. Research Opportunity Number	3
5. Response Date	3
6. Research Opportunity Description	3
7. Point(s) of Contact	4
8. Instrument Type(s)	6
9. Catalog of Federal Domestic Assistance (CFDA) Numbers	6
10. Catalog of Federal Domestic Assistance (CFDA) Titles	6
11. Other Information	6
II. AWARD INFORMATION	
1. Amount and Period of Performance	7
2. Peer Reviews	7
III. ELIGIBILITY INFORMATION	7
IV. APPLICATION AND SUBMISSION INFORMATION	8
1. Application and Submission Process Full Proposals	8
2. Content and Format of Full Proposals	8
3. Significant Dates and Times	12
4. Submission of Late Proposals	13
5. Submission of Grant Proposals through Grants.gov	13
6. Special Notices Relative to Grant Applications to be submitted through Grants.gov	13
V. EVALUATION INFORMATION	14
1. Evaluation Criteria	14
2. Options	14
3. Evaluation Panel	15
VI. AWARD ADMINISTRATION INFORMATION	15
1. Administrative Requirements	15
VII. OTHER INFORMATION	17
1. Government Property/Government Furnished Equipment (GFE) and Facilities	17
2. Security Classification	17
3. Use of Animals and Human Subjects in Research	17
4. Recombinant DNA	18
5. Use of Arms, Ammunition and Explosives	18
6. Department of Defense High Performance Computing Program	18
7. Organizational Conflicts of Interest	19
8. Project Meetings and Reviews	19
9. Military Recruiting On Campus (APPLIES ONLY TO GRANTS)	19

## **I. GENERAL INFORMATION**

### **1. Agency Name -**

Office of Naval Research

### **2. Research Opportunity Title –**

Fiscal Year 2014 Office of Naval Research Young Investigator Program (YIP)

### **3. Program Name –**

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

### **4. Research Opportunity Number –**

ONRBAA 13-023

### **5. Response Date –**

Full Proposals: 4:00 PM, Eastern Standard Time (EST), on 03 January 2014

### **6. Research Opportunity Description -**

The Office of Naval Research (ONR) is interested in receiving proposals for its Young Investigator Program (YIP). ONR's Young Investigator Program (YIP) seeks to identify and support academic scientists and engineers who are in their first or second full-time tenure-track or tenure-track-equivalent academic appointment and for FY2014, have begun their first appointment on or after 01 November 2008, and who show exceptional promise for doing creative research. The objectives of this program are to attract outstanding faculty members of Institutions of Higher Education (hereafter also called "universities") to the Department of the Navy's research program, to support their research, and to encourage their teaching and research careers.

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

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

Proposals may request up to \$170,000 per year for three (3) years. These funds may be budgeted against any reasonable costs related to the conduct of the proposed research; for example, salary for the Young Investigator, graduate student support, supplies, and operating expenses. 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.

The basic \$170,000 per year award can be supplemented through a "matching funds" enhancement available only to those receiving an ONR Young Investigator award. 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, this "matching funds" clause can provide research support over and above the basic \$170,000 per year award, e.g. to support an additional graduate student and 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. 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. ONR Program Officers may also assist successful applicants who wish to seek support from other parts of the Department of the Navy in identifying individuals at other Navy organizations who may be interested in funding additional research by the Young Investigator.

Upon completion of the three (3) year award period, Young Investigators may apply to ONR for continued support under ONR's regular research grant program. 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 in past years has been intense. Last year, 369 proposals were received, resulting in 16 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 activities.

Those proposals not selected for Young Investigator awards are automatically considered for ONR's regular research grant program in competition with all other research proposals submitted in response to the ONR Long Range BAA. Typically, additional proposals originally submitted to the Young Investigator Program have been selected each year for funding via the regular research grant program. Thus, the YIP is not a "research initiation" opportunity with standards that are less demanding than ONR's regular research grant program. ONR's Young Investigator awards are intended to confer honor upon awardees beyond the research funding being provided.

## **7. Point(s) of Contact –**

Questions of a technical nature shall be directed to the ONR Science and Technology Program Officer or Division Director (see ONR Science and Technology Departments section at [www.onr.navy.mil](http://www.onr.navy.mil) to contact these individuals) responsible for a research area that best matches the research being proposed.

