



**ONR Announcement N0001426SF0001**

**NOTICE OF FUNDING OPPORTUNITY (NOFO)**

**Fiscal Year (FY) 2027 Department of the Navy (DoN) Historically Black  
Colleges and Universities/Minority Institutions (HBCU/MI) Program**

**Deadlines**

White Paper Inquiries and Questions

**09 September 2026 (Wednesday)**

White Papers must be received no later than

**18 September 2026 (Friday) at 5:00 PM Eastern Time**

Application Inquiries and Questions

**04 December 2026 (Friday)**

Applications must be received no later than

**11 December 2026 (Friday) at 5:00 PM Eastern Time**

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## Overview of the Research Opportunity

This publication constitutes a Notice of Funding Opportunity (NOFO) as contemplated in the Department of Defense Grants and Agreements regulations (DoDGARS) 32 CFR 22.315(a). The ONR reserves the right to fund all, some, or none of the proposals received under this NOFO. ONR provides no funding for direct reimbursement of proposal development costs. Technical and budget proposals (or any other material) submitted in response to this NOFO will not be returned. It is the policy of ONR to treat all white papers and proposals submitted under this NOFO as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

**Hyperlinks have been embedded within this document and appear as underlined, blue-colored words.** The reader may “jump” to the linked section by clicking the hyperlink.

Feedback: ONR is seeking feedback on the pre- and post-award process in order to improve communication and the overall process. Please provide your feedback to the questionnaires below, as appropriate.

Feedback on the pre-award process for an assistance award: <https://forms.osi.apps.mil/r/KDHbVQmme7>

Feedback on the post-award process for an assistance award: <https://forms.osi.apps.mil/r/yq3ZA1ziYQ>

## A. Basic Information

### 1. Federal Agency Name

Office of Naval Research  
One Liberty Center  
875 N. Randolph Street  
Arlington, VA 22203-1995

### 2. Funding Opportunity Title

Fiscal Year (FY) 2027 Department of the Navy (DoN) Historically Black Colleges and Universities/Minority Institutions (HBCU/MI) Program

### 3. Announcement Type

Initial

### 4. Funding Opportunity Number

**N0001426SF001**

### 5. Assistance Listing Number

12.300 Title: Department of War (DoW), Department of the Navy, Office of the Chief of Naval Research, Basic and Applied Research

### 6. Funding Details

Under this NOFO, ONR intends to award as follows:

- Total Amount of Funding Available: \$1,575,000
- Anticipated Number of Awards: 3
- Anticipated Range of Individual Award Amounts: \$450,000 - \$525,000
- Previous Year(s) Average Individual Award Amounts: \$525,000
- Anticipated Period of Performance: 3 years

## 7. Key Dates

<b>Anticipated Schedule of Events*</b>		
<b>Event</b>	<b>Date (MM/DD/YEAR)</b>	<b>Time (Local Eastern Time)</b>
Questions Regarding Eligibility and Technical Requirements **	09/09/2026 (Wednesday)	
White Papers Due	09/18/2026 (Friday)	5:00 PM Eastern Time
Notifications of Initial Navy Evaluations of White Papers*	11/06/2026 (Friday)	
Questions for Grants Officer Regarding Proposal Submission**	12/04/2026 (Friday)	
Invited Proposals Due Date	12/11/2026 (Friday)	5:00 PM Eastern Time
Notification of Selection for Award *	03/26/2027 (Friday)	
Start Date of Grant*	07/01/2027 (Thursday)	

\*These dates are estimates as of the date of this announcement.

\*\*Questions submitted after the Q&A deadlines may not be answered.

**IMPORTANT NOTE: White Papers are MANDATORY. Proposal submission is by invitation only.**

## 8. Executive Summary

The Department of Navy's (DoN) Historically Black Colleges and Universities/Minority Institutions (HBCU/MI) program is designed to increase the participation of HBCU/MIs in the Navy's research, development, test, and evaluation (RDT&E) programs and activities. As part of its mission, the program seeks to strengthen the capabilities of institutions to conduct basic and applied research, and increase the quality and quantity of science, technology, engineering, and mathematics (STEM) programs. A key priority of the program is funding research with a clear vision for maturing resulting technologies and transitioning them to the Fleet in support of our nation's Sailors, Marines, and Joint Warfighters.

Key programmatic objectives of the DoN HBCU/MI Program are achieved through the implementation and performance of three program goals:

- enhancing the research and educational capabilities of HBCU/MIs in scientific and engineering disciplines critical to the defense mission of the U.S. Navy and U.S. Marine Corps,
- encouraging cross-institutional, collaborative efforts that explore innovative solutions to naval science and technology (S&T) challenges, and
- increasing the engagement of students in STEM fields important to the U.S. Navy and U.S. Marine Corps.

This particular NOFO aims to enhance the research capacity and research infrastructure for HBCU/MIs. Competitive white papers and invited full proposals submitted to this NOFO must clearly and succinctly describe efforts that advance basic naval-relevant S&T, engage faculty and students in STEM discovery, and expand the research capacity of participant institutions. This announcement is only for research

efforts that also promote student/faculty engagement, and expand the institution's research capacity. This announcement is not intended for projects that focus on non-research STEM activities.

The technical content of any proposed effort must contribute to the S&T mission and vision of the DoN.

## 9. Agency Contact Information

All UNCLASSIFIED communications shall be submitted via e-mail as designated below.

Comments or questions submitted regarding this NOFO should be concise and to the point, eliminating any unnecessary verbiage. In addition, the relevant part and paragraph of the NOFO should be referenced. Questions submitted past the deadlines stated may not be answered. The due date for white paper and/or full proposal submission will not be extended.

- **Questions of a technical nature:**

Applicants are strongly encouraged to discuss their research ideas with a cognizant Naval Technical Point of Contact (to include a Subject Matter Expert, Program Officer, or Program Manager) in advance of white paper submission. Such discussion should aim to clarify the content and breadth of priority research areas and enhance the match between the Navy's research needs and the approach/direction of the proposed effort.

Naval Technical Points of Contact (TPoCs) should be affiliated with a Navy command, warfare center or lab to include the Office of Naval Research (ONR), the Naval Sea Systems Command (NAVSEA), the Naval Information Warfare Systems Command (NAVWAR), or U.S. Naval Research Laboratory (NRL) as examples. A list of ONR's Technology and Research Areas can be found at the following link along with contact information for cognizant TPoCs:

<https://www.onr.navy.mil/our-research/onr-technology-and-research>

- **Questions of a programmatic nature** shall be submitted to:

Point of Contact Name: Mr. Anthony C. Smith, Sr.  
Point of Contact Occupation Title: Program Director  
Division Title: DoN HBCU/MI Program  
Division Code: 34 Warfighter Performance  
Address: 875 N. Randolph Street, Arlington, VA 22203-1995  
Email Address: don\_hbcufoa@navy.mil

- **Questions regarding grant proposal submission** shall be submitted to:

Point of Contact Name: Ms. Veronica Lacey  
Point of Contact Occupation Title: Grants Officer  
Department: ONR Code 253  
Address: 875 N. Randolph Street, Arlington, VA 22203-1995  
Email Address: veronica.y.lacey.civ@us.navy.mil

## B. Eligibility

### 1. Eligibility for Competition

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

### 2. Eligible Applicants

Disclosures of current and pending support made in this application may render an applicant ineligible for funding. Prior to award and throughout the period of performance, DoW may continue to request updated continuing and pending support information, which will be reviewed and may result in discontinuation of funding.

As provided in 10 U.S.C. §4144, eligibility for this competition is only open to “covered educational institutions,” which are defined as:

- A. institutions of higher education eligible for assistance under Title III or V of the Higher Education Act of 1965 (20 U.S.C. 1051 et seq.); or
- B. accredited post-secondary minority institutions.

The Principal Investigator (PI) and all proposed personnel must be U.S. citizens on September 18, 2026 (Friday), the date white papers are due. In addition, the PI must have a full-time tenured, tenure-track, or tenure-track equivalent academic appointment at one of the seven types of covered educational institutions.

This is a single PI award. **No Co-PIs and no sub-awards will be permitted.**

Limitations on Number of Applications – There is no limitation on the number of applications an applicant (organization) may submit in response to this NOFO.

### 3. Funding Restrictions

Under this NOFO, approximately three (3) awards are anticipated. The estimated total value of each award is \$525,000, subject to the availability of funds. Each individual award will be up to a maximum of \$150,000 per year with additional funding for materials, equipment, and supplies for a maximum of up to three (3) years. As shown in the table below, in the first year, up to \$35,000 can be allocated for materials, equipment, and supplies; in year two, up to \$25,000 can be allocated for materials, equipment, and supplies; and in year three, up to \$15,000 can be allocated for materials, equipment, and supplies.

Option years will be funded incrementally based on applicant performance and adherence to established execution benchmarks. In summary, the limit for the maximum allocation for each year will be \$185,000 (for the first year), \$175,000 (for the second year), and \$165,000 (for the third year). The maximum allocation per year includes all funds awarded to the university, including indirect costs. White papers and full proposals with budgets that exceed \$525,000 will be considered non-responsive.

