



ONR FOA Announcement #N00014-18-S-F009

Funding Opportunity Announcement FY2019 Office of Naval Research Young Investigator Program

Deadlines

Eligibility and Technical Questions

15 August 2018 (Wednesday)

Business related Questions

29 August 2018 (Wednesday)

Proposals must be received no later than

31 August 2018 (Friday) at 11:59 PM Eastern Time

IMPORTANT NOTE

There are new eligibility requirements in this year's
Young Investigator Program (YIP).

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I. INTRODUCTION

This publication constitutes a Funding Opportunity Announcement (FOA) as contemplated in the Department of Defense Grants and Agreements Regulations (DoDGARS) 32 CFR 22.315(a). A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued.

The Office of Naval Research (ONR) will not issue paper copies of this announcement. ONR reserves the right to select for award all, some, or none of the applications in response to this announcement. ONR provides no funding for direct reimbursement of application development costs. Technical proposals and budgets (or any other material) submitted in response to this FOA will not be returned. It is the policy of ONR to treat all white papers and applications as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

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

Any assistance instrument awarded under this announcement will be governed by the award terms and conditions that conform to DoD's implementation of OMB circulars applicable to financial assistance. Terms and conditions of new awards made after December 26, 2014, will include revisions to reflect DoD implementation of new OMB guidance in 2 CFR Part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards." The DoD Terms and Conditions are located at <https://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-terms-conditions.aspx>.

Applicants submitting a proposal should be aware of the following:

- Information regarding application packages can be found at:
<https://www.grants.gov/web/grants/applicants/apply-for-grants.html>
- A project abstract is required with the application and must be publically releasable as specified in the following section of this FOA: Section II. D. 2. b. responses to the Representations indicated in Section II. H., 2 thru 4 of this FOA are required with the application.
- All grant proposals must be submitted through <https://www.grants.gov/>

A. OVERVIEW

1. Federal Awarding Agency Name

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

2. Funding Opportunity Title

Funding Opportunity Announcement FY2019 Office of Naval Research (ONR)
Young Investigator Program (YIP)

3. Announcement Type

Initial Announcement

4. Funding Opportunity Number

N00014-18-S-F009

5. Catalog of Federal Domestic Assistance (CFDA) Numbers

12.300

6. Key Dates

Eligibility and Technical Questions due: **15 August 2018 (Wednesday)**

Business related Questions Due: **29 August 2018 (Wednesday)**

Proposals due: **31 August 2018 (Friday) at 11:59 PM Eastern Time**

For a full Table of Events, see Section II. D. 4. [Significant Dates and Times](#)

II. DETAILED INFORMATION ABOUT THE GRANT OPPORTUNITY

A. PROGRAM DESCRIPTION

The Office of Naval Research (ONR) is interested in receiving proposals for its Young Investigator Program (YIP). ONR's Young Investigator Program 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, who have received their PhD or equivalent degree on or after 01 January 2011, and who show exceptional promise for doing creative research. The objectives of this program are to attract outstanding faculty members of Institutions of Higher Education (hereafter also called "universities") to the Department of the Navy's Science and Technology (S&T) research program, to support their research, and to encourage their teaching and research careers. Individuals who are holding non-profit equivalent positions are encouraged to apply.

Proposals addressing research areas (as described in the ONR Science and Technology Department section of ONR's website at www.onr.navy.mil) which are of interest to ONR program officers will be considered. Contact information for each division (a subgroup of an S&T Department) is also listed within the S&T section of the website.

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

Brief informal pre-proposals may be submitted to facilitate these discussions but are not required. Such discussions can clarify the content and breadth of the priority research areas and enhance the match between a subsequent proposal and Department of the Navy research needs. Please allow adequate time for such discussions with the ONR Program Officer.

An individual wishing to apply for the Young Investigator Program must submit a research proposal and at least one letter of support through the appropriate university officials. Refer to Section II. E. 1. "Evaluation Criteria" regarding the importance of the letter(s) of support in the overall evaluation criteria and Section II. D. "Application and Submission Information" regarding its content. Applications received without at least one letter of support will be considered incomplete and will not be considered for award. The research proposal should follow the format described in FOA Section II. D. "Application and Submission Information."

Applicants may request up to \$500,000 for 24-months with an option for up to \$250,000 for an additional 12-months. These funds may be budgeted against any reasonable costs related to conducting the proposed research, for example, salary for the investigator, graduate student support, supplies, and applicable indirect cost.

Upon completion of the award period, individuals may apply for continued support under ONR's Long Range BAA. Decisions about continued funding outside the context of the YIP will be made following a review of the new proposal by the appropriate Program Officer based on the merits of the proposal, ONR's research priorities, and the creativity and productivity exhibited during the previous investigator's research program.

The ONR Young Investigator Program is highly competitive with typically less than 10 percent of applicants receiving awards. In 2018 more than 340 proposals were submitted resulting in 32 awards. Past awardees have submitted outstanding research proposals and possessed outstanding records of prior professional accomplishments. Given that "past performance" is a selection criterion, applicants are advised that the biographical information submitted as part of the proposal (see "Qualifications" under "Proposal Content," below) should list all relevant past and present activities. See Section II. E. 1. "Evaluation Criteria" for more details regarding evaluation of submitted proposals.

