

Global-X Challenge, Special Notice N00014-20-S-SN14
Frequently Asked Questions (FAQ)
As of 29 April 2020

1. Q: Who may participate in this challenge?

A: All responsible researchers from academia, a non-profit organization, industry (any business entity, regardless of size), and the general research community may participate in the Challenge. Section II C of the FY20 ONR Long Range Broad Agency Announcement (BAA) number N00014-20-S-B001, Amendment 0001 (pages BAA-14 to BAA-15) describes in detail who is eligible to apply for Global-X Challenge funding. For information on how to obtain the needed registrations and credentials to participate, please see:
<https://www.onr.navy.mil/work-with-us/how-to-apply/getting-started>.

2. Q: Must U.S. universities lead teams?

A: No, teams are not required to be led by a U.S. university. ONR Global expects the majority of team members will be outside of the U.S. ONR Global expects, but does not require, that multi-national teams will consist of at least two research entities outside of the U.S. Researchers from U.S. research entities may also participate, but are not required. Each team shall designate a lead Principal Investigator (PI) whose research organization outside of the U.S. will submit the white paper or proposal, and that will distribute funding to co-PIs and other subrecipients.

3. Q: What if our research results in a patent and intellectual property?

A: Rights to inventions made under an ONR Global grant are governed by 37 Code of Federal Regulations (C.F.R.) Part 401, implementing the requirements of the Bayh-Dole Act. This regulation provides that a grantee will have an option to retain ownership of a "Subject Invention," subject to certain terms and conditions, including a license to the U.S. Government. There are particular requirements for the grantee to exercise this option. Grant applicants may wish to consult their own legal counsel for specific information about how the various intellectual property terms and conditions of the grant may affect them.

37 C.F.R. 401 is available online at the following link:

<https://www.ecfr.gov/cgi-bin/text-idx?SID=01f8752ac4b5fcbf5bd737da15c863d9&mc=true&node=pt37.1.401&rgn=div5>

In regard to copyright assertions, the Department of Defense (DoD) Research General Terms and Conditions (July 2018) say, "The DoD reserves a royalty free, nonexclusive and irrevocable license to: a. Reproduce, publish, or otherwise use the work for Federal

Government purposes; and b. Authorize others to reproduce, publish, or otherwise use the work for Federal Government purposes.”

In addition, the same DoD Research General Terms and Conditions (July 2018) say the following about data in general, “The Federal Government has the right to: a. Obtain, reproduce, publish, or otherwise use the data produced under this award; and b. Authorize others to receive, reproduce, publish, or otherwise use the data produced under this award for Federal Government purposes.”

Grant applicants can view the model grants, and grant terms and conditions at the following ONR webpage URLs:

<https://www.onr.navy.mil/work-with-us/how-to-apply/submit-grant-application>

<https://www.onr.navy.mil/work-with-us/manage-your-award/manage-grant-award/grants-terms-conditions>

Should a follow-on research effort result from the Global-X Challenge, specific issues related to IP will be addressed at that time.

4. Q: How many projects do you expect to fund?

A: ONR Global may award one grant or multiple grants, addressing a single challenge area or multiple grants addressing each of the three challenge areas described in this special notice below. The number of grants and amounts of funding for each grant will depend on proposals submitted.

5. Q: Is the stated \$750,000 funding available for all grants awarded or for a single grant?

A: ONR Global has allocated up to \$750,000 for use between all awarded ONR Global-X Challenge grants. Only proposals with budgets of \$750,000 or less in the initial nine-month performance period will be considered. ONR Global encourages each team to consider just the funding it requires to demonstrate its proposed concept will work in the 9-month initial effort. If the concept demonstration proves successful, ONR Global may allocate additional funding for the team’s proposed optional research to continue to meet its objectives and prepare for a potential follow-on effort. The maximum amount that may be awarded for a single grant is \$1M for the combined 18-month effort (initial grant period of performance plus optional research effort).

Teams are encouraged to submit their best ideas in response to the challenge statement(s), regardless of the overall Global-X Challenge budget. It is possible that additional funding

could become available based on the technical merit of the white papers and proposals submitted; however, this is not a promise that additional funding beyond \$750,000 will be allocated to this Challenge.

6. Q: Is cost-share expected in the proposals?

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

7. Q: Do you require cash contribution from industry partners?

A: To the extent that by “cash contribution” the question refers to “cost-sharing,” then no, cost-sharing is not expected and will not be used as a factor during the merit review of any proposal hereunder. However, the Government may consider voluntary cost sharing if proposed.

