



ONR FOA Announcement N00014-20-S-F007Amendment 0001

**Funding Opportunity Announcement FY2021 Department of the Navy
(DON) Historically Black Colleges and Universities/Minority Institutions
(HBCU/MI) Program**

**The purpose of this amendment is to correct the white paper submission date
on page 10 and question dates on page 33.**

Deadlines

Eligibility Inquiries and Non-Technical Questions

8 September 2020 (Tuesday)

White Papers must be received no later than

15 September 2020 (Tuesday) at 5:00 PM Eastern Time

Business related Questions

1 December 2020 (Tuesday)

Invited Proposals must be received no later than

8 December 2020 (Tuesday) at 11:59 PM Eastern Time

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I. INTRODUCTION

This publication constitutes a Funding Opportunity Announcement (FOA) as contemplated in the Department of Defense Grants and Agreements Regulations (DoDGARS) 32 CFR 22.315(a). A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued.

The Office of Naval Research (ONR) will not issue paper copies of this announcement. ONR reserves the right to select for award all, some, or none of the applications in response to this announcement. ONR provides no funding for direct reimbursement of application development costs. Materials submitted in response to this FOA will not be returned. It is the policy of ONR to treat all white papers and proposals as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

This FOA is intended for white papers and invited proposals related to basic research projects. FOA submissions that do not meet the criteria specified by this document will not be reviewed. Awards will take the form of grants.

Any assistance instrument awarded under this announcement will be governed by the award terms and conditions that conform to DoD's implementation of OMB circulars applicable to financial assistance. Terms and conditions of new awards made after December 26, 2014, will include revisions to reflect DoD implementation of new OMB guidance in 2 CFR Part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards." The DoD Terms and Conditions are located at <https://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-terms-conditions.aspx>.

Applicants invited for proposal submission should be aware of the following:

- Information regarding application packages can be found at: <https://www.grants.gov/web/grants/applicants/apply-for-grants.html>
- A project abstract is required with the application and must be publically releasable as specified in the following section of this FOA: [Section II.D.3.\(2\)](#). responses to the Representations indicated in [Section II.H.](#), 2 thru 4 of this FOA are required with the application.
- All grant proposals must be submitted through Grants.gov at: <https://www.grants.gov/>

A. OVERVIEW

1. Federal Awarding Agency Name

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

2. Funding Opportunity Title

Funding Opportunity Announcement FY2021 Department of Navy (DON) Historically Black Colleges and Universities/Minority Institutions (HBCU/MI) Program

3. Announcement Type

Initial Announcement

4. Funding Opportunity Number

N00014-20-S-F007

5. Catalog of Federal Domestic Assistance (CFDA) Numbers

12.300

6. Key Dates

Eligibility inquiries and non-technical questions due: **8 September 2020 (Tuesday)**

White Papers due: **15 September 2020 (Tuesday) at 5:00 PM Eastern Time**

Business-related questions due: **1 December 2020 (Tuesday)**

Invited Proposals due: **8 December 2020 (Tuesday) at 11:59 PM Eastern Time**

For a full table of events, see Section II. D. 5. [Significant Dates and Times](#)

II. DETAILED INFORMATION ABOUT THE GRANT OPPORTUNITY

A. PROGRAM DESCRIPTION

The Department of Navy (DON) Historically Black Colleges and Universities/Minority Institutions (HBCU/MI) Program aims to increase the quantity and quality of minority professionals in science, technology, engineering, and mathematics (STEM) in the defense community. Research conducted at Minority-Serving Institutions (MSIs) for the DON HBCU/MI Program:

- Enhances 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;
- Encourages cross-institutional, collaborative efforts that explore innovative solutions

- to naval science and technology (S&T) challenges; and
- Increases the engagement of students, including underrepresented minorities, in STEM fields important to the U.S. Navy and U.S. Marine Corps.

This FOA 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 full invited proposals submitted to this FOA 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.

The technical content of any proposed effort must contribute to the S&T mission and vision of the Department of the Navy and must align with the Naval Research Development Framework. Key areas of interest are listed in the remainder of this section.

Information, Cyber, and Spectrum Superiority

An increasingly interconnected force with more rapid and effective decision-making is enabled by persistent sensing, advanced data analytics, digital integration, and assured spectrum access. In that regard, this research area spans three strategic areas:

- Assured Command and Control (C2)
- Electromagnetic Maneuver Warfare (EMW)
- Full Spectrum Cyber technologies

Assured Command and Control (C2): Assured C2 is enabled by persistent sensing, timely intelligence, and decision support tools that will accelerate “data to decisions” timelines. Leveraging machine reasoning and data analytics, an end-to-end approach achieves protected data transport, resilient networking, and assured apps and services that result in trusted information and actions. The need for increased spectral efficiency and diversity, coupled with the information domain, is critical to our naval freedom of maneuver on a global scale.

Electromagnetic Maneuver Warfare (EMW): EMW efforts include electromagnetic spectrum management technologies and techniques that fluidly combine communications, surveillance electronic warfare (EW), and electronics to understand and shape the battlespace. Ultra-wide bank systems, which continuously monitor the spectrum, are needed to facilitate optimized use.

Intrinsically secure and resilient computing systems with robust computational and communications architectures will provide the capability to manipulate and interpret rapidly growing amounts of data support of C2, Combat Systems (CS), and Intelligence Surveillance, and Reconnaissance (ISR) effects. Assuring secure access to the full spectrum is essential to operate at will or deny adversary access in more complex and dynamic future EMW environments.

Full Spectrum Cyber technologies: Full-spectrum Cyber approaches must be developed to protect our networks, data, information systems, and real-time control systems. Total

platform cyber protection is becoming an essential element of Information Warfare. Cyber technologies provide the ability to assess and counter potential threats. Future information systems must provide agile capabilities for achieving and maintaining communications and data integrity in rapidly evolving, dispersed, and disadvantaged environments. Computational architectures need more resilient information infrastructure through assured system design, automated defensive tools for advanced persistent threats, hardening of the hosts, and data assurance.