A proposal not selected for the Young Investigator Program may still be considered for an ONR grant award. The proposal would be in competition with all other research proposals submitted in response to ONR solicitations. Historically, only a limited number of proposals initially submitted to the YIP FOA have been awarded other funds. The YIP is not a "research initiation" opportunity with standards that are less demanding than ONR's other research grant programs; instead, it is intended to confer honor upon awardees beyond the funding being provided. Consideration of any YIP proposal to another ONR research grant program is at the discretion of the program officer.

B. FEDERAL AWARD INFORMATION

1. Funding Amount and Period of Performance

The amount of resources made available under this FOA will depend on the quality of the proposals received and the availability of funds. Multiple awards are anticipated. Awards under this FOA will be made to proposers on the basis of the evaluation criteria listed in [Section II. E. 1.](#) and program balance to provide overall value to the Government.

Each proposal should be structured to have a two (2) year base period (a maximum of \$500,000) with a possibility of an additional one (1) year option period (a maximum of \$250,000).

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 3966.1A. Such periodic program reviews monitor the cost, schedule and technical performance of funded basic research efforts. The reviews are used in part to determine which basic research projects will receive continued ONR funding. Peer reviewers who are not U.S. Government employees must sign nondisclosure agreements before receiving full or partial copies of proposals and

reports submitted by the basic research performers. Applicants may include travel costs for the Principal Investigator (PI) to attend the peer review.

C. ELIGIBILITY INFORMATION

Awards under this FOA will be made only to U.S. Institutions of Higher Education which award degrees in science, engineering, or mathematics. U.S. Non-profit organizations operating primarily for scientific and educational services may also submit proposals. The Principal Investigator of a proposal must be a U.S. citizen, national, or permanent resident (on the date proposals are due), holding a first or second full-time tenure-track or tenure-track-equivalent faculty position at that university, and has received his/her PhD or equivalent degree on or after 01 January 2011. The term "national" of the United States includes a native resident of a possession of the United States, such as American Samoa. The term "tenure-track-equivalent" is explained on the ONR website:
<https://www.onr.navy.mil/Science-Technology/Directorates/office-research-discovery-invention/Sponsored-Research/YIP/tenure-track-equivalent>

D. APPLICATION AND SUBMISSION INFORMATION

1. Application and Submission Process

NOTE: Individual applicants are allowed one proposal submission under this FOA.

The due date for receipt of Proposals is 11:59 PM Eastern Time on 31 August 2018 (Friday). Proposals received after the published deadline will not be considered.

You are responsible for making sure your application is submitted, received, and validated by Grants.gov before the application deadline. If your application package is submitted late, your application will be ineligible for consideration.

After the final proposal evaluation process is completed, applicants will be notified via email of their project's selection or non-selection for FY2019 funding. For a full list of events, see Section II. D. 4 [Significant Dates and Times](#).

2. Content and Format of Proposals

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

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

Applicants submitting proposals must complete the mandatory forms in accordance with the instructions provided on the forms and the additional instructions below. Files that are

attached to the forms must be in Adobe Portable Document Format (.pdf) unless otherwise specified in this announcement.

Submit **Technical Proposals** using the following format:

- Paper Size – 8.5 x 11inch paper
- Margins – 1 inch
- Spacing – single spaced
- Font – Times New Roman, 12 point
- Page limit – Technical Proposal - not more than 20 pages single-sided. (NOTE: The cover page, table of contents, curriculum vitae, letter(s) of support, references and current/pending project submissions are NOT INCLUDED in the Technical Proposal page count.)

Technical Proposals exceeding the page limit may not be evaluated.

Submit **Budgets** using the following format:

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single spaced
- Font – Times New Roman, 12 point
- Page limit – There is no page limitation to the Budget

NOTE: The electronic file name for all documents submitted under this FOA must not exceed 68 characters in length, including the file name extension.

Required Forms

(1) SF-424 Form (RESEARCH & RELATED) (Mandatory)

The SF-424 (R&R) form must be used as the cover page for all proposals. Complete all required fields in accordance with the “pop-up” instructions on the form and the following instructions for specific fields. Please complete the SF-424 first, as some fields on the SF-424 are used to auto-populate fields on other forms.

The completion of most fields is self-explanatory with the exception of the following special instructions:

- Field 3 - Date Received by State: The Date Received by State and the State Application Identifier are not applicable to research. Leave blank.
- Field 4a - Federal Identifier: Enter “N00014”.
- Field 4b - Agency Routing Number: Enter the three (3) digit Program Office Code and the Program Officer’s name, last name first, in brackets (e.g., 351 [Doe, John]).

Applicants who fail to provide an Agency Routing Number may receive a notice that their proposal is rejected.

- **Field 4c - Previous Grants.gov Tracking ID:** If this submission is for a Changed/Corrected Application, enter the Grants.gov tracking number of the previous proposal submission; otherwise, leave blank.
- **Field 7 - Type of Applicant:** Complete as indicated. If the organization is a Minority Institution, select “Other” and under “Other (Specify)” note that the institution is a Minority Institution (MI).
- **Field 9 - Name of Federal Agency:** List the Office of Naval Research as the reviewing agency. This field is pre-populated in Grants.gov.
- **Field 16 - Is Application Subject to Review by State Executive Order 12372 Process?** Choose “No”. Check “Program is Not Covered by Executive Order 12372.”
- **Field 17 – Certification:** All awards require some form of certifications of compliance with national policy requirements. By checking the “I agree” box in field 17, and attaching the representation to Field 18 of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov, the Grant Applicant is providing the certification on lobbying required by 32 CFR Part 28 and representation regarding an unpaid delinquent tax liability or a felony conviction under any federal law – DoD appropriations.

