



**NPS FOA Announcement #N00244-18-S-NPS-F001**

**FUNDING OPPORTUNITY ANNOUNCEMENT (FOA)  
FOR RESEARCH INITIATIVES AT THE  
NAVAL POSTGRADUATE SCHOOL**

Applications must be submitted no later than  
**31 May 2019 (Friday) at 4:00 PM Pacific Time**

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## I. OVERVIEW OF THE RESEARCH OPPORTUNITY

This publication constitutes a Funding Opportunity Announcement (FOA) for awards 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. Neither the Naval Postgraduate School (NPS) nor the Contracting Office of the Naval Supply Systems Fleet Logistics Center San Diego (NAVSUP FLC SD) will issue paper copies of this announcement. Interested parties are responsible for checking [www.grants.gov](http://www.grants.gov) or <https://my.nps.edu/web/research/funding-opportunities> for possible amendments to this FOA.

The Naval Postgraduate School (NPS) reserves the right to select and fund for award all, some, or none of the proposals received in response to this announcement. NPS provides no funding for direct reimbursement of proposal development costs. Technical and cost proposals (or any other material) submitted in response to this FOA will not be returned. It is the policy of NPS and NAVSUP FLC SD to treat all proposals as sensitive competitive information and to disclose their contents only for the purposes of evaluation. Potential grantees are on notice, however, that the Government may use contractor support personnel, with appropriate non-disclosure agreements on file, to assist in the review of technical submissions.

Awards will take the form of grants and cooperative agreements. 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://my.nps.edu/web/research/funding-opportunities>

and

<https://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-terms-conditions.aspx>.

This FOA is intended for proposals related to basic and applied research, and that part of development not related to the development of a specific system or hardware procurement. This Announcement is not for the acquisition of technical, engineering, and other types of support services.

## A. REQUIRED OVERVIEW CONTENT

1. **Federal Awarding Agency:** Naval Supply Systems Command (NAVSUP),  
Fleet Logistics Center San Diego (FLC SD)
2. **Funding Opportunity Title:** Research Initiatives at the Naval Postgraduate  
School
3. **Announcement Type:** Initial Announcement
4. **Funding Opportunity Number:** N00244-18-S-NPS-F001
5. **Catalog of Federal Domestic Assistance (CFDA) Number:** 12.300  
Title: Basic and Applied Scientific Research

### 6. **Key Dates:**

This announcement will remain **open until 4:00 PM Pacific Time, 31 May 2019** or until replaced by a successor FOA. White papers and full proposals may be submitted at any time during this period. This announcement replaces N00244-16-S-FO01.

Submission of Late Proposals (Applicable to White Papers and Full Proposals):  
The Government will not review proposals submitted after 31 May 2019; or after a successor to this FOA is issued, whichever occurs first.

### 7. **Amendments:**

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

[Grants.gov](http://www.grants.gov) <http://www.grants.gov>

[NPS Broad Agency Announcements \(BAAs\) and Funding Opportunity Announcements \(FOAs\)](https://my.nps.edu/web/research/funding-opportunities) <https://my.nps.edu/web/research/funding-opportunities>

## II. **DETAILED INFORMATION ABOUT THE RESEARCH OPPORTUNITY**

### A. PROGRAM DESCRIPTION

The Naval Postgraduate School (NPS) is interested in receiving proposals for research initiatives that offer potential for advancement and improvement in the NPS core mission of graduate education and research. Readers should note that this is an announcement to declare NPS's solicitation in competitive funding of meritorious research initiatives across a spectrum of science and engineering, business, politics and public/foreign policy, operational and information sciences, and interdisciplinary disciplines that are in line with the NPS's graduate education and research mission.

Additional information on the Naval Postgraduate School's graduate education and research mission is available at:

General Information: <http://www.nps.edu/about>

NPS Strategic Plan: <https://my.nps.edu/web/guest/strategic-plan>

Academic Programs: <http://my.nps.edu/academics>

Research Programs: <https://my.nps.edu/web/research/home>

Prior to preparing white papers or full proposals, potential applicants are strongly encouraged to contact a NPS point of contact (POC) whose program and research efforts best match the Applicant's field of interest. The academic and research programs links above can be used to locate an appropriate POC by exploring the information provided about faculty members in NPS's schools, research institutes, and interdisciplinary centers and research groups.

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

## **B. FEDERAL AWARD INFORMATION**

### **1. Eligibility for Competition**

Proposals for renewal or supplementation of existing projects are eligible to compete with applications for new Federal awards under this FOA.

### **2. Contracted Fundamental Research**

With regard to any restrictions on the conduct or outcome of work funded under this FOA, NPS will follow the guidance on and definition of "contracted fundamental research" as provided in the Under Secretary of Defense (Acquisition, Technology and Logistics) Memorandum of 24 May 2010.

As defined therein the definition of "contracted fundamental research," in a DoD contractual context, includes research performed under grants and contracts that are (a) funded by Research, Development, Test and Evaluation Budget Activity 1 (Basic Research), whether performed by universities or industry; or (b) funded by Budget Activity 2 (Applied Research) and performed on campus at a university. The research shall not be considered fundamental in those rare and exceptional circumstances where the applied research effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the contract or grant.

Pursuant to DoD policy, research performed under grants and contracts that are a) funded by Budget Activity 2 (Applied Research) and NOT performed on-campus at a university or b) funded by Budget Activity 3 (Advanced Technology

Development) does not meet the definition of “contracted fundamental research.” In conformance with the USD (AT&L) guidance and National Security Decision Directive 189, NPS will place no restriction on the conduct or reporting of unclassified “contracted fundamental research,” except as otherwise required by statute, regulation or executive order.

For certain research projects, it may be possible that although the research being performed by the prime contractor is restricted research, a subcontractor may be conducting “contracted fundamental research.” In those cases, it is the prime contractor’s responsibility in the proposal to identify and describe the subcontracted unclassified research and include a statement confirming that the work has been scoped, negotiated, and determined to be fundamental research according to the prime contractor and research performer.

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

Grants and other assistance agreements made under this FOA are for scientific study and experimentation directed toward advancing the state of the art and increasing knowledge or understanding.

### **3. Funded Amount and Period of Performance**

The funded amount and period of performance of each proposal selected for award will vary depending on the research area and the technical approach to be pursued by the applicant selected.

NPS expects projects to be completed within the performance period. Any requests for a no-cost extension must be fully justified and submitted to NAVSUP FLC SD no later than 30 days before the end of the period of performance.

