Fiscal Year 2011 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".

I. GENERAL INFORMATION

1. Agency Name -

Office of Naval Research

2. Research Opportunity Title –

Fiscal Year 2011 Office of Naval Research Young Investigator Program (YIP)

3. Program Name –

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

4. Research Opportunity Number –

ONR BAA 10-025

5. Response Date –

Full Proposals: 4:00 PM, Eastern Standard Time (EST), on 22 December 2010

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 FY2011,have begun their first appointment on or after 01 November 2005,. and who show exceptional promise for doing creative research. The objectives of this program are to attract outstanding faculty members of Institutions of Higher Education (hereafter also called "universities") to the Department of the Navy's research program, to support their research, and to encourage their teaching and research careers.

Proposals addressing research areas as described in the ONR Science and Technology (S&T) Department section of ONR's website at www.onr.navy.mil which are of interest to ONR Program Officers 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 will assist, upon request, Young Investigators in identifying potential collaborators at Navy laboratories. ONR Program Officers will 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 severe. Last year, 211 proposals were received, resulting in 17 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.

Work funded under a BAA may include basic research, applied research, and some advanced technology development (ATD). 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 26 June 2008. 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 Activity 1 (Basic Research), whether performed by universities or industry or (b) funded by Budget Activity 2 (Applied Research) and performed on campus at a university. ATD is funded through Budget Activity 3. In conformance with the USD (AT&L) guidance and National Security Decision Directive 189, ONR will place no restriction on the conduct or reporting of unclassified fundamental research, except as otherwise required by statute, regulation or Executive Order. Normally, fundamental research is awarded under grants with universities and under contracts with industry. ATD is normally awarded under contracts and may require restrictions during the conduct of the research and DoD pre-publication review of research results due to subject matter sensitivity.

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.

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 to contact these individuals) responsible for a research area that best matches the research being proposed.

Questions regarding YIP policy issues should be directed to:

Primary:

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

Secondary:

Dr. Kam Ng
Program Office Code 03R
Office of Naval Research
875 North Randolph Street - Suite 1410

Arlington, VA 22203-1995
Email Address: kam.ng1@navy.mil

Questions of a business nature should be submitted to:

Primary:

Jennifer Brown
Contract Specialist, Code BD251
Office of Naval Research
875 North Randolph Street
Arlington, VA 22203-1995

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.

Questions submitted within two (2) weeks prior to a deadline may not be answered, and the due date for submission of the white paper and/or full proposal will not be extended.

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 webpages:

- 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 -

Basic and Applied Scientific Research

11. Other Information -

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

The estimated total amount of awards is $9.2M anticipated to be made available over a three year period. ONR may issue BAA's annually with a potential open period of one (1) year. ONR may award less than $9.2M under this BAA and apply subsequent funding as it is made available in the out-years.

Estimated Total Amount of Funding Available ($K):

FY2011	FY2012	FY2013	Total
$3,054K	$3,054K	$3,053K	$9,161K

ONR anticipates that funding will be available to make approximately eighteen (18) awards under this FY11 YIP BAA.

Proposed research should be structured to have a three (3) year period of performance beginning 01 April 2011. 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.

For the past three years Congress has placed limits on the percentage of facilities and administrative (F&A) costs that can be paid by the government using basic research (6.1) funds. Currently F&A costs paid under contracts and grants for the performance of basic research may not exceed 35 percent. It is unknown at present whether a similar indirect cost restriction will apply to 6.1 funds in FY 2011 and thereafter.

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 FY2011 have begun her/his first full-time appointment on or after 01 November 2005. The term "national" of the United States includes a native resident of a possession of the United States, such as American Samoa.

IV. APPLICATION AND SUBMISSION INFORMATION

1. Application and Submission Process – Full Proposals

Full Proposal Submission:

The deadline for receipt of proposals is 4:00 PM Eastern Standard Time (EST) on 22 December 2010. Proposals received after this time and date will not be considered for a FY11 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 –

Full Proposals submitted under the BAA are expected to be unclassified. Proposal submissions will be protected from unauthorized disclosure, 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.

Grants.gov Full Proposal Submission: Content and Format of Applications

Application forms and instructions are available at Grants.gov. To access these materials, go to http://www.grants.gov, select "Apply for Grants", and then select "Download Application Package". Enter the CFDA for the respective agency to which you are directing the application (ONR – 12.300), as found on page two of this announcement) and the funding opportunity number, designated as "research opportunity number" on page two of this announcement.

Proposal Checklist

Complete the proposal checklist and upload it as a Portable Document Format (PDF) attachment using the attachment form in the grants.gov application package.

Content and Form of Application – SF 424 (R&R)

You must complete the mandatory forms in accordance with the instructions 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 (R&R)

Complete this form first to populate data in other forms. 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).

Form Research & Related Other Project Information.