(2) R&R Form: Project Abstract Form (Mandatory)

The project abstract must identify the problem and objectives, technical approaches, anticipated outcome of the effort, if successful, and impact on DoD capabilities. Use only characters available on a standard QWERTY keyboard. Spell out all Greek letters, other non-English letters, and symbols. Graphics are not allowed and there is a 4,000 character limit including spaces.

Do not include proprietary or confidential information. The project abstract must be marked by the applicant as “Approved for Public Release”. Abstracts of all funded projects will be posted on the public DTIC website:

<https://dodgrantawards.dtic.mil/grants>

Project Summary Abstracts shall contain the following information:

- 1) Identify the research problem, technical approaches, anticipated outcome of the research, if successful, and impact on DoD capabilities;
- 2) Identify the Principal Investigator and the University involved in the YIP;

- 3) Identify the proposal title; and
- 4) Identify the total funds requested from ONR for the performance period.

(3) R&R Form: Research and Related Other Project Information (Mandatory)

- Fields 1 and 1a - Human Subject Use: Each proposal must address human subject involvement in the research by completing Fields 1 and 1a of the R&R Other Project Information form. For proposals containing activities that include or may include “research involving human subjects” as defined in DoDI 3216.02, prior to award, the Applicant must submit the documentation under “Use of Human Subjects in Research” ([Section II. H. 6.](#)).
- Fields 2 and 2a – Vertebrae Animal Use: Each proposal must address animal use protocols by addressing Fields 2 and 2a of the R&R Other Project Information form. If animals are to be utilized in the research effort proposed, the Applicant must submit the documents described under “Use of Animals” ([Section II. H. 6.](#)).
- Fields 4a through 4d - Environmental Compliance: Address these fields and briefly indicate whether the intended research will result in environmental impacts outside the laboratory, and how the applicant will ensure compliance with environmental statutes and regulations.

Federal agencies making grant or cooperative agreement awards and recipients of such awards must comply with various environmental requirements. The National Environmental Policy Act of 1969 (NEPA), 42 U.S.C. Sections 4321-4370 (a), requires that agencies consider the environmental impact of “major Federal actions” prior to any final agency decision. With respect to those awards which constitute “major Federal actions,” as defined in 40 CFR 1508.18, federal agencies may be required to comply with NEPA and prepare an environmental impact statement (EIS), even if the agency does no more than provide grant funds to the recipient. Questions regarding NEPA compliance should be referred to the technical point of contact. Most research efforts funded by ONR will, however, qualify for a categorical exclusion from the need to prepare an EIS. Navy instructions/regulations provide for a categorical exclusion for basic and applied scientific research usually confined to the laboratory, if the research complies with all other applicable safety, environmental and natural resource conservation laws.

- Field 7 – Project Abstract: Leave Field 7 blank; complete Form SF424, Project Abstract.
- Field 8 – Project Narrative: Describe clearly the project, including the objective and approach to be performed, keeping in mind the evaluation criteria. Attach the entire proposal narrative to R&R Other Project Information form in Field 8. To attach a Project Narrative in Field 8 click on “Add Attachment” and attach

the technical proposal as a single PDF file. (Save the file as “Technical Proposal,” as typing in the box is prohibited).

The technical proposal must describe the effort per the following:

Cover Page: This must include the words “Technical Proposal” and the following:

- a. FOA Number: N00014-18-S-F009;
- b. Title of Proposal;
- c. Identity of prime Applicant and complete list of subawards, if applicable;
- d. Technical contact (name, address, phone/fax, electronic mail address);
- e. Administrative/business contact (name, address, phone/fax, electronic mail address) and;
- f. Proposed period of performance (identify both the base period and any options, if included);
- g. Name and address of University President (or Chancellor/Provost if no on-campus President); this information will be used for courtesy notification in the event of award; and
- h. Total proposed budget.

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

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

Future Naval Relevance: A description of potential Naval relevance and contributions of the effort to the agency’s specific mission.

Reports: The following are sample reports that are typically required under a research effort, and are to be submitted electronically:

- Technical and Financial Progress Reports
- Annual Research Performance Progress Reports
- Final Report

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

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

References: Literature citations.

Current and Pending Project and Proposal Submissions: Applicants 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. Applicants 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):

(Concurrent submission of a proposal to other organizations will not prejudice its review by ONR.)

- a. Title of Proposal and Summary;
- b. Source and amount of funding (annual direct costs; provide contract and/or grant numbers for current contracts/grants);
- c. Percentage effort devoted to each project;
- d. Identity of prime Applicants and complete list of subwards, if applicable;
- e. Technical contact (name, address, phone/fax, electronic mail address);
- f. Administrative/business contact (name, address, phone/fax, electronic mail address);
- g. Period of performance;
- h. The proposed project and all other projects or activities requiring a portion of time of the Project Director / Principal Investigator and other senior personnel must be included, even if they receive no salary support from the project(s);
- i. 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
- j. State how projects are related to the proposed effort and indicate degree of overlap.