Applicable Research Interests:

- Advanced RF electronics and materials
- Communications and networking
- Computational methods for decision making
- Data science and analytics
- Electronic warfare
- Sensors and sensor processing
- Machine learning, reasoning, and intelligence
- Resource optimization
- Precision navigation and timekeeping

Mission Capable, Persistent, and Survivable Sea Platforms

Concepts, systems, and component technologies that improve the performance and survivability of naval ships/submarines in an increasingly distributed yet interconnected force are critical. New platforms will need to deliver advanced weapons, as well as increased mobility and survivability. Power and energy for surface ships is a key, enduring investment for the efficiency of legacy platforms, while enabling the power requirements of future electric weapons. High-power electric weapons and sensors have advanced significantly, creating technical requirements for dramatic increases in energy management and pulsed power.

Computational tools that model the platform's interaction with the anticipated operational environment are essential to the development of integrated designs and protections such as stealth, counter-directed energy weapons, tactical decision aids, electronic warfare, and hard-kill systems.

Undersea dominance remains a priority as the Navy designs and builds the next generation of strategic and tactical submarines. Resurgence by peer adversaries in ultra-quiet submarine technology is closing the gap in undersea warfare.

Platform mobility and survivability is critical to successful operational strategies calling for more distributed forces. Advancements in materials, acoustics, and intelligent control are required in addition to hydro-, electro-, and computational mechanics. Advancements in countermeasures for ships and submarines are also critical.

Platforms will become more self-sustaining to extend endurance and forward presence while reducing the logistics tail for fuel. Future platforms must have reduced sustainment

requirements and be easier to maintain. Efforts are focused on platform interfaces as well as platform efficiency to reduce sustainment needs. Enhanced interface standards and modularity provide flexibility, ease of maintenance, and upgrades.

Finally, affordability permeates all modernization concepts. The development of validated design tools capable of rapidly and accurately analyzing and evaluating novel platforms with advanced system performance characteristics is a high priority.

Applicable Research Interests:

- Naval engineering
- Advanced naval power systems
- Advanced survivable sea platforms
- Unmanned sea platforms, autonomy, and power
- Advanced naval materials
- Undersea weapons, counter-weapons, and energetics
- Sea platform environmental quality
- Corrosion control

Aviation, Force Projection, and Integrated Defense

Sea-based aviation, including platform and weapons research, is focused on new or enhanced capabilities to defend against, and/or deter, disable, damage, defeat, or destroy adversaries at extended ranges and speeds. Offsetting technologies must continue to provide naval forces with an edge in any future battle. In the future battlespace, electric weapons with deep magazines and low cost-per-kill will be required to engage large numbers of threats simultaneously.

Directed-energy systems will be used in layered defense to counter ISR capabilities, defeat or destroy threats, both before and during combat.

Networked weapons will improve the probability to kill and reduce the need for multiple weapons targeting the same platform. Advanced warhead materials will decrease the size of rounds. Electromagnetic realigns will allow more, smaller, and longer-range rounds.

Future naval fires efforts include targeting, decision support and precision strike by air, surface, undersea, and expeditionary forces.

Improved aerodynamic control will allow unprecedented maneuverability for unconventional aircraft designs. Advanced aircraft power and propulsion technologies, such as variable-cycle advanced technology, will provide more efficient operation over a wider range of flight conditions. They will also enable technologies for providing the power and thermal management of electric weapons for next-generation aircraft. Advances in structures and materials will allow for reduced life-cycle costs as well as stronger and lighter airframes.

Autonomous systems will reduce operational risk and improve mission performance. For

today's missions, autonomy can improve manning effectiveness and provide options for mission tasks. For future missions, autonomy can provide new persistent, pervasive, and rapid response capabilities to do tasks that would be unaffordable or impractical today.

Applicable Research Interests:

- Directed Energy (DE) and Counter-DE
- Aerodynamics
- Flight dynamics & control
- Propulsion
- Structures and materials
- Energetic materials
- Hypersonics
- Autonomy

Applicants are **strongly encouraged** to contact cognizant Subject Matter Expert/Program Officer/Program Manager(s) across naval entities (including the Office of Naval Research (ONR), the Naval Sea Systems Command (NAVSEA), the U.S. Naval Research Laboratory (NRL), e.g.) to discuss their research ideas in advance of white paper submission. A list of most Subject Matter Expert/Program Officer/Program Manager(s) and their contact information can be found at: <https://www.onr.navy.mil/our-research/our-program-managers>

B. FEDERAL AWARD INFORMATION

1. Funding Amount and Period of Performance

Approximately three (3) awards are anticipated under this FOA. The estimated total value of each award is \$450,000.00, subject to the availability of funds. Each individual award will be up to a maximum of \$150,000 per year, with one-year option periods, for a maximum of up to three (3) years. Option years will be funded incrementally based on applicant performance and adherence to established execution benchmarks. The \$150,000 per year limit includes all funds awarded to the university, including indirect costs.

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.

2. Peer Reviews

In the case of proposals funded as basic research, the DON HBCU/MI Program may utilize peer reviewers to assist in periodic appraisal of performance under the awards, as outlined in ONR Instruction 3966.1A. Such periodic, post-award program reviews monitor the cost, schedule and technical performance of funded basic research efforts. The reviews are used in part to determine which basic research projects will receive continued funding from the DON

HBCU/MI Program. Peer reviewers who are not U.S. Government employees must sign nondisclosure agreements before receiving full or partial copies of white papers, proposals, and reports submitted by the basic research performers.

C. ELIGIBILITY INFORMATION

1. Awards under this FOA will only be made to U.S.-based Minority-Serving Institutions (MSIs) of higher education with degree granting programs in STEM. As provided in 10 U.S.C. § 2362, eligibility for this competition is only open to the following institutions:
 - 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 MSIs.

For MSIs that are not formally designated as an HBCU or TCU (Tribal Colleges and Universities), enrollment, accreditation, and other factors may affect eligibility in any given year. To demonstrate that criterion 1.A. (above) is satisfied, institutions that are not formally designated as an HBCU or TCU must submit a letter from the Department of Education (DoED) certifying eligibility for Title III or Title V assistance. Eligibility letters must be applicable for the current academic year. If a valid eligibility letter is not submitted with the initial white paper for institutions that are not HBCUs or TCUs, the applicant will be deemed ineligible and the white paper will not be reviewed.

