

AFOSR Announcement NOFOAFRLAFOSR20250005
ARO Announcement W911NF25S0003
ONR Announcement N0001425SF001

NOTICE OF FUNDING OPPORTUNITY (NOFO)

**Fiscal Year (FY) 2026 Department of Defense (DoD) Defense University Research
Instrumentation Program (DURIP)**

Deadlines

Application Inquiries and Questions
11 April 2025

Applications must be received no later than
25 April 2025 at 5:00 PM Eastern Time

SPECIAL NOTE: Applications must be **‘VALIDATED’** by Grants.gov by the application deadline. This can take up to 48 hours after successful submission. See [Section G.1., Timely Receipt Requirements and Proof of Timely Submission](#), for more information. It is strongly recommended that applications be submitted at least 2 business days ahead of the application deadline.

CONTENTS

Overview of the Research Opportunity.....	4
A. Basic Information	4
1. Federal Agency Names	4
2. Funding Opportunity Title.....	5
3. Announcement Type	5
4. Funding Opportunity Number	5
5. Assistance Listing Number	5
6. Funding Details.....	5
7. Key Dates.....	6
8. Executive Summary.....	6
9. Agency Contact Information	6
B. Eligibility	7
1. Eligible Applicants.....	7
2. Cost Sharing or Matching.....	7
3. Other	7
4. Funding Restrictions	8
C. Program Description	10
1. Instrument Type	11
D. Application Contents and Format	12
1. Content and Form of Application Submission.....	12
E. Submission Requirements and Deadlines.....	20
1. Address to Request Application Package	20
2. Unique Entity Identifier (UEI) and System for Award Management (SAM)	21
3. Submission Instructions	21
4. Submission Dates and Times	23
F. Application Review Information	23
1. Timely Receipt Requirements and Proof of Timely Submission	23
2. Review Criteria.....	25
3. Review and Selection Process.....	25
4. Risk Review	26
G. Federal Award Notices	30

H. Post Award Requirements and Administration..... 30

1. Administrative and National Policy Requirements..... 30

2. Reporting 34

Overview of the Research Opportunity

The Department of Defense (DoD) announces the Fiscal Year 2026 Defense University Research Instrumentation Program (DURIP). The DoD DURIP, one element of the University Research Initiatives (URI), is sponsored by the DoD research offices. Those offices include the Office of Naval Research (ONR), the Army Research Office (ARO), and the Air Force Office of Scientific Research (AFOSR) (hereafter collectively referred to as "DoD agencies" or "DoD").

This publication constitutes a Notice of Funding Opportunity (NOFO) as contemplated in the Department of Defense Grants and Agreements regulations (DoDGARS) 32 CFR 22.315(a). The DoD agencies reserve the right to fund all, some, or none of the proposals received under this NOFO. The DoD agencies provide 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 the DoD agencies to treat all 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.

DURIP is designed to improve the capabilities of accredited United States (U.S.) [institutions of higher education](#) to conduct research and to educate scientists and engineers in areas important to national defense, by providing funds for the acquisition of research equipment or instrumentation. For-profit organizations are not eligible for DURIP funding. We refer to eligible [institutions of higher education](#) as universities in the rest of this announcement.

Awards will take the form of grants. FOR ARO SUBMISSIONS ONLY, awards will take the form of grants and/or cooperative agreements. Any assistance instrument awarded under this announcement will be governed by the award terms and conditions that conform to DoD's implementation of the Office of Management and Budget (OMB) circulars applicable to financial assistance. Terms and conditions will reflect DoD implementation of OMB guidance in 2 CFR Part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards."

IMPORTANT NOTE: Applicants should be alert for any amendments that may modify the announcement. Amendments to the original NOFO will be posted to the Grants.gov webpage: <https://www.grants.gov/>.

A. Basic Information

1. Federal Agency Names

Air Force Office of Scientific Research
875 North Randolph Street
Arlington, VA 22203

Army Research Office
800 Park Office Drive
Research Triangle Park, NC 27709

Office of Naval Research

One Liberty Center
875 N. Randolph Street
Arlington, VA 22203-1995

2. Funding Opportunity Title

Fiscal Year (FY) 2026 Department of Defense (DoD) Defense University Research Instrumentation Program (DURIP)

3. Announcement Type

Initial Announcement

4. Funding Opportunity Number

AFOSR: NOFOAFRLAFOSR20250005

ARO: W911NF25S0003

ONR: N0001425SF001

5. Assistance Listing Number

AFOSR: 12.800

ARO: 12.431

ONR: 12.300

6. Funding Details

a. Funded Amount and Period of Performance

The total amount of funding for the 12 months available for grants resulting from this DURIP NOFO is estimated to be approximately \$34 million dollars pending appropriations. DURIP awards are contingent on availability of funds and the scope of the proposed acquisition and intended research and education. Typical funding per grant is \$50,000 to \$3,000,000. The amount of the award should generally not exceed the limit specified. Awardees have the option to request a no-cost extension for up to an additional 12-months with sufficient justification. **It is expected that DURIP awards will be completed within the initial 12-month period of performance.**

It is strongly recommended that Applicants communicate with the technical program officers at the agency(ies) they are submitting to. Depending on the results of the proposal evaluation, there is no guarantee that any of the proposals submitted will be recommended for funding. On the other hand, more than one proposal may be recommended for funding in a specific technical area.

Each administering agency will make grant awards to fund the purchase of research equipment or instrumentation costing \$50,000 to \$3,000,000 that cannot typically be purchased within the budgets of single-investigator awards. We refer to this as major equipment or instrumentation for the remainder of the announcement. We generally cannot make any individual award that exceeds more than \$3,000,000 in DoD funding unless your proposal qualifies for one of the two exceptions listed in section [B.3.b Amount of Requested DoD Funding](#). NOTE: AFOSR will not consider any request for exception above \$7,000,000.

