REQUEST FOR WHITE PAPERS / RESEARCH PROPOSALS FOR

NEW AND INNOVATIVE IDEAS

FOR

LIFE CYCLE PILOT PROCESS (LCPP) AND RELATED TECHNOLOGIES

BROAD AGENCY ANNOUNCEMENT
FOR
CONTRACTS, GRANTS, COOPERATIVE
AGREEMENTS AND OTHER TRANSACTIONS

W15QKN-25-R-1ARA

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TABLE OF CONTENTS

INTRODUCTION 3

PART I: TECHNOLOGY AREAS OF INTEREST 5

PART II: WHITE PAPER: CONTENT, PREPARATION, AND SUBMISSION 10

PART III: RESEARCH PROPOSAL: CONTENT, PREPARATION, AND SUBMISSION 13

Section 1 – Introduction 13
Section 2 – General Information 13
Section 3 – Contents of Complete Research Proposals 22
Section 4 – Information to be Requested from Successful Proposal Offerors 26
Section 5 – Other Information 26
Section 6 – Grants Registration 27

PART IV: PROPOSAL EVALUATION 28

PART V: PROPOSAL FORMS 30

INTRODUCTION

This Broad Agency Announcement (BAA), which sets forth technology areas of interest to the U.S. Department of the Army, Joint Program Executive Office Armaments & Ammunition (JPEO A&A), Project Lead Joint Services (PLJS), Picatinny Arsenal, New Jersey, is issued under the paragraph 6.102(d)(2) of the Federal Acquisition Regulation (FAR), which provides for the competitive selection of proposals. Proposals submitted in response to this BAA and selected for award are considered to be the result of full and open competition and in full compliance with the provision of Public Law 98-369, "The Competition in Contracting Act of 1984" and subsequent amendments.

Proposals and white papers putting forth new and novel ideas are sought to address Industrial Base (IB) technology gaps in line with Government Owned Contractor Operated (GOCO) Modernization Goals through interactive collaborations with industry and academia and the Government expects to advance the development and maturation of areas of technology as applied to JPEO A&A Portfolio. Proposals and white papers shall be evaluated only if they are for scientific study and experimentation directed toward identifying state of the art industry manufacturing processes necessary to maintain overmatch capabilities for our U.S. warfighters.

In order to conserve valuable offeror and Government resources, and to facilitate determining whether a proposed effort meets the guidelines described herein, prospective offerors contemplating submission of a white paper or proposal are strongly encouraged to contact the Technical Point of Contact (TPOC). The TPOC name and e-mail address is listed below. If an offeror elects to submit a white paper, it SHALL BE PREPARED in accordance with the instructions contained in PART II of this document. Submission not in accordance with the instruction shall be discarded and not reviewed. Upon receipt of a white paper, it will be evaluated, and the offeror shall be advised of the evaluation results. Offerors whose white papers receive a favorable evaluation may be contacted and encouraged to prepare and submit a complete proposal in accordance with instructions contained in PART III, Section 3 of this document.

The costs of white papers and/or complete proposals in response to this BAA are not considered as an allowable direct charge to any award resulting from this BAA, or any other award. It may be an allowable expense to the normal bid and proposal indirect cost specified in FAR 31.205-18.

Offerors submitting proposals are cautioned that only a Contracting, Agreements, or Grants Officer may obligate the Government to any agreement involving expenditure of Government funds. If the technology so dictates, it is preferred that proposals be submitted to cover up to a 3-year period of performance, and include a brief summary of work contemplated for each 12-month period. This facilitates the negotiation of awards for an entire 3-year program funded on an incremental basis.

Administrative inquiries regarding this BAA, **Whitepaper/Proposal submission** shall be addressed in writing via email to the following Contract Specialist and Contracting Officer ONLY:

Email: yili.d.chen.mil@army.mil
Address: U.S. Army Contracting Command – New Jersey

Email: wilson.w.au.civ@army.mil
Address: U.S. Army Contracting Command – New Jersey

Whitepaper/Proposal submission NOT addressed in writing via email to the above Contract Specialist and Contracting Officer will not be considered.

Technical questions should be referred to the Technical Point of Contact (TPOC), Ryan Bridge, ryan.p.bridge2.civ@army.mil

This BAA is available on https://sam.gov/

This BAA is a continuously open announcement valid throughout the period from the date of issuance through the expiration date stated on the cover page of this BAA unless announced otherwise. Proposals and white papers may be submitted within the specified solicitation cycle as indicated in this BAA. Proposals and white papers submitted prior to this BAA expiration date that are for scientific study and experimentation directed toward identifying state of the art industry standard manufacturing processes necessary to maintain overmatch capabilities for our U.S. warfighters will be accepted for evaluation. Amendment(s), if any, to this BAA shall be posted to the SAM.gov web site (https://sam.gov/) and published at the above websites when they occur. Interested parties are encouraged to periodically check the website for updates and amendment(s).

PART I - TECHNOLOGY AREAS OF INTERESTS

The Office of Project Lead Joint Services (PLJS), seeks to address Industrial Base (IB) technology gaps in line with GOCO Modernization Goals. This Broad Agency Announcement (BAA) sets forth research areas of interest to the PLJS, and is issued under paragraph 6.102(d)(2) of the Federal Acquisition Regulation (FAR), which provides for the competitive selection of proposals. PLJS manages a 6.6. Research Development Technology & Evaluation (RDT&E) project, Life Cycle Pilot Process (LCPP), which seeks and transitions manufacturing technologies to improve producibility, mitigate supply chain risk and refine product & manufacturing costs within the JPEO A&A product portfolio. This project mitigates risk by piloting critical ammunition technology that requires further investigation for implementation into the IB. Efforts under this BAA must align with associated technical descriptions below.

PREAMBLE:

The LCPP RDT&E project supports the implementation of the Single Manager for Conventional Ammunition (SMCA) IB Strategic Plan through technology investigations, model-based process controls, pilot prototyping, and industrial assessments. LCPP funded efforts assess life cycle production capabilities required for all ammunition calibers, design for manufacturability to facilitate viable economic production, identify industrial and technology requirements, and address the ability of the production base to rapidly and cost effectively produce quality products. LCPP provides a critical risk reduction bridge between science and technology investments in advanced manufacturing technologies and their implementation in GOCOs and ammunition industrial base partner facilities. LCPP also seeks to improve the efficiency and product quality of existing GOCO manufacturing processes, reduce life cycle product costs, eliminate single point failures (SPFs), and, in some cases, develop new sources of supply within the National Technology and Industrial Base (NTIB).

LCPP focuses on the end-state of manufacturing technologies and therefore must have a clear transition path to the Organic Industrial Base (OIB). LCPP's mission aligns to the GOCO modernization program goals by ensuring that technology assessments and demonstrations are of interest to the Army's IB. Project execution for the LCPP program includes piloting process technologies, technology feasibility studies, and process demonstrations. The LCPP program is particularly focused on executing projects that mitigate single- or no-source supply risk. Research, feasibility studies, and/or demonstrations are conducted to mitigate supply-chain risks and include identifying new or second sources of materials.

The Office of PLJS is looking to address IB technology gaps in line with GOCO Modernization Goals. Efforts under this BAA should focus on toward identifying state of the art industry manufacturing processes to address technological solutions to address GOCO modernization needs.

This shall be accomplished via investigative research efforts in the following general technology areas:

1. Chemical Endurance
2. Digital Engineering
3. Manufacturing Technology – Ammunition & Energetic Processes
4. Manufacturing Technology – Reclamation & Regulatory Compliance

TECHNOLOGY AREA DETAILED DESCRIPTIONS

1. CHEMICAL ENDURANCE
   1.1. The Government is prioritizing the development and sustainment of a robust and resilient domestic supply chain for critical materials, specifically focusing on chemical feedstocks essential for munitions production. This effort is designed to proactively address potential vulnerabilities arising from geopolitical factors, natural disasters, and adversarial actions, ensuring consistent chemical endurance – the reliable and continuous access to necessary materials.

