BROAD AGENCY ANNOUNCEMENT
FA9453-17-S-0005
Air Force Research Laboratory/Space Vehicle Directorate

ANNOUNCEMENT OVERVIEW

Initial
29 September 2017

NAICS CODE: 541715 – Research and Development in the Physical, Engineering, and Life Sciences (except Biotechnology) The NAICS small business size standard is 1000 employees (1250 employees for Space Vehicles and Guided Missiles, their propulsion units, propulsion unit parts, and auxiliary equipment and parts), please refer to www.sba.gov for any changes.

FEDERAL AGENCY NAME: Air Force Research Laboratory Space Vehicle Directorate (AFRL/RV)

BROAD AGENCY ANNOUNCEMENT TITLE: Research Options for Space Enterprise Technologies (ROSET)

BROAD AGENCY ANNOUNCEMENT TYPE: Closed Broad Agency Announcement (BAA) with CALLs

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER(S): 12.800 Air Force Defense Research Sciences Program and 12.910 Research and Technology Development. Assistance instruments or CFDA opportunities are anticipated and will be CALL dependent.

PROPOSAL DUE DATE AND TIME: This BAA will remain open for a period of 5 years from the date of publication. **NO PROPOSALS SHOULD BE SUBMITTED AGAINST THIS BASELINE BAA**. Proposal due dates and times will be specified in each CALL. Proposals received after the due date and time specified in the CALL shall be governed by the provisions of FAR 52.215-1(c)(3). It should be noted that this installation observes strict security procedures to enter the facility. These security procedures are NOT considered an interruption of normal Government processes, and proposals received after the above stated date and time as a result of security delays will be considered “late”.

Note: If offerors use commercial carriers for delivery of proposals, carriers may not honor time-of-day delivery guarantees on military installations. Early proposal submission is encouraged.

BRIEF PROGRAM SUMMARY: This is a 5 year Closed BAA describing the research areas of interest for the Research Options for Space Enterprise Technologies (ROSET). This closed BAA approach allows for submittals at a specified date and time, which will be posted through the issuance of CALL announcements at various times against this BAA. This BAA will be reviewed no less frequently than annually and updates will be published in FedBizOpps. Any changes or cancellation of the BAA will be posted as amendments to this BAA. The annual reviews and subsequent amendments to the BAA shall meet the requirement of Federal Acquisition Regulation (FAR) 35.016. As requirements within the technical topic areas are identified, CALLs will be issued in FedBizOpps to request proposals for specific research efforts. These subsequent CALLs will contain specific descriptions of the research effort to be addressed, anticipated period of performance, information pertaining to the specific research technical topic area, and the estimated funding profile for the CALL.

GENERAL INFORMATION: This acquisition will be **UNRESTRICTED**. Small businesses are encouraged to propose on all or any part of the BAA CALLs based on CALL specifics. This BAA is issued under the provisions of FAR 6.102(d)(2) that provides for the competitive selection of research proposals. Proposals submitted in response to this BAA that are selected for award are considered to be the results of full and open competition and in full compliance with the provisions of Public Law 98-369, the Competition in Contracting Act of 1984. Offerors MUST monitor FedBizOpps http://www.fbo.gov in the event this announcement is amended and for the posting of CALLs.

CALLs: A CALL is a required posting, issued through FedBizOpps (http://www.fbo.gov), soliciting a specific/targeted response and/or proposal for specific research efforts. A CALL will contain a specific description of the research effort to be addressed, the anticipated period of performance, and any other information particular to the specific requested effort. CALLs are published independently at various times during the open period of the BAA and may use either a One-Step or Two-Step process. A CALL issued against the BAA will specify either a

direct request for a technical and cost/business proposal, or a white paper submission as a means to determine if proposal will be required.

TYPE OF CONTRACTS/INSTRUMENTS: The Air Force reserves the right to award the instrument best suited to the nature of the research proposed. Accordingly, the Government may award any appropriate contract type under the Federal Acquisition Regulation (FAR) or Non-FAR instruments (i.e. Other Transaction (OT) for research efforts, grants, and cooperative agreements). For non-FAR Instruments, CALLS will be posted on grants.gov.

The Government anticipates that a mix of contract types and other instruments will be used throughout the life of this BAA. Generally, awards under this BAA may be Cost plus Fixed Fee (Completion and Term), Cost Contract, Firm Fixed Price, Other Transaction Authority, Technology Investment Agreements, Grants, or Cooperative Agreements.

Cost type contracts will require successful Offerors to have an accounting system deemed adequate by Defense Contract Audit Agency (DCAA) for tracking costs under a cost reimbursable contract (DFARS 242.75). If an Offeror does NOT have a DCAA approved accounting system, a Cost plus Fixed Fee and Cost Contract cannot be awarded.

ANTICIPATED NUMBER OF AWARDS: The Air Force anticipates awarding a minimum of one contract per specific CALL. However, the Air Force does reserve the right to make multiple awards or no awards pursuant to a CALL.

Technical Point of Contact: Dr. Andrew D. Williams, AFRL/RVSV, Kirtland AFB, NM, Phone 505-846-0396; email: andrew.williams.24@us.af.mil

Contracting Point of Contacts:

Contract Specialist: Mr. Emmanuel Cobian, Det 8 AFRL/RVKVS, Kirtland AFB, NM, Phone 505-846-4421, Email: emmanuel.cobian@us.af.mil

Contract Specialist: Mr. James P. Channell, Det 8 AFRL/RVKVS, Kirtland AFB, NM, Phone 505-846-6319, Email: james.channell@us.af.mil

Contracting Officer: Mr. Ambros D. Montoya, Det 8 AFRL/RVKVS, Kirtland AFB, NM, Phone 505-853-4170, Email: ambros.montoya@us.af.mil

BROAD AGENCY ANNOUNCEMENT
FA9453-17-S-0005
Air Force Research Laboratory/Space Vehicle Directorate

FULL TEXT ANNOUNCEMENT

NAICS CODE: 541715 – Research and Development in the Physical, Engineering, and Life Sciences (except Biotechnology) The NAICS small business size standard is 1000 employees (1250 employees for Space Vehicles and Guided Missiles, their propulsion units, propulsion unit parts, and auxiliary equipment and parts), please refer to www.sba.gov for any changes.

