



DEPARTMENT OF WAR

Research and Education Program for Historically Black Colleges and Universities (HBCU) and Tribal  
Colleges and Universities (TCU)

Research Solicitation

Fiscal Year 2026

Notification of Funding Opportunity  
**W911NF26S0085**

Issued by  
U.S. Army Contracting Command-Aberdeen Proving Ground  
Research Triangle Park Division  
on behalf of the  
U.S. Army Combat Capabilities Command  
Army Research Laboratory (DEVCOM-ARL),  
and

The Office of the Under Secretary of War for Research and Engineering/Assistant Secretary of War  
(Science and Technology)  
(OUSW(R&E)/ASW(S&T))

Issued: June 8, 2026

Applications Inquiries and Questions (Deadline): July 31, 2026

Applications Due: August 11, 2026

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## **I. OVERVIEW OF THE NOTIFICATION OF THE FUNDING OPPORTUNITY (NOFO)**

### **A. Required Overview Content**

#### **Federal Awarding Agency Name(s)**

This Department of War (DoW) program is funded by the Office of the Under Secretary of War for Research and Engineering/Assistant Secretary of War (Science and Technology) (OUSW(R&E)/ASW(S&T)) and administered through the U.S. Army Combat Capabilities Command Army Research Laboratory (ARL) and the Office of Naval Research (ONR).

#### **Funding Opportunity Title**

Fiscal Year (FY) 2026 DoW Research and Education Program for Historically Black Colleges and Universities (HBCUs) and Tribal Colleges and Universities (TCUs) – Research

#### **Announcement Type**

This is the initial announcement.

#### **Funding Opportunity Number**

**W911NF26S0085**

#### **Assistance Listing Number**

12.630, Basic, Applied, and Advanced Research in Science and Engineering

#### **Key Dates**

Applications must be received by 4:00 p.m. Eastern Time, August 11, 2026, unless otherwise amended.

### **B. Additional Overview Information**

Under the authority of 10 U.S.C. § 4144, in alignment with Section 223 of the FY 2026 National Defense Authorization Act (NDAA), funding in the FY 2026 defense appropriations, and, Presidential Executive Order 14332, *Improving Oversight of Federal Grantmaking*, the DoW announces this funding opportunity for research to be conducted at **Historically Black Colleges and Universities (HBCUs) and Tribal Colleges and Universities (TCUs)**.

The program is executed under policy and guidance of the Office of the Under Secretary of War for Research and Engineering (OUSW(R&E)) and is administered by ARL and ONR, hereafter called “the Agencies.”

This Notification of Funding Opportunity (NOFO) aims to (a) enhance research and education programs and capabilities in scientific and engineering disciplines critical to the national security functions of DoW; (b) enhance the capacity of HBCUs and TCUs to participate in DoW research programs and activities; and (c) increase the number of graduates in the fields of science, technology, engineering, and mathematics (STEM). The DoW is announcing this research solicitation based on 10 U.S.C. § 4144 and Section 223 of the FY 2026 NDAA (<https://www.congress.gov/119/bills/s1071/BILLS-119s1071enr.pdf>), which directs for fiscal year 2026 and each fiscal year thereafter, the Secretary of Defense to ensure that funding solicitations through the DoW HBCU/MI Program Element include separate funding

solicitations each focused toward: (1) Historically Black Colleges and Universities and Tribal Colleges; and (2) Minority-Serving Institutions that are not HBCUs or TCUs. Also informing this solicitation is Section 262 of the NDAA for FY 2020 (<https://www.congress.gov/116/plaws/publ92/PLAW-116publ92.pdf>), section 220 of the NDAA for FY 2022 (<https://www.congress.gov/117/plaws/publ81/PLAW-117publ81.pdf>), and the publication of the National Academies of Sciences, Engineering, and Medicine titled “Defense Research Capacity at Historically Black Colleges and Universities and Other Minority Institutions: Transitioning from Good Intentions to Measurable Outcomes” dated April 28, 2022 (<https://www.nationalacademies.org/publications/26399>).

## II. DETAILED INFORMATION ABOUT THE FUNDING OPPORTUNITY

### A. Program Description

This solicitation invites applications (also referred to as “proposals”) for basic research projects. The proposals must align with the research areas of interest to the DoW (which includes the USW(R&E) and the Agencies) and enhance the education of students in areas of STEM that align with the DoW research interests. Information about these areas of interest (including websites) is discussed below.

The USW(R&E) Critical Technology Area descriptions are at <https://www.cto.mil/wp-content/uploads/2025/11/CTA-One-Page-Option-Nov2025.pdf>. The critical technology priorities rely on innovation and workforce talent. The critical technology areas are:

- Applied Artificial Intelligence (AAI)
- Biomanufacturing (BIO)
- Contested Logistics Technologies (LOG)
- Quantum and Battlefield Information Dominance (Q-BID)
- Scaled Directed Energy (SCADE)
- Scaled Hypersonics (SHY)

Basic research projects in research areas of interest to the Agencies are presented in their respective Broad Agency Announcements (BAAs), which are available as follows:

Army Research Laboratory combined Broad Agency Announcement is available at: <https://www.arl.army.mil/collaborate-with-us/opportunity/arl-baa/>. This BAA may also be found on Grants.gov (<https://www.grants.gov>) by entering the BAA number, **W911NF-23-S-0001**, in the “Search Grants” keyword box.

Office of Naval Research: <https://www.onr.navy.mil/> Select “Work With Us,” then “Funding Opportunities,” and then “BAAs, FOAs and Special Program Announcements” to see the FY26 Long Range Broad Agency Announcement for Navy and Marine Corps Science and Technology, BAA N00014-23-S-B001. This BAA may also be found on Grants.gov (<https://www.grants.gov>) by entering the BAA number in the “Search Grants” keyword box.

In addition to providing details about the Agencies’ research interests, the above documents include names and contact information of technical program managers. Principal Investigator and a Co-Principal Investigator (PI/Co-PI) are encouraged to peruse the research interests of each Agency and to contact the respective program managers to discuss mutual research interests. Applications with relevance to the interests of multiple Agencies may receive

multiple reviews.

Additional information and questions about the critical technology areas should be directed to Agency Contacts identified in Section II.G. of this NOFO. Other research areas that are not aligned with the (OUSW(R&E)/ASW(S&T) critical technology priorities listed in I.B.7 will be considered. The Agencies' BAA listed above under I.B.6 provides other research areas of interest to the DoW.

**NOTE:** Use the above-referenced Agency documents only to identify research areas of interest to the Agencies. Disregard instructions contained therein regarding application preparation, content, and submission requirements. Instead, **follow the instructions in this NOFO.**

Projects proposed for funding under this NOFO must be for basic research. As defined by DoW, "basic research" is systematic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications toward processes or products in mind. It includes all scientific study and experimentation directed toward increasing fundamental knowledge and understanding in those fields of the physical, engineering, life sciences, and information sciences related to long-term national security needs.

Principal Investigator and a Co-Principal Investigator (PI/Co-PI) are encouraged to consider innovative approaches for their research projects with a view toward enhancing the ability of their institution to develop stronger science and engineering programs that will enable the institution to participate more competitively in a variety of defense research programs, attract and retain good students by exposing them to state-of-the-art research, and encourage them to pursue careers in STEM disciplines.

Methods through which these goals can be achieved are varied. Factors such as research capabilities, facilities, and equipment are unique to each institution. Therefore, DoW will not prescribe the approach for a research project; instead, it expects applications to reflect the unique needs and capabilities of the applicant institution.

