ASSISTANT SECRETARY OF WAR
3030 DEFENSE PENTAGON
WASHINGTON, DC 20301-3030

SCIENCE
AND TECHNOLOGY

MEMORANDUM FOR SECRETARIES OF THE MILITARY DEPARTMENTS
COMMANDER, UNITED STATES SPECIAL OPERATIONS COMMAND
DEFENSE AGENCY AND DOD FIELD ACTIVITY DIRECTORS
SENIOR PENTAGON LEADERSHIP

SUBJECT: 2026 University Affiliated Research Center Management Plan

I have approved the attached 2026 University Affiliated Research Center (UARC) Management Plan, which is effective immediately. UARCs deliver crucial strategic value to the Department of War (DoW) and their primary sponsors by providing independent, intellectually rigorous, relevant, and timely products and services, aligned with the core competencies outlined in their contracts. This updated UARC Management Plan reaffirms DoW's ongoing need for the strategic, long-term technical capabilities provided by the UARCs.

Mr. Jacob Glassman, Deputy Assistant Secretary of War for Science and Technology Foundations, and his staff will collaborate with your teams and the UARCs to ensure a seamless implementation of the 2026 UARC Management Plan. For questions or assistance, please contact Ms. Valarie Hall at email: valarie.i.hall.civ@mail.mil, 703-571-4545. My sincere thanks to your staffs and the UARCs for their contributions to updating the UARC Management Plan.

Joseph S. Jewell Digitally signed by JEWELL.JOSEPH.S.1500718257 Date: 2026.04.18 22:51:08 -04'00'

Joseph S. Jewell, PhD

Attachment:
As stated

U.S. Department of War
University Affiliated Research Center (UARC)
Management Plan

March 2026

Office of the Under Secretary of War for Research and Engineering

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1. PURPOSE

The purpose of this Management Plan is to provide direction and guidance for the contracting, establishment, renewal, and termination of Department of War (DoW), university-affiliated research centers (UARCs) that provide advanced research and technology capabilities essential to DoW. Additional details on each of the current UARCs may be found here: https://defenseinnovationmarketplace.dtic.mil/ffrdcs-uarcs/

2. DEFINITIONS

UARC – A University Affiliated Research Center is a designation given to a research center affiliated with a university or college that provides advanced research and technology capabilities essential to DoW. A UARC is a strategic DoW university or college laboratory that provides or maintains DoW essential engineering, research, or development capabilities within key technical areas defined as core competencies and receives non-competitive contract awards from DoW under the authority of 10 U.S.C. § 3204 [previously. 10 U.S.C. § 2304(c)(3)(B)]. A UARC may also receive DoW funding under other authorities, or funding from other sources, which is therefore not subject to this plan.

Primary sponsor - A DoW Component that is designated as the UARC's primary sponsor by the Under Secretary of War for Research and Engineering (USW(R&E)). The primary sponsor is responsible for implementing the requirements of this Management Plan.

Work Sponsor (formerly called Tasking Activity) - A work sponsor is the DoW entity that requires and funds project(s) with the UARC.

NOTE: See additional definitions in the glossary at the end of this document

3. AUTHORITY

This Management Plan is issued under the authority of DoW Directive 5137.02, "Under Secretary of Defense for Research and Engineering (USD(R&E))," and is consistent with title 10 United States Code (U.S.C.) § 3204 authority to award a non-competitive contract to establish or maintain an essential engineering, research, or development capability to be provided by an educational or other nonprofit institution, in accordance with Office of Federal Procurement Policy (OFPP) Policy Letter 11-01 ("Performance of Inherently Governmental and Critical Functions").

4. APPLICABILITY

a. This Management Plan applies to the Office of the Secretary of War (OSW), the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of Inspector General of the Department of War, the

Defense Agencies, the DoW Field Activities, and all other organizational entities within DoW (referred to collectively in this Management Plan as the "DoW Components").

b. U.S. research or engineering laboratories affiliated with an educational institution that receive non-competitive new or renewal contracts from DoW appropriations under authority of 10 U.S.C. § 3204 (as is implemented via the Federal Acquisition Regulation (FAR) 6.302-3) and are designated as a UARC by the USW(R&E) are subject to this Management Plan. All existing DoW UARCs, established prior to fiscal year 2010, will be maintained at the original $2 million annual threshold; UARCs established since 2010, but prior to the date of this Management Plan will be maintained at the $6 million annual threshold. UARCs established after the date of this Management Plan will have a $10 million annual funding threshold. A list of current UARCs and associated sponsors is available at federally funded research and development centers (FFRDCs) and UARCs – Defense Innovation Marketplace (defenseinnovationmarketplace.dtic.mil/ffrdcs-uarcs/).
c. This Management Plan is consistent with 10 U.S.C. § 4141, which requires competition for the award of grants and contracts to colleges and universities unless the contract is awarded in accordance with 10 U.S.C. § 3204. 10 U.S.C. § 3204 and FAR 6.302-3 contain further limitations and requirements that must be complied with, such as written justifications.