8. Q: What if we don't submit a white paper; may we still submit a proposal?

A: Yes. Any applicant to this Special Notice may submit a full proposal, whether or not a white paper was submitted or evaluated by ONR Global. We recognize proposals require a significant investment of valuable resources. Therefore, we encourage all applicants to first submit white papers. ONR Global will evaluate how well each white paper submitted achieves the revolutionary capability proposed and will invite those teams submitting white papers with the most promising concepts to submit a full proposal.

9. Q: Will ONR Global award grants and contracts under this Global-X Challenge?

A: ONR Global expects to award only grants under this Global-X Challenge. ONR Global expects successfully demonstrated concepts will attract additional funding from other sources (including possibly for contracts or other acquisition vehicles) for potential follow-on accelerated research efforts under a separate agile acquisition mechanism; however, this does not imply the promise of additional funding.

10. Q: Is the intent of the Global-X Challenge for U.S. based research entities to team with international partners (i.e. is an all-U.S. team discouraged)? Should the international partner be the prime, or can a U.S. entity be the prime?

A: Yes, the non-U.S. research entity submitting the white paper or proposal will be the “prime” grantee. A U.S. research entity may partner with the non-U.S. “prime.”

For a given project team, one award is made to the PI's institution. Only the PI's institution will be the prime awardee, and that institution is responsible for all aspects of the grant, including conditions on the use of funds and other terms and conditions of the grant.

11. Q: In what format can U.S. entities participate (consultants, co-PI, investigators, sub-awardees, etc.)?

A: U.S. research entities may participate on a team, but cannot serve as the lead principal investigator's organization.

12. Q: Can a U.S.-based industry/collaborator receive co-funding under this collaboration?

A: Yes. Funding to U.S. members of a research team will come through the lead international research organization that is awarded the grant.

13. Q: Can foreign nationals working at an American university qualify for this opportunity without additional external researchers?

A: No. The research entity submitting the white paper/proposal will be the prime and must be an entity outside the U.S.

14. Q: Can a single academic submit the proposal?

A: ONR Global expects, but does not require, that multi-national teams will consist of at least two research entities outside of the U.S.

15. Q: Is there a maximum total number of participants in a single project?

A: No.

16. Q: Will individual/solo Principal Investigator (PI) research proposals be considered at all? What about solo investigators whose skill set cuts across many areas? How can they participate?

A: The intent of the Global-X Challenge is for multi-national multidisciplinary teams to submit white papers and proposals for revolutionary concepts; however, individual/solo investigators are not prohibited from submitting a white paper or proposal for the Global-X challenge assuming they meet other eligibility requirements.

17. Q: Could NPS (Naval Postgraduate School) participate in a team but not be funded directly?

A: Yes. Researchers from a U.S. Government research organization such as NPS, or any other U.S. Government organization, may participate on a team, but cannot receive funding directly from ONR Global under a grant issued from this Global-X Challenge Special Notice.

18. Q: Will companies with a pre-existing relationship with ONR, such as a support contract, be allowed to compete for these grants?

A: Since ONR Global is a part of ONR, any support contract terms would still apply. These terms should indicate if a company is eligible to submit a proposal.

19. Q: Can students participate in the project?

A: Yes, students may participate as part of a multi-national team.

20. Q: If a team is formed by different universities from different countries how is the money distributed?

A: Each team shall designate a lead Principal Investigator (PI) whose research organization outside of the U.S. will submit the white paper or proposal, and that will distribute funding to co-PIs and other subrecipients. Only the PI's institution will be the prime awardee, and that institution is responsible for all aspects of the grant, including conditions on the use of funds and other terms and conditions of the grant.

21. Q: Is there any preference to public funded institutions when compared to private institutions during shortlisting process?

A: No. ONR Global will evaluate white papers and proposals as described in Section II (E) of the ONR FY20 Long Range BAA N00014-20-S-B001, Amendment 0001. These evaluation criteria include overall scientific and technical merit, potential Naval relevance and the availability of funds.

22. Q: Can any country participate? Can researchers from China also participate? Is there a security clearance check? Will the researchers' nationalities be considered?

A: Research organizations and individuals that are not subject to U.S. sanctions, or otherwise excluded from doing business with the U.S. Government, may participate. Please note the grant applicant is responsible for complying with any applicable sanctions, export controls, and similar limitations.

ONR Global does not expect there to be any classified information involved with research projects associated with the Global-X challenge. Thus, no requirements are expected for

security clearance for the Global-X Challenge projects. The final research progress report must be unclassified and publicly releasable.