## **B. Federal Award Information**

Through this competition, DoW intends to award approximately \$60 million, subject to the availability of funds. Awards will be in the form of project grants, and all awards will be made by the U.S. Army Contracting Command-Aberdeen Proving Ground Research Triangle Park (ACC-APG-RTP) Division on behalf of the ARL and the DoW. Each grant will be fully funded for a performance period of 48 months in an amount up to **\$2.0 million** (total of direct and indirect [facilities and administration] costs). The proposed budget should divide the amount requested as evenly as possible across the four years of the project unless a different allocation is fully explained in the budget justification.

The DoW expects projects to be completed within the four-year performance period. Requests for no-cost extensions will not be automatically granted. Any such request must be fully justified and submitted sufficiently in advance of the end of the performance period for DoW to give it due consideration and determine whether to approve or deny the request. Applications for renewal or supplemental awards will not be considered under this NOFO.

Award decisions will be based on the results of a merit review by the scientists and engineers of the DoW aligned with Presidential Executive Order 14332, *Improving Oversight of Federal Grantmaking*, dated August 7, 2025.

### **C. Eligibility Information**

#### **1. Eligible Applicants**

As provided in Section 223 of the FY 2026 NDAA, eligibility for this competition is open only to “Historically Black Colleges and Universities and Tribal Colleges and Universities” which are defined as:

- a. The term “Historically Black College or University” has the meaning given the term “part B institution” under section 322 of the Higher Education Act of 1965 (20 U.S.C. 1061).
- b. The term “Tribal College or University” has the meaning given the term in section 316(b) of the Higher Education Act of 1965 (20 U.S.C. 1059c(b)).

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

Cost sharing or matching is not required and is not an evaluation factor.

#### **3. Other**

- a. An institution may submit no more than four (4) applications under this NOFO. If a given HBCU or TCU submits more than four applications, the institution will be required to withdraw applications that exceed this limit.
- b. Awards will be for a research project at the applicant HBCU or TCU. Faculty and post-doctoral associates at the applicant institution may participate in the project and assist the PI as co-PI or in another capacity. Applications should not request HBCU/MI Program funds to support collaborations. Collaborations, if desired, are restricted to other degree-granting Institutions of Higher Education (IHE) and must be supported by resources other than DoW HBCU/MI Program funds. Such arrangements should be fully explained in the narrative and in the budget justification. The DoW will not prescribe an approach for an application; instead, it expects applicants to reflect on the unique needs and capabilities of their respective institution. Methods through which the statutory objective can be achieved are as varied as the institutions. Factors such as research capabilities and facilities are unique to each institution and should be considered when preparing an application.
- c. DoW will not accept applications with a budget that exceeds \$2.0 million.
- d. Funding restrictions are described in Section II.D.7. below.

### **D. Application Preparation and Submission**

#### **1. Grants.gov Application Submission and Receipt Procedures**

***This section provides submission and receipt instructions for DoW program applications. Please read the following completely and carefully follow instructions.***

The DoW is participating in the Grants.gov initiative to provide a single site to find and apply for funding opportunities. Applications to this NOFO must be submitted through Grants.gov. Registration at the web site is required, as described below. This funding opportunity may be found on Grants.gov by going to 'Search Grants' screen and entering the funding opportunity number for this NOFO, **W911NF26S0085**, in the Funding Opportunity search box. You can also search for the Assistance Listing Number 12.630, Basic, Applied, and Advanced Research in Science and Engineering.

2. How to Register to Apply through Grants.gov

Applicants should read the registration instructions carefully and assemble required information specific to the applicant institution before beginning the registration process. Organizations must have a Unique Entity Identifier (UEI), active registration in the System for Award Management (SAM), and a Grants.gov account.

Creating a Grants.gov account can be completed online in minutes, but an UEI and SAM registrations may take several weeks. Complete instructions can be found here: <https://www.grants.gov/applicants/applicant-registration>

- a. Obtain an UEI: All entities applying for funding must have an UEI. Applicants must enter the UEI in the data entry field labeled "Unique Entity Identifier" on the Standard Form (SF) 424 form. Instructions to obtain an UEI are available at: <https://www.grants.gov/applicants/applicant-registration>
- b. Register with SAM: Organizations applying through Grants.gov must register with the System for Award Management (SAM). SAM registration must be renewed annually. Instructions for registering with SAM are available at: <https://www.grants.gov/applicants/applicant-registration>
- c. Create a Grants.gov Account: The next step is to register an account with Grants.gov. Follow the on-screen instructions or refer to the instructions at: <https://www.grants.gov/applicants/applicant-registration>
- d. Add a Profile to a Grants.gov Account: A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all of your grant applications. To add an organizational profile to your Grants.gov account, enter the UEI for the organization in the UEI field while adding a profile. Instructions are available at: <https://www.grants.gov/applicants/applicant-registration>
- e. EBiz POC Authorized Profile Roles: After registering with Grants.gov and creating an Organization Applicant Profile, the organization applicant's request for Grants.gov roles and access is sent to the EBiz POC. The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the Authorized Organization Representative (AOR) role, thereby giving permission to complete and submit applications on behalf of the organization. Applications may be submitted online at any time after establishing an AOR at the applicant institution. Instructions for creating a profile on Grants.gov are available at:

<https://www.grants.gov/applicants/applicant-registration>

- f. Track Role Status: To track your role request, refer to:  
<https://www.grants.gov/applicants/applicant-registration>
- g. Electronic Signature: When applications are submitted through Grants.gov, the name of the organization applicant with the AOR role (Block #19 on the SF-424) is inserted into the signature line of the application; this is the electronic signature. The EBiz POC must authorize people who are able to make legally binding commitments on behalf of the organization as a user with the AOR role; this step is often missed, and it is crucial for valid and timely submissions.

3. How to Submit an Application in Grants.gov

Applicants can apply online using Workspace, which is a shared, online environment where members of an institution's grant team may simultaneously access and edit different web forms within an application. For each notification of funding opportunity (NOFO), individual instances of a workspace can be created. Below is an overview of applying on Grants.gov. Complete instructions are available at:

<https://www.grants.gov/applicants/workspace-overview.html>

- a. Create a Workspace: Creating a workspace allows the user to complete the application online and route it through the organization for review before submitting.
- b. Complete a Workspace: Add participants to the workspace to work on the application together, complete the required forms online or download PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.

1) Adobe Reader: If you decide not to apply by filling out web forms you can download individual PDF forms in Workspace. 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/applicants/adobe-software-compatibility>

2) Mandatory Fields in Forms: In the forms, you will note fields marked with an asterisk and a background color. These fields are mandatory and must be completed to submit your application.

3) Complete SF-424 Fields First: The forms are designed to fill in other required fields in other forms, such as the applicant's name, address, and UEI. Once completed, the information will transfer automatically to the other forms.

- c. Submit a Workspace: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab.
- d. Track a Workspace Submission: After successfully submitting a workspace application, a

Grants.gov Tracking Number (GRANT XXXXXXXX) is assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace. For additional training resources, including video tutorials, refer to: <https://www.grants.gov/applicants/applicant-training>

- e. Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number. The Support Center ticket number will assist the DoW with tracking your issue and understanding background information on the issue.

#### 4. Timely Receipt Requirements

Online Submission: All applications must be received by 4:00 p.m. Eastern time on **August 11, 2026**. Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time stamp is generated within the system when the application is successfully received by Grants.gov. The applicant with the AOR role who submitted the application will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. This applicant with the AOR role will also receive the official date/time stamp and Grants.gov Tracking number in an email serving proof of their timely submission. Questions submitted after the **July 31, 2026**, deadline may not be answered.

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

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

#### 5. Content of Application

Applicants must complete all forms and attachments. Follow the instructions on the forms and additional instructions below. To activate the “pop up” instructions on the forms, turn on the “Help Mode” (icon with the pointer and question mark at the top of the form). All attachments to Grants.gov forms must be in PDF format. NOTE: Ensure that attachments are not password protected. The following formatting rules apply for attachments:

- Paper size when printed – 8.5 x 11-inch paper, one-sided
- Margins – 1 inch

- Spacing – single
- Font – Times New Roman, 12-point (excluding mandatory forms)
- Number of pages – 25

The 25-page limit applies to the technical portion of the application, which includes the following: Project Summary/Abstract; Project Narrative; and Facilities and Other Resources. Pages exceeding this limit will not be considered in the application evaluation. Letters of support should not be submitted.

