

# APPENDIX 1 – REQUIREMENTS APPLICABLE TO GRANTS, TIAS, AND COOPERATIVE AGREEMENTS

## D. Application and Submission Information - Full Grant Proposals

### 2. Content and Format of Application Submission

#### (e). Full Proposals:

Prospective offerors 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).

#### Full Proposal Format

- Spacing – single spaced
- Font – Times New Roman, not smaller than 12 point
- Discuss the limit on the number of pages for the Technical Proposal with the cognizant Program Officer. There are no page limitations to the Budget.

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

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

The mandatory forms are found at <https://www.grants.gov/web/grants/forms.html>

#### (1) **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:  
<https://www.grants.gov/web/grants/forms/r-r-family.html>.

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

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

between the first [and the last name. Go to the Technology areas that ONR is pursuing at <https://www.onr.navy.mil/our-research/technology-areas>. Click on the technology area of interest and the Program Officer's name and code will be found under the Program Contact Information Section.

➤ 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)

➤ Use Code 600 for ONRG.

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

- Field 4c - Previous Grants.gov Tracking ID: If this submission is for a Changed/Corrected Application, enter the Grants.gov tracking number of the previous proposal submission; otherwise, leave blank.
- Field 5 – Application Information: Email address entered by the grantee on the SF424 application to create the EDA notification profile. ONR recommends that organizations provide a global business address.
- Field 7 - Type of Applicant. Complete as indicated: If the organization is a Minority Institution, select "Other" and under "Other (Specify)" note that the institution is a Minority Institution (MI).
- Field 9 - Name of Federal Agency: List the Office of Naval Research as the reviewing agency. This field is pre-populated in Grants.gov.
- Field 11 – Descriptive Title of Applicant's Project: Include the ONR White Paper Tracking Number provided to the applicant by ONR.
- Field 14 – Project Director/Principal Investigator: Email address entered by the grantee on the SF424 application to create the EDA notification profile
- Field 16 - Is Application Subject to Review by State Executive Order 12372 Process? Choose "No". Check "Program is Not Covered by Executive Order 12372."
- Field 17 – Certification: All awards require some form of certifications of compliance with national policy requirements. By checking "I Agree" on the SF 424 (R&R) block 17 you agree to abide by the following statement: "By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. code, Title 218, Section 1001).

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

## **(2) PROJECT/ABSTRACT**

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

Do not include proprietary or confidential information. The project summary/ abstract must be marked by the applicant as “Approved for Public Release”. Abstracts of all funded research projects will be posted on the public DTIC website: <https://dodgrantawards.dtic.mil/grants>

## **(3) RESEARCH AND RELATED OTHER PROJECT INFORMATION**

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

Federal agencies making grant or cooperative agreement awards and recipients of such awards must comply with all applicable environmental planning and regulatory compliance requirements. The National Environmental Policy Act of 1969 (NEPA), 42 U.S.C. § 4321 *et seq.*, for example, requires that agencies consider the environmental impact of “major Federal actions” prior to any final agency decision. With respect to those awards which constitute “major Federal actions,” as defined in 40 CFR 1508.18, federal agencies may be required to comply with NEPA and prepare environmental planning documentation such as an environmental impact statement (EIS), even if the agency does no more than provide grant funds to the recipient. Most field research funded by ONR, however, constitute activities covered by a NEPA categorical exclusion that do not require preparation of further environmental planning documentation. This is particularly true with regard to basic and

applied scientific research conducted entirely within the confines of a laboratory, if the research complies with all other applicable safety, environmental and natural resource conservation laws. Questions regarding NEPA or other environmental planning or regulatory compliance issues should be referred to the technical point of contact.

Field 7 – Project Summary/Abstract: Leave Field 7 blank; complete Form SF424, Project Abstract. If an error message occurs when leaving Block 7 blank, upload the Project Abstract.

