United States (U.S.) Army,
Command, Control, Computers, Communications, Cyber, Intelligence, Surveillance and Reconnaissance Center (C5ISR) Center

Research and Technology Integration (RTI) Directorate

Fort Belvoir, VA
and
Aberdeen Proving Ground (APG), MD

BROAD AGENCY ANNOUNCEMENT (BAA)

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1 INTRODUCTION

The Broad Agency Announcement (BAA), solicitation number W56KGU-23-R-RTID, is sponsored by the U.S. Army, Command, Control, Computers, Communications, Cyber, Intelligence, Surveillance and Reconnaissance Center (C5ISR) Center, Research & Technology Integration (RTI) Directorate. This BAA will be open for five (5) years from the date of original issue and will be valid through 01 November 2027, unless terminated sooner.

The mission of the RTI Directorate is to develop and integrate command, control, communications, computers, cyber, intelligence, surveillance, and reconnaissance technologies that enable information dominance and decisive lethality for the networked Soldiers. The RTI Directorate provides the U.S. Army with secure communications and networking technologies through research and development (R&D) innovations. This BAA invites industry to submit innovative science and technology (S&T) proposals that address the technical portfolio areas of the RTI Directorate: (1) Soldier & Platform Mission Equipment, (2) Spectrum Dominance & Intelligence, and (3) Advanced Technology.

(a) GENERAL INFORMATION

Multiple awards are anticipated under this BAA. The level of funding for individual awards made under this BAA will depend on the quality of the White Papers received and the availability of funds. RTI Directorate is under no obligation to make any awards. RTI Directorate reserves the right to fund all, some, or none of the proposals received under this BAA. The Government will not reimburse for proposal development costs. Technical and cost proposals (or any other material) submitted in response to this BAA will not be returned.

This BAA utilizes full and open competitive procedures in accordance with 10 USC 3012(2) for the selection for award of science and technology (S&T) proposals, implemented by Defense Federal Acquisition Regulation Supplement (DFARS) 206.102(d). Pursuant to DFARS 235.016 and DoD Financial Management Regulation DoD 7000.14-R at Volume 2B Chapter 5, S&T includes RDT&E Budget Activities 6.1 for Basic Research, 6.2 for Applied Research, 6.3 for Advanced Technology Development, and 6.4 for Advanced Component Development and Prototypes, defined as follows:

<u>Basic Research</u>: A systematic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications towards processes or products in mind.

<u>Applied Research</u>: A systematic study to gain knowledge or understanding necessary to determine the means by which a recognized and specific need may be met. It is a systematic application of knowledge toward the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements.

<u>Advanced Technology Development</u>: Includes all efforts that have moved into the development and integration of hardware for field experiments and tests. The results of this type of effort are proof of technological feasibility and assessment of operability and producibility rather than the development of hardware for service use.

<u>Advanced Component Development and Prototypes</u>: The demonstration and validation (Dem/Val) phase includes all efforts necessary to evaluate integrated technologies in as realistic an operating environment as possible to assess the performance or cost reduction potential of advanced technology.

This BAA is not for the acquisition of technical, engineering, and other types of support services. The Government will not evaluate any white papers or proposals submitted for efforts outside the scope of the BAA.

Potential awards from this BAA may take the form of FAR-based and non-FAR based instruments, as appropriate. The following provides brief descriptions of potential instrument types:

(1) Procurement Contracts:

Procurement contracts will be issued under the provisions of FAR 6.102(d)(2)(i), FAR Parts 35.016, DFARS 206.102(d)(2), and DFARS 235.016, which provides for the competitive selection of S&T proposals submitted in response to this announcement. FAR 35.016 provides for the issuance of a BAA as a means of soliciting proposals for basic research, applied research and the portion of development that is not related to the development of a specific system or hardware (HW) procurement. DFARS 235.016(a) provides for award of S&T for basic research, applied research, advanced technology development, and advanced component development and prototypes. To be eligible for consideration and possible contract award, the technology or methodology shall be one of the aforementioned classifications and not for a specific system/HW, or demonstration and validation. This BAA will be used by the RTI Directorate to fulfill requirements for scientific study and experimentation directed toward advancing the state-of-the-art or increasing knowledge or understanding rather than focusing on a specific system or HW solution; however, this BAA shall only be used when meaningful proposals with varying technical/scientific approaches can be anticipated.

(2) Other Transaction Agreement (OTA) – Prototype:

The OTA authorities were created to give DoD the flexibility necessary to adopt and incorporate business practices that reflect commercial industry standards and best practices into its award instruments. When leveraged appropriately, OTAs provide the Government with access to state-of-the-art technology solutions from traditional and non-traditional defense contractors (NDC)s, through a multitude of potential teaming arrangements tailored to the particular project and the needs of the participants.

The award of an OTA shall be for the development of prototypes in accordance with (IAW) 10 U.S.C. Section 4022 (formerly numbered as Section 4022). The resultant award of any OTA using the procedures of this BAA are NOT made or issued under the provisions of the Competition in Contracting Act of 1984 (P.L. 98-369, codified at 10 U.S.C. §3201), FAR Part 6 or any other FAR or DFARS based regulation. However, solely as a matter of convenience to meet the requirement for maximum practicable competition, the mechanics of the competitive BAA process detailed in this BAA otherwise not applicable to OTAs are, as supplemented herein, adopted as the competitive procedure for entering into OTAs.

<u>Prototype OTAs</u>: Prototype OTAs (sometimes referred to as 4022 “prototype project” OTAs) are authorized under 10 U.S.C. §40224022 to carry out prototype projects 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 to improvement of platforms, systems, components, or materials in use by the armed forces. As such, any resulting OTA awards are acquisition instruments since the Government is acquiring something for its direct benefit. Terms such as “support or

stimulate" are assistance terms and are not appropriate in OTAs for prototype projects.

A prototype project can generally be described as a preliminary pilot, test, evaluation, demonstration, or agile development activity used to evaluate the technical or manufacturing feasibility or military utility of a particular technology, process, concept, end item, effect, or other discrete feature. Prototype projects may include systems, subsystems, components, materials, methodology, technology, or processes. By way of illustration, a prototype project may involve: a proof of concept; a pilot; a novel application of commercial technologies for defense purposes; a creation, design, development, demonstration of technical or operational utility; or combinations of the foregoing, related to a prototype. The quantity should generally be limited to that needed to prove technical or manufacturing feasibility or evaluate military utility.

Follow-On Activities: Following successful completion of the prototype project and subject to the availability of funds, the Government anticipates transition from the successful completion of this prototype project to a follow-on production/sole source FAR-based contract, Other Transaction Agreement, or modification to these awarded Agreements. Follow-on production activities are anticipated and may include issues such as life cycle costs, logistics products, sustainment, test and evaluation, Intellectual Property (IP) requirements, and future competition. Any follow-on activities after successful completion of the initial prototype project will be negotiated prior to award and made in accordance with the authority provided at 10 U.S. Code § 4022.