### **4. Instrument Types**

Awards may take the form of grants or cooperative agreements, as appropriate. No contracts will be awarded under this FOA. Before submitting a proposal, applicants should familiarize themselves with these instrument types and the applicable regulations.

The following provides brief descriptions of the possible award instruments:

**Grant** - A legal instrument, consistent with 31 U.S.C. 6304, is used to enter into a relationship where the following hold true:

- The principal purpose is to transfer a thing of value, such as financial assistance, to the recipient to carry out a public purpose of support or stimulation authorized by a law or the United States, rather than to acquire property or provide services for the Federal Government's direct benefit or use.
- Substantial involvement is not expected between the Federal Government and the recipient when carrying out the activities contemplated by the grant.
- No fee or profit is allowed.

Grants are distinguished from contracts in that grants provide financial assistance to recipients to conduct relatively autonomous programs of research. With grants, the award recipients bear primary responsibility for the design, management, direction, and conduct of research and exercise judgment and original thought toward attaining the scientific goals within broad parameters of the research areas proposed and the resources provided. Although grants supported by the DoD must be of general interest to and must in some way have the potential to further DoD mission(s), they must only tangentially relate to those missions. In contrast, a contract would be the appropriate instrument for direct support to meet specific DoD and NPS goals and objectives, or to improve specific defense processes, procedures, systems, or policies.

Grant proposals must also clearly define the public benefit that is anticipated to result from broad dissemination of the research results to scientific and professional communities, the private sector, civil society, non-Federal government, and/or foreign governments.

*Proposals should **not** focus on potential benefits to the DoD, although these should be mentioned briefly in the White Paper's Technical Concept section and the Full Proposal's Statement of Work.*

**Cooperative Agreement** - A legal instrument which is consistent with 31 U.S.C. 6305 and is used to enter into the same kind of relationship as a grant, except that substantial involvement is expected between the Federal Government and the recipient when carrying out the activities contemplated by the cooperative agreement. No fee or profit is allowed. This instrument type does not include "cooperative research and development agreements" as defined in 15 U.S.C. 3710a. (For information on the substantial involvement NPS expects to have in cooperative agreements, prospective applicants should contact the NPS Technical Point of Contact identified in the research area of interest.)

**NAVSUP FLC SD reserves the right to determine which award instrument is appropriate, given the proposed Statement of Work.**

## **5. Assistance Instruments**

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://my.nps.edu/web/research/funding-opportunities> and <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-terms-conditions.aspx>.

## **C. ELIGIBILITY INFORMATION**

### **1. Eligible Applicants**

- a. All responsible sources from U.S. academia, U.S. non-profit research institutions, U.S. laboratories outside of the Federal Government, and accredited foreign universities may submit proposals under this FOA.
- b. University Affiliated Research Centers (UARCs) are eligible to submit proposals under this FOA unless precluded from doing so by their DoD UARC contract.
- c. Federally Funded Research & Development Centers (FFRDCs), including Department of Energy National Laboratories, **are not eligible** to receive awards under this FOA.
- d. Navy laboratories, military universities and warfare centers, as well as other Department of Defense and civilian agency laboratories also **are not eligible** to receive awards under this FOA and should not directly submit either White Papers or Full Proposals in response to this FOA. If any such organization is interested in research described herein, the organization should contact [research@nps.edu](mailto:research@nps.edu) or [baa@nps.edu](mailto:baa@nps.edu).
- e. Individuals and industry **are not eligible** to apply and should not submit a White Paper or Full Proposal in response to this FOA.

### **2. Cost Sharing or Matching**

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

## **D. APPLICATION AND SUBMISSION INFORMATION**

### **1. Address to Request/Access Application Package**

This FOA may be accessed from the websites listed below. Amendments, if any, to this FOA will be posted to these websites when they occur. Interested parties are encouraged to periodically check these websites for updates and amendments.

Grants.gov: <https://www.grants.gov>

NPS website: <https://my.nps.edu/web/research/funding-opportunities>

## 2. Content and Form of Concept Papers/Applications

### a. General Information

Applicants are encouraged to submit a White Paper in advance of a Full Proposal to minimize the labor and other costs associated with the production of detailed full proposals that have little chance of being selected for funding. White Papers and Full Proposals must follow the format described under the proposal preparation sections below.

All proposals should describe how the research will advance knowledge in the field of study, enhance understanding, and have the potential to provide a direct benefit to the public.

A *grant* can only be awarded if the principal purpose of the research effort is to support or stimulate a public purpose and the research is independently conducted.

A *cooperative agreement* can only be awarded if the principal purpose of the research effort is to support or stimulate a public purpose and there is substantial, collaborative involvement with the Government.

White papers and full proposals submitted under this FOA are required to be unclassified. The research proposed is also required to be unclassified. No classified proposals should be submitted.

All proposal submissions will be protected from unauthorized disclosure in accordance with FAR Subpart 15.207, applicable law, and DoD/DoN regulations. Applicants are expected to appropriately mark each page of their submission that contains proprietary information.

**IMPORTANT NOTE:** Titles given to the White Paper and Full Proposal should be descriptive of the activities proposed and not be merely a copy of the title of this FOA.

### b. White Paper Requirements

#### i. White Paper Submission

**DO NOT** submit white papers via Grants.gov. Only submissions made via email to NPS will be considered. The white paper must be sent as an email attachment directly to [baa@nps.edu](mailto:baa@nps.edu) with a copy to the cognizant NPS TPOC. The email's subject line must read,

**“N00244-18-S-NPS-F001, White Paper Submission.”** If the Applicant has not identified an NPS TPOC, send the White Paper to both [research@nps.edu](mailto:research@nps.edu) and [baa@nps.edu](mailto:baa@nps.edu). The White Paper must be a Microsoft Word or Adobe PDF document attachment to the email. White Papers may be submitted at any time during the open period of this FOA. A separate White Paper is required for each research proposal.

ii. **White Paper Format**

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single or double-spaced
- Font – Times New Roman, 12 point
- Number of Pages: No more than five (5) single-sided pages (excluding cover page, abstract, and resumes/curriculum vitae/bios). White papers exceeding the page limit will not be evaluated
- Only Microsoft Word or Adobe PDF file format

iii. **White Paper Content**

**Cover Page** – The Cover Page must be labeled “WHITE PAPER,” and include:

- FOA number: N00244-18-S-NPS-F001
- Proposed project title, descriptive of the topic or question to be researched
- Proposed length of project in months
- Name of Applicant’s administrative point of contact with title, telephone number(s), facsimile number, and Email address listed
- Applicant’s technical point of contact (Principal Investigator) with title, telephone number(s), facsimile number, and email address listed
- Signature and printed name of an authorized officer of the Applicant’s institution

**Project Abstract** – Concise, single-spaced abstract, not to exceed 4,000 characters and spaces, which summarizes the proposed research effort, including the name of the Applicant institution, anticipated public benefit, type of substantial involvement by the Government (if cooperative agreement is proposed), objectives, assessed need, and anticipated impact and results.