**FORM: SF-424 (R&R) (Mandatory)** - The SF-424 (R&R) form is to be used as the cover page. Complete this form first to populate data in other forms. By submitting an application through Grants.gov, the AOR (identified by username and password) is providing an “electronic signature.” By “signing” the SF-424 (R&R), an applicant is providing the certification required by 32 CFR Part 28 regarding lobbying as contained in Section II.F.2 of this NOFO, and the representations on tax delinquency and felony convictions and prohibition on using funds under grants and cooperative agreements with entities that require certain internal confidentiality agreements (see below regarding “Other Attachments,” Field 12). If you encounter problems, contact customer support at 1-800-518-4726 or at [support@grants.gov](mailto:support@grants.gov). If you forget your username or password, follow the instructions provided in the Credential Provider tutorial. Tutorials may be printed by right-clicking on the tutorial and selecting “Print.”

**FORM: SF-424 Research & Related Other Project Information (Mandatory)** – Complete questions 1 through 6 and attach a file for items 7, 8, and, as applicable, 12. Under this NOFO, applicants are not required to provide attachments for items 9, 10, and 11. The files **must** comply with the following instructions:

**Project Summary/Abstract (Field 7 on the form) (Mandatory)** – The Project Summary/Abstract must be no longer than a single page (up to 4,000 characters). It must be marked to indicate that it is publicly releasable, as abstracts for all awarded applications will be placed on a DoW website(s) searchable by the public. Using terminology that the public can understand, the abstract should provide a concise description of the proposed activity and the research/research-related education that it will support. The header of the abstract should identify the PI, the institution, and the application title.

To attach a project summary/abstract, click “Add Attachment.”

### **Project Narrative (Field 8 on the form)**

At the beginning of the project narrative, i.e., preceding the full text of the narrative, indicate the DoW Agency(ies) and research area(s) to which the proposed project is relevant, and provide suggested Agency assignment(s) information in the following format:

- DoW Agency to evaluate the application: ARL and/or ONR, of all two.
- Scientific Division(s) or Directorate(s), if known, and
- Technical Area(s)/Program Manager(s), if known.

The project narrative must clearly describe how the project will enhance the institution’s research/research-related education capabilities and the quality of the applicant institution’s STEM programs including:

- a. The research to be undertaken in a level of detail that defines the objectives of the project, the approaches to be used, and the relationship of the project to the state of knowledge in the field at the applicant institution or elsewhere.
- b. The anticipated results and how the project aligns with the research interests of the OUSW(R&E) and Agency(ies).
- c. The facilities and equipment available for performing the proposed research.
- d. The involvement of undergraduate and/or graduate students in the research project. Although the HBCU/MI Program funds will not support students' tuition, stipends, or fees, the involvement of students, both undergraduates and graduates, in the research project is critical to achieving program objectives. Students must be supported by other resources and the funding source(s) must be identified in the budget.

To attach the project narrative, click "Add Attachment."

**Bibliography & References Cited (Field 9 on the form)** – Include a bibliography and list of literature citations, if applicable. To attach a bibliography, click "Add Attachment."

**Facilities and Other Resources (Field 10 on the form)** – Include a list of existing facilities and other resources including equipment to be used in the project. To attach facilities information, click "Add Attachment."

**Equipment (Field 11 on the form)** – Not applicable.

**Other Attachments (Field 12 on the form)** – To include other relevant attachments, all of which must be in PDF format, click "Add Attachment." This must include completed representations on tax delinquency and felony convictions (included as part of the application package for this NOFO). Each application must include the following two forms completed as indicated.

**FORM: SF-424 Research & Related Senior/Key Person Profile (Expanded) (Mandatory)** – The Degree Type and Degree Year fields on the Research and Related Senior/Key Person Profile (Expanded) form will be used by DoW as the source for career information. In addition to the required fields on the form, applicants must complete these two fields for the Principal Investigator and a Co-Principal Investigator (PI/Co-PI).

Biographical sketches are required for the PI and one Co-PI not to exceed three (3) pages each. These will not be included in the page count. Be sure to include education and the year in which each degree was received.

To attach biographical sketches, click "Add Attachment."

**FORM: SF-424 (R&R) Research & Related Budget (Mandatory)** – Complete Sections A through H and attach a budget justification in Section L. Do not include any amount for fee under Section J. The budget justification should provide additional data by element of cost for entries included in Sections A through H sufficient to meet the guidance provided below and ensure meaningful evaluation. Note that Section J should not be completed, as no fee will be paid to a recipient under these awards.

Project costs, i.e., the amount requested from DoW under this NOFO, must be shown in total

as well as broken down by cost element for each year of the performance period. Assume a proposed start date of **January 15, 2027**. Additional budget periods may be added to the Research & Related Budget form by clicking on the “Add Period” button at the end of the first budget period. The cumulative Research & Related Budget is automatically calculated on the last page of the budget form and will reflect the total costs for all budget periods.

**Additional guidance:**

Salary Costs: For all employees/labor categories, indicate the amount of time to be charged to the proposed project (e.g., number of months) and show resulting costs based on current or projected salary and fringe benefits.

Equipment/Instrumentation: Not applicable. This NOFO does not support the purchase of equipment/instrumentation.

Travel: Identify any travel requirements for the PI/Co-PI, key personnel, or students associated with the proposed research and define the relationship of such travel to the project. For other than local travel, list proposed destinations, cost estimate, and basis of cost estimate. Funds under this NOFO may not be used for foreign travel.

Domestic travel must not exceed \$2,500 per year/per person for the PI/Co-PI. Travel for individuals other than the PI may be budgeted if such travel is to a DoW facility, a professional technical meeting, or other venue that may enhance achievement of the research and educational objectives of the project. Travel allowance for individuals other than the PI is limited to \$1,500 per year/per person.

Student/Trainee Support Costs: Funds awarded under this NOFO may not be used for student support. However, the involvement of undergraduate and graduate students in research and research education is critical to achieving program objectives. Support for students (tuition, stipends, fees, and other expenses) must be covered by other resources, and the funding source(s) must be identified in the budget.

Other Direct Costs:

Materials and Supplies: Estimate costs of materials and supplies, and provide basis for cost estimates (e.g., vendor quotes or vendor websites).

Publication Costs: Estimate the costs of publishing and reporting research results.

Consultants: Funds under this NOFO may not be used for consultants.

Subawards/Consortium/Contractual Costs: Funds awarded under this NOFO may not be used for research collaborations. Collaborations, if desired, are restricted to other degree-granting Institutions of Higher Education (IHE) and must be supported by resources other than HBCU/MI Program funds. Such arrangements should be fully explained in the narrative and in the budget justification.

Equipment or Facility Rental/User Fees: Funds awarded under this NOFO may not be used to purchase equipment/instrumentation (i.e., items with an acquisition cost of \$10,000 or more and a useful life of more than one year). Equipment or facility rental/user fees may be requested only if such equipment/facility belongs to the applicant institution.

Alterations and Renovations: Funds awarded under this NOFO may not be used for alterations or renovations of facilities.

Indirect Costs (Facilities and Administration (F&A)): If an F&A rate has been negotiated by a federal agency, provide the period covered by the rate, the name of the cognizant agency, and a copy of the current F&A agreement. If an institution does not have a current F&A rate, it should submit an F&A indirect cost rate proposal with the application package to be approved by the Federal awarding agency head or delegate. An institution may elect to use the de minimis rate only if it has never had a federally negotiated F&A (indirect cost) rate.