23. Q: In Australia we have a large number of scientists from the PR China and the Middle East, who are not (yet) Australian citizens or have dual citizenship - can they participate in projects?

A: Possibly, but the grant applicant is responsible for complying with any applicable sanctions, export controls, and similar limitations

24. Q: How will ITAR concerns be addressed? How will export control be handled?

A: Applicants should be aware of recent changes in export control laws. Applicants are responsible, as applicable, for ensuring compliance with all U.S. export control laws and regulations, including:

- The International Traffic in Arms Regulation (ITAR) (22 C.F.R. Parts 120 – 130), available online at:
<https://www.ecfr.gov/cgi-bin/text-idx?SID=c03b6dab423a5da3724f0ed5dafce670&mc=true&tpl=/ecfrbrowse/Title22/22CISubchapM.tpl>.
- Export Administration Regulation (EAR) (15 C.F.R. Parts 730 – 774), available online at:
<https://www.ecfr.gov/cgi-bin/text-idx?SID=af8446c510fcacfe330bf79ec33ffa72&mc=true&tpl=/ecfrbrowse/Title15/15CVIIsSubchapC.tpl>.
- In some cases, developmental items funded by the Department of Defense are now included on the United States Munition List (USML) (22 C.F.R. 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). Offerors should address in their proposals whether ITAR or EAR restrictions apply to the work they are proposing to perform for ONR.

The USML is available online at:

<https://www.ecfr.gov/cgi-bin/text-idx?SID=c03b6dab423a5da3724f0ed5dafce670&mc=true&node=pt22.1.121&rgn=div5>

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 the BAA. 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.

25. Q: Is there a minimum and maximum number of countries allowed per award? Similarly, what about number minimum/maximum number of institutions?

A: There is no requirement for a specific number of countries or institutions. ONR Global expects, but does not require, that multi-national teams will consist of at least two research entities outside of the U.S.

26. Q: In an international team, will U.S. participants receive funding from ONR Global?

A: No. Participants at entities physically based in the U.S. will receive funding from the principal investigator's research organization outside of the U.S. that was awarded the grant.

27. Q: I want to work with groups from the U.S. & Europe. Should all groups be represented by PIs, or could some of them be postdocs, like me?

A: All qualified researchers may participate on a research team, including students and postdoctoral researchers. The non-U.S. research entity submitting the white paper or proposal will be the "prime" grantee. A U.S. research entity may partner with the non-U.S. "prime."

For a given project team, one award is made to the PI's institution. Only the PI's institution will be the prime awardee, and that institution is responsible for all aspects of the grant, including conditions on the use of funds and other terms and conditions of the grant.

28. Q: May companies participate on more than one team or provide more than one proposal?

A: Yes. Researchers from any eligible research entity may participate on more than one team and a given research entity may submit multiple white papers/proposals.

29. Q: Will you please share the URL for the website you mentioned for facilitating communication?

A: To help facilitate teaming, researchers may navigate to https://join.slack.com/t/globalx-hq/shared_invite/zt-d2rw5q86-zhANHILUx_My0aEvKgl16w. ONR Global does not endorse or imply U.S. government support or sponsorship of the commercial platform Slack.

30. Q: Is there a database of the institutions/companies participating in the Kick-off meeting?

A: ONR Global has a list of those who registered for the Kick-off Webinar and will send an email to each registrant with a link to the Global-X Challenge website (<https://www.onr.navy.mil/Global-X/>) and to the Global-X Challenge Slack channel (https://join.slack.com/t/globalx-hq/shared_invite/zt-d2rw5q86-zhANHILUx_My0aEvKgl16w). Researchers may voluntarily connect in Slack, or use any other collaboration tool, to share research ideas with other collaborators.

31. Q: Do I understand correctly that the idea is to form teams with researchers already known, as well as to form teams through the website mentioned?

A: The idea is to form multidisciplinary teams. ONR Global does not expect or require researchers to use collaboration tools discussed on the Global-X website.

32. Q: I have started forming a multi-national and multi-disciplinary team via email. Do I have to work through the ONR website to do this, or can I continue as I am going?

A: Please continue collaborating with your team as you see fit. There is no requirement to use any specific collaboration tools or use the Global-X website.