FEDERAL AGENCY NAME: Air Force Research Laboratory Space Vehicle Directorate (AFRL/RV)

BROAD AGENCY ANNOUNCEMENT TITLE: Research Options for Space Enterprise Technologies (ROSET)

BROAD AGENCY ANNOUNCEMENT TYPE: This is the Initial Announcement

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER(S): 12.800 Air Force Defense Research Sciences Program and 12.910 Research and Technology Development. Assistance instrument or CFDA opportunities are anticipated and will be CALL dependent.

PROPOSAL DUE DATE AND TIME: This Broad Agency Announcement (BAA) will remain open for a period of 5 years from the date of publication. **NO PROPOSALS SHOULD BE SUBMITTED AGAINST THIS BASELINE BAA**. Proposal due dates and times will be specified in each CALL. Proposals received after the due date and time specified in the CALL shall be governed by the provisions of FAR 52.215-1(c)(3). It should be noted that this installation observes strict security procedures to enter the facility. These security procedures are NOT considered an interruption of normal Government processes, proposals received after the proposal due dates and times specified in each CALL as a result of security delays will be considered “late.”

Note: If offerors use commercial carriers for delivery of proposals, carriers may not honor time-of-day delivery guarantees on military installations. Early proposal submission is encouraged.

I. PROGRAM DESCRIPTION

The Air Force Research Laboratory (AFRL) Space Vehicle Directorate (RV) is interested in receiving proposals from all offerors to advance state of the art technology and scientific knowledge supporting all aspects of space systems including payload adapters, on-orbit systems, communications links, ground systems, and user equipment. Efforts will include basic and advanced research, advanced component and technology development, prototyping, and system development and demonstration and will span the range from concept and laboratory experimentation to testing/demonstration in a relevant environment. Specific tasks include design, development, analysis, fabrication, integration, characterization, testing/experimentation, and demonstration of hardware and software products.

1. **Statement of Objective/Needs:** This 5 year Closed BAA approach allows for submittals at a specified date and time, which will be posted through the issuance of CALLs at various times against this BAA. Periodically over the 5-year period (calculated from the baseline BAA publication date), CALLs under the BAA will be issued in FedBizOpps to request white papers and/or proposals for specific research efforts as requirements within the technical areas are identified. These subsequent CALLs will contain specific descriptions of the research effort to be addressed, anticipated period of performance, information pertaining to the specific research technical area, and the estimated funding profile for the CALL. Each CALL will specify a due date and time. Submittals received after the stated due date and time will be governed by FAR 52.215-1(c)(3). Multiple subsequent CALLs are anticipated and may be announced sequentially or concurrently in FedBizOpps. CALLs will be issued unrestricted. The Government reserves the right to re-issue previously announced CALL areas with a second, subsequent submittal period. The Government also reserves the right to issue no CALLs for any given technology area.

The Research Options for Space Enterprise Technologies (ROSET) encompasses 15 technical areas which may be used in any combination per CALL. These technical areas are as follows:

Topic Areas:

1. Guidance, Navigation, Control (GNC) technology for orbit determination, Rendezvous and Proximity Operations (RPO), station keeping, and maneuver
2. Space solar array architecture, power generation, energy storage and distribution
3. Space structures, integrated sensing, thermal technologies, and agile manufacturing
4. Electronic materials, devices, and architectures from the transistor to the system level
5. Decision support systems, analytics, automation, and user interface tools and test beds
6. Multi-scale, multi-physics, modeling, simulation, evaluation and analysis (MSE&A) for satellite systems and mission architectures
7. Small satellite technologies, concepts, and missions
8. Integrated technology solutions for space operations in contested and degraded environments
9. Space sensing and imaging concepts, components, data processing, characterization, and phenomenology
10. Concepts and techniques to detect, identify, characterize, and track space objects
11. Precision timing, inertial sensor, and atom interferometry concepts and techniques
12. Global position waveform and signal concepts and advanced amps and transmit receive (T/R) technologies and impact assessment
13. Cyber-security/trust of software, components, and subsystems for assured space operations
14. Satellite communications technologies including antennas, electronic components, propagation effects, signal processing, and networking methodologies
15. Focal plane arrays and discrete detectors ranging from visible to long-wave infrared

2. **Deliverable Items:** Hardware, software, or data will be identified at the CALL level. The following data deliverables are representative of the types of data that may be required: (a) Program Plan with updates as needed; (b) Test Plans; (c) Monthly Status/Financial Reports; (d) Technical Reports, (e) Computer Program Documentation/Software User Manuals, (f) Computer Program/Software source code; (g) Final Scientific and Technical Reports; (h) Presentation Materials, and (i) Patent Reports (j) Prototypes. Data deliverables are subject to negotiations on each individual CALL.

3. **Schedule:** The period of performance will be stated in the CALL.

4. **White Papers/Proposal:** White papers are brief descriptive summaries that can be submitted by Offeror's for consideration in response to this BAA solicitation as specified per CALL (see Section V for information on how white papers will be evaluated). Offeror's whose white papers are evaluated as satisfying the technical merit factor (Section V, paragraph 2) and for which it is determined there is sufficient funding available, will be asked to submit a full technical and cost/business proposal. Offerors whose white papers were not selected to submit a technical cost/business proposal will be notified.

5. **Organizational Conflict of Interest (OCI):** OCI, if applicable, will be determined and addressed at the CALL level.

6. **System for Award Management (SAM):** Unless exempted by 2 CFR 25.110 all offerors must (1) Be registered in the System for Award Management (SAM) prior to submitting an application (for an award) or proposal; (2) Maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or proposal under consideration by an agency; and (3) Provide its DUNS number in each application or proposal it submits to the agency. On-line registration instructions can be accessed from the SAM home page at www.sam.gov.

   Potential offerors that are notified to be eligible for an award must submit annual Electronic Representations and Certifications via the System for Award Management (SAM) website at www.sam.gov. These FAR and DFARS level representations and certifications are required in addition to the representations and certifications that will be attached to each CALL. Before submitting the Electronic Representations and Certifications, contractors must be registered in the Systems for Award Management (SAM) Database.