   1.2. OBJECTIVES
      1.2.1. Strengthen Supply Chain: The primary goal is to create a strong, reliable, and adaptable U.S. supply chain for munitions.

      1.2.2. Supplier Risk Assessment: Assess suppliers for financial stability, geopolitical risk in their location, cybersecurity vulnerabilities, and capacity to scale.
         1.2.2.1. Tiered Visibility: Distributers, Material Processors, Source (synthesis or mined), precursors, etc.
         1.2.2.2. Diversification of Suppliers: Mitigation of single point failures/obsolescence

      1.2.3. Increase National Self-Sufficiency: Aims to make the U.S. less reliant on foreign sources for critical materials used in defense.

      1.2.4. Strategic Stockpiles: Methods to determine/assess strategic reserves of critical materials to buffer against short-term disruptions.

   1.3. EXAMPLE TECHNOLOGIES
      1.3.1. Listed are example Chemical Endurance technologies the Government seeks to incorporate into the industrial base but not limited to: AI-Powered Supply Chain Analytics, Bio-Manufacturing, Rare Earth Element (REE) Extraction & Processing.

2. DIGITAL ENGINEERING (DE)
   2.1. The Government is interested in research related to Digital Engineering technologies, specifically technologies that support the development, management, and use of a Digital Thread. Digital Thread is the product's data and their relationships captured as links or connections over the course of the product's lifecycle. Technologies that facilitate the integration of data and models across the product life cycle are of interest.

2.2. OBJECTIVES

2.2.1. Develop & Enhance the Digital Thread: Advance technologies that create, manage, and utilize a "Digital Thread".

2.2.2. Seamless Data Integration: Integration of diverse engineering data (CAD, software, requirements, analysis, production data, etc.) regardless of the software used to create it.

2.2.3. Cybersecurity Considerations: Methods to protect computer systems, networks, and critical and aggregated data from digital attacks.

2.2.4. Cloud Computing: Utilizing cloud services for data storage, processing, and collaboration, enhancing flexibility and scalability.

2.2.5. Big Data and Analytics: Collecting and analyzing vast amounts of data from various sources to gain insights and improve processes.

2.2.6. IoT (Internet of Things): The use of connected devices and sensors that communicate and share data to improve processes and decision-making.

2.3. EXAMPLE TECHNOLOGIES

2.3.1. Listed are example Digital Engineering technologies the Government seeks to incorporate into the industrial base, but not limited to: Linked Data, Ontologies (formal naming and definition of types, properties, and relationships), Open Services for Lifecycle Collaboration (OSLC), Application Programming Interfaces (APIs), Extract-Transform-Load (ETL) technologies.

3. MANUFACTURING TECHNOLOGY – AMMUNITION & ENERGETIC PROCESSES

3.1. The Government is interested in the development of ammunition and energetic manufacturing processes that can be transitioned to the Army's industrial base. Currently, the US Army is expanding and improving its industrial base capabilities to strengthen the United States Arsenal of Democracy. The Government is proactively seeking technologies / processes to prototype and /or mature for ammunition & energetic applications. Technical advancements must increase production efficiency, operator safety and supply chain resilience to meet current and future requirements. The primary focus is to enhance automation, robotics and artificial intelligence / machine learning (AI/ML) in a production / manufacturing environment; to enhance product throughputs with emphasis on maintaining or exceeding product quality; to increase operation safety by minimizing operator exposure to hazardous operations and material handling; to enhance quality control tools and capabilities. Key proposal objectives are listed below.

3.2. OBJECTIVES

3.2.1. Automation and Robotics: Employing advanced robotics to automate tasks, enhancing productivity, and reducing human error.

3.2.2. Additive Manufacturing (3D Printing): Using 3D printing technologies to create products layer by layer, enabling customization and reducing waste. (End Item / End Item Components).

3.2.3. Cyber-Physical Systems: Integrating physical processes with digital technologies, allowing for real-time monitoring and control of manufacturing systems.

3.2.4. IoT (Internet of Things): The use of connected devices and sensors that communicate and share data to improve processes and decision-making.

3.2.5. Artificial Intelligence and Machine Learning: Utilizing AI to analyze data, optimize production, and predict maintenance needs, leading to more efficient operations.

3.2.6. Inspection / Quality Enhancements: Optimize inspection processes, leveraging automation/AI-driven analysis where feasible, to increase throughput without compromising quality.

3.2.7. Munition Process Technology: New process technology to improve capacity, cost & process efficiencies for existing ammunition industrial base facilities

3.2.8. Novel Energetic Maturity: Mature new energetic formulations from laboratory scale to pilot scale.

3.2.9. Scalable Operations / Surge Adaptability: Manufacturing processes capable of rapidly shifting between different munition types and/or production volumes.

3.2.10. Improved Process Safety: Implement industry standard process safety methods to mitigate process hazards related to munition and energetic manufacturing. Minimize operator exposure to hazardous process steps.

3.3. EXAMPLE TECHNOLOGIES

3.3.1. Listed are example munition technologies the Government seeks to incorporate into the industrial base, but not limited to: Articulated Robots, Selective Compliance Assembly Robot Arm (SCARA) robotics, Collaborative Robots, Advanced Data Analytics, Continuous Flow Reactors, Advanced Non-destructive Testing Capabilities, Remote Operations, In-situ Monitoring.

4. MANUFACTURING TECHNOLOGY – RECLAMATION & REGULATORY COMPLIANCE

4.1. The Government is interested in research into innovative technologies that improve sustainability of life cycle stages for munitions and munition subcomponents. This includes manufacturing / production of munitions such as artillery, mortars, flares, smokes, grenades, ammunition, energetics and munition subcomponents. The Government seeks production enabler technologies to assist with compliance with industrial base regulatory requirements, such as, but not limited to, air emission, effluent process streams, water conservation & industrial base production waste.

4.2. OBJECTIVES

4.2.1. Cyber-Physical Systems: Integrating physical processes with digital technologies, allowing for real-time monitoring and control of manufacturing systems.

4.2.2. IoT (Internet of Things): The use of connected devices and sensors that communicate and share data to improve processes and decision-making.

4.2.3. Artificial Intelligence and Machine Learning: Utilizing AI to analyze data, optimize production, and predict maintenance needs, leading to more efficient operations.

4.2.4. Repurpose By-Products: By-products from energetic processes to valuable commodities for munition application.

4.2.5. Process modeling or other methods to better understand treatment mechanisms and improved prediction of outcomes and effects on environmental safety and human health (ESOH).

4.2.6. Risk Mitigation: Identifying, assessing, and taking action to limit the likelihood and/or impact of potential hazards.

4.2.7. Cost Avoidance: Strategic investments to mitigate disposal costs.

4.2.8. Improved Process Safety: Implement industry standard process safety methods to mitigate process hazards related to munition and energetic manufacturing. Minimize operator exposure to hazardous process steps.

4.3. EXAMPLE TECHNOLOGIES

4.3.1. Listed are example recovery & regulatory compliance technologies the Government seeks to incorporate into the industrial base, but not limited to: Solvent Recovery, Supercritical Fluid Extraction, Advanced Precipitation / Crystallization, Filtration, Advanced Chemical Precipitation / Coagulation / Flocculation, Advanced Oxidation Process, Membrane Bioreactors

PART II – WHITE PAPER: CONTENT, PREPARATION AND SUBMISSION

1. Application and Submission Process

Prospective offerors must be registered in SAM (https://sam.gov) prior submitting the white paper. A complete and active SAM registration and/or valid DD2345 issued by Joint Certification Program (JCP) is/are required prior to an award. Failure to maintain an active SAM registration and/or DD2345 will result in no award.