We can make awards to universities conducting, or demonstrably capable of conducting, research

in areas of interest to the DoD with the new equipment or instrumentation proposed.

7. Key Dates

Pre-proposal inquiries and questions must be submitted not later than **Friday, 11 April, 2025, at 11:59 PM Eastern Time.**

Proposals must be received electronically through Grants.gov by **Friday, April 25, 2025, at 5:00 PM Eastern Time.**

8. Executive Summary

Since its inception, DURIP has provided equipment and instrumentation to enhance basic research capability and research-related education in areas of interest and priority to the DoD.

DoD interests include the areas of research supported by the Army Research Office (ARO), the Office of Naval Research (ONR), and the Air Force Office of Scientific Research (AFOSR), hereafter generally referred to collectively as “we,” “our,” “us,” or “administering agency.” We use “administering agency” to provide a generic reference to any of the administering agencies.

The DURIP is executed with the hope that these awards facilitate the growth of the U.S. base of STEM professionals as well as enable U.S. institutions of higher education to address the Department’s unique problem sets. It is imperative that proposals address the impact of the equipment and instrumentation on the institution’s ability to educate students through research in disciplines important to DoD missions.

9. Agency Contact Information

b. DURIP Program Points of Contact

All UNCLASSIFIED communications shall be submitted via e-mail to the Program Point of Contact (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 NOFO should be referenced. Questions submitted within 2 weeks prior to a submission deadline may not be answered, and the due date for proposal submission will not be extended.

Questions of a policy/program nature shall be directed as specified below:

Air Force Office of Scientific Research (AFOSR)
Ms. Katie Wisecarver
afosr.rtb.durip@us.af.mil

Army Research Office (ARO)
Dr. Sue Kase
usarmy.rtp.devcom-arl.mbx.aro-durip@army.mil

Office of Naval Research (ONR)
Dr. Amanda Netburn
onr.ncr.durip@us.navy.mil

Questions of a business nature shall be directed as specified below:

Air Force Materiel Command, Air Force Research Laboratory, Contracting Office (AFMC/AFRL RBKR)

Mr. Jorge Gallegos

jorge.gallegos@us.af.mil

USARMY ACC

Ms. Ramila Century

ramila.century.civ@army.mil

Office of Naval Research

Ms. Veronica Lacey

veronica.y.lacey.civ@us.navy.mil

B. Eligibility

(1) Eligible Applicants

This competition is open to accredited U.S. institutions of higher education with degree granting programs in science, mathematics, and/or engineering except for-profit educational institutions.

University Affiliated Research Centers (UARCs) are eligible to participate in this competition. Federally Funded Research and Development Centers are not eligible to participate.

To assess risk posed by Applicants, we review your application, proposal, and Office of Management and Budget (OMB) designated repositories of government-wide public and non-public data, including comments you have made, as required by [31 U.S.C. 3321](#) and [41 U.S.C. 2313](#) and described in [2 CFR 200.205](#) and [32 CFR 22.410](#) to confirm you are qualified, responsible, and eligible to receive an award.

You may submit a single DURIP proposal to more than one administering agency; however, only one administering agency will fund it, if selected. There is no limit on the total number of different proposals you can submit.

There is no limit to the number of awards a single Applicant organization can receive under this competition. Selections are based on our criteria.

(2) Cost Sharing or Matching

We do not require cost sharing or matching for proposals under this announcement. You are not prohibited from including voluntary committed cost sharing or matching in your proposal. Cost sharing or matching is not an evaluation factor.

(3) Other

a. Eligible Equipment and Instrumentation

DURIP funds must be used for the acquisition of major equipment or instrumentation to augment current, or develop new, research capabilities to support research in the technical areas of interest to the DoD. Your proposal may request funding for more than one item if the

requested items comprise a “system” that is used for a common research purpose. Requests for computing equipment for DoD-relevant research programs are appropriate and eligible for funding. Proposals for purely instructional equipment or general-purpose computing facilities are not eligible for DURIP funding.

b. Amount of Requested DoD Funding

With few exceptions, a DURIP award provides between \$50,000 and \$3,000,000 in DoD funding for the purchase of major equipment or instrumentation.

(4) Funding Restrictions

A. 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.

i. In accordance with 2 CFR 200.216 and 200.471, recipients and subrecipients of all awards that are issued on or after August 13, 2020 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).

a) 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). Telecommunications or video surveillance services provided by such entities or using such equipment.

b) 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.

ii. 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.

- iii. See Public Law 115-232, section 889 for additional information. COVERED FOREIGN COUNTRY means the People's Republic of China.

- B. With few exceptions, a DURIP award provides between \$50,000 and \$3,000,000 in DoD funding for the purchase of major equipment or instrumentation.

You may submit a proposal to purchase major equipment or instrumentation costing more than \$3,000,000 under either of the following two (2) conditions:

Your proposal contains a firm commitment from your institution to provide voluntary committed cost sharing or matching so the cost to DoD remains \$3,000,000 or less; or, your proposal requests the administering agency that receives your proposal to grant an exception to the \$3,000,000 maximum amount of DoD funding. At the administering agency's discretion, your proposal may be considered if it is warranted by priority defense research need or needs.

Exceptions to the \$3,000,000 limit are expected to be rare.

We strongly recommend you communicate with the administering agency before you submit any formal proposal.

NOTE: AFOSR will not consider any request for exception above \$7,000,000, cost-sharing included.

We reserve the right to select and fund for award, all, some, part, or none of the proposals received. There is no guarantee of award.

- C. DURIP-Specific Funding Restrictions

Allowable and unallowable costs are identified in the chart below.