**Technical Concept** – This brief project description should include:

- Research objective, including the problem the proposed research will address
- Assessed need and importance
- Summary of key background research to inform the proposed project
- Research design/methodology
- Anticipated results
- Anticipated public benefits beyond the needs of the Departments of Defense or Navy. For example, the results of drone research can be used by the agricultural, marketing, resource management, and public safety sectors of society to provide better goods and services to the public. Please contact the NPS Technical POC (TPOC) if you are unsure what is meant by public benefit or purpose.
- Sample of references from the scientific literature used to inform the study
- Names and titles of all investigators and key personnel, including any doctoral students, if known
- General schedule of activities
- Rough cost estimate (total amount only)

**c. Full Proposal Requirements:**

**i. Full Proposal Submission**

Full proposals must be submitted electronically at <https://www.grants.gov> using the application template package associated with this FOA. Detailed format and content instructions follow. Assume that performance will start no earlier than six (6) months after you are notified your Full Proposal has been recommended for award.

**ii. Full Proposal Format**

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single or double-spaced
- Font – Times New Roman, 12 point
- Number of Pages:

The **Technical Proposal** is limited to no more than 40 single-sided pages, *including* cover page, table of contents, project abstract, statement of work, and indexes, foldouts, photographs, and appendices.

The **Cost Proposal** is limited to no more than 10 pages, *excluding* supporting documentation attached separately as an Adobe PDF on the Grants.gov application website.

**Bios, CVs, and resumes** are attached together as one Adobe PDF document in Grants.gov and does not count toward the total page count of the Technical Proposal. Each bio, CV, or resume should be no more than three (3) pages in length.

iii. **Full Proposal Content**

**TECHNICAL PROPOSAL** – Technical proposal must describe the research in sections as described below:

- **Cover Page**: This should include the words “TECHNICAL PROPOSAL” at the top and the following information:
  - FOA number: N00244-18-S-NPS-F001
  - Descriptive title of the proposed research
  - Identity of prime Applicant institution and complete list of subcontractors or subgrantees, if applicable and known at time of application
  - Technical contact (name, title, address, phone, fax, email address).
  - Administrative/business contact (name, address, title, phone/fax, email address).
  - Proposed duration of effort in the format: “# months from time of award.” Differentiate basic effort and any proposed option periods.
- **Table of Contents**: An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.
- **Project Abstract**: The project abstract must be appropriate for public release and describe the project in terms the public can understand. The project abstract should be a single page that identifies the research problem, summarizes the proposed research effort, describes the anticipated public benefits, and explains the significance of the proposed effort to the advancement of scientific knowledge.

Do not include proprietary or confidential information. The abstract must be marked by the applicant as "Approved for Public Release." Use only characters available on a standard QWERTY keyboard. Spell out all acronyms, Greek letters, other non-English letters and symbols. Graphics are not allowed.

The project abstract should be concise and single-spaced (not to exceed 4,000 characters, including spaces) using standard 8.5" by 11" paper with 1-inch margins (top, bottom, left and right) with a font of Times New Roman, 12 point. To attach a Project Abstract, click "Add Attachment" to the GRANTS.GOV "Project Abstract" mandatory form.

To meet the requirements of Section 8123 of the DoD Appropriations Act, 2015, abstracts of all funded research projects will be posted on the public DTIC website:  
<https://dodgrantawards.dtic.mil/grants>.

- **Statement of Work (SOW)**: A research description clearly detailing the scope and objectives of the effort and the technical approach. The proposed SOW may be incorporated as an attachment to the resultant award instrument. Thus, full proposals must include a severable, stand-alone SOW without any proprietary restrictions or controlled unclassified information.

A major portion of the proposal should consist of a clear description of the proposed technical approach. This discussion should provide the technical foundation and justification for pursuing this particular approach and why one would expect it to enable the research objectives of the proposal. Within the technical approach, include a detailed list of the research tasks and subtasks organized chronologically.

If the SOW is proposing a conference, symposium, workshop, or strategic dialogue as part of the research methodology, the SOW must describe the need for such a gathering and how the meeting results are expected to support the project objective. Conference expenses in federal grants are exempt from U.S. Government conference approval guidance per the OMB Memo May 2012. See page 3, footnote 5 at  
[https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/memoranda/2012/m-12-12\\_0.pdf](https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/memoranda/2012/m-12-12_0.pdf)

**For Statements of Work proposing conferences, symposia or workshops** as a part of its research methodology, the SOW must include the following information:

*Event Rationale:*

- Stated objective(s) of the event, if distinct from project objectives stated in the opening paragraph of the Technical Proposal
- Statement of the need for such a gathering

*Qualifications to Host Event:*

- Listing of up to three recent meetings on a closely related subject carried out by the Applicant, including dates and locations

*Content of Event:*

- Draft agenda with potential topics and potential list of participants (if known)
- Location and probable date(s) of the meeting
- Reason(s) for event location
- Plan for recruitment of and support for speakers and other attendees, which includes participation of groups underrepresented in security studies (e.g., underrepresented minorities, women, and persons with disabilities)

*Event Management:*

- Statement of how the meeting will be conducted, how the results of the meeting will be disseminated, and how the meeting will contribute to the enhancement and improvement of the scientific and/or educational activities
- Estimated total budget for the event

*Measurable Results Expected:*

- Outputs – Examples include progress reports, steering committee or subcommittee meeting agendas or notes, event programs, participant biographies, final rosters, concept paper, and conference papers
- Outcomes – Expected result, effect, or consequence that is anticipated from the event as related to programmatic goals and objectives.

- **Project Schedule and Milestones:** A table summarizing the schedule of research and reporting activities and milestones. Because the date of award is not known at time of application, we recommend a “month 1,” “month 2,” or “quarter 1,” “quarter 2” format, as opposed to naming specific months and dates.
- **Reports:** The following are required reports that are provided under grant-funded research efforts (do **not** include software, prototypes, hardware as deliverables). The reports must be prepared and submitted in accordance with the procedures contained in the award document.
  - Technical and financial progress reports, quarterly

- Presentation materials
- Technical and financial reports, final
- Patent report, final
- Additional reports based upon the research conducted
- Public Purpose: For all types of research, include a concise statement of how the proposed research supports or stimulates a public purpose, rather than providing a specific benefit to DoD/DoN. The public benefits statement is an important part of the evaluation and award process.
- Management Approach: A discussion of the overall approach to the management of this effort, including brief discussions of the total organization; responsibilities of the various personnel; subcontractor or subrecipient relationships to the project and their function (if any); Government research interfaces; and planning, scheduling, and oversight practices.  
  