Curriculum Vitae: One curriculum vitae of the Principal Investigator (no page limit). Include a full curriculum vitae (CV) for Principal Investigator listing all degrees earned, publications, invited lectures, awards, positions held, etc.. The CV shall be attached to the proposal.

Letter(s) of support: There is no specified format or content required for the letter(s) of support other than being authored by the appropriate University (or Non-profit) Official(s) and supporting long-term commitment by the University (or Non-profit) to the applicant and his or her research. Long-term commitment may include (but is not limited to) release time from teaching and/or administrative responsibilities, paid nine-month salary, other related research funding, related laboratory and/or computer investments, new faculty start-up package, support for applicant's graduate students/postdocs, and mentoring. The letter(s) can include any and all commitments and investments made by the university (or non-profit) towards the applicant being a successful researcher, instructor, and advisor, as well as the applicant's achievements. It must be clear that the university (or non-profit) is making long-term commitment to the applicant and his or her research, and that the applicant is viewed as a potential leading faculty member or equivalent. The university (or non-profit) should make it clear that the individual being recommended is truly outstanding.

Facilities & Equipment: Describe facilities available for performing the proposed effort and any additional facilities or equipment the organization proposes to acquire at its own expense. Indicate government-owned facilities or equipment already possessed that will be used. Justify the need for each equipment item. (Additional facilities and equipment will not be provided unless the proposed effort cannot be completed by any other practical means.)

(4) R&R Form: Research & Related Budget

The applicant must use the Grants.gov forms from the application package template associated with the BAA on the Grants.gov web site located at <https://www.grants.gov/>. If options are proposed, the budget must provide the pricing information for the option periods; failure to include the proposed costs for the option periods will result in the options not being included in the award.

The 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 December 2018.

Base Period (24-months):

- (1) Nine months (15 December 2018 through 30 September 2019)
- (2) Twelve months (01 October 2019 through 30 September 2020)
- (3) Three months (01 October 2020 through 14 December 2020)

Option Period (12-months):

- (1) Nine months (15 December 2021 through 30 September 2021)
- (2) Three months (01 October 2021 through 14 December 2021)

Note that the budget for each of the budget-periods (e.g., 15 December 2018 through 30 September 2019) should include only those costs to be expended during that budget period.

Annual budget should be driven by program requirements.

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. This document shall be attached under Section K. "Budget Justification" of the Research and Related Budget form. Click "Add Attachment" to attach.

The itemized budget should 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 must include the following for each trip: the purpose of the trip, origin and destination if known, approximate duration, the number of travelers, and the estimated cost per trip must be justified based on the organization's 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.
- Subawards/Subcontracts – Provide a description of the work to be performed by the subrecipient/subcontractor. For each subaward, a detailed budget is required to be submitted by the subrecipient(s). A proposal and any supporting documentation must be received and reviewed before the Government can

complete its cost analysis of the proposal. ONR's preferred method of receiving subcontract information is for this information to be included with the Prime's proposal. However, a subcontractor's budget can be provided via email directly to the Program Officer at the same time the prime proposal is submitted. The email should identify the proposal title, the prime Applicant and that the attached proposal is a subcontract.

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

(5) Research and Related Senior/Key Person Profile (Expanded) (Mandatory)

The Degree Type and Degree Year fields on the Research and Related Senior/Key Person Profile (Expanded) form will be used by DoD as the source for career information. In addition to the required fields on the form, applicants must complete these two fields for

all individuals that are identified as senior or key persons on this form. Additional senior/key persons can be added by selecting the “Next Person” button. Note that, although applications without these fields completed may pass Grants.gov edit checks, if DoD receives an application without the required information, DoD may determine that the application is incomplete and should not be processed.

(6) Research and Related Personal Data (Mandatory)

This form will be used by DoD as the source of demographic information, such as gender, race, ethnicity, and disability information for the Project Director/Principal Investigator and all other persons identified as Co-Project Director(s)/Co-Principal Investigator(s). Each application must include this form with the name fields of the Project Director/Principal Investigator and any Co-Project Director(s)/Co-Principal Investigator(s) completed; however, provision of the demographic information in the form is voluntary. If completing the form for multiple individuals, each Co-Director/Co-Principal Investigator can be added by selecting the “Next Person” button. The demographic information, if provided, will be used for statistical purposes only and will not be made available to merit reviewers. Applicants who do not wish to provide some or all of the information should check or select the “Do not wish to provide” option.

NOTE: The Government Accountability Office, in its report GAO-16-14, WOMEN IN STEM RESEARCH: Better Data and Information Sharing Could Improve Oversight of Federal Grant-making and Title IX Compliance, December 3, 2015, recommended that the Department of Defense collect certain demographic and career information to be able to assess the success rates of women who are proposed for key roles in applications in science, technology, engineering, or mathematics disciplines.

3. Grants.gov Application Submission and Receipt Procedures

How to Register to Apply through Grants.gov

a. *Instructions:* Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

The registration process can take up to four weeks to complete. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required application submission deadlines.

