

UNDERSTANDING

Funding Opportunity Announcements



Office of Contracts and Grants
UNIVERSITY OF COLORADO **BOULDER**

Be Boulder.

Presenter Introductions



Proposal
Development

OFFICE OF

Contracts & Grants

Throughout the lifecycle of an award, the Office of Contracts and Grants (OCG) partners with faculty, staff and students to obtain and manage external support for sponsored activities through our specialized regulatory and organizational expertise.

About Us

Allison Fischer

SENIOR PROPOSAL ANALYST
OFFICE OF CONTRACTS AND GRANTS



Travis Klempan

PROPOSAL ANALYST
OFFICE OF CONTRACTS AND GRANTS



Overview

SIGNIFICANCE

UNPACKING FUNDING OPPORTUNITIES

RECOGNIZING DEVIATIONS

CASE STUDY: ANALYZING DARPA FOA

CLOSING REMINDERS

A dark, misty forest of evergreen trees, likely a coniferous forest, with a dense canopy and a hazy atmosphere. The trees are silhouetted against a lighter, misty background, creating a somber and mysterious mood.

Avoid Proposal Nightmares

BASED ON TRUE STORIES

Significance



Funding Opportunity Announcement

**Outlines
Sponsor
Expectations
for Proposals**

Funding Opportunity by Any Other Name

Solicited

Sponsor is expecting proposal submissions and has allocated funding to support activities

Unsolicited

Proposal is submitted in the hopes that the sponsor will consider it for award

Funding Opportunity Announcement (FOA)

Request for Applications (RFA)

Request for Proposal (RFP)

Request for Quote (RFQ)

Broad Agency Announcement (BAA)

Program Announcement (PA)

Program Description (PD)

Notice of Funding Opportunity (NOFO)

Key Components of a Solicitation

1

Deadline

2

Eligibility Requirements

3

Program Description

4

Award & Budgetary Information

5

Proposal Preparation & Submission Instructions

EXPLORE SPONSOR
SPECIFIC EXAMPLES

[NSF Solicitation](#)

[NIH Solicitation](#)

