

ONR FOA Announcement #N00014-19-S-F009

FY19 Funding Opportunity Announcement (FOA) for the Office of Naval Research (ONR) Navy ROTC Cybersecurity Training Program

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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. The ONR reserves the right to select for award all, some, or none of the applications in response to this announcement. The 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 applications as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

This FOA is intended for applications that provide strategic solutions to naval-relevant challenges. Submissions of applications that do not meet the criteria specified by this document will not be reviewed.

Awards will take the form of grants. 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 an application 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.
- Grant applications will be reviewed only if they (1) are invited (2) meet the criteria specified by this document, and (3) are submitted through https://www.grants.gov/web/grants/home.html

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

FY19 Funding Opportunity Announcement (FOA) for the Office of Naval Research (ONR) Navy ROTC Cybersecurity Training Program

3. Announcement Type

Initial Announcement

4. Funding Opportunity Number

N00014-19-S-F009

5. Catalog of Federal Domestic Assistance (CFDA) Numbers

12.330

6. Key Dates

This announcement will remain open for approximately one (1) year from the date of publication, or until replaced by a successor FOA. Proposals may be submitted at any time during this period.

II. DETAILED INFORMATION ABOUT THE RESEARCH OPPORTUNITY

A. PROGRAM DESCRIPTION

The ONR seeks a broad range of applications for augmenting existing or developing innovative solutions that directly maintain, or cultivate a diverse, world-class STEM workforce in order to maintain the U.S. Navy and Marine Corps' technological superiority. The goal of any proposed effort must provide solutions that will grow a capable and trained workforce with the skills to defend against emergent cyber and electronic warfare threats.

Funding efforts will be targeted primarily toward projects addressing the technical skills taught to university students enrolled in ROTC programs; these ROTC programs are not restricted to any particular Service. While this is effort is targeted primarily toward students enrolled in ROTC programs it can also include civilian students.

Project scope may range in size and complexity. Projects are especially encouraged to consider the following areas:

- Expand the technical skills taught to university students, especially those enrolled in ROTC programs
- Grow the participant's cyber and electronic warfare skills

- Develop the research capacity of participants
    - Funds will be earned by participants who will perform research under the guidance of a graduate student mentor and a professor principal investigator (PI).
    - The plan is to pay participants $18 per hour for a maximum of 15 hours per week.
- Establish meetings of stakeholders that must seek to connect relevant people and organizations to explicitly develop broader projects for affecting entire communities.

The technical content of any idea must establish naval relevance within the priority areas as outlined in the "Naval Research and Development Framework and Addendum", https://www.onr.navy.mil/our-research/naval-research-framework. Broad priority areas are as follows:

- Advanced RF Electronics and Materials
- Communications and Networking
- Computational Methods for Decision Making
- Data Science and Analytics
- Electronic Warfare
- Sensors and Sensor Processing
- Machine Learning, Reasoning and Intelligence
- Resource Optimization
- Precision Navigation and Timekeeping

While not a formal requirement or program focus of this FOA, applicants are strongly encouraged to consider under-represented and under-served populations including women and minorities in project plans. Special audience priority areas may include, but not be limited to, military connected students, veteran initiatives, and education systems integral to naval science and technology. All efforts should improve education and training outcomes and connections to naval STEM careers in cyber security and electronic warfare.

Applications should:

- Be created in collaboration with ROTC staff;

- Be innovative and novel to address the program description;

- Create meaningful content and participant experiences that meet Naval STEM education and workforce priorities, and that will expose participants to elements such as Navy and Marine Corps STEM skills, content, careers, facilities and personnel (uniformed, civilian, active duty or retired);

- Collect a set of program-specific measures of performance and measures of effectiveness appropriate to the goals of the project;

- Contain a strategy for self-sufficiency, such that following the completion of

ONR's investment, the effort will have a clear financial sustainability path and leave enduring organizational capability; and

- Be distinct from those types of efforts requested by ONR's Long Range BAA.

Specific application evaluation criteria for this FOA are included in Section II. E.

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

B. FEDERAL AWARD INFORMATION

1. Funding Amount and Period of Performance

Under this STEM FOA competition, ONR intends each individual award will be up to a maximum of $250,000 per year, with one-year (1) option periods, for up to three (3) years total, subject to the availability of funds. Applications for larger amounts will be considered on a case-by-case basis. Projects addressing a larger community effort must consult with the Technical Point of Contact (POC) listed in Section II. G.

ONR expects projects to be completed within the performance period. Any requests for no-cost extensions must be fully justified and submitted no later than 60 days before the end of the period of performance.