33. Q: Is there any restriction on the proportions of budget (e.g. salary and equipment)?

A: What may be included in a budget and the associated cost allowability are determined primarily by the terms and conditions (T&Cs) of the grant. Specific T&Cs will apply from among those listed at the following link depending on the nature of the project and the grantee's status (e.g. for-profit, non-profit, etc.): <https://www.onr.navy.mil/work-with-us/manage-your-award/manage-grant-award/grants-terms-conditions>).

Cost Principles are outlined in Title 2 Code of Federal Regulations, Part 200, Subpart E (2 C.F.R. 200, Subpart E), and are available at the following link:

<https://www.ecfr.gov/cgi-bin/text-idx?SID=688692a455257e7dbc2edcd457b983d8&mc=true&node=pt2.1.200&rgn=div5>

34. Q: Can ONR Global research grant money be used for buying equipment?

A: Yes. ONR Global will consider proposed equipment as part of the overall evaluation of white papers and proposals. As a result, equipment proposed should clearly support concept demonstration and not be just to modernize facilities that will be used for future research.

Cost Principles are outlined in Title 2 Code of Federal Regulations, Part 200, Subpart E (2 C.F.R. 200, Subpart E), and are available at the following link: <https://www.ecfr.gov/cgi-bin/text-idx?SID=688692a455257e7dbc2edcd457b983d8&mc=true&node=pt2.1.200&rgn=div5>.

35. Q: To submit the white paper do we need to use the grants.gov website?

A: No. Please submit white papers as described in Section IV of the Special Notice N00014-20-S-SN14 (<https://www.onr.navy.mil/work-with-us/funding-opportunities/special-notice>).

36. Q: Do we need to complete all the credentials, such as DUNS number, etc. to submit a White Paper?

A: No. White papers are submitted via email, per Section IV of the Special Notice.

37. Q: What are the format guidelines for the white paper?

A: Please see Section IV of the Special Notice for white paper format guidelines.

38. Q: Can we include video in the white papers?

A: No. Please follow the format guidelines indicated in Section IV of the Special Notice.

39. Q: Shall we address the optional plan in the whitepaper or just focus on the part we want to achieve during the 8 months?

A: Please address in your white paper what you intend to accomplish in both the initial research period and any contemplated optional research period.

40. Q: Are we encouraged to individually reach out to ONR PMs and request their feedback on a whitepaper prior to submission?

A: No. ONR Global will provide feedback on white papers submitted. Due to the open-ended nature of the Global-X Challenge, ONR or ONR Global does not intend to convey a specific application or focus area within each Challenge statement. Technical points of contact (TPOC) are provided in the Special Notice for each Challenge statement. Teams may contact these TPOCs if needed.

41. Q: For some reason I could not hear anything, although I could view the slides. Hence, I missed most of the things you said. Is all the information available on the website? And if there are any questions, will someone be able to answer at a later stage?

A: Yes, a link to a recording of the 23 April 2020 Kick-off webinar is available on the Global-X website (<https://www.onr.navy.mil/Global-X/>) for viewing at any time. Later questions can be addressed to the technical or business points of contact listed in Section VII of the Special Notice, number N00014-20-S-SN14.

42. Q: Due to COVID-19 many labs are shut down. How do we go about providing proof of concept?

A: While current COVID-19 restrictions may prevent researchers from working in laboratories, by the time a grant is awarded, we anticipate restrictions will ease sufficiently to allow laboratory work to continue. If COVID-19 restrictions are still in place in September 2020, the ONR Global Grants Team will negotiate start dates, terms, and conditions with grant recipients as necessary. Furthermore, proposals should specify how concept demonstration will be accomplished, which may not necessarily be in a laboratory.

43. Q: Due to current travel restrictions, don't you think this nine month window is very limited?

A: While COVID-19 restrictions may still impact research later in the year, ONR Global expects restrictions will ease and research may continue. Nine months is certainly not sufficient for a traditional basic or applied research effort. However, the intent of the Global-X Challenge is to identify promising revolutionary ideas that may be demonstrated in concept within eight months of grant award.

44. Q: Do you think that a project to evaluate new ship design constraints for a ship involved in a suspected COVID case could be useful?

A: While COVID-19 specific research projects may be of general interest for the U.S. Navy, they will not likely meet the intent of the Global-X Challenge. Ideas addressing COVID-19 may be submitted via the FY20 Long Range BAA, numbered N00014-20-S-B001, Amendment 0001, to ONR Program Officers with relevant expertise and interest in the proposed technology areas.

45. Q: Will there be restrictions on publications for work done under this grant?

A: No. See FY20 ONR Long Range Broad Agency Announcement (BAA) number N00014-20-S-B001, Amendment 0001 (Pages BAA-11 and BAA-12) for more details on “contracted fundamental research.”