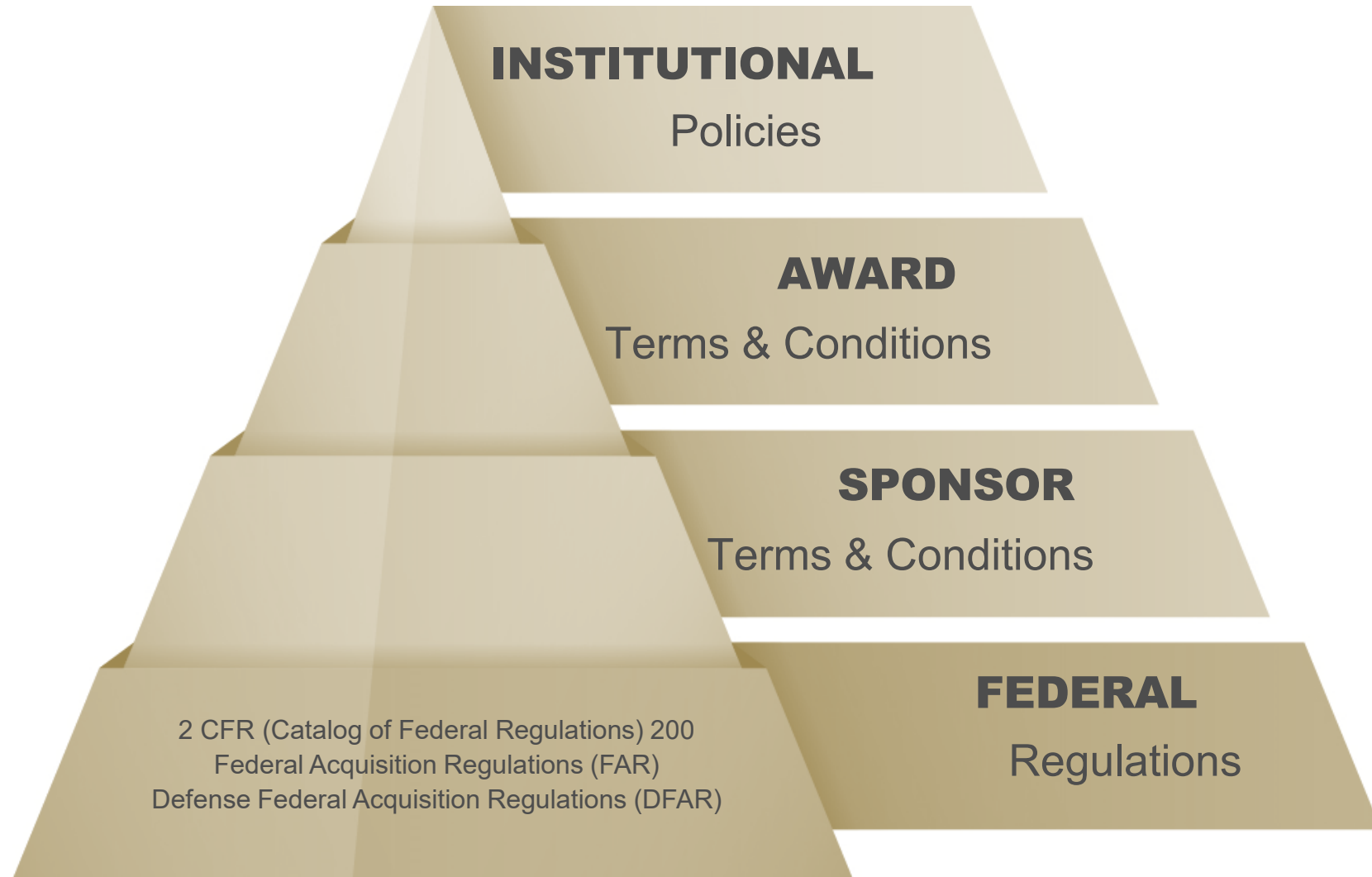
[NASA Solicitation](#)

DOE Solicitation



UNPACKING FUNDING OPPORTUNITIES

Order of Precedence



Interpreting Sponsor Preferences

Required
Should
Encouraged
Recommended

UNPACKING FUNDING OPPORTUNITIES

Budget Guidelines

Formatting &
Breakouts

Cost Share
Requirements

Required
Categories &
Line Items

Caps &
Limitations

Project
Periods

COMPOSING

Compliant Budgets



Quizlet

Activity

Open your web browser on your phone or laptop

**Join the game at
www.kahoot.it**

Type in the game PIN



Kahoot!

RECOGNIZING DEVIATIONS

Standard Components of a Proposal



Technical



Cost

Statement of Work (SOW)

Abstract / Summary

Project Description

Resources & Facilities

Current & Pending

Biosketches / CVs

Bibliography / References

Budget

Budget Justification

Subcontract Budget Docs

Examples of Non-Standard Proposal Documents

Letters of Collaboration/Support

Data Management Plan*

Intellectual Property Agreement

Sponsor Formatted Budget

Risk Analysis & Mitigation Plan

Reps, Certs & Assurances

Different Breeds of Solicitations: Program Descriptions (PD)

Division of Electrical, Communications and Cyber Systems

Electronics, Photonics and Magnetic Devices (EPMD)

CONTACTS

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PROGRAM GUIDELINES

Apply to PD 18-1517 as follows:

For full proposals submitted via FastLane: standard *NSF Proposal & Award Policies & Procedures Guide* proposal preparation guidelines apply.

For full proposals submitted via Grants.gov: the *NSF Grants.gov Application Guide: A Guide for the Preparation and Submission of NSF Applications via Grants.gov Guidelines* applies. (Note: The *NSF Grants.gov Application Guide* is available on the Grants.gov website and on the NSF website at: http://www.nsf.gov/publications/pub_summ.jsp?ods_key=grantsgovguide)

! Important Information for Proposers

A revised version of the *NSF Proposal & Award Policies & Procedures Guide (PAPPG)* (NSF 20-1), is effective for proposals submitted, or due, on or after June 1, 2020. Please be advised that, depending on the specified due date, the guidelines contained in NSF 20-1 may apply to proposals submitted in response to this funding opportunity.

