# ONR Announcement N0001425SF004

# NOTICE OF FUNDING OPPORTUNITY (NOFO)
# FISCAL YEAR (FY) 2026 OFFICE OF NAVAL RESEARCH (ONR)
# YOUNG INVESTIGATOR PROGRAM (YIP)

**Deadlines**

Application Inquiries and Questions
25 July 2025 (Friday)

Applications must be received no later than
01 August 2025 (Friday) at 5:00 PM Eastern Time

**Amendment 2 Has the correct deadline dates and changes to the start date issued under Amendment 1**

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## Overview of the Research Opportunity

This publication constitutes a Notice of Funding Opportunity Announcement (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) 2026 Office of Naval Research (ONR) Young Investigator Program (YIP)

## 3. Announcement Type

Amendment

## 4. Funding Opportunity Number

N0001425SF004

## 5. Assistance Listing Number

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

## 6. Funding Details

Funded Amount and Period of Performance

The ONR YIP is highly competitive with typically less than 15 percent of applicants receiving awards. For FY2025, more than 230 proposals were received, resulting in 24 awards with a total award value of $18M. Past awardees have submitted outstanding research proposals and possessed outstanding records of prior professional accomplishments. Given that "past performance" is a selection criterion, applicants are advised that the biographical information submitted as part of the proposal (see "Qualifications" under "Proposal Content," below) should list all relevant past and present activities. See Section F.2. “Review Criteria” for more details regarding evaluation of submitted proposals.

Typical awards are $750,000 over a 36-month period of performance. Applicants may request up to $250,000 for each 12-month interval. These funds may be budgeted against any reasonable costs related to conducting the proposed research, for example, summer salary for the investigator, graduate student support, supplies, and applicable indirect cost.

Under this NOFO, ONR intends to award:

- Total Amount of Funding Available: $18.75M
- Anticipated Number of Awards: up to 25*
- Anticipated Range of Individual Award Amounts: $750K
- Previous Year(s) Average Individual Award Amounts: $750K
- Anticipated Period of Performance: 3 years

*There will be no more than five (5) awards made per S&T Department. The five (5) S&T Departments and research areas of interest are available on the ONR website: 31-Command, Control, Computing, Communications, Cyber, Intelligence, Surveillance, Reconnaissance and Targeting (C5ISRT) ; 32-Ocean Battlespace Sensing ; 33-Sea Warfare and Weapons; 34-Warfighter Performance; and 35-Air Warfare and Weapons.

## 7. Key Dates

| **Anticipated Schedule of Events *** | | |
|---|---|---|
| **Event** | **Date (MM/DD/YEAR)** | **Time (Local Eastern Time)** |
| Questions Regarding Eligibility and Technical Requirements ** | 07/25/2025 | 5:00 PM Eastern Time |
| Questions for Grants Officer Regarding Proposal Submission** | 08/01/2025 | 5:00 PM Eastern Time |
| Proposals Due Date | 08/01/2025 | 5:00 PM Eastern Time |
| Notification of Selection for Award * | 11/01/2025 | |
| Start Date of Grant* | 01/01/2026 | |

*These dates are estimates as of the date of this announcement.
**Questions submitted after the Q&A deadline may not be answered.

**IMPORTANT NOTE: White Papers are NOT being solicited.**

## 8. Executive Summary

The Office of Naval Research (ONR) Young Investigator Program (YIP) was established in 1985 and seeks to identify and support academic scientists and engineers who are in their first or second full-time tenure-track or tenure-track-equivalent academic appointment, who have received their PhD or equivalent degree on or after 01 January 2018, and who show exceptional promise for doing creative research. The objectives of this program are to attract outstanding faculty members of U.S. Institutions of Higher Education (hereafter also called "universities") to the Department of the Navy's Science and Technology (S&T) research program, to support their research, and to encourage their teaching and research careers.

Individuals who are holding U.S. non-profit equivalent positions are also encouraged to apply. Proposals under this NOFO must address basic or applied research areas of interest and should be highly innovative. *Therefore, ONR YIP seeks creative individuals who can contribute to national security and warfighter supremacy, with the potential for sustained long term support throughout their academic careers.*

## 9. Agency Contact Information

All UNCLASSIFIED communications shall be submitted via e-mail to the Technical Point of Contract (POC) with a copy to the designated Business POC, as designated below.