Comments or questions submitted should be concise and to the point, eliminating any unnecessary verbiage. In addition, the relevant part and paragraph of the Broad Agency Announcement (BAA) should be referenced.

Questions regarding YIP policy issues should be submitted to:

Dr. Bill Lukens  
Program Manager, Code 03R,  
YIP Office of Naval Research  
875 North Randolph Street - Suite 1409  
Arlington, VA 22203-1995  
Email Address: william.lukens1@navy.mil

Questions of a business nature should be submitted

to: Primary:

Rebecca Foster  
Contract Specialist, Code BD251  
Office of Naval Research  
875 North Randolph Street Suite - W1272D  
Arlington, VA 22203-1995  
Email Address: rebecca.d.foster@navy.mil

Secondary:

Vera M. Carroll  
Branch Head, Code BD251  
Office of Naval Research  
875 North Randolph Street –Suite 1279  
Arlington, VA 22203-1995  
Vera.Carroll@navy.mil

Questions of a security nature should be submitted

to: Diana Pacheco  
Information Security  
Specialist Office of Naval  
Research Security  
Department, Code 43  
One Liberty Center  
875 N. Randolph Street  
Arlington, VA 22203-1995  
Email Address: Diana.pacheco@navy.mil

Note: All UNCLASSIFIED questions shall be submitted via e-mail to the Technical Point of Contact (POC) with a copy to the designated Business POC.

CLASSIFIED questions shall be handled through the ONR Security POC. Specifically, any entity wanting to ask a CLASSIFIED question shall send an email to the ONR Security POC with a copy to both the Technical POC and the Business POC stating that the entity would like to ask a CLASSIFIED question. DO NOT EMAIL ANY CLASSIFIED QUESTIONS. The Security POC will contact the entity and arrange for the CLASSIFIED question to be asked through a secure method of communication.

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

- Grants.gov Webpage - <http://www.grants.gov/>
- ONR Broad Agency Announcement (BAA) Webpage -

<http://www.onr.navy.mil/Contracts-Grants/Funding-Opportunities/Broad-Agency-Announcements.aspx>

## 8. Instrument Type(s) –

Awards will take the form of grants.

ONR reserves the right to award a different instrument type if deemed to be in the best interest of the Government.

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

12.300

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

Department of Defense Basic and Applied Scientific Research

## 11. Other Information -

Work funded under this BAA shall consist of basic research. With regard to any restrictions on the conduct or outcome of work funded under this BAA, 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 defined therein the definition of “contracted fundamental research,” in a DoD contractual context, includes [research performed under] grants and contracts that are (a) funded by Research, Development, Test and Evaluation Budget Category 1 (Basic Research), whether performed by universities or industry or (b) funded by Budget Category 2 (Applied Research) and performed on campus at a university. The research shall not be considered fundamental in those rare and exceptional circumstances where the applied research effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the contract or grant.

Pursuant to DoD policy, research performed under grants and contracts that are a) funded by Budget Category 6.2 (Applied Research) and NOT performed on-campus at a university or b) funded by Budget Category 6.3 (Advanced Research) does not meet the definition of “contracted fundamental research.” In conformance with the USD(AT&L) guidance and National Security Decision Direction 189, ONR will place no restriction on the conduct or reporting of unclassified “contracted fundamental research,” except as otherwise required by statute, regulation or Executive Order. For certain research projects, it may be possible that although the research being performed by the prime contractor is restricted research, a subcontractor may be conducting “contracted fundamental research.” In those cases, it is the **prime contractor’s responsibility** in the proposal to identify and describe the subcontracted unclassified research and include a statement confirming that the work has been scoped, negotiated, and determined to be fundamental research according to the prime contractor and research performer.

Normally, fundamental research is awarded under grants with universities and under contracts with industry. Non-fundamental research is normally awarded under contracts and may require restrictions during the conduct of the research and DoD pre-publication review of such research results due to subject matter sensitivity. Potential Offerors should consult with the appropriate ONR POCs to determine whether the proposed effort would constitute basic research, applied research or advanced research.