DUE DATES

Full Proposal Accepted Anytime

Different Breeds of Solicitations: Major Research Instrumentation (MRIs)

Major Research Instrumentation Program: (MRI) Instrument Acquisition or Development

PROGRAM SOLICITATION

NSF 18-513

Limit on Number of Proposals per Organization:

REPLACES DOCUMENT
NSF 15-504

Three (3) as described below. Potential PIs are advised to contact their institutional office of research regarding processes used to select proposals for submission.



National Science
Office of Integrative
Directorate for Biological
Directorate for Chemical
Directorate for Education

The MRI program requires proposals to be included as a significant part of a competitive solicitation, each peer-reviewed as defined below, with a maximum of one proposal per organization. Any MRI proposal must be submitted within their submission period for development projects.

Any MRI proposal must be submitted within their submission period for development projects.

- Track 1: Track 1 proposals are for projects with a maximum project cost of \$100,000¹ and a maximum project duration of 5 years.
- Track 2: Track 2 proposals are for projects with a maximum project cost of \$1,000,000 up to \$5,000,000 and a maximum project duration of 10 years.

The total project cost should be clearly stated in the budget justification (which must not exceed five pages) and **must be itemized in table form using the following template** that, as appropriate, assigns funding to the request from NSF or (when necessary) the organization's cost-sharing. Use the appropriate number of entries and years. If cost sharing is not required, enter zeroes in the cost-sharing columns. **Proposals that do not include such a table in the budget justification are subject to return without review.**

	ITEM NAME	YEAR 1		YEAR 2		YEAR 3		YEAR 4		YEAR 5		TOTAL	
		NSF Request	Cost Sharing	NSF Request	Cost Sharing	NSF Request	Cost Sharing	NSF Request	Cost Sharing	NSF Request	Cost Sharing	NSF Request	Cost Sharing
1	...	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2	...	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
3	...	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
4	...	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
5	...	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
6	...	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
7	...	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
8	...	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
9	...	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
10	...	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	TOTAL	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

The Total Project Cost (TPC) is the sum of the last two cells in the last two columns of the last row.

[NSF Major Research Instrumentation Program \(MRIs\)](#)



UNPACKING FUNDING OPPORTUNITIES

Case Study: DARPA FOA

Activity

Take a few minutes to review the printed DARPA solicitation on the table.



What are your initial thoughts?

Introduction and Formatting Requirements

IV. Application and Submission Information

PROPOSERS ARE CAUTIONED THAT EVALUATION RATINGS MAY BE LOWERED AND/OR PROPOSALS REJECTED IF PROPOSAL PREPARATION (PROPOSAL FORMAT CONTENT, ETC.) AND/OR SUBMITTAL INSTRUCTIONS ARE NOT FOLLOWED.

A. Address to Request Application Package

This announcement, any attachments, and any references to external websites herein constitute the total solicitation. If proposers cannot access the referenced material posted in the announcement found at www.darpa.mil, contact the administrative contact listed herein.

B. Content and Form of Application Submission

All submissions, including abstracts and proposals must be written in English with type not smaller than 12 point font. Smaller font may be used for figures, tables, and charts. Copies of all documents submitted must be clearly labeled with the DARPA BAA number, proposer organization, and proposal title/proposal short title.

****Go to page 33 of your DARPA FOA to follow along
PI will be responsible for reviewing information in pages 1-32**

Abstract vs. Full Proposal

1. Abstract Format

Proposers are strongly encouraged to submit an abstract in advance of a full proposal. Abstracts should follow the format described below in this section. The cover sheet should be clearly marked “ABSTRACT” and the total length of Section II should not exceed 8 pages.