White Paper Background: White papers are initially sought to preclude unwarranted effort on the part of the offeror in preparing full technical and cost proposals without an initial assessment of the operational, technical and logistical feasibility of the concept. Offerors submitting white papers that receive a rating of Promising are encouraged to submit a full technical and cost proposal on all or part of their white paper submission. However, any such encouragement DOES NOT ASSURE a subsequent award. Any offeror may submit a full proposal even if its white paper was not identified as promising or if no white paper is submitted but it is not encouraged. White papers, in Microsoft Word format, shall be submitted to the Procurement Office POCs identified in the introduction of this BAA.

White Papers Evaluation/Notification:
Evaluations of all white papers submitted in response to this BAA will be issued via e-mail notification on or about three weeks after receipt by the Contracting Office. Each white paper will subsequently be assigned one of the following three (3) ratings: *Promising*, *Acceptable*, or *Not of Interest at this time*. The following are the definitions of these ratings:

Promising: White Paper demonstrates good understanding of the research area's technical objectives, displays a solid technical approach, and has a medium to high probability of achieving all or most of the requirements of the objective. White Paper has one or more strengths that can significantly benefit the U. S. Government.

Acceptable: White Paper demonstrates some understanding of the research area's technical objectives and displays an approach that has a fair probability of achieving some of the requirements of the objective. White Paper has potential to benefit the U. S. Government, but is not considered a priority, as written.

Not of Interest at this time: White Paper demonstrates a shallow understanding of the research area's technical objectives and/or the approach has little probability of achieving any requirements of the objective. White Paper proposes a less than minimally acceptable solution to the U. S. Government.

Offerors submitting white papers that receive a rating of "Promising" are encouraged to submit full technical and cost proposals to the Procurement Office POCs identified in the introduction of this BAA only. However, any such encouragement DOES NOT ASSURE a subsequent award.

Submission of Full Proposal and White Papers

Full Proposal and White Papers submission shall be addressed in writing via email to the Contract Specialist and Contracting Officer listed under the Introduction Section. Submission NOT addressed to the listed Contract Specialist and Contracting Officer will either not be considered or delay the evaluation process.

Submission of Full Proposal

Any offeror may submit a full proposal even if its white paper was not identified as being "promising." However, the Army's initial evaluation of the white papers should give potential offerors some indication of whether a full proposal would likely result in an award. If the white paper is identified as "*Acceptable"*, or "*Not of Interest at this time*," it is likely that NO AWARD will be made.

Submission timeline
This BAA will be open for 5 years from issuance. Any offeror shall submit the white paper to the following timeline:

Technology Areas of Interest	Accepting period per Calander year
1 – 4	October - June

2. Content and Format of White Papers

The White Papers and Proposals submitted under this BAA shall be unclassified. The Proposal submissions will be protected from unauthorized disclosure in accordance with FAR 15.207, applicable law, and DoD regulations. Offerors are expected to appropriately mark each page of their submission that contains proprietary information. *Important Note: Titles given to the white papers should be descriptive of the work they cover and not be merely a copy of the title of this solicitation. The author must identify* ***one*** *of the research areas of interest listed in this BAA for which the white paper responds to. If more than one research areas of interest, a* ***separate submission*** *is required.*

3. Restrictive Markings on White Papers:

a. Any included proprietary data that the offeror intends for use exclusively by the U. S. Government for evaluation purposes must be identified. The offeror must also identify any technical data contained in the white paper that is to be treated by the U. S. Government as limited rights data. In the absence of such identification, the U. S. Government **will assume to have unlimited rights to all technical data in the white paper**. Records or data bearing a restrictive legend may be included in the white paper. It is the intent of the Army to treat all

white papers as privileged information before the award and to disclose their contents only for the purpose of evaluation.

b. The offerors are cautioned, however, that portions of the white papers may be subject to release under terms of the Freedom of Information Act, 5 U.S.C. 552, as amended.

c. Care must be exercised to ensure that classified, sensitive, critical technology(ies) **is/are not included**. If such documents are required, appropriate restrictive markings and procedures should be applied.

4. White Paper Format

• Size – 8.5 x 11 inch paper
• Margins – 1 inch
• Spacing – single spaced
• Font – Times New Roman, 12 point
• Number of Pages – No more than ten (10), single-sided pages, excluding cover page, plus one page addendum as discussed below. *White Papers exceeding the page limit may not be evaluated. Evaluators will be advised that they are only required to review the white paper cover page and up to eleven pages including the addendum.*

5. White Paper Content

White paper should include the following items:

a. Cover page: Must utilize the WHITE PAPER COVER PAGE under PART V. The cover page will not count toward the page limit. White papers will not be reviewed without a signed Cover page.

b. Technical Description to consist of:

1) A brief technical discussion of the effort's objective, approach, and level of effort shall be submitted. Also include the nature and extent of the anticipated results and, if known, the manner in which the work will contribute to the accomplishment of Army's mission and how this would be demonstrated.

2) The type of support, if any, that the offeror requests of the Government, such as facilities, equipment, demonstration sites, test ranges, software, personnel or materials, shall be identified as Government Furnished Equipment (GFE), Government Furnished Information (GFI), Government Furnished Property (GFP), or Government Furnished Data (GFD). Offerors shall indicate any Government coordination that may be required for obtaining equipment or facilities necessary to perform any simulations or exercises that would demonstrate the proposed capability.

3) As an addendum to the white paper, include biographical sketches (one page) of the key personnel who will perform the research, highlighting their qualifications and experience.

4) The cost portion of the white paper shall contain a brief cost estimate revealing all the component parts of the proposal, including research hours, burden, material costs, travel, etc.

PART III – RESEARCH PROPOSAL: CONTENT, PREPARATION AND SUBMISSION

SECTION 1 – INTRODUCTION: This part provides information for preparing research proposals for submission, via email or on electronic media, to ALL the Procurement Office POCs identified in the "Introduction" above.

SECTION 2 - GENERAL INFORMATION:

Submission timeline is the same as proposal timeline under Part II Section 1. Submission Timeline.

All offerors preparing research proposals for submission IAW this BAA should initially submit the information as described below:

TABLE OF CONTENTS: PART V of this BAA contains the required Table of Contents format. Offerors' proposals should show the location of each section of the proposal, as well as major subdivisions of the project description.

A-1: COVER PAGE:

1. See PART V of this BAA for the required Cover Page. "Proposals will not be processed without a signed Cover Page".

Should the project be carried out at a branch campus or other component of the submitting organization, that branch campus or component shall be identified in the appropriate location in the proposal.

2. The title of the proposed project should be brief, scientifically representative, intelligible to a scientifically literate reader, and suitable for use in the public press.

3. The proposed duration for which support is requested should be consistent with the nature and complexity of the proposed activity. Where appropriate, contract awards for periods up to three (3) years (1 basic year of performance with two 1-year options) will be made. Nevertheless, the federal awarding agency reserves the right to make awards with shorter or longer periods of performance.

4. Specification of a desired starting date for the project is important and helpful however, requested effective dates cannot be guaranteed. Should unusual situations, such as long lead-time on awards, create problems regarding the proposed effective date, the investigator should consult the proposing organization's business office.

5. Should any of the special aspects apply to a proposal, the appropriate box(es) should be checked.

6. Pursuant to 31 U.S.C. 7701, as amended by the Debt Collection Improvement Act of 1996 [section 31001(I) (1), Public Law 104-134], federal agencies shall obtain each awardee's Taxpayer Identification Number (TIN). This number may be the Employer Identification Number for a business or non-profit entity or the Social Security Number for an individual. The

TIN is being obtained for purposes of collecting and reporting on any delinquent amounts that may arise out of an awardee's relationship with the U. S. Government.

7. Offerors shall provide their organization's Unique Entity Identifier (UEI). The UEI is a number that identifies your entity registration in SAM.gov. This identifier is assigned by SAM.gov and used in other IAE federal award systems (FPDS, FSRS, eSRS, and CPARS, etc). The Office of Management and Budget (OMB) requires the Unique Entity ID to be used across federal systems, governmentwide, for federal award purposes.