II. AWARD INFORMATION

1. **Anticipated Funding**: Anticipated funding for the program (not per contract or award):

FY18	FY19	FY20	FY21	FY22	FY23	**FY24 Projected**	**FY25 Projected**
$51.5M	$51.8M	$53.3M	$57.2M	$60.4M	$62.5M	**$64.6M**	**$66.1M**

This funding profile is an estimate only and not a contractual obligation for funding. All funding is subject to change due to Government discretion and availability. Potential offerors should be aware that due to unanticipated budget fluctuations funding in any or all areas may change with little or no notice.

2. **Anticipated Number of Awards:** The Air Force anticipates awarding a minimum of one contract per specific CALL. However, the Air Force does reserve the right to make multiple awards or no awards pursuant to a CALL.

3. **Anticipated Award Date:** It is anticipated that this BAA will remain open for a period of 5 years from the date of publication. This BAA will be reviewed annually. Any updates or possible cancellation will be issued as an amendment to the BAA. This annual review and subsequent amendment to the BAA shall meet the requirement of FAR 35.016 to publish the BAA no less frequently than annually.

4. **Anticipated Period of Performance:** The period of performance will be determined for each contract award based on the requirements of the effort.

5. **Funding Restrictions:** The cost of preparing white papers and/or proposals in response to a CALL is not considered an allowable direct charge to any resulting contract or any other contract but may be an allowable expense to the normal bid and proposal indirect costs specified in FAR 31.205-18(c), Independent Research and Development and Bid and Proposal Costs.

III. ELIGIBILITY INFORMATION

1. **Eligible Offeror/Applicants**: This acquisition will be **UNRESTRICTED**. Special Notices will be issued to the Small Business Administration (SBA) when CALLs are posted. All sources capable of satisfying the Government's needs may submit a proposal under the appropriate CALL. Small Businesses, Historically Black Colleges (HBCU), Minority Institutions (MI), Small Disadvantaged Business (SDB), Woman-Owned Businesses, and Service-Disabled Veteran-Owned Businesses are encouraged to submit proposals and/or white papers. All correspondence must reference the BAA number, the BAA title, and the CALL number.

2. **Federally Funded Research and Development Centers**: The following guidance is provided for Federally Funded Research and Development Centers (FFRDCs) contemplating submitting a proposal, as either a prime or subcontractor, in response to a CALL against this BAA. FAR 35.017-1(c)(4) prohibits an FFRDC from competing with any non-FFRDC concern in response to a Federal agency request for proposal for other than the operation of an FFRDC (with exceptions stated in DFARS 235.017-1(c)(4)). There is no regulation prohibiting an FFRDC from responding to a solicitation. However, the FFRDC's sponsoring agency must first make a determination that the effort being proposed falls within the purpose, mission, general scope of effort, or special competency of the FFRDC, and that determination must be included in the FFRDC's proposal. In addition, the non-sponsoring agency must make a determination that the work proposed would not place the FFRDC in direct competition with domestic private industry. Only after these determinations are made would a determination be made concerning the FFRDC's eligibility to receive an award.

3. **Government Agencies:** If a Government agency is interested in performing work please contact the Program Office identified in the CALL. If those discussions result in a mutual interest to pursue your agency's participation, the effort will be pursued independent of this broad agency announcement.

4. **Security Classification:** Depending on the work to be performed, the Offeror may require a classified facility clearance and safeguarding capability; therefore, personnel identified must be cleared for access to information at the equivalent level of security at the time of award. In addition, the Offeror may be required to have, or access to, a certified and Government-approved facility to support work under a

CALL. If a DD Form 254 is applicable, it will be specified in the individual CALL with the applicable FAR clause. Offerors must verify their Cognizant Security Office information is current with Defense Security Service (DSS) at www.dss.mil.

CALLs are anticipated to be unclassified. For CALLs requiring access to classified information, offerors must have a valid U.S. security clearance of SECRET or higher in order to respond to the CALLs because the CALLs may include information classified at the SECRET or higher level which will be released only to offerors possessing the appropriate clearance. All classified material will be handled in accordance with E.O. 13526, National Industrial Security Program Operating Manual (NISPOM) DoD 5220.22-M, DoDM Industrial Security Program 5200.01 Volume 1 through 4, and AFI 16-1406.

5. Foreign Participation:

a. Foreign or foreign-owned Offerors are advised that their participation is subject to foreign disclosure review procedures. Foreign or foreign-owned Offerors should immediately contact the contracting office focal point identified in Section VII for information if they contemplate responding. Foreign contractors will not be permitted to participate at the prime contractor level if it is determined that the acquisition requires access to classified information.

b. AFRL Policy on Employment of Non-US Citizen Contractors applies to this BAA. Contractor employees requiring access to USAF bases, AFRL facilities, and/or access to U.S. Government Information Technology networks in connection with the work on this contract must be U.S. citizens. Possession of a permanent resident card ("Green Card") does not equate to U.S. citizenship. This requirement does not apply to foreign nationals approved by the U.S. Department of Defense or U.S. State Department under international personnel exchange agreements with foreign governments. Any waivers to this requirement must be granted in writing by the Contracting Officer prior to providing access. The above requirements are in addition to any other contract requirements related to obtaining a Common Access Card (CAC).

c. This acquisition involves data that are subject to export control laws and regulations. Only contractors who are registered and certified with the Defense Logistics Services Center (DLSC) and have a legitimate business purpose may participate in this solicitation. Contact the Defense Logistics Services Center, 74 Washington Avenue N., Battle Creek, Michigan 40937-3084 (1-877-352-2255) for further information on the certification process. You must submit a copy of your approved DD Form 2345, Militarily Critical Technical Data Agreement, with your proposal.

6. Export Control: Information involved in this research effort will be subject to Export Control (International Traffic in Arms Regulation (ITAR) 22 CFR 120-130 or Export Administration Regulations (EAR) 15 CFR 730-774). If the effort is subject to export control, then a Certified DD Form 2345, Militarily Critical Technical Data Agreement, will be required to be submitted with proposal.