5. GENERAL

a. DoW UARCs fulfill an important role as a part of the broader DoW R&E enterprise, which consists of Government research laboratories, FFRDCs, non-profit private laboratories, small businesses, and the broader defense industrial base. UARCs, as non-profit research laboratories affiliated with educational institutions, provide or maintain essential engineering, research, or development capabilities to the DoW. These capabilities are maintained within specific core competencies that are approved by the USW(R&E) and reaffirmed or revised, as appropriate, every five years as part of the comprehensive review of the UARC.
b. UARCs provide a vital linkage to academia, universities, and emerging science, technology, engineering, and mathematics (STEM) human capital, which is essential to a healthy defense research enterprise. As non-profits, UARCs are uniquely positioned to provide independent and objective technical advice to the Government, while acting as a bridge across industry and DoW. UARCs collaborate across organizations and maintain long-term, strategic partnerships with DoW and their primary sponsors.
c. In recognition of the value of a long-term strategic relationship, and the obligation to maintain essential capabilities, DoW permits the award of sole-source, non-competitive contracts to UARCs under the authority of 10 U.S.C. 3204. This authority permits the awarding of contracts "to establish or maintain an essential engineering, research, or development capability to be provided by an educational or other nonprofit institution or

a federally funded research and development center." This authority is applicable to UARCs because of their affiliation with an educational institution.

6. UARC MANAGEMENT

In accordance with the requirements of section 220(f) ("Federally Funded Research and Development Centers and University-Affiliated Research Centers") of the National Defense Authorization Act (NDAA) for fiscal year (FY) 1996 (Public Law 104-106), DoW establishes and maintains UARCs within well-defined and limited technical domains that follow the requirements set forth in 10 U.S.C. § 3204, "To establish or maintain an essential engineering, research, or development capability to be provided by an educational or other nonprofit institution..."

a. Each UARC shall have well-defined technical areas of core competence, approved by the Office of the Under Secretary of War (OUSW) for R&E, that sufficiently identify:
   1) work that could be awarded through competitive procedures;
   2) work that can only be performed by the UARC; and
   3) work that aligns to essential, continuously evolving, long-term DoW mission needs.
b. New UARCs will be competitively selected. However, if the USW(R&E) approves the designation of a UARC—with either a new or a renewal contract, or a UARC that was determined appropriate using other than competitive procedures (also referred to as sole-source)—it does not guarantee automatic approval of the UARC's sole-source contract. Appropriate justification and approval of sole-source awards must continue to be documented in accordance with the FAR, and other applicable DoW and Federal regulations.
c. All UARCs shall have a primary contract that includes a detailed justification of well-defined and limited technical domains of the UARC's core competencies. Before awarding a sole-source, non-competitive contract to a UARC, the contracting office shall ensure that the core competencies sufficiently differentiate between work that could be awarded through competitive procedures and work that can only be delivered by the UARC. (10 U.S.C. § 3204 and FAR subpart 6.302-3).
d. All contracts awarded to the UARC under 10 U.S.C. § 3204 must be consistent with the core competencies as identified in the UARC's primary contract. All contracts shall adhere to the guidance provided in this Management Plan and shall be approved in writing by the primary sponsor prior to any award.
e. UARCs shall have a comprehensive conflict of interest (COI) policy covering both organizational and personal conflicts of interest to maintain Government trust in the integrity of the work of UARCs and ensure compliance with DoW and FAR 9.5 and Defense Federal Acquisition Regulation Supplement (DFARS) 235.5. The policy shall ensure that the integrity and objectivity of UARC work is not (and does not appear to be) compromised because of the presence of competing financial or personal interests. The

UARC is required to operate in the public interest and conduct its business in a manner befitting its special relationship with the Government. To discharge its responsibilities to the Government, a UARC may be required to have access to Government and supplier data, including sensitive and proprietary information, and to employees and facilities, beyond that which is common to a traditional DoW contractor.