If individual applicants are eligible to apply for this grant funding opportunity, refer to:
<https://www.grants.gov/web/grants/applicants/individual-registration.html>

Organization applicants can find complete instructions here:
<https://www.grants.gov/web/grants/applicants/organization-registration.html>

(1) *Obtain a DUNS Number:* All entities applying for funding, including renewal funding, must have a Data Universal Numbering System (DUNS) number from Dun & Bradstreet (D&B). Applicants must enter the DUNS number in the data entry field labeled "Organizational DUNS" on the SF-424 form.

For more detailed instructions for obtaining a DUNS number, refer to:
<https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

(2) *Register with SAM:* In addition to having a DUNS number, organizations applying online through Grants.gov must register with the System for Award Management (SAM). All organizations must register with SAM in order to apply online. Failure to register with SAM will prevent your organization from applying through Grants.gov.

For more detailed instructions for registering with SAM, refer to:
<https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>

(3) *Create a Grants.gov Account:* The next step in the registration process is to create an account with Grants.gov. Applicants must know their organization's DUNS number to complete this process. Completing this process automatically triggers an email request for applicant roles to the organization's E-Business Point of Contact (EBiz POC) for review. The EBiz POC is a representative from your organization who is the contact listed for SAM. To apply for grants on behalf of your organization, you will need the Authorized Organizational Representative (AOR) role.

For more detailed instructions about creating a profile on Grants.gov, refer to:
<https://www.grants.gov/web/grants/applicants/organization-registration/step-3-username-password.html>

(4) *Authorize Grants.gov Roles:* After creating an account on Grants.gov, the EBiz POC receives an email notifying them of your registration and request for roles. The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the AOR role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online anytime after you have been approved as an AOR.

For more detailed instructions about creating a profile on Grants.gov, refer to:
<https://www.grants.gov/web/grants/applicants/organization-registration/step-4-aor-authorization.html>

5) *Track Role Status:* To track your role request, refer to:
<https://www.grants.gov/web/grants/applicants/organization-registration/step-5-track-aor-status.html>

b. *Electronic Signature*: When applications are submitted through Grants.gov, the name of the organization's AOR that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC **must** authorize individuals who are able to make legally binding commitments on behalf of the organization as an AOR; **this step is often missed and it is crucial for valid and timely submissions.**

How to Submit an Application to ONR via Grants.gov

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different webforms within an application. For each funding opportunity announcement (FOA), you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to:

<https://www.grants.gov/web/grants/applicants/apply-for-grants.html>

- a. *Create a Workspace*: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
- b. *Complete a Workspace*: Add participants to the workspace, complete all the required forms, and check for errors before submission.
 1. *Adobe Reader*: If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace so that they will appear similar to other Standard or ONR forms. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at:
<https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>
 2. *Mandatory Fields in Forms*: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.
 3. *Complete SF-424 Fields First*: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS number. To trigger this feature, an applicant must complete the SF-424 information first. Once it is completed, the information will transfer to the other forms.
- c. *Submit a Workspace*: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours

prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.

d. *Track a Workspace:* After successfully submitting a workspace package, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the package. The number will be listed on the Confirmation page that is generated after submission.

For additional training resources, including video tutorials, refer to:
<https://www.grants.gov/web/grants/applicants/applicant-training.html>

Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. For questions related to the specific grant opportunity, contact the number listed in the application package of the grant you are applying for.

If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number. The Support Center ticket number will assist the ONR with tracking your issue and understanding background information on the issue.

Timely Receipt Requirements and Proof of Timely Submission

a. *Online Submission.* All applications must be received by 11:59pm Eastern time on the due date established. Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time stamp is generated within the system when the application is successfully received by Grants.gov. The applicant AOR will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. Applicant AORs will also receive the official date/time stamp and Grants.gov Tracking number in an email serving as proof of their timely submission.

When ONR successfully retrieves the application from Grants.gov, and acknowledges the download of submissions, Grants.gov will provide an electronic acknowledgment of receipt of the application to the email address of the applicant with the AOR role. Again, proof of timely submission shall be the official date and time that Grants.gov receives your application. Applications received by Grants.gov after the established due date for the program will be considered late and will not be considered for funding by ONR.

Applicants using slow internet, such as dial-up connections, should be aware that transmission can take some time before Grants.gov receives your application. Again, Grants.gov will provide either an error or a successfully received transmission in the form of an email sent to the applicant with the AOR role. The Grants.gov Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. Please be patient and give the system time to process the application.

b. *Proposal Receipt Notices.* After a proposal is submitted through Grants.gov, the Authorized Organization Representative (AOR) will receive a series of three emails. It is extremely important that the AOR watch for and save each of the emails. You will know that your proposal has reached ONR when the AOR receives email Number 3. You will need the Submission Receipt Number (email Number 1) to track a submission. The three emails 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 email 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 email form from ONR within ten days from the proposal due date, if applicable. The email is sent to the authorized representative for the institution. The email for proposals notes that the proposal has been received and provides the assigned tracking number.

4. Significant Dates and Times

Schedule of Events		
Event	Date	Time
Questions for Program Officers and YIP Program Manager	15 August 2018 (Wednesday)*	
Questions for Grants Officer Regarding Submission	29 August 2018 (Wednesday)	
Proposals Due	31 August 2018 (Friday)	11:59 PM Eastern Local Time
Notifications of Selection for Award	01 November 2018**	
Start Date of Grant	15 December 2018**	

* Questions submitted after the Q&A deadline as noted in the table above may not be answered.