8. Offerors shall provide their assigned Commercial and Government Entity (CAGE) Code. The CAGE Code is a 5-character code assigned and maintained by the Defense Logistics Service Center (DLSC) to identify a commercial plant or establishment.

9. Proposals must be cleared through the organizational office having responsibility for U. S. Government business relations. An official authorized to commit the organization in business and financial affairs must sign the original copy of the Cover Page.

B-1: STATEMENT OF DISCLOSURE PREFERENCE:

1. Complete statement of disclosure forms for Industrial Contractors or Educational and Nonprofit Organizations as provided in PART V.

C-1: ABSTRACT:

1. The Abstract shall include a concise statement of work and basic approaches to be used in the proposed effort. The abstract should include a statement of objectives, methods to be employed, and the significance of the proposed effort to the advancement of knowledge.

2. The abstract should be no longer than one (1) page and be in a form suitable for release under the Freedom of Information Act, 5 U.S.C. 552, as amended. The abstract should indicate the effort intended for each 12-month period of research, where applicable.

D-1: TECHNICAL PROPOSAL:
The technical portion of the proposal should contain the following:

1. The offeror should demonstrate that he has thoroughly analyzed the problem to be addressed and provide detailed background information on the issue to be investigated, with particular emphasis on their previous efforts in this area. Include a complete discussion stating the background and objectives of the proposed work, the approaches to be considered, and the level of effort to be employed. Include also the nature and extent of the anticipated results and, if known, the manner in which the work will contribute to the accomplishment of the Army's mission.

2. The offeror should propose a solution / approach that clearly indicates a strong potential to address the issue to be investigated. It shall provide specific supporting information (data), and include alternatives and risk mitigators where applicable.

3. The offeror should thoroughly analyze the approach to be taken. He / She shall evaluate potential impediments to success, and shall provide a detailed plan that addresses the major issues.

4. The offeror should demonstrate the capability to manage the various aspects of the effort to be performed. This shall include a program management structure, a detailed schedule and team member qualifications.

5. A brief description of your organization. If the offeror has extensive Government contracting experience and has previously provided the information to the issuing office identified on the cover of this BAA, the information need not be provided again. A statement setting forth this condition should be made.

6. The names of other federal, state, local agencies, or other parties receiving the proposal and/or funding the proposed effort. If none, so state. Concurrent or later submission of the proposal to other organizations will not prejudice its review if we are kept informed of the situation.

7. A statement regarding possible impact, if any, of the proposed effort on the environment considering as a minimum its effect upon water, atmosphere, natural resources, human resources, and any other values.

8. The offeror shall provide a statement regarding the use of Class I and Class II ozone-depleting substances. Ozone-depleting substances mean any substance designated as Class I by EPA, including but not limited chlorofluorocarbons, halons, carbon tetrachloride, and methyl chloroform and any substance designated as Class II by EPA, including but not limited to hydro chlorofluorocarbons. See 40 C.F.R. Part 82 for detailed information. If Class I or II substances are to be utilized, a list shall be provided as part of the offeror's proposal. If none, so state.

9. The type of support, if any, requested (e.g., facilities, equipment, and materials).

10. For submission of proposals for Cooperative Agreements describe the following: (1) how the principle purpose of the research to be performed will stimulate or support a public purpose (i.e., to provide assistance), rather than acquisition (i.e., to acquire goods and services for the direct benefit of the United States Government). If the principal purpose is acquisition, then the grants officer shall judge that a procurement contract is the appropriate instrument, in accordance with 31 U.S.C. chapter 63 ("Using Procurement Contracts and Grant and Cooperative Agreements"); and (2) how substantial Government involvement is expected. For example, substantial Government involvement may include collaboration, participation, or intervention in the program or activity to be performed under the award.

11. For submission of proposals for Grants, describe how the principle purpose of the research to be performed will stimulate or support a public purpose (i.e., to provide assistance), rather than acquisition (i.e., to acquire goods and services for the direct benefit of the United States Government). A Grant may be proposed if the principle purpose of the research to be performed will stimulate or support a public purpose, but there is no and/or limited substantial Government involvement.

E-1: BIOGRAPHICAL SKETCHES:

1. This Section shall contain the biographical sketches for senior personnel only. The following information is required:

a. Relevant experience and employment history including a description of any prior Federal employment within one year preceding the date of proposal submission.

b. List of up to five (5) publications most closely related to the proposed project and up to five (5) other significant publications, including those being printed. Patents, copyrights, or software systems developed may be substituted for publications.

c. List of persons, other than those cited in the publications list, who have collaborated on a project or a book, article, report or paper within the last four (4) years. Include pending publications and submissions. Otherwise, state "None."

d. Names of each investigator's own graduate or post graduate advisors and advisees.

The information provided in "c" and "d" is used to help identify potential conflicts or bias in the selection of reviewers.

2. For the personnel categories of postdoctoral associates, other professionals, and students (research assistants), the proposal may include information on exceptional qualifications of these individuals that merit consideration in the evaluation of the proposal.

3. The biographical sketches are limited to three (3) pages per investigator and other individuals that merit consideration.

F-1: BIBLIOGRAPHY:

A bibliography of pertinent literature is required. Citations must be complete (including full name of author(s), title, and location in the literature).

G-1: PAST PERFORMANCE:

Offerors shall submit a list containing no more than five (5) relevant Government and non-Government contract references (including contract number, type, and dollar value; place of performance; date of award; whether performance is on-going or complete; extent of subcontracting; and the names, phone numbers, and e-mail addresses of at least two points of contact (POCs) for each contract) that were awarded within the last three (3) years. Relevancy refers to contract awards for the same or similar items. Offerors shall provide a specific narrative explanation of each contract listed describing the objectives achieved and detailing how the effort is relevant to the efforts described in the offeror’s technical proposal. For any contract listed that did not/do not meet original schedule or technical performance requirements, provide a brief explanation of the reason(s) for the shortcoming and any corrective action(s) taken to avoid recurrence.

In addition, offerors shall submit information related to their past performance on relevant efforts for state and local Government, private sector clients, subcontracts, and team or joint efforts. If offerors have no relevant past performance information, past performance information for their key personnel and/or key subcontractors shall be submitted. Be advised that the Government may use past performance information obtained from sources other than those identified by the offeror.

H-1: CURRENT AND PENDING SUPPORT:

1. PART V of this BAA provides a model format for reporting all current, on-going projects, and pending support for proposals, including subsequent funding in the case of continuing contract award. All project support from whatever source must be listed. The list must include all projects requiring a portion of the principal investigator's and other senior personnel's time, even if they receive no salary support from the project(s).

2. The information should include, as a minimum: (i) the project/proposal title and brief description, (ii) the name and location of the organization or agency presently funding the work or requested to fund such work, (iii) the award amount or annual dollar volume of the effort, (iv) the period of performance, and (v) a breakdown of the time required of the principal investigator and/or other senior personnel.

I-1: FACILITIES, EQUIPMENT, AND OTHER RESOURCES:

The offeror should include in the proposal a listing of facilities, equipment, and other resources already available to perform the research proposed.

J-1: BUDGET PROPOSAL (including DD Form 1861):

1. Each proposal must contain a budget for each year of support requested and a cumulative budget for the full term of requested support. The proposal may request funds under any of the categories listed so long as the item is considered necessary to perform the proposed work and is not precluded by applicable cost principles. In addition to the forms, the budget proposal should include up to five (5) pages of budget justification for each year. A summary budget page for each year should be included. The documentation pages should be titled "Budget Explanation Page" and numbered chronologically starting with the budget form. The need for each item should be explained clearly. *Each direct and indirect rate used in the budget/cost proposal shall be listed in each area of the budget/cost proposal where they are applied*.