As regards to the present BAA, the Research and Development efforts to be funded will consist of basic research. The funds available to support awards are Budget Activity 1.

FAR Part 35 restricts the use of Broad Agency Announcements (BAAs), such as this, to the acquisition of basic and applied research and that portion of advanced technology development not related to the development of a specific system or hardware procurement. Contracts and grants and other assistance agreements made under BAAs are for scientific study and experimentation directed towards advancing the state of the art and increasing knowledge or understanding.

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

**II. AWARD INFORMATION**

**1. Amount and Period of Performance**

1. The estimated total amount of awards is \$9.619M anticipated to be made available over a three year period. ONR may award less than \$9.916M under this BAA and apply subsequent funding as it is made available in the out-years.

Estimated Total Amount of Funding Available (\$M):

<u>FY2014</u>	<u>FY2015</u>	<u>FY2016</u>	<u>Total</u>
3.153	3.170	3.296	9.619

ONR anticipates that funding will be available to make approximately fifteen (15) awards under this FY14 YIP BAA.

Proposed research should be structured to have a three (3) year period of performance beginning 01 May 2014. It is anticipated that individual awards will be for up to \$170,000 per year for three (3) years (with the possibility of greater support for equipment and/or to support additional, collaborative research with a Navy laboratory). The \$170,000 limit includes all funds paid to the university, including all indirect costs.

**2. 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 3966.1. 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 BAA will be made only to U.S. Institutions of Higher Education which award degrees in science, engineering, and/or mathematics. Historically Black Colleges and Universities (HBCUs) and Minority Institutions (MIs) are encouraged to submit proposals and join others in submitting proposals. However, no portion of this BAA will be set aside for HBCU and MI participation. Further, 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 who for FY2014 have begun her/his first full-time appointment on or after 01 November 2008. The term "national" of the United States includes a native resident of a possession of the United States, such as American Samoa.

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 33.110. 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 BAA 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 33.220. An entity is exempt from this requirement UNLESS in the preceding fiscal year it received: a) 80 percent or more of its annual gross revenue in Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; b) \$25 million or more in annual gross revenue from Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; and c) the public does not have access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 or section 6104 of the Internal Revenue Code of 1986.

#### **IV. APPLICATION AND SUBMISSION INFORMATION**

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

###### **Full Proposal Submission:**

Full Proposals submitted under the BAA are expected to be unclassified. Proposal submissions will be protected from unauthorized disclosure in accordance with FAR Subpart 15.207, applicable law, and DoD/DoN regulations. Offerors are expected to appropriately mark each page of their submission that contains proprietary information.

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

The deadline for receipt of proposals is 4:00 PM Eastern Standard Time (EST) on 03 January 2014. Proposals received after this time and date will not be considered for a FY14 YIP award under this BAA. After the proposal evaluation process is completed, the proposed Principal Investigator (PI) will be notified via e-mail or U.S. mail whether or not the proposal has been recommended for an award.

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

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

###### **– INSTRUCTIONS FOR GRANTS**

The following information must be completed as follows in the SF 424 located on [www.grants.gov](http://www.grants.gov) to ensure that the application is directed to the correct individual for review: Block 4a, Federal Identifier: Enter the previous ONR award number, or N00014 if the application is not a renewal or expansion of an existing award; Block 4b, Agency Routing Number, Enter the three (3) digit Program Office Code and the Program Officer's name, last name first, in brackets (i.e., 331 [Shifler, David]). Applicants who fail to provide a Program Officer code identifier may receive a notice that their proposal will be rejected.

To attach the technical proposal in Grants.gov, download the application package  
Click on "Research and Related Other Project Information"  
Click on "Move form to Submission List"  
Click on "Open Form"  
You will see a new PDF document titled "Research & Related Other Project Information"

Block 7 is the Project Summary/Abstract -> click on "Add attachment" and attach the project

summary/abstract. (You will not be able to type in the box; therefore, save the file you want to attach as Project Summary or Abstract).