Field 8 – Project Narrative: Describe clearly 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 in Field 8 click on “Add Attachment” and attach the technical proposal as a single PDF file. (Save the file as “Technical Proposal,” as typing in the box is prohibited). The technical proposal must describe the research in sections as described below:

- **Cover Page:** This must include the words “Technical Proposal” and the following:
  - (a) BAA Number: N00014-21-S-B001;
  - (b) Title of Proposal;
  - (c) Identity of prime Offeror and complete list of subawards, if applicable;
  - (d) Technical contact (name, address, phone/fax, electronic mail address)
  - (e) Administrative/business contact (name, address, phone/fax, electronic mail address) and;
  - (f) Proposed period of performance (identify both the base period and any options, if included).
- **Table of Contents:** An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.
- **Technical Approach.** Describe the scientific or technical concepts that will be investigated, providing the complete research plan. Describe what is innovative about the proposed approach. Provide the proposed approach compared to alternate approaches other researchers in this field have taken. Given the successful completion, describe the results, new knowledge, or insights.
  - **Naval Relevance:** A description of potential Naval relevance and contributions of the effort to the agency’s specific mission.
  - **Project Schedule and Milestones:** A summary of the schedule of events and milestones:

➤ Reports: The following are sample reports that are typically required under a research effort:

- Technical and Financial Progress Reports
- Final Report

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

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

- Current and Pending Project and Proposal Submissions: Offerors are required to provide information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing contracts, grants, and other assistance agreements. Offerors shall provide the following information of any related or complementary proposal submissions from whatever sources (e.g., ONR, Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations). Concurrent submission of a proposal to other organizations will not prejudice its review by ONR.

- Title of Proposal and Summary;
- Source and amount of funding (annual direct costs; provide contract and/or grant numbers for current contracts/grants);
- Percentage effort devoted to each project;
- Identity of prime Offeror and complete list of subwards, if applicable;
- Technical contact (name, address, phone/fax, electronic mail address)
- Administrative/business contact (name, address, phone/fax, electronic mail address);
- Period of performance (differentiate basic effort);
- The proposed project and all other projects or activities requiring a portion of time of the Principal Investigator and other senior personnel must be included, even if they receive no salary support from the project(s);
- The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months or labor hours per year to be devoted to the project, regardless of source of support; and
- State how projects are related to the proposed effort and indicate degree of overlap.

- Principal Investigator Qualifications: A discussion of the qualifications of the proposed Principal Investigator and any other key personnel. Include resumes or curricula vitae for the Principal Investigator, other key personnel and consultants. The resumes/curricula vitae shall be attached to the proposal.

- Responsibility: Offerors must provide the following information to ONR in order to assist in ONR's evaluation of the offeror's responsibility:
  - Describe how you have adequate resources or the ability to obtain such resources as required to complete the activities proposed.
  - Describe how you have the ability to comply with the grant conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
  - Describe your performance history; specifically, your record in managing Federal awards and the extent to which any previously awarded amounts will be expended prior to future awards.
  - Describe your record of integrity and business ethics.
  - Describe qualifications and eligibility to receive an award under applicable laws and regulations.
  - Describe your organization, experience, accounting, and operational controls and technical skills, or the ability to obtain them (including as appropriate such elements as property control systems, quality assurance measures, and safety programs applicable to the efforts to be performed).
- Facilities & Equipment. Describe facilities available for performing the proposed research and any additional facilities or equipment the organization proposes to acquire at its own expense. Indicate government-owned facilities or equipment already possessed that will be used. Justify the need for each equipment item. (Additional facilities and equipment will not be provided unless the research cannot be completed by any other practical means.)

#### **(4) RESEARCH & RELATED BUDGET**

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

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

(a) Part 1: The itemized budget should include the following. All costs should be rounded to the nearest dollar.