2. All cost data must be current and complete. Costs proposed must conform to the following principles and procedures:

Educational Institutions: OMB Circular A-21
Nonprofit Organizations: OMB Circular A-122*
Commercial Organizations: FAR Part 31, DFARS Part 231, FAR Subsection 15.403-5, and DFARS Subsection 215.403-5

**For those nonprofit organizations specifically exempt from the provisions of OMB Circular A-122, FAR Part 31 and DFARS Part 231 shall apply.*

3. *THE ITEMIZED BUDGET(S) MUST INCLUDE THE FOLLOWING*:

a. <u>Direct Labor</u>: Show the current and projected salary amounts in terms of man-hours, man-months, or annual salary to be charged by the principal investigator(s), faculty, research associates, postdoctoral associates, graduate and undergraduate students, secretarial, clerical, and other technical personnel either by personnel or position. State the number of man-hours used to calculate a man-month or man-year. For proposals from universities, research during the academic term is deemed part of regular academic duties, not an extra function for which additional compensation or compensation at a higher rate is warranted. Consequently, academic term salaries shall not be augmented either in rate or in total amount for research performed during the academic term. Rates of compensation for research conducted during non-academic (summer) terms shall not exceed the rate for the academic terms. When part or all of a person's services are to be charged as project costs, it is expected that the person will be relieved of an equal part or all of his or her regular teaching or other obligations. For each person or position, provide the following information:

(1) The basis for the direct labor hours or percentage of effort (e.g., historical hours or estimates).

(2) The basis for the direct labor rates or salaries. Labor costs should be predicted upon current labor rates or salaries. These rates may be adjusted upward for forecast salary or wage cost-of-living increases that will occur during the agreement period. The cost proposal should separately identify the rationale applied to base salary/wage for cost-of-living adjustments and merit increases. Each must be fully explained.

(3) The portion of time to be devoted to the proposed research, divided between academic and non-academic (summer) terms, when applicable.

(4) The total annual salary charged to the research project.

(5) Any details that may affect the salary during the project, such as plans for leave and/or remuneration while on leave.

b. <u>Fringe Benefits and Indirect Costs (Overhead, General and Administrative, and Other)</u>:

The most recent rates, dates of negotiation, the base(s) and periods to which the rates apply must be disclosed and a statement included identifying whether the proposed rates are provisional or fixed. If the rates have been negotiated by a Government agency, state when and by which agency. **A copy of the negotiation memorandum should be provided.** If negotiated forecast rates do not exist, offerors must provide sufficient detail to enable a determination to be made that the costs included in the forecast rate are allocable according to applicable OMB Circulars or FAR/DFARS provisions. Offerors' disclosure should be sufficient to permit a full understanding of the content of the rate(s) and how it was established. As a minimum, the submission should identify:

(1) All individual cost elements included in the forecast rate(s);

(2) Bases used to prorate indirect expenses to cost pools, if any;

(3) How the rate(s) was calculated;

(4) Distribution basis of the developed rate(s);

(5) Bases on which the overhead rate is calculated, such as "salaries and wages" or "total costs," and

(6) The period of the offeror's fiscal year.

c. <u>Permanent Equipment</u>: If facilities or equipment are required, a justification why this property should be furnished by the Government must be submitted. State the organization's inability or unwillingness to furnish the facilities or equipment. Offerors must provide an itemized list of permanent equipment showing the cost for each item. Permanent equipment is any article or tangible nonexpendable property having a useful life of more than one year with an acquisition cost of $5,000 or more per unit. The basis for the cost of each item of permanent equipment included in the budget must be disclosed, such as:

(1) Vendor Quote: Show name of vendor, number of quotes received and justification, if intended award is to other than lowest bidder.

(2) Historical Cost: Identify vendor, date of purchase, and whether or not cost represents lowest bid. Include reason(s) for not soliciting current quotes.

(3) Engineering Estimate: Include rationale for quote and reason for not soliciting current quotes.

..... *If* applicable, the following additional information shall be disclosed in the offeror's cost proposal:

(4) Special test equipment to be fabricated by the awardee for specific research purposes and its cost. Include a statement justifying the need for the special fabrication of the equipment.

(5) Standard equipment to be acquired and modified to meet specific requirements, including acquisition and modification costs, listed separately.

(6) Existing equipment to be modified to meet specific research requirements, including modification costs. Do not include equipment the organization will purchase with its funds if the equipment will be capitalized for Federal income tax purposes. Proposed permanent equipment purchases during the final year of an award shall be limited and fully justified.

Contracts may convey title to an institution for equipment purchased with project funds. At the discretion of the contracting officer, the contract may provide for retention of the title by the Government or may impose conditions governing the equipment conveyed to the organization. The Government will not convey title to commercial contractors.

***NOTE*:** It is the policy of the DOD that all commercial and nonprofit contractors provide the equipment needed to support proposed research. In those rare cases where specific additional equipment is approved for commercial and nonprofit organizations, such approved cost

elements shall be "nonfee-bearing." In addition, commercial contractors are precluded from using contract funds to acquire facilities with a unit acquisition cost of $10,000 or more.

d. Travel: Forecasts of travel expenditures (domestic and foreign) that identify the destination and the various cost elements (dates of each travel, number of individuals, trip duration, locations (from-to), airfare, car rental, mileage, per diem rates, etc.) must be submitted in accordance with the Joint Travel Regulations (JTR) without deviation. The costs should be in sufficient detail to determine the reasonableness of such costs. Allowance for air travel normally will not exceed the cost of round-trip, economy air accommodations. Specify the type of travel and its relationship to the research project. Requests for domestic travel must not exceed **$20K per year per principal investigator**. Separate, prior approval by the Contracting Office and/or Contracting Officer Representative is/are required for all foreign travel (i.e., travel outside the continental U.S., its possessions and Canada). **Foreign travel requests must not exceed $10K each per year per principal investigator**. Special justification will be required for travel requests in excess of the amounts stated above and for travel by individuals other than the principal investigator(s). Individuals other than the principal investigator(s) are considered postdoctoral associates, research associates, graduate and undergraduate students, secretarial, clerical, and other technical personnel. Additional travel may be requested for travel to Army laboratories and facilities to enhance contract objectives and to achieve technology transfer.

e. Participant Support Costs: This budget category refers to costs of transportation, per diem, stipends, and other related costs for participants or trainees (but not employees) in connection with conferences, meetings, symposia, training activities, and workshops. Generally, indirect costs are not allowed on participant support costs. The number of participants to be supported should be entered in the parentheses on the budget form. These costs should also be justified in the budget justification page(s) attached to the cost proposal.

f. Materials, Supplies, and Consumables: A general description and total estimated cost of expendable equipment and supplies are required. The basis for developing the cost estimate (vendor quotes, invoice prices, engineering estimate, purchase order history, etc.) must be included. If possible, provide a material list.

g. Publication, Documentation, and Dissemination: The budget may request funds for the costs of preparing, publishing, or otherwise making available to others, the findings and products of the work conducted under a contract, including costs of reports, reprints, page charges, or other journal costs (except costs for prior or early publication); necessary illustrations, cleanup, documentation, storage, and indexing of data and databases; and development, documentation, and debugging of software.

h. Consultant Costs:
Offerors normally are expected to utilize the services of their own staff to the maximum extent possible in managing and performing the project's effort. If the need for consultant services is anticipated, the nature of proposed consultant services should be justified and included in the technical proposal narrative. The cost proposal should include the names of consultant(s), primary organizational affiliation, each individual's expertise, daily compensation rate, number of days of expected service, and estimated travel and per diem costs per consultant.

i. Computer Services: The cost of computer services, including computer-based retrieval of scientific, technical, and educational information, may be requested. A justification/explanation

based on the established computer service rates at the proposing organization should be included. The budget also may request costs, which must be shown to be reasonable, for leasing automatic data processing equipment. The purchase of computers or associated hardware and software should be requested as items of equipment.

j. Subcontracts: A precise description of services or materials that are to be awarded as a subcontract must be provided. For subawards totaling $10,000 or more, provide the following specific information:

(1) A clear description of the work to be performed.