2. Full Proposal Format

All full proposals must be in the format given below. Proposals shall consist of two volumes: Volume I – Technical and Management Proposal (3 sections), and Volume II – Cost Proposal (4 sections). The submission of other supporting materials along with the proposals is strongly discouraged and will not be considered for review. Section II of Volume I, Technical and Management Proposal, shall not exceed 30 pages. The page limitation for full proposals includes all figures, tables, and charts. There is no page limit for Volume II, Cost Proposal.

A summary slide of the proposed effort, in PowerPoint format, should be submitted with the proposal. A template is provided as Attachment 2 to the BAA. Submit this PowerPoint file in addition to Volumes I and II of your full proposal. This summary slide does not count towards the total page count.

Proposers should not propose to more than one Technical Area in a single proposal.

Proposers who wish to propose to more than one Technical Area must submit a separate full proposal for each individual Technical Area.

Proposals must include all phases described herein for the associated Technical Area.

Volume 1, Technical and Management Proposal: Section 1

Section I. Administrative

A. Cover sheet to include:

- (1) BAA number (HR001120S0008);
- (2) Technical area;
- (3) Lead Organization submitting proposal;
- (4) Type of organization, selected among the following categories:
Large Organization, Small Disadvantaged Organization, Other Small Organization, HBCU, MI, Other Educational, Other Nonprofit;
- (5) Proposer's internal reference number (if any);
- (6) Other team members (if applicable) and type of organization for each;
- (7) Proposal title;
- (8) Technical point of contact to include:
Salutation, last name, first name, street address, city, state, zip code (+4), telephone, fax (if available), electronic mail;
- (9) Administrative point of contact to include:
Salutation, last name, first name, street address, city, state, zip code (+4), telephone, fax (if available), electronic mail;
- (10) Total funds requested from DARPA, and the amount of cost share (if any); AND
- (11) Date proposal was submitted.

B. Official transmittal letter.

The transmittal letter should identify the BAA number, the proposal by name, and the proposal reference number (if any), and should be signed by an individual who is authorized to submit proposals to the Government.

**OCG Proposal
Analyst will create
and sign this for
you**

Volume 1, Technical and Management Proposal: Section 2

Section II. Detailed Proposal Information

A. Executive Summary (not to exceed 2 pages)

Summarize the technical approach, anticipated performance, and expected outcomes of the proposed effort. The executive summary should be concise and to the point. Tables, graphs, and diagrams can be used as supplemental material along with narrative to convey the information. The executive summary should include any proposer defined critical metrics, milestones (both DARPA-mandated and proposer-defined), and an overview of innovations made by the proposed work.

B. Technical Approach

This section is the centerpiece of the proposal and should succinctly summarize the innovative claims for the proposed research and clearly describe the proposed approach without using any jargon. This section should demonstrate that the proposer has a clear understanding of the state-of-the-art and should provide sufficient justification for the feasibility of the proposed approach(es). This section should include a detailed technical rationale, technical approach, and constructive plan for accomplishment of technical goals in support of innovative claims and deliverable creation.

Volume 1, Technical and Management Proposal: Section 2

C. Technology Transition and National Security Impact (not to exceed 2 pages)

Address how the approach will further the goals of ERI, which seeks to facilitate access to advanced, specialty technologies for U.S. national defense needs. Describe plans to mature and transition funded technologies for use beyond the conclusion of the program. DARPA anticipates LUMOS technologies to be relevant for both commercial and defense applications, and impact through successful technology transition is a key goal of the Electronics Resurgence Initiative.

Within the Technology Transition and National Security Impact section, proposals shall describe:

- How the proposed work contributes to U.S. national security and U.S. technological capabilities. The proposer may also summarize previous work that contributed to U.S. national security and U.S. technological capabilities.
- Plans and capabilities to transition technologies developed under this effort to U.S. national security applications and/or to U.S. industry. The proposer may also discuss previous technology transitions to the benefit of U.S. interests.

