

Appendix 05 – Grants and Cooperative Agreements Proposal Preparation & Submission Instructions (Version 3)

The following is supplemental information to the BIGST BAA General Solicitation Section 4.5.2

Change History

**Changes are highlighted in yellow throughout this document.*

| Date | Section | Description |
|-------------|---|---|
| 12/20/2024 | Section 4.5.2.4, (2)(c) | Updated table in reference to removal of one attachment (PSPP) and re-numbering of FCL and PCL attachment |
| | Section 4.5.2.4, (2)(c), Volume 4, Research and Technology Protection | Renamed Section to ‘Research and Technology Protection’ <ul style="list-style-type: none"> • Added subsection Common Disclosure Forms (applicable to Fundamental Research) • Removed subsection ‘Controlled Unclassified Information (CUI)’ and ‘Classified Submissions and Topics’ |
| | Section 4.5.2.5 | Removed Section 4.5.2.5 Grants and Cooperative Agreements Due Diligence and Research Security Program Requirements → Information was moved to file entitled “Research and Technology Protection BIGST BAA” |
| | Section 4.5.2.6 | Section Intellectual Property was renumbered to Section 4.5.2.5 |
| 02/23/2026 | Appendix 05 | Added version control “Version 2” |
| | Section 4.5.2.2 | Revised instruction language |
| | Section 4.5.2.4 | Revised instruction language |
| | Section 4.5.2.4, 2(c) | Delete Table |
| | Section 4.5.2.4, Volume 4 | The Common Disclosure Form shall be submitted with the Proposal |
| | Section 4.5.2.4, (5)(2) and (5)(4) | Updated language for Equipment and ODCs |
| 03/24/2026 | Section 4.5.2.4 (2) | Field 7 is for the Project Summary/Abstract of the Proposal |

Table of Contents

| | |
|---|----|
| 4.5 Proposal Preparation and Submission Information..... | 3 |
| 4.5.1..... | 3 |
| 4.5.2 Proposal Preparation and Submission Information for Grants and Cooperative Agreements | 3 |
| 4.5.2.1 Application Process | 3 |
| 4.5.2.2 Timely Receipt Requirements and Proof of Timely Submission | 4 |
| 4.5.2.3 Content and Format..... | 5 |
| 4.5.2.4 Forms | 5 |
| (1) Form SF-424 (R&R): Application for Federal Assistance (Mandatory) | 6 |
| (2) Research & Related Other Project Information (Mandatory) | 6 |
| (3) Research and Related Senior/Key Person Profile (Expanded) – Mandatory | 9 |
| (4) Research & Related Personal Data – Mandatory | 10 |
| (5) Research & Related Budget - Mandatory | 10 |
| (6) Form SF-LLL: Disclosure of Lobbying Activities (if applicable)..... | 12 |
| 4.5.2.5 Intellectual Property | 14 |

4.5 Proposal Preparation and Submission Information

4.5.2 Proposal Preparation and Submission Information for Grants and Cooperative Agreements

Grants.gov is the mandatory submission portal for grant and cooperative agreement proposals. Grants.gov registration must be completed prior to application through this process.

Carefully follow the NGA submission instructions provided with the solicitation application package on Grants.gov. *Note: Grants.gov does not accept zipped or encrypted proposals.*

Specific forms are required for submission of a proposal via Grants.gov. The forms are contained in the Application Package available through the Grants.gov application process.

4.5.2.1 Application Process

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 web forms within an application. For each funding opportunity announcement (FOA), you can create individual instances of a workspace. Below is an overview for applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to the resources on Grants.gov:

1. *Applicants must create a Workspace:* Creating a workspace allows you to then complete it online and route it through your organization for review before submitting.
2. *Complete a Workspace:* Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.
 - a. *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.
 - b. *Complete SF-424 Fields First:* The forms are designed to fill in common required fields across other forms, such as the applicant's name, address, and Unique Entity Identifier (UEI) number. 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 Submission:* After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. 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.

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 NGA with tracking your issue and understanding background information on the issue.

4.5.2.2 Timely Receipt Requirements and Proof of Timely Submission

Online Submission. All applications must be received by the date and time specified by NGA. 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 with the Authorized Organization Representative (AOR) role, who submitted the application, will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. This applicant with the AOR role will also receive the official date/time stamp and Grants.gov Tracking number in an email, serving as proof of their timely submission.

When NGA 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 who submitted the application. Again, proof of timely submission shall be the official date and time that Grants.gov receives your application. Applications received by Grants.gov after the established due date for the program will be considered late and will not be considered for funding by NGA.

Applicants should send a courtesy email to OCSGrants@nga.mil to ensure NGA is aware of the submitted application. Upon successful download of the application package, NGA will provide the Applicant with confirmation status.