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

### **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
- Discuss the limit on the number of pages for Volume I with the cognizant Program Officer. There are no page limitations to the Cost Proposal, Volume 2.
- Copies – the full proposal should be submitted electronically at <http://www.grants.gov/> as delineated in paragraph 5 below.

#### **Volume 1: Technical Proposal**

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

- 1) BAA number: ONRBAA13-023;
- 2) Title of Proposal;
- 3) Identity of prime Offeror and complete list of subrecipients, if applicable;
- 4) Technical contact (name, address, phone/fax, electronic mail address)
- 5) Administrative/business contact (name, address, phone/fax, electronic mail address) and;
- 6) Proposed period of performance (identify both the base period and any options, if included).

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

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

#### **Include for Basic Research**

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

#### ***For Applied Research and Advanced Technology Development, if it applies.***

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

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

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

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

- - Technical and Financial Progress Reports
- - Final Report

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

• **Management Approach:** Identify which personnel and subcontractors/subrecipients (if any) will be involved. Include a description of the facilities that are required for the proposed effort, along with a description of any Government Furnished Equipment/Hardware/Software/Information required, by version and/or configuration.

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

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

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

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

## Volume 2: Cost Proposal

The offeror must use the Grants.gov forms (including the Standard Form (SF) Research and Related (R&R) Budget Form) from the application package template associated with the BAA on the Grants.gov web site located at <http://www.grants.gov/>. If options are proposed, the cost proposal must provide the pricing information for the option periods; failure to include the proposed costs for the option periods will result in the options not being included in the award. Assume that performance will start approximately 15 May 2014. 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 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 15 May 2014. Thus, as noted below, the proposed budget for three years beginning 15 May 2014 will have four budget periods.

- (1) Five months (15 May 2014 through 30 September 2014)
- (2) Twelve months (01 October 2014 through 30 September 2015)
- (3) Twelve months (01 October 2015 through 30 September 2016)
- (4) Seven months (01 October 2016 through 15 May 2017).

Note that the budget for each of the budget periods (e.g., 15 May 2014 to 30 Sep 2014) should include only those costs to be expended during that budget period.

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

- Direct Labor – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates. Provide escalation rates for out years.
- Administrative and Clerical Labor – Salaries of administrative and clerical staff are normally indirect costs (and included in an indirect cost rate). Direct charging of these costs may be appropriate when a major project requires an extensive amount of administrative or clerical support significantly greater than normal and routine levels of support. Budgets proposing direct charging of administrative or clerical salaries must be supported with a budget justification which adequately describes the major project and the administrative and/or clerical work to be performed.
- Fringe Benefits and Indirect Costs (F&A, Overhead, G&A, etc) – The proposal should show the rates and calculation of the costs for each rate category. If the rates have been approved/negotiated by a Government agency, provide a copy of the memorandum/agreement. If the rates have not been approved/negotiated, provide sufficient detail to enable a determination of allowability, allocability and reasonableness of the allocation bases, and how the rates are calculated. Additional information may be requested, if needed. If composite rates are used, provide the calculations used in deriving the composite rates.
- Travel – The proposed travel cost should include the following for each trip: the purpose of the trip, origin and destination if known, approximate duration, the number of travelers, and the estimated cost per trip must be justified based on the organizations historical average cost per trip or other reasonable basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principals. Offerors may include travel costs for the Principal Investigator to attend the peer reviews described in Section II of this BAA.
- 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 both the Program Officer and the business point of contact 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 is unallowable on subawards.

- Consultants – Provide a breakdown of the consultant’s hours, the hourly rate proposed, any other proposed consultant costs, a copy of the signed Consulting Agreement or other documentation supporting the proposed consultant rate/cost, and a copy of the consultant’s proposed statement of work if it is not already separately identified in the prime contractor’s proposal.
- Materials & Supplies – Provide an itemized list of all proposed materials and supplies including quantities, unit prices, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).
- Recipient Acquired Equipment or Facilities – Equipment and/or facilities are normally furnished by the Recipient. If acquisition of equipment and/or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all equipment and/or facilities costs and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). Allowable items normally would be limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, laptops, office equipment) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.
- Other Direct Costs – Provide an itemized list of all other proposed other direct costs such as Graduate Assistant tuition, laboratory fees, report and publication costs, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).