Compliance requirements for OTA award: In order to be compliant with 10 U.S.C. §4022, the Offeror must ensure the following:

(i) The proposed effort includes a prototype per the statute and the transaction will: "carry out prototype projects 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 to improvement of platforms, systems, components, or materials in use by the armed forces;" and

(ii) There is at least one NDC or non-profit research institution participating to a significant extent in the prototype project; or

(iii) All significant participants in the transaction other than the Federal Government are small businesses [including those participating in the Small Business Innovation Research (SBIR) or Small Business Technology Transfer (STTR) programs] or NDCs; or

(iv) At least one-third of the total cost of the prototype project is to be paid out of funds provided by parties other than the Federal Government; or

(v) The Senior Procurement Executive (SPE) 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 FAR-based contract, or would provide an opportunity to expand the defense supply base in a manner that would not be practical or feasible under a contract.

(b) BAA ELEMENTS AND OVERVIEW

This BAA is a hybrid approach, combining elements of an open, two-step process with calls for white papers. The BAA offers the maximum flexibility to the RTI Directorate and opportunities for respondents. Step-One will be the evaluation of the Offeror's white paper submission. Step-Two will be a request to submit a formal proposal for selected white papers that are found to be consistent with the intent of the BAA and which are of interest to the RTI Directorate.

This announcement is general in nature, identifies the areas of research interest, includes criteria for submitting and evaluating white papers, and solicits the participation of all Offerors capable of satisfying the needs of the RTI Directorate. Use of this BAA process demonstrates the Government's use of competitive practices to the maximum extent practicable in relation to 10 U.S.C. §4022 prototype transactions. In relation to FAR-based procurement contracts, this BAA process complies with the competition requirements of FAR Part 6.102(d)(2) that are required in keeping with the Competition in Contracting Act P.L. 98-369. Resulting agreements may be in the form of contracts or OTA depending upon the specifics of the effort, such as extent of the Government involvement, actual scope of work, and cost.

The BAA allows for white paper submittals at any time until the expiration of this BAA. The Government reserves the right to not evaluate a white paper submitted for topics other than the ones identified in this BAA, and if the topic is not related to any area of this BAA. White papers and proposals will be evaluated according to the instruction described herein.

(1) Open: This BAA allows for white paper submittals at any time within a specified period of this solicitation. White papers and proposals (proposals by invitation only) are reviewed when received during the period that the BAA is open and evaluated IAW criteria and procedures established within this announcement.

(2) Two-Step Selection Approach: This BAA will use a two-step process to solicit offers and select offeror(s) for award. Step-One of the process is potential offerors submit descriptive white papers in lieu of full proposals. If necessary, the RTI Directorate may request for technological demonstration of the white paper proposal which shall be at no-cost to the Government. This will preclude unwarranted efforts on the part of an Offeror whose proposed white paper is found to be of no interest to the RTI Directorate. Based on the white paper evaluation defined in this BAA, the Government will make a decision to **SELECT or NOT SELECT** the Offeror(s) to proceed to Step-Two which is a full proposal submission for evaluation.

At Step-Two of the process, the Government will request the Offeror(s) whose white paper(s) were selected during Step-One to submit full proposals IAW instructions provided within the BAA. The Government will evaluate and select the proposal(s) for award according to the procedures described herein. Not all requested proposals will result in an award.

(3) White Paper Calls: While this BAA will remain open, allowing for white paper submission at any time, the Government will also issue requests transmitted via "Calls," to the Government-wide point of entry (GPE), via https://www.SAM.gov, bringing attention to one or more areas of interest requesting potential Offerors to submit a white paper. The "calls" may further define the technology, RTI Directorate needs, etc. or will simply request a white paper for a specific topic. White papers submitted in response to the white paper calls shall be submitted under this BAA following the instructions contained in this BAA, and specific terms specified in the individual calls. Submissions will be evaluated in accordance with the criteria set forth

in this BAA. Interested parties are encouraged to periodically check sam.gov for new white paper calls. As necessary, calls will specify required submission dates and times for the particular calls. Late submissions will be subject to provisions and requirements included in the applicable calls.

(4) White papers may be submitted at any time during the life of this BAA, as well as in direct response to a call. The Government may award a contract at any time during the life of this BAA. An award may also be made after the BAA expiration date if the white paper is received before the expiration date occurs. This award may occur no later than six (6) months after the BAA expiration date. Offerors that submit a proposal without first submitting a white paper may not be eligible for award.

(5) The Government encourages U.S.-based industry, educational institutions, small businesses, small disadvantaged business concerns, historically black colleges and universities, and minority business enterprises and institutions interested in conducting scientific research to submit white papers. Eligible prospective Offerors also include Canadian firms participating in the Defense Development Sharing Program.

(6) The Government will consider Contractor Teaming Arrangements, as set forth in FAR Subpart 9.6, or Defense R&D Pools as set forth in FAR Subpart 9.7.

(7) The Offeror, by submission of an offer or execution of a contract in response to this solicitation, certifies that the Offeror is not debarred, suspended, declared ineligible for award of public contracts, or proposed for debarment pursuant to FAR 9.406-2. If the Offeror cannot certify, or if the status of the Offeror changes prior to award, the Offeror must provide detailed information as to its current status.

(8) This BAA is an expression of interest only and does not commit the Government to make an award or pay for white paper or proposal preparation costs generated in response to this announcement. The cost of white paper and proposal preparation for response to a BAA is not considered an allowable direct charge to any resultant contract or any other contract. Any award will be made subject to availability of appropriated funds. The prospective Offeror is reminded that only a duly warranted Contracting Officer (KO) or Agreements Officer (AO), from the Army Contracting Command (ACC), may obligate the Government to an agreement involving expenditure of Government funds. The Government reserves the right to fund all, some, one, or none of the white papers or proposals received under this BAA.

(9) This BAA may be amended to add new topics at any time. Interested parties should be alert for any BAA amendments that may be published at the GPE at https://www.SAM.gov.

(c) OTHER INFORMATION

(1) Technology and Program Protection to Maintain Technological Advantage

In accordance with DoD Instruction 5000.83, Technology and Program Protection to Maintain Technological Advantage, dated July 20, 2020, and as a means to counter the threat from strategic competitor nations, the DoD will employ risk-based measures to protect systems and technologies from adversarial exploitation and compromise of U.S. military vulnerabilities and weaknesses in: (1) systems, (2) components, (3) software, (4) hardware, and (5) supply chains. The initial measure being implemented for the program is to require prime contract awardees and their subcontractors to self-report and disclose foreign investment in,

ownership of, or influence over U.S. entities, including subsidiaries and joint ventures. Reporting and disclosing such information will enable the DoD to identify national security risks posed by foreign participation, through investment, ownership, or influence, in the defense industrial base. This information will be used by DoD program offices to determine risks posed by contract awardees and their subcontractors to the DoD and the defense industrial base.