(2) If known, the identification of the proposed subcontractor and an explanation of why and how the subcontractor was selected or will be selected.

(3) The identification of the type of award to be used (cost reimbursement, fixed price, etc.).

(4) Whether or not the award will be competitive and, if noncompetitive, rationale to justify the absence of competition.

(5) A detailed cost summary.

If the total amount of the proposal exceeds $750,000 and the offeror is a large business or an institute of higher education (other than HBCU/MI) and the resultant award is a contract, the offeror shall be prepared to submit a subcontracting plan for small business and small disadvantaged business concerns. A mutually agreeable plan will be included in and made a part of the contract.

k. Other Direct Costs: Itemize and provide the basis for proposed costs for other anticipated direct costs such as communications, transportation, insurance, and rental of equipment other than computer related items. Unusual or expensive items shall be fully explained and justified.

l. Fixed Fee: The fixed fee, if any, which a commercial organization proposes to assess the research project.

K-1: CONTRACT FACILITIES CAPITAL COST OF MONEY:

If cost of money is proposed, a completed Contract Facilities Capital Cost of Money (FCCM) (DD Form 1861) is required.

L-1: APPENDICES:

Some situations require that special information and supporting documents be included in the proposal before funding can be approved. Such information and documentation should be included by appendix to the proposal.

SECTION 3 - CONTENTS OF COMPLETE RESEARCH PROPOSALS (PHASE I)

Preliminary Inquiries:

The Issuing Office is able to provide support for only a limited number of the proposals received. We realize that the preparation of a research proposal often represents a substantial investment of time and effort by the offeror. Therefore, in an attempt to minimize this burden, we strongly encourage organizations and individuals interested in submitting research proposals to first submit white papers as to the general need for the type of research effort contemplated before expending extensive effort in preparing a detailed research proposal or submitting proprietary information. Organizations may submit white papers in electronic form. (See Part II.)

Eligibility:

All responsible sources submitting a responsive proposal in accordance with the instructions and terms and conditions within this announcement will be considered by the Government.

Post Employment Conflict of Interest:

There are certain post employment restrictions on former federal officers and employees, including special Government employees (Section 207 of Title 18, U.S.C.). If a prospective offeror believes a conflict of interest may exist, the situation should be documented and forwarded by mail or e-mail to the contracting officer prior to expending time and effort in preparing a proposal.

Statement of Disclosure Preference:

Please complete the appropriate statement of disclosure form stating your preference for release of information contained in your proposal. Copies of these forms are provided in PART V of this BAA.

Reporting Requirements:

Each award shall include the required technical and financial reporting requirements in its terms and conditions.

Subcontracting:

Pursuant to Section 8(d) of the Small Business Act [15 U.S.C. 637(d)], it is the policy of the Government to enable small business concerns to be considered fairly as subcontractors under all contracts awarded to prime Contractors.

Equipment:

Normally, title to equipment or other tangible property purchased with contract funds vests with nonprofit institutions of higher education or with nonprofit research organizations if vesting shall facilitate scientific research performed for the Government. Commercial organizations are expected to possess the necessary plant and equipment to conduct the proposed research. Deviations shall be made on a case-by-case basis.

Types of Awards:

The Government has the authority to award a variety of instruments and reserves the right to use the type of instrument most appropriate for the effort proposed. Offerors should familiarize themselves with these instrument types and the applicable regulations before submitting a proposal. Following are brief descriptions of the possible award instruments.

1. Contracts (Research & Development): A legal instrument which, consistent with 31 U.S.C. 6303, reflects a relationship between the Federal Government and a State, a local Government, or other recipient when the principal purpose of the instrument is to acquire property or services for the direct benefit or use of the Federal Government. The primary purpose of contracted R&D programs is to advance scientific and technical knowledge and apply that knowledge to the extent necessary to achieve agency and national goals. Unlike contracts for supplies and services, most R&D contracts are directed toward objectives for which the work or methods cannot be precisely described in advance.

2. Grant – A legal instrument that, consistent with 31 U.S.C. 6304, is used to enter into a relationship:

   a. The principal purpose of which is to transfer a thing of value to the recipient to carry out a public purpose of support or stimulation authorized by a law or the United States, rather than to acquire property or services for the DoD's direct benefit or use.

   b. In which substantial involvement is not expected between the DOD and the recipient when carrying out the activity contemplated by the grant.

   c. No fee or profit is allowed for research entities.

3. Cooperative Agreement – A legal instrument which, consistent with 31 U.S.C. 6305, is used to enter into the same kind of relationship as a grant (see definition "grant"), except that substantial involvement is expected between the DoD and the recipient when carrying out the activity contemplated by the cooperative agreement. The term does not include "cooperative research and development agreements" as defined in 15 U.S.C. 3710a. No fee or profit is allowed for research entities.

Grants and cooperative agreements are governed by the following regulations:

a. OMB Circular A-21, "Cost Principles for Educational Institutions"
b. OMB Circular A-87, "Cost Principles for State, Local and Indian Tribal Governments"
c. OMB Circular A-102, "Grants and Cooperative Agreements with State and Local Governments"
d. OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations"
e. OMB Circular A-122, "Cost Principles for Non-Profit Organizations"
f. OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations"
g. DoD Grant and Agreement Regulations (DoDGARs), DoD 3210.6-R

Copies of OMB regulations may be obtained from:
https://www.reginfo.gov/public/

An electronic copy of the DODGARs may be found at
http://www.dtic.mil/whs/directives/corres/html/32106r.htm

NOTE: In accordance with DOD Directive 3210.6, the DODGARs may include rules that apply to other nonprocurement instruments, when specifically required in order to implement a statute, Executive Order, or Government wide rule that applies to other nonprocurement instruments, as well as to grants and cooperative agreements.

4. Other Transactions:

a. Other Transaction for Research and/or Technology Investment Agreement (TIA) – A legal instrument, consistent with 10 U.S.C. 2371 and/or 10 U.S.C. 2358, which may be used when the use of a contract, grant, or cooperative agreement is not feasible or appropriate for basic, applied, and advanced research projects. The research covered under another transaction shall not be duplicative of research being conducted under an existing DoD program. To the maximum extent practicable, other transactions for research/TIA shall provide for a 50/50 cost share between the Government (as research conducted generally transitions into readily marketable technologies with the offeror seeing a near term return on investment (ROI)). No fee or profit is allowed on other transactions for research/TIA's for research entities.

b. Other Transaction for Prototype Projects – A legal instrument, which is in accordance with the provisions of 10 U.S.C. § 2371b, Section 815 of the 2016 National Defense Authorization Act, Public Law 114-92, which provides the Department of Defense (DoD) authority to enter into transactions *other than* contracts, grants, or cooperative agreements, the Department of Defense (DoD) has the authority to make awards that are directly relevant to enhancing the mission effectiveness of military personnel and the supporting platforms, systems, components, or materials proposed to be acquired or developed by the Department of Defense, or the improvement of platforms, systems, components, or materials in use by the armed forces.

Other Transactions for Prototype Projects are acquisition instruments that generally are not subject to the federal laws and regulations governing procurement contracts. As such, they are not required to comply with the Federal Acquisition Regulation (FAR), its supplements, or laws that are limited in applicability to procurement contracts.

In accordance with statute, this authority may be used only when:

(1) There is at least one nontraditional defense contractor participating to a significant extent in the prototype project; or

(2) No nontraditional defense contractor is participating to a significant extent in the prototype project, but at least one of the following circumstances exists:

(i) At least one third of the total cost of the prototype project is to be paid out of funds provided by the parties to the transaction other than the Federal Government.

(ii) The senior procurement executive for the agency determines in writing that exceptional circumstances justify the use of a transaction that provides for innovative business arrangements or structures that would not be feasible or appropriate under a procurement contract.