2. The Principal Investigator (PI) and all proposed personnel **must** be U.S. citizens on 15 September 2020 (Tuesday), the date white papers are due.
3. This is a single PI award. No Co-PIs and no sub-awards will be permitted or allowed.
4. Cost sharing is not expected and will not be considered as a factor during the merit review of any white paper or proposal hereunder.
5. Budget allotments for PI support, to include salary and fringe benefits, must not exceed 15% of the total budget. In addition, faculty salary requests must not exceed 3 months of support per year of funding.

D. APPLICATION AND SUBMISSION INFORMATION

1. Application and Submission Process

The proposal submission process has two phases:

- Phase 1 (Mandatory): Applicants must submit a white paper.
- Phase 2: Invited applicants must submit a full proposal through Grants.gov

White Paper Submission: White papers are to be submitted via email to the attention of the

DON HBCU/MI Program at don_hbcufoa@navy.mil in Adobe Portable Document Format (.pdf). White papers must NOT be submitted through Grants.gov. The subject line of the email shall read “White Paper Submission.” There is an email size limit of 5 MB per email.

DO NOT SEND: Hardcopies or facsimiles*

DO NOT SEND: ZIP files

DO NOT SEND: Password protected files.

*** Only electronic submissions will be accepted and reviewed.**

Each white paper must state that it is submitted in response to this FOA and cite the research area it addresses from Section II. A. The full list of required white paper components is provided in Section II. D. 2.

The due date and time for receipt of white papers is **15 September 2020 (Tuesday)** at 5:00 PM Eastern Time. White papers received after the published deadline will not be considered under any circumstance. **Early submission of white papers is welcomed and encouraged.**

White Paper Evaluation/Notification: After all white papers have been evaluated, applicants will be notified via email of their project’s selection or non-selection for full proposal submission. Notifications will be issued on or around **10 November 2020 (Tuesday)** via the e-mail address used for white paper submission.

Submission of Invited Proposals: Invited proposals may only be submitted by invitation and received electronically through www.grants.gov no later than **8 December 2020 (Tuesday)** at 11:59 PM Eastern Time. Invited Proposals are **NOT** to be submitted via e-mail. Unsolicited proposals will be rejected without review.

Applicants are responsible for ensuring proposals are submitted, received, and validated by Grants.gov before the application deadline. Late proposals will be ineligible for consideration.

Award Notification: After the proposal evaluation process is completed, applicants will be notified via email of their project’s selection or non-selection for FY2021 funding on or around **13 January 2021**. For a full list of events, see Section II. D. 5 [Significant Dates and Times](#)

2. White Papers

White Paper Format

- Paper Size – 8.5 x 11 inch
- Margins – 1 inch
- Spacing – single-spaced
- Font – Times New Roman, 12 point
- Page limit – 5 pages, single-sided

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

- Cited references,
- PI's curriculum vitae (CV),
- Eligibility certification letter for MSIs that are not formally recognized by the Department of Education (DoED) as an HBCU or TCU.

White Paper Content

- Cover Page (1 page): The cover page shall be labeled "WHITE PAPER" and shall include the FOA Number N00014-20-S-F007, project title, research area addressed (see Section II. A.), the naval technical point of contact, the PI's telephone number and e-mail address, and the rough order of magnitude cost. The naval technical point of contact will be the Subject Matter Expert/Program Officer/Program Manager the PI discussed naval relevance of the proposed work with prior to submission. This field should be left blank if the PI did not engage a Subject Matter Expert/Program Officer/Program Manager about the proposed work.
- Summary (0.5 Page Maximum): This section of the white paper must be a one- to two-paragraph summary of the proposed effort. The summary should succinctly describe the research problem and objectives, technical approach, naval relevance of the project, 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): This section must provide 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 (0.5 Page Maximum): This section must provide 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. Competitive white papers will provide an explicit list of tasks for each student who will contribute to the project.
- Future Naval Relevance (1 Page Maximum): This section must provide 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 Navy Subject Matter Expert/Program Officer/Program Manager(s) about the naval relevance of their proposed work prior to white paper

submission. Such discussions should aim to clarify the content and breadth of priority research areas and enhance the match between the Department of Navy's research needs and the direction of the effort. Applicants **must** address whether they have discussed the proposed research effort with a Navy Subject Matter Expert/Program Officer/Program Manager, provide that individual's name and contact information in the Future Naval Relevance section of the white paper, and list the affiliated Navy command, warfare center or lab. Competitive white papers will also include the outcome of those discussions (i.e., whether a white paper was encouraged, if the initial approach was tweaked, etc.)

- Rough Order of Magnitude (ROM) (0.5 Page Maximum): This section must provide a rough order of magnitude cost showing requested funding per year, total cost, and suggested spending priorities to satisfy Section II. A. "Research Opportunity Description". Proposed costs should be broken down into categories of salaries and benefits, materials and supplies, travel, cost associated with student participation (tuition and fees) and indirect costs. A table that summarizes projected costs per category, per year is encouraged.
- Curriculum Vitae (1.5 Page Maximum): The white paper must include the curriculum vitae of the Principal Investigator. As a reminder, the CV is not included in the 5-page limit of the white paper.
- MSI Status Certification Letter: Since enrollment, accreditation, and other factors may affect an institution's eligibility for recognition as a Minority-Serving Institution (MSI), colleges and universities that have not been designated as an HBCU or TCU must submit a copy of the DoED letter certifying eligibility for Title III or Title V assistance for the current academic year. The certification letter will not be included in the 5-page limit of the white paper.

3. Full Proposals

Invited proposals submitted under this FOA shall be for unclassified basic research. Proposal submissions will be protected from unauthorized disclosure in accordance with applicable laws and DoD regulations.

IMPORTANT NOTE: Proposal titles should be descriptive of the work they cover and not merely be a copy of the title of this solicitation.

Proposals must be submitted via <https://www.grants.gov/>. See Section II.D.4 for instructions. Applicants invited to submit proposals 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).

Submit **Technical Proposals** using the following format:

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single spaced
- Font – Times New Roman, 12 point
- Page limit – Technical Proposal - not more than 15 pages single-sided.