(2) Export Control Requirements

Any research conducted on or resulting from contracts awarded from this BAA must comply with United States Laws and regulations implementing the Arms Export Control Act, including the International Traffic in Arms Regulations ("ITAR" at 22 C.F.R. 120-130) and the Export Administration Regulations ("EAR" at 15 C.F.R. 730-774) under the Export Administration Act. Agency approval is required prior to any non-U.S. citizen performing on contract.

The BAA topics may cover export-controlled technologies. Research in these areas is limited to "U.S. persons" as defined in the ITAR.

All topics require the lead Principal Investigator (PI) and/or Program Manager (PM) of entities submitting a proposal under this program to hold U.S. citizenship. Approval is required from the RTI Directorate for any non-U.S. citizen to perform on RTI Directorate's research contracts.

(3) Place of performance: The resultant contract/OTA will list the Place of Performance. Place of performance may be at the contractor's and subcontractor's facilities.

(4) The resultant contract/OTA may require meetings at a Government facility. Contractor may be required to travel to Aberdeen Proving Ground, MD and/or Ft. Belvoir, VA for meetings or demonstrations as necessary and upon approval from the appointed Contracting Officer's Representative (COR) or other Government designee.

(5) Period of Performance: The resultant contract/OTA will list the required period of performance.

(6) The submission of white paper is unclassified, however, resultant contract/OTA may require different security classification level. The Government will provide the security classification of the resultant contract/OTA at the proposal stage.

(7) Controlled Unclassified Information (CUI): Refer to DoDI 5200.48: Controlled Unclassified Information (CUI), available at https://www.esd.whs.mil/directives/issuances/dodi/, when considering protection for CUI. DoD contracts shall require contractors to report the potential classification of aggregated or compiled CUI to a DoD representative.

New employees must be CUI trained within 30 calendar days of their reporting for duty and annually thereafter. Current employees must also take this training. CUI training site can be found at https://securityhub.usalearning.gov/index.html Completed certificates will be sent to the COR for tracking purposes.

(8) Access to Controlled Unclassified Information (CUI):

(i) For the sole purpose of performing work required under the resultant contract/OTA,

the contracting/agreements officer may grant the contractor - including contractor employees, subcontractors, and subcontractor employees - access to CUI.

(ii) CUI:

(A) Is any information which the loss, misuse, or modification of, or unauthorized access to, could adversely affect the national interest or the conduct of Federal programs or the privacy to which individuals are entitled under section 552a of title 5, United States Code (the Privacy Act), but which has not been specifically authorized under criteria established by an Executive Order or an Act of Congress to be kept secret in the interest of national defense or foreign policy.

(B) Is not available to the general public.

(C) May include:

(1) Government acquisition-sensitive information, including source selection information as defined at section 2.101 of the Federal Acquisition Regulation (48 CFR chapter 1); contractor bid or proposal information.

(2) Information contained in individual contracts that is not public information and such contract information that is contained in Government databases; proprietary economic, financial, or business information (e.g., salary information) or provided to the Government by other parties (e.g., other contractors).

(3) Personally identifiable information (PII) that includes, but is not limited to social security numbers, names, dates of birth, places of birth, parents' names, credit card numbers, applications for entitlements, and information relating to a person's private financial, income, employment, and tax records.

(4) May exist in various physical media (e.g., paper, electronic file, audio or video disc) or be transmitted orally, may be developed under or pre-exist any related contract, and may be in its original form or a derivative form (i.e., where the information has been included in contractor-generated work, or where it is discernible from materials incorporating or based upon such information).

(iii) The Contractor shall include this paragraph in all subcontracts.

(iv) The Contractor's failure to comply with any part of this paragraph or with the terms of the required non-disclosure agreements may result in the termination of an awarded contract for default.

(9) In order to facilitate meaningful information exchanges that could contain unclassified technical data disclosing military critical technology with military or space application that is under the control or in the possession of the U.S. DoD, please submit via e-mail an approved DD Form 2345, Military Critical Technical Data Agreement (Reference https://www.dla.mil/Logistics-Operations/Services/JCP/) for information regarding this program and form) to jcp-admin@dla.mil. If your company or institution does not have a certified DD 2345, complete, sign and submit a DD Form 2345 as noted on the form and website. RTI Directorate does not certify the DD Form 2345.

(10) Contractor shall have access to Army Regulations. AR identified herein and the resultant

award may be accessed via https://armypubs.army.mil/default.aspx.

(11) After award of contract/OTA, the contractor can go to the following website for Defense Technical Information Center (DTIC) and register for Scientific and Technical Information Services. All contractors should have access to DTIC. https://www.dtic.mil

(12) After award, the contractor shall coordinate OPSEC training requirements with the Government OPSEC Officers and comply with the government's OPSEC Plan provided under separate cover. The contractor shall allow new contractor employees the time required to complete Level 1 OPSEC Awareness training. Initial and annual Level 1 OPSEC Awareness training shall be tracked by the Facility Security Officer and provided to the Contracting Officer's Representative. Contractors working OCONUS under C5ISR Center contracts will receive Level 1 OPSEC Awareness training as directed or at the discretion of the appropriate military commander in theater.

(13) Per AR 530-1 Operations Security, the contractor employees must complete Level I OPSEC Awareness training. New employees must be trained within 30 calendar days of their reporting for duty and annually thereafter. Level I OPSEC training is available at the following website: http://cdse.edu/catalog/elearning/GS130.html (Duration: 45 minutes). The Contracting company shall be required to initiate and maintain copies of the completed OPSEC training, while also proving the COR a copy of said training.

(14) All contractors/subcontractors supporting the resultant contract/OTA issued under this BAA must be U.S. citizens.

(15) Visit Request to RTI Directorate Facilities:

(i) All classified visit requests (VRs) for RTI Directorate shall be processed through DISS, Scattered Castles, or M3.

(ii) Unclassified visits to the C5ISR campus located at Aberdeen Proving Ground (APG) shall require a completed "C5ISR Visit Request Form," (CECOM Form 5207-E, AUG 14), which is attached or provided under separate cover in the resultant contract/OTA. The C5ISR form shall be submitted to the POC for approval and signature. ALL visit requests must be submitted three business days prior to expected time of arrival.

(iii) For unclassified visits to the 300-Area Compound at Fort Belvoir, the visitor shall notify the POC three business days prior to the expected visit. The visitor shall provide the POC with the first and last name, citizenship information, and company association. Detail instructions for accessing the facility will be provided by the POC prior to the visit.