Comments or questions submitted should be concise and to the point, eliminating any unnecessary verbiage. In addition, the relevant part and paragraph of the Funding Opportunity Announcement NOFO) should be referenced. Questions submitted within 2 weeks prior to a deadline may not be answered, and the due date for submission of the white paper and/or full proposal will not be extended.

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

  **Questions regarding topic research area and Naval S&T Priorities should be submitted to the appropriate Program Officers as outlined in Section C "Program Description"**

- **Questions regarding programmatic or eligibility shall be submitted to:**

  Reginald G. Williams, PhD
  YIP Program Manager
  Office of Naval Research
  ONR Code 34
  875 North Randolph Street
  Arlington, VA 22203-1995
  Email Address: ONRYIP@navy.mil

- **Questions regarding Grants proposal submissions shall be submitted to:**

  Veronica Lacey, Grants Officer
  Office of Naval Research
  ONR Code 253
  One Liberty Center
  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

This section varies with each program's requirements. Some examples are: (choose/edit one and delete the others)

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, DoD may continue to request updated continuing and pending support information, which will be reviewed and may result in discontinuation of funding.

Awards under this NOFO will be made only to U.S. Institutions of Higher Education which award degrees in science, engineering, or mathematics. U.S. Non-profit organizations operating primarily for scientific and educational services may also submit proposals. The Principal Investigator of a proposal must be a U.S. citizen, national, or permanent resident (on the date proposals are due), holding a first or second full-time tenure-track or tenure-track-equivalent faculty position at that university, and has received his/her PhD or equivalent degree on or after 01/01/2018. The term "national" of the United States includes a native resident of a possession of the United States, such as American Samoa.

The term "tenure-track-equivalent" is explained on the ONR website:
https://www.onr.navy.mil/education-outreach/sponsored-research/yip/tenure-track-equivalent\

Limitations on Number of Applications – There is no limitation on the number of applications an applicant (organization) may submit under the announcement. **A PI may submit only one application under this solicitation. This is a single PI award. Co-PIs are not allowed. Tenured faculty are ineligible to apply. Prior ONR YIP Award recipients are ineligible to apply.**

## 3. Funding Restrictions

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 Defense, 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.

As defined therein the definition of "contracted fundamental research," in a DoD 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 DoD 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_Decision_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 DoD 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

The Office of Naval Research Young Investigator Program seeks proposals addressing research areas (as described in the ONR Science and Technology Department section of ONR's website at https://www.onr.navy.mil) which are of interest to ONR Program Officers will be considered. Contact information for each division (a subgroup of an S&T Department) is also listed within the S&T section of the website.

Applicants are **STRONGLY ENCOURAGED** to contact the appropriate Program Officer who is the point of contact for a specific technical area to discuss their research ideas before submitting a proposal. A list of most Program Officers and their contact information can be found at:

https://www.onr.navy.mil/our-research/onr-technology-and-research or at:

https://www.onr.navy.mil/our-research/our-program-officers.

A brief topic description may be submitted to facilitate these discussions but are not required. Such discussions can clarify the content and breadth of the priority research areas and enhance the match between a subsequent proposal and Department of the Navy research needs. Please allow adequate time for such discussions with the ONR Program Officer. The brief topic description should be emailed to the ONR Program Officer with ONRYIP@ navy.mil on the cc: line. The ONRYIP@navy.mil need only be cc'd on the first email correspondence.

An individual wishing to apply for the Young Investigator Program MUST submit a research proposal and at least one **Letter of Support** through the appropriate university officials. Refer to Section F.2

"Evaluation Criteria" regarding the importance of the Letter(s) of Support in the overall evaluation criteria and Section D "Application Content and Format" regarding its content. **Applications received without at least one letter of support will be considered incomplete and will not be considered for award.**

The research proposal must follow the format described in Section D. "Application Content and Format."