Identify which personnel and subcontractors/subrecipients (if any) will be involved. Include a description of the facilities that are required for the proposed effort with a description of any Government-furnished equipment (GFE), hardware, software, or information required, by version and/or configuration.
- Applicant Qualifications: A discussion of previous accomplishments and research by the Applicant's institution in this or closely related areas; and a discussion of the qualifications of the proposed Principal Investigator and other key personnel. Brief curricular vitae are to be attached separately in Grants.gov.
- Statement of Research Status: Concise statement that identifies whether the proposed research is a follow-on effort from a prior NPS award, and if so, describes how the proposed project extends or enhances the prior effort. Identify whether applicants have received prior awards through the Naval Postgraduate School, and if so, give the status of all deliverables for those awards.
- Current and Pending Project and Proposal Submissions: Principal Investigators and Key Personnel 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 must provide the following information of any *related* proposal submissions from whatever sources (e.g., NPS, Federal, state, local or foreign government agencies; public or private foundations; and industrial or other commercial organizations). The following information must be provided for proposals already submitted or submitted concurrently to other possible sponsors, including NPS. Concurrent submission of a proposal to other organizations will not prejudice its review by NPS.

Include the following for any funded research projects that take or will take the Principal Investigator's *time* or that of any other Key Personnel, even if they receive no salary support from the project(s).

1. Title of proposal
2. One to two (1–2) sentence summary
3. Source (sponsor) of funding
4. Total award amount
5. Contract and/or grant numbers for current contracts/grants
6. Percentage of total effort devoted to the project; this can be the number of person-months or labor hours per year
7. Identity of prime Applicant and complete list of subcontractors, if applicable
8. Technical Point of Contact (name, address, phone/fax, email address)
9. Administrative/Business Point of Contact (name, address, phone/fax, email address)
10. Period of performance
11. How the project is related to the proposed effort and degree of overlap, if applicable.

### **COST PROPOSAL:**

The cost proposal, which is a narrative explaining and justifying the budget figures in detail, must include all figures, calculations, and supporting documentation for determining cost allowability, allocability, and reasonableness. Justifications for costs must be explicitly stated.

In addition to a narrative, applicants may elect to include as part of their cost proposal a spreadsheet showing calculations, unit price, and number of units in more detail than is possible in the required Standard Form (SF) Research and Related (R&R) Budget Form. However, inclusion of a more detailed spreadsheet is not a substitute for a detailed narrative that explains calculations, justifies inclusion of budget items, and states the basis for the amounts listed. Nor it is a substitute for the required Budget Form found at Grants.gov.

**NOTE: Two budgetary documents other than the cost proposal are required.** First, the applicant must use the Grants.gov budget forms (including the Standard Form (SF) Research and Related (R&R) Budget Form) from the Grants.gov application package template associated with this FOA and located at <http://www.grants.gov/>. Second, a separate Adobe PDF document must be uploaded with the online application materials, providing appropriate verification and/or supporting documentation for each element of cost proposed.

Costs proposed must conform to the following principles and procedures:

- Educational Institutions: 2 CFR 200 - Uniform Guidance, Subpart E
- Non-Profit Organizations: 2 CFR 200 – Uniform Guidance, Subpart E\*

\*For those Non-Profit Organizations specifically exempt from the provisions of Appendix VII to 2 CFR 200, FAR Part 31, and DFARS part 231 shall apply.

The budget cost proposal narrative must provide appropriate justification and supporting documentation for each element of cost proposed as described below:

- **Direct Labor**: Individual labor categories or persons, with associated percent of annual effort and unburdened direct labor rates by annual salary (alternatively, number of total hours and hourly rate may be provided). If proposal period crosses fiscal years, then provide escalation rates for each fiscal year period. Clearly state any escalation rates used in calculations.
- Provide supporting documentation verifying individual labor rates for each known individual; this may include a recent payroll receipt for individuals or a signed statement of salary rate or hourly rate and level of appointment from the Applicant's Sponsored Programs Office or Human Resources Office. For persons yet to identified, provide general tables or schedules by labor category, which labor category will be used, and why that labor category is appropriate.
- **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**: The Cost Proposal narrative must include the rates and calculations of the costs for each labor category/person, the salary amounts to which they are applied, and the sum total for each labor category/person.

If the rates have been approved/negotiated by a Government agency, **provide a copy of the memorandum/agreement**. If the rates applied are composition rates, or 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 according to applicable 2 CFR §200 - Uniform Guidance or FAR/DFARS provisions.

- **Travel:** The proposed travel cost must include the following for *each trip*:
  - The purpose of the trip
  - Origin and destination, if known (origin is typically known; if destination is unknown, state basis for estimating travel costs)
  - Estimated duration
  - Number of travelers
  - Estimated cost per trip

The costs 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 principles.

Explain why travel is a necessary and/or cost-effective component of the technical approach/methodology, as well as why the travel destination was chosen, if known. Provide a copy of applicant institution's travel policy. Provide documentation for proposed airfare costs (such as internet quotes from a travel website).

If hosting a workshop or other type of meeting for which participant travel costs are requested in the budget, outline those costs here, including best estimates for origin and destination, approximate duration, number of travelers, and estimated cost per trip. If available, include a tentative agenda and roster of participants by organizational affiliation. If not available, state how many participants are anticipated from the U.S. Government and how many from outside the U.S. Government.

**Funds provided cannot be used for payment to any Federal Government employee for support, subsistence, or services in connection with participation at a meeting sponsored through this award.**

- **Subawards:** Subawards (typically a grant or cooperative agreement from the prime Applicant to another institution but may include a subcontract) should be utilized only when the Applicant deems them necessary for achieving the project objectives. Provide a description of the work to be performed by the subrecipient institution. For each subaward, a detailed cost proposal is required by the subrecipient and must be included in the proposal by the prime Applicant.

Alternatively, the proposed subawardee's or subrecipient's cost proposal can be provided via email directly to the NPS General POC at [baa@nps.edu](mailto:baa@nps.edu) at the same time the prime proposal is submitted. The email must identify the proposal title, the prime Applicant, and that the attached proposal is either a sub-contract or a sub-agreement. This proposal and supporting documentation must be received and reviewed before the Government can complete its cost analysis of the prime Applicant's proposal and enter into negotiations.