f. UARCs may compete in response to competitive Requests for Proposals (RFPs), Requests for Information (RFIs), Broad Agency Announcements (BAAs), or Other Transaction Agreements (OTAs) for research efforts that align with their core competencies. Upon receiving notification of an award from industry or another DoW Component that will not be included on the primary sponsor contract, the UARC must notify its primary sponsor in writing. UARCs will observe the following guidelines:

1) UARCs may not compete for work that involves engineering expertise developed or sustained through contracts awarded under 10 U.S.C. § 3204 if such work would or could even appear or be perceived to conflict with or duplicate the UARC's and Government's contract, or create an organizational COI as defined in DFARS 235.5.
2) Competitive work performed by the UARC will not conflict with, duplicate, or otherwise jeopardize the UARC's ability to perform its work for the DoW and shall not introduce an actual or apparent COI.
3) Any information gained through authorized activities shall be used only for its authorized purpose. Unauthorized use, dissemination, publication, or release of proprietary or privileged information gained through such activities is prohibited.
4) UARC resources and capabilities will be made available to industry on a fair and reasonable basis to satisfy Government requirements. The UARC, in coordination with its primary sponsor, will establish and maintain clear and efficient pathways for industry partners to access UARC expertise and capabilities. Arrangements made with those outside the UARC (academia, industry, people, etc.) are subject to applicable DoW and Federal regulations (including information security). The UARC is responsible for enforcing and ensuring compliance.
5) UARCs must report all DoW funding awarded to them, including through instruments other than their primary sponsor's UARC contract.
6) While there is no prohibition against UARCs conducting work for industry, each UARC must screen and document all such proposed work to avoid the appearance of any impropriety or COI. Written notification to the primary sponsor of having received an award from industry must include a COI Disclosure Statement. This statement shall affirm that the UARC has conducted a preliminary review of the proposed work against the Organizational Conflict of Interest (OCI) principles in FAR Part 9.5 and must include the outcome of the review, noting any potential conflicts and proposed mitigation strategies. The documentation must be made available to OUSW(R&E) upon request.

g. OUSW(R&E) will conduct an annual review of each UARCs' approved core competencies to ensure appropriate distinction among the UARC areas of core competence.

7. CHARACTERISTICS OF DOW UARCS

a. A UARC maintains a strategic, long-term relationship with DoW that requires the UARC to provide the following (this is not an exclusive list):
   - Responsiveness to evolving primary sponsor requirements
   - Comprehensive knowledge of the primary sponsor's requirements and problems
   - UARC personnel and staff with appropriate clearances for broad access to information, including proprietary data (subject to information security regulations such as those in the FAR and DFARS)
   - Broad and current specialized knowledge, including knowledge of cutting-edge information and technology, and forward-thinking anticipation and predictions of future DoW needs for research, development, engineering, evaluation, and testing; DoW's long-term strategic relationship with UARCs requires them to provide and maintain advanced and sophisticated engineering, research, and/or development capabilities essential to the Department's mission and operations
   - Independence and objectivity
   - Quick response capability
   - Current operational experience and knowledge working with DoW organizations
   - Mitigation of (real or perceived COI including financial COI) in compliance with DoW and Federal regulations to protect the integrity of the UARC process and the Government's contract with the UARC.
   - DoW UARCs are expected to conduct work across the full spectrum of research and development (R&D) phases denoted and defined in the table below as 6.1 – 6.8. For the budget activities defined in Table 1, UARCs may also perform Operation and Maintenance work and may perform work under any appropriation that is appropriate for the work described in the task award.

TABLE 1 - Budget Activities: DoW Financial Management Regulation DoD 7000.14-R, Volume 2B, Chapter 5, Research, Development, Test, and Evaluation Appropriations