NOTE: The following components are *excluded* from the 15-page limit:

- Cover page,
- Project Summary
- Cited references,
- Current/pending project submissions
- Curriculum Vitae (CV),
- Responsibility
- Facilities & Equipment
- Letter(s) of support,

Technical Proposals exceeding the page limit will not be evaluated.

Submit **Budgets Justifications** using the following format:

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single spaced
- Font – Times New Roman, 12 point
- Page limit – There is no page limitation to the Budget

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

REQUIRED FORMS

(1) SF-424 Form (RESEARCH & RELATED) (Mandatory)

THE AUTHORIZED ORGANIZATIONAL REPRESENTATIVE (AOR) MUST SIGN THE SF-424 (R&R) OR PROVIDE WRITTEN AUTHORIZATION FOR ALTERNATE SIGNATURE

The applicant must use the Grants.gov forms from the application package template associated with the FOA on the Grants.gov web site located at <https://www.grants.gov/>. The SF-424 (R&R) form must be used as the cover page for all proposals and supporting documentation. 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.

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

- Field 3 - Date Received by State: The Date Received by State and the State Application Identifier are not applicable to research. Leave blank.
- Field 4a - Federal Identifier: Enter “N00014”.
- Field 4b - Agency Routing Number: Enter “342 [Smith, Anthony]”.

Applicants who fail to provide an Agency Routing Number 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 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 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 the “I agree” box in field 17, and attaching the representation to Field 18 of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov, the Grant Applicant is providing the certification on lobbying required by 32 CFR Part 28 and representation regarding an unpaid delinquent tax liability or a felony conviction under any federal law – DoD appropriations.

(2) R&R Form: Project Abstract Form (Mandatory)

The project abstract must identify the problem and objectives, technical approaches, anticipated outcome of the effort, if successful, and impact on DoD 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 4,000 character limit including spaces.

Do not include proprietary or confidential information. The project abstract must be marked by the applicant as “**Approved for Public Release**”. Abstracts of all funded

projects will be posted on the public DTIC website:
<https://dodgrantawards.dtic.mil/grants>

(3) R&R Form: Research and Related Other Project Information (Mandatory)

- 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 subjects” as defined in DoDI 3216.02, prior to award, the applicant must submit the documentation under “Use of Human Subjects in Research” ([Section II. H. 6.](#)).
- Fields 2 and 2a – Vertebrae 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 II. H. 6.](#)).
- 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 various environmental requirements. The National Environmental Policy Act of 1969 (NEPA), 42 U.S.C. Sections 4321-4370 (a), 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 an environmental impact statement (EIS), even if the agency does no more than provide grant funds to the recipient. Questions regarding NEPA compliance should be referred to the technical point of contact. Most research efforts funded by ONR will, however, qualify for a categorical exclusion from the need to prepare an EIS. Navy instructions/regulations provide for a categorical exclusion for basic and applied scientific research usually confined to the laboratory, if the research complies with all other applicable safety, environmental and natural resource conservation laws.

- Field 7 – Project Abstract: Leave Field 7 blank (this is submitted separately as Project/Abstract Form mentioned above)
- Field 8 – Project Narrative: Describe clearly the project, including the objective and approach to be performed, keeping in mind the evaluation criteria. Attach the entire proposal narrative to R&R Other Project Information form in Field 8.

To attach a Project Narrative in 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 effort per the following:

Cover Page: This must include the words “Technical Proposal” and the following:

- a. FOA Number: N00014-20-S-F007;
- b. Title of Proposal;
- c. Identity of prime applicant;
- d. Technical contact (name, address, phone/fax, electronic mail address);
- e. Administrative/business contact (name, address, phone/fax, electronic mail address) and;
- f. Proposed period of performance (identify both the base period and any options, if included);
- g. Total proposed budget.

Project Summary: The narrative must begin with a one-page summary of the proposal. The summary must include an overview 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 overview must succinctly describe the research problem and 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: A major portion of the narrative should consist of a clear description of the proposed research including the project idea, significance, technical rationale, and approach. This section must also describe how the proposed effort will advance the state of the art and clearly describe any limitations/constraints of the proposed methodology.

Future Naval Relevance: This section of the narrative should discuss the specific naval S&T challenge addressed and describe the potential value of the

research/solution proposed in the context of its applicability to the naval-relevant problem. Discussion of how the research effort could ultimately be transformed into acquisition programs of record can also be included here, applicable.

Student Engagement Strategy: This section must clearly describe 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.

Project Schedule and Milestones: This section must provide a summary of the schedule of events and milestones shown in Gantt chart format.

Management Approach: This section must identify which personnel will be involved and discuss how students, in particular, will be managed. It should also include a description of the facilities that are required for the proposed effort, along with a description of any Government Furnished Equipment/Hardware/Software/Information required, by version and/or configuration.

Principal Investigator Qualifications: This section must provide a discussion of the qualifications of the proposed PI and any other key personnel (lab technicians, e.g.). As an important note: This is single PI award therefore key personnel must not include a Co-PI. A curriculum vitae for the Principal Investigator should be attached to the proposal

References: Literature citations.

Current and Pending Project and Proposal Submissions: Applicants are required to provide information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing contracts, grants, and other assistance agreements. Applicants should provide the following information of any related or complementary proposal submissions from whatever sources (e.g., ONR, Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations):

(Concurrent submission of a proposal to other organizations will not prejudice its review by ONR.)

- a. Title of Proposal and Summary;
- b. Source and amount of funding (annual direct costs; provide contract and/or grant numbers for current contracts/grants);
- c. Percentage effort devoted to each project;
- d. Identity of prime applicants and complete list of subawards, if applicable;
- e. Technical contact (name, address, phone/fax, electronic mail address);

- f. Administrative/business contact (name, address, phone/fax, electronic mail address);
- g. Period of performance;
- h. The proposed project and all other projects or activities requiring a portion of time of the Project Director / Principal Investigator and other senior personnel must be included, even if they receive no salary support from the project(s);
- i. The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months or labor hours per year to be devoted to the project, regardless of source of support; and
- j. State how projects are related to the proposed effort and indicate degree of overlap.

Curriculum Vitae: Include a full curriculum vitae (CV) for Principal Investigator listing all degrees earned, publications, invited lectures, awards, positions held, and other pertinent information. The CV shall be attached to the proposal.