	<b>YEAR 1</b>	<b>YEAR 2</b>	<b>YEAR 3</b>
<b>BASE REQUEST</b>	\$150,000.00	\$150,000.00	\$150,000.00
<b>MATERIALS/EQUIPMENT/ SUPPLIES</b>	\$35,000.00	\$25,000.00	\$15,000.00
<b>TOTAL</b>	\$185,000.00	\$175,000.00	\$165,000.00
<b>GRANT TOTAL</b>			\$525,000.00

**\*Note that this table is an example of maximum allowable funding per year and category. This does not represent a guarantee of maximum funding.**

Projects selected for funding must be completed within the 3-year performance period. Any requests for no-cost extensions (NCEs) must be fully justified and submitted sufficiently no later than 90 days before the end of the period of performance. Automatic NCEs will not be approved. No applications for renewal or supplemental awards will be considered under any circumstance.

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 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.

1. In accordance with 2 CFR 200.216 and 200.471, all awards that are issued on or after August 13, 2020, recipients and subrecipients are prohibited from obligating or expending loan or grant funds to:
  - (1) Procure or obtain;
  - (2) Extend or renew a contract to procure or obtain; or
  - (3) Enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115-232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).
    - (i) For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).
    - (ii) Telecommunications or video surveillance services provided by such entities or using such equipment.
    - (iii) Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of War, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country.

2. In implementing the prohibition under Public Law 115-232, section 889, subsection (f), paragraph (1), heads of executive agencies administering loan, grant, or subsidy programs shall prioritize available funding and technical support to assist affected businesses, institutions and organizations as is reasonably necessary for those affected entities to transition from covered communications equipment and services, to procure replacement equipment and services, and to ensure that communications service to users and customers is sustained.
3. See Public Law 115-232, section 889 for additional information.

COVERED FOREIGN COUNTRY means the People's Republic of China.

#### 4. Contracted Fundamental Research

With regard to any restrictions on the conduct or outcome of work funded under this NOFO, ONR will follow the guidance on and definition of "contracted fundamental research" as provided in the Under Secretary of Defense (Acquisition, Technology and Logistics) Memorandum of 24 May 2010. The memorandum can be found at [https://www.acq.osd.mil/dpap/dars/pgi/docs/2012-D054%20Tab%20D%20OUSD%20\(ATL\)%20memorandum%20dated%20May%2024%202010.pdf](https://www.acq.osd.mil/dpap/dars/pgi/docs/2012-D054%20Tab%20D%20OUSD%20(ATL)%20memorandum%20dated%20May%2024%202010.pdf).

As defined therein the definition of "contracted fundamental research," in a DoW contractual context, includes research performed under grants and contracts that are (a) funded by RDT&E Budget Activity 1 (Basic Research), whether performed by universities or industry or (b) funded by Budget Activity 2 (Applied Research) and performed on campus at a university.

Pursuant to DoW policy, research performed under grants and contracts that are (a) funded by Budget Activity 2 (Applied Research) and NOT performed on-campus at a university or (b) funded by Budget Activity 3 (Advanced Technology Development) or Budget Activity 4 (Advanced Component Development and Prototypes) does not meet the definition of "contracted fundamental research." In conformance with the USD (AT&L) guidance and National Security Decision Directive 189 found at [https://www.acq.osd.mil/dpap/dars/pgi/docs/National\\_Security\\_Directive\\_189.pdf](https://www.acq.osd.mil/dpap/dars/pgi/docs/National_Security_Directive_189.pdf). ONR will place no restriction on the conduct or reporting of unclassified "contracted fundamental research," except as otherwise required by statute, regulation or executive order. The research shall not be considered fundamental in those rare and exceptional circumstances where the applied research effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the contract or grant. For certain research projects, it may be possible that although the research being performed by the prime contractor is restricted research, a subcontractor may be conducting "contracted fundamental research." In those cases, it is the prime contractor's responsibility in the proposal to identify and describe the subcontracted unclassified research and include a statement confirming that the work has been scoped, negotiated, and determined to be fundamental research according to the prime contractor and research performer.

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

## 5. Cost Sharing or Matching

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

## C. Program Description

This NOFO is executed under policy and guidance of the DoN HBCU/MI Program and is administered by the Office of Naval Research (ONR). Competitive white papers and invited full proposals submitted to this NOFO must clearly and succinctly describe efforts that advance basic naval-relevant S&T, engage faculty and students in STEM discovery, and expand the research capacity of participant institutions. This announcement is only for research efforts that also promote student/faculty engagement and expand the institution's research capacity. This announcement is not intended for projects that focus on non-research STEM activities.

Applicants are **strongly encouraged** to discuss their research ideas with a cognizant Naval Technical Point of Contact (to include a Subject Matter Expert, Program Officer, or Program Manager) in advance of white paper submission. Such discussion should aim to clarify the content and breadth of priority research areas and enhance the match between the DoN's research needs and the approach/direction of the proposed effort.

Naval Technical Points of Contact (TPoCs) should be affiliated with a Navy command, warfare center or lab to include the Office of Naval Research (ONR), the Naval Sea Systems Command (NAVSEA), the Naval Information Warfare Systems Command (NAVWAR), or U.S. Naval Research Laboratory (NRL) as examples. A list of ONR's Technology and Research Areas can be found at the following link along with contact information for cognizant TPoCs:

<https://www.onr.navy.mil/our-research/onr-technology-and-research>

The technical content of any proposed effort must contribute to the S&T mission and vision of the DoN and must align with ONR's S&T Focus Areas. The remainder of this section provides a list of Focus Areas and applicable areas of research. As an important note, the research areas presented in this section provide insight into key naval S&T challenges of interest but should not be considered an exhaustive list of eligible topics.

- **Artificial Intelligence and Autonomy**
  - Machine Learning
  - Adversarial AI & Autonomy
  - Intelligent and Collaborative Agents
  - Perception and Understanding
  - Autonomous Systems Control
  - Modeling and Simulation, Testing, and Verification & Validation (V&V)
  
- **Command, Control, Communications, Computers, Cyber, Intelligence, Surveillance, and Reconnaissance (C5ISR)**
  - Electromagnetic Warfare
  - Surveillance, Sensors, and Phenomenology
  - Quantum Positioning, Navigation, and Timing (PNT)
  - Communications and Networking
  - Intelligence, Decision Superiority, Command and Control (C2), and Combat Systems

- Full-Spectrum Cyber
- **Directed Energy Systems**
  - High Energy and Pulsed Lasers (HEL and PL)
  - High Power Microwaves (HPM)
  - Counter Directed Energy Weapons (CDEW)
  - DE Lethality and Operations Analysis (DE-LOA)
  - DE Capability Enablers (DE-CE)
- **Human and Biological Systems**
  - Warfighter Decision Superiority and Readiness (WDSR)
  - Medical and Human Performance Technologies (MHPT)
  - Bioinspired and Bioengineered Technologies (BBT)
  - Human Machine Teaming (HMT)
- **Kinetic Systems**
  - Propulsion Systems and Airframes
  - Improved Payloads
  - Find, Fix, Track, Target (F2T2) Enablers
  - Weapon Networking and Autonomy
- **Electronics**
  - RF Electronics
  - Nanoelectronics
  - Quantum Science & Technology
  - Analog & Mixed Signal Devices and Circuits
  - Power Electronics
  - EO/IR Sensor Components
  - Plasma Science
  - Electric Weapons Science & Technology
- **Manufacturing**
  - Process and Automation
  - Digital Tools
  - Integrated Manufacturing and Sustainment Technologies
- **Materials**
  - Sensor Materials
  - Extreme Environment Materials and Processes
  - Sustainable and Operationally Robust Materials
  - Integrated Materials Systems Technology
- **Naval Engineering**
  - Resilient Naval Systems Science and Engineering
  - Integrated Cyber-Physical Systems
  - Complex Systems and Design Sciences
- **Naval Aerospace**
  - Sea-Based Aviation
  - Naval Aviation Readiness and Sustainment

- Advanced Autonomy and Integration
- Aircraft Propulsion, Power, and Thermal Management
- **Naval Space**
  - Maritime Rocket Logistics
  - Maritime Space Payload Technology and Exploitation
  - Space-Based Maritime Domain Awareness
  - Space-Based Alt-PNT
- **Ocean, Atmosphere, and Space**
  - Understanding the Physical Battlespace
  - Battlespace Sensing Technology
  - Battlespace Prediction Systems
  - Battlespace Exploitation
- **Power and Energy**
  - Energy Storage
  - Power Generation
  - Thermal Management
  - Power Distribution, Control, and Resilience
- **Undersea Systems**
  - Undersea Sensors
  - Undersea Weapons and Effects
  - Undersea Distributed Systems

## 1. Instrument Type

The authority for awards is 10 U.S.C. 4001 in accordance with 31 U.S.C. 63. The applicable regulations are 2 CFR 200, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” as implemented by 2 CFR Chapter XI, Subchapter A and DoDGARs at 32 CFR Subchapter C.

- a. ***Grant***: A legal instrument that, consistent with 31 U.S.C. 6304, is used to enter into a relationship:
- The principal purpose of which is to transfer a thing of value to the recipient to carry out a public purpose of support or stimulation authorized by a law or the United States, rather than to acquire property or services for the Federal Government’s direct benefit or use.
  - Substantial involvement is not expected between the Federal Government and the recipient when carrying out the activity contemplated by the grant.
  - No fee or profit is allowed.
- b. ***Cooperative Agreement***: A legal instrument which, consistent with 31 U.S.C 6305, is used to enter into the same kind of relationship as a grant, except:
- Substantial involvement is expected between the Federal Government and the recipient when carrying out the activity contemplated by the cooperative agreement. (For information on the substantial involvement ONR expects to have in cooperative agreements, prospective applicants should contact the TPoCs identified in the research area of interest.)