NOTE: If the grant proposal is for a conference, workshop or symposium, the funds provided by ONR may be used to pay for food or beverages as a direct cost only in exceptional circumstances. The funds will not be used for food or beverages unless (1) 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 (2) the grants officer determines that the funding is a reasonable, allocable, allowable expense under the relevant cost principles.

- Fee/Profit – 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.

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

### 3. Significant Dates and Times –

Schedule of Events

<b>Event</b>	<b>Date</b>	<b>Time (EST)</b>
Cut-off Date for Questions	20 December 2013	4:00 PM
Due Date for Proposals	03 January 2014	4:00 PM
Notification of Recommendation for Award	13 March 2014*	N/A
Grant Start Date	15 May 2014*	N/A

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

A list of proposals that are 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 about 13 March 2014.

#### **4. Submission of Late Proposals –**

Any full proposal submitted and validated through Grants.gov where the time and date for submission (e-mail Number 2 as discussed in Section 6 below) is after the deadline for proposal submission in Section IV entitled, “Application and Submission Information” paragraph number 3 entitled, “Significant Dates and Times” will be late and will not be evaluated unless the Grants.gov website was not operational on the due date and was unable to receive proposal submissions. If this occurs, the time specified for the receipt of proposals through Grants.gov will be extended to the same time of the day specified in this BAA on the first workday on which the Grants.gov website is operational.

#### **5. Submission of Grant Proposals through Grants.gov**

Detailed instructions entitled “Grants.Gov Electronic Application and Submission Information” on how to submit a Grant proposal through Grants.gov are under the Acquisition Department — Submitting a Proposal section of the website at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-gov.aspx>

By completing Block 17 of the SF 424 R&R the Grant Applicant is providing the certification on lobbying required by 32 CFR Part 28. Refer to Section VI, ‘Award Administration Information’ entitled “Certifications” for further information.

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

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

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

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

Proposal Receipt Notices:

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

Number 1 – The applicant will receive a confirmation page upon completing the submission to

Grants.gov. This confirmation page is a record of the time and date stamp that is used to determine whether the proposal was submitted.

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

Number 3 – The third notice is an acknowledgment of receipt in e-mail form from ONR within ten days from the proposal due date, if applicable. The e-mail is sent to the authorized representative for the institution. The e-mail for proposals notes that the proposal has been received and provides the assigned tracking number.

## **V. EVALUATION INFORMATION**

### **1. Evaluation Criteria –**

Awards under this BAA will be made to proposers on the basis of the evaluation criteria listed below, and program balance to provide overall value to the Government. The Government reserves the right to request any additional, necessary documentation once it makes the award instrument determination. The Government reserves the right to remove proposers from award consideration should the parties fail to reach agreement on award terms, conditions, and cost/price within a reasonable time, or the proposer fails to timely provide requested additional information. Evaluations will be conducted using the following evaluation criteria. Criteria 1 through 3 are of equal importance.

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

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

### **2. Options-**

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

### **3. Evaluation Panel –**

Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure in accordance with FAR 3.104-4 and 15.207. 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 BAA will be required to sign a non-disclosure statement prior to receipt of any proposal submissions.

## **VI. AWARD ADMINISTRATION INFORMATION**

### **1. Administrative Requirements –**

- North American Industry Classification System (NAICS) code – The NAICS code for this announcement is “541712” with a small business size standard of “500 employees”.
- System for Award Management (SAM): All Offerors submitting proposals or applications must:
  - 1) be registered in the SAM prior to submission;
  - 2) maintain an active SAM registration with current information at all times during which it has an active Federal award or an application under consideration by any agency; and
  - 3) provide its DUNS number in each application or proposal it submits to the agency.

The System for Award Management (SAM) is a free web site that consolidates the capabilities previously found in CCR/FedReg, ORCA, and EPLS. Future phases of SAM will add the capabilities of other systems used in Federal procurement and awards processes.