**The ONR YIP is a single principal investigator (PI) award. Co-principal investigators (Co-PIs) are not allowed.**

**Tenured faculty are ineligible to apply.**

A PI may submit only one application under this solicitation.

The ONR YIP is a one-time award. A PI may receive only one ONR YIP award throughout their career.

Upon completion of the award, individuals may apply for continued support under ONR's Long Range BAA (or other research grant opportunities). Decisions about continued funding outside the context of the YIP will be made following a review of the new proposal by the appropriate Program Officer based on the evaluation criteria outlined in the ONR Long Range BAA. Continued support is not guaranteed.

A proposal not selected for the YIP may still be considered for an ONR grant award. The proposal would be in competition with all other research proposals submitted in response to ONR solicitations. Historically, only a limited number of proposals initially submitted to the YIP NOFO, but not selected under that NOFO, have been awarded other funds.

The YIP is not a "research initiation" opportunity with standards that are less demanding than ONR's other research grant programs; instead, it is intended to confer honor upon awardees beyond the funding being provided. Consideration of any YIP proposal to another ONR research grant program is at the discretion of the Program Officer.

The goal of the ONR Young Investigator Program is for the Office of Naval Research to identify early career scientists and engineers in academia and nonprofits who have the potential to contribute long-term to the advancement of the Department of Navy's Science and Technology program. This cohort of innovators will tackle some of the most challenging naval warfighter issues by utilizing transformative approaches and pioneering new technologies. Some of the intended purposes of the ONR YIP are:

- Ability of early faculty to obtain DoD research grant awards beyond YIP.
- Engagement of early career faculty to the Naval Research Enterprise via the Summer Faculty Research Program, Sabbatical Leave Program, Scientists to Sea, and similar outreach activities.
- Education, development, and encouragement of the next generation of scientists and engineers through knowledge transfer to undergraduate, graduate, and post-doctoral participants.

## 1. Instrument Type

The authority for awards is 10 U.S.C. 2358 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. No fee or profit is allowed. (For information on the substantial involvement ONR expects to have in cooperative agreements, prospective applicants should contact the Technical Point of Contact 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. Offeror's 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 DoD/DoN regulations. Applicants are expected to appropriately mark each page of their submission that contains any proprietary information.

Titles given to the submissions should be descriptive of the work they cover and not be merely a copy of the title of this announcement.

*i. Content*

b. 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: **20 pages**

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

- Cover page
- Table of contents
- Curriculum Vitae (CV)
- Data Management Plan
- Letters of Support
- Cited References
- Current and Pending Support

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.gov/web/grants/forms.html**

**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. 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.

- 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.

  - Where the Program Office Code only has two digits, add a "0" directly after the Code (e.g., Code 31 would be entered as 310)

**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 SF424 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 SF424 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/content/home).

- Field 19 – Authorized Representative: Email address entered by the grantee on the SF424 application to create the EDA notification profile.

### ii. PROJECT/ABSTRACT

The project summary/abstract must identify the research problem and objectives, technical approaches, anticipated outcome of the research, 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 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/

### 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 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 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: N0001425SF0006
    - Title of proposal;
    - Identity of prime applicant and complete list of subawardees, if applicable;
    - Technical contact (name, address, phone/fax, electronic mail address);
    - Administrative/business contact (name, address, phone/fax, electronic mail address); and
    - Proposed period of performance (identify both the base period and options, if included).

  - **Table of Contents (not included in page limit):** An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.

  - **Technical Approach (included in page limit):** Describe the scientific or technical concepts that will be investigated, providing the complete research plan. Describe what is innovative about the proposed approach. Provide the proposed approach compared to alternate approaches other researchers in the field have taken. Given the successful completion, describe the results, new knowledge, or insights.

    - **Future Naval Relevance:** A description of potential Naval relevant and contributions of the effort to the agency's specific mission.
    - **Project Schedule and Milestones:** A summary of the schedule of events and milestones.

  - **Management Approach (included in page limit):** Describe the overall management approach and provide rationale for participation of key team members. Describe the planned relationships with any subawardees or collaborators. This is a single PI award; if there are subawardees or collaborators, explain how the proposed team fits the single PI structure. If appropriate, briefly describe anticipated schedule.