Export-Controlled Items: As prescribed by DFARS 225-7901, DFARS 252.225-7048, "Export-Controlled Item (JUN 2013)" is contained in this solicitation (as shown below). This clause shall be contained in ALL solicitations and resulting contracts.

EXPORT-CONTROLLED ITEMS (JUN 2013)

(a) *Definition.* "Export-controlled items," as used in this clause, means items subject to the Export Administration Regulations (EAR) (15 CFR Parts 730-774) or the International Traffic in Arms Regulations (ITAR) (22 CFR Parts 120-130). The term includes:

(1) "Defense items," defined in the Arms Export Control Act, 22 U.S.C. 2778(j)(4)(A), as defense articles, defense services, and related technical data and further defined in the ITAR, 22 CFR Part 120.

(2) "Items," defined in the EAR as "commodities", "software", and "technology," terms that are also defined in the EAR, 15 CFR 772.1.

(b) The Contractor shall comply with all applicable laws and regulations regarding export-controlled items, including, but not limited to, the requirement for contractors to register

with the Department of State in accordance with the ITAR. The Contractor shall consult with the Department of State regarding any questions relating to compliance with the ITAR and shall consult with the Department of Commerce regarding any questions relating to compliance with the EAR.

(c) The Contractor's responsibility to comply with all applicable laws and regulations regarding export-controlled items exists independent of, and is not established or limited by, the information provided by this clause.

(d) Nothing in the terms of this contract adds, changes, supersedes, or waives any of the requirements of applicable Federal laws, Executive orders, and regulations, including but not limited to—

(1) The Export Administration Act of 1979, as amended (50 U.S.C.App.2401, *et seq.*);

(2) The Arms Export Control Act (22 U.S.C. 2751, *et seq*.);

(3) The International Emergency Economic Powers Act (50 U.S.C.1701, et seq.);

(4) The Export Administration Regulations (15 CFR Parts 730-774);

(5) The International Traffic in Arms Regulations (22 CFR Parts 120-130); and

(6) Executive Order 13222, as extended;

7. **Government Furnished Property (GFP) availability:** GFP, if applicable, will be identified at the CALL level. If applicable, the contractor is responsible for all costs related to making the property available for use, such as payment of all transportation, installation, or rehabilitation costs in accordance with FAR 45.201(b).

   If GFP is included in the CALL or requested in the white paper and/or proposal, the following clauses/provisions apply:

   i. FAR 52.245-1 Government Property (APR 2012) or FAR 52.245-1, Alt II (JAN 2017) if the resulting contract is for basic or applied research at a nonprofit institution of higher education or at a nonprofit whose primary purpose is the conduct of scientific research.
   ii. FAR 52.245-9 Use and Charges (APR 2012),
   iii. DFARS 252.211.7007 Reporting of Government-Furnished Property (AUG 2012),
   iv. DFARS 252.245-7001 Tagging, Labeling, and Marking of Government-Furnished Property (APR 2012),
   v. DFARS 252.245-7002 Reporting Loss of Government Property (APR 2012)
   vi. DFARS 252.245-7003 Contractor Property Management System Administration (APR 2012)
   vii. DFARS252.245-7004 Reporting, Reutilization, and Disposal (SEP 2016).

8. **Government Furnished Information (GFI) availability:** GFI, if applicable, will be identified at the CALL level.

   If applicable, technical data or computer software provided to the Contractor as Government-furnished information (GFI) under this contract may be subject to restrictions on use, modification, reproduction, release, performance, display, or further disclosure. The Contractor will take all reasonable steps to protect the technical data or computer software against any unauthorized release or disclosure. GFI provided could consist, but not limited to Technical Specifications, Manuals, Drawings, Test Data, and Software.

   If GFI is included in the solicitation or requested in the proposal the following clauses/provisions apply:

   i. DFARS 252.227-7025 Limitations on the Use or Disclosure of Government-Furnished Information Marked with Restrictive Legends applies.

9. **Base Support/Network Access:** Base support/Network Access may be provided under any resulting contract and will be specified in the individual CALL.

10. Data Rights: Will be identified per CALL; Potential data rights that may be required are:

i. Technical Data: Unlimited Rights or Government Purpose Rights
ii. Non-Commercial Software (NCS): Unlimited Rights or Government Purpose Rights
iii. NCS Documentation: Unlimited Rights or Government Purpose Rights
iv. Commercial Computer Software Rights: Customary License, etc.
v. Third Party Software (Commercial and Noncommercial)

The Air Force Research Laboratory is engaged in the discovery, development, and integration of warfighting technologies for our air, space, and cyberspace forces. As such, rights in technical data and NCS developed or delivered under this contract are of significant concern to the government. The Government will therefore carefully consider any restrictions on the use of technical data, NCS, and NCS documentation which could result in transition difficulty or less-than full and open competition for subsequent development of this technology.

In exchange for paying for development of the data, the Government expects technical data, NCS, and NCS documentation developed entirely at Government expense to be delivered with Unlimited Rights.

Technical data, NCS, and NCS documentation developed with mixed funding are expected to be delivered with at least Government Purpose Rights. Offers that propose delivery of technical data, NCS, or NCS documentation subject to Government Purpose Rights should fully explain what technical data, NCS, or NCS documentation developed with costs charged to indirect cost pools and/or costs not allocated to a Government contract will be incorporated, how the incorporation will benefit the program, and address whether those portions or processes are able to be segregated. The Government expects that delivery of technical data, NCS, and NCS documentation subject to Government Purpose Rights will fully meet program needs.

Offers that propose delivery of technical data, NCS, or NCS documentation subject to Limited Rights, Restricted Rights, or Specifically Negotiated License Rights will be considered. Proposals should fully explain what technical data, NCS, or NCS documentation developed with costs charged to indirect cost pools and/or costs not allocated to a government contract will be incorporated and how the incorporation will benefit the program.

Offerors are reminded that the Identification and Assertion of Restrictions on the Government's Use, Release, or Disclosure of Technical Data or Computer Software (the assertions list), required under DFARS 252.227-7013 and DFARS 252.227-7014, is included in Section K and due at time of proposals. Assertions must be completed with specificity with regard to each item, component, or process listed.