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

- Access to your Grant

Effective 01 October 2011 hard copies of award/modification documents are no longer mailed to Offerors. All Office of Naval Research (ONR) award/modification documents will be available via the Department of Defense (DoD) Electronic Document Access System (EDA). Registration questions may be directed to the EDA help desk toll free at 1-866-618-5988, Commercial at 801-605-7095, or via email at [cscassig@csd.disa.mil](mailto:cscassig@csd.disa.mil) (Subject: EDA Assistance).

### **EDA**

Effective 01 October 2011, 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 <http://eda.ogden.disa.mil> following the steps below:

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

Allow five (5) business days for your registration to be processed. EDA will notify you by email when

your account is approved.

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

### **Grants, Cooperative Agreements and Normal Other Transaction Agreements (OTAs) Certification Requirements:**

Grant and Cooperative Agreement awards greater than \$100,000, as well as 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 SF424 (R&R) as a part of the electronic proposal submitted via [Grants.gov](http://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.

#### **CERTIFICATION REGARDING LOBBYING ACTIVITIES**

(1) No Federal appropriated funds have been paid or will be paid by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form- LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

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

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S.C. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### **REPRESENTATION REGARDING AN UNPAID DELINQUENT TAX LIABILITY OR A FELONY CRIMINAL CONVICTION UNDER ANY FEDERAL LAW - DOD APPROPRIATIONS**

All grant applicants are required to complete the "Representation on Tax Delinquency and Felony Conviction" found at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal.aspx> by checking the "I agree" box in block 17. and attaching the representation to block 18. of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

(1) The applicant represents that it is \_\_\_ is not\_\_\_ a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in timely manner pursuant to an agreement

with the authority responsible for collecting the tax liability

(2) The applicant represents that it is \_\_\_ is not \_\_\_ a corporation that was convicted of a felony criminal violation under any Federal law within the preceding 24 months.

NOTE: If an applicant responds in the affirmative to either of the above representations, the applicant is ineligible to receive an award unless the agency suspension and debarment official (SDO) has considered suspension or debarment and determined that further action is not required to protect the Government's interests. The applicant therefore should provide information about its tax liability or conviction to the agency's SDO as soon as it can do so, to facilitate completion of the required consideration before award decisions are made.

## **VII. OTHER INFORMATION**

### **1. Government Property/Government Furnished Equipment (GFE) and Facilities**

N/A

### **2. Security Classification**

Normally, work under a grant does not require access to classified material.

### **3. Use of Animals and Human Subjects in Research**

If animals are to be utilized in the research effort proposed, the Offeror must complete a DoD Animal Use Protocol with supporting documentation (copies of Association for Assessment and Accreditation of Laboratory Animal Care (AAALAC) accreditation and/or National Institute of Health (NIH) assurance, Institutional Animal Care and Use Committee (IACUC) approval, research literature database searches, and the two most recent U.S. Department of Agriculture (USDA) inspection reports) prior to award. For assistance with submission of animal research related documentation, contact the ONR Animal Use Administrator at (703) 696-4046.

Similarly, for any proposal for research involving human subjects, the Offeror must submit or indicate an intention to submit prior to award: documentation of approval from an Institutional Review Board (IRB); IRB-approved research protocol; IRB-approved informed consent form; proof of completed human research training (e.g., training certificate or institutional verification of training); an application for a DoD-Navy Addendum to the Offeror's Department of Human and Health Services (DHHS)-issued Federal wide Assurance (FWA) or the Offeror's DoD-Navy Addendum. In the event that an exemption criterion under 32 CFR.219.101 (b) is claimed, provide documentation of the determination by the Institutional Review Board (IRB) Chair, IRB vice Chair, designated IRB administrator or official of the human research protection program including the category of exemption and short rationale statement. This documentation must be submitted to the ONR Human Research Protection Official (HRPO), by way of the ONR Program Officer. Information about assurance applications and forms can be obtained by contacting ONR\_343\_contact@navy.mil. If the research is determined by the IRB to be greater than minimal risk, the Offeror also must provide the name and contact information for the independent medical monitor. For assistance with submission of human subject research related documentation, contact the ONR Human Research Protection Official at (703) 696-4046.