- **Principal Investigator Qualifications (included in page limit):** A discussion of the qualifications of the proposed Principal Investigator and any other key personnel.

- **Letter(s) of Support (not included in page limit):** There is no specified format or content required for the letter(s) of support other than being authored by the appropriate University (or Nonprofit) Official(s) and supporting long-term commitment by the University (or Nonprofit) to the applicant and his or her research. Long-term commitment may include (but is not limited to) release time from teaching and/or administrative responsibilities, paid nine-month salary, other related research funding, related laboratory and/or computer investments, new faculty start-up package, support for applicant's graduate students/postdocs, and mentoring. The letter(s) can include any and all commitments and investments made by the university (or non-profit) towards the applicant being a successful researcher, instructor, and advisor, as well as the applicant's achievements. It must be clear that the university (or non-profit) is making long-term commitment to the applicant and his or her research, and that the applicant is viewed as a potential leading faculty member or equivalent. The university (or nonprofit) should make it clear that the individual being recommended is truly outstanding. The Letter(s) of Support shall be attached to the proposal.

- **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.

The award start date for budget purposes should be 01 January 2026.

Typical awards are $750,000 over a 36-month period of performance. Applicants may request up to $250,000 for each 12-month interval.

The budget should be separated into four budget forms with the following periods of performance per budget form:

Budget form (1): 9 months (01 January 2026 through 30 September 2026), up to $187,500
Budget form (2): 12 months (01 October 2026 through 30 September 2027), up to $250,000
Budget form (3): 12 months (01 October 2027 through 30 September 2028), up to $250,000
Budget form (4): 3 months (01 October 2028 through 31 December 2028), up to $62,500

Note that the budget for each budget-period (e.g., 01 January 2026 through 30 September 2026) should include only those costs to be expended during that budget period. Annual budget should be driven by program requirements.

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 include a link to the current single audit report. This document shall be attached under Section K. "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 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 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 the de minimis rate.

- 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 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.

- Subawards/Subcontracts – Provide a description of the work to be performed by the subrecipient/subcontractor. For each subaward, a detailed cost proposal is required to be submitted by the subrecipient(s) using the R&R budget form. The same requirements for the individual categories identified in this section apply to the subaward/subcontract. Include subrecipient(s) name at the top of the budget justification document. A proposal and any supporting documentation must be received and reviewed before the Government can complete its cost analysis of the proposal and enter negotiations. ONR's preferred method of receiving subcontract information is for this information to be included with the Prime's proposal. However, a subcontractor's cost proposal can be provided in a sealed envelope with the recipient's cost proposal or via e-mail directly to the Program Officer at the same time the prime proposal is submitted. The e-mail should identify the proposal title, the prime applicant, and that the attached

proposal is a subcontract.

- Consultants – Provide a breakdown of the consultant's hours, the hourly rate proposed, and any other proposed consultant costs, a copy of the signed Consulting Agreement or other documentation supporting the proposed consultant rate/cost, and a copy of the consultant's proposed statement of work if it is not already separately identified in the prime applicant's proposal.

- 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 the 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 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 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 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.**

**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.**

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. DoD 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)
- 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; and
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

SAM may be accessed at https://www.sam.gov/content/home.

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. 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:
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*

All attachments to grant applications submitted through Grants.Gov must be in Adobe Portable Document Format. Proposals with attachments submitted in word processing, spreadsheet, or any format other than Adobe Portable Document Format 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

b. Applicant Support

Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at 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 **01 August 2025 (Friday)**. 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.

**DoD 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 saves each of the emails. You will know that your proposal has reached the DoD 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 DoD 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

This section includes information on the criteria that make an application or project ineligible. These are sometimes referred to as “responsiveness” criteria, “go-no-go” criteria, or “threshold” criteria. Listed throughout this NOFO, there are additional criteria that make an application ineligible.

Applicants should read all sections carefully but specifically are directed to the sections on eligibility, submission content and format, submission requirements and deadlines, and post award requirements and administration. In addition, all organizations applying must register with the System for Award Management (SAM) and will receive a unique entity identifier (UEI) number. SAM registration must be renewed annually. If you have not registered in SAM, go to https://sam.gov/entity-registration/. All submissions to ONR must be made through grants.gov as indicated in the submission requirements section.