2. Peer Reviews

In the case of applications funded as basic research, ONR may utilize peer reviewers 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/applications and reports submitted by the basic research performers.

C. ELIGIBILITY INFORMATION

All responsible sources from academe may submit applications under this FOA. *Foreign entities will not be considered.*

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

Navy laboratories, military universities, and warfare centers as well as other Department of Defense and civilian agency laboratories are also not eligible to receive awards under this FOA and must not submit applications in response to this FOA. If any such organization is interested in the program described herein, the organization may contact ONR STEM Program Office, onr_stem@navy.mil, to discuss potential projects. The subject line of the email shall read "N00014-19-S-F009 Potential Project Inquiry." As with FFRDCs, these types of Federal organizations may team with eligible applicants that are submitting applications under this FOA.

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

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

D. APPLICATION AND SUBMISSION INFORMATION

1. Application and Submission Process

NOTE TO APPLICANTS: The Government seeks only applications that are relevant and responsive to the Funding Opportunity Description in Section II. A. Applications that fail to address the areas listed in the Funding Opportunity Description will be rejected and not considered further.

Submission of Applications: See Section A.6 above, "Key Dates" for information.

Award Notification: It is planned that selections for award will be made throughout this FOA open period of June 04, 2019 through June 03, 2020.

2. Content and Format of Applications

Applications submitted under this FOA must seek to address unclassified, basic research. As a corollary, no classified applications shall be submitted. Application submissions will be protected from unauthorized disclosure in accordance with applicable laws and DoD regulations.

IMPORTANT NOTE: Titles given to the Applications should be descriptive of the basic research they cover and should not be merely a copy of the title of this announcement.

a. Application Package

Content and Form of Application:

Prospective applicants invited to submit an application 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 11-inch paper
- Margins – 1 inch
- Spacing – single spaced
- Font – Times New Roman, 12 point
- Page limit – 25.5 pages

Broken out as follows:

Cover Page – 1 page

Table of Contents – 1 page

Technical Approach and Justification – no more than 13 pages

Project Schedule and Milestones – no more than 2 pages

Reports – no more than one-half page

Metrics and Evaluation – no more than 2 pages

Management Approach – no more than 2 pages

Qualifications – no more than 2 pages

Responsibility – no more than 2 pages

EXCLUDED from the Technical Proposal 25.5-page limit are: resumes, curricula vitae, references, letters of support, and current and pending projects.

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 "311 [Simpson, Michael]".

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 research problem and objectives, technical approaches, anticipated outcome of the research, 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 research projects will be posted on the public DTIC website: https://dodgrantawards.dtic.mil/grants

(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 8 – Project Narrative: Describe clearly the research, 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 research in sections as described below:

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

(a) FOA Number: N00014-19-S-F009;

(b) Title of Application;

(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).

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

Technical Approach: The proposal must consist of a clear description of the technical approach being proposed and its solution to grow a capable and trained workforce with the skills to defend against emergent cyber and electronic warfare threats. Broadly, the proposal may address in some combination as is relevant the following discussion points: 1) Discuss scientific and technical merits and its potential to achieve the objectives of the program, including the extent to which the proposed effort would enhance current capabilities; 2) Identify proposed efforts to develop the research capacity of university students, especially those enrolled in ROTC programs; 3) Discuss increased or enhanced opportunities to disseminate information on Naval programs and careers; and 4) Discuss the potential and extent to which the proposed program engages Naval laboratories as active participants in

program execution.

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

Reports: The Applicant must acknowledge that the following reports are required under an ONR funded STEM effort:

- Annual Reports – A template will be provided to each starting grant. A complete annual Research Performance Progress Report is mandated by ONR. This report will occur during the summer months regardless of grant start date.

- Annual Naval STEM Program Data Call Form – A manual and templates will be provided to each starting grant. These forms will include information about the organization and program specifics (overview, metrics, budget information, accomplishments, etc.).

- Final Report – Detail the full programmatic accomplishments summarized from prior reports and a forecast for ongoing program sustainability and contribution to naval education and workforce need as the funding ends. Include, as feasible, examples of educational materials produced, links to digital materials, and other resultant material from the award.

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

Management Approach: Describe the overall management approach and provide rationale for participation of key team members. Describe the planned relationships with any subawardees or collaborators.

Metrics and Evaluation: Discuss the metrics and evaluation plans for this project. Metrics and evaluation components must include but not be limited to:

- Logic models and program operating guidelines.
- Anticipated data collection and results.
- Data instruments as feasible.