- The term does not include “cooperative R&D agreement (CRADA)” as defined at 15.U.S.C. 3710a
- No fee or profit is allowed.
- In accordance with 10 U.S.C. §4021(i), as amended, the following information submitted during the solicitation and award process of Cooperative Agreement for performance of basic, applied, or advanced research authorized by [section 4001](#) are exempt from disclosure requirements of 5 U.S.C. §552, the Freedom of Information Act (FOIA), for a period of five years from the date the Department receives the information. Offerors should mark the following documents with a legend asserting that they are submitted on a confidential basis:
  - A proposal, proposal abstract, and supporting documents;
  - A business plan submitted on a business proprietary basis;
  - Technical information submitted on a controlled basis, as outlined in DoDI 5230.24, Distribution Statements on Technical Documents.

## 2. Model Grants

The model grants at the link below are only provided as examples. In the event of any conflict between these examples and current 2 CFR 200 Uniform Guidance or ONR terms and conditions, current 2 CFR 200 Uniform Guidance or ONR terms and conditions will govern.

Examples of model grants can be found on the ONR website at the following link:  
<https://www.onr.navy.mil/work-with-us/how-to-apply/submit-grant-application>

## D. Application Content and Format

### 1. Applications Contents and Format

#### a. General Information

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

White paper and full proposal titles should be descriptive of the proposed effort and not merely a copy of the NOFO’s title.

White papers are a mandatory part of the application process for this NOFO.

#### b. White Papers

##### *i. Format*

- Paper size – 8.5x11-inch
- Margins – 1 inch
- Spacing – single-spaced
- Font – Times New Roman, 12-point
- Page limit – 5 pages (exclusions listed below)

Note: The following components are excluded from the 5-page limit:

- Cover page,
- Cited references, and
- PI's curriculum vitae (CV)

ii. *Content*

White papers shall include the following:

- **Cover Page (not included in page limit):** This must include the words “White Paper” and the following:
  - NOFO Number: N0001426SF0001;
  - Title of proposal;
  - PI's name, telephone number, and e-mail address;
  - PI's Institution and the Institution's MI Status;
  - Focus Area;
  - Naval TPoC's name, e-mail address, and Navy affiliation
- **Summary (0.5 Page Maximum):** A one- to two- paragraph summary of the proposed effort. The summary should succinctly describe the research problem and objectives, technical approach, naval relevance, and anticipated outcomes of the research. A brief discussion of how the proposed effort will advance the state of the art should also be included. The summary should not include any proprietary or confidential information and should be suitable for public release.
- **Technical Concept (1.5 Page Maximum):** A description of the research including the objective, proposed approach, and technology innovation. Discussion of the project idea, technical rationale, and approach should clearly yet succinctly identify the naval S&T challenge(s) addressed, describe the methods that will be applied, and outline key limitations/constraints of the proposed solution. The applicant's capacities should be discussed as they relate to achieving success in the project and it should be clear how the proposed project will advance the state of the art in the context of related work. As a reminder, cited references will not be included in the 5- page limit of the white paper.
- **Student Engagement Strategy (1.0 Page Maximum):** A description of the plan to fully integrate undergraduate students, graduate students, post-docs, or some combination of each in planned research activities. A pool of students should be identified and a detailed discussion of their expected roles and contributions should be provided. This section should explicitly list the number of students who will contribute to the project at each level. Competitive white papers will provide an explicit list of tasks for each student who will contribute to the project.
- **Future Naval Relevance (1.0 Page Maximum):** A description of potential naval relevance and contributions of the effort toward addressing specific naval S&T challenges. Applicants are strongly encouraged to communicate with a Navy TPoC about the naval relevance of their proposed work prior to white paper submission. Such discussion should aim to clarify the content and breadth of priority research areas and enhance the match between the DoN's research needs and the approach/direction of the effort. In this section of the white paper, applicants must address whether they have discussed the proposed research effort with a Navy TPoC, provide the individual's name and contact information, and list the affiliated Navy command, warfare center or lab. For evaluation purposes, failure to provide contact information and discussion results will be evaluated as an indicator that there was no contact with a Navy TPoC. If an applicant tried to engage a Navy TPoC and did not receive a response, that should be explicitly stated in this section. As a reminder, competitive white papers will also include the outcome of discussions;

namely, whether a white paper was encouraged, if the initial approach was modified as a result of the discussion, or some other outcome.

- **Rough Order of Magnitude (ROM) (1.0 Page Maximum):** An overview of proposed costs. The ROM should be segmented into categories of salaries and benefits, materials and supplies, travel, costs associated with student participation (i.e., tuition and fees, etc.) and indirect costs. The ROM must be formatted as a table that summarizes projected costs per category, per year and provides the totals of both columns and rows.
- **Curriculum Vitae (2.0 Page Maximum; not included in page limit):** The white paper must include the abbreviated CV of the Principal Investigator. The CV will not be included in the 5-page limit of the white paper but must not exceed the 2.0 page maximum.

c. Full Proposals

Prospective applicants must complete the mandatory forms in accordance with the instructions provided on the forms and the additional instructions below. Files that are attached to the forms must be in Adobe Portable Document Format (.PDF); cannot contain macros; and cannot be password protected. **If an attachment is not PDF, contain macros or is password protected, they will not pass ONR's automated acceptance check and will need to be resubmitted.** Block 2, "Type of Application" on the SF 424 should be marked "New" on the resubmission.

i. *Format for Technical Proposal*

- Paper size – 8.5 x 11 inch
- Margins – 1 inch
- Spacing – single-spaced
- Font – Times New Roman, 12-point
- Page Limit – Technical Proposal: No more than 15 single-sided pages

NOTE: The following components are *excluded* from the page limit

- Cover page
- Table of contents
- Project Overview
- Responsibility
- Data Management Plan
- Bibliography & Referenced Cited

NOTE: There are no page limitations for the budget.

ii. *Content*

**NOTE: The electronic file name for all documents submitted under this NOFO must not exceed 68 characters in length, including the file name extension.**

**Mandatory SF 424 Research and Related (R&R) Family Forms**

**The mandatory forms are found at: <https://www.grants/forms/forms-repository/r-r-family>**

**i. SF 424 (R&R)**

The SF 424 (R&R) form must be used as the cover page for all proposals. Complete all required fields in accordance with the “pop-up” instructions on the form and the following instructions for specific fields. Please complete the SF 424 first, as some fields on the SF 424 are used to auto-populate fields on other forms. Guidance can be found at: <https://www.grants.gov/forms/forms-repository/r-r-family>

The completion of most fields is self-explanatory with the exception of the following special instructions:

- Field 3 - Date Received by State: Leave Blank
- Field 4a - Federal Identifier: For new proposals, enter N00014. If the application is a renewal or expansion of an existing award, enter the ONR award number.
- Field 4b - Agency Routing Number: Enter the three (3) digit Program Office Code and the Program Officer’s name, last name first, in brackets (e.g., 331 [Smith, John]). Note: There is a space between the code and the first [ and between the , and the First Name. There is no space between the first [ and the last name.

➤ For this NOFO, please use the following: **340 [Smith, Anthony]**

Applicants who fail to provide a Program Officer Code identifier may receive a notice that their proposal is rejected.

- Field 4c - Previous Grants.gov Tracking ID: If this submission is for a Changed/Corrected Application, enter the Grants.gov tracking number of the previous proposal submission; otherwise, leave blank.
- Field 5 – Application Information: Email address entered by the grantee on the SF 424 application to create the EDA notification profile. ONR recommends that organizations provide a global business address.
- Field 7 - Type of Applicant. Complete as indicated: If the organization is a Minority Institution, select “Other” and under “Other (Specify)” note that the institution is a Minority Institution (MI).
- Field 9 - Name of Federal Agency: List the Office of Naval Research as the reviewing agency. This field is pre-populated in Grants.gov.
- Field 11 – Descriptive Title of Applicant’s Project: Include the ONR White Paper Tracking Number provided to the applicant by ONR.
- Field 14 – Project Director/Principal Investigator: Email address entered by the grantee on the SF 424 application to create the EDA notification profile
- Field 16 - Is Application Subject to Review by State Executive Order 12372 Process? Choose “No”. Check “Program is Not Covered by Executive Order 12372.”
- Field 17 – Certification: All awards require some form of certifications of compliance with national policy requirements. By checking “I Agree” on the SF 424 (R&R) block 17 you agree to abide by the

following statement: “By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. code, Title18, Section 1001). In addition, the Financial Assistance General Certifications and Representations must be completed in SAM.gov (<https://sam.gov/>).

- **Field 19 – Authorized Representative:** Email address entered by the grantee on the SF 424 application to create the EDA notification profile.

## ii. PROJECT SUMMARY/ABSTRACT

The Project Summary/Abstract must identify the research problem and objectives, technical approaches, anticipated outcome of the research, if successful, and impact on DoW capabilities. Use only characters available on a standard QWERTY keyboard. Spell out all Greek letters, other non-English letters, and symbols. Graphics are not allowed and there is a one page or 4,000-character including spaces limit whichever is less.