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

E. APPLICATION REVIEW INFORMATION

1. Evaluation Criteria

Awards under this FOA will be made to Applicants on the basis of the evaluation criteria listed below, and program balance to provide overall value to the Government. The Government reserves the right to request any additional, necessary documentation after the decision to award is made. The Government reserves the right to remove Applicants from award consideration should the parties fail to reach agreement on award terms, conditions, and cost/price within a reasonable time, or the Applicant fails to timely provide requested additional information.

The primary basis for selecting proposals for acceptance will be technical merit, naval priorities, past performance, university support, and budget. Cost realism and reasonableness will also be considered. The following criteria will be used for the evaluation:

- 1) Technical Merit – A creative research proposal, demonstrating the potential for making progress in an ONR research area;
- 2) Naval Research and Development Framework Priorities – Basic research that address new knowledge to develop new technologies that ultimately become new capabilities delivered by the acquisition community (<https://www.onr.navy.mil/our-research/naval-research-framework>);

- 3) Curriculum Vitae – 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.;
- 4) Letter of Support (required)– A long-term commitment by the University or Non-profit to the applicant and the proposed research detailed in the letter(s) of support from appropriate official(s); and
- 5) Budget – Cost realism, affordability, and budgetary constraints.

Criteria 1 thru 5 are equally important.

The ultimate recommendation for award of proposals is made by ONR's scientific community. Recommended proposals will be forwarded to the ONR Contracts and Grant Awards Management office. Any notification received from ONR that indicates that the Applicant's 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 grants department to review budget, determine the Applicant's responsibility, and to take other relevant steps necessary prior to making the award.

2. Review and Selection Process

Proposals will not be evaluated against each other since they are not submitted in accordance with a common work statement. ONR's intent is to review proposals as soon as possible after they arrive; however, proposals may be reviewed periodically for administrative reasons.

The ultimate recommendation for award of proposals is made by ONR's scientific/technical community. Recommended proposals will then be forwarded to the ONR Contracts and Grant Awards Management office. Any notification received from ONR that indicates that the Applicant's 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 stated above and has been sent to the Grants Department to conduct cost analysis, determine the Applicant's responsibility, to confirm whether funds are available, and to take other relevant steps necessary prior to making the award.

3. Evaluation Panel

Technical and budgets submitted under this FOA will be protected from unauthorized disclosure. The cognizant Program Officer and other Government subject matter 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 the Government personnel. Each support contractor employee that has access to technical and cost proposals submitted in response to this FOA will be required

to sign a non-disclosure statement prior to receipt of any proposal submissions.

4. General Information Regarding the Review and Selection Process

In accordance with Office of Management and Budget (OMB) guidance in parts 180 and 200 of Title 2, CFR, in its DoD policy that DoD Components must report and use integrity and performance information in the Federal Awardee Performance and Integrity Information System (FAPIIS), or any successor system designated by OMB, concerning grants, cooperative agreements, and TIA's as follows:

If the total Federal share will be greater than the simplified acquisition threshold on and Federal award under a notice of funding opportunity (see 2 CFR 200.88 Simplified Acquisition Threshold):

- a. The Federal awarding agency, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, will review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS)(see 41 U.S.C. 2313);
- b. An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM;
- c. The Federal awarding agency will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 2 CFR 200.205 Federal awarding agency review of risk posed by applicants.

F. FEDERAL AWARD ADMINISTRATION INFORMATION

1. Unique Entity Identifier and System for Award Management (SAM)

System for Award Management (SAM): All Applicants submitting proposals or applications must:

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

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

2. Federal Award Notices

- a. Applicants whose proposals are recommended for award may be contacted by a Contract or Grant specialist to discuss additional information required for award. This may include representations and certifications, revised budgets or budget explanations, certificate of current cost or pricing data, subcontracting plan for small businesses, and/or other information as applicable to the proposed award.

The notification e-mail must not be regarded as an authorization to commit or expend funds. The Government is not obligated to provide any funding until a Government Contracting Officer or Grants Officer, as applicable, signs the award document.

The award document signed by the Contracting Officer or Grants Officer is the official and authorizing award instrument.

- b. Office of Naval Research (ONR) award/modification documents are only available via the Department of Defense (DoD) Electronic Document Access System (EDA) within the Wide Area WorkFlow e-Business Suite (<https://wawf.eb.mil/>). EDA is a Web-based system that provides secure online access, storage and retrieval of awards and modifications to DoD employees and vendors.

ONR creates an award notification profile for every award.

For grants, the notification profile will use the email addresses from the Application for Federal Assistance, SF424, to notify the recipient of an award. ONR recommends that organizations provide a global business address for their entity in Field 5 (Application Information) of the SF424. ONR is using the following three email addresses entered by the grantee on the SF424 application to create the EDA notification profile:

- i. Applicant Information (Field 5 - Email)
- ii. Project Director / Principal Investigator (Field 14 - Email)
- iii. Authorized Representative (Field 19 - Email)

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

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

If you do not currently have access to EDA, you may complete a self-registration request as a "Vendor" via <https://wawf.eb.mil/> following the steps below:

1. Click "Accept"
2. Click "Register" (top right)
3. Click "Agree"
4. In the "What type of user are you?" drop down, select "Vendor"

5. Select the systems you would like to access (iRAPT at a minimum)
6. Complete the User Profile and follow the site instructions

Allow five business days for your registration to be processed. EDA will notify you by email when your account is approved.