Note that DFARS 252.227-7014(d) describes requirements for incorporation of third party computer software (commercial and noncommercial). Any commercial software to be incorporated into a deliverable must be clearly identified in the proposal. Prior to delivery of any third party software, the contractor will obtain an appropriate license for the Government, and the written approval of the contracting officer.

As used in this subparagraph, the terms Unlimited Rights, Government Purpose Rights, Specifically Negotiated License Rights, and Limited Rights in technical data are as defined in DFARS 252.227-7013. The terms Unlimited Rights, Government Purpose Rights, Specifically Negotiated License Rights, and Restricted Rights in noncommercial computer software and noncommercial software documentation are as defined in DFARS 252.227-7014. The term Commercial Computer Software is as defined in DFARS 252.227-7014.

IV. WHITE PAPER AND/OR PROPOSAL APPLICATION AND SUBMISSION INFORMATION

1. Application Package: NO PROPOSALS OR WHITE PAPERS SHOULD BE SUBMITTED AGAINST THIS BASELINE BAA

When a large volume of responses are anticipated by the Government, a two-step process will be utilized requesting white papers. This two-step process is to streamline the proposal process and to assist offerors in determining whether to incur the cost of generating a formal CALL proposal (not all CALLs will require a submittal of a white paper). Offerors of those white papers evaluated as satisfying technical merit factor (Section V, paragraph 2) and for which it is determined there is sufficient funding available,

will be sent a letter Request for Proposal (RFP) to submit a formal technical and cost proposal. An RFP does not assure an offeror of a subsequent contract award. White papers not selected for full proposal submission or proposals not selected for immediate funding will be disposed/destroyed in a manner that protects proprietary data.

When a one-step process is utilized by the Government, proposals submitted in response to CALLs should be submitted in accordance with this BAA announcement and CALL instructions. The Government reserves the right to select all, part, or none of the proposals received in response to a CALL, subject to the availability of funds and without negotiation/discussion; however, the Government reserves the right to negotiate with those offeror(s) whose proposal is selected for funding.

Offerors should monitor FedBizOpps regularly for any BAA amendments that may permit extensions to the proposal submission date or make other changes. Offerors are advised that only contracting officers are legally authorized to contractually bind or otherwise commit the Government.

The cost of preparing a response to CALLs issued under this BAA are not considered an allowable direct charge to any resulting or any other contract; however, it may be an allowable expense to the normal bid and proposal indirect costs as specified in FAR 31.205-18.

DO NOT SUBMIT CLASSIFIED INFORMATION IN THE PROPOSAL. IF NECESSARY, CLASSIFIED MATERIAL SHALL BE SUBMITTED AS A SEPARATE ADDENDUM. SPECIFIC INSTRUCTIONS FOR SUBMITTING A CLASSIFIED ADDENDUM, UP TO SECRET, WILL NEED TO BE COORDINATED AND ARRANGED WITH THE TECHNICAL POCS FOR EACH CALL PRIOR TO SUBMISSION.

2. **Content and Form of Submission for White Papers (two-step process):** The paragraphs below identify white paper format and content. White papers should be addressed and delivered as specified in the CALL.

   a. **General Instructions White Papers (two-step process):**

      Offerors that include in their proposals data that they do not want disclosed to the public for any purpose or used by the Government should mark restriction on disclosure and use of data. Technical and cost volumes should be submitted as separate volumes and must be valid for 180 days. The white paper volumes must reference the BAA announcement number **FA9453-17-S-0005**, CALL number, and relevant research topic area(s).

   b. **White Paper Format (two-step process):**

      i. The white paper Technical volume shall be limited to five (5) pages unless otherwise stated in the CALL and shall be prepared and submitted in Microsoft Word format.
      ii. The white paper Cost/Business volume is limited to one (1) page Including the Rough Order of Magnitude (ROM) unless otherwise stated in the Call and shall be prepared and submitted in Microsoft Excel format with formulas included.
      iii. Paper Size – 8.5 inch x 11 inch
      iv. Margins – one-inch on each side
      v. Font - Calibri 11+ point font or equivalent to include tables, diagrams, and charts. Any other information (e.g. captions, restrictive markings) shall not be smaller than Calibri 10 point font or equivalent.
      vi. Pages shall be 1.5 line spaced and double-sided (each side counts as one page)
      vii. All text, including text in tables and charts, must adhere to all font size and line spacing requirements listed herein

      Note: The number of hard copies and submission instructions will be stated in the individual CALL.

   c. **Instructions for White Paper Volume (two-step process):**

      i. White papers should capture the following information: innovative and technically sound approach to accomplish the CALL's objective(s) and/or advances in knowledge, understanding, technology, and state-of-the-art. After the review of white papers, the Government will determine whether a formal proposal will be requested based on the evaluation criteria listed in section V, White Paper Evaluation Criteria. Offerors of those white papers evaluated as satisfying the technical merit

factor (Section V, paragraph 2) and for which it is determined there is sufficient funding available, will be sent a letter Request for Proposal (RFP) to submit a formal technical and cost/business proposal by the contracting point of contact. An RFP does not assure an offeror of a subsequent contract award. White papers not selected for full proposal submission will be disposed/destroyed in a manner that protects proprietary data.

ii. Any questions concerning the white paper preparation shall be referred to the Technical POC cited in the CALL.

d. White Paper Cost/Business Volume (two-step process):

The Cost/Business section which includes the ROM should provide top-level details on major cost items such as labor, special equipment that will need to be purchased, materials, and any subcontracts or other organizations' costs (to include government furnished facilities, equipment, or personnel) for the proposed effort. The ROM cost section shall not exceed one page.