Complete questions 1 through 6 and attach files. The files must comply with the following instructions:

Project Summary/Abstract (Field 7 on the Form)

The project summary should be a single page that identifies the research problem, technical approaches, anticipated outcome of the research, if successful, and impact on DoN capabilities. It should identify the Principal Investigator, the university, the proposal title and the total funds requested from DoN for the 3-year period.   The project summary must not exceed 1 page when printed using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right) with font Times New Roman 12 point. To attach a Project Summary/Abstract, click "Add Attachment."

Project Narrative (Field 8 on the form)

The Following Formatting Rules Apply for Field 8

- Paper size when printed - 8.5 x 11 inch paper
- Margins - 1 inch
- Spacing -single
- Font - Times New Roman, 12 point
- Number of pages - no more than twenty-five (25) single-sided pages.
  The cover, table of contents, list of references, letters of support, and
  curriculum vitae are excluded from the page limitations. Full proposals exceeding
  the page limit may not be evaluated.

Include the Following Information in Field 8

The first page of your narrative must include the following information:

- Principal Investigator name
- Phone number, fax number and e-mail address
- Institution, Department, Division
- Institution address
- Current DoD Contractor or Grantee? If yes, provide Agency, point of contact; and phone   number
- Proposal title
- Institution proposal number
- Administrative/business contact (name, address, phone/fax, electron mail address) and;
- Duration of effort
- Principal Investigator status for eligibility (check those that apply)

> __Principal Investigator is U.S. Citizen or National
> __Permanent resident of U.S. (Alien#_____)
> __Has a tenure-track appointment
> __Has a tenure-track-equivalent appointment
> __Date of first tenure-track or tenure-track-equivalent appointment is on or after 1
>   November 2005.
>
> Names and addresses (to be used for courtesy notification of Young Investigator awards of:
>
> President (or Chancellor or Provost if there is no on-campus President)

Dean (if applicable)
Department Chair/Head or Supervisor

- **Table of Contents**: List project narrative sections and corresponding page numbers.

- **Technical Approach**: Describe in detail the basic science and/or engineering research to be undertaken. State the objective and approach, including how data will be analyzed and interpreted. Discuss the relationship of the proposed research to the state-of-the-art knowledge in the field and to related efforts in programs elsewhere, and discuss potential scientific breakthroughs. Include appropriate literature citations/references. Discuss the nature of expected results. Discuss potential applications to defense missions and requirements. Describe plans for the research training of students. Include the number of full time equivalent graduate students and undergraduates, if any, to be supported each year. Discuss the involvement of other students, if any.

- **Project Schedule, Milestones and Deliverables**: A summary of the schedule of events, milestones, and a detailed description of the results and products to be delivered.

  The following are samples of data deliverables that are typically required under a research effort:

  - Technical and Financial Progress Reports
  - Presentation Materials
  - Final Report

- **Management Approach**: A discussion of the overall approach to the management of this effort, including brief discussions of: required facilities; availability of personnel; and planning, scheduling and control procedures. Indicate the amount of time the PI will spend on this proposed research in each of years one, two and three.

  (a) Describe the facilities available for the accomplishment of the proposed research and related education objectives. Describe any capital equipment planned for acquisition under this program and its application to the proposed research. If possible, budget for capital equipment should be allocated to the first budget period of the grant. Include a description of any government furnished equipment/hardware/software/information, by version and/or configuration that are required for the proposed effort.

  (b) Describe in detail relevant collaborations (planned or in place) with government organizations, industry, or other appropriate institutions. In particular, describe how collaborations are expected to facilitate the transition of research results to applications. Descriptions of industrial collaborations should explain how the proposed research will impact the company's research and/or product development activities.

  (c) Briefly summarize the qualifications of the Principal Investigator and other key investigators to conduct the proposed research.

  (d) List the amount of funding and describe the research activities of the Principal Investigator and in on-going and pending research projects, whether or not acting as Principal Investigator in these other projects, the time charged to each of these projects, and their relationship to the proposed effort.

  (e) Identify other parties to whom the proposal has been, or will be sent, including agency contact information.

- List of References: List publications cited in above sections.

- Letters of Support: Up to three Letters of Support from your university may be included.

- Curriculum Vitae: Include curriculum vitae of the Principal Investigator.

All applications should be in a single PDF file. To attach a Project Narrative in Field 8, click "Add Attachment."

Bibliography & References Cited (Field 9 on the form)

This field not required.

Facilities & Other Resources (Field 10 on the form)

This field not required.

Equipment (Field 11 on the form)

This field not required.

Other Attachment (Field 12 on the form)

The budget form included in the application package is for reference purposes only and is not required for proposal submission. Offerors shall follow the instructions below for budget submittal.

Attach budget proposal at field 12. You must provide a detailed cost breakdown of all costs, by cost category, by the funding periods described below, and by task/sub-task corresponding to the task number in the proposed technical approach which was provided in Field 8 of the Research and Related Other Project Information Form.