Do not include proprietary or confidential information. The Project Summary/Abstract must be marked by the applicant as “Approved for Public Release”. Abstracts of all funded research projects will be posted on the public DTIC website: <https://discover.dtic.mil/public-access-search/>

As an important note: the **Project Summary/Abstract** is distinct from the **Project Overview** described below in Field 8 of the next section.

## iii. RESEARCH AND RELATED OTHER PROJECT INFORMATION

- **Fields 1 and 1a – Human Subject Use:** Each proposal must address human subject involvement in the research by completing Fields 1 and 1a of the R&R Other Project Information form. For proposals containing activities that include or may include “research involving human subject” as defined in DoDI 3216.02, prior to award, **the Applicant must submit the required documentation under “Use of Human Subjects in Research” ([Section H](#))**.
- **Fields 2 and 2a – Vertebrate Animal Use:** Each proposal must address animal use protocols by addressing Fields 2 and 2a of the R&R Other Project Information form. If animals are to be utilized in the research effort proposed, **the applicant must submit the documents described under “Use of Animals” ([Section H](#))**.
- **Fields 4a through 4d – Environmental Compliance:** Address these fields and briefly indicate whether the intended research will result in environmental impacts outside the laboratory, and how the applicant will ensure compliance with environmental statutes and regulations.

Federal agencies making grant or cooperative agreement awards and recipients of such awards must comply with all applicable environmental planning and regulatory compliance requirements. The National Environmental Policy Act of 1969 (NEPA), 42 U.S.C. § 4321 et seq. for example, requires that agencies consider the environmental impact of “major Federal actions” prior to any final agency decision. With respect to those awards which constitute “major Federal actions,” as defined in 40 CFR 1508.18, federal

agencies may be required to comply with NEPA and prepare environmental planning documentation such as an environmental impact statement (EIS), even if the agency does no more than provide grant funds to the recipient. Most field research funded by ONR, however, constitute activities covered by a NEPA categorical exclusion that do not require preparation of further environmental planning documentation. This is particularly true with regard to basic and applied scientific research conducted entirely within the confines of a laboratory, if the research complies with all other applicable safety, environmental and natural resource conservation laws. Questions regarding NEPA or other environmental planning or regulatory compliance issues should be referred to the technical point of contact.

- **Field 7 – Project Summary/Abstract:** Leave Field 7 blank; complete Form SF 424 Project Abstract. If an error message occurs when leaving Block 7 blank, upload the Project Abstract.
- **Field 8 – Project Narrative:** Clearly describe the research, including the objective and approach to be performed, keeping the evaluation criteria in mind. Attach the entire proposal narrative to R&R Other Project Information form in Field 8. To attach a Project Narrative to Field 8, click on “Add attachment” and attach the technical proposal as a single PDF file. Save the file as “Technical Proposal” as typing in the box is prohibited.

The technical proposal must describe the research in sections as described below:

- **Cover Page (not included in page limit):** This must include the words “Technical Proposal” and the following:
  - NOFO Number: N0001426SF0001;
  - Title of proposal;
  - PI’s name, telephone number, and e-mail address;
  - PI’s institution and the institution’s MI Status;
  - Naval TPoC’s name, e-mail address, and Navy affiliation
- **Table of Contents (not included in page limit):** An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.
- **Project Overview (not included in page limit):** A **one-page** overview of the proposal. Note, the project overview is different from the Project Summary/Abstract. The overview must include a succinct discussion of the **proposed research**, a **statement of naval relevance**, and a **statement of student engagement**; each statement must be preceded by an appropriate heading. The discussion of the proposed research must succinctly describe the problem addressed, research objectives, proposed approach, and expected outcomes. The statement of naval relevance must describe how the proposed work will address a well-defined naval S&T challenge. The statement of student engagement must provide an overview of the number of students who will contribute to the project, distinguish whether students will be undergraduate students, graduate students, post-docs or some combination of each and discuss how students will advance implementation of the proposed work.
- **Technical Approach (included in page limit):** The scientific or technical concepts that will be investigated, providing the complete research plan. The technical approach must describe what is innovative about the proposed research, discuss the proposed approach in relation to alternate approaches, and describe the results, new knowledge, or insights that will result from successful completion of the project.

- **Future Naval Relevance (included in page limit):** A description of potential naval relevance and contributions of the effort to the agency’s specific mission.
- **Goals and Benchmarks (included in page limit):** An overview of the goals for the project, schedule of events, and milestones. Describe the goals of the research and **the benchmarks that will be used to measure the progress and success of those goals**. A Gantt chart or other summarizing visual is encouraged for this section.
- **Student Engagement Strategy (included in page limit):** A description of how undergraduate students, graduate students, post-docs, or some combination of each will be fully integrated into the proposed research activities, contribute to the proposed research, and advance the proposed effort. A pool of students must be identified and an explicit discussion of the expected roles, tasks, and contributions to research outcomes of each individual student should be provided. This section should explicitly state the number of students who will contribute to the project at each level.
- **Management Approach (included in page limit):** A description of the overall management approach and rationale for participation of key team members. Describe the planned relationships with any collaborators. This is a single PI award; if there are collaborators, explain how the proposed team fits the single PI structure. If appropriate, briefly describe how the anticipated schedule aligns with the management approach.
- **Principal Investigator Qualifications and Gold Standard Science (included in page limit):** A discussion of the qualifications of the proposed Principal Investigator and their ability to implement Gold Standard Science. In addition to providing insight into the expertise and capabilities that will be critical in moving the proposed effort forward, the PI must also discuss their success in implementing Gold Standard Science in accordance with Executive Order 14303 – Restoring Gold Standard Science: (<https://www.federalregister.gov/documents/2025/05/29/2025-09802/restoring-gold-standard-science>).
- **Responsibility (included in page limit):** Applicants must provide the following information to ONR in order to assist in ONR’s evaluation of the applicant’s responsibility:
  - Describe how you have adequate resources or the ability to obtain such resources as required to complete the activities proposed.
  - Describe how you have the ability to comply with the grant conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
  - Describe your performance history; specifically, your record in managing Federal awards and the extent to which any previously awarded amounts will be expended prior to future awards.
  - Describe your record of integrity and business ethics.
  - Describe qualifications and eligibility to receive an award under applicable laws and regulations.
  - Describe your organization, experience, accounting, and operational controls and technical skills or the ability to obtain them (including as appropriate such elements as property control systems, quality assurance measures, and safety programs applicable to the efforts to be performed).
- **Data Management Plan (not included in page limit):** A data management plan is a document that describes which data generated through the course of the proposed research will be shared and preserved, how it will be done, or explains why data sharing or preservation is not possible or scientifically appropriate, or why the costs of sharing or preservation are incommensurate with the value of doing so. See also: [DoD Instruction 3200.12](#).

- In no more than 2 pages, discuss the following:
  - The types of data, software, and other materials to be produced.
  - How the data will be acquired.
  - Time and location of data acquisition, if scientifically pertinent.
  - How the data will be processed.
  - The file formats and the naming conventions that will be used.
  - A description of the quality assurance and quality control measures during collection, analysis, and processing.
  - A description of dataset origin when existing data resources are used.
  - A description of the standards to be used for data and metadata format and content.
  - Appropriate timeframe for preservation.
  - The plan may consider the balance between the relative value of data preservation and other factors such as the associated cost and administrative burden. The plan will provide a justification for such decisions.
  - A statement that the data cannot be made available to the public when there are national security or controlled unclassified information concerns (e.g., “This data cannot be cleared for public release in accordance with the requirements in DoD Instruction 5230.09.”) ( DoD Instruction 5230.09 can be found at: <https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/523009p.pdf?ver=nuEwULZ-197fNysiam2Mnw%3d%3d>)
- **Field 9** – Bibliography & Referenced Cited: Upload your Bibliography/Referenced cited as a single PDF.
- **Field 10** – Facilities & Other Resources: Describe facilities available for performing the proposed research and any additional facilities the applicant proposes to acquire at its own expense. Indicate government-owned facilities already possessed that will be used. (Additional equipment will not be provided unless the research cannot be completed by any other practical means.)
- **Field 11** – Equipment: Describe any equipment available or any additional equipment the application proposes to acquire at its own expense. Indicate government owned equipment that will be used. Justify the need for each equipment item and provide vendor quotes. (Additional equipment will not be provided unless the research cannot be completed by any other practical means.)
- **Field 12** – Other Attachments: Optional, as necessary

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

#### iv. **RESEARCH AND RELATED BUDGET**

The applicant must use the Grants.gov forms (including the Standard Form (SF) Research and Related (R&R) Budget Form) from the application package template associated with the NOFO on the Grants.gov web site located at <http://www.grants.gov/>. If options are proposed, the cost proposal must provide the pricing information for the option periods; failure to include the proposed costs for the option periods will result in the options not being included in the award.

The applicant shall provide a detailed cost breakdown of all costs, by cost category.

A separate Adobe .pdf document shall be included in the application that provides appropriate justification and/or supporting documentation for each element of cost proposed and includes a link to the

current audit report. This document shall be attached under Section L. “Budget Justification” of the Research and Related Budget form. Click “Add Attachment” to attach.