3. Content and Form of Submission for Proposal: The paragraphs below identify proposal format and content. Proposals should be addressed and delivered as specified in the CALL.

a. General Instructions Proposals (one-step process):

Offerors that include in their proposals data that they do not want disclosed to the public for any purpose or used by the Government should mark restriction on disclosure and use of data. Technical and cost/business volumes should be submitted in separate volumes, and must be valid for 180 days. Proposals must reference the BAA announcement number **FA9453-17-S-0005,** CALL number, and relevant research topic area(s).

b. Proposal Format (one-step process):

i. The technical proposal shall be limited to thirty (30) pages unless otherwise stated in the CALL and shall be prepared and submitted in Microsoft Word format. The Statement of Work (SOW) does not count against the page limit.
ii. Cost/Business proposals have no page limitations; however, offerors are requested to keep cost proposals under 100 pages as a goal (Cost break-outs should be submitted in Microsoft Excel with the formulas, all other information should be provided in Microsoft Word).
iii. Paper Size – 8.5 inch x 11 inch
iv. Margins – one-inch on each side
v. Font - Calibri 11+ point font or equivalent, to include tables, diagrams, and charts. Any other information (e.g. captions, restrictive markings) shall not be smaller than Calibri 10 point font or equivalent.
vi. Pages shall be 1.5 line -spaced and double-sided (each side counts as one page)
vii. All text, including text in tables and charts, must adhere to all font size and line spacing requirements listed herein
viii. The Technical proposal page limit does not include the offeror's proposed SOW; however, the same formatting rules apply to the SOW, which is limited to ten (10) pages.

Note: The number of hard copies and submission instructions will be stated in the individual CALL.

c. Technical Proposal (one-step process):

The proposal shall include a discussion of the following information: creative or innovative and technically sound approach to accomplish the CALL's objective(s) and/or advances in knowledge, understanding, technology, state-of-the-art, and rationale of the offeror's technical approach and the relevance to the Space Vehicle Directorate mission area(s).

The Offeror shall provide any information on prior work in the topic areas, descriptions of available equipment, data and facilities as attachments to the technical proposal. This information will be used in the proposal evaluation to help determine the soundness of the technical approach. This volume shall include a SOW detailing the technical tasks proposed to be accomplished under the proposed effort. The Offeror shall provide a proposed SOW suitable for contract incorporation into a resulting contract, if any, and thus shall not have any company proprietary information contained within the

document. If Government Furnished Property is requested you are required to submit the following information with your offer:

i. A list or description of all Government property that the offeror or its subcontractors propose to use. The list shall identify the accountable contract under which the property is held and the authorization for its use (from the contracting officer having cognizance of the property).

ii. The dates during which the property will be required for use (including the first, last, and all intervening months), and for any property that will be used concurrently in performing two or more contracts, the amounts of the respective uses in sufficient detail to support prorating the rent.

iii. The amount of rent that would otherwise be charged in accordance with FAR 52.245-9, Use and Charges, and be used in the management of Government property, or existing property management plans, methods, practices, or procedures for accounting for property.

iv. The voluntary consensus standard or industry leading practices and standards to be used in the management of Government property or existing property management plans, methods, practices, or procedures for accounting for property.

Any questions concerning the technical proposal or SOW preparation shall be referred to the Technical POC cited in Section VII.

d. Cost/Business Proposal (one-step process):

i. Separate the proposal into a cost section and business section. The business section should contain all business aspects to the proposed contract such as: resumes of personnel who will be participating in this effort, contractual instrument type, and any exceptions to terms and conditions of the announcement, any information not technically related, etc. Provide rationale for exceptions. Identify any technical data that will be delivered with less than unlimited rights. Cost proposals have no page limitations; however, offerors are requested to keep cost proposals under 100 pages as a goal. The proposal shall be furnished with supporting schedules and shall contain a labor hour breakdown per task.

ii. Subcontracting plans for efforts anticipated to exceed $750,000 shall be submitted along with the technical and cost proposals. Reference FAR 19.704, DFARS 219.704, and AFFARS 5319.704(a)(1) for subcontracting plan requirements. Small businesses are exempt from this requirement.

iii. All direct costs (labor, material, travel, computer, etc.) as well as labor and overhead rates should be provided by contractor fiscal year (CFY). A separate breakout by Government Fiscal Year (GFY) is not required.

iv. Submit fully-disclosed electronic cost spreadsheets with formulas. Include rate table for all direct and indirect rates that feed into the cost element summaries.

e. Proposal Content Summary:

You may be ineligible for award if all requirements of this solicitation are not met on the proposal due date. Reference Section VIII for a checklist of the requirements.

4. **Proposal Submission Dates and Times:** Proposals submitted shall be in accordance with this announcement and any instructions in the individual CALL for proposals. Proposals should be submitted in accordance with any modifications or amendments of the full text BAA and individual CALL. Proposals received after the due date and time specified shall be governed by the provisions of FAR 52.215-1(c)(3).

5. **Data Right Assertions:** It is anticipated that all data delivered under any resulting award will be delivered with unlimited rights; however different rights may be negotiated as appropriate. The Offeror shall identify data rights assertions, licenses, patents, etc. that apply to any proprietary materials, technical data, products, software, or processes to be used by the prime or subcontractor(s) in the performance of this program and shall address acquisition of data rights or licenses or expected recoupment of development costs for those proprietary items that will be integral to any contracts awarded under this BAA. Any data

delivered or anticipated to be delivered with less than unlimited rights must be reported in a separate, appropriately marked appendix to the final report of any awarded contract resulting from this BAA.

6. **Other Submission Requirements:** Proposals must be submitted to the Contracting Point of Contact identified at the CALL level.

V. EVALUATION CRITERIA AND APPLICATION REVIEW INFORMATION

1. **General Information:** Evaluations will vary based upon a one step or two step approach. Evaluations of Proposal/White Papers will be conducted by a peer or scientific review process using the criteria described below.

2. **White Paper Evaluation Criteria (two-step process):** The following criteria will be used to determine if a formal proposal will be requested. The Offeror's White Paper must satisfactorily address the Technical Merit factor identified below in order for the ROM to be evaluated for affordability. White papers that satisfy both the Technical Merit and Affordability factors will be sent a Request for Proposal.

   a. **Technical Merit:** The technical aspect is first order of priority and shall be evaluated based on the following criteria that are of equal importance. Innovative and technically sound approach proposed to accomplish the technical objectives and/or advances in knowledge; understanding, technology, and state-of-the-art.

   b. **Affordability:** ROM's will be evaluated to determine if there is sufficient funding available. White papers that satisfy the technical merit factor and for which sufficient funding is determined to be available will be evaluated as affordable.