ALLOWABLE DURIP COSTS	UNALLOWABLE DURIP COSTS
Acquisition of major equipment or instrumentation consistent with the evaluation criteria, including reasonable costs for design, construction, assembly, and/or installation by external contractors or university technicians or engineers.	Construction or modification of buildings, building support systems such as heating, ventilation, or air conditioning, plumbing, or electrical, or fixed equipment such as clean rooms or fume hoods
	Costs for continued operation and maintenance, including extended warranties
	Purely instructional equipment
Computers for DoD-relevant research programs consistent with the evaluation criteria	General purpose computing facilities
	Any materials or supplies costs not DIRECTLY related to the stand up/function of the major instrumentation item being purchased
Travel costs for testing and/or acceptance of proposed instrumentation, and associated indirect (F&A) costs	Direct salaries of faculty, postdoctoral associates, or students
	Subawards for research expertise related to instrumentation implementation/testing
	General research M&S
	Costs that are not allowable under 2 CFR 200 Subpart E – Cost Principles

C. Program Description

This announcement seeks proposals from universities to purchase equipment and instrumentation in support of research in areas of interest to the DoD.

DoD interests include the areas of research supported by the Army Research Office (ARO), the Office of Naval Research (ONR), and the Air Force Office of Scientific Research (AFOSR), hereafter generally referred to collectively as “we,” “our,” “us,” or “administering agency.” We use “administering agency” to provide a generic reference to any of the administering agencies.

A central purpose of the DURIP is to provide equipment and instrumentation to enhance research related education in areas of interest and priority to the DoD. Therefore, your proposal must address the impact of the equipment or instrumentation on your institution’s ability to educate students through research in disciplines important to DoD missions.

Basic research is systematic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications towards processes or products in mind. It includes all scientific study and experimentation directed toward increasing fundamental knowledge and understanding in those fields of the physical, engineering, environmental, and life sciences related to long-term national security needs. It is farsighted high payoff research that provides the basis for technological progress (DoD 7000.14-R, vol. 2B, chap. 5, para. 050105. A.)

Our areas of research interest are published at the following websites:

ADMINISTERING AGENCY	HOW TO FIND OUR RESEARCH INTERESTS
Army Research Office https://arl.devcom.army.mil/	Navigate to https://arl.devcom.army.mil/opportunities/arl-baa/ to see the most recent ARL/ARO Core Broad Agency Announcement for Basic and Applied Scientific Research.
Office of Naval Research https://www.nre.navy.mil/	Navigate to https://www.nre.navy.mil/our-research/onr-technology-and-research to see a current list of ONR technology and research areas or go to https://www.nre.navy.mil/ , select “Work With Us,” then click “ Announcements ” under the “Funding Opportunities” heading to view our current Broad Agency Announcement.
Air Force Office of Scientific Research https://www.afrl.af.mil/AFOSR/	Navigate to https://grants.gov/search-results-detail/345653 to view the “Research Interests of the Air Force Office of Scientific Research,” Broad Agency Announcement FA9550-23-S-0001.

You should refer to the websites cited above for detailed technical information and our technical goals. We encourage you to contact the technical Program Managers/Officers (PM/PO) listed in the cited announcements before submitting proposals to explore research areas of mutual interest. Your proposal must identify a technical PM/PO in block 4b of the SF-424 proposal cover page.

The authority for DURIP awards is 10 U.S.C. 4001 in accordance with 31 U.S.C. 6304. 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.

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.

In addition, for ARO:

- a. Grant: A legal instrument consistent with 31 U.S.C. 6304, is used to enter into a relationship:
 - i. 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.
 - ii. Substantial involvement is not expected between the Federal Government and the recipient when carrying out the activity contemplated by the grant.
 - iii. 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:
 - i. 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 DoD expects to have in cooperative agreements, prospective Applicants should contact the Technical Point of Contact identified in the research area of interest.)
 - ii. No fee or profit is allowed.
 - iii. 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:
 - (1) A proposal, proposal abstract, and supporting documents;
 - (2) A business plan submitted on a business proprietary basis;
 - (3) Technical information submitted on a controlled basis, as outlined in DoDI 5230.24, Distribution Statements on Technical Documents.

D. Application Contents and Format

1. Content and Form of Application Submission

a. General Information

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

Prospective awardees are encouraged to contact technical PO/PMs prior to submitting a proposal to minimize the labor and cost associated with the production of detailed proposals that have very little chance of being selected for funding. The technical PO/PMs may provide informal feedback to the prospective awardees to encourage or discourage submission of proposals. The technical PO/PM may also, on occasion, provide feedback encouraging further strengthening of a proposal.

b. Distribution Markings

The proposals submitted under this NOFO are expected to address acquisition of equipment or instrumentation for unclassified basic research. Proposals will be protected from unauthorized disclosure in accordance with applicable laws and DoD regulations.

Applicants are expected to appropriately mark each page of their submission that contains proprietary information.

For proposals containing data that the Applicant does not want disclosed to the public for any reason, or used by the Government except for evaluation purposes, the Applicant shall mark the title page with the following legend:

“This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed--in whole or in part--for any purpose other than to evaluate the proposal or for program coordination. If, however, a grant is awarded to this Applicant as a result of, or in connection with, the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting award. This restriction does not limit the Government’s right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction is contained in (insert numbers or other identification of sheets).”

Also, mark each sheet of data that the Applicant wishes to restrict with the following legend: “Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal.”

c. Full Proposals

The administering agencies require Applicants to submit their applications online through Grants.gov. 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 any attachment is not a PDF, contains macros or is password protected, they will not pass the automated acceptance check and will need to be resubmitted prior to the submission deadline.**

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 forms are found at [Forms Repository | Grants.gov](#).

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 – 25 pages*

There are no page limitations for the budget.

*INCLUDED IN PAGE COUNT	NOT INCLUDED IN PAGE COUNT
Project Summary/Abstract	Everything else
Project Narrative	

We do not include Grants.gov forms in the page count. We do not include curriculum vitae or the list of current and pending support in the page count. We do not include budget related information or required representations in the page count. Not having enough information to understand if your costs are reasonable and realistic is the most common reason awards are delayed. We cannot make an award unless we can determine you are eligible, the cost of your proposal is reasonable and realistic, and complies with [2 CFR 200 Subpart E – Cost Principles](#).