- Direct Labor – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates. Provide escalation rates for out years.
- Administrative and Clerical Labor – Salaries of administrative and clerical staff are normally indirect costs (and included in an indirect cost rate). Direct charging of these costs may be appropriate when a major project requires an extensive amount of administrative or clerical support significantly greater than normal and routine levels of support. Budgets proposing direct charging of administrative or clerical salaries must be supported with a budget justification which adequately describes the major project and the administrative and/or clerical work to be performed.
- Fringe Benefits and Indirect Costs (Facilities and Administration (F&A), Overhead, G&A, etc.) – The proposal should show the rates and calculation of the costs for each rate category. If the rates have been approved/negotiated by a Government agency, provide a copy of the memorandum/agreement. If the rates have not been approved/negotiated, provide sufficient detail to enable a determination of allowability, allocability and reasonableness of the allocation bases, and how the rates are calculated. Additional information may be requested, if needed. If composite rates are used, provide the calculations used in deriving the composite rates.
- Travel – The proposed travel cost must include the following for each trip: the purpose of the trip, origin and destination if known, approximate duration, the number of travelers, and the estimated cost per trip must be justified based on the organizations historical average cost per trip or other reasonable basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principles. Offerors may include travel costs for the Principal Investigator to attend the peer reviews described in Section II of this BAA.
- Subawards/Subcontracts – Provide a description of the work to be performed by the subrecipient/subcontractor. For each subaward, a detailed cost proposal is required to be submitted by the subrecipient(s). A proposal and any supporting documentation must be received and reviewed before the Government can complete its cost analysis of the proposal and enter negotiations. ONR's preferred method of receiving subcontract information is for this information to be included with the Prime's proposal. However, a subcontractor's cost proposal can be provided in a sealed envelope with the recipient's cost proposal or via e-mail directly to the Program Officer at the same time the prime proposal is submitted. The e-mail should identify the proposal title, the prime Offeror and that the attached proposal is a subcontract.
- Consultants – Provide a breakdown of the consultant's hours, the hourly rate proposed, any other proposed consultant costs, a copy of the signed Consulting Agreement or other documentation supporting the proposed consultant rate/cost, and a copy of the consultant's proposed statement of work if it is not already separately identified in the prime contractor's proposal.
- Materials & Supplies – Provide an itemized list of all proposed materials and supplies including quantities, unit prices, and the basis for the estimate (e.g., quotes, prior

purchases, catalog price lists).

- Recipient Acquired Equipment or Facilities – Equipment and/or facilities are normally furnished by the Recipient. If acquisition of equipment and/or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all equipment and/or facilities costs and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). Allowable items normally are limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, laptops, office equipment) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.

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

NOTE: *If the grant proposal requests funds for a conference, workshop or symposium:*

1. *ONR (including ONRG) will not sponsor an ONR, Navy, or DoD event. Provide a list of other sponsors and the requested amounts to be funded by all sponsors.*

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

*a. The grant proposal contains a request for such funding that is fully supported factually in accordance with the cost principles of the relevant OMB Circular, and*

*b. The Grants Officer determines that the funding is a reasonable, allocable, allowable expense under the relevant cost principles.*

3. *Specify in your proposal how the event and related outcomes will directly and programmatically relate to the US Naval or Marine Corps Science & Technology Plan and identify specific focus areas that will be addressed. The proposal must provide the technical and scientific objectives of the program or event and clearly state the desired outcomes (e.g. conference proceedings, journal articles, algorithms, tools, additional research, etc.).*

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

## **(5) 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 will be used to collect the following information for all senior/key personnel, including Project Director/Principal Investigator and Co-Project Director/Co-Principal Investigator, whether or not the individuals' efforts under the project are to be funded by the DoD:

- Degree Type and Degree Year fields as the source for career information.
- A list of all current projects the individual is working on, in addition to any future support the individual has applied to receive, regardless of the source.
- Title and objectives of the other research projects.
- The percentage per year to be devoted to the other projects.
- The total amount of support the individual is receiving in connection to each of the other research projects or will receive if other proposals are awarded.
- Name and address of the agencies and/or other parties supporting the other research projects
- Period of performance for the other research projects.

Additional senior/key persons can be added by selecting the “Next Person” button. Note that, although applications without these fields completed may pass Grants.gov edit checks, if ONR receives an application without the required information, ONR may determine that the application is incomplete and may cause it to be returned without further review. DoD reserves the right to request further details from the applicant before making a final determination on funding the effort. If the bio-sketch field requires an attachment, upload the resumes.