(16) Training**:** Required security training will be specified in the resultant contract/OTA. All training indicated within the resultant contract/OTA shall be completed as directed and submitted to the COR or designated Government personnel for tracking.

(17) Facility Security Officer (FSO) shall receive a copy of the resultant contract/OTA for use through the life of the contract or OTA. The resultant contract/OTA will have additional security guidance to assist the FSO.

(18) Access and general protection/security policy and procedures. Contractor and all associated

subcontractor employees shall provide required information for background checks to meet installation access requirements which is accomplished by the installation Provost Marshal Office, Director of Emergency Services or Security Office. Contractor workforce must comply with all personal identity verification requirements (FAR clause 52.204-9, Personal Identity Verification of Contractor Personnel) as directed by DoD, HQDA and/or local policy. In addition to the changes otherwise authorized by the changes clause of this contract, should the Force Protection Condition (FPCON) at any individual facility or installation change, the Government may require changes in contractor security matters or processes.

(19) After award, for contractors that do not require Common Access Card but require access to a DoD facility or installation. Contractor and all associated subcontractor employees shall comply with adjudication standards and procedures using the National Crime Information Center Interstate Identification Index (NCIC-III) and Terrorist Screening Database (TSDB) (Army Directive 2014-05/AR 190-13), applicable installation, facility and area commander installation/facility access and local security policies and procedures (provided by government representative), or, at OCONUS locations, in accordance with status of forces agreements and other theater regulations.

(20) i WATCH Training. After award, the contractor and all associated subcontractors shall brief all employees on the local iWATCH program (contact the Anti-Terrorism Officer (ATO) officer at the requiring activity for training). This locally developed training shall be used to inform employees of the types of behavior to watch for and instruct employees on how to report suspicious activity to the COR. This training shall be completed within 30 calendar days of contract award and within 30 calendar days of new employees commencing performance with the results reported to the COR NLT 30 calendar days after contract award. iWATCH training modules are provided by the Army for Contractor companies to use and can be found via the following link:

https://www.bing.com/ck/a?!&&p=7e195e3bc74d88c2JmltdHM9MTY2MDAwMzIwMCZpZ3VpZD0wM2Y0YWNiZS01MDgyLTY3YzYtMGJlYi1iZDQ1NTE5MDY2NjEmaW5zaWQ9NTE4Mg&ptn=3&hsh=3&fclid=03f4acbe-5082-67c6-0beb-bd4551906661&u=a1aHR0cHM6Ly9pbWcxLndzaW1nLmNvbS9ibG9iYnkvZ28vY2ViNDkwM2UtYWU2OC00NzgwLWJmZDMtODFkYzc2NGRkMjYxL2Rvd25sb2Fkcy9BdHRhY2htZW50JTJCTSUyQi0lMkJpV0FUQ0glMkJUcmFpbmluZyUyQmZvciUyQkNvbnRyYWN0b3JzLnBkZj92ZXI9MTYzNzc3MjAwNTYzMA&ntb=1

(21) Critical Program Information (CPI) / Controlled Technical Information (CTI) is defined as information/technologies resident in a particular system or program which, if divulged to unauthorized persons, would likely result in a reduction of a critical U.S. military technological advantage. CPI/CTI may be identified by the Government during a contracted effort and if identified must be protected by the Contractor. Guidance regarding the protection of information can be found IAW: DODI 5200.48, AR 70-77, DODI 5000.83, NIST SP 800-171, and local policy. The aforementioned regulations will establish procedures on how to identify CPI/CTI as well as stipulate for the protection of CPI/CTI.

(d) POINTS OF CONTACTS (POC)

(1) All submissions (white papers and proposals), technical questions, or clarifications shall be submitted via e-mail to RTI BAA mailbox with the Contracting Officer (KO)/Agreements Officer (AO), and Contract Specialist (KS) included on the carbon copy (CC) line. The subject line of the e-mail should reference the BAA Number. For the purposes of this BAA,

references to the KO shall also contemplate the person serving as the Agreements Officer (AO) for OT prototype agreements.

No discussions by the technical staff are to be held with Offeror after proposal submission without PRIOR authorization from the KO/AO.

RTI BAA Mailbox	usarmy.apg.devcom-c5isr.mbx.rti-baa@army.mil
Contracting Officer/Agreements Officer	Nina Bushnell, nina.a.bushnell.civ@army.mil

(2) Contractual questions shall be directed to the KO/AO identified for this BAA, with CC to the RTI BAA email.

2 SCOPE AND RESEARCH TOPICS

(a) SCOPE:

The general scope of this BAA is to invite industry to submit innovative S&T proposals to advance technologies in the portfolio areas of: (1) Soldier & Platform Mission Equipment, (2) Spectrum Dominance & Intelligence, and (3) Advanced Technology.

This section of the BAA contains statements of the research interests required by the RTI Directorate. Prior to white paper submission, potential offerors are encouraged to direct any questions on technical matters and availability of project funding relating to a particular research interest to the RTI Directorate BAA mailbox at usarmy.apg.devcom-c5isr.mbx.rti-baa@army.mil.

If development in certain topic areas requires the interaction of several investigators from interdisciplinary areas, white papers and proposals for comprehensive research programs will be considered. Only a limited number of such large programs can be initiated under this BAA. Inquiries related to comprehensive and interdisciplinary programs within the mission area of this directorate should be addressed to the RTI Directorate BAA mailbox.

If development in certain topic areas requires the demonstration of technology, white papers and proposals for comprehensive research programs shall include the delivery of the applicable prototype to the Government. Proposals may range from theoretical studies to proof-of-concept, to include fabrication and delivery of a prototype.

NOTE: When responding/inquiring on a specific area of research, refer to the Topic Number listed on the following appropriate pages and indicate if submission is seeking a Procurement Contract or an OTA Prototype.

(b) RESEARCH TOPICS:

Please see Attachment 01 of the BAA for the list of the RTI Directorate's Research Topics. Attachment 01 is a controlled document. To gain access to Attachment 01, your company/entity must be certified by the Joint Certification Program (JCP). Your entity/company's Data Custodian requester (designated) on block 3A of the DD Form 2345 is the only authorized individual that can download the controlled attachment. Your entity/company is responsible for the protection of the controlled document after the download.

If your entity/company is not pre-certified by the JCP, you will need to apply for certification by completing a DD Form 2345 and emailing it to jcp-admin@dla.mil. Detailed information regarding the JCP application procedures are available at the JCP website at https://www.dla.mil/Logistics-Operations/Services/JCP/. The RTI Directorate will not review the JCP application or issue the JCP certification. Please direct any questions regarding the JCP certification process to jcp-admin@dla.mil.