To access awards after your registration has been approved, log into <https://wawf.eb.mil/>, select "EDA", select either EDA location, Select "Contracts", select your search preference, enter the Contract Number (or, if applicable, enter the Grant Number in the Contract Number field), and select "View".

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

3. Reporting

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

a. Reporting of Matters Related to Recipient Integrity and Performance

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

(2) Proceedings About Which You Must Report. Submit the information required about each proceeding that:

- a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;

- b. Reached its final disposition during the most recent five year period; and
- c. Is one of the following:
 - (i) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;
 - (ii) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;
 - (iii) An administrative proceeding, as defined in paragraph 5. of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000; or
 - (iv) Any other criminal, civil, or administrative proceeding if:
 - (a) It could have led to an outcome described in paragraph 2.c.(i), (ii), or (b) of this award term and condition;
 - (c) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and
 - (d) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

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

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

5. Definitions. For purposes of this award term and condition:

- a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.
- b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.
- c. Total value of currently active grants, cooperative agreements, and procurement contracts includes:
 - (i) Only the Federal share of the funding under any Federal award with a recipient cost share or match; and
 - (ii) The value of all expected funding increments under a Federal award and options, even if not yet exercised.

G. FEDERAL AWARDING AGENCY CONTACTS

Questions of a Technical nature (Deadline 15 August 2018) shall be directed to:

The ONR Program Officer responsible for the research area that best matches the research being proposed. Please see the ONR Science and Technology Departments (<http://www.onr.navy.mil/Science-Technology/Departments.aspx>), Technology Locator (<http://www.onr.navy.mil/en/Science-Technology/Contacts.aspx>), or Program Managers (<https://www.onr.navy.mil/our-research/our-program-managers>) to locate the appropriate ONR program officer.

Questions regarding YIP policy (Deadline 15 August 2018) should be submitted to:

Dr. Reginald G. Williams
YIP Program Manager
Code 30
Office of Naval Research
875 North Randolph Street
Arlington, VA 22203-1995
reginald.g.williams@navy.mil

Questions of a Business nature (Deadline 29 August 2018) should be submitted to:

Mr. David Broadwell
Grants Officer
Office of Naval Research
875 North Randolph Street
Arlington VA 22203-1995
david.broadwell@navy.mil

All questions shall be submitted via email and should be concise and to the point. In addition, the relevant part and paragraph of the FOA should be referenced. Questions presented by telephone call, fax message, or other means will not be responded to. Technical and Policy related questions must be submitted no later than 15 August 2018. Business related questions regarding submissions must be submitted no later than 29 August 2018. Questions submitted after the appropriate date will not be answered and the due date for submission of proposals will not be extended.

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

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

H. OTHER INFORMATION

1. Federal Funding Accountability and Transparency Act of 2006

The Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by Section 6202 of Public Law 110-252, requires that all agencies establish requirements for recipients reporting information on subawards and executive total compensation as codified in 2 CFR Part 170. Any company, non-profit agency or university that applies for financial assistance as either a prime or sub-recipient under this FOA must provide information in its proposal that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR Part 170 Appendix A. Entities are required to meet reporting requirements unless an exception or exemption applies. Refer to 2 CFR Part 170, including Appendix A, for a detailed explanation of the requirements, exceptions, and exemptions.

2. Certification regarding Restrictions on Lobbying

Grant and Cooperative Agreement awards greater than \$100,000, as well as OTAs not under 10 U.S.C. 2371b, require a certification of compliance with a national policy mandate concerning lobbying. Grant applicants shall provide this certification by electronic submission of SF424 (R&R) as a part of the electronic proposal submitted via [Grants.gov](#) (complete Block 17). The following certification applies likewise to each

Cooperative Agreement and normal OTA applicant seeking federal assistance funds exceeding \$100,000:

- a. 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.
- b. 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.
- c. 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.

3. Representation Regarding an Unpaid Delinquent Tax Liability or a Felony Conviction Under any Federal Law - DoD Appropriations

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

- a. 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.
- b. The applicant represents that it ____ **is/ is not** ____ a corporation that was

convicted of a felony criminal violation under any Federal law within the preceding 24 months. NOTE: If an applicant responds in the affirmative to either of the above representations, the applicant is ineligible to receive an award unless the agency suspension and debarment official (SDO) has considered suspension or debarment and determined that further action is not required to protect the Government's interests. The applicant therefore must provide information about its tax liability or conviction to the agency's SDO as soon as it can do so, to facilitate completion of the required consideration before award decisions are made.

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

Agreement with the representation below will be affirmed by checking the "I agree" box in Field 17 of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

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

Note that, as applicable, the bases for this representation are the prohibition(s) as follow:

1. Section 743 of the Financial Services and General Government Appropriation Act, 2015 (Division E of the Consolidated and Further Continuing Appropriations Act, 2015, Pub. L. 113-235).
2. Section 101(a) of the Continuing Appropriation Act, 2016 (Pub. L. 114-53) and any subsequent FY2016 appropriations act that extends to FY2016 the same restrictions as are contained in section 743 of Division E, title VII of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub L. 113-235).
3. Pub. L. 114-223, Continuing Appropriations Act, 2017, or any other Act that extends to fiscal year 2017 funds the same prohibitions as contained in section 743, Division E, title VII, of the Consolidated Appropriations Act, 2016 (Pub. L. 114-113).
4. Any successor provision of law on making funds available through grants and cooperative agreements to entities with certain internal confidentiality agreements or statements.