- Part 1: The itemized budget should include the following. All costs should be rounded to the nearest dollar.
- Direct Labor – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates. Provide escalation rates for out years.
- Administrative and Clerical Labor – Salaries of administrative and clerical staff are normally indirect costs (and included in an indirect cost rate). Direct charging of these costs may be appropriate when a major project requires an extensive amount of administrative or clerical support significantly greater than normal and routine levels of support. Budgets proposing direct charging of administrative or clerical salaries must be supported with a budget justification which adequately describes the major project and the administrative and/or clerical work to be performed.

Fringe Benefits and Indirect Costs (Facilities and Administration (F&A), Overhead, G&A, etc.)

The proposal shall show the rates and calculation of the costs for each rate category. If the rates have been approved/negotiated by a Government agency, provide a copy of the memorandum/agreement. If the non-Federal entity has never received a negotiated indirect cost rate, they may elect to charge a de minimis rate of 15% of modified total direct costs or provide sufficient detail to enable a determination of allowability, allocability and reasonableness of the allocation bases, and how the rates are calculated. See 2 CFR 200.414(f) regarding the use of a de minimis rate. Additional information may be requested, if needed. If composite rates are used, provide the calculations used in deriving the composite rates.

- Travel – The proposed travel cost **must** include the following for each trip: the purpose of the trip, origin and destination if known, approximate duration, the number of travelers, and the estimated cost per trip must be justified based on the organizations historical average cost per trip or other reasonable basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principles. Applicants may include travel costs for the Principal Investigator to attend the peer reviews described in [Section H](#) of this NOFO. A sample Travel Estimate Spreadsheet with the required information is located at the following link: <https://www.onr.navy.mil/work-with-us/how-to-apply/submit-grant-application>.
- Materials & Supplies – In the budget justification, indicate general categories (e.g., glassware, chemicals, animal costs, etc.) and if the total cost of all the items in the category is less than \$1,000, itemization is not required, but include the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). If the total cost for the category is greater than or equal to \$1,000, provide an itemized list of all proposed materials and supplies including quantities, unit prices, and the basis of estimate (e.g., quotes, prior purchases, catalog price lists).
- Recipient Acquired Equipment or Facilities – Equipment and/or facilities are normally furnished by the Recipient. If acquisition of equipment and/or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all equipment and/or facilities costs and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, laptops, office equipment) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if

proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort. Applicants must provide vendor quotes for any proposed capital equipment costs.

- Other Direct Costs – Provide an itemized list of all other proposed other direct costs such as Graduate Assistant tuition, laboratory fees, report and publication costs, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).

The funds provided by ONR (including ONRG), generally may not be used to pay for food or beverages as a direct cost except in exceptional circumstances. The funds shall not be used for food or beverages unless

- a. The grant proposal contains a request for such funding that is fully supported factually in accordance with the cost principles of the relevant OMB Circular, and
- b. The Grants Officer determines that the funding is a reasonable, allocable, allowable expense under the relevant cost principles.

- Fee/Profit – Fee/profit is unallowable under assistance agreements at either the prime or subaward level but may be permitted on contracts issued by the prime awardee.

v. **RESEARCH AND RELATED SENIOR/KEY PERSON PROFILE (EXPANDED)**

To evaluate compliance with Title IX of the Education Amendments of 1972 (20 U.S.C. A§ 1681 Et. Seq.), the Department of War is collecting certain demographic and career information to be able to assess the success rates of women who are proposed for key roles in applications in STEM disciplines. In addition, the National Defense Authorization Act (NDAA) for FY 2019, Section 1286, directs the Secretary of Defense to protect intellectual property, controlled information, key personnel, and information about critical technologies relevant to national security and limit undue influence, including foreign talent programs by countries that desire to exploit United States’ technology within the DoW research, science and technology, and innovation enterprise.

The R&R Senior/Key Person Profile (Expanded) form has inputs to collect both ”biosketch” and “current and pending support” by using the common forms located at:  
[https://www.nsf.gov/bfa/dias/policy/nstc\\_disclosure.jsp](https://www.nsf.gov/bfa/dias/policy/nstc_disclosure.jsp).

The Privacy Act and Burden Statement for the Common Form for Biographical Sketch and Current and Pending (Other) Support Information can be found at the following link under How to Submit a Grant Application – Full Application Submission: <https://www.onr.navy.mil/work-with-us/how-to-apply/submit-grant-application>

**\*\*The SciENcv format may be used if it includes the same details and information as the NSF Common Form format, including a valid date and signature.**

Additional senior/key persons, biographical sketches, and current and pending support can be added by selecting the “Add Attachment” or “Next Person” button. Note that, although applications without these fields completed may pass Grants.gov edit checks, if ONR receives an application without the required information, ONR may determine that the application is incomplete and may cause it to be returned without further review. DoW reserves the right to request further details from the applicant before making a final determination on funding the effort.

vi. **RESEARCH AND RELATED PERSONAL DATA**

This form will be used by ONR as the source of demographic information, such as gender, race, ethnicity, and disability information for the Project Director/Principal Investigator and all other persons identified as Co-Project Director(s)/Co-Principal Investigator(s). Each application must include this form with the name fields of the Project Director/Principal Investigator and any Co-Project Director(s)/Co-Principal Investigator(s) completed; however, provision of the demographic information in the form is voluntary. If completing the form for multiple individuals, each Co-Director/Co-Principal Investigator can be added by selecting the “Next Person” button. The demographic information may be accessible to the reviewer but will not be considered in the evaluation. Applicants who do not wish to provide some or all of the information should check or select the “Do not wish to provide” option.

## E. Submission Requirements and Deadlines

### 1. Address to Request Application Package

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

- Grants.gov ([www.grants.gov](http://www.grants.gov))
- ONR website (<https://www.onr.navy.mil/work-with-us/funding-opportunities>)

### 2. Unique Entity Identifier (UEI) and System for Award Management (SAM)

All applicants submitting proposals or applications **must**:

- a. Be registered in SAM prior to submission;
- b. Provide a valid UEI number in each application or proposal it submits to the agency;
- c. Obtain a CAGE Code;
- d. Maintain an active SAM registration with current information at all times during which it has an active Federal award or an application under consideration by a Federal awarding agency; and
- e. Ensure your Repts and Certs are updated annually.

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

A Federal awarding agency may not make a Federal award to an applicant/offeror until the applicant has complied with all applicable unique entity identifier and SAM requirements and, if an applicant/offeror has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the applicant/offeror is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant/offeror.

### 3. Submission Instructions

#### a. White Paper Submission Instructions

ONR utilizes the ONR Submission portal for the submission of white papers. The ONR Submission portal is a web portal that bridges the gap between government agencies and performers to streamline the process of doing business with the government. Through this portal, performers will be able to submit white papers and ask questions. To access the ONR Submission Portal go to:

<https://submissions.nre.navy.mil/>

The following **Technical Area, Code, and Program Officer** should be used on the **Submission Info** tab of the portal when submitting your white paper to ensure that it is routed properly for review:

ONR Technology and Research: **HBCU/MI**

ONR Program Officer/Point of Contact (POC) CODE: **34**

ONR Program Officer/Point of Contact (POC): **Anthony Smith**

#### i. *How to register for ONR Submission Portal*

A registration and submission guide for the ONR Submission Portal can be found at:

<https://submissions.nre.navy.mil/UserSupport/UserSupportPage>.

#### ii. *ONR Submission Portal Assistance*

If you need assistance, the ONR Submission Portal Support Team is standing by to assist you.

Email: ONR.NCR.053.list.onedesk@us.navy.mil

Phone: 948-215-3003 option “0”

Hours: Monday – Friday, 6 a.m. to 6 p.m. ET. Closed on Federal Holidays.

#### b. Full Proposal Submission Instructions

##### i. Grants.gov Application Submission and Receipt Procedures

*This section provides the application submission and receipt instructions for the Office of Naval Research (ONR) program applications. Please read the following instructions carefully and completely.*

a. Electronic Delivery

ONR is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. ONR applicants shall submit their applications online through Grants.gov.

b. How to Register for Grants.gov

- (1) *Instructions:* Read the instructions below about registering to apply for ONR funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

Organizations must have an active System for Award Management (SAM) registration, and Grants.gov account to apply for grants. If individual applicants are eligible to apply for this funding opportunity, then you may begin with step 3, Create a Grants.gov Account, listed below.

Creating a Grants.gov account can be completed online in minutes, but SAM registrations may take additional time. Therefore, an organization's registration should be done in sufficient time to ensure it does not impact the entity's ability to meet required application submission deadlines.

Complete organization instructions can be found on Grants.gov here:

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

1) *Register with SAM:* All organizations applying online through Grants.gov must register with the System for Award Management (SAM). Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually.

For more detailed instructions for registering with SAM, refer to:

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

2) *Create a Grants.gov Account:* The next step in the registration process is to create an account with Grants.gov. Follow the on-screen instructions provided on the registration page.

3) *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 Number for the organization in the UEI field. For more detailed instructions about creating a profile on Grants.gov, refer to:

<https://www.grants.gov/applicants/applicant-registration/ebiz-poc-authorizes-profile-roles>

4) *EBiz POC Authorize Profile Roles:* After you register with Grants.gov and create 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 you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been assigned the AOR role. For more detailed instructions about creating a profile on Grants.gov, refer to:

<https://www.grants.gov/applicants/applicant-registration/ebiz-poc-authorizes-profile-roles>

5) *Track Role Status:* To track your role request, refer to:

NOFO N0001426SF001

FY27DON HBCU/MI PROGRAM

<https://www.grants.gov/applicants/applicant-registration/track-profile-role-status>

- (2) *Electronic Signature:* When applications are submitted through Grants.gov, the name of the organization's AOR that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC must authorize individuals who are able to make legally binding commitments on behalf of the organization as an AOR; this step is often missed, and it is crucial for valid and timely submissions.

ii. *How to Submit an Application to the Office of Naval Research via Grants.gov*

White papers must **NOT** be submitted through the Grants.gov application process. White paper submissions must be submitted through ONR Submission Portal.