NOTE: Awards are made in whole dollar amounts only. Proposed budgets should be submitted in whole dollars.

ii. Disclosure of Conflict of Commitment and Conflict of Interest

This announcement requires that all current and pending research support, as defined by Section 223 of the FY21 National Defense Authorization Act must be disclosed at the time of proposal, for all covered individuals. Such disclosure will be updated through the annual progress report during the performance of any research project selected for funding, and whenever covered individual are added or identified as performing under this project. Covered individuals are those who are listed as key personnel on proposals including but not restricted to the principal investigator or co-principal investigator.

Any decision to accept a proposal for funding under this announcement will include full reliance on the Applicant's statements. Failure to report fully and completely all sources of project support and outside positions and affiliations may be considered a material statement within the meaning of the federal False Claims Act and constitute a violation of law.

The funding agency may conduct a pre-award conflict of interest/conflict of commitment review of any proposal selected for funding as described in the DoD Component Decision Matrix to Inform Fundamental Research Proposal Mitigation Decisions. Offerors are advised that any significant conflict of interest/conflict of commitment identified may be a basis for the rejection of an otherwise awardable proposal.

d. 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 [Forms Repository | Grants.gov](#).

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: [R&R Family | Grants.gov](#).

You must use 1 December 2025 as the anticipated start date in your proposal and budget; however, the actual effective date is not final until an award is made.

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

- i. Field 3 - Date Received by State: Leave Blank
- ii. Field 4a - Federal Identifier:
For AFOSR, enter “FA9550”
For ARO, enter “W36QYT”
For ONR, enter “N00014”
- iii. Field 4b - Agency Routing Number:
For AFOSR, enter the Research Topic Chief’s Topic Number (#) and Research Topic Chief’s name (last name first) in brackets (e.g., 12 [Smith, John]).
For ARO, enter the name of the Research Topic Chief.
For ONR, enter the three (3) digit Research Topic Chief’s Code and the Research Topic Chief’s name (last name first) in brackets (e.g., 331 [Smith, John]). 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.
- iv. 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.
- v. Field 5 – Application Information: Email address entered by the grantee on the SF-424 application to create the Electronic Document Access (EDA) notification profile. DoD recommends that organizations provide a global business address.
- vi. Field 7 - Type of Applicant. Complete as indicated: If the organization is a Minority-Serving Institution, select “Other” and under “Other (Specify)” note that the institution is a Minority-Serving Institution (MI).
- vii. Field 9 - Name of Federal Agency: List the appropriate agency (i.e., ONR, AFOSR, or ARO) as the reviewing agency. This field is usually pre-populated in Grants.gov.
- viii. Field 11 – Descriptive Title of Applicant’s Project: Include “DURIP:” at the beginning of your descriptive title.
- ix. Field 14 – Project Director/Principal Investigator: Email address entered by the grantee on the SF-424 application to create the EDA notification profile.
- x. Field 16 - Is Application Subject to Review by State Executive Order 12372 Process?: Choose “No”. Check “Program is Not Covered by Executive Order 12372.”
- xi. 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, Title 218, Section 1001).

For AFOSR, if you check “I agree” on SF424 block 17 and do NOT upload a completed SF-LLL Disclosure of Lobbying Activities, you are certifying that you do NOT have any lobbying activities to disclose. If you do have lobbying activities to disclose, you MUST check “I agree” on SF424 block 17 AND upload a completed SF-LLL.

- xii. Field 19 – Authorized Representative (AOR): Email address entered by the grantee on the SF-424 application to create the EDA notification profile. Note: If the name in the signature field of Block 19 does not match the name listed as the AOR, you must provide signature delegation authority in the form of written approval from the named AOR or an institutional memo granting delegated signature authority.

b. Project Summary/Abstract

You must provide a concise abstract of 4,000 characters or less with your proposal. Spaces are included in the character count. Your abstract must be marked as publicly releasable. Your abstract should use terms the public can understand to describe the equipment or instrumentation requested, and research or related education that will be supported by the equipment or instrumentation.

Your abstract header should include the Agency Program Manager or Officer’s name(s) and directorate(s) you listed in SF-424 (R&R) field 4.b. as discussed in section D.5.a. SF-424 (R&R) Application for Federal Assistance.

If you receive an award, we must publish your abstract to a searchable website available to the general public as required by statute. The website address is <https://discover.dtic.mil/grant/>.

c. Research and Related Other Project Information

- a. Fields 1 and 1a – Human Subject Use: DURIP is for the acquisition of instrumentation/equipment only and therefore do not include Human Subject Use.
- b. Fields 2 and 2a – Vertebrate Animal Use: DURIP is for the acquisition of instrumentation/equipment only and therefore do not include Vertebrate Animal Use.
- c. Fields 4a through 4d – Environmental Compliance: Address these fields and briefly indicate whether the proposed instrumentation/equipment acquisition 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 DoD, 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.

- d. 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.
- e. 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.

You must clearly describe how the proposed equipment or instrumentation will:

- (a) Enhance the quality of research and research-related education currently funded by the DoD. Indicate the DoD organization, the contract or grant number, and the principal investigator (PI), and concisely describe the thrust of the research and the research-related education in sufficient detail to enable review of the proposal by an evaluator who is not familiar with your research program; and/or,
- (b) Contribute to research and research-related education currently proposed to the DoD. Indicate the organization and PI of the proposal under consideration, the prospective DoD sponsor, and concisely describe the thrust of the research and research-related education in sufficient detail to enable review of the DURIP proposal by an evaluator who is not familiar with your research proposal; and/or,
- (c) Establish new research capabilities or enhance current research capabilities for performing research and research-related education in areas of interest to the DoD.