3 WHITE PAPER AND PROPOSAL INFORMATION

(a) GENERAL WHITE PAPER AND PROPOSAL INFORMATION

(1) Eligible Requirement Procurement Contracts

(i) The RTI Directorate will determine the primary basis for funding selection IAW FAR 35.016, “Broad Agency Announcement”, by evaluation of technical merit/challenge, importance to mission/agency programs, and funds availability. Cost realism and reasonableness shall also be considered to the extent appropriate. Therefore, those contemplating submission of a white paper are highly encouraged to contact the BAA POC listed within to determine the level of interest to pursue the intended R&D effort and if funding may be available. This process is designed to limit potential Offerors and Government expenditure of efforts and resources to prepare and review white papers (and eventually proposals) for projects that may have little or no opportunity to be funded.

(ii) To be eligible for award of a FAR-based procurement contract, all prospective Offerors must meet certain minimum standards pertaining to financial resources, adequacy of accounting systems, ability to comply with performance schedules, prior record of past performance, integrity, organizational structure, experience, operational controls, technical skills, facilities and equipment. For additional information and guidance concerning qualifications and standards for responsibility of prospective Contractors, please refer to FAR Part 9.

(iii) There are certain post-employment restrictions on former federal officers and employees (for example, 18 U.S.C. 207, 41 U.S.C. 2104, Section 847 of NDAA FY 2008, as amended). If a prospective Offeror believes a potential conflict of interest may exist, the situation must be brought to the attention of the KO before expending time and effort in white paper or proposal preparation.

(iv) All proprietary data must bear an appropriate restrictive legend in accordance with DFARS Clause 252.204-7012(a) and (h). Any material shall comply with FAR 52.204-2, “Security Requirements”, which provides instruction involving information classified “Confidential,” “Secret,” or “Top Secret” and requires one to comply with The Security Agreement (DD Form 441), including the National Industrial Security Program Operating Manual 32 C.F.R. Part 117.

(v) Proposals from Canadian companies submitted under the auspices of the United States-Canada Defense Development Sharing Program (DDSP) will be evaluated using criteria cited herein the BAA, and processed IAW DFARS 225.870.

(vi) Offerors that include data in their white papers or proposals which they do not want disclosed to the public for any purpose, or used by the Government except for evaluation purposes, shall be specifically identified in the summary white paper or proposal and marked IAW FAR 52.215-1.

(vii) If an Offeror’s white paper or proposal is determined to require access to, or require the generation of, classified information, appropriate security clearances will be required of the Offeror and a DD Form 254 will be generated. Any classified materials submitted must be identified, marked, and packaged IAW the Industrial Security

Manual. Proposals and material containing proprietary data should be marked "CONTROLLED UNCLASSIFIED INFORMATION".

(2) OTAs - Prototype

(i) This Announcement is intended to solicit white papers for the RTI Directorate for the development of prototypes IAW 10 U.S.C. §4022.

(ii) To be eligible for award of an OTA Prototype, all prospective Offerors, must meet one of the following conditions:

(A) There is at least one non-traditional defense contractor or nonprofit research institution participating to a significant extent in the prototype project; or

(B) All significant participants in the transaction, other than the Federal Government, are small businesses (including small businesses participating in a program described under section 9 of the Small Business Act (15 U.S.C. 638)) or non-traditional defense contractors; or

(C) At least one-third of the total cost of the prototype project is to be paid out of funds provided by sources other than the Federal Government; or

(D) 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 contract or would provide an opportunity to expand the defense supply base in a manner that would not be practical or feasible under a contract.

(iii) There are certain post-employment restrictions on former federal officers and employees (for example, 18 U.S.C. 207, 41 U.S.C. 2104, Section 847 of NDAA FY 2008, as amended). If a submitter believes a post-employment restriction or conflict of interest exists, notification should be sent to the Agreements Officer prior to initiating efforts on a full proposal.

(iv) The Freedom of Information Act (FOIA), 5 U.S.C. 552, provides a statutory basis for public access to official U.S. Government records. "Records" are defined to include documentation received by the U.S. Government in connection with the transaction of public business. Certain types of information submitted to the Government in a process having the potential for award of an OTA are exempt from disclosure requirements of FOIA for a period of five years from the date the Government receives the information. The types of information listed above may continue to be exempted, in whole or in part, from disclosure after the expiration of the five-year period if it falls within an exemption to the FOIA such as trade secrets and commercial or financial information obtained from a person and privileged or confidential. Offerors should mark business plans and technical information that are to be protected for five years from FOIA disclosure with a legend identifying the documents as being submitted on a confidential basis.

(v) Only a warranted Agreements Officer may obligate the U.S. Government to the expenditure of funds for awards under this Announcement. The U.S. Government

does not fund preparation of proposals or support work efforts or tasks that are inferred from discussions with technical project officers.

(vi) The Offeror will not be reimbursed for any costs incurred prior to the effective date of an agreement.

(vii) The Government is prohibited from soliciting and awarding actions to contractors that have engaged or are suspected to have engaged in criminal, fraudulent, or seriously improper conduct.

(viii) Prospective contractors shall complete electronic annual representations and certifications at SAM.gov as described in this BAA.

(ix) Pursuant to 10 U.S.C. §4022, the Government may pursue production of any prototype successfully developed under an Agreement through a follow-on contract or transaction with the participants of the awarded Agreement.

(3) Those contemplating submission of a white paper are highly encouraged to email the RTI Directorate BAA mailbox to determine the level of interest to pursue the intended effort and if funding may be available. This process is designed to limit potential Offerors and Government expenditure of efforts and resources to prepare and review white papers (and eventually proposals) for projects that may have little or no opportunity to be funded.

(4) If an Offeror's white paper or proposal is determined to require access to, or require the generation of, classified information, appropriate security clearances will be required of the Offeror and a DD Form 254 will be generated. Any classified materials submitted must be identified, marked, and packaged IAW the Industrial Security Manual. Proposals and material containing proprietary data should be marked "CONTROLLED UNCLASSIFIED INFORMATION"

(5) In addition to the evaluation factors identified herein, white papers and/or proposal preparation and submission requirements will also be considered during the Government's evaluation procedures.

(b) WHITE PAPER PREPARATION, SUBMISSION, AND EVALUATION

(1) Preparation

Each white paper shall address <u>only one</u> of the topics listed in Research Topics (Attachment 01) of this BAA. There is no limit on the number of white papers an Offeror may submit in response to this BAA. In preparing white papers, it is important that the Offeror keep the focus on scientific study and experimentation directed toward advancing the state-of-the-art or increasing knowledge or understanding. White paper submissions should include all the information specified in this announcement in order to avoid delays in evaluation. Offerors are advised that the quality of the information presented in the white paper is significantly more important than the quantity.

(i) <u>Format</u>: White papers shall be electronically submitted, shall not exceed 15 pages in length (single sided, single spaced, with 12-size font) unless specified differently in a call for white papers, and shall state the topic number under which they are being submitted. The 15-page limitation does not include the Rough-Order-of- Magnitude

(ROM).

