Attachment 1

Supplemental Instructions for Assistance Instrument Proposals

I. SF 424 (R&R) Forms:

1. Cover Page: All proposals for assistance, whether submitted electronically or in hard copy must include an SF 424 (R&R) (Application for Federal Assistance) form as the cover page in leu of Attachment 11 - Worksheet-Research and Related Senior and Key Person.

2. STEM: 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, consequently a Research & Related Senior/Key Person Profile (Expanded) Form and a Research & Related Personal Data Form must also be submitted.
    a. Research and Related Senior/Key Person Profile (Expanded) Form: For this form, the Degree Type and Degree Year fields will be used by DoD as the source for career information. In addition to the required fields on the form, applicants must complete these two fields for all individuals that are identified as having the project role of PD/PI or Co-PD/PI. Additional senior/key persons can be added by selecting the "Next Person" button.
    b. Research and Related Personal Data Form: 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 lnvestigator(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 lnvestigator(s) completed; however, provision of the demographic information in the form is voluntary. If completing the form for multiple individuals, each Co-Project Director/Co-Principal Investigator can be added by selecting the "Next Person" button. The demographic information, if provided, will be used for statistical purposes only and will not be made available to merit reviewers. Applicants who do not wish to provide some or all of the information should check or select the "Do not wish to provide" option.

3. For Institutions of Higher Education Applicants: The National Defense Authorization Act (NDAA) for FY 2019, Section 1286, pages 443-445, directs the Secretary of Defense to support protection of intellectual property, controlled information, key personnel, and information about critical technologies relevant to national security; and to limit undue influence, including through foreign talent programs, by countries to exploit United

States technology within the Department of Defense research, science and technology, and innovation enterprise **when an institution of higher education is the applicant** for defense research and engineering activities under a grant, cooperative agreement, or in the case of a technology investment agreement as a member of a consortium.

Applicants shall submit the information below for all key personnel (defined as all individuals who contribute in a substantive, measurable, and meaningful way to the scientific development or execution of the project) on the Research & Related Senior/Key Person Profile (Expanded) form:

- 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.

This information will be used to support protection of intellectual property, controlled information, key personnel, and information about critical technologies relevant to national security and will be used to 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.

Failure to submit this information may cause the proposal to be returned without further review, and DoD reserves the right to request further details from an applicant before making a final determination on funding the effort. This information does not count towards the overall proposal page limits in the BAA Section 5.1.

II. **System Award Management**: To apply for grants and other funding opportunities the applicant entity must be registered in the System for Award Management (SAM). Proposals will not be accepted through Grants.gov or other methods unless the entity is registered in SAM.

III. **Certifications:**

1. SAM: SAM is the central repository for common Government-wide financial assistance certifications and representations. Registration in SAM includes the acceptance of Certifications and Assurances. SAM may be accessed at: https://SAM.gov. The Financial Assistance Certifications Report is an

attestation that the entity will abide by the requirements of the various laws and regulations; therefore, as applicable, you are still required to submit any documentation, including the SF LLL Disclosure of Lobbying Activities (if applicable), and informing DoD of unpaid delinquent tax liability or a felony conviction under any Federal law. *(Note: Grant offices should include any other requirements, such as IRB certifications.)*

2. *Note to Agreements/Grants Officer: In the rare event that additional certification(s) or representation(s) are required (beyond those identified in SAM) due to law or regulations, specific DoD program needs, or as necessary to conduct business, you may add them as warranted by adding them as an attachment to the funding opportunity. For example, this will likely be necessary for Title III programs. If doing so, add the following statement here, or preface the Certification(s) or Representation(s) Attachment with the following statement:* "This program contains unique certifications and representations not identified in the SAM repository and are included as an attachment to this funding opportunity. By checking "I Agree" on the SF 424 Block 21 or 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)"

IV. **Grants.gov:** If you are submitting an assistance instrument proposal, you may do so electronically through Grants.gov, in addition to submitting in accordance with BAA Section 5.1, but you are not required to submit via Grants.gov. *(The CO may request an email from the offeror be submitted notifying the Contracting POC when a proposal is submitted electronically via Grants.gov.)* If submitting through Grants.gov, detailed application submission and receipt instructions are contained on the Grants.gov website at https://grants.gov. The following includes a summary of those instructions but it is very important to view the complete instructions at https://grants.gov.

1. How to Register to Apply through Grants.gov

   a. Summary: Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information. Organizations must have an active SAM registration, and Grants.gov account to apply for grants and other funding opportunities. Creating a Grants.gov account can be completed online in minutes, but SAM registrations may take additional time. Therefore, an organization's registration should be done in sufficient time to ensure it does not impact the entity's ability to meet required application

submission deadlines. Note: Go to the "Search Grants" tab on the grants.gov website to find the assistance opportunity

b. Instructions: Applicants can find complete instructions at: https://grants.gov. Under the "Applicants" drop down menu the following information can be found: How to Apply for Grants; Track My Application; Applicant Resources; Workspace Overview; Applicant Eligibility; Applicant Registration; Applicant Training; Applicant FAQs; etc. The following are some highlights from the information that can be found on the website.

1) Organizations Must Register with SAM.gov and Grants.gov:

a) SAM.gov: SAM.gov is a government-wide registry for organizations doing business with the Federal government. SAM.gov centralizes information about grant recipients and provides a central location for grant recipients to change organizational information. Grants.gov uses SAM.gov to establish organizational authority for its users and to provide Unique Entity Identification (UEI) numbers. Applicants must register with SAM.gov to obtain a UEI. This is assigned to all entities to do business with the Federal Government. Organizations will also need to designate an E-Business Point of Contact (EBiz POC). SAM registration must be renewed annually.

b) Grants.gov: After obtaining the UEI for the organization from SAM.gov, applicants must return to Grants.gov to continue registration. Your organization's EBiz POC must:

i. Create a Grants.gov account with the same email address as used in SAM.gov for the EBiz POC, and

ii. Add a profile with Grants.gov using the UEI obtained from SAM.gov.

2) Workspace Overview/Submitting an Application via Grants.gov: Workspace is the standard way for organizations to apply for federal grants in Grants.gov. Workshpace allows a grant team to simultaneously access and edit different forms within an application. Plus, the forms can be filled out online or offline. For instructions on how to apply for opportunities, refer to the Grant.gov website mentioned above. There are various training videos available to assist you.

a) Submit an Application via Workspace: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page. 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.

b) Track an Application via Workspace: After successfully submitting a workspace package, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the package. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

3) Training Resources: For additional training resources, including video tutorials, refer to the Applicants Training tab under the Applicants Drop Down menu on the Grant.gov site.

4) Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. For questions related to the specific grant opportunity, contact the number listed in the application package of the grant you are applying for. If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number. The Support Center ticket number will assist the DoD with tracking your issue and understanding background information on the issue.