R&D Phase	Summarized Description
6.1 Basic Research	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. It is farsighted high payoff research that provides the basis for technological progress.
6.2 Applied Research	Systematic study to understand the means to meet a recognized and specific need. It is a systematic expansion and application of knowledge to develop useful materials, devices, and systems or methods. Directed toward general military needs with a view toward developing and evaluating the feasibility and practicality of proposed solutions and determining their parameters.
6.3 Advanced Technology Development	Development of subsystems and components and efforts to integrate subsystems and components into system prototypes for field experiments and/or tests in a simulated environment. Proof of technological feasibility and assessment of component operability and producibility rather than the development of hardware for service use.
6.4 Advanced Component Development and Prototypes	Evaluate integrated technologies, representative modes or prototype systems in a high fidelity and realistic operating environment. Expedite technology transition from the laboratory to operational use. Emphasis is on proving subsystem maturity prior to integration in major and complex systems.
6.5 System Development and Demonstration	Conduct engineering and manufacturing development tasks aimed at meeting validated requirements prior to full-rate production. Prototype performance is near or at planned operational system levels. Involves live fire test and evaluation and initial operational test and evaluation of production representative articles.
6.6 Research, Development, Test, and Engineering (RDT&E) Management Support	Efforts and funds to sustain or modernize the installations or operations required for general RDT&E. Includes test ranges, military construction, maintenance support of laboratories, operation, and maintenance of test aircraft and ships, and studies and analyses in support of the RDT&E program.
6.7 Operational System Development	Includes development efforts to upgrade systems that have been fielded or have received approval for full rate production in the current or subsequent fiscal year. All items are major line-item projects that appear as RDT&E Costs of Weapon System Elements in other programs.
6.8 Software and Digital Technology Pilot Programs	Software, electronic tools, systems, applications, resources, acquisition of services, business process re-engineering activities, functional requirements development, technical evaluations, and other activities in direct support of acquiring, developing, deploying, sustaining, enhancing, and modernizing Software Digital Technology Pilot Programs.

8. RESPONSIBILITIES

a. The USW(R&E) will:
   1) Establish and maintain the DoW UARC Program.
   2) Approve the establishment, renewal, or termination of a UARC.
   3) Establish policies and prescribe procedures for UARC oversight.
   4) Designate a DoW Component to serve as the primary sponsor of the UARC.
   5) Delegate responsibility and authority to the primary sponsor, as necessary, for the oversight of the UARC, consistent with this Management Plan.
   6) Review and approve the well-defined technical areas of core competence (and all requests for revisions) provided by the UARC.
   7) Provide the primary sponsor with any special review requirements upon the primary sponsor's notification of intent to initiate the comprehensive review of the UARC.
   8) Review the findings and recommendations from the primary sponsor of the comprehensive review of the UARC.
   9) If necessary, may transfer the primary sponsor responsibilities for the UARC to another DoW Component to ensure technical and management oversight of the UARC is maintained.

b. The Deputy Assistant Secretary of War for Science and Technology Foundations will:
   1) Develop and implement UARC policies and procedures to effectively operate and manage the DoW UARC Program for approval by the USW(R&E).
   2) Support strategic long-term relationships between DoW and its UARCs.
   3) Assess information and prepare recommendations with supporting justification for the USW(R&E) regarding:
      i. Requests for establishing, renewing, or terminating a UARC.
      ii. Potential assignment or reassignment of primary sponsors.
      iii. The comprehensive review of the UARC.
      iv. Requests for the renewal or termination of the designation of the DoW UARC.

c. The primary sponsor will:
   1) Adhere to UARC policy, guidance, and requirements provided in this Management Plan (as well as applicable DoW and Federal regulations, such as acquisition and contracting, ethics and standards of conduct, and fiscal, including those captured in the reference section of this document) when developing and implementing operational procedures for the oversight of the UARC.
   2) Ensure sufficient management oversight of the UARC through technical, contractual, financial, security (including information security, operational security, and physical security), and administrative procedures to facilitate the efficient administration and operation of the UARC.

3) Ensure all proposed work for the UARC, to include work performed outside and separate from the UARC contract with DoW, is appropriate for the UARC and consistent with the UARC's core competencies.
4) Proactively promote the UARC's R&D activities and facilitate authorized technology transition across DoW as appropriate.
5) Empower its UARC to establish clear and efficient pathways for industry partners to access UARC expertise and capabilities, which shall be made available on a fair and reasonable basis.
6) Upon receiving written notification from the UARC of a new award from industry or another DoW component, the primary sponsor will have five business days to review the notification and state any objections. If no objection is received from the primary sponsor within this period, the UARC may proceed with the work. The review shall ensure the work is appropriate for the UARC, does not hinder its primary mission, introduces no unmitigated COIs, and aligns with one or more of its core competencies.
7) Establish and maintain a central office within the primary sponsor's organization for UARC policy implementation and oversight that shall:
   i. Implement this Management Plan through the development and execution of an oversight structure tailored for the long-term strategic requirements provided by the UARC to DoW.
   ii. Collect and report funding and staffing data annually to the Director, FFRDC and UARC Policy, for all non-competitive contracts awarded to the UARC using the authority granted by 10 U.S.C. § 3204.
   iii. Provide an annual report on the technical accomplishments of the UARC to the USW(R&E) and the Director, FFRDC and UARC Policy, as requested.
   iv. Conduct a comprehensive review of the UARC every five years based on the guidance provided in this Management Plan and the UARC Comprehensive Review Guide.

v. determine the appropriate funding type for the Independent Assessment in the Comprehensive Review guide.

vi. In accordance with Section 10 of this management plan, submit a copy of the final comprehensive review report along with all findings and recommendations to the Director, FFRDC and UARC Policy, no less than 120 days before a new contract award or renewal for USW(R&E) consideration.

vii. In coordination with the UARC's DoW Contracting Activities and DoW Work Sponsors, ensure the alignment of work and activities to the UARC mission and core competencies.