(ii) White Paper Structure and Contents: A complete white paper will consist of seven sections with the required information listed in the subparagraphs:

Section One – Cover Sheet
Section Two – Technical Description
Section Three – Cost (ROM)
Section Four – Contract/Agreement Participants
Section Five – Foreign Disclosure Requirements
Section Six – Disclosure on the Use of Foreign Nationals, Green Card Holders and Dual Citizens
Section Seven – Organizational Conflict of Interest (OCI)

Section One: Cover Sheet

White Papers shall include a cover sheet (does not count towards the page limit) that includes:

(1) Labeled with "White Paper" and list the BAA#
(2) Call for White Paper Number, BAA Research Topic, Topic Title, and the "Technology Area of Interest" the white paper proposes to advance
(3) The name, CAGE Code, Unique Entity ID of the Offeror. Business Size Classification under North American Industry Classification System (NAICS) Code 541715
(4) Primary point of contact, including name, address, phone and e-mail contact information
(5) Identify if the proposed effort is intended to be a Procurement Contract or an OTA Prototype. IF an OTA is suggested, provide a response to the following participation requirements:
  (i) Is there at least one non-traditional defense contractor participating to a significant extent in the prototype project?
  (ii) Are all significant participants in the transaction, other than the Federal Government, small businesses or nontraditional defense contractors?
  (iii) Is at least one-third of the total cost of the prototype project to be paid out of funds provided by parties to the transaction other than the Federal Government?
(6) Provide a high level description of the proposed concept, technology, or product.
(7) Technology Readiness Level (TRL)
(8) Schedule: Period of Performance
(9) ROM
(10) Date of submission

Section Two: Technical Description

Ensure your technical description adequately describes the proposed approach and potential resulting contributions. The technical description shall include the following sections in the order given below, as applicable:

(1) Importance to Mission/Agency Program (Contribution to the "Technology Area(s) of Interest"): provide a high-level project overview describing how this contribution addresses one or more of the goals listed below:

(i) Enhanced Military or DoD System Capability – Describe how your proposed technology/project solves the capability/gap/problem presented, meets the desired and highly desired capabilities, and the scalability of the solution.

(ii) Discuss the benefits of your product or technology as it applies to the "Technology Area(s) of Interest" addressed and how you would plan to transition deliverables to a Government acquisition program, including any restrictions on Government use, release, or disclosure of technical data or computer software presenting transition difficulty and/or increased risk/cost to the Government.

(2) Technical Approach: Describe how the proposed technical approach is innovative or revolutionary (enabling technology), feasible, achievable, complete and supported by a technical team that has the expertise and experience to accomplish the proposed tasks, highlighting (as applicable):

(i) Clearly defined technology/project objectives and scope.

(ii) Overview of tasks and methods planned to achieve each objective.

(iii) The final product to be delivered.

(iv) Participants, including description of contributions and significance of each. Key personnel (including subcontractors and consultants).

(v) Facilities/equipment necessary to carry out the proposed effort.

(vi) Results related to prior or current work, including SBIR/STTR contracts and IR&D projects.

(vii) Whether the proposed technology is leveraged from commercial programs.

(viii) Whether the proposed technology or product contains a proprietary solution. If the proposed technology and/or product contains a proprietary solution, then the Offeror shall identify what proprietary technology, product, and/or information is proposed to support their white paper response. (See Section I.A, General White Paper and Proposal Information herein, for additional submission instructions and guidance).

(ix) The current TRL of the technology/project and or product and testing you presume will be required by the Government in order for your technology or product to be incorporated into a defense system or military program.

(x) Reduces technical risk and mitigation plan. Describe how your proposed approach can reduce the probability of program failure.

(xi) Time to field the technology. Describe how your proposed technology/project contributes to improving fielded timelines.

(xii) Please include individual TRL levels of the proposed technology.

(3) Cybersecurity: State in your white paper whether your company is National Institute of Standards and Technology Special Publication 800-171 Revision 1 (NIST SP 800-171 R2) "Protecting Controlled Unclassified Information in Nonfederal Systems and Organizations" compliant at the time of submission or when it will be compliant if awarded any follow-on contracts from the white paper (https://csrc.nist.gov/publications/detail/sp/800-171/rev-2/final). NIST SP 800-171 R2 requires prime contractors to develop a System Security Plan (SSP) and Plan of Action and Milestones (POAM) resulting in the implementation of cybersecurity controls on their contractor/subcontractor-owned and operated network. Protecting controlled unclassified information (CUI) and limiting its distribution within the supply chain is the responsibility of the prime contractor. Note: Contractors selected for contract awards will be required to submit their SSP and POAM for evaluation and may require the development of an Information Management and Control Plan (IMCP) to further protect CUI throughout the supply chain.

(4) Schedule and Deliverables: Provide a proposed technology/project schedule and describe how the proposed schedule is achievable for the proposed technical approach. Discuss and/or use a Gantt chart or similar master planning tool to describe:

(i) Major activities/milestones
(ii) Deliverable. What the Government can expect to be completed and/or delivered by the Offeror within 12 months of effort, or as specified in the call
(iii) Metrics/measures of success
(iv) Potential risks and mitigation plans

Section Three: Cost

(1) The Government will consider affordability in making its white paper acceptance/evaluation decision; therefore, the white paper shall be required to contain cost information suitable for such evaluation.

(2) This section shall include the ROM cost and narrative associated with meeting the technical requirements as described in the white paper. ROM submissions shall be broken out by base and option(s) as outlined in the Call for White Paper and shall be inclusive of estimated costs for Labor, Material/Equipment, Other Direct Costs, Subcontracts, and Fee/Profit. Include the following table in this Section.

Cost Element	**ROM Base Period***	**ROM Option 1 Period***
Prime Contract Labor	$-	$-
Material/Equipment	$-	$-
Other Direct Costs (Travel, Software, Testing, Technical Documentation, etc.)	$-	$-
Subcontractor/Consultant Labor	$-	$-

Cost Element	ROM Base Period*	ROM Option 1 Period*
Fee/Profit	$-	$-
Total Solution ROM	$-	$-

*Performance periods listed are for sample only. Offerors shall adjust according to its white paper proposal.

(i) The ROM narrative shall include, at a minimum, details on the following cost categories for the ROM:

- Labor Rates. The ROM narrative shall include the basis for which the estimated total labor hours were calculated, i.e. generic position titles and estimated rates and hours for those individuals.

- Subcontractors/Consultants. Provided estimate of the total proposed costs for subcontractors/consultants, and provide a basis of estimate.

- Indirect Costs. Provide an estimate of the total indirect costs and provide data supporting how the estimate was calculated. This section should include a breakout of any estimated costs other than Labor and Material/Equipment. (i.e., Overhead, General and Administrative (G&A), etc.)