3. **White Paper Selection Process:** The Offeror's White Paper must satisfactorily address the Technical Merit Factor and be determined to be affordable to be sent a Request for Proposal.

4. **Proposal Evaluation Criteria (one-step process):** The following criteria, which is listed in descending order of importance, will be used to determine whether one or more sources should be recommended for award. The Government reserves the right to select all, part, or none of the proposal received in response to a CALL for award subject to the availability of funds.

   a. **Technical Merit:** The technical aspect is first order of priority and shall be evaluated based on the following criteria that are of equal importance.

   i. Creative or innovative approach proposed to accomplish the technical objectives and/or advances in knowledge, understanding, technology, and state-of-the-art

   ii. Soundness of the offeror's technical approach

   iii. Relevance to Space Vehicles Directorate mission areas

   b. **Cost/Price:** The cost/ price criterion includes the realism of the proposed cost. Cost/Price is a substantial factor, but ranked as the second order of priority. (If the offeror proposes the use of GFP other than any GFP identified in this BAA, and that proposed GFP provides the offeror an unfair competitive advantage, then FAR 45.202 requires rental equivalent be applied to the Cost Factor for evaluation purposes only.

5. **Proposal Review and Selection Process (one-step process):** The technical and cost/business proposals that satisfy both technical merit and cost/price evaluation criteria will be categorized:

   a. **<u>Highly Recommended</u>:** Well-conceived scientifically and technically sound proposal pertinent to accomplish goals and objectives. Proposals are recommended for acceptance (subject to availability of funds) and normally are displaced only by other Highly Recommended proposals.

   b. **<u>Selectable</u>:** Scientifically or technically sound proposals that may need additional development. Proposals are recommended for acceptance if sufficient funding is available, but at a lower priority than Highly Recommended proposals. To ensure a diversity of approaches, a Selectable proposal

may be prioritized over a Highly Recommended proposal if the Selectable proposal presents a unique approach unlike any of the Highly Recommended proposals.

c. **Not Selectable**: Proposal is not technically sound or does not meet agency needs. Even if sufficient funding existed, the proposal will not be funded.

Note: Prior to award of a potentially successful offer, the Contracting Officer will make a determination regarding price reasonableness.

Note: When the Government elects to award only part of a proposal, the selected part may be categorized as Highly Recommended or Selectable although the proposal as a whole may not merit such a categorization.

VI. AWARD ADMINISTRATION INFORMATION

Award Notices: Offerors will be notified whether their proposal is recommended for award in writing by letter. The notification of recommendation for award is not to be construed to mean the award of a contract is assured as availability of funds and successful negotiations are prerequisites to any award.

VII. AGENCY CONTACTS

Any correspondence must reference the BAA title and number. Questions of a technical nature shall be directed to the technical point of contact, as specified below:

Name: Dr. Andrew D. Williams
Address: AFRL/RVSV
3550 Aberdeen Avenue
Kirtland AFB, NM 87117
Telephone: 505-846-0396
Email: andrew.williams.24@us.af.mil

Questions of a contractual/business nature shall be directed as specified below:

Name: Mr. Emmanuel Cobian, Contract Specialist
Address: Det 8 AFRL/RVKVS
3550 Aberdeen Avenue
Kirtland AFB, NM 87117
Telephone: 505-846-4421
Email: emmanuel.cobian@us.af.mil

Name: Mr. James P. Channell, Contract Specialist
Address: Det 8 AFRL/RVKVS
3550 Aberdeen Avenue
Kirtland AFB, NM 87117
Telephone: 505-846-6319
Email: james.channell@us.af.mil

Name: Mr. Ambros D. Montoya, Contracting Officer
Address: Det 8 AFRL/RVKVS
3550 Aberdeen Avenue
Kirtland AFB, NM 87117
Telephone: 505-853-4170
Email: ambros.montoya@us.af.mil

Each CALL will also include specific technical and contracting points of contact.

Ombudsman: The Ombudsman clause, AFFARS 5352.201-9101 Ombudsman (JAN 2017) will be contained in any contracts or agreements resulting from this Solicitation. The AFRL Ombudsman is:

Ombudsman: Ms Lisette K. LeDuc, AFRL/PK 1864 Fourth Street. Wright-Patterson AFB OH 45433-7130, Phone 937-904-9700, E mail: lisette.leduc@us.af.mil

Alternate Ombudsman: Ms. Kimberly L. Yoder, AFRL/PK 1864 Fourth Street,
Wright Patterson AFB, OH 45433-7130, Phone 937-255-4967, E mail: kimberly.yoder@us.af.mil

VIII. OTHER INFORMATION

1. **Support Contractors:**

   a. The Air Force Research Laboratory's Directed Energy (RD) and Space Vehicles (RV) Directorates have contracted for various business and staff support services some of which require contractors to obtain administrative access to proprietary information submitted by other contractors. Administrative access is defined as "handling or having physical control over information for the sole purpose of accomplishing the administrative functions specified in this contract or order, which do not require the review, reading, or comprehension of the content of the information on the part of non-technical professionals assigned to accomplish the specified administrative tasks."

   b. The required administrative access will be granted to non-technical professionals. Examples of the administrative tasks performed include:

   1) Assembling and organizing information for R&D case files;

   2) Accessing library files for use by government personnel in the RD and RV Directorates; and

   c. Offerors shall either complete paragraph (d) below or provide written objection to administrative access. Any objection to administrative access:

   1) Shall be provided in writing to the contracting officer within 10 days of RFP (or PRDA, BAA, etc., as appropriate) issuance; and

   2) Shall include a detailed statement of the basis for the objection.

   d. I consent to administrative access, as defined above, by RD and RV business and staff support services contractors to any proprietary information submitted under this solicitation or delivered under any resulting contract.

2. **Communication:** Dialogue between prospective offerors and Government representatives is encouraged until submission of proposals. Discussions with any of the points of contact shall not constitute a commitment by the Government to subsequently fund or award any proposed effort. Only Contracting Officers are legally authorized to commit the Government.