As defined at 37 CFR 401.2(a), the intellectual property provisions of an Other Transaction can be negotiated to provide expanded protection to an offeror's intellectual property. An offeror's cost share may take the form of cash, independent research and development (IR&D), foregone intellectual property rights, equipment, or access to unique facilities, as well as others. The effort covered under an Other Transaction shall not be duplicative of effort being conducted under an existing DoD program.

Use of Color in Proposals:

All proposals received shall be stored as electronic images. Electronic color images require a significantly larger amount of storage space than black-and-white images. As a result, offerors' use of color in proposals should be minimal and used only when absolutely necessary for details. Do not use color unless it is completely necessary.

General Preparation and Submission Information:

1. Proposals may be submitted within the specified solicitation cycle which may be announced every six to nine months throughout the timeframe that this BAA remains open. Any such notification of these solicitation cycles will be announced through the SAM.gov website https://sam.gov/. Future announcements will state additional requirements if necessary. A proposal for continuation of a given research project shall be considered on the same basis as proposals for other new research contracts. The proposal should be submitted sufficiently in advance of the termination of the existing contract so that if it is accepted, support may be continued without interruption.

2. All proposals should be submitted electronically, (with or without restrictive legends - as appropriate), to the Procurement Office, (email address - see “Introduction” above). A 5 Megabyte size limitation is imposed on emails delivered in response to this BAA. Alternatively, offerors can request a DoD Safe drop off via Procurement Office to submit their proposals.

3. All required forms must be signed, scanned and submitted electronically as well. The file(s) must not be security or password protected. Acknowledgment of receipt shall be returned via e-mail.

4. All required forms are submitted.

5. Proposal will not be processed unless all of the above requirements are met.

DoD Central Contractor Registration Database:

In accordance with DoD policy, prospective Contractors' must be registered in the Systems for Award Management (SAM) database prior to award of a contract. By submission of an offer resulting from this BAA, the offeror acknowledges the requirement that a prospective contractor must be registered in the SAM database prior to award, during performance, and through final payment of any contract resulting from this BAA.

Classified Submissions:

This Broad Agency Announcement solicits **UNCLASSIFIED** proposals only. Offeror **SHALL NOT** transmit any classified data, information, or communication. Submissions containing classified information are non-compliant and will be rejected without review.

SECTION 4 - INFORMATION TO BE REQUESTED FROM SUCCESSFUL OFFERORS

An offeror whose proposal is accepted for funding shall be contacted before award. The Government will provide the offeror with a Government Performance Work Statement utilizing information presented in the proposal that was accepted for funding along with Government mandated requirements via Contemplation Letter. At that time, the offeror can prepare and submit a proposal revision based on that Government Performance Work Statement and any additional attachments to the Contemplation Letter.

SECTION 5 - OTHER INFORMATION

1. Security Requirements: While non-classified work is relevant, RDT&E research often leads to military applications and development or use of data that can be classified. This is not always known ahead of time, and when it does the applicant must be prepared to deal with classified information. Possession of a SECRET facility clearance is recommended.

2. Increasingly, the U.S. Government relies on sophisticated technology in its systems. Technology is today's and will be tomorrow's force multiplier, and technology improves the warfighter and civil responders' ability to survive and perform their mission. It is prudent and practical to protect technologies deemed so critical that their exploitation will diminish or neutralize a U.S. defense system's effectiveness. Offerors may be required to develop a Technology Protection Plan in order to protect critical research technology (CRT) or critical program information (CPI).

SECTION 6 - Grants.Gov Registration:

Organization that desires to submit applications via Grants.Gov must complete a one-time registration. See https://www.grants.gov/ for details.

PART IV – PROPOSAL EVALUATION

1. Proposals submitted in response to this BAA will be evaluated using the factors listed below (in descending order of importance):

a. The overall scientific and/or technical merits of the proposal.

b. The potential contributions of the effort to the Army mission and the extent to which the research effort will contribute to balancing the overall Government each program.

c. The offeror's capabilities, related experience, facilities, techniques, or unique combinations of these, which are integral factors for achieving the proposed objectives.

d. The qualifications, capabilities, and experience of the proposed senior personnel, team leader, investigators, other key personnel who are critical to achievement of the proposed objectives.

e. The offeror's record of past performance.

f. Pursuant to FAR 35.016(e), the offeror's proposed price shall be compared to the availability of funds. A cost realism shall be performed on the **proposed costs, any fee, and any proposed cost sharing arrangements.** The most probable cost, calculated utilizing cost realism and price analyses, will be used in determining realism and affordability to the Government.

2. Factors a, b, c, and d will each receive a rating in addition to a narrative as follows:

Rating	**Description**
Outstanding	Proposal meets requirements and indicates an exceptional approach and understanding of the requirements.
Good	Proposal meets requirements and indicates a thorough approach and understanding of the requirements.
Acceptable	Proposal meets requirements and indicates an adequate approach and understanding of the requirements.
Marginal	Proposal does not clearly meet requirements and has not demonstrated an adequate approach and understanding of the requirements.
Unacceptable	Proposal does not meet requirements and is unawardable.

3. Factor e, past performance will be rated as follows in addition to a narrative:

Past Performance Relevancy Ratings

Rating	Definition
Very Relevant	Present/past performance effort involved essentially the same Scope and magnitude of effort and complexities this solicitation requires.
Relevant	effort involved similar scope and magnitude of effort and complexities this BAA requires.
Somewhat Relevant	effort involved some of the scope and magnitude of effort and complexities this BAA requires.
Not Relevant	effort involved little or none of the scope and magnitude of effort and complexities this BAA requires.

4. Factor f, Cost Realism/probable cost will not receive a merit rating. Evaluation of the probable cost to the Government will be in narrative form.

5. Upon receipt of a proposal, the Government will perform an initial review of its scientific merit and potential contribution to the Army mission and also determine if funds are expected to be available for the effort. Proposals not considered having sufficient scientific merit or relevance to the Army's needs or those in areas for which funds are not expected to be available may be declined without further review.

6. All proposals are treated as privileged information prior to award and the contents are disclosed only for the purpose of evaluation. Proposals not declined as a result of an initial review will be subject to a peer review by highly qualified scientists. While the offeror may restrict the evaluation to scientists from within the Government, to do so may prevent review of the proposal by those most qualified in the field of research covered by the proposal. The offeror must indicate in the proposal any limitation to be placed on disclosure of information contained in the proposal.

7. Each proposal will be evaluated based on the scientific merit and military relevance of the specific research proposed as it relates to the overall Army program rather than against other proposals for research in the same general area.

8. Not all Research Proposals deemed selectable will be funded. Decisions to fund selectable proposals shall be based on funds availability. Research proposals may be considered, for funding, for a period of up to three (3) years from the closing date of the BAA. The Government reserves the right to select for funding all, some, or none of the proposals received.

PART V - PROPOSAL FORMS

- PROPOSAL / WHITE PAPER COVER PAGE

- PROTECTION OF PROPRIETARY INFORMATION DURING EVALUATION AND AFTER AWARD

- PROTECTION OF PROPRIETARY INFORMATION DURING EVALUATION AND AFTER AWARD (FOR EDUCATIONAL INSTITUTIONS AND NON-PROFIT ORGANIZATIONS)

- SUGGESTED PROPOSAL TABLE OF CONTENTS

- DD FORM 1861 CONTRACT FACILITIES CAPITAL COST OF MONEY

PROPOSAL / WHITE PAPER COVER PAGE

ORGANIZATION PROPOSAL / WHITE PAPER #

NAME AND ADDRESS OF ORANIZATION TO WHICH AWARD SHOULD BE MADE:

RESEARCH NUMBER AND AREA:

TITLE OF PROPOSED EFFORT / WHITE PAPER:

ACKNOWLEDGEMENT OF BAA AMENDMENTS, if Any:

UNIQUE ENTITY ID (UEI).