The budget should adhere to the following guidelines:

The offer shall provide a detailed cost breakdown of all costs, by cost category and by federal government fiscal year. Start date for budget purposes should be 01 April 2011. Thus, as noted below, the proposed budget for three years beginning 01 April 2011 will have four budget periods.

(1)   Six months (01 April 2011 through 30 September 2011)
(2)   Twelve months (01 October 2011 through 30 September 2012)
(3)   Twelve months (01 October 2012 through 30 September 2013)
(4)   Six months (01 October 2013 through 31 March l 2014).

Note that the budget for each of the budget periods (e.g., 01 April 2011 to 30 Sep 2011) should include only those costs to be expended during that budget period.

Annual budget should be driven by program requirements. Elements of the budget should include:

• 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 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.

• Consultants – Provide a breakdown of the consultant's hours, the hourly rate proposed, and 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 technical approach if it is not already separately identified in the prime recipient's proposal.

• Materials & Supplies – Provide an itemized list of all proposed materials and supplies including quantities, unit prices, proposed vendors (if known), 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, office equipment and furnishings, etc.) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.

• Other Direct Costs – Provide an itemized list of all other proposed other direct costs such as Graduate Assistant tuition, laboratory fees, report and publication costs, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).

• Fee/Profit – Fee/profit is unallowable.

Cost breakdown by Government fiscal year and task/subtask

Funding breakdown by task/sub-task corresponding to the task number in the proposed Technical approach which was provided in Field 8 of the Research and Related Other Project Information Form must also be attached.

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. In order to allow sufficient time to receive and respond to the e-mail notices, it is highly encouraged that proposals be submitted 3 days in advance of the due date for proposals.

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.

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.)

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

3. Significant Dates and Times –

Schedule of Events		
Event	**Date**	**Time (EST)**
Cut-off Date for Questions	15 December 2010	4:00 PM
Due Date for Proposals	22 December 2010	4:00 PM
Notification of Recommendation for Award	26 February 2011	N/A
Grant Start Date	01 April 2011	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 26 February 2011.

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) 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

Grant proposals shall be submitted through Grants.gov using the mandatory Grants.gov form(s) from the application package template associated with the BAA on the Grants.gov website. The use of the optional forms from the application package template associated with the BAA is highly encouraged. To be considered for award, applicants must include the ONR Department Code in Block 4 entitled 'Federal Identifier' of the Standard Form (SF) 424 R&R. The proper Department Code is that of the Program Officer identified earlier in Paragraph I.7.

By completing Block 17 of 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.

Registration Requirements for Grants.gov: There are several one-time actions you must complete in order to submit an application through Grants.gov (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the Central Contract Registry (CCR), register with the credential provider, and register with Grants.gov). See www.grants.gov/GetStarted to begin this process. Use the Grants.gov Organization Registration Checklist at www.grants.gov/assets/OrganizationRegCheck.doc to guide you through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in the CCR registration process. Applicants, who are not registered with CCR and Grants.gov, should allow at least 21 days completing these requirements. It is suggested that the process be started as soon as possible.

Questions: 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.

V. EVALUATION INFORMATION

1. Evaluation Criteria –

Proposals will be evaluated using the following criteria:

A.   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.;
B.   A creative research proposal, demonstrating the potential for making progress in an ONR research area; and
C.   A long-term commitment by the University to the applicant and the research.

2. Evaluation –

Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure. The cognizant Program Officer and other Government scientific experts will perform the evaluation of technical proposals. Cost proposals will be evaluated by Government business professionals. Restrictive notices notwithstanding, one or more support contractors may be utilized as subject-matter-expert technical consultants. Similarly, support contractors may be utilized to evaluate cost proposals. 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:

- Central Contractor Registry (CCR) - Successful Offerors not already registered in the CCR will be required to register in CCR prior to award of any grant. Information on CCR registration is available at http://www.onr.navy.mil/Contracts-Grants/submit-proposal/proposal-credentials.aspx

2. Certification for Grants:

Grant awards greater than $100,000 require a certification of compliance with a national policy mandate concerning lobbying. Grant applications 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 to each applicant seeking federal assistance funds exceeding $100,000:

CERTIFICATION REGARDING LOBBYING ACTIVITIES

(1) No Federal appropriated funds have been paid or will be paid 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.

VII. OTHER INFORMATION

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

Government research facilities and operational military units are available and should be considered as potential government-furnished equipment/facilities. These facilities and resources are of high value and some are in constant demand by multiple programs. It is unlikely that all facilities would be used for any one specific program. The use of these facilities and resources will be negotiated as the program unfolds. Offerors should explain as part of their proposals which of these facilities are critical for the project's success.

2. Security Classification

Reserved

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 AALAC accreditation and/or NIH assurance, IACUC approval, research literature database searches, and the two most recent USDA inspection reports) prior to award. For assistance with submission of animal research related documentation, contact the ONR Animal Use Administrator at (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 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 Technical approach 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

Reserved

5. 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/.

6. Organizational Conflicts of Interest

Reserved

7. 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.