8) Upon conclusion of comprehensive review report, request that USW(R&E) renew or terminate the UARC designation for the research center.

9) Based on the results of the comprehensive review or other factors, the primary sponsor may request that the USW(R&E) transfer the management of the UARC to another primary sponsor.

10) For UARCs that have multiple contracts awarded non-competitively under 10 U.S.C. § 3204, the primary sponsor, as part of the comprehensive review, shall ensure that all DoW contracts awarded non-competitively under 10 U.S.C. § 3204 are reviewed and are consistent with the provisions of this Management Plan.

d. DoW Contracting Activities will:

1) Ensure all non-competitively awarded contracts are consistent with applicable DoW and Federal regulations, such as 10 U.S.C. § 3204 and this Management Plan.

2) In consultation with the appropriate Government technical representative, ensure that all work performed by the UARC complies with applicable DoW and Federal regulations, such as the DoW Financial Management Regulation, the FAR, the DFARS, Standards of Conduct, and U.S.C., as well as Section 6 of this Management Plan.

3) Ensure that the UARC has a comprehensive COI policy compliant with DoW and Federal regulations and that is consistent with the UARC contract's COI requirements.

4) Ensure that a final report for all work executed by the UARC is provided to the Defense Technical Information Center (DTIC) [https://discover.dtic.mil/] in accordance with Department of War Instruction (DoWI) 3200.12, DFARS 252.235-7011, and the UARC Comprehensive Review Guide (January 2024).

e. DoW Work Sponsors will:

1) Provide a written Justification and Approval to the DoW contracting activity detailing the rationale for selecting the UARC as the performer of choice for each contract awarded under 10 U.S.C. § 3204 and ensure that each task awarded to the UARC complies with DoW and Federal regulations, including Acquisition, Financial, and Standards of Conduct.

2) Ensure UARC work is prioritized in accordance with overall DoW priorities and primary sponsor guidance.
3) Provide expected funding and performance requirements to the DoW contracting activity and the cognizant DoW contracting office for each contracted UARC for annual planning purposes as required.
4) For RDT&E funding, identify in the contract's task orders the program elements and RDT&E budget activities for all funding (e.g., 6.1, 6.2, 6.3) that will be used to fund each task for each year of sponsored work.
5) Ensure the UARC and UARC personnel are vetted and have authorized access, in compliance with DoW and Federal regulations, to Government data including sensitive and proprietary information required to perform work under the UARC's contract with the Government.
6) Oversee UARC performance, costs, and scheduling of funded tasks to ensure acceptable UARC performance.
7) Ensure all annual and final reports are submitted to DTIC for each task awarded to the UARC in accordance with DoDI 3200.12, DFARS 252.235-7011, and the UARC Comprehensive Review Guide (January 2024).

f. The UARC will:
1) Maintain a comprehensive understanding of the technical areas in their approved core competencies to ensure optimal performance within scope of its contract with the Government.
2) Recruit and retain subject matter expertise aligned to evolving work sponsor requirements and emerging technologies.
3) Maintain qualified research, management, and support staff with the required security clearances for DoW funded activities.
4) Ensure analytical impartiality; academic, scientific, and engineering independence and rigor; and an absence of COIs.
5) Provide annual technical, financial, and workforce reports to the primary sponsor or designated management organization, as requested by the primary sponsor.
6) Ensure all DoW-conducted or DoW-sponsored research involving human subjects complies with appropriate human subject research (HSR) regulations to include DoDI 3216.02.
7) Ensure all DoW-conducted or DoW-sponsored research involving animal subjects complies with appropriate regulations, such as DoDI 3216.01.
8) Operate in the public interest and conduct its business in a manner befitting its special relationship with the DoW.
9) Have a comprehensive COI policy covering organizational, financial, information, and personal conflicts of interest. The COI policy shall be consistent with DoW and Federal policy and law, and in compliance with the COI requirements in the contract between the UARC and the Government, to ensure that the integrity and objectivity

of UARC work is not compromised and does not appear to be compromised in accordance FAR Part 9.5, DFARS Part 209, and 5 CFR Parts 2635 and 3601 ("Standards of Conduct" for the Executive and DoW, respectively).