## **(6) RESEARCH AND RELATED PERSONAL DATA**

This form will be used by ONR as the source of demographic information, such as gender, race, ethnicity, and disability information for the Project Director/Principal Investigator and all other persons identified as Co-Project Director(s)/Co-Principal Investigator(s). Each application must include this form with the name fields of the Project Director/Principal Investigator and any Co-Project Director(s)/Co-Principal Investigator(s) completed; however, provision of the demographic information in the form is voluntary. If completing the form for multiple individuals, each Co-

Director/Co-Principal Investigator can be added by selecting the “Next Person” button. The demographic information, if provided, will be used for statistical purposes only. The demographic information may be accessible to the reviewer, but will not be considered in the evaluation. Applicants who do not wish to provide some or all of the information should check or select the “Do not wish to provide” option.

## 7. Other Submission Requirements

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

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

#### **1. Electronic Delivery**

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

#### **2. How to Register for Grants.gov**

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

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

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

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

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

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

(2) *Register with SAM:* In addition to having a DUNS number, organizations applying online through Grants.gov must register with the System for Award Management (SAM). All organizations must register with SAM in order to apply online. Registrations in SAM now includes the acceptance of Certifications and Assurances. Entities creating new registrations and existing entities completing their annual registration renewals will be required to review financial assistance representations and certification before their registration can be activated.

Failure to register with SAM will prevent your organization from applying through Grants.gov.

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

<https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>

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 F.2.iv; therefore, as applicable, you are still required to submit any documentation, including the SF LLL Disclosure of Lobby Activities (if applicable), and disclosure of any unpaid delinquent tax liability or a felony conviction under any Federal law.

3) *Create a Grants.gov Account:* The next step in the registration process is to create an account with Grants.gov. Applicants must know their organization's DUNS number to complete this process. Completing this process automatically triggers an email request for applicant roles to the organization's E-Business Point of Contact (EBiz POC) for review. The EBiz POC is a representative from your organization who is the contact listed for SAM. To apply for grants on behalf of your organization, you will need the Authorized Organizational Representative (AOR) role.

For more detailed instructions about creating a profile on Grants.gov, refer to:

<https://www.grants.gov/web/grants/applicants/registration.html>

4) *Authorize Grants.gov Roles:* After creating an account on Grants.gov, the EBiz POC receives an email notifying them of your registration and request for roles. The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the AOR role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been approved as an AOR.

For more detailed instructions about creating a profile on Grants.gov, refer to:

<https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html>

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

<https://www.grants.gov/web/grants/applicants/registration/track-role-status.html>

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

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

White Papers must **NOT** be submitted through the Grants.gov application process. White paper submissions must be submitted through FedConnect.

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 funding opportunity announcement (FOA), you can create individual instances of a workspace.

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

<https://www.grants.gov/web/grants/applicants/apply-for-grants.html>

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

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

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

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at:

<https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

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

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

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

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

For additional training resources, including video tutorials, refer to:  
<https://www.grants.gov/web/grants/applicants/applicant-training.html>

*Applicant Support*: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at [support@grants.gov](mailto:support@grants.gov). (Foreign applicants should contact 1-606-545-5035.) For questions related to the specific grant opportunity, contact the number listed in the application package of the grant 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 number. The Support Center ticket number will assist ONR with tracking your issue and understanding background information on the issue.

#### **4. Timely Receipt Requirements and Proof of Timely Submission**

a. *Online Submission*. 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 ONR successfully retrieves the application from Grants.gov, and acknowledges the download of submissions, Grants.gov will provide an electronic acknowledgment of receipt of the application to the email address of the applicant with the AOR role.

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

#### **E. Application Review Information**

### 3. Recipient Qualifications

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

(1) 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;

(2) Have a satisfactory record of executing such programs or activities (if a prior recipient of an award);

(3) Have a satisfactory record of integrity and business ethics; and

(4) 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. *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, cooperative agreements, and TIA's as follows:

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

(1) 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);

(2) 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;

(3) The Federal awarding agency will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of

performance under Federal awards when completing the review of risk posed by applicants as described in 2 CFR 200.205 Federal awarding agency review of risk posed by applicants.