Additionally:

- (d) Describe how the proposed equipment or instrumentation will interface with existing facilities or upgrade other equipment or instrumentation available for research and research-related education at your institution; and,
 - (e) Describe the amounts and sources of ongoing or proposed support for the research and research-related education to be facilitated; and,
 - (f) Describe any special circumstances regarding the acquisition or installation of the equipment or instrumentation; and,
 - (g) Indicate the estimated useful life of the equipment.
- f. Field 9 – Bibliography & References Cited: Upload your Bibliography/References Cited

as a single PDF.

- g. Field 10 – Facilities & Other Resources: Describe facilities available for performing the proposed research and any additional facilities the Applicant proposes to acquire at their 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.)
- h. Field 12 – Other Attachments: Optional, as necessary.

d. Research and Related Budget

Travel costs may be proposed to the extent that it is required for testing and/or acceptance of the proposed instrumentation. Travel must be clearly justified to demonstrate relevance to the success of the project. Sufficient detail shall be provided for how travel costs were estimated. The awarding agency reserves the right to request further details and reduce travel costs after program and business office review.

You must include a budget that identifies the cost per item for equipment or instrumentation to be purchased, associated travel costs, and the total cost. Cite the proposed sources of the equipment or instrumentation on the budget justification attachment. This form is not included in your page count.

Your equipment or instrumentation costs should be based on recent quotations from manufacturers or distributors. Itemize equipment on the R&R Budget form to the extent possible or provide an itemization on the budget justification attachment.

Your travel costs should be based on your institution's written travel policy, or in accordance with [2 CFR 200.475](#). Itemize travel costs on the budget justification attachment.

All equipment or instrumentation requested must be considered part of one "system" costing \$50,000 to \$3,000,000 absent an exception; and thus, all equipment or instrumentation proposed must be exempt from indirect costs. NOTE: AFOSR will not consider any request for exception above \$7,000,000.

NOTE: Awards are made in whole dollar amounts only. Proposed budgets should be submitted in whole dollars.

You must use 1 December 2025 as the anticipated start date in your proposal and budget; however, the actual effective date is not final until an award is made.

The final awarded budget is subject to change based on availability of funds.

ALLOWABLE DURIP COSTS	UNALLOWABLE DURIP COSTS
Acquisition of major equipment or instrumentation consistent with the evaluation criteria, including: reasonable costs for design, construction, assembly, and/or installation by external contractors or university technicians or engineers.	Construction or modification of buildings, building support systems such as heating, ventilation, or air conditioning, plumbing, or electrical, or fixed equipment such as clean rooms or fume hoods
	Costs for continued operation and maintenance, including extended warranties
	Purely instructional equipment
Computers for DoD-relevant research programs consistent with the evaluation criteria	General purpose computing facilities
	Any materials or supplies costs not DIRECTLY related to the stand up/function of the major instrumentation item being purchased
Travel costs for testing and/or acceptance of proposed instrumentation, and associated indirect (F&A) costs	Direct salaries of faculty, postdoctoral associates, or students
	Subawards for research expertise related to instrumentation implementation/testing
	General research M&S
	Costs that are not allowable under 2 CFR 200 Subpart E – Cost Principles

e. 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 R&R Senior/Key Person Profile (Expanded) form will be used to collect the following information for all senior/key personnel, including Project Director/Principal Investigator (PI) and Co-Project Director/Co-Principal Investigator (Co-PI), whether or not the individuals' efforts under the project are to be funded by the DoD. **NOTE: DURIP proposals typically do not include Co-PIs.**

- (1) Degree Type and Degree Year fields as the source for career information.
- (2) Upload the biosketch/CV/resume (limited to 5 pages per CV) to the Biographical Sketch field.
- (3) Current & Pending Support (no page limit): Applicants shall include a list of all current projects the individual is working on, in addition to any future support the individual has applied to receive, regardless of the source. Upload this document by clicking "Add Attachment." The following information shall be included for each current or pending project:
 - (4) Title and objectives
 - (5) The percentage per year to be devoted to the other projects
 - (6) The total amount of support the individual is receiving in connection to each of the other research projects or will receive if the other proposals are awarded
 - (7) Name and address of the agencies and/or other parties supporting the other research projects
 - (8) Period of performance for the other research projects

Additional senior/key persons can be added by selecting the "Next Person" button. Note that, although applications without these fields completed may pass Grants.gov edit checks, if DoD receives an application without the required information, DoD may determine that the application is incomplete and may return it without further review. DoD reserves the right to request further details from the Applicant before making a final determination on funding the effort.

f. Research and Related Personal Data

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

- a. Grants.gov: www.grants.gov
- b. ONR website: <https://www.nre.navy.mil/work-with-us/funding-opportunities>
- c. ARO website: <https://arl.devcom.army.mil/collaborate-with-us>

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; and
- c. 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.

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

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. Grants.gov Application Submission and Receipt Procedures

This section provides the application submission and receipt instructions for the Department of Defense (DoD) agency program applications. Please read the following instructions carefully and completely.

i. Electronic Delivery

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

ii. How to Register for Grants.gov

Applicants should read the registration 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.

Creating a Grants.gov account can be completed online in minutes, but SAM registrations may take several weeks to complete. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required application submission deadlines.

Complete organization instructions can be found on Grants.gov here: [Register | Grants.gov](#).

iii. 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.

For more detailed instructions for registering with SAM, refer to: [Entity Registration | SAM.gov](#).

iv. 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.

v. 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 authorizing roles on Grants.gov, refer to [EBiz POC Authorizes Profile Roles | Grants.gov](#)

vi. Track Role Status

To track your role request, refer to: [Track Profile Role Status | Grants.gov](#).

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.**

b. How to Submit an Application to AFOSR, ARO, or ONR 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 webforms within an application. For each 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: [Applicants | Grants.gov](#)

ii. Create a Workspace

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

iii. Complete a Workspace

Add participants to the Workspace, complete all the required forms, and check for errors before submission.

- (a) Adobe Reader: If you decide not to apply by filling out webforms, you can download individual PDF forms in Workspace so that they will appear similar to other Standard or administering agency forms. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drive(s), then accessed through AdobeReader.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at: [Adobe Software Compatibility | Grants.gov](#).