3. **Debriefings:** Debriefings will be in accordance with 10 USC 2305(b)(5), but the debriefing content will vary to be consistent with the procedures set out in FAR 35.016 governing BAAs.

4. **Wide Area Work Flow Notice**: Any contract award resulting from this announcement will contain the clause at DFARS 252.232-7003, Electronic Submission of Payment Requests and Receiving Reports (JUN 2012), which requires electronic submission of all payment requests. The clause cites three possible electronic formats through which to submit electronic payment requests. Effective 01 October 2006, the Department of Defense adopted Wide Area Work Flow-Receipt and Acceptance (WAWF-RA) as the electronic format for submission of electronic payment requests. Any contract resulting from this announcement will establish a requirement to use WAWF-RA for invoicing and receipt/acceptance and provide coding instructions applicable to this contract. Contractors are encouraged to take advantage of available training (both web-based and through your cognizant DCMA office) and to register in the WAWF-RA system. Information regarding WAWF-RA, including the web-based training and registration, can be found at https://wawf.eb.mil/. Note: WAWF-RA requirement does not apply to Universities that are audited by an agency other than DCAA.

5. **Forward Pricing Rate Agreements:** Offerors who have forward pricing rate agreements (FPRA's) and forward pricing rate recommendations (FPRR's) should identify them in their proposal.

6. **Pre-Award Clearance:** Pursuant to FAR 22.805, a pre-award clearance must be obtained from the U.S. Department Of Labor, Employment Standards Administration, Office Of Federal Contract Compliance Program's (OFCCP) prior to award of a contract (or subcontract) of $10,000,000 or more unless the contractor is listed in OFCCP's National Pre-award Registry http://www.dol-esa.gov/preaward. This registry indicates that the contractor has been found to be "in compliance" within the past two years with The Equal Employment Opportunity (EEO) regulations that the OFCCP is mandated to enforce. The registry is updated nightly and facilities reviewed more than 2 years ago are removed and new ones are added. Award may be delayed if you are not currently listed in the registry and the contracting officer must request a pre-award clearance from the OFCCP.

7. **Limitations on Pass-Through Charges:** As prescribed in FAR 15.408(n)(1) & 15.408(n)(2), provisions 52.215-22, "Limitations on Pass Through Charges – Identification of Subcontract Effort (OCT 2009)," and 52.215-23, "Limitations on Pass-Through Charges (OCT 2009)," are contained in this solicitation. Any contract valued greater than the threshold for cost or pricing data threshold, except fixed price contracts awarded on the basis of adequate price competition resulting from this solicitation, shall contain the Clause at FAR 52.215-23 (or Alt I).

8. **Associate Contractor Agreements:** Associate Contractor Agreements (ACAs) are agreements between contractors working on Government contracts that specify requirements for them to share information, data, technical knowledge, expertise, or resources. The contracting officer may require ACAs when contractors working on separate government contracts must cooperate, share resources, or otherwise jointly participate in working on contracts or projects. Prime contractor to subcontractor relationships do not constitute ACAs. For each award, the contracting officer will identify associate contractors with whom agreements are required.

9. **Post-Award Small Business Program Representation:** As prescribed in FAR 19.308, FAR Clause 52.219-28, "Post-Award Small Business Program Representation (JUL 2013)," is incorporated by reference in this solicitation. This clause will be contained in any contracts resulting from this solicitation. This clause requires a contractor to represent its size status when certain conditions apply. The clause provides detail on when the representation must be complete and what the contractor must do when a representation is required.

10. **Employment Eligibility Verification:** As prescribed by FAR 22.1803, FAR Clause 52.222-54, Employment Eligibility Verification (OCT 2015), is hereby incorporated by reference in this solicitation. Any contract awarded as a result of this BAA that is above the Simplified Acquisition Threshold and contains a period of performance greater than 120 days shall include this clause. This clause provides the requirement of contractors to enroll as a Federal Contractor in the E-Verify program within 30 days after contract award.

11. **Reporting Executive Compensation and First-Tier Sub-contract/Sub-recipient Awards:** As prescribed by FAR 4.1403(a), FAR 52.204-10 Reporting Executive Compensation and First-Tier Subcontract Awards (OCT 2016) is hereby incorporated by reference in this solicitation. Any contract valued at $25,000 or more, excluding classified contracts or contractors with individuals, must contain this clause. Any grant or agreement award resulting from this announcement may contain the award term set forth in *2 CFR, Appendix A to Part 25.*

12. **Updates of Publicly Available Information Regarding Responsibility Matters:** Any contract award that exceeds $500,000.00; and when an offeror checked "has" in paragraph (b) of the provision FAR 52.209-7, shall contain the clause/article, FAR 52.209-9 Updates of Publicly Available Information Regarding Responsibility Matters (JAN 2013).

13. **Contractor Business Systems:** DFARS 252.242-7005, Contractor Business Systems (FEB 2012), is hereby incorporated by reference.

14. **Proposal Content Checklist:** You may be ineligible for award if all requirements of this solicitation are not met on the proposal due date.

    a.) Proposals are due to the specified point of contact.
    b.) Proposals are due no later than the due date and time specified in this announcement.
    c.) Proposal page limits are strictly enforced. See Section IV of the solicitation for page limits.

d.) Completed Certifications and Representations (Section K) are due with the proposal. Certifications and Representations (Section K) can be found at www.sam.gov.
e.) The Cost/Business Proposal must contain all information described in the Content and Form of Proposal Section.
f.) For any subcontracts proposed, the Cost/Business Proposal must contain a subcontractor analysis IAW FAR 15.404-3(b).
g.) Offerors other than small businesses are to include a subcontracting plan in Microsoft Word Readable or Adobe format on a CD ROM as well as a hard copy.
h.) Proposals must be submitted in the format specified in Section IV.
i.) Offerors who have Forward Pricing Rate Agreements (FPRA's) and Forward Pricing Rate Recommendations (FPRR's) should submit them with their proposal.
j.) If a DD254 is applicable, offerors must verify their Cognizant Security Office information is current with Defense Security Service (DSS) at www.dss.mil.