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

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different web forms within an application. For each funding opportunity announcement (NOFO), you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to:

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

- 1) *Create a Workspace:* Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
- 2) *Complete a Workspace:* Add participants to the workspace, complete all the required forms, and check for errors before submission. 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.
  - a. *Adobe Reader:* If you decide not to apply by filling out web forms you can download individual PDF forms in Workspace so that they will appear similar to other Standard or ONR forms. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at: <https://www.grants.gov/applicants/adobe-software-compatibility>

- b. *Mandatory Fields in Forms:* In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.
- c. *Complete SF 424 Fields First:* The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and UEI number. To trigger this feature, an applicant

must complete the SF 424 information first. Once it is completed, the information will transfer to the other forms.

3) *Submit a Workspace*: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.

4) *Track a Workspace*: After successfully submitting a workspace package, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the package. The number will be listed on the Confirmation page that is generated after submission. 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>

#### c. Applicant Support

Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at [support@grants.gov](mailto:support@grants.gov). (Foreign applicants should contact 1-606-545-5035.) For questions related to the specific grant opportunity, contact the number listed in the application package of the grant for which you are applying.

If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a number. The Support Center ticket number will assist ONR with tracking your issue and understanding background information on the issue.

#### 4. Submission Dates and Times

See [Section A.7](#) above, “Key Dates” for information.

##### a. Timely Receipt Requirements and Proof of Timely Submission

###### *i. Online Submission*

All applications must be received by **5:00 PM** Eastern time on **11 December 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 AOR will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. Applicant AORs will also receive the official date/time stamp and Grants.gov tracking number in an email serving as proof of their timely submission.

When the Office of Naval Research successfully retrieves the application from Grants.gov, and acknowledges the download of submissions, Grants.gov will provide an electronic acknowledgment of receipt of the application to the email address of the applicant with the AOR role. Again, proof of timely

submission shall be the official date and time that Grants.gov receives your application. Applications received by Grants.gov after the established due date for the program will be considered late and will not be considered for funding by the Office of Naval Research.

Applicants using unreliable internet connections should be aware that the process of completing the Workspace can take some time. Therefore, applicants should allow enough time to prepare and submit the application before the package closing date. 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.

**DoW strongly recommends applications are submitted no later than two (2) business days ahead of submission deadline to ensure sufficient time for any corrections that may be required.**

#### b. Proposal Receipt Notice

After a proposal is submitted through Grants.gov, the Authorized Organization Representative (AOR) will receive a series of three emails. It is extremely important that the AOR watch for and save each of the emails. You will know that your proposal has reached the DoW agency when the AOR receives email Number 3. You will need the Submission Receipt Number (email Number 1) to track a submission. The three emails are:

- Number 1 – The Applicant will receive a confirmation page upon completing the submission to Grants.gov. This confirmation page is a record of the time and date stamp that is used to determine whether the proposal was submitted.
- Number 2 – The Applicant will receive an email indicating that the proposal has been validated by Grants.gov within two days of submission (This means that all of the required fields have been completed). After an institution submits an application, Grants.gov generates a submission receipt via email and also sets the application status to “Received.” This receipt verifies the application has been successfully delivered to the Grants.gov system. Next, Grants.gov verifies the submission is valid by ensuring it does not contain viruses, the opportunity is still open, and the Applicant login and Applicant UEI number match. If the submission is valid, Grants.gov generates a submission validation receipt via email and sets the application status to “Validated.” If the application is not validated, the application status is set to "Rejected." The system sends a rejection email notification to the institution, and the institution must resubmit the application package. Applicants can track the status of their application by logging in to Grants.gov.
- Number 3 – The third notice is an acknowledgment of receipt via email from DoW within ten days from the proposal due date, if applicable. The email is sent to the authorized representative for the institution. The email notes that the proposal has been received and provides the assigned tracking number.

## F. Application Review Information

### 1. Responsiveness Reviews



(NDAA) for FY 2019, Section 1286, as amended by Section 1299C of the NDAA for 2021, ONR will assess risk associated with Foreign Talent Recruitment Programs, Funding Sources, Patent Filings, and Associations/Affiliations with persons or entities on the U.S. Bureau of Industry and Security Denied Entity Lists. ONR will consider the protection of intellectual property, controlled information, key personnel, and information about critical technologies relevant to national security and limiting undue influence. Consideration will be given to improper technology transfer, intellectual property theft, or cyber or human espionage, entities known to recruit foreign individuals for the purpose of transferring knowledge, provide misleading information or attempt to conceal the connections of an individual or institution or pose a serious risk of improper technology transfer of data, technology, or research that is not published or publicly available. (See <https://media.defense.gov/2023/Jun/29/2003251160/-1/-1/1/COUNTERING-UNWANTED-INFLUENCE-IN-DEPARTMENT-FUNDED-RESEARCH-AT-INSTITUTIONS-OF-HIGHER-EDUCATION.PDF> for additional information.)

(5) The availability of funds. *(Not applicable to white papers.)*

In addition, per NDAA 2021 Section 1062, beginning October 1, 2024, DoW may not fund institutions of higher education (as defined by 20 U.S.C 1002) that host a Confucius Institute, other than amounts provided directly to students as education assistance, unless a waiver is provided. A Confucius Institute is defined as a cultural institute directly or indirectly funded by the Government of the People's Republic of China.

Criteria 1, 2, 3, 4 and 5 are equally important.

### 3. Review and Selection Process

#### a. Evaluation

Applications will not be evaluated against each other since they are not submitted in accordance with a common work statement. ONR's intent is to review all applications received as soon as possible after they arrive; however, applications may be reviewed periodically for administrative reasons.

The ultimate recommendation for award of applications is made by ONR's scientific /technical community. Recommended applications will then be forwarded to the ONR Contracts and Grant Awards Management office. Any notification received from ONR that indicates that the Applicant's full proposal has been recommended does not ultimately guarantee an award will be made. This notice indicates that the application has been selected in accordance with the evaluation criteria stated above and has been sent to the Grant's Department to conduct cost analysis, determine the Applicant's responsibility, to confirm whether funds are available, and to take other relevant steps necessary prior to making an award.

#### b. Options

The Government will evaluate options for award purposes by adding the total cost for all options to the total cost for the basic requirement. Evaluation of options will not obligate the Government to exercise the options during contract or grant performance. The Government reserves the right to exercise options at time of award and to incrementally fund the option.

c. Evaluation Panel

Technical and cost proposals submitted under this NOFO will be protected from unauthorized disclosure. The cognizant Program Officer and other Government scientific experts will perform the evaluation of technical proposals. Restrictive notices notwithstanding, one or more support contractors may be utilized as subject-matter-expert technical consultants. However, proposal selection and award decisions are solely the responsibility of Government personnel. Each support contractor's employee having access to technical and cost proposals submitted in response to this NOFO will be required to sign the ONR Non-Disclosure Agreement (NDA) for Contractor Support prior to receipt of any proposal submissions. This NDA includes third-party beneficiary language giving the submitter of proprietary information a right of direct action against the contractor employee and/or his/her employer in the event that the NDA is violated.

4. Risk Review

The Grants Officer is responsible for determining a recipient's qualification prior to award. In general, a Grants Officer will award grant and cooperative agreements only to qualified recipients that meet the standards at 32 CFR 22.415. To be qualified, a potential recipient must:

- Have the management capability and adequate financial and technical resources, given those that would be made available through the grant or cooperative agreement, to execute the program of activities envisioned under the grant or cooperative agreement.
- Have a satisfactory record of executing such programs or activities (if a prior recipient of an award);
- Have a satisfactory record of integrity and business ethics; and
- Be otherwise qualified and eligible to receive a grant or cooperative agreement under applicable laws and regulations. Applicants are requested to provide information with proposal submissions to assist the Grants Officer's evaluation of recipient qualification.

**FAPIS**

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 Responsibility/Qualifications section of SAM.gov, or any successor system designated by OMB, concerning grants and cooperative agreements as follows:

If the total Federal share will be greater than the simplified acquisition threshold on and Federal award under a notice of funding opportunity (see 2 CFR 200.88 Simplified Acquisition Threshold):

- i. The Federal awarding agency, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, will review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (see 41 U.S.C. 2313);
- ii. An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM;

- iii. The Federal awarding agency will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 2 CFR 200.205 Federal awarding agency review of risk posed by applicants.

## G. Award Notices

### 1. Email

All applicants will receive a notification email advising if their proposal has been selected or not selected for recommendation for award.

Applicants whose proposals are recommended for award may be contacted by a Grant Specialist to discuss additional information required for award. This may include representations and certifications, revised budgets or budget explanations, and/or other information as applicable to the proposed award.

***The notification e-mail must not be regarded as an authorization to commit or expend funds. The Government is not obligated to provide any funding until a Government Grants Officer or Agreements Officer, as applicable, signs the award document.***

If pre-award costs are allowed, beginning performance is at the applicant's own risk.