- (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 Applicant name, address, and Unique Entity Identifier (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.

iv. 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 time to correct any potential technical issues that may disrupt application submission.

v. Track a Workspace

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

For additional training resources, including video tutorials, refer to: [Applicant Training | Grants.gov](#).

c. Applicant Support

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

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

4. Submission Dates and Times

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

F. Application Review Information

1. Timely Receipt Requirements and Proof of Timely Submission

a. Online Submissions

All applications must be received by **5:00 PM Eastern Time on 25 April 2025**. 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 DoD agency 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 DoD agency.

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 submitting applications no later than two (2) business days ahead of submission deadline to ensure sufficient time for any corrections that may be required.

b. Proposal Receipt Notice

After a proposal is submitted through Grants.gov, the Authorized Organization Representative (AOR) will receive a series of three emails. It is extremely important that the AOR watch for and save each of the emails. You will know that your proposal has reached the 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:

- i. Email 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.
- ii. Email 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.

- iii. Email 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.

2. Review Criteria

We have three (3) evaluation criteria for this competition. The criteria are of equal importance to each other.

- a. The impact of your proposed equipment or instrumentation on research DoD funds, or plans to fund, and/or the likelihood your proposed equipment or instrumentation will enhance current research capabilities or establish new research capabilities relevant to DoD areas of interest; and,
- b. The importance and priority to DoD missions of research your proposed equipment or instrumentation will support; and,
- c. The potential your proposed equipment or instrumentation offers to enhance your institution's ability to educate future scientists and engineers through research conducted with the proposed equipment in disciplines important to DoD missions.

You should show strength in as many of the evaluation areas as practicable to demonstrate maximum competitiveness.

3. Review and Selection Process

a. General Information

The ultimate recommendation for award of proposals is made by the DoD's scientific/technical community. Recommended proposals will then be forwarded to ONR, AFOSR, or ARO Contracts and Grant Awards Management office. Any notification received from the DoD agency that indicates that the Applicant's proposal has been recommended does not guarantee an award will ultimately be made. This notice indicates that the proposal has been selected in accordance with the evaluation criteria stated above and has been sent to the Grants 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 commencing negotiations with the Applicant.

b. Evaluation

Proposals will undergo a multi-stage evaluation procedure. Cost proposals will be evaluated by Government business professionals. Restrictive notices notwithstanding, one or more support contractors or advisors external to the US Government may be utilized as subject-matter-expert technical consultants. However, proposal selection and award decisions are solely the responsibility of Government personnel. Support contractor employees and peers external to the US Government having access to technical and cost proposals submitted in response to this NOFO will be required to sign a non-disclosure and a conflict of interest statement prior to receipt of any proposal submission. Findings will be forwarded to senior DoD officials who will make funding recommendations to the

awarding officials.

Due to the nature of the DURIP program, the reviewing official(s) may on occasion recommend that less than an entire DURIP proposal be selected for funding. This may be due to several causes, including but not limited to, insufficient funds or overlap among proposals received. In such cases, proposal adjustments will be agreed to by the Principal Investigator and the Government prior to final award.

4. Risk Review

- a. 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:
 - i. 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;
 - ii. Have a satisfactory record of executing such programs or activities (if a prior recipient of an award);
 - iii. Have a satisfactory record of integrity and business ethics; and
 - iv. 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.

b. Risk-based Security Review Process

All Covered Individuals proposed under all grants and cooperative agreements are subject to the [DoD Fundamental Research Risk-Based Security Review Process](#). In accordance with applicable laws and regulations and as designated by DoD policy, Covered Individuals are individuals who contribute in a substantive, meaningful way to the scientific development or execution of a research and development project, including the principal investigator (PI) and co-PI(s).

This risk-based security review process provides consistency in policy and procedures across all DoD Components. Risk-based security reviews will be conducted for all fundamental research proposals that are identified as "selected for award based on technical merit." The risk-based security reviews will be conducted by reviewing the Standard Form (SF) 424, "Senior/Key Person Profile (Expanded)," its accompanying or referenced documents, Common Disclosure Forms, and the Research Performance Progress Reports (when applicable), in concert with a risk decision matrix consistent with DoD's Decision Matrix to Inform Fundamental Research Proposal Mitigation Decisions.

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

- i. On June 8, 2023, the Undersecretary of Defense for Research and Engineering (OUSD (R&E)) released a memorandum, "[Policy on Risk-Based Security Reviews on Fundamental Research](#)," directing Components to establish a risk-based security review program to identify and mitigate undue foreign influence in fundamental research consistent with the requirements mandated by National Security Presidential Memorandum (NSPM)-33. In accordance with these requirements, all Covered Individuals proposed under all fundamental research proposals that are selected for award will be assessed for potential undue foreign influence risk factors relating to professional and financial activities. This will be done by evaluating information provided via the SF-424 and any accompanying or referenced documents, as well as the Common Disclosure Forms and Research Performance Progress Reports, as applicable, to identify and assess any associations or affiliations the Covered Individuals may have with foreign countries of concern (FCOC) (i.e., The Peoples Republic of China, the Russian Federation, the Islamic Republic of Iran, and the Democratic People's Republic of North Korea) or FCOC connected entities.
- ii. The University or non-profit research institution, performer, or recipient agrees to provide information on potential conflicts of interest and conflicts of commitment associated with foreign influence in their biographical sketch and current and pending support.
 - (a) The above-described information will be provided to the Government as part of the proposal response to the solicitation and will be reviewed and assessed utilizing a risk-based security review process prior to award. Generally, this information will be included in the Research and Related Senior/Key Personnel Profile (Expanded) form (SF-424) and Common Disclosure Forms required as part of the proposer's submission through Grants.gov.
 1. Instructions regarding how to fill out the SF-424 and its biographical sketch and current and pending support can be found through Grants.gov.
 - (b) The risk-based security review process takes into consideration the entirety of the Covered Individual's SF-424, Common Disclosure Forms, current and pending support, and biographical sketch. Any identified potential risk factors, along with publicly or commercially available validation information, are then compared to a risk decision matrix consistent with the "DoD Component Decision Risk Matrix to Inform Fundamental Research Proposal Mitigation Decisions" to determine the level of mitigation that may be required to proceed, if possible.
 - (c) The risk-based security review process will leverage, among other things, publicly available lists or reports published by the U.S. federal government and cited in the "Decision Matrix to Inform Fundamental Research Proposal Mitigation Decisions": <https://basicresearch.defense.gov/Portals/61/Documents/Academic%20Research%20Security%20Page/DoD%20Component%20Decision%20Matrix%20to%20Inform%20Fundamental%20Research%20Proposal%20Mitigation%20Decisions.pdf?ver=GQHK7CJBr8ks5GPnXKxabQ%3d%3d>.
 - (d) Congress has explicitly stated that there are foreign influence risks that are not able to be mitigated and thus would require denial of award. They are:
 1. Beginning 1 October 2023, no U.S. institution of higher education that hosts a Confucius Institute* may receive DoD funding. Institutions hosting a Confucius Institute are automatically classified as "prohibited" under