## 2. Review Criteria

The primary basis for selecting proposals for acceptance shall be technical merit, Naval S&T priorities, Principal Investigator past performance and experience, letter(s) of support, and budget, as outlined below. To the extent appropriate, cost realism and reasonableness will also be considered when selecting proposals. ONR reserves the right to request and require any additional information and documentation after it makes the type of award instrument determination. ONR reserves the right to remove Applicant s from award consideration when the parties fail to reach agreement on award terms, conditions, and cost/price within a reasonable time, or when the Applicant fails to timely provide requested or required additional information.

Applicant’s full proposals will be evaluated against the following criteria:

(1) Technical Merit – A creative research proposal, demonstrating the potential for making progress in an ONR research area;

(2) Naval Science and Technology Priorities – Basic and Applied Research that address new knowledge to develop new technologies that ultimately become new capabilities delivered by the acquisition community (as described in the ONR

Science and Technology Department section of ONR's website at https://www.nre.navy.mil/organization/departments As part of the Naval relevance criteria, in accordance with the National Defense Authorization Act (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.)

(3) Curriculum Vitae – Past performance and experience of the Principal Investigator, demonstrated by the significance and impact of previous and ongoing research, publications, professional activities, and awards. that can lead to revolutionary discoveries, fellowships in scientific professional organizations and national/international honors in scientific societies;

(4) Letter of Support (required) – A long-term commitment by the University or Non-profit to the applicant and the proposed research detailed in the letter(s) of support from appropriate official(s); and

(5) Budget – Cost realism, affordability, and budgetary constraints.

In addition, per NDAA 2021 Section 1062, beginning October 1, 2024, DoD 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 through 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. 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.

**FAPIIS**

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 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 and authorizing award instrument.

## 2. Electronic Document Access (EDA)

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

# 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 DoD'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 Defense 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. Additional information regarding the President's Export Control Reform Initiative can be found at https://www.export.gov/article2?id=Export-Control-Reform-ECR.

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 DoD policies and requirements for the use of animals in DoD-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 (703) 696-4318 or 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 DOD 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 (703) 696-4318 or suzanne.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, DoD 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 (703) 696-4318 or suzanne.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. 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 http://www.phe.gov/s3/dualuse/pages/default.aspx.

f. Department of Defense High Performance Computing Modernization Program:

The DoD High Performance Computing Modernization Program (HPCMP) furnishes the DoD 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 day. Typically, there are 2 in-person Project Review Meetings each year. Additional Project Review Meetings are likely, 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. Program Review Meetings are generally held once per year and last two to three days.

For cost estimating purposes, applicants should assume 40% of the review meetings will be at or near ONR, Arlington VA, and 60% will be held at other government or non-government facilities within the continental United States.

The Government sometimes finds it advantageous to hold Program Review Meetings at a performer's facility. Applicants interested in hosting such meetings should include an estimated cost and the following language in their proposals, which become part of any award (note: if a contract is awarded, use of the facility will be included as an option):

[Name of entity] offers the use of its facilities for an ONR Program Review Meeting to discuss the status of programs related to the subject of this proposal. Such meetings may include attendees representing multiple research efforts. The meetings will discuss only "contracted fundamental research" as provided in the Under Secretary of Defense (Acquisition, Technology and Logistics) Memorandum of 24 May 2010, the results of which are open to the public. No fee will be charged for Program Review Meeting attendees. [Name of entity] understands it will not be asked to host a Performance Review Meeting more than once per year, if at all.

Applicants are not required to include the foregoing term in their proposals, and whether they do or not, will not affect their selection for award.

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 and the supplemental at Section H.1.h. above. 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 SF424 (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 SF424 (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 SF424, 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, DoD property, or DoD 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 DOD at DODI 3210.7 "Research Integrity and Misconduct" and by ONR at ONRINST 5041.2A "Policy for Handling Allegations of Scientific Research Misconduct" .

## 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), is 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.