4.5.2.3 Content and Format

The proposal shall stand on its own merit. Only information provided in the proposal will be used in the evaluation process leading to an award. The proposal should provide straightforward and concise descriptions of proposed work.

Do not use acronyms or abbreviations without defining acronyms and abbreviations at the first use; place the abbreviation in parenthesis immediately following the phrase. This provides the definition for each subsequent reuse.

The proposal shall be signed by the authorized institutional representative. If the electronic version of the proposal does not include a signature from the appropriate representative of the Applicant, the Government Grant's Officer may determine the proposal to be non-compliant.

4.5.2.4 Forms

Applicants must complete the mandatory forms in accordance with the instructions on the forms and the additional instructions below.

Files attached to the forms must be in Adobe Portable Document Format (PDF) and searchable.

The Application Package Template entitled "BIGST BAA (HM047623BAA0001) Application Package Template" can be found under the 'PACKAGE' tab of the BIGST BAA Solicitation on Grants.gov.

The following is a list of the forms:

- (1) Form SF-424 (Research & Related (R&R)): Application for Federal Assistance **(Mandatory)**
- (2) Research & Related Other Project Information **(Mandatory)**
- (3) Research and Related Senior/Key Person Profile (Expanded) **(Mandatory)**
- (4) Research & Related Personal Data **(Mandatory)**
- (5) Research & Related Budget **(Mandatory)**
- (6) Form SF-LLL: Disclosure of Lobbying Activities (if applicable)

Detailed instructions on how to fill out the above listed forms follow in the following sections.

(1) Form SF-424 (R&R): Application for Federal Assistance (Mandatory)

Complete this form first to populate data in other forms. Complete all the required fields in accordance with the pop-up instructions on the form.

The SF-424 (R&R) is to be used as the cover page for all proposals. The AOR usernames and passwords serve as “electronic signatures” when your organization submits applications through Grants.gov. By using the SF-424 (R&R), Applicants are providing the certification required by 32 CFR Part 28 regarding lobbying. The SF-424 (R&R) shall be fully completed. Block 11, “Descriptive Title of Applicant’s Project,” shall reference the research topic area(s) being addressed in the effort by identifying the specific paragraph from an amendment of this BAA (one or more of the technical “domains”)

(2) Research & Related Other Project Information (Mandatory)

(a) Complete questions 1 through 6.

(b) Project Summary/Abstract (Field 7 on the Form)

The **Project Summary/Abstract** is a single page that identifies the research problem; technical approaches; anticipated outcome of the research, if successful; and impact on NGA’s capabilities. It identifies the Principal Investigator, the institution and other institutions involved in the team, if any, and the proposal title.

Do not include proprietary or confidential information. The **Project Summary/Abstract** submitted by the applicant must be publicly releasable as it will be posted on a public website. Abstracts of all funded projects will be posted on the public Defense Technical Information Center (DTIC) website at: <https://discover.dtic.mil/grant/>

(c) Project Narrative (Field 8 on the Form)

Attach the following to Field 8 of the R & R - Other Project Information Form:

Applicants shall submit proposals in accordance with the BIGST BAA, **Appendix 2 Proposal Template**.

Please note that Volume 2 & 3 and Attachment 1,2,3,4,5 of the Proposal Template does **NOT** apply to Grants and Cooperative Agreements. These Volumes and Attachments are replaced by the R&R forms mentioned in this document.

Appendix 2 includes detailed instructions on required proposal volume information. Applicants are prohibited from altering any of the settings in this template (i.e. font, font size, line spacing, margins). Graphics/illustrations are allowed and are not subject to the format restrictions. Tables are allowed but are subject to format restrictions.

Any proposal that does not utilize the required template at Appendix 2 will not be reviewed and will not be considered for award.

| Reference | Description | Format | Page limit |
|--------------------------|--|------------------|--|
| Cover Page | See template in Appendix 2 (Digital signature required) | PDF | N/A |
| Table of Contents | See template in Appendix 2 | PDF | N/A |
| Volume 1 | TECHNICAL/ MANAGEMENT | Adobe PDF | 20 page limit if not specified in Topic Bibliography: 2 pages (not incl. in page count) Relevant Papers: max. 3 papers on 10 pages total (not incl. in page count) Resumes: max. 2 resumes (one shall be of PI; not incl. in page count) |
| Volume 4 | SECURITY (Instructions at Topic Level) | Adobe PDF | None |
| Attachment 6 | Acquisition Security Review (ASR) Questionnaire Lists Contractor and Subcontractor information (Instructions at Topic Level) | Adobe PDF | None |
| Attachment 7 | Facility Clearance Level (FCL) (Instructions at Topic Level) | Adobe PDF | None |
| Attachment 8 | Personnel Security Clearance Level (PCL) (Instructions at Topic Level) | Adobe PDF | None |

FILE NAMING CONVENTION

Applicants shall submit each proposal volume and attachment **as a separate file** in accordance with (IAW) the structure laid out above.