To reduce the potential for unintended foreign access to critical U.S. national security technologies developed under this effort, proposals shall describe:

- Any plans to transition technologies developed under this effort to foreign governments or to companies that are foreign owned, controlled or influenced. The proposer may also discuss previous technology transition to these groups.
- How the proposer will assist its employees and agents performing work under this effort to be eligible to participate in the U.S. national security environment.

Volume 1, Technical and Management Proposal: Section 2

D. Statement of Work (SOW)

In plain English, clearly define the technical tasks/subtasks to be performed, their durations, and dependencies among them. The page length for the SOW will be dependent on the amount of the effort. **The SOW must not include proprietary information.** For each task/subtask, provide:

E. Schedules and Measurable Milestones

Schedules and measurable milestones for the proposed research. (Note: Measurable milestones should capture key development points in tasks and should be clearly articulated and defined in time relative to start of effort.) Where the effort consists of multiple portions which could reasonably be partitioned for purposes of funding, these should be identified as options. Additionally, proposals should clearly explain the technical approach(es) that will be employed to meet or exceed each program metric and provide ample justification as to why the approach(es) is/are feasible. The milestones must not include proprietary information.

Include a table of program milestones with completion dates. In addition to BAA-required milestones defined in Section I.E. Schedule/Milestones, proposer-defined quantitative program milestones must be defined for at least every 6 months after the start of the effort. Milestones should be inclusive of and consistent with metrics defined in Section I.D. Technical Areas and deliverables defined in Section I.F. Deliverables. The milestones should represent measurable progressive goals that demonstrate a credible path to the final end-of-program goals.

Volume 1, Technical and Management Proposal: Section 2 & 3

F. Risk Analysis and Mitigation Plan

Identify the major technical and programmatic risks in the program. Include a risk matrix. For each risk, assign a probability of occurrence on a scale of 1-10, where 10 indicates a high likelihood that the risk will impact program success, as well as an assessment of impact, also on a scale of 1-10, where 10 indicates that this risk would maximally limit the program from delivering prototypes on schedule or meeting performance objectives. For each item with total risk (likelihood × impact) exceeding 40, include a plan for mitigating the risk and assessing risk reduction.

G. Teaming and Facilities (not to exceed 2 pages)

Describe the formal teaming arrangements which will be used to execute this effort. Describe the programmatic relationship between investigators and the rationale for choosing this teaming strategy. Present a coherent organization chart and integrated management strategy for the program team. For each person, indicate: (1) name, (2) affiliation, and (3) abbreviated listing of all technical area tasks they will work on with roles, responsibilities, and percent time indicated.

H. Ongoing Research and Proposer Accomplishments (not to exceed 2 pages)

Comparison with other ongoing research, indicating advantages and disadvantages of the proposed effort. Discuss previous accomplishments and work in closely related research areas.

Section III. Additional Information

Information in this section may include a brief bibliography of relevant technical papers and research notes (published and unpublished) which document the technical ideas upon which the proposal is based. Copies of not more than three (3) relevant prior papers may be included in the submission.

Volume 2, Cost Proposal: Section 1

All proposers, including FFRDCs, must submit the following:

Section I. Administrative

Cover sheet to include:

- (1) BAA number (HR001120S0008);
- (2) Technical area(s);
- (3) Lead Organization submitting proposal;
- (4) Type of organization, selected among the following categories:
Large Organization, Small Disadvantaged Organization, Other Small Organization,
HBCU, MI, Other Educational, Other Nonprofit;
- (5) Proposer's internal reference number (if any);
- (6) Other team members (if applicable) and type of organization for each;
- (7) Proposal title;
- (8) Technical point of contact to include:
Salutation, last name, first name, street address, city, state, zip code (+4),
telephone, fax (if available), electronic mail (if available);
- (9) Administrative point of contact to include:
Salutation, last name, first name, street address, city, state, zip code (+4),
telephone, fax (if available), and electronic mail (if available);
- (10) Award instrument requested:
Cost-Plus-Fixed Fee (CPFF), Cost-contract—no fee, cost sharing contract—no fee,
or other type of procurement contract (*specify*), Cooperative Agreement, or Other
Transaction;