Responsibility: Applicants must provide the following information to ONR in order to assist in the evaluation of the applicant's responsibility:

- a. Describe how you have adequate resources or the ability to obtain such resources as required to complete the activities proposed.
- b. 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.
- c. Describe your performance history; specifically, your record in managing Federal awards.
- d. Describe your record of integrity and business ethics.
- e. Describe qualifications and eligibility to receive an award under applicable laws and regulations.
- f. 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 services to be performed).

Facilities & Equipment: Describe facilities available for performing the proposed effort and any additional facilities or equipment the organization proposes to acquire at its own expense. Indicate government-owned facilities or equipment already possessed that will be used. Justify the need for each equipment item. (Additional facilities and equipment will not be provided unless the proposed effort cannot be completed by any other practical means.)

(4) R&R Form: Research & Related Budget

The maximum total value of each award is \$450,000.00, subject to availability of funds. Each award will be administered a maximum of three years with a maximum of \$150,000.00 per year. This FOA supports one base period and two option years. As a result, the budget 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 three-year period of performance begins with a base year (year 1) and two option years (years 2 and 3). The start date for budget purposes should begin 1 July 2021 with the base and option periods structured as follows:

Base Period – Year 1: 1 July 2021 through 30 June 2022
Option I – Year 2: 1 July 2022 through 30 June 2023
Option II – Year 3: 1 July 2023 through 30 June 2024

The annual budget should be driven by program requirements.

A separate Adobe .pdf document should be included in the application that provides appropriate justification and/or supporting documentation for each element of cost proposed. This document shall be attached under Section K. “Budget Justification” of the Research and Related Budget form. Click “Add Attachment” to attach.

The itemized budget should include the following:

- 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 (F&A, Overhead, G&A, etc.) – The proposal should 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 rates have not been approved/negotiated, provide sufficient detail to enable a determination of

allowability, allocability and reasonableness of the allocation bases, and how the rates are calculated, or you should propose in accordance with 2 CFR 200.403. 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 principals. An Excel travel template has been provided as Attachment (1). The completed template shall be attached under Section K. “Budget Justification” of the Research and Related Budget form. Click “Add Attachment” to attach.
- Materials & Supplies – Provide an itemized list of all proposed materials and supplies including quantities, unit prices, and the basis for the 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). Allowable items normally are limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, 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.
- 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).
- Fee/Profit – Fee/profit is unallowable under assistance agreements.

**(5) Research and Related Senior/Key Personal Profile (Expanded)
(Mandatory)**

To evaluate compliance with Title IX of the Education Amendments of 1972 (20 U.S.C. A§ 1681 Et.Seq.), the Department of Defense 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 DoD research, science and technology, and innovation enterprise.

The R&R Senior/Key Person Profile (Expanded) form will be used to collect the following information for all senior/key personnel, including Project Director/Principal Investigator and Co-Project Director/Co-Principal Investigator, whether or not the individuals' efforts under the project are to be funded by the DoD:

- Degree Type and Degree Year fields as the source for career information.
- A list of all current projects the individual is working on, in addition to any future support the individual has applied to receive, regardless of the source.
- Title and objectives of the other research projects.
- The percentage per year to be devoted to the other projects.
- The total amount of support the individual is receiving in connection to each of the other research projects or will receive if other proposals are awarded.
- Name and address of the agencies and/or other parties supporting the other research projects.
- Period of performance for the other research projects. Additional senior/key persons can be added by selecting the “Next Person” button. Note that, although applications without these fields completed may pass Grants.gov edit checks, if DoD receives an application without the required information, DoD may determine that the application is incomplete and should not be processed.

(6) Research and Related Personal Data (Mandatory)

This form will be used by DoD 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, if provided, will be used for statistical purposes only and will not be made available to merit reviewers. Applicants who do not wish

to provide some or all of the information should check or select the “Do not wish to provide” option

4. Grants.gov Application Submission and Receipt Procedures

How to Register to Apply through Grants.gov

a. *Instructions:* Applicants should read the registration instructions carefully and assemble the information requested before beginning the registration process to alleviate last-minute searches for required information.

The registration process can take up to four weeks to complete. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required application submission deadlines.

If individual applicants are eligible to apply for this grant funding opportunity, refer to: <https://www.grants.gov/web/grants/applicants/individual-registration.html>

Organization applicants can find complete instructions here: <https://www.grants.gov/web/grants/applicants/organization-registration.html>

(1) *Obtain a DUNS Number:* All entities applying for funding, including renewal funding, must have a Data Universal Numbering System (DUNS) number from Dun & Bradstreet (D&B). Applicants must enter the DUNS number in the data entry field labeled "Organizational DUNS" on the SF-424 form.

For more detailed instructions for obtaining a DUNS number, refer to: <https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

(2) *Register with SAM:* In addition to having a DUNS number, organizations applying online through Grants.gov must register with the System for Award Management (SAM). All organizations must register with SAM in order to apply online. Failure to register with SAM will prevent your organization from applying through Grants.gov.

For more detailed instructions for registering with SAM, refer to: <https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>

(3) *Create a Grants.gov Account:* The next step in the registration process is to create an account with Grants.gov. Applicants must know their organization's DUNS number to complete this process. Completing this process automatically triggers an email request for applicant roles to the organization's E-Business Point of Contact (EBiz POC) for review. The EBiz POC is a representative from your

organization who is the contact listed for SAM. To apply for grants on behalf of your organization, you will need the Authorized Organizational Representative (AOR) role.

For more detailed instructions about creating a profile on Grants.gov, refer to: <https://www.grants.gov/web/grants/applicants/organization-registration/step-3-username-password.html>

(4) *Authorize Grants.gov Roles*: After creating an account on Grants.gov, the EBiz POC receives an email notifying them of your registration and request for roles. The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the 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 approved as an AOR.