- Material/Equipment. Provide a list of the materials/equipment required to meet the technical approach as described in the white paper and the estimated cost.

- Other Direct Costs (ODCs). Provided estimate of proposed ODCs, and provide a basis of estimate.

Section Four: Contract/Agreement Participants

Identify all contract/agreement participants (any individual that charges, or is expected to charge, to the contract/agreement) expected to be involved on this project (to include subcontractors). For these individuals, specify the amount, type, and source of all current and pending research support received by, or expected to be received by the individual. Support need not be financial (tech transfer, inventions, patent applications or licenses, honors, partnerships). You may be asked to provide additional information during negotiations in order to verify the individual's eligibility to participate on a contract/agreement.

Section Five: Foreign Disclosure Requirements

Offerors shall disclose foreign involvement. The Offeror will either certify that the questions do not apply or certify that the questions do apply.

(1) Does your company currently employ any foreign nationals?
(2) Does/did your company or employees have relationships with any foreign academic institutions, research centers, or affiliated academic

organizations over the past seven years?

(3) Has your company received investment or financing from any foreign-based entity?

(4) Has your company received investment or financing from any foreign-owned entity domiciled in the U.S.?

(5) Has your company received investment or financing from a U.S. entity that manages or receives foreign sources of capital?

(6) Does your company have any substantial business operations in other countries?

Section Six: Disclosure on the Use of Foreign Nationals, Green Card Holders and Dual Citizens

ALL proposers intending to use foreign nationals, green card holders, or dual citizens MUST disclose this information regardless of whether the topic is subject to export control restrictions. Identify any foreign nationals or individuals holding dual citizenship expected to be involved on this project as a direct employee, subcontractor, or consultant. For these individuals, please specify their country of origin, the type of visa or work permit under which they are performing and an explanation of their anticipated level of involvement on this project. You may be asked to provide additional information during negotiations in order to verify the foreign citizen's eligibility to participate on a contract/agreement. Supplemental information provided in response to this paragraph will be protected in accordance with the Privacy Act (5 U.S.C. 552a), if applicable, and the Freedom of Information Act (5 U.S.C. 552(b)(6)).

Proposals submitted to export control-restricted topics and/or those with foreign nationals, dual citizens, or green card holders listed will be subject to security review during the contract negotiation process (if selected for award). The organization reserves the right to vet all uncleared individuals involved in the project, regardless of citizenship, who will have access to CUI such as export controlled information. If the security review disqualifies a person from participating in the proposed work, the contractor may propose a suitable replacement. In the event a proposed person is found ineligible by the government to perform proposed work, the contracting officer will advise the proposer of any disqualifications but may not disclose the underlying rationale. In the event a firm is found ineligible to perform proposed work, the contracting officer will advise the proposer of any disqualifications but may not disclose the underlying rationale.

Section Seven – Organizational Conflict of Interest (OCI):

All facts relevant to the existence or potential existence of an OCI (FAR 9.5) must be disclosed. All disclosures shall state which office(s) the proposer supports, identify the prime contract numbers, provide a description of the services being performed and a preliminary non-binding OCI assessment addressing if an actual and/or potential OCI exists. Offerors performing systems engineering and technical assistance for RTI Directorate are considered to have an OCI that may not be susceptible to mitigation. The disclosure shall also include a description of the action the proposer has taken or proposes to take to avoid, neutralize, or mitigate any actual and/or potential conflicts. White papers

that fail to fully disclose existing and/or potential OCIs shall be rejected without evaluation and withdrawn from further consideration for an award.

(2) Submission:

(i) Under the Two-Step BAA process, Offerors will be required to first submit a white paper for preliminary consideration. Offerors that submit a proposal without first submitting a white paper may not be eligible for award.

(ii) White papers shall be submitted via e-mail to the RTI BAA mailbox listed in Part 1, with a courtesy copy to the Contracting Officer.

(iii) If the submission will be classified, Offerors should send email the RTI BAA mailbox and the KO for instructions on how to submit the white paper via appropriate methods/channels.

(iv) The Offeror shall inform the KO, in writing, that a classified white paper has been submitted, to include its title and to whom it was submitted.

(v) It is the Offeror's responsibility to ensure: (1) correct e-mail addresses are provided at the time of submission; (2) e-mail notifications reach the intended recipient(s); and (3) the e-mail is not blocked by the use of 'spam blocker' software or other means that the recipient's internet service provider may have implemented as a means to block the receipt of certain e-mail messages.

(3) White Paper Evaluation

(i) White Evaluation Process:

White papers will be evaluated IAW FAR 6.102(d)(2) and 35.016 using the peer or scientific review. White papers will be evaluated using the criteria specified in the BAA. Individual white paper evaluations will be based on acceptability or unacceptability without regard to other white papers and proposals submitted under this BAA. White papers submitted will be evaluated as they are received.

(ii) White Paper/White Paper Data Call Evaluation Criteria:

The evaluation factors of the white paper include Technical Merits, Capabilities, Relevance, and Importance to RTI Directorate, schedule, and affordability as described below. The factors are listed in the descending order of importance.

Technical Merits:

The Government will review the Offeror's technology proposed to satisfy the technical challenges and design objectives by reviewing the Offeror's enabling technology (innovative or revolutionary approach); feasibility; technical risk and mitigation plan; alternatives (other technical data/information conveyed); technology maturation (the ability to achieve technology maturity); and time to field solution. White papers will be scored as not meeting, partially meeting, fully meeting, or exceeding the stated Highly Desired and Desired capabilities.

Capabilities:

The Offeror's white paper will be evaluated to determine the following:

(1) Does the white paper adequately justify the principal investigator's and/or key personnel's qualifications, capabilities, and experience critical to achieving the research objectives?
(2) Does the offeror's institution provide adequate techniques and facilities to complete the proposed task?
(3) Does the offeror's team include individuals, groups or institutions recognized as leader(s) in their field with a strong record of accomplishment in the area of proposed research (e.g. patents, papers, citations, products) or has a one-of-a-kind capability?
(4) Do any OCI or cybersecurity issues exist? Note: any contractor unable to meet the OCI and/or cybersecurity requirements may not be eligible for award.

White papers will be scored as fully possessing, partially possessing, or not possessing the capabilities to conduct the proposed R&D projects.

Relevance and Importance to the RTI Directorate Mission:

The Government will review the Offeror's description of the technology proposed on how it solves the capability/gap/problem presented, the relevance to the Highly Desired/Desired Capabilities, scalability of the solution, and assess its worth in relation to the stated "Technology Areas of Interest." White papers will be scored as highly likely, likely, or marginally likely to address the stated operational and technical descriptions of the problem.