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 ROTC leadership or equivalents and supporting commitment to the applicant and his or her project. Commitment may include (but is not limited to) funding, related materials and/or computer investments, technical advisement, and organizational or infrastructure support. The letter(s) can include any and all commitments and investments made by the ROTC leadership or equivalents toward the applicant and the overall statement about the relevance of the project to naval science and technology goals.

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 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.

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

Responsibility: Applicants must provide the following information to ONR in order to assist in ONR's evaluation of the applicant's responsibility:

a. Describe how you have adequate resources or the ability to obtain such research as required to complete the activities proposed;

b. Describe how you have the ability to comply with the grant conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental;

c. Describe your performance history; specifically, your record in managing Federal awards and the extent to which any previously awarded amounts will be expended prior to future awards;

d. Describe your record of integrity and business ethics;

e. Describe qualifications and eligibility to receive an award under applicable laws and regulations; and

f. Describe your organization, experience, accounting, and operational controls and technical skills, or the ability to obtain them (including as appropriate such elements as property control systems, quality assurance measures, and safety programs applicable to the services to be performed).

Facilities & Equipment: Describe facilities available for performing the proposed research 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 research 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.

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 that 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 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.

- 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, 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 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.

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 affect 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/registration.htmlOrganization 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/registration.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 any time 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/registration/add-profile.html

5) *Track Role Status*: To track your role request, refer to: https://www.grants.gov/web/grants/applicants/registration/track-role-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 web forms 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 web forms, 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 for which you are applying.

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 could 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 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.

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. The primary basis for selecting proposals for acceptance will be technical, importance to agency programs, and fund availability. Cost realism and reasonableness will also be considered when selecting proposals. ONR reserves the right to request and require any additional information and documentation after it makes the award instrument determination. ONR reserves the right to remove Applicants from award consideration when the parties fail to reach agreement on award terms, conditions, and cost/price within a reasonable time, or when the Applicants fails to timely provide requested or required additional information.

Applicants' proposals will be evaluated against the following criteria:

1. Overall scientific and technical merits of the proposal and responsiveness to the topic (i.e., the degree of innovation, soundness of technical concept), Applicant's awareness of the state of the art and understanding of the scope of the problem, significance and originality of the technical approach and effort needed to address/solve the problem, and anticipated scientific impact within the field. The following areas will also be considered: (1) the Applicant's capabilities, related experience, facilities, techniques or unique combinations of these which are integral factors for achieving the proposal objectives, (2) the qualifications, capabilities and experience of the proposed Principal Investigator (PI), team leader and key personnel who are critical to achieving the proposal objectives, and (3) the integration of students in the research.

2. Potential Naval relevance and contribution to the ONR and Department of Navy

mission.

3. The availability of funds.

Criteria 1, 2, and 3 are equally important.

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. Options

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

4. Evaluation Panel

Technical and cost proposals submitted under this FOA will be protected from unauthorized disclosure. The cognizant Program Officer and other Government scientific experts will perform the evaluation of technical proposals. Restrictive notices notwithstanding, one or more support contractors may be utilized as subject- matter-expert technical consultants. However, proposal selection and award decisions are solely the responsibility of the Director of Education and Workforce. Each support contractor employee that has access to technical and cost proposals submitted in response to this FOA will be required to sign a nondisclosure statement prior to receipt of any proposal submissions.

5. 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

When contacting the POC below, please include in the subject line of the email, "N00014-19-S-F009."

Questions about **technical** nature and/or **funding** should be submitted to:

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

Questions of a business nature should be submitted to:

Ms. Veronica Lacey
Grants Officer
Office of Naval Research
875 North Randolph Street
Arlington VA 22203-1995
Email: veronica.lacey@navy.mil

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 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/work-with-us/how-to-apply/compliance-protections/research-protections/recombinant-or-synthetic-nucleic-acid-molecules

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's approval is obtained and if security/screening requirements are favorably completed. Additional information and an application may be found at https://www.hpc.mil/
.

9. Project Meetings and Reviews

Individual program reviews between Director of Education and Workforce/ Program Officer Michael Simpson 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 typically be held at the Applicant's research facility. Interim meetings are likely, but these will be accomplished via video telephone conferences, telephone conferences, or via web-based collaboration tools.

10. Individual Participant Approval Required

To ensure that the participants are eligible and aligned with the goals of the program, the

Director of Education and Workforce/ Program Officer Michael Simpson will approve each undergraduate participant. Program participants must be:

- US citizens
- STEM degree seeking undergraduate students
- Targeted primarily toward students enrolled in ROTC programs, but can also include civilian students

In the event that an approved participant drops out and a new participant is identified as a replacement, ONR approval will be required.