10) Maintain the ability to conduct classified research as required by the primary sponsor and work sponsors.

11) Upon receiving notification of an award from industry or another DoW Component that will not be included on the primary sponsor contract, the UARC must notify its Primary Sponsor in writing. The written notification for such awards must include a COI Disclosure Statement. This statement shall affirm the UARC has conducted a preliminary review of the proposed work against the OCI principles in FAR Part 9.5 and must include the outcome of the review, noting any potential conflicts and proposed mitigation strategies.

9. PROTOCOL FOR DOW ENGAGEMENT WITH UARCS

a. A prospective DoW sponsor seeking to engage a UARC will contact the primary sponsor or DoW contracting activity for the UARC to determine if the proposed work is within the approved technical domains of the core competencies and is otherwise appropriate to be performed by the UARC.

Primary Sponsor	One DoW Service or Agency is formally designated as primary sponsor by the USW(R&E) for each UARC. The primary sponsor works with the Contracting Activity(ies) to implement the DoW's UARC management policies and procedures.
Contracting Activity	A Contracting Activity is a DoW component that awards a contract or contracts to a UARC. Multiple Contracting Activities for a single UARC are possible. However, all contracts awarded to the UARC under 10 U.S.C. § 3204 are under the management oversight of the designated primary sponsor.
Work Sponsor	A Work Sponsor is the DoW entity that requires and funds the services of a UARC through the Contracting Activity for performance of specific DoW work.

b. The instrument(s) under which the UARC performs DoW work are a contract or contracts (sometimes referred to as agreements) between the UARC and the Contracting Activity(ies). These contracts are typically Indefinite Delivery Indefinite Quantity Cost Plus Fixed Fee contracts with Task Orders defining the statement of work, deliverable products, schedule, and funding.

c. All DoW agencies with appropriate acquisition authority are eligible to contract UARCs for work consistent with the UARC's core competencies and the requirements of the primary sponsor. UARC contract awards which are subject to DoW or Federal regulation shall be coordinated with the primary sponsor prior to award.

EXAMPLE: Notional (not actual) sponsor and activities for a contract with a UARC.

- **Primary Sponsor**: The USW for Acquisition and Sustainment
  - Oversee UARC management and disseminate guidance
  - Review UARC contractual relationships
  - Collect and report funding and staffing data annually
- **Contracting Activity**: The U.S. Air Force
  - Contracts developed and executed in accordance with UARC Management Plan.
- **Tasking Activity**: The Air Force Research Laboratory, the Missile Defense Agency, and others

10. UARCS MAY NOT PERFORM INHERENTLY GOVERNMENTAL FUNCTIONS

UARCs and their employees are not allowed to perform inherently governmental functions. The White House Office of Management and Budget (OMB) OFPP Policy Letter 11–01, Performance of Inherently Governmental and Critical Functions (76 FR 56227, September 12, 2011), and consistent with FAR subpart 7.5, UARCs may perform work that is "closely associated with the performance of inherently governmental functions," or work that is critical to maintaining control of an agency's mission and operations, with appropriate oversight by Federal officials and pursuant to properly executed contracts.

11. COMPREHENSIVE REVIEWS

a. In accordance with the DoW Reference Guide for Comprehensive Review of UARCs, every five years the primary sponsor will conduct a comprehensive review of the UARC to determine if the DoW still requires the essential research or development capabilities provided by the UARC. At the conclusion of the review, the primary sponsor will recommend to the USW(R&E) to either renew or terminate the designation of the UARC for the educational research center. The comprehensive review serves as the primary mechanism to affirm DoW's essential long-term technical requirements, the UARC's corresponding core competencies, and to validate DoW's need to continue a long-term strategic relationship with the UARC. The comprehensive review evaluates DoW's continuing need for the UARC's core competencies and assesses the efficiency and effectiveness of the UARC in meeting DoW's needs—including the ability to maintain technical excellence, objectivity, independence, quick response capability, and currency in its field(s) of expertise.

b. As part of the comprehensive review, the UARC will provide a detailed self-assessment examining its operation and performance in understanding, meeting, and responding to

the primary sponsor's requirements during the contract period of performance. In addition, the UARC will provide their estimate for a five-year manpower and funding forecast to support the long-term technical needs provided through their core competencies.