Schedule: T

The Offeror's schedule will be evaluated based on the reasonableness of the allocation of time to meet major activities/milestones, deliverable, metrics measures of success, potential risks, and mitigation plans. White papers will be scored as having a preferable, acceptable, or questionable schedule for delivery.

Affordability:

(1) Affordability. The Government will review the Offeror's ROM cost estimate for affordability. Budget targets for any single award will be depicted in the white paper calls, however the Government will review the ROMs to determine the best value based on the proposed approach.

(2) TRL. The Government will review the Offeror's TRL to ensure it meets requirements as detailed in the call for white papers.

(4) Offerors of white papers submitted in response to this BAA will receive an e-mail message within 90 calendar days indicating whether or not their white paper was selected for invitation to submit a full proposal. The request for proposal (RFP) for procurement contracts or

Request for Prototype Proposal (RPP) for OTAs will be made by the assigned RTI Directorate representative. White papers considered to have insufficient scientific merit or relevance to the Directorate or the RTI Directorate needs, or in areas for which funds are not expected to be available, may be declined without further review.

(5) White papers not selected for a proposal submission are not entitled to a debriefing. Once you are notified that your white paper has been declined and an RFP or RPP will not be sent, further clarification from the RTI Directorate is not mandatory.

(6) Non-Government Advisors

(i) Offerors are advised that employees of the firms identified in the white paper data call may serve as non-Government advisors in the award selection process. These individuals will be authorized access only to those portions of the proposal data and discussions that are necessary to enable them to perform their respective duties in support of the Government. The non-Government advisors will not have access to the non-sanitized cost/price volumes of the proposals. Such firms assisting the Government as non-Government advisors are expressly prohibited from competing on the subject acquisition.

(ii) Companies will be identified with each individual data call that is released through sam.gov. In accomplishing their duties related to the evaluation process, the aforementioned firms serving as non-Government advisors may require access to proprietary information contained in the Offerors' proposals. Therefore, pursuant to FAR 9.505-4, these non-Government advisor firms must execute an agreement with each Offeror that states that they will (1) protect the Offerors' information and (2) refrain from using the information for any purpose other than that for which it was furnished. To expedite the evaluation process, each Offeror must contact the above companies to execute an agreement prior to submitting proposals. Each Offeror shall submit copies of the agreement with their proposal.

(iii) The companies identified in the data call are prohibited from submitting white papers, either as a prime contractor or subcontractor, at any tier or partner, and from entering into contractual arrangements as subcontractors at any tier or as consultants or partners in response to the topics listed herein.

(c) Selection to Proceed to Step-Two: Request for Proposal (RFP) and Request for Prototype Proposal (RPP)

Selection to proceed to will be based on assessment of the white papers IAW the evaluation criteria set forth in this BAA. The RTI Directorate will notify offerors if its white paper was selected or not selected for award. Notifications will state whether the entire white paper, or a portion of the white paper, is being recommended for award.

For each white paper selected for award, the RTI Directorate will contact the offeror with a formal RFP or RPP. The RTI Directorate may make selections anytime during the BAA open period and up to six months following the closing date of this BAA for white papers submitted during the BAA open period. The request does not mean an award is guaranteed, as availability of funds and successful negotiations are prerequisites to any award. **DO NOT** submit any proposal information until a request from the RTI Directorate is received.

(d) PROCUREMENT CONTRACT PROPOSAL PREPARATION, SUBMISSION, AND EVALUATION

See BAA Attachment 02 for preparation, submission, and evaluation procedures.

(e) OTHER TRANSACTION AGREEMENTS- PROTOTYPE PREPARATION, SUBMISSION, AND EVALUATION

See BAA Attachment 03 for preparation, submission, and evaluation procedures.

4 OTHER PERTINENT INFORMATION

(a) CERTIFICATION OF CURRENT COST AND PRICING DATA

(1) If the KO requires the submission of certified cost or pricing data, upon completion of negotiations and agreement of contract price, in association with cost and pricing data submitted, the Offerors shall submit a Certificate of Current Cost or Pricing Data, see FAR 15.406-2.

(2) Certificate of Current Cost or Pricing Data requirement applies to FAR-based contract proposals, and does not apply to Other Transaction proposals.

(b) TYPE OF CONTRACT

(1) Selection of the type of contract is based upon various factors, such as the type of research to be performed, the Offeror's experience in maintaining cost records, and the ability to detail and allocate proposed costs and performance of the work. Any contract awards resulting from this BAA will incorporate the most current FAR, DFARS, and AFARS clauses.

(2) The Government intends to award cost reimbursable and fixed price (CPFF and FFP) type contracts concerning this BAA. However, an Offeror may propose alternate contract types or other transaction type agreements providing that the alternative is supported in the proposal. Also, the Government reserves the right to select the contract type as a matter of negotiation.

(c) COST-SHARING

Cost-sharing contracts may also be considered. This type will be a cost reimbursement contract where the Contractor receives no fee and is reimbursed only for an agreed upon portion of its allowable cost. It may be used when the Contractor agrees to absorb a portion of the cost in the expectation of substantial compensating benefits. To use this type of contract, the Contractor’s accounting system must be adequate for determining costs applicable to the contract. Appropriate Government surveillance during performance will provide reasonable assurance that efficient methods and cost controls are used.

(d) AWARDS

With the submittal of all required information as described herein and the favorable evaluation of your proposal, the Government may unilaterally make an award; therefore, it is in the Offeror’s best interest to review all requirements listed within. Awards will be made on Standard Form 33, Standard Form 26, DD Form 1155, or other document as appropriate. Awards will consist of all applicable clauses and contracts shall be IAW the Uniform Contract Format (UCF).

(e) RESTRICTIVE MARKING ON PROPOSAL

Notwithstanding Army policy, if information contained in the proposal is in the public domain or cannot be protected under the law as a trade secret (e.g., a patent application), the U.S. Army will not accept liability for failure to safeguard it against open disclosure. If an Offeror wishes to

restrict the proposal, the Offeror should mark the title page in accordance with FAR 15.215-1(e).

(f) REPRESENTATIONS AND CERTIFICATIONS

The offeror shall complete and submit Certifications and Representations via https://www.sam.gov. Offerors attest that, at the time of their proposal submissions, their record at System for Award Management (SAM) is current, accurate, and complete.

Right to award: The Government reserves the right to award based on an evaluation of technical and security risk as determined in part by offeror-provided information. You may be asked to provide additional information during negotiations in order to verify or expand on information relevant to the evaluation process.

5 ATTACHMENTS

(a) ATTACHMENT 01 – RESEARCH TOPICS
(b) ATTACHMENT 02 – PROCUREMENT CONTRACT PROPOSAL PREPARATION, SUBMISSION, AND EVALUATION
(c) ATTACHMENT 03 – OTHER TRANSACTION AGREEMENTS- PROTOTYPE PROPOSAL PREPARATION, SUBMISSION, AND EVALUATION