Provide specific information as follows:

- Description of the work to be performed
  - If known, the identification of the proposed sub-awardee and an explanation of why and how the sub-awardee was selected or will be selected
  - The identification of the type of award to be used (grant, contract, cost reimbursement, fixed price, etc.)
  - Whether or not the award will be competitive and, if noncompetitive, rationale to justify the absence of competition
  - A detailed cost summary
- **Consultants:** Applicants normally are expected to utilize the services of their own staff to the maximum extent possible in managing and performing the project's effort. If the need for consultant services is anticipated, the nature of the proposed consultant services must be justified and included in the Technical Proposal.

The Cost Proposal must include the name of the consultant(s), primary organizational affiliation, each individual's expertise, and a breakdown of the consultant's hours, the hourly rate proposed, and any other proposed consultant costs, such as estimated travel costs and per diem rates. Provide 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 consultant services are anticipated but not under contract, provide expertise required, estimate of consultant's total hours, hourly rate proposed, and any other anticipated costs, such as estimated travel costs and per diem rates. Provide documentation

(i.e., past invoice) of similar work conducted by someone with similar expertise or level of experience.

- **Materials & Supplies:** Provide an itemized list of proposed materials and supplies including quantities, unit prices, proposed vendors (if known), and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). Include supporting documentation for the estimates. Provide a copy of your organization's purchasing policy/processes.
- **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 as well as the basis for them and supporting documentation for the estimate (e.g., quotes, prior purchases, catalog price lists).

Allowable items normally would be limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, office equipment and furnishings, etc.) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.

- **Other Direct Costs:** Provide an itemized list of all other proposed direct costs such as graduate assistant tuition, laboratory fees, report and publication costs, and the basis for the estimate (e.g., tuition schedules, quotes, prior purchases, catalog price lists). In addition to stating the basis for the cost estimates, include supporting documentation where possible.

If the technical approach includes a hosted conference, workshop, dialogue, or other type of meeting, include the estimated costs of the meeting venue. Describe how the venue will be selected, by what criteria, and what will be requested in the conference package. To support cost estimates, include past venue invoices or initial quotes from likely venues. In rare instances, meals may be provided to participants and funded with grant funds if they are essential to the workshop goals and objectives; however, and to repeat, the payment of meals as part of a workshop should be the exception, not the rule. To use federal grant money, the applicant must justify the expenditure as a research necessity and the meals or refreshments must be part of a working session.

If honoraria will be offered to workshop participants, provide the unit cost and expected number of honoraria. State the basis for the cost estimate, such as experience hosting similar events with similar caliber of presenters in the past, or honoraria received by the Principal Investigator for a similar research presentation.

***Government participants may not receive honoraria.***

- **Indirect Costs (i.e., F&A, Overhead, G&A, etc.):** Describe the rates and calculation of the costs for each rate category, listing the base on which the rate is applied. If the rates have been approved/negotiated by a Government agency, **provide a copy of the memorandum/ agreement.**

IAW 2 CFR 200.414(f), any non-Federal entity that has never received a negotiated indirect cost rate, except for those non-Federal entities described in Appendix VII to 2 CFR 200, may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely.

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 according to applicable OMB Circulars or FAR/DFARS provisions.

Applicant's disclosure should be sufficient to permit a full understanding of the rate's content and how it was established. At a minimum, the submission should identify:

- All individual cost elements included in the forecast rate(s)
- Bases used to prorate indirect expenses to cost pools, if any
- How the rate(s) was calculated
- Distribution basis of the developed rate(s)
- Bases on which the overhead rate is calculated, such as "salaries and wages" or "total costs"
- The period of the Applicant's fiscal year.

Additional information may be requested, if needed. If composite rates are used, provide the calculations used in deriving the composite rates.

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

**NOTE:** Failure to adequately provide detailed cost data may result in your application subsequently being rejected. All Applicants are required to submit a thoroughly detailed cost breakdown. The FLC San Diego Grant Officer must be able to determine that all proposed costs are allocable, allowable and reasonable. A detailed budget and budget narrative will facilitate this cost analysis.

### **CONTENT OF BIOGRAPHICAL INFORMATION / CURRICULUM VITAE –**

The following documents are to be combined into one (1) PDF file and uploaded at the place indicated on Grants.gov.

Biographical information or a curriculum vita for each key participant should address the following in three (3) pages or less per person:

- List of current and most relevant past professional experience
- List of advanced degrees earned, including degree type, discipline, or department, institution, and title of thesis or dissertation
- List of publications, professional activities, patents, honors, awards, and other accomplishments
- Information describing any research specifically related to the proposed project and relevant experience of investigator(s)
- Description of involvement in other research projects currently undertaken by the applicant, whether or not acting as a principal investigator.

### **3. Unique Entity Identifier and System for Award Management (SAM)**

Unique Entity Identifier and 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
- c. Provide its DUNS number in each application or proposal it submits to the agency.

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

#### **4. Submission Dates and Times**

This announcement will remain open until 4:00 PM Pacific Time, 31 May 2019.

Late proposals will not be accepted.

White Papers and Full Proposals may be submitted at any time during the period.

#### **5. Intergovernmental Review**

Not applicable.

#### **6. Funding Restrictions**

Award selection notification from NPS shall not be regarded as an authorization to begin performance or commit/expend funds. The Government is not obligated to provide any funding until a Government Grant Officer from NAVSUP FLC San Diego signs the respective award document. Costs incurred in advance of awarded grants and cooperative agreements are solely the responsibility of the prospective grantee.

#### **7. Other Submission Requirements**

##### **a. How to Register to Apply through Grants.gov**

All Grant and Cooperative Agreement full proposals must be submitted through Grants.gov using the application package template associated with this FOA. Additional documents and attachments described above should be generated and then uploaded and attached where indicated on the grants.gov website.

##### **b. Registration Requirements for Grants.gov**

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.

There are several one-time actions you must complete in order to submit an application through Grants.gov. These include:

- i. *Obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) Number:*

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>

- ii. *Registering with the System of Award Management (SAM):*  
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>

- iii. *Create a Grants.gov Username and Password:*

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>

- iv. *EBiz POC Authorizes Grants.gov Roles:*

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>

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

- vi. *Set Up 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.***

## **8. Grants.gov Full Proposal Submission:**

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

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 how to apply 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>

1. **Create a Workspace:** Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
2. **Complete a Workspace:** Add participants to the workspace, complete all the required forms, and check for errors before submission.