For more detailed instructions about creating a profile on Grants.gov, refer to: <https://www.grants.gov/web/grants/applicants/organization-registration/step-4-aor-authorization.html>

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

b. *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.**

*****THE AOR MUST SIGN THE SF-424 (R&R) OR PROVIDE WRITTEN AUTHORIZATION FOR ALTERNATE SIGNATURE*****

How to Submit an Application to ONR via Grants.gov

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 webforms within an application. For each funding opportunity announcement (FOA), 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/web/grants/applicants/apply-for-grants.html>

a. *Create a Workspace*: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.

b. *Complete a Workspace*: Add participants to the workspace, complete all the required forms, and check for errors before submission.

1. *Adobe Reader*: If you decide not to apply by filling out webforms 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/web/grants/applicants/adobe-software-compatibility.html>

2. *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.

3. *Complete SF-424 Fields First*: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS number. To trigger this feature, an applicant must complete the SF-424 information first. Once it is completed, the information will transfer to the other forms.

c. *Submit a Workspace*: An application may be submitted through Workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. 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.

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

For additional training resources, including video tutorials, refer to:

<https://www.grants.gov/web/grants/applicants/applicant-training.html>

Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. For questions related to the specific grant opportunity, contact the number listed in the application package of the grant you are applying for.

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

Timely Receipt Requirements and Proof of Timely Submission

a. *Online Submission.* All applications must be received by **11:59pm Eastern time** on the due date established. 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. The applicant AOR will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov upon 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 ONR 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.

Applicants using slow internet should be aware that transmission can take some time before Grants.gov receives your application. Again, Grants.gov will provide either an error or a successfully received transmission in the form of an email sent to the applicant with the AOR role. 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.

b. *Proposal Receipt Notices.* After a proposal is submitted through Grants.gov, the 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 ONR 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 reach 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 DUNS 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 in email form from ONR within ten days from the proposal due date, if applicable. The email is sent to the AOR for the institution. The email for proposals notes that the proposal has been received and provides the assigned tracking number.

5. Significant Dates and Times

Schedule of Events		
Event	Date	Time
Questions Regarding Eligibility and Non-Technical Requirements	8 September 2020 (Tuesday)*	
White Papers Due	15 September 2020 (Tuesday)	5:00 PM Eastern Time
Notification of White Paper Selection	10 November 2020 (Tuesday)**	
Questions for Grants Officer Regarding Proposal Submission	1 December 2020 (Tuesday)	
Proposals Due	8 December 2020 (Tuesday)	11:59 PM Eastern Time
Notifications of Selection for Award	12 January 2021 (Tuesday)**	
Start Date of Grant	1 July 2021 **	

* Questions submitted after the Q&A deadline as noted in the table above may not be answered.

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

E. APPLICATION REVIEW INFORMATION

1. Evaluation Criteria

Awards under this FOA will be made to applicants based upon the evaluation criteria listed below. The primary basis for selecting proposals for acceptance will be naval relevance, technical merit, student engagement strategy, and project implementation. Cost realism and reasonableness will also be considered when evaluating proposals. ONR reserves the right to request and require any additional information and documentation after it makes

the award instrument determination. ONR reserves the right to remove applicants from award consideration when the parties fail to reach agreement on award terms, conditions, and cost/price within a reasonable time, or when applicants fail to provide requested or required additional information in a timely manner.

Applicants' proposals will be evaluated against the following criteria:

A. Naval Relevance

The priority of the naval S&T challenge addressed, the value/benefit of the proposed research to the Navy, and the identification of a cognizant naval Subject Matter Expert/Program Officer/Program Manager will be evaluated. Highly competitive proposals will draw clear, well-defined links between high-priority naval S&T challenges and the proposed solution.

B. Technical Merit and Project Implementation

The research significance, approach, and methodology will be evaluated. The proposal should clearly describe how the project advances knowledge and provide a detailed schedule for accomplishing research objectives. Highly competitive proposals will clearly describe inherent limitations in the approach and/or methodology proposed; provide a well-planned, realistic timeline for project milestones; and include a budget that reflects realistic, reasonable, and justifiable costs.

C. Student Engagement Strategy

The clarity of the engagement strategy and the level of detail used to describe how undergraduate students, graduate students, post-docs, or some combination of each will contribute to project advancement will be evaluated. Highly competitive proposals will identify a viable talent pool and, in addition to describing specific tasks that students will undertake, will also describe how students will benefit from their involvement in the project.

D. Personnel Qualifications

The applicant's capabilities, related experience, and facilities will be evaluated. Highly competitive proposals will clearly describe the Principal Investigator (PI)'s qualifications, applicable experience on similar projects, and access to equipment.

Criteria A, B, C, and D are equally important.

2. Review and Selection Process

Proposals will not be evaluated against each other since they are not submitted in accordance with a common work statement. ONR's scientific/technical community is heavily involved in the review of proposals, submitting initial recommendations to the DON HBCU/MI Program

Director. The ultimate recommendation for award proposals is made by the DON HBCU/MI Program Director.

Recommended proposals will be forwarded to the ONR Grants Department and any notification received from ONR that indicates that the applicant's proposal has been recommended does not ultimately guarantee an award will be made. This notice indicates that the proposal has been selected in accordance with the evaluation criteria above and has been sent to the Grants Department to review the budget, determine the applicant's responsibility, and to take other relevant steps necessary prior to making the award.

3. Options

The Government will evaluate options for award purposes by adding the total cost for all options to the total cost for the basic requirement. Evaluation of options will not obligate the Government to exercise the options during grant performance.

4. Evaluation Panel

Technical and cost proposals submitted under this FOA will be protected from unauthorized disclosure. The cognizant Subject Matter Expert/Program Officer/Program Manager 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 (SME) technical consultants. However, proposal selection and award decisions are solely the responsibility of the DON HBCU/MI Program Director. Each support contractor employee that has access to technical and cost proposals submitted in response to this FOA will be required to sign a nondisclosure agreement prior to receipt of any white paper or proposal submissions.

5. General Information Regarding the Review and Selection Process

In accordance with Office of Management and Budget (OMB) guidance in parts 180 and 200 of Title 2, CFR, it is DoD policy that DoD Components must report and use integrity and performance information in the Federal Awardee Performance and Integrity Information System (FAPIIS), or any successor system designated by OMB, concerning grants, cooperative agreements, and TIAs 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):

- a. The Federal awarding agency, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, will review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313);

b. An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM;

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

F. FEDERAL AWARD ADMINISTRATION INFORMATION

1. Unique Entity Identifier and System for Award Management (SAM)

System for Award Management (SAM): All applicants submitting proposals or applications must:

- a. Be registered in the SAM prior to submission;
- b. Maintain an active SAM registration with current information at all times during which it has an active Federal award or an application under consideration by any agency; and
- c. Provide its DUNS number in each application or proposal it submits to the agency.