46. Q: How long are the projects expected to last?

A: The initial period of a Global-X Challenge grant is nine months, with an optional research period of another nine months, for a total of 18 months.

47. Q: The RFP indicates a 9 month effort, but here 8 months was stated. Is there a specific expectation for month 1 or month 9?

A: The initial effort is nine months, but the revolutionary concept must be demonstrated eight months after grant award.

48. Q: Could you explain more the challenges and expectations?

A: Please refer to Special Notice N00014-20-S-SN14 (<https://www.onr.navy.mil/work-with-us/funding-opportunities/special-notices>) for a more detailed description of the challenge statements and expectations of the Global-X Challenge.

49. Q: In the Tailored Materials and Manufacturing category, is there a priority area of focus? Challenge 3 "Detection & Identification of Objects in any Media," is very wide and has many applications, is ONR interested in specific applications?

A: No. In the Special Notice, each challenge lists descriptive attributes and potentially enabling technical disciplines, but the Special Notice is open-ended to allow teams to formulate their own revolutionary concept that best achieves the attributes. These attributes are not all encompassing and a revolutionary concept may exceed those listed.

50. Q: Will fundamental research be supported or is this challenge mainly directed towards applied research?

A: Due to the multidisciplinary and open-ended nature of the Global-X Challenge statements, ONR Global expects revolutionary concepts to be a mixture of fundamental science and more applied technologies.

51. Q: What Technology Readiness Level (TRL) for the concept are you looking for? Is there a TRL level for entry? After 9 months what TRL would you like to achieve?

A: ONR Global seeks new and revolutionary concepts, without any requirement for TRL. A revolutionary concept has both a high payoff and high technical risk. Therefore, proposed concepts will likely be at a lower TRL. The Global-X Challenge is not intended to mature successfully demonstrated concepts. Such technology maturation may require subsequent follow-on efforts.

52. Q: Must the research have a naval application as the end goal?

A: As stated in the Long-Range BAA, potential naval relevance and contribution to the ONR and Department of Navy mission are factors in the evaluation of white papers and proposals. ONR Global expects promising revolutionary concepts to result in capability advances that have both military and commercial value.

53. Q: Are no-cost extensions allowable past the 9 month window?

A: In certain situations, no cost extensions are allowable for grants. However, the Global-X Challenge is not a typical research effort. The intent is to demonstrate a revolutionary concept that may meet objectives within eight months of grant award. ONR Global will evaluate the technical merit of white papers and proposals, which includes the ability of a team to successfully demonstrate their concept in eight months.

54. Q: Who are the reviewers?

A: Subject matter experts within ONR Global will evaluate white papers and proposals.

55. Q: How many partners are needed to participate in a proposal?

A: There is no required number of partners to participate in the Global-X Challenge.

56. Q: How "bluesky" should the research be?

A: We understand the word "blue-sky" to mean "Creative or visionary and unconstrained by practicalities." Yes, ONR Global seeks to stimulate "blue-sky" ideas from multiple disciplines that can be innovatively integrated to demonstrate a revolutionary capability.

57. Q: Do innovations need to be relevant to sea-based applications only or does ONR cover land-based activities too?

A: The innovations may be relevant to sea, land and air based activities.

58. Q: How important is education and workforce development goals in the proposal?

A: While important, these elements are not a consideration in the Global-X Challenge unless they affect the overall technical merit of the proposal.

59. Q: What type of deliverables are expected within the 9-month time-span of such a project?
E.g. tier-1 publication, patent, a demonstration prototype, proof-of-concept for a longer term research project, etc.?

A: ONR Global grants do not have deliverables, per se, but there are required reports. Grant terms and conditions describe the required reports. A summary of the required reports can be found in an informational document on the Global-X website (<https://www.onr.navy.mil/Global-X/>) titled "ONR Global Grant Reports."

60. Q: Are there avenues for funding available for innovative tech ideas which fall outside of the three main focus areas for this challenge?

A: Yes. Innovative research ideas in white papers and proposals may be submitted to an ONR Program Officer or to ONR Global under the ONR FY20 Long Range BAA number N00014-20-S-B001, Amendment 0001 (<https://www.onr.navy.mil/work-with-us/funding-opportunities/announcements>).

61. Q: Will ONR Global continue to have this Challenge in following years?

A: If this year's challenge is successful, ONR Global will consider issuing new Global-X Challenges in future years.