- i. *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 [INSERT AGENCY NAME] 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>

- ii. *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.
- iii. *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.

3. **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.
4. **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](mailto:support@grants.gov). (Foreign applicants should contact 1-606-545-5035.) 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 FLC San Diego and NPS with tracking your issue and understanding background information on the issue.

**Mandatory Forms:** All Applicants must complete and submit the seven mandatory forms listed below and any applicable optional forms, e.g., SF-LLL Disclosure of Lobbying Activities, in accordance with the instructions on the forms and the additional instructions provided in this FOA (forms are included in the application package available on Grants.gov posted with this FOA):

1. SF-424 R&R, Application for Federal Assistance
2. R&R Budget
3. Budget Narrative
4. SF-424B, Assurances – Non-construction Programs
5. R&R Other Project Information
6. R&R Senior/Key Personnel
7. Project Abstract (Abstract must be marked as publically releasable and abstract must use terms the public can understand.)

**Additional Form Requirements for U.S. Applicants:**

1. A-133 Single Audit Reporting Statement (applicable for \$750,000 or more during the non-Federal entity's fiscal year in Federal awards)
2. SF-LLL Form, when applicable
3. Evidence of non-profit status: If a non-profit organization, a copy of Section 501(c)(3) or (4) status determination letter received from the Internal Revenue Service

All attachments to grant applications submitted through Grants.gov must be in Adobe PDF unless otherwise specified in this announcement.

Proprietary information may be included on submitted forms, supporting documentation, and the Cost Proposal. All such information should be denoted with asterisks (\*\*\*) at the

beginning and end of the proprietary information; alternatively, a page with considerable proprietary information can display the statement “Proprietary Information” in its header or footer.

Statements of Work within the Technical Proposal should **NOT** include proprietary information or other restricted or protected information.

All applications must be self-contained within specified page limitations. Internet website addresses (URLs), with the exception of cost-proposal supporting documentation of Applicant policies and procedures, may not be used to provide information necessary for the review, because reviewers are under no obligation to view the Internet sites.

## **E. APPLICATION REVIEW INFORMATION**

### **1. Evaluation Criteria**

Award decisions will be based on a competitive selection of proposals resulting from a scientific (technical) and cost review. Evaluations will be conducted using the following evaluation criteria:

- a. Overall scientific and technical merits of the proposal, including:
  - i. Quality, rigor, and technical merits of the proposed effort
  - ii. Feasibility and appropriateness of research design and methodology
  - iii. Potential impact of research results
  - iv. Academic publication potential of research results
- b. Potential expansion of knowledge about issues, technologies, and phenomena related to national security
- c. Anticipated benefits of new knowledge to the general public
- d. Potential relevance to U.S. national security, the U.S. Navy, and NPS research mission
- e. The applicant’s institution’s capabilities, related experience, facilities, techniques or unique combinations of these, which are integral factors for achieving the proposed objectives
- f. The qualifications, capabilities and experience of the proposed principal investigator, team leader, and/or other key personnel who are critical to achievement of the proposed objectives and must commit time and attention to ensure success of the project.
- g. Accuracy, allowability, allocability, and reasonableness of the cost proposal.
- h. Availability of funds.

Awards under this FOA will be made in accordance with FAR 35.016(e) or 2 C.F.R 200. The primary basis for selecting proposals for acceptance will be technical merit, importance to agency programs, and fund availability. To the extent appropriate, cost realism and reasonableness will also be considered when selecting proposals. NPS and NAVSUP FLC SD reserves the right to request and require any additional information and documentation after it makes the type of award instrument determination. NPS and NAVSUP FLC SD 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 Applicant fails to timely provide requested or required additional information.

## **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. NPS'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 NPS's scientific/technical community. Recommended proposals will then be forwarded to the NAVSUP FLC San Diego Contract and Grant Awards office. Any notification received from NPS that indicates that the Applicants's full proposal has been recommended does not ultimately guarantee an award will be made. This notice indicates that the proposal has been selected in accordance with the evaluation criteria stated above and has been sent to the Contracting 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 commencing negotiations with the applicant.

## **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 in accordance with FAR 3.104-4 and 15.207. The cognizant Principal Investigator and/or other scientific experts drawn from Government, industry, or academe will perform the evaluation of technical proposals. Government business professional will evaluate cost proposals. Restrictive notices notwithstanding, one or more support contractors may be utilized as subject- matter-expert technical

consultants. Similarly, support contractors may also be utilized to evaluate cost proposals. However, proposal selection and award decisions are solely the responsibility of Government personnel. Each support contractor's employee having access to technical and cost proposals submitted in response to this FOA will be required to sign a non-disclosure agreement (NDA) for Contractor Support prior to receipt of any proposal submissions.

## 5. Recipient Qualifications

- a. The Grants Officer is responsible for determining a recipient's qualification prior to award. In general, a Grants Officer will award grants or cooperative agreements only to qualified recipients that meet the standards at 32 CFR 22.415. To be qualified, a potential recipient must:
  - i. Have the management capability and adequate financial and technical resources, given those that would be made available through the grant or cooperative agreement, to execute the program of activities envisioned under the grant or cooperative agreement
  - ii. Have a satisfactory record of executing such programs or activities (if a prior recipient of an award)
  - iii. Have a satisfactory record of integrity and business ethics, and
  - iv. Be otherwise qualified and eligible to receive a grant or cooperative agreement under applicable laws and regulations.

Applicants are requested to provide information with proposal submissions to assist the Grants Officer's evaluation of recipient qualification.

- b. 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 and cooperative agreements as described below.

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):

- i. 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);
- ii. 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; and
- iii. 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. Federal Award Notices**

Applicants whose proposals are recommended for award may be contacted by a Contract or Grant Specialist to discuss additional information required for award processing. This may include representations and certifications, revised budgets or budget explanations, certificate of current cost or pricing data, and/or other information as applicable to the proposed award. The anticipated start date will be determined at that time.

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.

Costs incurred in advance of the awarded grants and cooperative agreements are solely the responsibility of the prospective award recipient.

### **2. Administrative and National Policy Requirements**

- a. Any award issued as a result of this announcement is subject to the following administrative, cost, and national policy requirements contained therein.
  - 2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirement for Federal Awards (Uniform Guidance) as modified and supplemented by the Department of Defense's (DOD) interim implementation found at 2 CFR part 1103, "Interim Grants and Cooperative Agreements Implementation of Guidance in 2 CFR part 200" (79 FR 76047, December 2014).