c. As part of the comprehensive review, the primary sponsor will incorporate an independent assessment of the UARC that details the strengths, weaknesses, and potential for improvement of the UARC. The independent review process should not impose an undue burden on the UARC and should work closely with the primary sponsor or designated primary sponsor's management team to access programmatic data necessary to evaluate the UARC. The composition or format of the independent assessment is determined by the primary sponsor; however, the independent assessment shall be conducted by an entity (person(s) or team(s)) with sufficient technical competency and free from personal and organizational COIs with the UARC under review. The independent assessment should include a review of the UARC's performance in responding to long-term technical requirements within the scope of the core competencies.

d. The primary sponsor shall submit the completed comprehensive review package to the USW(R&E) no fewer than 120 days before a renewal of a contract awarded under 10 U.S.C. § 3204. The package shall include the UARC's self-assessment, the independent review assessment, and the primary sponsor's recommendation to renew or terminate the UARC designation for the research and engineering center or possibly to transfer sponsorship.

12. ESTABLISHING A NEW UARC

A DoW component must request USW(R&E) approval to establish a new UARC to provide essential engineering, research, or development capabilities for DoW. The request to solicit proposals for a new UARC must define the specific engineering, research, or development area(s) that will be provided through the core competencies of the UARC. Documentation supporting the request must demonstrate that the requesting DoW component will comply with the following:

a. There is a significant DoW mission requirement and technical need for the establishment of a new DoW UARC.

b. The DoW component will nominate a primary sponsor for the UARC to the USW(R&E) and will ensure that the primary sponsor is sufficiently resourced to fully implement the requirements of this Management Plan.

c. The request must provide documentation on the level of funding commitment of the requesting component for the five-year duration of the initial UARC designation. If multiple DoW components will provide funding to the UARC, letters of commitment from each funding partner should be included with the request.

d. The request must document the proposed UARC's independent capability to provide the requirement.
e. The DoW component will perform an analysis of alternatives for meeting these requirements to include utilizing an in-house capability, existing UARC, existing FFRDC, or competitively selected performer.
f. Once approved, the designated UARC will not duplicate work performed by or existing at an established UARC. There may reasonably be a need for multiple UARCs to have similar core competencies that appear to be duplicative. Those similar core competencies may be necessary for the UARCs to perform on the DoW contract. However, DoW expenditures shall not be expended for duplicative actions, agreements, contracts, performance, or work.
g. Once approved, the primary sponsor for the designated UARC will facilitate dissemination of the UARC's research accomplishments and assist with technology transitions as appropriate within the DoW or to others.

13. NON-RENEWAL OR TERMINATION OF A UARC DESIGNATION

Documentation supporting the request not to renew or to terminate the designation of a UARC must be submitted to the USW(R&E) no fewer than 120 days prior to any proposed contract action (such as renewal, a deliverable, a payment) to mitigate the risk of the Government expending for work by the UARC that is not being performed or is no longer needed. The documentation must include language to support at least one of the following:

a. The DoW mission requirement and technical need for the UARC no longer exists;
b. The UARC has been unable to fulfill the primary sponsor's technical requirements;
c. The UARC has been unable to provide sufficient technical staff to fulfill the primary sponsor's requirements; or
d. The DoW components have not provided sufficient funding to the UARC to sustain the UARC's core technical competencies.

A request for non-renewal or termination of a UARC designation will be communicated to the UARC within 10 business days of the request's communication to the USW(R&E). The UARC will then be accorded 30 days to respond in writing to OUSW(R&E) any information that the UARC views as relevant. The final decision on any request for non-renewal or termination of a UARC designation will be made by the USW(R&E) and communicated to the UARC, no later than 60 days prior to a proposed contract renewal.

14. REVIEW/CANCELLATION OF PLAN

This Management Plan remains in effect until superseded.

15. EFFECTIVE DATE

This Management Plan is effective immediately.

15. REQUIRED REPORTS

TABLE 2 - Required Reporting on UARCs

Report	Responsible Office	Frequency	Date Due	Report to
Comprehensive Review	Primary Sponsor	New contract or renewal of existing contract, no longer than every five years	No later than 120 days before any contract renewal	USW(R&E) through S&T Foundations/UARC Office
Annual Report	Primary Sponsor	Annually	December 31; as of end of preceding FY	UARC Office
UARC Utilization Data	Primary Sponsor	As requested	As requested	UARC Office
Projected Funding and Staffing Requirements	Primary Sponsor	As requested	As requested	UARC Office