Total Direct and Indirect Costs: Provide the total costs, year by year, and a cost summary for the entire proposed period.

To attach the budget justification at Section L, click “Add Attachment.”

**Note: Be sure that the total amount requested in the budget agrees with the amount entered in Block #15 of the Cover Page (Form SF-424 (R&R)).**

**FORM: SF-LLL Disclosure of Lobbying Activities (Optional)** - This form is applicable if any funds other than federally 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 application for a grant under this NOFO. If the applicant has lobbying activity to disclose, complete this form and include it with the other Grants.gov forms in the application package.

#### **FORM: CURRENT AND PENDING SUPPORT:**

Not later than October 1, 2024, all Notices of Funding Opportunity for assistance awards for the purpose of R&D must require the use of the common forms located here [https://www.nsf.gov/bfa/dias/policy/nstc\\_disclosure.jsp](https://www.nsf.gov/bfa/dias/policy/nstc_disclosure.jsp) for the collection of biosketch and current and pending support information associated with the SF-424 R&R family of forms. Specifically, these common forms are to be used with the Research and Related Senior/Key Person Profile (Expanded) form (OMB Control Number 4040-0001). This form has inputs for both “biosketch” and “current and pending support”. These common forms are to be used to supply the inputs to the Research and Related Senior/Key Person Profile (Expanded) form.

#### 6. Unique Entity Identifier and System for Award Management

Each eligible applicant under this NOFO is required to (a) be registered in SAM prior to submitting its application; (b) provide a valid UEI number in its application; and (c) continue to maintain an active SAM registration with current information at all times during which it has an active federal award or an application or plan under consideration by a federal agency.

ACC-APG-RTP Division, as the awarding office for awards under this NOFO, will not make an award to an applicant until the applicant has complied with all applicable UEI and SAM requirements. If an applicant has not fully complied with the requirements by the time ACC-

APG-RTP Division is ready to make an award, the evaluation panel will determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant.

## 7. Submission Dates and Times

Applications will be considered until 4:00 PM Eastern Time August 11, 2026.

Applicants are responsible for submitting their applications in sufficient time to allow them to reach Grants.gov by the specified time. To minimize the possibility of a late submission due to unexpected network or equipment issues, DoW recommends that applications be submitted at least two days prior to the date and time indicated above. If the application is received by Grants.gov after the exact time and date specified as the deadline for receipt, it will be considered “late” and will not be considered for review. Acceptable evidence to establish the time of receipt by Grants.gov includes documentary evidence of receipt maintained by Grants.gov.

If an emergency or unanticipated event interrupts normal federal government processes so that applications cannot be received by Grants.gov by the exact time specified in this NOFO, and the situation precludes amendment of the NOFO closing date, the time specified for receipt of applications will be deemed to be extended to the same time of day specified in this NOFO on the first work day on which normal federal government processes resume.

**Application Receipt Notices** - As indicated in Section II.D.4. above, Grants.gov will provide a series of emails to the applicant confirming submission and receipt of the application. Applicants can track the status of their applications at <https://www.grants.gov/applicants/grant-applications/track-my-application>

## 8. Funding Restrictions

The following will not be funded under this NOFO:

- a. Student support (tuition, stipends, fees)
- b. Purchase of equipment/instrumentation (*Federal definition – items with an acquisition cost of \$10,000 or more and a useful life of more than one year.*)
- c. Applicants may not request travel costs outside of the contiguous U.S.
- d. Operation and maintenance, including extended warranties, rental fees, user fees, and maintenance agreements (*Equipment or facility rental/user fees may be requested only if such equipment/facility belongs to the applicant institution.*)
- e. Consultants and consultant services
- f. Applications may not request funds for, and awards under this NOFO may not be used for subawards
- g. Alteration or renovation of facilities
- h. Projects involving classified information
- i. Any references to climate change, environment, environmental science, diverse, diversity, equity, inclusion, underserved, underrepresented and related terms

## 9. Other Submission Requirements

An applicant may withdraw an application at any time before award by written notice or by email. Notice of withdrawal shall be sent to the Grants Officer identified in Section II.G of this NOFO. Withdrawals are effective upon receipt of notice by the Grants Officer.

### **E. Application Review Information (as directed by USW(R&E) memo, *Further Designation of a Senior Appointee for Grant Review Pursuant to Executive Order 14332, dated January 6, 2026*)**

#### 1. Criteria

Primary evaluation Criteria (of equal importance to each other) are:

- a. Scientific and technical merit of the proposed project.
- b. Relevance of the proposed project to the DoW critical technology areas or Agency(ies) research areas and potential contributions of the proposed activity to the DoW mission.
- c. Potential of the proposed project to develop new research capabilities or enhance existing research capabilities and to broaden the research base in support of national defense.
- d. Qualifications of the PI to achieve the objectives of the project.

Secondary evaluation criteria, of less importance than primary criteria but of equal importance to each other, are:

- e. Potential of the project to enhance research and research-related education capabilities in STEM disciplines and increase the number of students engaged in STEM disciplines.
- f. Realism and reasonableness of cost.

#### 2. Review and Selection Process

Applications will be evaluated by DoW subject matter experts using the above criteria. The most meritorious applications will be recommended for award commensurate with available funding. Approval of an award recommendation is the authority of the OUSW(R&E)/ASW(S&T). Applications may be handled for administrative purposes by support contractors. These support contractors are prohibited from submitting or collaborating on applications submitted under this NOFO and they are prohibited from collaborating with IHEs post-award. Support contractors are bound by non-disclosure and/or conflict of interest requirements.

#### 3. Compliance with Presidential Executive Orders

The review, selection, and award process will comply with Presidential Executive Order (EO) 14332, *Improving Oversight of Federal Grantmaking*, dated August 7, 2025. Sections 3 and 4 of the EO 14332 are notable and included below for reference. For the purposes of this NOFO, the “senior appointee,” as defined in EO 14332 and discussed in Sections 3 and 4 below, is the Assistant Secretary of War for Science and Technology.

**EO 14332, Sec. 3.** Strengthening Accountability for Agency Grantmaking. (a) Each agency head shall promptly designate a senior appointee who shall be responsible for creating a process to review new funding opportunity announcements and to review discretionary grants to ensure that they are consistent with agency priorities and the national interest. For the avoidance of doubt, this process shall not guarantee any particular level of review or consideration to funding applicants except as consistent with applicable law. As consistent with applicable law, this review process shall incorporate, at a minimum:

- (i) review and approval of agency funding opportunity announcements by one or more senior appointees or their designees;
- (ii) continuation of existing coordination with OMB;
- (iii) to the extent appropriate to the subject matter of the announcements, review by designated subject-matter experts as identified by the agency head or the agency head's designee;
- (iv) review of funding opportunity announcements and related forms to ensure that they include only such requirements as are necessary for an adequate evaluation of the application and are written in plain language with a goal of minimizing the need for legal or technical expertise in drafting an application;
- (v) interagency coordination to determine whether the subject matter of a particular funding opportunity announcement has already been addressed by another agency announcement and, if so, whether one of the announcements should be modified or withdrawn to promote consistency and eliminate redundancy;
- (vi) for scientific research discretionary grants, review by at least one subject matter expert in the field of the application, who may be a member of the grant review panel, the program officer, or an outside expert; and
- (vii) pre-issuance review of discretionary awards to ensure that the awards are consistent with applicable law, agency priorities, and the national interest, which shall involve in-person or virtual discussion of applications by grant review panels or program offices with a senior appointee or that appointee's designee.

(b) Agency heads shall designate one or more senior appointees to review discretionary awards on an annual basis for consistency with agency priorities and substantial progress. Such review shall include an accountability mechanism for officials responsible for selection and granting of the awards.