Link to 2 CFR 200: [http://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

Link to 2 CFR part 1103: <http://www.ecfr.gov/cgi-bin/text-idx?SID=6b9a1e28b684113253f576ed5b0a3f64&mc=true&node=pt2.1.1103&rgn=div5>

Provisions of Chapter I, Subchapter C of Title 32, CFR, "DoD Grant and Agreement Regulations," other than parts 32 and 33 continue to be in effect and are incorporated herein by reference, with applicability as stated in those provisions.

Federal Acquisition Regulation (FAR) Part 31.2, Contracts with Commercial Organizations. <http://farsite.hill.af.mil/reghtml/regs/far2afmcfars/fardfars/far/31.htm>

**NOTE:** Special requirements may apply to particular Federal awards after the review of applications and other information, based on the particular circumstances of the effort to be support (e.g., if human subjects were to be involved or if some situations may justify special terms on intellectual property, data sharing or security requirements).

- b. Applicants should be aware of recent changes in export control laws. Applicants are responsible for ensuring compliance with all U.S. export control laws and regulations, including the International Traffic in Arms Regulation (ITAR)( 22 CFR Parts 120 - 130) and Export Administration Regulation (EAR) (15 CFR Parts 730 – 774), as applicable. In some cases, developmental items funded by the Department of Defense are now included on the United States Munition List (USML) (22 CFR Part 121) and are therefore subject to ITAR jurisdiction. In other cases, items that were previously included on the USML have been moved to the EAR Commerce Control List (CCL). Applicant should address in their proposals whether ITAR or EAR restrictions apply to the work they are proposing to perform for ONR. The ITAR and EAR are available online at <http://www.ecfr.gov/cgi-bin/ECFR?page=browse>. Additional information regarding the President's Export Control Reform Initiative can be found at <http://export.gov/ecr/index.asp>.
- c. Applicant must comply with all U.S. export control laws and regulations, including the ITAR and EAR, in the performance of any award or agreement resulting from this FOA. Applicants shall be responsible for obtaining any required licenses or other approvals, or license exemptions or exceptions if applicable, for exports of hardware, technical data, and software (including deemed exports), or for the provision of technical assistance.

### **3. Security Classification**

The Statement of Work in the Technical Proposal must be unclassified and must not contain Controlled Unclassified Information (CUI).

NPS encourages open scientific and engineering communication. NPS expects significant findings and other products from research it supports to be published or otherwise make publicly available, with authorship that accurately reflects the contributions of those involved. An unclassified final technical report is required in order that the general public may benefit from the research findings.

**The Government does NOT provide access to classified material or secured facilities under grants and cooperative agreements.**

#### **4. Requirements Concerning Live Organisms**

a. 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 Institutional Animal Care and Use Committee (IACUC) Approval, IACUC Approved Protocol, and most recent United States Department of Agriculture (USDA) Inspection Report) prior to award. For assistance with submission of animal research related documentation, contact NPS Grants Management Specialist at [baa@nps.edu](mailto:baa@nps.edu) or ONR's guidance at <https://www.onr.navy.mil/About-ONR/compliance-protections/Research-Protections/animal-use>

b. Use of Human Subjects in Research:

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 3900.39E (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.

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:

- i. 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 Federal-wide Assurance (FWA#)
- ii. 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.

- iii. 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.
- iv. Documentation must be submitted to the NPS Human Research Protection Official (HRPO), by way of the NPS Grants Management Specialist at [baa@nps.edu](mailto:baa@nps.edu). 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 NPS Human Research Protection Official (HRPO) at (831) 656-2998 or [IRB@nps.edu](mailto:IRB@nps.edu).
- v. Grant and cooperative agreement awards and any subawards, subcontracts or modifications will include a statement indicating successful completion of the HRPO review. Research involving human subjects must not be commenced under any award or modification or any subcontract or subaward or modification until awardee receives notification from the NAVSUP FLC SD 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.
- vi. Awardees must promptly notify the NPS HRPO (at [IRB@nps.edu](mailto:IRB@nps.edu)) of the following: when significant changes to the research protocol are approved by the IRB, the results of the IRB continuing review, if the IRB used to review and approve the research changes to a different IRB, when the institution is notified by any Federal department or agency or national organization that any part of its Human Research Protection Program (HRPP) is under investigation for cause involving a DoD-supported research protocol, and all Unanticipated Problems Involving Risks to Subjects or Others (UPIRTSO), suspensions, terminations, and serious or continuing noncompliance regarding DoD-supported research involving human subjects.

## 5. **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 and expanded by the Digital Accountability and Transparency Act of 2014 (Public Law 113-101), 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 (either grants, cooperative agreements or TIAs) 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. Please refer to 2 CFR Part 170, including Appendix A, for a detailed explanation of the requirements, exceptions, and exemptions.

## **6. Certifications 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.

**7. Representation Regarding an Unpaid/Delinquent Tax Liability or a Felony Conviction Under Any Federal Law – DoD Appropriations**

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

- 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 should provide information about its tax liability or conviction to the agency's SDO as soon as it can do so, to facilitate completion of the required consideration before award decisions are made.

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

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

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

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

- a. 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)
- b. 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)
- c. 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).
- d. 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.

## **9. Code of Conduct**

Applicants for assistance 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.

## **10. Conflicts of Interest**

### **a. Organizational Conflicts of Interest**

All Applicants, principal investigators, and proposed subcontractors shall affirm whether they are providing scientific, engineering, and technical assistance (SETA) or similar support to any Naval Postgraduate School (NPS) school/office, or to the underlying sponsor of this research through an active contract or subcontract. All affirmations shall state which office(s) the Applicant supports and identify the prime contract numbers. Affirmations shall be furnished at the time of proposal submission. All facts relevant to the existence or potential existence of organizational conflicts of interest (FAR 9.5) shall be disclosed. The disclosure shall include a description of the action the Applicant has taken or proposes to take to avoid, neutralize, or mitigate such conflict. In accordance with FAR 9.503 and without prior approval, a contractor cannot simultaneously be a SETA and a research and development performer. Proposals that fail to fully disclose

potential conflicts of interests shall be rejected without technical evaluation and withdrawn from further consideration for award.