OUSD(R&E)'s "Policy on Risk Based Security Reviews on Fundamental Research," as required by law.

2. Beginning 9 August 2024, the DoD is prohibited from funding or making an award of a fundamental research project proposal in which a covered individual is actively participating in a malign foreign talent recruitment program, pursuant to section 10632 of the CHIPS and Science Act of 2022. Individuals participating in such a program are automatically classified as "prohibited" under OUSD(R&E)'s "Policy on Risk Based Security Reviews on Fundamental Research," as required by law.

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

- (e) Any changes to Covered Individuals will require submission of an SF 424 and its attachments, Common Disclosure Forms, a security-based risk assessment, and approval by the contracting officer and program manager.
- (f) Security-based risk assessments will also be conducted if changes to Covered Individuals reporting criteria are reflected in the Research Performance Progress Reports.
- (g) To the greatest extent practicable, the DoD will work with the proposing institution to ensure that if the risk is able to be mitigated, it will make every effort to do so. If the proposing institution refuses to, or is unable to mitigate the identified risks, it may result in a denial of award.
- (h) Proposing institutions who have their technically acceptable fundamental research proposal rejected due to the risk-based security review process may challenge the risk-based security review decision. In that instance, the OUSD(R&E) will reconsider the project proposal as well as any additional documentation provided by the proposing institution to ensure that the risk-based security review was performed consistent with OUSD(R&E) policy.
- (i) This process, to include negotiation of risk mitigation measures, is not to be considered as part of the time-to-award.

iii. Involvement of Covered Individuals in Malign Foreign Talent Recruitment Programs.

- (a) If, at any time during performance of this research award, the academic or non-profit research performer or recipient should learn that it, its Covered Individuals, or applicable team members or subtier performers on this award are, or are believed to be, participants in a malign foreign government talent program or exhibiting behaviors/actions identified in the DoD Component Decision Matrix to Inform Fundamental Research Proposal Mitigation Decisions (i.e., funding from a FCOC or FCOC-connected entity, patents resulting from U.S. government funded research that were filed with a FCOC or on behalf of a FCOC-connected entity, and associations or affiliations with foreign government connected entities), the performer or recipient will notify the Government Contracting Officer or Agreements Officer within 5 business days.
 1. This disclosure must include specific information as to the personnel involved and the nature of the situation and relationship. The Government will have 30 business days to review this information and

conduct any necessary fact-finding or discussion with the performer or recipient.

2. Such disclosure could result in a termination of award at the government's discretion.
3. If the University receives no response from the Government to its disclosure within 30 business days, it may presume that the Government has determined the disclosure does not represent a threat.

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

- iv. All analysis and assessment of affiliations and associations of Covered Individuals are compliant with Title VI of the Civil Rights Act of 1964. Information regarding race, color, or national origin is not collected and does not have bearing in the risk assessment. University or non-profit research institutions with proposals selected for negotiation that have been assessed as having potential undue foreign influence risk factors, as defined by the DoD Decision Matrix to Inform Fundamental Research Proposal Mitigation Decisions, will be given an opportunity during the negotiation process to mitigate the risk. The DoD reserves the right to request any follow-up information needed to assess potential risk factors or proposed risk mitigation strategies.
- v. Definitions: Definitions can be found in the June 08, 2023 USD(R&E) memorandum, "Policy for Risk Based Security Reviews of Fundamental Research," or as it is amended.

c. 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 Federal Awardee Performance and Integrity Information System (FAPIIS), 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 a 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 (currently FAPIIS) (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. Federal Award Notices

All Applicants will receive a notification email advising if their proposal has been selected or not selected 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, as applicable, signs the award document.

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

- For ARO: ARO emails their awards/modification documents to the awardees.
- For AFOSR: AFOSR emails their awards/modification documents to the awardees.
- For ONR: ONR award/modification documents are only available via the Department of Defense (DoD) Electronic Document Access System (EDA) within the Procurement Integrated Enterprise Environment (<https://piee.eb.mil/>). EDA is a Web-based system that provides secure online access, storage and retrieval of awards and modifications to DoD employees and vendors.

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, as well as each respective agency's terms and conditions.

For ONR, ARO, and AFOSR: The DoD Terms and Conditions are located at <https://www.onr.navy.mil/work-with-us/manage-your-award/manage-grant-award/grants-terms-conditions>.

a. Export Controls

Applicants should be aware of recent changes in export control laws. Applicants are responsible for ensuring compliance with all U.S. export control laws and regulations, including the International Traffic in Arms Regulation (ITAR)(22 CFR Parts 120 - 130) and Export Administration Regulation (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 Munition 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 DoD. 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://legacy.export.gov/welcome>.