(c) Until such time as the process specified in subsection (a) of this section is in place, agencies shall not issue any new funding opportunity announcements without prior approval from the senior appointee designated under subsection (a) of this section, except as required by law.

**EO 14332, Sec. 4.** Considerations for Discretionary Awards. (a) Senior appointees and their designees shall not ministerially ratify or routinely defer to the recommendations of others in reviewing funding opportunity announcements or discretionary awards but shall instead use their independent judgment.

(b) In reviewing and approving funding opportunity announcements and discretionary awards, as well as in designing the review process described in section 3(a) of this order, senior appointees and

their designees shall, as relevant and to the extent consistent with applicable law, apply the following principles, including in any scoring rubrics used to assess grant proposals:

- (i) Discretionary awards must, where applicable, demonstrably advance the President's policy priorities.
- (ii) Discretionary awards shall not be used to fund, promote, encourage, subsidize, or facilitate:
  - A. racial preferences or other forms of racial discrimination by the grant recipient, including activities where race or intentional proxies for race will be used as a selection criterion for employment or program participation;
  - B. denial by the grant recipient of the sex binary in humans or the notion that sex is a chosen or mutable characteristic;
  - C. illegal immigration; or
  - D. any other initiatives that compromise public safety or promote anti-American values.
- (iii) All else being equal, preference for discretionary awards should be given to institutions with lower indirect cost rates.
- (iv) Discretionary grants should be given to a broad range of recipients rather than to a select group of repeat players. Research grants should be awarded to a mix of recipients likely to produce immediately demonstrable results and recipients with the potential for potentially longer-term, breakthrough results, in a manner consistent with the funding opportunity announcement.
- (v) Applicants should commit to complying with administration policies, procedures, and guidance respecting Gold Standard Science (Executive Order (EO) 14303, Restoring Gold Standard Science, signed on May 23, 2025--  
<https://www.whitehouse.gov/presidential-actions/2025/05/restoring-gold-standard-science/>).
- (vi) Discretionary awards should include clear benchmarks for measuring success and progress towards relevant goals and, as relevant for awards pertaining to scientific research, a commitment to achieving Gold Standard Science.
- (vii) To the extent institutional affiliation is considered in making discretionary awards, agencies should prioritize an institution's commitment to rigorous, reproducible scholarship over its historical reputation or perceived prestige. As to science grants, agencies should prioritize institutions that have demonstrated success in implementing Gold Standard Science.

(c) Nothing in this order shall be construed to discourage or prevent the use of peer review methods to evaluate proposals for discretionary awards or otherwise inform agency decision making, provided that peer review recommendations remain advisory and are not ministerially ratified, routinely deferred to, or otherwise treated as de facto binding by senior appointees or their designees. Further, nothing in this order shall be construed to create any rights to any particular level of review or consideration for any funding applicant except as consistent with applicable law.

#### 4. Anticipated Announcement and Federal Award Dates

Award decisions are expected to be announced in November 2026. The PI and the AOR will receive a letter via e-mail indicating whether the application was accepted or declined. Grant awards are expected to be issued by mid-January 2027.

## 5. Recipient Qualification

The Grants Officer is responsible for determining a recipient's qualification prior to award. In general, the 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:

- a. Have the management capability and adequate financial and technical resources, including 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;
- b. Have a satisfactory record of executing such programs or activities (if applicant is a previous recipient of a DoW-funded award);
- c. Have a satisfactory record of integrity and business ethics; and
- d. Be otherwise qualified and eligible to receive a grant or cooperative agreement under applicable laws and regulations.

Applicants are requested to provide information to assist the Army Grants Officer's evaluation of recipient qualifications. In accordance with Office of Management and Budget (OMB) guidance in parts 180 and 200 of Title 2, CFR, it is DoW policy that DoW Components must report and use integrity and performance information in the Federal Awardee Performance and Integrity Information System (FAPIS), or any successor system designated by OMB.

6. If the total Federal share of a grant or cooperative agreement will be greater than the simplified acquisition threshold (currently \$250,000), then:
  - a. The Army Grants Officer, prior to making an award, will review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIS) (see 41 U.S.C. 2313).
  - b. An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.
  - c. The Army Grants Officer 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. Award Notices

- a. Applicants, both successful and unsuccessful, will be notified via e-mail. Feedback will be provided upon request.
- b. The notification e-mail to successful applicants must not be regarded as a formal authorization to commit or expend funds. The Government is not obligated to provide any funding until the award document is signed by the Grants Officer.
- c. Successful applicants may be contacted by the Grants Officer if supplemental information is necessary to finalize an award. This may involve representations, certifications, revised budgets or budget explanations, or other information required for award execution. The award start date will be determined at that time.

### 2. Administrative and National Policy Requirements

- a. An award issued under this NOFO will be governed by the general terms and conditions in effect at the time of the award that conform to DoW's implementation of OMB guidance applicable to financial assistance in 2 CFR part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards." The DoW Research and Development General Terms and Conditions (latest version, **March 2025**) are available at <https://www.nre.navy.mil/work-with-us/manage-your-award/manage-grant-award/grants-terms-conditions>
- b. A recipient must comply with all applicable national policy requirements. The key national policy requirements that may relate to an award under this NOFO are included in the terms and conditions specified in paragraph 2.a. above.
- c. Grant awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. Statutes and Government-wide regulations require the certification to be submitted prior to award. When submitting your grant through Grants.gov, by completing blocks 18 and 19 of the SF 424 (R&R) Form, the grant applicant is providing the certification on lobbying required by 32 CFR Part 28; otherwise, a copy signed by the AOR must be provided. Below is the required certification:

CERTIFICATION AT APPENDIX A TO 32 CFR PART 28 REGARDING LOBBYING:  
Certification for Grants and Cooperative Agreements the undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, 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.

- (2) 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 this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit SF-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned 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 31 U.S.C. 1352. 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.

In accordance with Section 743 of P.L. 113-235, none of the funds appropriated or otherwise made available by that or any other Act may be made available for a grant or cooperative agreement with an entity that requires its employees or contractors seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting those employees or contractors 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 the information.

- d. **PROHIBITION ON CONTRACTING WITH ENTITIES THAT REQUIRED CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS – REPRESENTATION**  
Agreement with the representation below will be affirmed by checking the "I agree" box in block 17 of the SF-424 (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: Section 743 states that it does not contravene requirements applicable to SF 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

Recipients are required to submit the following representation with the application package IAW the instructions of this NOFO.

- e. **REPRESENTATIONS UNDER DOW ASSISTANCE AGREEMENTS:  
APPROPRIATIONS PROVISIONS ON TAX DELINQUENCY AND FELONY  
CONVICTIONS**

The applicant is [ ] is not [ ] a “Corporation” meaning any entity, including any institution of higher education, other nonprofit organization, or for-profit entity that has filed articles of incorporation.

If the applicant is a “Corporation” please complete the following representations:

(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 a 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 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 considerations before award decisions are made.

f. PROHIBITION ON CONTRACTING WITH ENTITIES USING CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT

Section 889 of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2019 (Public Law 115-232) prohibits the head of an executive agency from obligating or expending loan or grant funds to procure or obtain, extend, or renew a contract to procure or obtain, or enter into a contract (or extend or 105 renew a contract) to procure or obtain the equipment, services, or systems prohibited systems as identified in section 889 of the NDAA for FY 2019. For more information on how this applies to all grant recipients and sub-recipients after August 13, 2020, please see DoW Research General Terms and Conditions (SEP 2021) NP Article IV. Other national policy requirements, paragraph 18. b. Policy Requirements: The following list provides notable national policy requirements that may be applicable to an award. NOTE: The following is not an all-inclusive list of policy requirements. For assistance awards, refer to the DoW Research and Development General Terms and Conditions at <https://www.nre.navy.mil/work-with-us/manage-your-award/manage-grant-award/grantterms-conditions> for additional national policy requirements that may apply.

g. PROTECTION OF HUMAN SUBJECTS

The recipient must protect the rights and welfare of individuals who participate as human subjects in research under this award and comply fully with the requirements at 32 CFR part 219, Department of Defense Instruction (DoDI) 3216.02, 10 U.S.C. 980, the National Policy Requirements Concerning Live Organisms Terms and Conditions (Section A.1., Human Subjects, at 81 Federal Register 78380, Appendix C to Part 1122), and when applicable, Food and Drug Administration (FDA) policies and regulations.