These files shall be attached to Field 8 of the SF-424 (R & R) - Other Project Information Form.

Files shall be labeled by the following naming convention (Short Version of Applicant Name + Topic Number + Volume or Attachment Number):

Applicant Name_T#_Vol #
 Applicant Name_T#_Att #

Volume 1 -Technical/Management

The detailed proposal portion of Volume 1, including any appendices, tables, or figures, shall be **no greater than twenty (20) pages** in length, unless otherwise specified within the topic call instructions. Reviewers will not review any pages beyond the 20-page limit. The information required within this volume is listed within the proposal template.

Volume 4 - SECURITY

Research and Technology Protection

Common Disclosure Forms (applicable to Fundamental Research)

Awards which cover fundamental research (see definition in Appendix 6) funded by the Department of Defense (DoD), regardless of award instrument or type of proposing entity, are required to submit certified Common Disclosure Forms for each covered individual (see Appendix 6 for definition) in accordance with “[Countering Unwanted Foreign Influence in Department-Funded Research at Institutions of Higher Education](#)”, dated 29 June 2023.

The Common Disclosure Forms shall be submitted with the Applicant’s proposal.

~~The Common Disclosure Forms shall only be submitted upon NGA’s request after proposal selection.~~

~~Applicants will **not** submit them with their initial proposal package. Instead, NGA will first complete the scientific review process and select the proposals that will be funded.~~

~~NGA will request these forms from Applicants whose proposals were selected for funding; the **‘Research and Technology Protection’** attachment provides the link to the two Common Disclosure Forms. (Separate File posted with this BAA General solicitation on SAM.gov and Grants.gov.)~~

(3) Research and Related Senior/Key Person Profile (Expanded) – Mandatory

To evaluate compliance with Title IX of the Education Amendments of 1972 (20 U.S.C. § 1681 et.seq.), the Department of Defense (DoD) is collecting certain demographic and career information to assess the success rates of women who are proposed for key roles in applications in science, technology, engineering or mathematics (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 Research and Related Senior/Key Person Profile (Expanded) form, available on the Grants.gov website, will be used to collect the above data, and 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 at the bottom of the form. Note that, although applications without this information completed may pass Grants.gov edit checks, if NGA receives an application without the required information, NGA may determine that the application is incomplete and may cause your submission to be rejected and eliminated from further review and consideration under the BAA. NGA reserves the right to request further details from the applicant before making a final determination on funding the effort.

The research team resumes should be attached to the R&R Senior/Key Person (Expanded) form under the “biographical sketch” section.

The offeror shall provide a resume/CV of no more than two pages for each of the key researchers who plan to contribute to the project, regardless of whether they will charge time to the project. Each resume should contain at least the following information:

Qualifications. Provide typical curriculum vitae information.

Relevant Accomplishments. Provide a summary of accomplishments (“track record”) in the same research topic area, or a closely related area, as the proposed research.

(4) Research & Related Personal Data – Mandatory

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

(5) Research & Related Budget - Mandatory

Research and Related Budget shall include all financial aspects of the proposed research.

There is no page limit for the Research Costs (Itemized Budget) section of the proposal. Cost estimates should include sufficient detail for meaningful evaluation, including cost details for proposed sub-awards. For proposal purposes, the offeror should propose a start date. The cost proposal must include the total cost of the project as well as a breakdown of the amount(s) by source(s) of funding, e.g., funds requested from NGA, other Government funding, and

institutional funds to be provided as cost sharing. Costs should be broken down for each year of the program and shown by cost element for each year. Cost elements, total costs for each year of the base period and each cost element, and totals for each proposed optional follow-on year, if any, shall be provided.

Costs for entertainment, amusement, diversion and social activities and any costs directly associated with such activities are unallowable in accordance with OMB 2 CFR Part 220 (formerly Circular A-21). NGA will not provide funding for direct reimbursement of proposal development costs.

The annual budget should be driven by program requirements, and the funding breakdown shall correspond to the proposed research plan that was provided as part of the Research and Related Other Project Information Form. This section shall include statements as to the basis of estimate for all proposed costs. Cost elements should include, but are not limited to, the following:

1. **Direct labor.** Individual labor categories or persons, with associated labor hours and unburdened direct labor rates. Provide escalation rates for out years. Include all personnel who will charge time to the project (i.e., the Principal Investigator, other faculty, institutional staff, graduate and undergraduate students) as well as their commensurate salaries and benefits. **Applicants shall provide supporting documents in PDF for the current salaries of key personnel and authorization of student salaries.** Salaries of administrative and clerical staff are normally indirect costs included in indirect cost rates, but direct charging of these costs may be appropriate when a major project requires administrative or clerical support significantly greater than normal, routine levels of support. Budgets proposing direct charging of administrative or clerical salaries must be supported by budget justifications that adequately describe the major projects, and the administrative and/or clerical work to be performed.
2. **Equipment.** Equipment is normally furnished by the Recipient. Allowable equipment will ordinarily be limited to specialized equipment that is not already available for the conduct of the work. If acquisition of equipment is proposed, a justification for the purchase of the items must be provided, and the costs of equipment must be broken down in sufficient detail for evaluation. Provide an itemized list of all equipment costs and the basis for the estimate. **Supporting documentation (e.g., quotes, prior purchases, catalog price lists) shall be provided to assist the Government during evaluations. Applicants shall provide supporting documents in PDF for cumulative proposed equipment cost above \$5,000.** General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, office equipment and furnishings) is not eligible for support and should not be requested, unless it 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. Equipment costs should be budgeted primarily during the first year.

3. **Travel.** The proposed travel cost should include the following for each trip: the purpose of the trip, origin and destination if known, approximate duration, and the number of travelers. The estimated cost per trip must be justified, based on the organization's historical average cost per trip or another reasonable basis. Such estimates and the resultant costs claimed must comply with the applicable federal cost principles.
4. **Other direct costs.** Provide an itemized list of all other proposed other direct costs, such as Graduate Assistant tuition; materials and supplies; publication, documentation and dissemination costs; computer services; and communication costs not included in overhead; and provide the basis for the estimate. Supporting documentation (e.g., quotes, prior purchases, catalog price lists) shall be provided to assist the Government during evaluations. For consultant services, 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.
5. **Sub-awards.** Provide a description of the work to be performed by the sub-recipients. For each sub-award, a detailed cost proposal is required to be included in the principal investigator's cost proposal. Fee/profit is unallowable. (SF-424 (R & R) Sub-award Budget Attachment(s), included as an optional form in the application package template, shall be completed if sub-awards are included in the proposal.)
6. **Fringe benefits and indirect costs (i.e., Facilities and Administrative Costs, Overhead, G&A).** The proposal should show the rates and calculation of the costs for each rate category. If the rates have been approved or negotiated by a Government agency, provide a PDF copy of the memorandum/agreement. If the rates have not been approved or negotiated, provide sufficient detail to determine whether the costs are allowable, allocated to the proper cost pool, and reasonable based on their allocation. Also include documentation describing how the rates were calculated. Additional information may be requested, if needed. If composite rates are used, provide the calculations (in excel) used in deriving the composite rates.
7. **Fee/Profit.** Fee/profit is unallowable.

(6) Form SF-LLL: Disclosure of Lobbying Activities (if applicable)

If an Applicant has lobbying activities to disclose per 31 U.S. Code § 1352, they shall complete Form SF-LLL, included as an optional form in the application package, and submit it along with the other Grants.gov application forms, as an attachment to block 18 to the SF 424 (R&R) form.

Grant awards greater than \$100,000.00 require a certification of compliance with a national policy mandate concerning lobbying. Statutes and Government-wide regulations require the certification to be submitted prior to award. When submitting your grant proposal through Grants.gov, by completing **Form SF-LLL** and attaching it to blocks 18 of the SF 424 (R&R) form, the grant applicant is providing the certification on lobbying required by 32 CFR Part 28; otherwise a copy signed by the AOR shall be provided. Below is the required certification:

32 CFR Appendix A to Part 28 – Certification Regarding Lobbying: Certification for Contracts, Grants, Loans, and Cooperative Agreements. The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, 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 this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit SF-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients 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. Code § 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000.00 and not more than \$100,000.00 for each such failure.

In accordance with Continuing Appropriations Act, 2017 (Pub. L. 114-223), or any other Act that extends the same prohibitions as contained in section 743, division E, title VII, of the Consolidated Appropriations Act, 2016 (Pub. L. 114-113), none of the funds appropriated or otherwise made available by that or any other Act may be made available for a grant or cooperative agreement with an entity that requires its employees or contractors seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting those employees or contractors 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 the information.

4.5.2.5 Intellectual Property

Intellectual property and data rights for concepts, research findings and developed products under this Broad Agency Announcement will vary due to topic, security protection requirements, and final negotiated contract vehicle type. Applicants should note that the Government will not own the intellectual property, including technical data/computer software, developed under this BAA. Instead, NGA, as a DoD Component, does reserve a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so as well. In addition, as allowed by 35 U.S. Code 202, NGA may determine that it is best to restrict or eliminate the right to retain title on any subject invention funded under this BAA to protect the security of such activities due to U.S. export control laws, Government furnished information, or security classification.

For Grants and Cooperative Agreements, the intent is to fund fundamental research or develop products for the public good and as such, the Government does not seek unlimited rights or an exclusive license for this research except for restrictions above.