**b. Post-Employment Conflict of Interest**

There are criminal laws and standards of conduct regulations that may apply to current or former Government employers/military officers who draft or assist in the drafting of grant proposals, or are named as principal investigators/alternates in grant proposals. See 18 United States Code (U.S.C. 203 - 207). These restrictions may apply to reservists on active duty, or to employees who served on a Federal Advisory Board/Council within the last 365 days, i.e. Special Government Employees. Accordingly, Applicants submitting grant proposals are required to identify any potential post employment or current conflict of interest to the Grants Officer if a Government employee or former Government employee (broadly defined above to include military members, Special Government employees or reservists) participated in proposal drafting and/or is named as a principal investigator or alternate principal investigator.

If a prospective Applicant believes a conflict of interest exists or may exist (whether organizational or otherwise) or has questions on what constitutes a conflict interest, the proposer shall send his/her contact information and summary of the potential conflict to [baa@nps.edu](mailto:baa@nps.edu) **before** time and effort are expended in preparing a proposal and mitigation plan.

Be advised that the Grants Officer reserves the right in his/her discretion to withhold award if he/she determines after consultation with the Applicant and Navy Legal Counsel that there is a conflict of interest or standards-of-conduct violation, whether organizational or otherwise.

**11. Military Recruiting on Campus**

Military Recruiting on Campus (DODGARS Part 22.520) applies to domestic U. S. colleges and universities. Appropriate language from 32 CFR 22.520, Campus Access for Military Recruiting and Reserve Officer Training Corps (ROTC), will be incorporated in all university grant awards.

**12. Reporting Executive Compensation and First-Tier Subcontract Awards**

The FAR clause 52.204-10, "Reporting Executive Compensation and First-Tier Subcontract Awards," will be used in all procurement contracts valued at \$25,000 or more. **A similar award term will be used in all grants and cooperative agreements.**

**13. Acknowledgement of Naval Postgraduate School (NPS) Support**

NPS's full or partial support shall be acknowledged in journal articles, books, oral and poster presentations, news releases, interviews with reporters and other communications. Any documents developed under an award agreement

resulting from this FOA that are intended for distribution to the public or inclusion in a scientific, technical, or other journal shall include the following statement:

This publication was developed under research supported by the Naval Postgraduate School No.[insert award number] awarded by the NAVSUP Fleet Logistics Center San Diego (NAVSUP FLC San Diego). It has not been formally reviewed by NPS. The views and conclusions contained in this document are those of the authors and should not be interpreted as necessarily representing the official policies, either expressed or implied, of the NAVSUP FLC San Diego or NPS. The NAVSUP FLC San Diego and NPS do not endorse any products or commercial services mentioned in this publication.

**14. Intellectual Property** (applies to cooperative agreements)

Applicant responding to this FOA shall submit a separate list of all technical data or computer software that will be furnished to the Government with other than unlimited rights. The Government will assume unlimited rights if Applicants fail to identify any intellectual property restrictions in their proposals. Include in this section all proprietary claims to results, prototypes, and/or deliverables. If no restrictions are intended, then the Applicant must state "NONE."

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

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

**16. Updates of Information Regarding Responsibility Matters**

FAR clause 52.209-9, Updates of Publicly Available Information Regarding Responsibility Matter, will be included in all contracts valued at \$500,000 or more where the contractor has currently active Federal contracts and grants with a total value greater than \$10 million.

**17. 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 CFR Part 200 Appendix XII), is applicable as follows:

a. **Reporting of Matters Related to Recipient Integrity and Performance:** 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 41 U.S.C. 2313. All information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

b. **Proceedings About Which You Must Report.** Submit the information required about each proceeding that:

- i. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;
- ii. Reached its final disposition during the most recent five-year period;  
and
- iii. Is one of the following:
  - a) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;
  - b) 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;
  - c) 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
  - d) Any other criminal, civil, or administrative proceeding if:
    - (i) It could have led to an outcome described in paragraph 2.c. (1), (2), or (3) of this award term and condition;
    - (ii) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and

(iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

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

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

e. **Definitions.** For purposes of this award term and condition:

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

## **G. FEDERAL AWARDING AGENCY CONTACTS**

Any questions regarding this announcement must be provided to the points of contact listed below. All questions must be submitted in writing by email. The specific points of contact for this announcement are listed below:

Questions of a technical nature should be submitted to the NPS faculty POC whose program and research interests best match the Applicant's field of interest.  
(See section II.A. Program Description above.)

Questions of a **general nature** can be directed to:

Ms. Teri Jay  
Grant Management Specialist  
Research and Sponsored Programs Office  
Office of the Dean of Research  
Naval Postgraduate School  
Email: [baa@nps.edu](mailto:baa@nps.edu) or [research@nps.edu](mailto:research@nps.edu)

Questions of a **business nature** must be directed to:

Ms. Janet Norton  
Contract and Grant Officer  
NAVSUP Fleet Logistics Center San Diego  
Email: [janet.norton@navy.mil](mailto:janet.norton@navy.mil)

or

Ms. Teri Jay  
Grant Management Specialist  
Research and Sponsored Programs Office  
Office of the Dean of Research  
Naval Postgraduate School  
Email: [baa@nps.edu](mailto:baa@nps.edu)

Questions or assistance needed **regarding Grants.gov's registration** process, system requirements, or submittal process must be directed to:

Grants.gov  
Phone: 1-800-518-4726  
Email: [support@grants.gov](mailto:support@grants.gov)

**\*\* Important Notice Regarding Questions of a Business Nature\*\*  
All questions must be submitted in writing by electronic mail.**

## H. OTHER INFORMATION

### **Full Proposal Package:**

The following documents with attachments comprise a complete Full Proposal package:

- (1) Grants.gov required forms (7)
- (2) Technical Proposal (.pdf)
- (3) Cost Proposal Narrative (.pdf)
- (4) Cost Proposal Supporting Documentation (.pdf)
- (5) Cost Proposal Spreadsheet (Excel) (optional)
- (6) R&R Subaward Budget Attachment (s) Form (if applicable)
- (7) Technical Proposal for Subaward (if applicable)
- (8) Cost Proposal Narrative for Subaward (if applicable)
- (9) Cost Proposal Supporting Documentation for Subaward (if applicable)
- (10) Organizational Conflict of Interest Statement
- (11) Representation Regarding an Unpaid Delinquent Tax Liability or Felony Conviction Under any Federal Law – DoD Appropriations
- (12) A-133 Single Audit Reporting Statement (applicable for expends \$750,000 or more during the non-Federal entity's fiscal year in Federal awards)
- (13) SF-LLL Form (if applicable)
- (14) Evidence of Nonprofit Status (if applicable)
- (15) IACUC Documentation (if applicable)
- (16) IRB Documentation (if applicable)

**NOTE:** Failure to provide any of the above required documentation can result in rejection of application package without further review.