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

DURIP awards are solely for the acquisition of equipment or instrumentation. As such, there is no research funded under these awards and Human and Animal Use policies and requirements are not applicable.

c. Project Review Meeting and Program Review Meetings

Individual project review meetings between the DoD sponsor and the performer may be held as necessary. Project reviews may be accomplished by video telephone conference, telephone conference, web-based collaboration tools, or in-person at the performance site.

Applicants may be included in the DoD sponsor's annual program review as well. Program reviews are typically in-person local to the DoD funding agency or other government or non-government facilities within the continental United States; however, they may also be accomplished by video telephone conference, telephone conference, or web-based collaboration tools.

d. 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 F.2.iv above. Therefore, as applicable, you are still required to submit any documentation, including the Standard Form-LLL "Disclosure Form to Report Lobbying" (if applicable), and disclosure of any unpaid delinquent tax liability or a felony conviction under any Federal law.

Note for AFOSR: By checking "I Agree" on the SF 424 (R&R) block 17 you agree to fully comply with the Lobbying Disclosure Act of 1995, 2 U.S.C. § 1601 et seq. If your grant amount exceeds \$100,000 you are certifying that you do not have lobbying activity to disclose. If you have lobbying activity that you must disclose under 31 U.S.C. 1352 as implemented by the DoD in 32 CFR Part 2 you must attach the completed SF-LLL Disclosure of Lobbying Activities. You can find instructions for completing this form at <http://www.whitehouse.gov/sites/default/files/omb/grants/sflllin.pdf>.

Unpaid Delinquent Tax Liability or a Felony Conviction under Any Federal Law – DoD Appropriations

By checking "I Agree" on the SF 424 (R&R) block 17 you represent that you are not a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; AND that you represent that you are not a corporation that was convicted of a felony criminal violation under any Federal law within the preceding 24

months.

Note: If you do not represent to this you are ineligible to receive an award unless a Federal agency suspension and debarment official (SDO) has considered suspension or debarment and determined that further action is not required to protect the Government's interests. The Applicant therefore should provide information about its tax liability or conviction to the agency's SDO as soon as it can do so, to facilitate completion of the required consideration before award decisions are made.

e. Certifications Regarding Restrictions on Lobbying

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

- i. 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.
- ii. 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.
- iii. 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.

f. Certifications Regarding the Prohibition on Using Funds with Entities that Require Certain Internal Confidentiality Agreements (Grant Information Circular (GIC) 19-02 November 2019) (Supplement to SF-424 (R&R), block 17, Financial Assistance Certifications and Representations)

By checking "I Agree" on the SF-424 (R&R) block 17 you agree to abide by the following statement: "By signing this application, I certify (1) to the statements contained in the list certifications and (2) that the statements herein are true, complete and accurate to the best

of my knowledge. I also provide the required assurances and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. code, Title 218, Section 1001).”

The certification reads as follows:

By submission of its proposal or application, the Applicant represents that it does not require any of its employees, contractors, or subrecipients seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting those employees, contractors, or 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.

g. Certification Regarding Disclosure of Funding Sources (Supplement to SF-424, block 17, Financial Assistance Certifications and Representations)

By checking “I Agree” on the SF-424 (R&R) block 17 you agree to abide by the following statement: “By signing this application, I certify the proposing entity is in compliance with Section 223(a) of the William M. (Mac) Thornberry National Defense Authorization Act for Fiscal Year 2021 which requires that: (a) the PI and other key personnel certify that the current and pending support provided on the proposal is current, accurate and complete; (b) agree to update such disclosure at the request of the agency prior to the award of support and at any subsequent time the agency determines appropriate during the term of the award; and (c) the PI and other key personnel have been made aware of the requirements under Section 223(a)(1) of this Act. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. code, Title 218, Section 1001).”

h. 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.

i. General Requirement for Disclosure

You and your organization must disclose any potential or actual scientific or nonscientific conflict(s) of interest 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 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.

ii. 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. The potential conflict is mitigated by the disclosure of these collaborations, and the list of current and pending support you provide for senior and key researchers. Therefore, you must include in your list of current and pending

support all collaborators, even if they did not formally provide support.

i. 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.

2. Reporting

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

i. Reporting of Matters Related to Recipient Integrity and Performance

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

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

- (1) Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;
- (2) Reached its final disposition during the most recent five-year period; and,
- (3) 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:

- (i) It could have led to an outcome described in paragraph 2.c. (1), (2), or (3) of this award term and condition;
 - (ii) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and
 - (iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.
- iii. 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.
- iv. 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.
- v. Definitions. For purposes of this award term and condition:
 - (1) 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.
 - (2) 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.
 - (3) Total value of currently active grants, cooperative agreements, and procurement contracts includes:
 - (a) Only the Federal share of the funding under any Federal award with a recipient cost share or match; and
 - (b) The value of all expected funding increments under a Federal award and options, even if not yet exercised.
- b. Post Award Reporting Requirements

For AFOSR: Federal-wide Research Progress Performance Report (RPPR) for interim, annual, and final research performance reports. Interim and Final Reports will be

submitted to <https://community.apan.org/wg/afosr/p/deliverables>. Additionally, reminder emails on all interim and final RPPRs may be sent out as a courtesy.

For ARO: For detailed submission and formatting instructions, see ARO Form 18, "Reporting Instructions," found at: https://arl.devcom.army.mil/wp-content/uploads/sites/3/2022/09/Form18_Sep_2022.pdf

For ONR: 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.nre.navy.mil/work-with-us/manage-your-award/manage-grant-award/grants-terms-conditions>.

SPECIAL NOTE: Pending Federal-wide Research Progress Performance Report (RPPR) Format.

A Federal-wide Research Progress Performance Report (RPPR) for interim, annual, and final research performance reports is under development. Performers do not have to use the RPPR now but DoD plans to use the RPPR in the future.

We may issue an award modification that requires you to use the Government-wide RPPR after a final notice is issued in the Federal Register.