The recipient must not begin performance of projects that use humans, human bio

specimens, or data derived from human subjects, also known as human subjects research (HSR), that is covered under 32 CFR part 219, or that meets exemption criteria under 32 CFR 219.104(d), or expends funding on such effort, until you receive a formal notification of approval from the cognizant DoW Human Research Protection Official (HRPO). Approval to perform HSR under this award is received after the HRPO has performed a review of the recipient's documentation of planned HSR activities and has officially furnished a concurrence with the recipient's determination as presented in the documentation.

In order for the HRPO to accomplish this concurrence review, the recipient must provide sufficient documentation to enable his or her assessment as follows:

- (i) For projects that use humans, human biospecimens, or data derived from humans, but are not HSR, the institution must provide a determination from its Human Research Protection Office or Institutional Review Board for concurrence from the HRPO.
- (ii) If the project is HSR (per 32 CFR 219.102(e)(1)) and meets an exemption criterion under 32 CFR 219.104(d), the documentation must include a citation of the exemption category under 32 CFR 219.104(d) and a rationale statement.
- (iii) If the recipient's activity is determined as "non-exempt research involving human subjects", the documentation must include: Assurance of Compliance (a written assurance that an institution will comply with requirements of 32 CFR Part 219, as well as the terms of the assurance) appropriate for the scope of work or program plan; and – Institutional Review Board (IRB) approval, as well as all documentation reviewed by the IRB to make their determination.

The HRPO retains final judgment on what activities constitute HSR, whether an exempt category applies, whether the risk determination is appropriate, and whether the planned HSR activities comply with the requirements in paragraph (a) of this section. The recipient must notify the Grants Officer/ immediately of any suspensions or terminations of the Assurance of Compliance. DoW staff, consultants, and advisory groups may independently review and inspect the recipient's research and research procedures involving human subjects and, based on such findings, DoW may prohibit research that presents unacceptable hazards or otherwise fails to comply with DoW requirements. Definitions for terms used in this section are found in DoDI 3216.02.

- h. ANIMAL USE: Prior to initiating any animal work under the award, the recipient must:
  - (i) Register the recipient's research, development, test, and evaluation or training facility with the Secretary of Agriculture in accordance with 7 U.S.C. 2136 and 9 CFR section 2.30, unless otherwise exempt from this requirement by meeting the conditions in 7 U.S.C. 2136 and 9 CFR parts 1-4 for the duration of the activity.
  - (ii) Have the recipient's proposed animal use approved in accordance with DoDI 3216.01, Use of Animals in DoW Programs by a DoW Component Headquarters Oversight Office.
  - (iii) Furnish evidence of such registration and approval to the grants officer.  
The recipient must make the animals on which the research is being conducted, and

all premises, facilities, vehicles, equipment, and records that support animal care and use available during business hours and at other times mutually agreeable to the recipient, the United States Department of Agriculture Office of Animal and Plant Health Inspection Service (USDA/APHIS) representative, personnel representing the DoW component oversight offices, as well as the grants officer, to ascertain that the recipient is compliant with 7 U.S.C. 2131 et seq., 9 CFR parts 1-4, and DoDI 3216.01. The recipient's care and use of animals must conform with the pertinent laws of the United States, regulations of the Department of Agriculture, and regulations, policies, and procedures of the DoW (see 7 U.S.C. 2131 et seq., 9 CFR parts 1-4, and DoDI 3216.01). (d) The recipient must acquire animals in accordance with DoDI 3216.01.

- i. **BIOLOGICAL SAFETY PROGRAM REQUIREMENTS:** Awards may be subject to biological safety program requirements IAW:

(a) Army Regulation (AR) 385-10, Chapter 20

[https://armypubs.army.mil/epubs/DR\\_pubs/DR\\_a/ARN34981-AR\\_385-10-000-WEB-1.pdf](https://armypubs.army.mil/epubs/DR_pubs/DR_a/ARN34981-AR_385-10-000-WEB-1.pdf)

(b) Department of Army (DA) Pamphlet (PAM) 385-69 on safety standards for microbiological and biomedical laboratories. This pamphlet requires the mandatory use of the latest edition of the U.S. Department of Health and Human Services, Centers for Disease Control and Prevention (CDC) and National Institutes of Health's (NIH) Biosafety in Microbiological and Biomedical Laboratories (BMBL)

[https://armypubs.army.mil/epubs/DR\\_pubs/DR\\_a/pdf/web/p385\\_69.pdf](https://armypubs.army.mil/epubs/DR_pubs/DR_a/pdf/web/p385_69.pdf)

(c) DoD Manual 6055.18-M, Enclosure 4, Section 13

<https://www.hsdl.org/?view&did=24365>

- j. **MILITARY RECRUITING:** This is to notify potential applicants that each grant or cooperative agreement awarded under this announcement to an institution of higher education must include the following term and condition:

(a) As a condition for receiving funds available to the DoW under this award, you agree that you are not an institution of higher education (as defined in 32 CFR part 216) that has a policy or practice that either prohibits, or in effect prevents:

(i) The Secretary of a Military Department from maintaining, establishing, or operating a unit of the Senior Reserve Officers Training Corps (ROTC)—in accordance with 10 U.S.C. 654 and other applicable Federal laws—at that institution (or any sub-element of that institution).

(ii) Any student at that institution (or any sub-element of that institution) from enrolling in a unit of the Senior ROTC at another institution of higher education.

(iii) The Secretary of a Military Department or Secretary of Homeland Security from gaining access to campuses, or access to students (who are 17 years of age or older) on campuses, for purposes of military recruiting in a manner that is at least equal in quality and scope to the access to campuses and to students that is provided to any other employer; or

(iv) Access by military recruiters for purposes of military recruiting to the names of students (who are 17 years of age or older and enrolled at that institution or any sub-element of that institution); their addresses, telephone listings, dates and places of birth, levels of education, academic majors, and degrees received; and the most recent educational institutions in which they were enrolled.

(b) If you are determined, using the procedures in 32 CFR part 216, to be such an institution of higher education during the period of performance of this award, we:

(i) Will cease all payments to you of DoW funds under this award and all other DoW grants and cooperative agreements; and

(ii) May suspend or terminate those awards unilaterally for material failure to comply with the award terms and conditions.