## **F. Federal Award Administration Information**

### **2. Administrative and National Policy Requirements**

#### **i. Federal Funding Accountability and Transparency Act of 2006:**

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

#### **ii. Certification regarding Restrictions on Lobbying:**

Grants, cooperative agreement awards, and TIA awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. Grant applicants shall provide this certification by electronic submission of SF424 (R&R) as a part of the electronic proposal submitted via <https://www.grants.gov/>(complete Block 17). The following certification applies likewise to each cooperative agreement and TIA seeking federal assistance funds exceeding \$100,000:

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

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The applicant shall require that the language of this certification be included in the award

documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

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

iii. Representation Regarding an Unpaid Delinquent Tax Liability or a Felony Conviction Under any Federal Law - DOD Appropriations:

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

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

(2) The applicant represents that it is not a corporation that was convicted of a felony criminal violation under any Federal law within the preceding 24 months.

NOTE: If an applicant responds in the affirmative to either of the above representations, the applicant is ineligible to receive an award unless the agency suspension and debarment official (SDO) has considered suspension or debarment and determined that further action is not required to protect the Government's interests. The applicant therefore 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.

iv. Certification Regarding the Prohibition on Using Funds with Entities that Require Certain Internal Confidentiality Agreements (Grant Information Circular (GIC) 19-02 November 2019) (Supplement to SF424 (R&R), block 17, Financial Assistance Certifications and Representations)

By checking "I Agree" on the SF 424 (R&R) block 17 you agree to abide by the following statement: "By signing this application, I certify (1) to the statements contained in the list certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. code, Title 218,

Section 1001).

The certification reads as follows:

By submission of its proposal or application, the applicant represents that it does not require any of its employees, contractors, or subrecipients seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting those employees, contractors, subrecipients from lawfully reporting that waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

v. 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 BAA.

vi. Peer Review

In the case of proposals funded as basic research, ONR may utilize peer reviewers from academia, industry, and Government agencies to assist in the periodic appraisal of performance under the awards, as outlined in ONR Instruction 3966.1A. Such periodic peer reviews monitor the quality of funded basic research efforts. The reviews are used in part to determine which basic research projects will receive continued ONR funding. Peer reviewers who are not U.S. Government employees must sign nondisclosure agreements before receiving full or partial copies of proposals and reports submitted by the basic research performers. Offerors may include travel costs for the Principal Investigator (PI) to attend the peer review. Peer reviews may consider information derived from individual project or program review meetings (see BAA Section F.2.a.viii for further guidance).

vii. 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.

To implement this requirement, in accordance with 2 CFR 200.216 and 200.471, DoD Grants Officers shall include a condition in all awards that are issued on or after August 13, 2020.

The condition shall include language enacting section 889 of the NDAA for FY 2019 by prohibiting the recipient and subrecipient from entering into contracts (or extending or renewing contracts) with entities that use covered telecommunications equipment or services. This prohibition shall apply even if the contract is not intended to procure or obtain any equipment, system, or service that uses covered telecommunications equipment or services.

For the purposes of this condition,

**COVERED TELECOMMUNICATIONS EQUIPMENT OR SERVICES** means any of the following:

- Telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities);
- 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; or
- 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.

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

### **3. Reporting**

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

#### **A. Reporting of Matters Related to Recipient Integrity and Performance**

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

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

a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;

b. Reached its final disposition during the most recent five-year period; and

c. Is one of the following:

(i) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;

(ii) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;

(iii) An administrative proceeding, as defined in paragraph 5. of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000; or

(iv) Any other criminal, civil, or administrative proceeding if:

(i) It could have led to an outcome described in paragraph 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.

3. 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.

4. 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.

5. Definitions. For purposes of this award term and condition:

a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.

b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

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

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

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

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