The award document signed by the Grants Officer or Agreements Officer is the official authorizing the award instrument.

### 2. Electronic Document Access (EDA)

Office of Naval Research (ONR) award/modification documents are only available via the Department of War (DoW) Electronic Document Access System (EDA) within the Procurement Integrated Enterprise Environment (PIEE) (<https://piee.eb.mil>).

## H. Post-Award Requirements and Administration

### 1. Administrative and National Policy Requirements

Any assistance instrument awarded under this announcement will be governed by the award terms and conditions that conform to DoW's implementation of Office of Management and Budget (OMB) guidance applicable to financial assistance. The DoD Terms and Conditions and the ONR Addendum and ONR Programmatic Requirements are located at <https://www.onr.navy.mil/work-with-us/manage-your-award/manage-grant-award/grants-terms-conditions>.

#### a. Export Control

Applicants are responsible for ensuring compliance with all U.S. export control laws and regulations, including the International Traffic in Arms Regulations (ITAR)(22 CFR Parts 120 - 130) and Export Administration Regulations (EAR) (15 CFR Parts 730 – 774), as applicable. In some cases, developmental items funded by the Department of War are now included on the United States Munitions List (USML) (22 CFR Part 121) and are therefore subject to ITAR jurisdiction. In other cases, items that were previously included on the USML have been moved to the EAR Commerce Control List (CCL). Applicants should address in their proposals whether ITAR or EAR restrictions apply to the work they are proposing to perform for ONR. The ITAR and EAR are available online at <http://www.ecfr.gov/cgi-bin/ECFR?page=browse>.

Applicants must comply with all U.S. export control laws and regulations, including the ITAR and EAR, in the performance of any award or agreement resulting from this NOFO. Applicants shall be responsible for obtaining any required licenses or other approvals, or license exemptions or exceptions if applicable, for exports of hardware, technical data, and software (including deemed exports), or for the provision of technical assistance.

b. Requirements Concerning Live Organisms:

*i. Use of Animals:*

The DoW policies and requirements for the use of animals in DoW-supported research are described in the current version of DoD Instruction 3216.01, Use of Animals in DoD Conducted and Supported Research and Training and its implementing instruction, DHA-MSR 6025.02, “The Care And Use Of Animals In DoD Research, Development, Test, And Evaluation (RDT&E) Or Training Programs,” the version of which is current at the time of award. If animals are to be utilized in the research effort proposed, the Applicant must submit a Full Appendix or Abbreviated Appendix (see Guidance link below) with supporting documentation (such as copies of Institutional Animal Care and Use Committee (IACUC) Approval, IACUC Approved Protocol, and most recent United States Department of Agriculture (USDA) Inspection Report) prior to award. For assistance with submission of animal research related documentation, contact the ONR Animal Use Administrator at (948) 215-2947 or [suzanne.b.may.civ@us.navy.mil](mailto:suzanne.b.may.civ@us.navy.mil). Guidance: <https://www.onr.navy.mil/work-with-us/how-to-apply/compliance-and-protections/research-protections/animal-use>

*ii. Use of Human Subjects in Research:*

- (1) Applicants must protect the rights and welfare of individuals who participate as human subjects in research awarded pursuant to this NOFO and must comply with the requirements of the Common Rule at 32 CFR part 219 (the DoW implementation of 45 CFR part 46) and applicable provisions of DoD Instruction 3216.02, Protection of Human Subjects and Adherence to Ethical Standards in DoD-Conducted and -Supported Research (Change 1, (June 29, 2022), the DON implementation of the human research protection program contained in SECNAVINST 3900.39E Change 1, (or its replacement), 10 USC 980 “Limitation on Use of Humans as Experimental Subjects,” and when applicable, Food and Drug Administration (FDA) and other federal and state law and regulations.

(2) For proposals containing activities that include or may include “research involving human subjects” as defined in DoDI 3216.02, prior to award, the Applicant must submit documentation of:

- (a) Approval from an Institutional Review Board (IRB) (IRB-approved research protocol, IRB-approved informed consent document, documentation showing the IRB considered the scientific merit of the research and other material considered by the IRB); proof of completed human research training (e.g., training certificate for the principal investigator, and institutional verification that the principal investigator, co-investigators, and research support personnel have received appropriate training to be considered qualified to execute the research); and the Applicant’s Department of Health and Human Services (DHHS)-issued Federal Wide Assurance (FWA#), including notifications of any FWA suspensions or terminations.
- (b) Any claimed exemption under 32 CFR 219.104), including the category of exemption, supporting documentation considered by the Applicant’s institution in making the determination (e.g., protocol, data collection tools, advertisements, etc.). The documentation shall include a short rationale supporting the exemption determination. This documentation should be signed by the IRB Chair or IRB vice Chair, designated IRB administrator or official of the Applicant’s human research protection program.
- (c) Any determinations that the proposal does not contain activities that constitute research involving human subjects or contains only activities that are deemed not to be research under 32 CFR 219.102(1), including supporting documentation considered by the Applicant’s institution in making the determination. This documentation should be issued by the IRB Chair or IRB vice Chair, designated IRB administrator or official of the Applicant’s human research protection program.
- (d) Documentation must be submitted to the ONR Human Research Protection Official (HRPO), by way of the ONR Program Officer. The HRPO retains final judgment on whether the documentation satisfies the use of human subjects in research requirements. For assistance with submission of human subject research related documentation, contact the ONR Human Research Protection Official (HRPO) at (948) 215-2947 or [suzanee.b.may.civ@us.navy.mil](mailto:suzanee.b.may.civ@us.navy.mil).
- (e) Grant awards and any subawards or modifications will include a statement indicating successful completion of the HRPO review. Research involving human subjects must not be commenced under any contract award or modification or any subcontract or grant subaward or modification until awardee receives notification from the Contracting or Grants Officer that the HRPO has approved the assurance as appropriate for the research under the award or modification and that the HRPO has reviewed the protocol and accepted the IRB approval or determination for compliance with Federal, DoW and DoN research protection requirements. The Government will not reimburse or otherwise pay for work performed in violation of this requirement. guidance: <http://www.onr.navy.mil/work-with-us/how-to-apply/compliance-and-protections/research-protections/human-subject-research>

c. Biosafety and Biosecurity Requirements:

Applicants must comply with applicable provisions of the current version of DODM 6055.18, Safety Standards for Microbiological and Biomedical Laboratories, including ensuring compliance with standards meeting at least the minimum applicable requirements of the current edition of Centers for Disease Control and Prevention, “Biosafety in Microbiological and Biomedical Laboratories (BMBL),” and National Institutes of Health, “The NIH Guidelines for Research Involving Recombinant or Synthetic

Nucleic Acid Molecules (NIH Guidelines)” and any applicable FDA requirements.

d. Research Involving Recombinant (rDNA) or Synthetic Nucleic Acid Molecules:

Applicants must not begin performance of research within the scope of “The NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules (NIH Guidelines)” until receiving notice from the Contracting or Grants Officer that ONR has reviewed and accepted the Applicant’s documentation. In order for ONR to accomplish that review, an applicant must provide the Contracting or Grants Officer, generally as part of an original proposal prior to award, sufficient documentation to enable the review, including:

- (1) A written statement that the Applicant is in compliance with NIH Guidelines or applicable FDA requirements. This statement should be made by an official of the institution other than the Principal Investigator and should be on university or company letterhead.
- (2) Evidence demonstrating that the proposed research protocol has been approved (or determined exempt from the NIH Guidelines) by an Institutional Biosafety Committee (IBC); and a copy of the Department of Health and Human Services (DHHS) Letter of Approval of the IBC, or the most recent letter from DHHS stating the IBC is in compliance with the NIH Guidelines. For assistance with requirements involving countries outside the United States, please contact the ONR HRPO at (948) 215-2947 or [suzanee.b.may.civ@us.navy.mil](mailto:suzanee.b.may.civ@us.navy.mil).

e. Institutional Dual Use Research of Concern:

As of September 24, 2015, all institutions and United States Government (USG) funding agencies subject to the United States Government Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern must comply with all the requirements listed therein. In 2024 a new U.S. Government Policy for Oversight of Dual Use Research of Concern and Pathogens with Enhanced Pandemic Potential (DURC/PEPP) was developed. In compliance with the Executive Order on [“Improving the Safety and Security of Biological Research,”](#) federal departments and agencies will revise or replace the 2024 DURC/PEPP policy. The revised policy will be located at: <https://aspr.hhs.gov/S3/Pages/Dual-Use-Research-of-Concern-Oversight-Policy-Framework.aspx>.

f. Department of Defense High Performance Computing Modernization Program:

The DoD High Performance Computing Modernization Program (HPCMP) furnishes the DoW S&T and RDT&E communities with use-access to very powerful high performance computing systems. Awardees of ONR grants and other assistance instruments may be eligible to use HPCMP assets in support of their funded activities if ONR Program Officer Approval is obtained and if security/screening requirements are favorably completed. Additional information and an application may be found at: <https://www.hpc.mil/>.

g. Project Review Meetings and Program Review Meetings:

Individual Project Review Meetings between the ONR sponsor and the performer may be held as necessary. Project Review Meetings typically last approximately one half of a workday. Typically, there is one in-person Project Review Meetings each year. Additional Project Review Meetings may occur, but

these will be accomplished by video telephone conferences, telephone conferences, or web-based collaboration tools.

