Navigating the DOD Proposal Process Part 3

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Navigating DOD Proposals

Part 1

    DoD Mission, Leadership, and Organization

    DOD Opportunity Information

    Programs of Possible interest

    Submission Systems for DOD Proposals

    Take-a-Way

Part 2

    Common Entries and Requirements for DOD Submissions

    Special Submissions

    Take-a-Way

Part 3

    After Submission Actions

    Review and Award Considerations

    Take-a-Way

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<mark>**After Submission Actions**</mark>

▶ Most submissions, either via the system of submission or by an email acknowledgment, get a response that the submission has gone in.

▶ Late submissions are rarely accepted even if the submission started through the portal before the deadline. Internet/server issues are normally not given any consideration.

▶ Some federal sponsors allow actions after submission like Updates, Revisions, or Corrections. DOD does not normally allow actions like these at the PI request – once the deadline passes the submission is fixed. It is also not uncommon that you will only be allowed one submission attempt.

▶ Revisions, Renewals, and Supplemental funding are all available actions with DOD.

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After Submission Actions

- Program Officers (PO) or Grant's Management Officers (GMO) at the DOD agency may request corrections or additional information prior to review or after review.

- As part of the review or selection process the agency may request:
  - New or replacement documents/forms
  - Meetings (in person or virtual)
  - Presentations/Briefings
  - Site visits (site visits may include team members and organizations)

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Review Process

▶ May be specified in the solicitation or in information on the agency website. There may also be no information on the review process or there may be more than one method of review and you may or may not be told what method will be employed.

▶ Proposals may or may not be comparatively evaluated against each other; it is more likely that they are evaluated against the criteria.

▶ DOD reserves the right to select proposals for award for all, none, or some of the proposals submitted to a solicitation. They can also award a portion of a submission.

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Review Process

- Review framework may involve:
  - Panel of government scientists (could be for technical portion only)
  - Cognizant Program Officer
  - Special committee
  - Government might contract with subject matter experts
  - Peer review
  - Combination of above

- Other Transaction Authority (OTA) may use consortia members, management group members, or contracted persons.

- Regardless of the review process or recommendations, selection and award remains the responsibility of government personnel.

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Common Evaluation Components (preliminary and full)

▶ Does proposal address issue? What is scientific and technical merit of the proposed research?

▶ Is scope sufficient?

▶ Is proposal feasible -- technically, by experience of team, and by time? Are required facilities and equipment available?

▶ Are projected costs realistic and reasonable for the project effort?

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Common Evaluation Components (preliminary and full)

▶ Does proposal meet content and format requirements? Is the location of each section as well as major subdivision clearly shown? Note, required statements and forms may be ANYWHERE in the solicitation.

▶ Is teaming with other organizations/institutions leveraged (industry, other academic organizations, Federally Funded Research and Development Centers (FFRDCs), Minority Serving Institute (MSI) or non-traditional members)?

▶ Are special requirements met such as citizenship, consortium membership, OTA requirements met?

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Common Evaluation Components (preliminary and full)

Cost Share in DOD proposals

► Very common to see statements that cost share is not required and/or will not be considered in the evaluation if it is offered. They are trying to comply with 2CFR guidance on not using cost share in review when it is not required in the solicitation.

► This doesn't mean that they will not include offered cost share in award documents.

► They may essentially require cost share by how they word institutional or regional support requirements but will usually accept them in unquantified statements.

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Review Process

▶ Solicitation will usually specify anticipated decision/notification dates.

▶ Prior to final selection, there could be:

  ▶ a performance or compliance appraisal.

  ▶ a request to demonstrate ability to comply with cyber security (or other security)

  ▶ Employment Eligibility Verification (E-Verify)

  ▶ Conflict of Interest review (personnel and organizational) (Note: non-disclosure may result in disqualification at any time during the life of the award.)

  ▶ risk review (OMB designated repositories; prior award management of PI and organization, integrity, and safety)

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Review Process

▶ Funding may depend on sponsor award budget – a proposal may be approved but fall below the pay line.

▶ Non-selected white papers and full submissions may be kept for 'life of submission' and requested at-a-later-date.

▶ If funding is available some proposals may be called 'Selectable' vs 'Not Selectable'.

▶ Contracting officials, at their discretion, may choose to conduct post-selection negotiations with a specific offeror on any topic - and allow an offeror to revise and improve its proposal.

Review Process

▶ Feedback/comment availability after any type of submission varies by the sponsor and sometimes by the PO.

▶ Solicitation may have information on windows of time that feedback is available or may be silent. Many times, comments are only given if requested or if requested within a certain time. If the guidelines don't specify, contact the PO as soon as you receive any type of notification that the review has concluded.

▶ Getting feedback may also depend on when you submit your proposal (especially for white papers).

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Award Process

▶ Notification of award or positive feedback is not an authorization to spend (let ORS know of contact).

▶ ORS's Sponsored Project Coordinator (SPC) will assist in coordinating with various University offices and the sponsor to ensure the award is officially received and negotiated.

▶ Solicitation may have a lot of award receipt and report/management information that you are encouraged to read (there may be submission information such as required statements in this area of the solicitation too).

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► As part of award receipt process, certifications may need to be updated or initially provided

  ► 889 (telecommunications)

  ► Conflict of Interest

  ► Compliance

► Likely, a more detailed budget will be required as part of award negotiation or prior to final notification. (Sometimes the details desired on the budget at award may be in the solicitation.) This may also include source documentation.

► If the sponsor desires incremental funding tied to milestones or go/no-go decisions that is usually worked out at award if not already in the proposal submission.

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Award Process

▶ No animal or human subjects work is to start until Institutional Review Board (IRB) or Institutional Animal Care Use Committee (IACUC) approval is obtained. DOD may also want to see these approvals before you start or may have other requirements.

▶ Subcontracts may have dollar limits or thresholds that drive paperwork or reporting requirements.

▶ DOD agencies may provide award documents with Federal Acquisition Rules (FAR/DFAR) that may complicate acceptance of the award or require special review and paperwork.

▶ Payment may be through different systems such as Federal Awardee Performance and Integrity Information System (FAPIIS)

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Post Award Considerations

► Solicitation will usually provide information on where/how to submit reports.

► Common reports:

  ► Annual Technical (may be more frequent)

  ► Final Technical

  ► SF 425 Federal financial report (timing may vary)

  ► Invention report

  ► Property report/equipment report

  ► Federal Funding Accountability and Transparency Act of 2006 (**FFATA**), ensures that the public can access information on all entities and organizations receiving Federal funds.

Take-a-Way

▶ Don't be afraid of doing proposals with DOD, while they do have expectation of timely meeting requirements/restrictions we have seen many PO and GMO willing to answer questions or give pointers.

▶ Budget information and 'mission' changes may be on their website or expected if you watch presidential and congressional impacts.

▶ Don't count on No Cost Extensions (NCE) – may be seen as lack of proper award management.

Take-a-Way

- ▶ Some award information may be available on agency websites that can provide information on funding interests or proposal content examples.

- ▶ ORS does various types of award/agreement vehicles and paperwork including contracts.

- ▶ The University is stepping into classified research, if you anticipate a proposal that may have classified work involved, please contact the Office of Export Control as early as possible so they can begin working with you on special requirements.

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Questions??