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

2. Federal Award Notices

a. 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, certificate of current cost or pricing data, subcontracting plan for small businesses, 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 signs the award document.

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

b. Office of Naval Research (ONR) award/modification documents are only available via the Department of Defense (DoD) Electronic Document Access System (EDA) within the Wide Area WorkFlow e-Business Suite (<https://wawf.eb.mil/>).

EDA is a Web-based system that provides secure online access, storage and retrieval of awards and modifications to DoD employees and vendors.

ONR creates an award notification profile for every award.

For grants, the notification profile will use the email addresses from the Application for Federal Assistance, SF424, to notify the recipient of an award. ONR recommends that organizations provide a global business address for their entity in Field 5 (Application Information) of the SF424. ONR is using the following three email addresses entered by the grantee on the SF424 application to create the EDA notification profile:

- i. Applicant Information (Field 5 - Email)
- ii. Project Director / Principal Investigator (Field 14 - Email)
- iii. Authorized Representative (Field 19 - Email)

For all other awards, the notification profile will use the email address from the Business Point of Contact to notify the recipient of an award.

IMPORTANT: In some cases, EDA notifications are appearing in recipients' junk email folder. If you are experiencing issues receiving EDA notifications, please check your junk email. If found, please mark EDA notifications as "not junk."

If you do not currently have access to EDA, you may complete a self-registration request as a "Vendor" via <https://wawf.eb.mil/> following the steps below:

1. Click "Accept"
2. Click "Register" (top right)
3. Click "Agree"
4. In the "What type of user are you?" drop down, select "Vendor"
5. Select the systems you would like to access (iRAPT at a minimum)
6. Complete the User Profile and follow the site instructions

Allow five business days for your registration to be processed. EDA will notify you by email when your account is approved.

To access awards after your registration has been approved, log into <https://wawf.eb.mil/>, select "EDA", select either EDA location, Select "Contracts", select your search preference, enter the Contract Number (or, if applicable, enter the Grant Number in the Contract Number field), and select "View".

Registration questions may be directed to the EDA help desk toll free at 866-618-5988, commercial at 801-605-7095, or via email at disa.ogden.esd.mbx.cscassig@mail.mil (Subject: EDA Assistance).

3. Reporting

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

A. Reporting of Matters Related to Recipient Integrity and Performance

1. General Reporting Requirement. If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under 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.

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

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

(ii) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and

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

3. Reporting Procedures. Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph F.3.A.2 of this FOA. 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.

4. Reporting Frequency. During any period of time when you are subject to the requirement in paragraph F.3.A.1 of this FOA, 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.

5. Definitions. For purposes of this FOA:

a. 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.

b. 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.

c. Total value of currently active grants, cooperative agreements, and procurement contracts includes—

(i) Only the Federal share of the funding under any Federal award with a recipient cost share or match; and

(ii) The value of all expected funding increments under a Federal award and options, even if not yet exercised.

i. 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>.

G. FEDERAL AWARDING AGENCY CONTACTS

Questions about Eligibility and Non-Technical Issues (Deadline 8 September 2020) should be submitted to:

Mr. Anthony C. Smith, Sr.
Director of DON HBCU/MI Program
Office of Naval Research
875 North Randolph Street
Arlington VA 22203-1995
E-mail Address: don_hbcufoa@navy.mil

Questions of a Business nature (Deadline 1 December 2020) should be submitted to:

Ms. Veronica Lacey
Grants Officer
Office of Naval Research
875 North Randolph Street
Arlington VA 22203-1995
E-mail Address: veronica.lacey@navy.mil

All questions shall be submitted via email and should be concise and to the point. **In addition, the relevant part and paragraph of the FOA should be referenced.** Questions presented by telephone call, fax message, or other means will not receive responses. Questions submitted after the appropriate date will not be answered and the due date for submission of proposals will not be extended.

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

-Grants.gov Webpage - <http://www.grants.gov/>
-ONR Broad Agency Announcement (BAA) Webpage -
<http://www.onr.navy.mil/en/Contracts-Grants/Funding-Opportunities/Broad-Agency-Announcements.aspx>

H. OTHER INFORMATION

1. 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, 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 as either a prime or sub-recipient under this FOA must provide information in its proposal that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR Part 170 Appendix A. Entities are required to meet reporting requirements unless an exception or exemption applies. Refer to 2 CFR Part 170, including Appendix A, for a detailed explanation of the requirements, exceptions, and exemptions.

2. Certification regarding Restrictions on Lobbying

Grant and Cooperative Agreement awards greater than \$100,000, as well as OTAs not under 10 U.S.C. 2371b, require a certification of compliance with a national policy mandate concerning lobbying. Grant applicants shall provide this certification by electronic submission of SF424 (R&R) as a part of the electronic proposal submitted via [Grants.gov](https://www.grants.gov) (complete Block 17). The following certification applies likewise to each Cooperative Agreement and normal OTA applicant seeking federal assistance funds exceeding \$100,000:

- a. No Federal appropriated funds have been paid or will be paid by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- b. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- c. The applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S.C. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

3. Representation Regarding an Unpaid Delinquent Tax Liability or a Felony Conviction Under any Federal Law - DoD Appropriations

If you have not completed the federal financial assistance General Certs and Reps in SAM, grant applicants are required to complete the “Representation on Tax Delinquency and Felony Conviction” found at <https://www.onr.navy.mil/work-with-us/how-toapply/submit-grant-application> by checking the “I agree” box in block 17 and attaching the representation to block 18. of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

- a. The applicant represents that it ___ **is/ is not** ___ a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

- b. The applicant represents that it ___ **is/ is not** ___ a corporation that was convicted of a felony criminal violation under any Federal law within the preceding 24 months. NOTE: If an applicant responds in the affirmative to either of the above representations, the applicant is ineligible to receive an award unless the agency suspension and debarment official (SDO) has considered suspension or debarment and determined that further action is not required to protect the Government's interests. The applicant therefore must provide information about its tax liability or conviction to the agency's SDO as soon as it can do so, to facilitate completion of the required consideration before award decisions are made.