In addition to Project Review Meetings, Program Review Meetings may be held to provide a forum for reviews of the latest results from individual project experiments and any other incremental project progress towards major demonstrations. There are no Program Review Meetings anticipated at this time.

For cost estimating purposes, applicants should assume that two of the project review meetings will be at or near ONR, Arlington VA.

h. Federal Funding Accountability and Transparency Act of 2006:

The Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by Section 6202 of Public Law 110-252 and expanded by the Digital Accountability and Transparency Act of 2014 (Public Law 113-101), requires that all agencies establish requirements for recipients reporting information on subawards and executive total compensation as codified in 2 CFR Part 170. Any company, non-profit agency or university that applies for financial assistance (either grants or cooperative agreements) as either a prime or sub-recipient under this NOFO must provide information in its proposal that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR Part 170 Appendix A. Entities are required to meet reporting requirements unless an exception or exemption applies. Please refer to 2 CFR Part 170, including Appendix A, for a detailed explanation of the requirements, exceptions, and exemptions.

i. Financial Assistance Certification:

The Federal Assistance Certifications Report is an attestation that the entity will abide by the requirements of the various laws and regulations; therefore, as applicable, you are still required to submit any documentation, including the SF LLL Disclosure of Lobby Activities (if applicable), and disclosure of any unpaid delinquent tax liability or a felony conviction under any Federal law.

j. Certifications Regarding Restrictions on Lobbying:

Grant awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. Grant applicants shall provide this certification by electronic submission of SF 424 (R&R) as a part of the electronic proposal submitted via <https://www.grants.gov/> (complete Block 17). The following certification applies likewise to each grant seeking federal assistance funds exceeding \$100,000:

(1) No Federal appropriated funds have been paid or will be paid by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(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 the

Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 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.

- k. Certifications Regarding the Prohibition on Using Funds with Entities that Require Certain Internal Confidentiality Agreements (Grant Information Circular (GIC) 19-02 November 2019) (Supplement to SF 424 (R&R), block 17, Financial Assistance Certifications and Representations)
  - i. By checking "I Agree" on the SF 424 (R&R) block 17 you agree to abide by the following statement: "By signing this application, I certify (1) to the statements contained in the list certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. code, Title 18, Section 1001)."
  - ii. The certification 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.
- l. Certification Regarding Disclosure of Funding Sources (Supplement to SF 424, block 17, Financial Assistance Certifications and Representations

By checking "I Agree" on the SF 424 (R&R) block 17 you agree to abide by the following statement: "By signing this application, I certify the proposing entity is in compliance with Section 223(a) of the William M. (Mac) Thornberry National Defense Authorization Act for Fiscal Year 2021 which requires that: (a) the PI and other key personnel certify that the current and pending support provided on the proposal is current, accurate and complete; (b) agree to update such disclosure at the request of the agency prior to the award of support and at any subsequent time the agency determines appropriate during the term of the award; and (c) the PI and other key personnel have been made aware of the requirements under Section 223(a)(1) of this Act. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. code, Title 18, Section 1001)."

m. Conflict of Interest

Applicants for assistance are required to comply with 2 CFR 200.318(c), Codes of Conduct, to prevent real or apparent conflicts of interest in the award and administration of any contracts by which a recipient or subrecipient purchases property or services, supported by federal funds.

(1) General Requirement for Disclosure

You and your organization must disclose any potential or actual scientific or nonscientific conflict of interest(s) to us. You must also disclose any potential or actual conflict(s) of interest for any identified sub recipient you include in your application. We may have to ask you more questions if we need more information.

At our discretion, we may ask you for a conflict of interest mitigation plan after you submit your application. Your plan is subject to our approval.

(2) Scientific Conflict of Interest

Scientific collaborations on research and development projects are generally the result of close collaboration prior to the submission of applications for support. Accordingly, these collaborations should be considered when considering potential conflicts of interest. Therefore, you must include in your list of current and pending support all collaborators, even if they did not formally provide support.

n. Code of Conduct

Applicants for assistance are required to comply with 2 CFR 200.318(c), Codes of Conduct, to prevent real or apparent conflicts of interest in the award and administration of any contracts supported by federal funds. This provision will be incorporated into all assistance instruments awarded under this NOFO.

o. Peer Review

In the case of proposals funded as basic research, ONR may utilize peer reviewers from academia, industry, and Government agencies to assist in the periodic appraisal of performance under the awards, as outlined in ONR Instruction 3966.1A. Such periodic peer reviews monitor the quality of funded basic research efforts. The reviews are used in part to determine which basic research projects will receive continued ONR funding. Peer reviewers who are not U.S. Government employees must sign nondisclosure agreements before receiving full or partial copies of proposals and reports submitted by the basic research performers. Applicants may include travel costs for the Principal Investigator (PI) to attend the peer review. Peer reviews may consider information derived from individual project or program review meetings (see NOFO [Section H.1.g.](#) for further guidance).

p. Requirements for Operation and Procurement of Commercial Of the Shelf Unmanned Aircraft Systems

- (1) Commercial Off-The-Shelf Unmanned Aircraft Systems (COTS UAS) may not be purchased pursuant to this grant or assistance agreement or contract or other transaction agreement for prototype until a Cyber Exception to Policy (ETP) is obtained by the cognizant ONR Program Officer.
- (2) Exception. A Cyber ETP is not required when the research is supported via a grant award AND it is unclassified and funded with either basic research funds (i.e., 6.1) or applied research funds (i.e., 6.2) and performed on campus by a university. For all other grants and assistance agreements, a Cyber ETP must be obtained prior to purchase and/or flight operations.
- (3) Notwithstanding (2) above, a Cyber ETP is required for all efforts (regardless of award or funding type) that involve interactions with military personnel, DoW property, or DoW facilities; work conducted by US Government laboratories, UARCs, or FFRDCs; or are Public Aircraft Operation (PAO), classified, or explore specific military utility. For these efforts, and depending on the UAS platform and Cyber Operating Environment, a Cyber ETP, FAA issued Certificate of Airworthiness or a NAVAIR Airworks Authority to Operate (ATO) must be obtained.
- (4) Prospective or current performers are required to notify the cognizant ONR Program Officer of any anticipated COTS UAS purchase that may be subject to exception at time of white paper, proposal submission or award changes. Performers shall provide documentation specifying the details including the type of drone, effort, location, etc.
- (5) Performers will agree to cooperate and provide additional information as requested to support the cyber vulnerability assessment and other requirements identified above in (3).

Notwithstanding, procedures and requirements identified above, restrictions identified in Section 848 of the National Defense Authorization Act for Fiscal Year 2023, Pub. L. No. 116-92, 10 U.S.C 4871 note, as amended, continue to apply. Performers are notified that effective October 1, 2024 additional restrictions will apply to new awards, extensions or renewals of existing contracts. See 10 U.S.C. 4871 Note for additional information on restrictions.

q. Research Integrity

Offerors and Performers must foster an atmosphere conducive to research integrity and comply with requirements concerning research misconduct that apply to federally funded research and to proposals submitted to ONR for funding. The government wide policy published by the Office of Science and Technology Policy in the Federal Register (65 FR 76260, December 6, 2000) is implemented by DoW at DODI 3210.7 “Research Integrity and Misconduct” and by ONR at ONRINST 5041.2A “Policy for Handling Allegations of Scientific Research Misconduct”.

Gold Standard Science (Supplement to SF 424 (R&R), block 17, Financial Assistance Certifications and Representations)

By Checking “I Agree” on the SF 424 (R&R) block 17, you agree to comply with the administration policies, procedures and guidance respecting the Gold Standard Science in accordance with EO 14303. (<https://www.federalregister.gov/documents/2025/05/29/2025-09802/restoring-gold-standard-science>)

## 2. Reporting

If the Federal share of any Federal award may include more than \$500,000 over the period of performance, the post award reporting requirements, Award Term and Condition for Recipient Integrity and Performance Matters (2 CFR Part 200 Appendix XII), are applicable as follows:

### Reporting of Matters Related to Recipient Integrity and Performance

**General Reporting Requirement.** If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under 41 U.S.C. 2313. All information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

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

- i. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;
- ii. Reached its final disposition during the most recent five-year period; and
- iii. Is one of the following:
  - a) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;
  - b) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;
  - c) An administrative proceeding, as defined in paragraph 5. of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000; or
  - d) Any other criminal, civil, or administrative proceeding if:
    - 1) It could have led to an outcome described in paragraph 2.c. (1), (2), or (3) of this award term and condition;
    - 2) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and
    - 3) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

### a. Reporting Procedures

Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph 2 of this award term and condition. You do not need to submit the information a

second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under Federal procurement contracts that you were awarded.

b. Reporting Frequency

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

c. Definitions.

For purposes of this award term and condition:

- i. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.
- ii. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.
- iii. Total value of currently active grants, cooperative agreements, and procurement contracts includes—
  - 1) Only the Federal share of the funding under any Federal award with a recipient cost share or match; and
  - 2) The value of all expected funding increments under a Federal award and options, even if not yet exercised.

d. Post Award Reporting Requirements

The post award reporting requirements can be found under the relevant ONR Addendum to the DoD R&D General Terms and Conditions and ONR Programmatic Requirements located at the following link: <https://www.onr.navy.mil/work-with-us/manage-your-award/manage-grant-award/grants-terms-conditions>.