17. GLOSSARY

a. Capability - The combined ability of an organization to apply its resources (people, processes, and technology) to achieve a specific outcome or objective.
b. Comprehensive Review - A five (5) year evaluation of the DoW's continuing need of the UARC's core competencies as well as assessing the efficiency and effectiveness of the UARC in meeting DoW's needs, including the ability to maintain its technical excellence, objectivity, independence, quick response capability, and currency in its field(s) of expertise.
c. Conflict of interest; Personal – when an individual employed by an organization, in a position to materially influence research findings or recommendations, may lack objectivity or be perceived to potentially lack objectivity. (See 48 CFR Subpart 9.5, DFARS 209.5, and FAR clause 52.203-16 for more complete information.)
d. Conflict of Interest; Organizational - when an organization has or plans to have interests that directly or indirectly (through a client, contractual, financial, organizational, or other relationship) may diminish its capacity to give impartial, technically sound, objective assistance or advice, or result in it having an unfair competitive advantage. (See 48 CFR Subpart 9.5, DFARS 209.5, and FAR clause 52.203-16 for more complete information.)
e. Contracting Activity - A DoW component that awards a contract or contracts under the authority of 10 U.S.C. § 3204to a UARC. Multiple Contracting Activities for a single UARC are possible.
f. Core Competencies - Expertise in key technical areas stated clearly enough to enable differentiation between work that can be performed by the UARC and work that could be performed by other contracted activities. Core competencies serve as the basis for the Comprehensive Review and are used to inform the level of expert knowledge, skills, or capabilities required, fulfilling the essential research, engineering, and analytical requirements of DoW or the primary sponsor.
g. Primary Sponsor - A DoW Component that is designated by USW(R&E) as the UARC primary sponsor. The primary sponsor is responsible for implementing the requirements of this Management Plan.
h. UARC – A University Affiliated Research Center is a designation given to a research center affiliated with a university or college that provides advanced research and technology capabilities essential to DoW. A UARC is a strategic DoW university or college laboratory that provides or maintains DoW essential engineering, research, or development capabilities within key technical areas defined as core competencies and receives non-competitive contract awards from DoW under the authority of 10 U.S.C. § 3204 [previously. 10 U.S.C. § 2304(c)(3)(B)]. [A UARC may also receive DoW funding under other authorities, or funding from other sources, which is therefore not subject to this plan].
i. Work Sponsor (formerly called Tasking Activity) - A work sponsor is the DoW entity that requires and funds project(s) with the UARC.

18. REFERENCES

a. Code of Federal Regulations Title 5, Chapter XXVI, Part 3601 – Supplemental Standards of Ethical Conduct for Employees of the Department of Defense
b. Defense Federal Acquisition Regulation, Subpart 209.5 Part 3601. - Conflict of interest
c. Defense Federal Acquisition Regulation Supplement 252.235-7011 Final Scientific or Technical Report
d. Department of Defense 7000.14-R, Volume 2B, Chapter 5 – Research Development Technical and Engineering Appropriations
e. DoW Directive 5137.02, "Under Secretary of Defense for Research and Engineering (USD(R&E))" Dated July 15, 2020
f. DoW Instruction 3200.12, "DoD Scientific and Technical Information Program" Dated August 22, 2013
g. DoW Instruction 3216.01, "Use of Animals in DoD Conducted and Supported Research and Training" Dated March 20, 2019
h. DoW Instruction 3216.02, "Protection of Human Subjects and Adherence to Ethical Standards in DoD-Conducted and Supported Research" Dated April 15, 2013
i. REPLACES: Department of Defense University Affiliated Research Center (UARC) Management Plan Dated July 2010
j. DoW Reference Guide for Comprehensive Reviews of University Affiliated Research Centers; dated January 28, 2024. Federal Acquisition Regulation 52.203-16 Preventing Personal Conflicts of Interest
k. Federal Acquisition Regulation 6.302-3 Industrial mobilization; engineering, developmental, or research capability; or expert services
l. Federal Acquisition Regulation Subpart 7.5 – Inherently Governmental Functions
m. Federal Acquisition Regulation Subpart 9.5 – Organizational and Consultant Conflicts of Interest
n. National Defense Authorization Act FY 2008 (Public Law 110-181)
o. National Defense Authorization Act FY 1996 Section 220(f) (Public Law 104-106)
p. White House OMB OFPP Policy Letter 11-01, Performance of Inherently Governmental and Critical Functions (76 FR 56227, 12 Sep 2011).
q. United States Code, Title 10 § 4141
r. United States Code, Title 10 § 3204 (a)(3)(B) Use of procedures other than competitive procedures