**This is NOT the
same coversheet as
the one completed
for Volume 1**

Volume 2, Cost Proposal: Section 1

- (11) Place(s) and period(s) of performance;
- (12) Total proposed cost separated by basic award and option(s), if any, by calendar year and by government fiscal year;
- (13) Name, address, and telephone number of the proposer's cognizant Defense Contract Management Agency (DCMA) administration office (*if known*);
- (14) Name, address, and telephone number of the proposer's cognizant Defense Contract Audit Agency (DCAA) audit office (*if known*);
- (15) Date proposal was prepared;
- (16) DUNS number;
- (17) TIN number;
- (18) CAGE Code;
- (19) Subcontractor Information;
- (20) Proposal validity period (120 days is recommended); AND
- (21) Any Forward Pricing Rate Agreement, other such approved rate information, or such documentation that may assist in expediting negotiations (if available).

Attachment 1, the Cost Volume Proposer Checklist, must be included with the coversheet of the Cost Proposal.

Volume 2, Cost Proposal: Section 2

Section II. Detailed Cost Information (Prime and Subcontractors)

The proposers', to include eligible FFRDCs', cost volume shall provide cost and pricing information (See Note 1), or other than cost or pricing information if the total price is under the referenced threshold, in sufficient detail to substantiate the program price proposed (e.g., realism and reasonableness). In doing so, the proposer shall provide, for **both the prime and each subcontractor**, a "Summary Cost Breakdown" by phase and performer fiscal year, and a "Detailed Cost Breakdown" by phase, technical task/sub-task, and month. The breakdown/s shall include, at a minimum, the following major cost items along with associated backup documentation:

Total program cost broken down by major cost items:

A. Direct Labor

A breakout clearly identifying the individual labor categories with associated labor hours and direct labor rates, as well as a detailed Basis-of-Estimate (BOE) narrative description of the methods used to estimate labor costs;

B. Indirect Costs

Including Fringe Benefits, Overhead, General and Administrative Expense, Cost of Money, Fee, etc. (must show base amount and rate);

C. Travel

Provide the purpose of the trip, number of trips, number of days per trip, departure and arrival destinations, number of people, etc.;

D. Other Direct Costs

Itemized with costs; back-up documentation is to be submitted to support proposed costs;

Volume 2, Cost Proposal: Section 2

E. Material/Equipment

(i) For IT and equipment purchases, include a letter stating why the proposer cannot provide the requested resources from its own funding.

(ii) A priced Bill-of-Material (BOM) clearly identifying, for each item proposed, the quantity, unit price, the source of the unit price (i.e., vendor quote, engineering estimate, etc.), the type of property (i.e., material, equipment, special test equipment, information technology, etc.), and a cross-reference to the Statement of Work (SOW) task/s that require the item/s. At time of proposal submission, any item that exceeds \$2,000 must be supported with basis-of-estimate (BOE) documentation such as a copy of catalog price lists, vendor quotes or a written engineering estimate (additional documentation may be required during negotiations, if selected).

(iii) If seeking a procurement contract and items of Contractor Acquired Property are proposed, exclusive of material, the proposer shall clearly demonstrate that the inclusion of such items as Government Property is in keeping with the requirements of FAR Part 45.102. In accordance with FAR 35.014, "Government property and title," it is the Government's intent that title to all equipment purchased with funds available for research under any resulting contract will vest in the acquiring nonprofit institution (e.g., Nonprofit Institutions of Higher Education and Nonprofit Organizations whose primary purpose is the conduct of scientific research) upon acquisition without further obligation to the Government. Any such equipment shall be used for the conduct of basic and applied scientific research. The above transfer of title to all equipment purchased with funds available for research under any resulting contract is not allowable when the acquiring entity is a for-profit organization; however, such organizations can, in accordance with FAR 52.245-1(j), be given priority to acquire such property at its full acquisition cost.