4. Representation Regarding the Prohibition on Using Funds with Entities that Require Certain Internal Confidentiality Agreements Grant Information Circular (GIC) 19-02 November 2019) (Supplement to SF424 (R&R), 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 (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 218, Section 1001).

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.

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

- a. Section 743 of the Financial Services and General Government Appropriation Act, 2015 (Division E of the Consolidated and Further Continuing Appropriations Act, 2015, Pub. L. 113-235)
- b. Pub. L. 114-53, Continuing Appropriation Act, 2016, or any other Act that extends to fiscal year 2016 funds the same prohibitions as contained in section 743 of Division E, title VII of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235) and the Consolidated Appropriations Act, 2016 (Pub. L. 114-113).
- c. Pub. L. 114-223, Continuing Appropriations Act, 2017, or any other Act that extends to fiscal year 2017 funds the same prohibitions as contained in section 743, Division E, title VII, of the Consolidated Appropriations Act, 2016 (Pub. L. 114-113) and the Consolidated Appropriations Act, 2017 (Pub. L. 115-31)
- d. Pub. L. 115-56, Continuing Appropriations Act, 2018 and Supplemental Appropriations for Disaster Relief Requirements Act, 2017, or any other Act that extends to fiscal year 2018 funds the same prohibitions as contained in Section 743, Division E, title VII, of the Consolidated Appropriations Act, 2017 (Pub. L. 115-31) and the Consolidated Appropriations Act, 2018 (Pub. L. 115-141)
- e. Pub. L. 115-245, Department of Defense and Labor, Health and Human Services, and Education Appropriations Act, 2019 and Continuing Appropriations Act, 2019, or any other Act that extends to fiscal year 2018 funds the same prohibitions as contained in Section 743, Division E, title VII, of the Consolidated Appropriations Act, 2018 (Pub. L. 115-41)
- f. Any successor provision of law on making funds available through grants and cooperative agreements to entities with certain internal confidentiality agreements or statements.

5. Code of Conduct

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

6. Requirements Concerning Live Organisms

Use of Animals:

The DoD policies and requirements for the use of animals in DoD-supported research are described in DoD Instruction 3216.01, *Use of Animals in DoD Programs*, and SECNAVINST 3900.38C, *The Care and Use of Laboratory Animals in DOD Programs*. If animals are to be utilized in the research effort proposed, the applicant must submit a Full Appendix or Abbreviated Appendix with supporting documentation (copies of Institutional Animal Care and Use Committee (IACUC) Approval, IACUC Approved Protocol, and most recent United States Department of Agriculture (USDA) Inspection Report) prior to award. For assistance with submission of animal research related documentation, contact the ONR Animal Use Administrator at (703) 696-4046. Guidance: <https://www.onr.navy.mil/About-ONR/compliance-protections/Research-Protections/animal-use>

Use of Human Subjects in Research:

- a. Applicants must protect the rights and welfare of individuals who participate as human subjects in research awarded pursuant to this FOA and must comply with the requirements of the Common Rule at 32 CFR part 219 and applicable provisions of DoD Instruction 3216.02, *Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research* (2011), the DON implementation of the human research protection program contained in SECNAVINST 3900.39E (or its replacement), 10 USC 980 “Limitation on Use of Humans as Experimental Subjects,” and when applicable, Food and Drug Administration (FDA) and other federal and state law and regulations.
- b. For proposals containing activities that include or may include “research involving human subjects” as defined in DoDI 3216.02, prior to award, the applicant must submit documentation of:
 - (i) Approval from an Institutional Review Board (IRB) (IRB-approved research protocol, IRB- approved informed consent document, and other material they considered); proof of completed human research training (e.g., training certificate or institutional verification of training for the principal investigator, co-investigators); and the applicant’s Department of Health and Human Services (DHHS)-issued Federal Wide Assurance (FWA), including notifications of any suspensions or terminations to the FWA),
 - (ii) 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 human research protection program.

(iii) Any determinations that the proposal does not contain activities that constitute research involving human subjects, including supporting documentation considered by 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 human research protection program.

c. Documentation must be submitted to the ONR Human Research Protection Official (HRPO), by way of the ONR Subject Matter Expert/Program Officer/Program Manager. If the research is determined by the IRB to be greater than minimal risk, the applicant also must provide the name and contact information for the independent research monitor and a written summary of the monitors' duties, authorities, and responsibilities as approved by the IRB. For assistance with submission of human subject research related documentation, contact the ONR Human Research Protection Official (HRPO) at (703) 696-4046.

d. 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, DoD and DON research protection requirements. See DFARS 252.235-7004. Guidance:

<http://www.onr.navy.mil/About-ONR/compliance-protections/Research-Protections/Human-Subject-Research.aspx>

Biosafety and Biosecurity Requirements:

Applicants must comply with applicable provisions of DOD 6055.18-M, 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)."

Research Involving Recombinant 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:

- a. A written statement that the applicant is in compliance with NIH Guidelines. This statement should be made by an official of the institution other than the Principal Investigator and should be on university or company letterhead.
- b. Evidence demonstrating that the proposed research protocol has been approved 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.

Guidance: <https://www.onr.navy.mil/About-ONR/compliance-protections/Research-Protections/Animal-Recombinant-DNA.aspx>

7. 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. If your research proposal directly involves certain biological agents or toxins, contact the cognizant Technical Point of Contact. U.S. Government Science, Safety, Security (S3) guidance may be found at <https://www.phe.gov/s3/dualuse>.

8. Department of Defense High Performance Computing Program

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

9. Project Meetings and Reviews

Individual program reviews between the DON HBCU/MI Program Director and the performer may be held as necessary. Program status reviews may also be held to provide a forum for reviews of the latest results from experiments and any other incremental progress towards the major demonstrations. These meetings will typically be held at the applicant's research facility or on sight with the Program Director. Interim meetings are likely, but these will be accomplished via video telephone conferences, telephone conferences, or via web-based collaboration tools.