- k. **DRUG-FREE WORKPLACE:** The recipient must comply with drug-free workplace requirements in Subpart B of 2 CFR Part 26, which is the DoW implementation of 41 U.S.C. Chapter 81, “Drug-Free Workplace”
- l. **DEBARMENT AND SUSPENSION:** The recipient must comply with requirements regarding debarment and suspension in 2 CFR Part 1125. This includes requirements concerning the recipient’s principals under an award, as well as requirements concerning the recipient’s procurement transactions and subawards that are implemented in DoW Research and Development General Terms and Conditions PROC Articles I through III and Sub Article II.
- m. **REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION:** The recipient must report information about subawards and executive compensation as specified in the award term in Appendix A to 2 CFR Part 170, “Reporting subaward and executive compensation information,” modified as follows:
- (a) To accommodate any future designation of a different Government wide Web site for reporting subaward information, the Web site “<http://www.fsrs.gov>” cited in paragraphs a.2.i. and a.3 of the award provision is replaced by the phrase “<http://www.fsrs.gov> or successor OMB designated Web site for reporting subaward information”;
- (b) To accommodate any future designation of a different Government wide Web site for reporting executive compensation information, the Web site “<http://www.sam.gov>” cited in paragraph b.2.i. of the award provision is replaced by the phrase “<https://www.sam.gov> or successor OMB-designated Web site for reporting information on total compensation.”
- n. **Reporting**

Additional reports including number and types will be specified in the award document but will include as a minimum monthly financial status reports. **The reports shall be prepared and submitted in accordance with the procedures contained in the award document.** Reports and briefing material will also be required to document progress in accomplishing program metrics. Program metrics will include:

- The number of peer-reviewed papers, conference proceedings, book chapters, and citations will indicate the reach and uptake of your research findings across and

- beyond your specific field.
- The graduation of PhDs and the training of students will indicate how your research and outreach activities directly address the critical need of building a highly skilled STEM workforce for the DoW.
  - The number of students who applied to the Science, Mathematics, and Research Transformation (SMART) Scholarship-for-Service Program at your university.
  - The number of students accepted into the SMART Program at your university.
  - The number of interns who were placed in the DoW HBCU/MI Research Program and later matriculate into the DoW or Defense Industrial Base.
  - The number of undergraduate and graduate students enrolled in STEM disciplines during the performance period of DoW support.
  - The number of students that received an undergraduate or advanced degree in a STEM discipline.
  - The expansion of research infrastructure growth within your institution (instrumentation, research-engaged faculty, administration support).
  - The number of current and new grant awards and contracting programs to your institution on an annual basis beginning in the year the award was made. Data should capture both the number of awards and the dollar amounts.
  - The number of collaborations across departments or institutions.
  - The variety of funding sources secured.

**A final report that summarizes the project, tasks, and metrics, shown above, shall be submitted at the conclusion of the performance period for the award.**

If the total Federal share exceeds \$500,000 on any Federal award under a notice of funding opportunity, the post-award reporting requirements reflected in Appendix XII to 2 CFR 200 will be included in the award document. This requirement also applies to modifications of awards that: 1) increase the scope of the award, 2) are issued on or after January 1, 2016, and 3) increase the federal share of the award's total value to an amount that exceeds \$500,000.

### **G. Federal Awarding Agency Contacts**

For questions concerning programmatic content, applicants are advised to contact the Agencies' program managers identified in the documents (BAAs, NOFOs) listed in Section 1.B. above. For help with administrative questions or problems, points of contact are as follows:

For questions regarding program policy, contact:

Evelyn Kent  
Office of the Under Secretary of War for Research and Engineering (OUSW(R&E))  
[Evelyn.W.Kent.civ@mail.mil](mailto:Evelyn.W.Kent.civ@mail.mil)

Tamika Carey  
OUSW(R&E) HBCU/MI Program Analyst  
[Tamika.A.Carey.ctr@mail.mil](mailto:Tamika.A.Carey.ctr@mail.mil)

Tara Smith  
OUSW(R&E) HBCU/MI Program Analyst  
[Tara.L.Smith38.ctr@mail.mil](mailto:Tara.L.Smith38.ctr@mail.mil)

Questions regarding program execution and administration should be directed to:

Patrice D. Collins  
US Army Combat Capabilities Development Command (CCDC) - Army Research Laboratory  
(ARL)  
[patrice.d.collins.civ@army.mil](mailto:patrice.d.collins.civ@army.mil)

Marcia Johnson  
ARL HBCU/MI Program Specialist  
[marcia.a.johnson22.ctr@army.mil](mailto:marcia.a.johnson22.ctr@army.mil)

The Grants Officer for this NOFO:

William A. Creech  
US Army Contracting Command, Aberdeen Proving Ground RTP Division  
[William.A.Creech3.civ@army.mil](mailto:William.A.Creech3.civ@army.mil)

## **H. Other Submission Information**

An applicant may withdraw an application at any time before awarded by written notice or by e-mail. The AOR must send the notice of withdrawal to the Grants Officer of this NOFO. Withdrawals are effective upon receipt by the Grants Officer.

Applications must not include any information that has been identified as classified national security information under authorities established in Executive Order 12958, Classified National Security Information.

Applicants are advised that employees of commercial firms under contract to the government may be involved in administrative processing of applications. By submitting an application, an applicant consents to allowing access to its application(s) by these support contractors. All support contracts include nondisclosure agreements prohibiting their contractor employees from disclosing any information submitted by applicants.

### **Risk-Based Security Review Process**

All Covered Individuals proposed under this NOFO for all grants and cooperative agreements are subject to the OUSW(R&E) Fundamental Research Risk-Based Security Review Process. In accordance with applicable laws and regulations and as designated by agency policy, Covered Individuals include the Principal Investigator (PI) and one Co-PI(s), who “contributes in a substantive, meaningful way to the scientific development or execution of a research and development project.” See e.g., 42 U.S.C. §6605.

This risk-based security review process provides consistency in policy and procedures across all DoW Components. Risk-based-security reviews will be conducted of all Covered Individuals submitted with fundamental research proposals that are identified as “selectable and recommended for funding.” The risk-based security reviews will be conducted by reviewing the Standard Form (SF) 424, “Senior/Key Person Profile (Expanded),” its accompanying or

referenced documents, Common Disclosure Forms, and the Research Performance Progress Reports (when applicable), in concert with a risk decision matrix consistent with the DoW's Decision Matrix to Inform Fundamental Research Proposal Mitigation Decisions available at: <https://basicresearch.defense.gov/Programs/Academic-Research-Security/>

It is DoW policy that the publication of products of fundamental research will remain unrestricted to the maximum extent possible. National Security Decision Directive (NSDD) 189 defines fundamental research as follows:

Basic and applied research in science and engineering, the results of which ordinarily are published and shared broadly within the scientific community, as distinguished from proprietary research and from industrial development, design, production, and product utilization, the results of which ordinarily are restricted for proprietary or national security reasons.

As of the date of publication of this solicitation, the Government expects that program goals as described herein may be met by proposers intending to perform fundamental research and does not anticipate applying publication restrictions of any kind to individual awards for fundamental research that may result from this solicitation. Notwithstanding this statement of expectation, the Government is not prohibited from considering and selecting research proposals that, while perhaps not qualifying as fundamental research under the foregoing definition, still meet the solicitation criteria for submissions. If proposals are selected for award that offer other than a fundamental research solution, the Government will either work with the proposer to modify the proposed statement of work to bring the research back into line with fundamental research or else the proposer will agree to restrictions to receive an award.

University research institution performance under this solicitation will include efforts categorized as fundamental research. In addition to Government support for free and open scientific exchanges and dissemination of research results in a broad and unrestricted manner, the academic research performer or recipient, regardless of tier, acknowledges that such research may have implications that are important to U.S. national interests and must be protected against foreign influence and exploitation. As such, the academic or non-profit research performer or recipient agrees to comply with the following requirements:

a. On May 5, 2025, the Under Secretary of War for Research and Engineering (OUSW(R&E)) released an update to the initial June 8, 2023, memorandum, "Policy on Risk-Based Security Reviews on Fundamental Research," directing Components to establish a risk-based security review program to identify and mitigate undue foreign influence in fundamental research consistent with the requirements mandated by National Security Presidential Memorandum (NSPM)-33. In accordance with these requirements, all Covered Individuals proposed under all fundamental research proposals that are selected for award will be assessed for potential undue foreign influence risk factors relating to professional and financial activities. This will be done by evaluating information provided via the SF-424 and any accompanying or referenced documents to identify, as well as the Common Disclosure Forms, to assess any associations or affiliations the Covered Individuals may have with foreign countries of concern (FCOC) (i.e., The Peoples Republic of China, the Russian Federation, the Islamic Republic of Iran, and the Democratic People's Republic of North Korea) or FCOC connected entities.

b. The University or non-profit research institution, performer, or recipient must establish and maintain an internal process or procedure to address malign foreign talent programs, conflicts of commitment, conflicts of interest, and research integrity consistent with USW(R&E) direction.