Volume 2, Cost Proposal: Section 2

F. Consultants

If consultants are to be used, proposer must provide a copy of the consultant's proposed SOW as well as a signed consultant agreement or other document which verifies the proposed loaded daily / hourly rate and any other proposed consultant costs (e.g. travel);

G. Subcontracts

Itemization of all subcontracts. Additionally, the prime contractor is responsible for compiling and providing, as part of its proposal submission to the Government, subcontractor proposals prepared at the same level of detail as that required by the prime. Subcontractor proposals include Interdivisional Work Transfer Agreements (ITWA) or similar arrangements. If seeking a procurement contract, the prime contractor shall provide a cost reasonableness analysis of all proposed subcontractor costs/prices. Such analysis shall indicate the extent to which the prime contractor has negotiated subcontract costs/prices and whether any such subcontracts are to be placed on a sole-source basis.

All proprietary subcontractor proposal documentation, prepared at the same level of detail as that required of the prime, which cannot be uploaded to the DARPA BAA website (<https://baa.darpa.mil>, BAAT) or Grants.gov as part of the proposer's submission, shall be made immediately available to the Government, upon request, under separate cover (i.e., mail, electronic/email, etc.), either by the proposer or by the subcontractor organization. This does not relieve the proposer from the requirement to include, as part of their submission (via BAAT or Grants.gov, as applicable), subcontract proposals that do not include proprietary pricing information (rates, factors, etc.).

A Rough Order of Magnitude (ROM), or similar budgetary estimate, is not considered a fully qualified subcontract cost proposal submission. Inclusion of a ROM, or similar budgetary estimate, may result in the full proposal being deemed non-compliant or evaluation ratings may be lowered;

Volume 2, Cost Proposal: Section 2

H. Cost-Sharing

The amount of any industry cost-sharing (the source and nature of any proposed cost-sharing should be discussed in the narrative portion of the cost volume).

Submission Information

DARPA will acknowledge receipt of all submissions and assign an identifying control number that should be used in all further correspondence regarding the submission. DARPA intends to use electronic mail correspondence regarding HR001120S0008. Submissions may not be submitted by fax or e-mail; any so sent will be disregarded.

Submissions will not be returned. An electronic copy of each submission received will be retained at DARPA and all other non-required copies destroyed. A certification of destruction may be requested, provided the formal request is received by DARPA within 5 days after notification that a proposal was not selected.

All administrative correspondence and questions on this solicitation, including requests for clarifying information on how to submit an abstract or full proposal to this BAA should be directed to HR001120S0008@darpa.mil. DARPA intends to use electronic mail for correspondence regarding HR001120S0008. Proposals and abstracts may not be submitted by fax or e-mail; any so sent will be disregarded. DARPA encourages use of the Internet for retrieving the BAA and any other related information that may subsequently be provided.

1. Submission Dates and Times

a. Abstract Due Date

Abstracts must be submitted to DARPA/MTO on or before 1:00 PM, Eastern Time, December 11, 2019. Abstracts received after this time and date may not be reviewed.

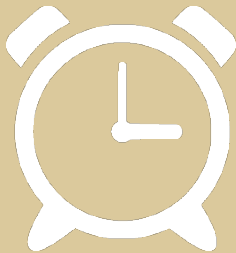
b. Full Proposal Date

Full proposals must be submitted to DARPA/MTO on or before 1:00 PM, Eastern Time, February 7, 2020, in order to be considered during the single round of selections. Proposals received after this deadline will not be reviewed.

Debrief

Use Checklists

Start Early



Some requirements may necessitate advanced planning



Skim through the FOA to create a checklist of requirements & guidelines

Reach Out



Contact your OCG Proposal Analyst for assistance

Questions?

allison.fischer@colorado.edu

travis.klempan@colorado.edu

Find the OCG Proposal Analyst for Your Department

WWW.COLORADO.EDU/OCG/DIRECTORY



Office of Contracts and Grants
UNIVERSITY OF COLORADO BOULDER

Be Boulder.