COMMERCIAL AND GOVERNMENT ENTITY (CAGE) CODE:

TAXPAYER ID # (TINS):

BUSINESS SIZE/TYPE:

NON-PROFIT/PROFIT:

COST PROPOSAL VALID TO:

U.S. WHOLLY OWNED FIRM OR INSTITUTION: YES OR NO

OFFEROR HAS SECRET CLEARANCE: YES OR NO

PROPOSED PERIOD OF PERFORMANCE:

TYPE OF AWARD PROPOSED AND AMOUNT REQUESTED:

COGNIZANT DCAA OFFICE, if known:

PAYMENT SCHEDULE (PROPOSAL PAGE#):

DATA RIGHTS / PATENT: (PROPOSAL PAGE / WHITE PAPER#)

GOVERNMENT FURNISHED PROPERTY, MATERIAL OR EQUIPMENT (PROPOSAL PAGE #, IF APPLICABLE):

TECHNICAL CONTACT (TITLE, NAME, ADDRESS, PHONE #, E-MAIL):

CONTRACT NEGOTIATIONS CONTACT (TITLE, NAME, ADDRESS, PHONE #, E-MAIL):

BY SUBMITTING THIS PROPOSAL / WHITE PAPER (Select One), THE OFFEROR IS PROVIDING THE CERTIFICATIONS CONTAINED IN THIS BAA.

SIGNATURE _____ DATE _____

PROTECTION OF PROPRIETARY INFORMATION DURING EVALUATION AND AFTER AWARD

It is our policy to treat all research proposals as privileged information prior to award and to disclose the proposal contents only for evaluation purposes. Technical evaluation of these proposals normally are made by highly qualified scientists from the Government and leading scientists and other preeminent experts outside the Government to ascertain their merits. If you wish, you may restrict the evaluation of your proposal to only scientists within the Government. To do so may prevent it from receiving an evaluation by those most qualified to evaluate it. Therefore, we ask permission to send your proposal outside the Government, if necessary, to obtain an unrestricted evaluation.

All reviewers are made aware that proposals sent to them for evaluation shall not be duplicated, used, or disclosed in whole or in part for any other purpose without the written permission of the offeror.

You should be aware that despite all precautions, we can protect the confidentiality of proprietary information contained in proposals only to the extent that it is exempt from disclosure under the Freedom of Information Act (FOIA; 5 U.S.C. 552). Generally, Exemption 4 of the FOIA [5 U.S.C. 552(b)(4)] will protect from release information submitted to the Government that constitutes either (1) a trade secret or (2) commercial or financial information which is privileged or confidential. Any such proprietary information contained in your proposal should be marked in accordance with FAR 15.608.
.
Please complete the following statement indicating your proposal treatment preference during the evaluation phase and, should an award be made afterwards.

STATEMENT OF DISCLOSURE PREFERENCE

_____ in submitting proposal titled _____
(Organization)

_____ with _____
(Name)

as Principal Investigator/Project Director requires the following procedure be used during its evaluation:

( ) Permission is hereby granted to evaluate this proposal in accordance with its normal procedures which may include evaluation by reviewers both within and outside the Government.

( ) Restrict the evaluation of the above proposal to Government reviewers only.

To reduce administrative requirements, you may complete the following information by checking the appropriate blocks:

If this proposal results in a contract or grant, the offeror grants the authority to release the following portion of its proposal in response to requests under the Freedom of Information Act, only after such award, without prior contact with the offeror.

Cover Page	☐ Yes	☐ No	Statement of Work	☐ Yes	☐ No
Project Abstract	☐ Yes	☐ No	Biographical Sketch	☐ Yes	☐ No
Technical Proposal	☐ Yes	☐ No	Cost Proposal/Budget	☐ Yes	☐ No
Current & Pending Support	☐ Yes	☐ No	Bibliography	☐ Yes	☐ No

_____ _____
Date Signature of person authorized to sign for organization

_____ _____
Date Signature of Principal Investigator/Project Director

USE THIS FORM FOR EDUCATIONAL INSTITUTIONS AND NON-PROFIT ORGANIZATIONS

PROTECTION OF PROPRIETARY INFORMATION DURING EVALUATION AND AFTER AWARD

It is our policy to treat all research proposals as privileged information prior to award and to disclose the proposal contents only for evaluation purposes. Technical evaluation of these proposals normally are made by highly qualified scientists from the Government and leading scientists and other preeminent experts outside the Government to ascertain their merits. If you wish, you may restrict the evaluation of your proposal to only scientists within the Government. To do so may prevent it from receiving an evaluation by those most qualified to evaluate it. Therefore, we ask permission to send your proposal outside the Government, if necessary, to obtain an unrestricted evaluation.

All reviewers are made aware that proposals sent to them for evaluation shall not be duplicated, used, or disclosed in whole or in part for any other purpose without the written permission of the offeror.

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Please complete the following statement indicating your proposal treatment preference during the evaluation phase and, should a contract be awarded, afterwards.

STATEMENT OF DISCLOSURE PREFERENCE

_____ in submitting proposal titled _____
(Organization) with

_____ _____
(Name)

as Principal Investigator/Project Director requires the following procedure be used during its evaluation:

( ) Permission is hereby granted to evaluate this proposal in accordance with its normal procedures which may include evaluation by reviewers both within and outside the Government. Written contract not to disclose the information contained therein shall be obtained from any nongovernment evaluators. Permission to release outside the Government, for evaluation purposes only, those pages of the proposal marked in accordance with FAR 15.608 is hereby granted, except for the following pages or sections:

_____

_____

( ) Restrict the evaluation of the above proposal to Government reviewers only.

To reduce administrative requirements, you may complete the following information by checking the appropriate blocks:

If this proposal results in a contract, the offeror grants the authority to release the following portion of its proposal in response to requests under the Freedom of Information Act, only after such award, without prior contact with the offeror.

Cover Page	☐ Yes	☐ No	Statement of Work	☐ Yes	☐ No
Project Abstract	☐ Yes	☐ No	Biographical Sketch	☐ Yes	☐ No
Technical Proposal	☐ Yes	☐ No	Cost Proposal/Budget	☐ Yes	☐ No
Current & Pending Support	☐ Yes	☐ No	Bibliography	☐ Yes	☐ No

_____ _____
Date Signature of person authorized to sign for organization

_____ _____
Date Signature of Principal Investigator/Project Director

USE THIS FORM FOR INDUSTRIAL CONTRACTORS'

SUGGESTED PROPOSAL
TABLE OF CONTENTS

	SECTION/PAGE NUMBER
Proposal Cover Page	A-1
Statement of Disclosure Preference	B-1
Project Abstract	C-1
Project Description (Technical/ Management Proposal)	D-1
Biographical Sketch	E-1
Bibliography	F-1
Current and Pending Support	G-1
Facilities, Equipment, and Other Resources	H-1
Proposal Budget	I-1
Contract Facilities Capital Cost of Money (DD Form 1861)	J-1
Appendices List Appendix Items: _____ _____ _____	K-1

CONTRACT FACILITIES CAPITAL COST OF MONEY

Form Approved
OMB No. 0704-0267
Expires Feb 28, 1993

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RETURN COMPLETED FORM TO YOUR CONTRACTING OFFICIAL

1. CONTRACTOR NAME	**2. CONTRACTOR ADDRESS**
3. BUSINESS UNIT	
4. RFP/CONTRACT PIIN NUMBER	**5. PERFORMANCE PERIOD**

6. DISTRIBUTION OF FACILITIES CAPITAL COST OF MONEY

POOL	ALLOCATION BASE	FACILITIES CAPITAL COST OF MONEY	
		FACTOR	AMOUNT
TOTAL			
TREASURY RATE			%
FACILITIES CAPITAL EMPLOYED (TOTAL DIVIDED BY TREASURY RATE)			

7. DISTRIBUTION OF FACILITIES CAPITAL EMPLOYED

	PERCENTAGE	AMOUNT
LAND	%	
BUILDINGS	%	
EQUIPMENT	%	
FACILITIES CAPITAL EMPLOYED	100%	