The prohibitions stated above do not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

5. Code of Conduct

Applicants for grants, cooperative agreements, or other transaction agreements as applicable are required to comply with 2 CFR 200.318(c), Codes of Conduct, to prevent real or apparent conflicts of interest in the award and administration of any contracts supported by federal funds. This provision will be incorporated into all assistance instruments awarded under this FOA.

6. Requirements Concerning Live Organisms

1. Use of Animals:

If animals are to be utilized in the research effort proposed, the Applicant must submit a full Appendix or Abbreviated Appendix with supporting documentation (copies of IACUC Approval, IACUC Approved Protocol, and most recent USDA Inspection Report) prior to award. For assistance with submission of animal research related documentation, contact the ONR Animal Use Administrator at (703) 696-4046.

Guidance: <https://www.onr.navy.mil/en/About-ONR/compliance-protections/Research-Protections/Animal-Recombinant-DNA.aspx>

2. Use of Human Subjects in Research:

a. You must protect the rights and welfare of individuals who participate as human subjects in research under this award and comply with the requirements of the Common Rule at 32 CFR part 219 and applicable provisions of DoD Instruction 3216.02, Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research (2011), the DON implementation of the human research protection program contained in SECNAVINST 3900.39D (or its replacement), 10 USC 980 “Limitation on Use of Humans as Experimental Subjects,” and when applicable, Food and Drug Administration (FDA) and other federal and state law and regulations.

b. For proposals containing activities that include or may include “research involving human subjects” as defined in DoDI 3216.02, prior to award, the Applicant must submit documentation of:

(1) Approval from an Institutional Review Board (IRB) (IRB-approved research protocol, IRB- approved informed consent document, and other material they considered); proof of completed human research training (e.g., training certificate or institutional verification of training for the Project Director / Principal investigator, co-investigators); and the Applicant’s Department of Health and Human Services (DHHS)-issued Federalwide Assurance (FWA#),

(2) Any claimed exemption under 32 CFR 219 101(b), including the category of exemption, supporting documentation considered by your institution in

making the determination (e.g., protocol, data collection tools, advertisements, etc.). The documentation shall include a short rationale supporting the exemption determination. This documentation should be signed by the IRB Chair or IRB vice Chair, designated IRB administrator or official of the human research protection program.

(3) Any determinations that the proposal does not contain activities that constitute research involving human subjects, including supporting documentation considered by your institution in making the determination. This documentation should be issued by the IRB Chair or IRB vice Chair, designated IRB administrator or official of the human research protection program.

c. Documentation must be submitted to the ONR Human Research Protection Official (HRPO), by way of the ONR Program Officer. If the research is determined by the IRB to be greater than minimal risk, you also must provide the name and contact information for the independent research monitor and a written summary of the monitors' duties, authorities, and responsibilities as approved by the IRB. For assistance with submission of human subject research related documentation, contact the ONR Human Research Protection Official (HRPO) at (703) 696-4046.

d. Research involving human subjects must not be commenced under any award or modification or any subcontract or grant subaward or modification until awardee receives notification from the Grants Officer that the HRPO has approved the assurance as appropriate for the research under the award or modification and that the HRPO has reviewed the protocol and accepted the IRB approval or determination for compliance with Federal, DoD and DON research protection requirements. See, DFARS 252.235-7004. Guidance:
<https://www.onr.navy.mil/About-ONR/compliance-protections/Research-Protections/Human-Subject-Research>

3. Use of Recombinant DNA or Synthetic Nucleic Acid Molecules:

Proposals which call for experiments using recombinant or synthetic nucleic acid molecules must include documentation of compliance with NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules (NIH Guidelines), approval of the Institutional Biosafety Committee (IBC), and copies of the DHHS Approval of the IBC letter. Guidance: <https://www.onr.navy.mil/About-ONR/compliance-protections/Research-Protections/Animal-Recombinant-DNA.aspx>

7. Institutional Dual Use Research of Concern

As of September 24, 2015, all institutions and United States Government (USG) funding agencies subject to the United States Government Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern must comply with all the requirements listed

therein. If your research proposal directly involves certain biological agents or toxins, contact the cognizant Technical Point of Contact. U.S. Government Science, Safety, Security (S3) guidance may be found at <https://www.phe.gov/s3/dualuse>.

8. 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 <https://www.hpcmo.hpc.mil/>.

9. Project Meetings and Reviews

Individual program reviews between the ONR sponsor and the performer may be held as necessary. Department of Defense colleagues may participate in these reviews. Program status reviews may also be held to provide a forum for reviews of the latest results from programs and any other incremental progress towards the major demonstrations. These meetings will typically be held at the Applicant's facility or in Arlington, VA (for costing purposes, Applicants should assume that 40% of these meetings will be at or near ONR Arlington, VA). Interim meetings are likely, but these will be accomplished via video telephone conferences, telephone conferences, or via web-based collaboration tools.