The academic or non-profit research performer or recipient must also utilize due diligence to identify Foreign Components or participation by Covered Individuals in Foreign Government Talent Recruitment Programs and agree to share such information with the Government upon request.

i. The above-described information will be provided to the Government as part of the proposal in response to the solicitation and will be reviewed and assessed utilizing a risk-based security review process prior to award. Generally, this information will be included in the Research and Related Senior/Key Personnel Profile (Expanded) form (SF-424) and Common Disclosure Forms required as part of the proposer's submission through Grants.gov.

1. Instructions regarding how to fill out the SF-424 and its biographical sketch can be found through Grants.gov.

ii. The risk-based security review process takes into consideration the entirety of the Covered Individual's SF-424, current and pending support, and biographical sketch. Any identified potential risk factors, along with publicly or commercially available validation information, are then compared to a risk decision matrix consistent with the "DoW Component Decision Risk Matrix to Inform Fundamental Research Proposal Mitigation Decisions" to determine the level of mitigation that may be required to proceed, if possible.

iii. The risk-based security review process will leverage, among other things, publicly available lists or reports published by the U.S. federal government. Those lists and reports include, but are not limited to:

1. Lists Published in Response to Section 1286 of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Public Law 115-232), as amended.

2. Executive Order 13959 "Addressing the Threat From Securities Investments That Finance Communist Chinese Military Companies": [www.govinfo.gov/content/pkg/FR-2020-11-17/pdf/2020-25459.pdf](http://www.govinfo.gov/content/pkg/FR-2020-11-17/pdf/2020-25459.pdf)

3. The U.S. Department of Commerce, Bureau of Industry and Security, List of Parties of Concern: [www.bis.doc.gov/index.php/policyguidance/lists-of-parties-of-concern](http://www.bis.doc.gov/index.php/policyguidance/lists-of-parties-of-concern)

4. Director of National Intelligence (DNI) "World Wide Threat Assessment of the US Intelligence 28 Community": [www.dni.gov/files/ODNI/documents/assessments/ATA-2023-Unclassified-Report.pdf](http://www.dni.gov/files/ODNI/documents/assessments/ATA-2023-Unclassified-Report.pdf)

5. Various Defense Counterintelligence and Security Agency (DCSA) products regarding targeting of US technologies, adversary targeting of academia, and the exploitation of academic experts: [www.dcsa.mil](http://www.dcsa.mil)

iv. The DoW has explicitly stated that there are foreign influence risks that are not able to be mitigated and thus would require denial of award. They are:

1. BEGINNING IN FISCAL YEAR (FY) 2024 (1 OCTOBER 2023), NO U.S. INSTITUTION OF HIGHER LEARNING THAT HOSTS A CONFUCIUS INSTITUTE\* MAY RECEIVE DOW FUNDING UNLESS THE INSTITUTION OF HIGHER EDUCATION HAS BEEN ISSUED A WAIVER BY THE SECRETARY OF WAR PURSUANT TO SECTION 1062 OF THE WILLIAM M. (MAC) THORNBERRY NATIONAL DEFENSE AUTHORIZATION ACT FOR FY 2021. INSTITUTIONS

HOSTING A CONFUCIUS INSTITUTE ARE AUTOMATICALLY CLASSIFIED AS “PROHIBITED” UNDER OUSW(R&E) “POLICY ON RISK-BASED SECURITY REVIEWS ON FUNDAMENTAL RESEARCH.”

2. AS OF 9 AUGUST 2024, THE DOW IS PROHIBITED FROM FUNDING OR MAKING AN AWARD OF A FUNDAMENTAL RESEARCH PROJECT PROPOSAL IN WHICH A COVERED INDIVIDUAL IS ACTIVELY PARTICIPATING IN A MALIGN FOREIGN TALENT RECRUITMENT PROGRAM (MFTRP), PURSUANT TO SECTION 10632 OF THE CHIPS AND SCIENCE ACT OF 2022. INDIVIDUALS PARTICIPATING IN A MFTRP ARE AUTOMATICALLY CLASSIFIED AS “PROHIBITED.” UNDER OUSW(R&E) “POLICY ON RISK-BASED SECURITY REVIEWS ON FUNDAMENTAL RESEARCH.”

\* The term “Confucius Institute” means a cultural institute directly or indirectly funded by the Government of the People's Republic of China.

v. Any changes to Covered Individuals will require submission of an SF 424 and its attachments, Common Disclosure Forms, a security-based risk assessment, and approval by the contracting officer and program manager.

vi. Security-based risk assessments will also be conducted if changes to Covered Individuals reporting criteria are reflected in the Research Performance Progress Reports.

vii. To the greatest extent practicable, the DoW will work with the proposing institution to ensure that if the risk is able to be mitigated, it will make every effort to do so. If the proposing institution refuses to, or is unable to mitigate the identified risks, it may result in a denial of award.

viii. Proposing institutions who have their fundamental research proposal rejected due to the risk-based security review process or the inability to come to agreement concerning proposed mitigation strategies may challenge the risk-based security review decision. In that instance, the OUSW(R&E) will reconsider the project proposal as well as any additional documentation provided by the proposing institution to ensure that there was no erroneous interpretation of the material facts or law.

ix. This process, to include negotiation of risk mitigation measures, is not to be considered as part of the time-to-award.

c. Failure of the academic or non-profit research performer or recipient to reasonably exercise due diligence to discover or ensure that neither it nor any of its Covered Individuals involved in the subject award are participating in a Malign Foreign Government Talent Program or have a Foreign Component with a FCOC or FCOC connected entity may result in the Government exercising remedies in accordance with Federal law and regulation.

i. If, at any time during performance of this research award, the academic or nonprofit research performer or recipient should learn that it, its Covered Individuals, or applicable team members or sub-tier performers on this award are, or are believed to be, participants in a malign foreign government talent program or exhibiting behaviors/actions identified in the DoW Component Decision Matrix to Inform Fundamental Research Proposal Mitigation Decisions (i.e., funding from a FCOC or FCOC-connected entity, patents resulting from U.S. government funded research that were filed with a FCOC or on behalf of a FCOC-connected

entity, and associations or affiliations with foreign government connected entities), the performer or recipient will notify the Government Contracting Officer or Agreements Officer within 5 business days.

1. This disclosure must include specific information as to the personnel involved and the nature of the situation and relationship. The Government will have 30 business days to review this information and conduct any necessary fact-finding or discussion with the performer or recipient.

2. Such disclosure could result in a termination of award at the government's discretion.

3. If the University receives no response from the Government to its disclosure within 30 business days, it may presume that the Government has determined the disclosure does not represent a threat.

ii. The performer or recipient must flow down this provision to any subtier contracts or agreements involving direct participation in the performance of the research.

All analysis and assessment of affiliations and associations of Covered Individuals are compliant with Title VI of the Civil Rights Act of 1964. Information regarding race, color, or national origin is not collected and does not have bearing in the risk assessment. University or non-profit research institutions with proposals selected for negotiation that have been assessed as having potential undue foreign influence risk factors, as defined by the DoW Decision Matrix to Inform Fundamental Research Proposal Mitigation Decisions, will be given an opportunity during the negotiation process to mitigate the risk. The DoW reserves the right to request any follow-up information needed to assess potential risk factors or proposed risk mitigation strategies.

d. Definitions: Definitions can be found in the May 5, 2025, USW(R&E) memorandum, "Policy for Risk Based Security Reviews of Fundamental Research," or as it is amended.