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

#### **4. Recombinant DNA**

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

#### **5. Use of Arms, Ammunition and Explosives**

##### **Safety**

The Offeror is required to be in compliance with DoD manual 4145.26-M, *DoD Contractor's Safety Manual for Ammunition and Explosives* if ammunitions and/or explosives are to be utilized under the proposed research effort. (See DFARS 223.370-5 and DFARS 252.223-7002) If ammunitions and/or explosives (A&E) are to be utilized under the proposed research effort, the Government requires a preaward safety survey in accordance with DFARS PGI 223.370- 4(C)(iv) entitled *Preaward survey*. The Offeror is solely responsible for contacting the cognizant DCMA office and obtaining a required preaward safety survey before proposal submission. The Offeror should include required preaward safety surveys with proposal submissions.

If the Offeror proposes that the Government provide Government-furnished A&E containing any nitrocellulose-based propellants and/or nitrate ester-based materials (such as nitroglycerin,) or other similar A&E with a tendency to become chemically unstable over time, then NMCARS 5252.223-9000 will also apply to a resulting contract award. (See NMCARS 5223.370-5)

##### **Security**

If arms, ammunition and explosives (AA&E) are to be utilized under the proposed research effort, the Government requires a preaward security survey. The Offeror is solely responsible for contacting the cognizant DCMA office and obtaining a required preaward security survey before proposal submission. The Offeror should include a required preaward security survey with proposal submission. (See DoD manual 5100.76-M, *Physical Security of Sensitive Conventional Arms, Ammunition and Explosives*, paragraph C1.3.1.4)

If AA&E are to be utilized under the proposed research effort, the Government may require the Contractor to have perimeter fencing around the place of performance in accordance with DoD 5100.76-M, Appendix 2.

If AA&E are to be utilized under the research effort, the Offeror is required to provide a written copy of the Offeror's AA&E accountability procedures in accordance with DoD 5100.76-M. If the Offeror is required to provide written AA&E accountability procedures, the Offeror should provide the respective procedures with its proposal submission. See DoD 5100.76-M Appendix 2.12.

#### **6. 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/>.

#### **7. Organizational Conflicts of Interest**

All Offerors and proposed subcontractors must affirm whether they are providing scientific, engineering, and technical assistance (SETA) or similar support to any ONR technical office(s) through an active contract or subcontract. All affirmations must state which office(s) the offeror supports and identify the prime contract numbers. Affirmations shall be furnished at the time of proposal submission. All facts relevant to the existence or potential existence of organizational conflicts of interest (FAR 9.5) must be disclosed. The disclosure shall include a description of the action the offeror has taken or proposes to take to avoid, neutralize, or mitigate such conflict. In accordance with FAR 9.503 and without prior approval, a contractor cannot simultaneously be a SETA and a research and development performer. Proposals that fail to fully disclose potential conflicts of interests will be rejected without technical evaluation and withdrawn from further consideration for award. Additional ONR OCI guidance can be found at <http://www.onr.navy.mil/About-ONR/compliance-protections/Organizational-Conflicts-Interest.aspx>. If a prospective offeror believes that any conflict of interest exists or may exist (whether organizational or otherwise), the offeror should promptly raise the issue with ONR by sending his/her contact information and a summary of the potential conflict by e-mail to the Business Point of Contact in Section I, item 7 above, before time and effort are expended in preparing a proposal and mitigation plan.

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

## **8. Project Meetings and Reviews**

Individual program reviews between the ONR sponsor and the performer may be held as necessary. Program status reviews may also be held to provide a forum for reviews of the latest results from experiments and any other incremental progress towards the major demonstrations. These meetings will be held at various sites throughout the country. For costing purposes, offerors should assume that 40% of these meetings will be at or near ONR, Arlington VA and 60% at other contractor or government facilities. Interim meetings are likely, but these will be accomplished via video telephone conferences, telephone conferences, or via web-based collaboration tools.

## **9. Military Recruiting On Campus (APPLIES ONLY TO GRANTS)**

Military Recruiting on Campus (DoDGARS Part 22.520) applies to domestic U. S. colleges and universities. Appropriate language from 32CFR22.520 Campus access for military recruiting and Reserve Officer Training Corps (ROTC) will be incorporated in all university grant awards.