BAA FA8650-22-S-5002
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) as the cover page.

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 SF 424 Research & Related Senior/Key Person Profile (Expanded) and a SF 424 Research & Related Personal Data must also be submitted. The SF 424 (R&R) forms should be downloaded from the "Application" box in the upper right hand corner of the synopsis page. Click on "download" under the column "Instructions and Application." Select "Download Application Package" and complete the SF 424 (R&R) forms. For the SF 424 Research and Related Senior/Key Person Profile (Expanded) 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/Pl or Co-PD/Pl. Additional senior/key persons can be added by selecting the "Next Person" button.

   The Research and Related Personal Data 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 SF 424 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 IV 2.c.i.

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 now the central repository for common Government-wide financial assistance certifications and representations. Registration in SAM

now 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.

IV. **Grants.gov:** If you are submitting an assistance instrument proposal, you may do so electronically through Grants.gov, but you are not required to. Please notify the Contracting POC provided in the BAA Overview of any submissions made via Grants.gov. The application submission and receipt instructions follow below. Read the following instructions carefully and completely:

1. Electronic Delivery

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

2. How to Register to Apply through Grants.gov

a. *Instructions:* Read the instructions below about registering to apply for funds under this BAA. 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 (or otherwise) must register with the System for Award Management (SAM).

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

(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/add-profile.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.

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 via Grants.gov

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 BAA, 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

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

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

   (1) *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 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

   (2) *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.

   (3) *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.

c. *Submit an Application via 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.

d. *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.

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. 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.

4. Timely Receipt Requirements and Proof of Timely Submission

   a. *Online Submission.* All applications must be received by the due date established for each program. 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 application is successfully retrieved from Grants.gov, and the download of submissions is acknowledged, 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.

      Applicants using slow internet, such as dial-up 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.

V. **Assistance Opportunity:** Go to https://www.grants.gov/web/grants/search-grants.html to find the opportunity. Instructions are provided at http://www.grants.gov/web/grants/applicants/apply-for-grants.html.