Broad Agency Announcement (BAA)
W56JSR-18-S-0001

For

The Army Rapid Capabilities and Critical Technologies Office (RCCTO)

Issued By:
Rapid Capabilities and Critical Technologies Office (RCCTO)
Bldg. 3307 Wells Rd.
Redstone Arsenal, AL 35898

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This Broad Agency Announcement (BAA) is intended to fulfill requirements for scientific study and experimentation directed toward advancing state-of-the-art technologies and/or increasing knowledge and understanding as a means to identify and develop robust innovative concepts, stimulate technology innovation, and exploit breakthroughs in science. This BAA identifies research/exploratory development areas of interest and provides prospective offerors information on the preparation of Whitepapers along with evaluation factors. THIS BAA DOES NOT FOCUS ON SPECIFIC SYSTEMS OR HARDWARE SOLUTIONS. THIS ANNOUNCEMENT IS NOT FOR THE ACQUISITION OF TECHNICAL, ENGINEERING, OR OTHER TYPES OF SUPPORT SERVICES.

Table of Contents

I. Overview of the Funding Opportunity 4
A. Required Overview Content 6
1. Federal Awarding Agency Name(s) 6
2. Program Name 6
3. Broad Agency Announcement Title 6
4. Broad Agency Announcement Number 6
5. North American Industry Classification System (NAICS) Code/Title, Catalog of Federal Domestic Assistance (CFDA) numbers 6
6. Response Date 7
II. Focus Areas of Interests and Opportunities 7
A. Funding Opportunity Description – RCCTO 7
1. Position, Navigation, and Timing (PNT) 7
2. Cyber 8
3. Electronic Warfare 8
4. Optical Augmentation 13
5. Survivability 13
6. Swarm and Anti-Swarm 13
7. Communications 14
8. Long Range Fires 14
9. Air & Missile Defense 14
10. Disruptive Technology 17
III. General Information 17
A. Award Information 18
1. Procurement Contracts 18
2. Grants 18
3. Cooperative Agreements 18
4. Cooperative research and development agreement 19
5. Technology Investment Agreement (TIA) Assistance Transaction other than a Grant or Cooperative Agreement (see 32 CFR, Part 37) 19
6. Other Transaction for Prototype (OTA) 20
B. **Eligibility Information** 20
1. Eligible Applicants 20
2. Cost Sharing or Matching 20
3. System for Award Management (SAM) 21
4. Commitment to Small Business 21
5. Contracts Options 21
6. Foreign Firms 21
7. Receipt Qualification 22
8. Conflicts of Interest 24
9. Administrative and National Policy Requirements 31

V. Multi-Step Solicitation Process 53
A. **Whitepaper Submissions (Per Special Notice/Government Request)** 53
B. **Demonstration (Per Special Notice/Government Request)** 60
C. **Submission of Full Proposals (Per Special Notice/Government Request)** 60
VI. Evaluation 61
1. Evaluation Factors 61
2. Review and Selection Process 61
3. Recipient Qualification 62
VII. Basis for Award 64
A. Negotiation and Discussions 64
B. Award Notices 65

Broad Agency Announcement
For
Army Rapid Capabilities and Critical Technologies Office

I. Overview of the Funding Opportunity

This publication constitutes a Broad Agency Announcement (BAA) in support of the Army Rapid Capabilities and Critical Technologies Office (RCCTO). The RCCTO serves to expedite critical capabilities to the field to meet Combatant Commanders' needs. The Office enables the Army to experiment, evolve, and deliver technologies in real time to address both urgent and emerging threats while supporting acquisition reform efforts. The RCCTO executes rapid prototyping and initial equipping of capabilities, particularly in the areas of cyber, electronic warfare, survivability and positioning, navigation and timing (PNT), as well as other priority projects that will enable Soldiers to operate and win in contested environments decisively. Beyond closing current capability gaps, the Office also aims to stimulate aggressive, proactive capability development and leverage disruptive technologies to meet Army strategic objectives. Additionally, the RCCTO leverages innovation by other government agencies and industry partners, as well as Warfighter feedback, to deliver solutions on an accelerated timeline. Within the Office, there is a dedicated cell called the Emerging Technologies Office (ETO), which engages directly and continuously to align, understand and drive academia, industry, and Science & Technology solutions to near-term and emerging threats with development and demonstration of revolutionary new capabilities. The ETO serves as an ombudsman, collaborating with industry to direct efforts towards specific areas of need. The RCCTO delivers urgently needed materiel capabilities that mitigate near-term operational risk against rapidly modernizing adversaries until enduring Army programs deliver capability. The Office also addresses strategic gaps, generated by Combatant Commanders, which lack a materiel solution in the next 1-5 years. The RCCTO executes analysis, prototyping, development, procurement, and production for select high-priority capability solutions. It acts as a change agent, challenging traditional approaches and leveraging Congressional NDAA approaches to acquisition agility.

This BAA is issued under the provisions of Federal Acquisition Regulation (FAR) 6.102(d)(2), which provides for the competitive selection of basic and applied research proposals, and 10 U.S.C. 2358, 10 U.S.C. 2371, and 10 U.S.C. 2371b, which provide the authorities for issuing awards under this announcement for basic and applied research. The definitions of basic and applied research may be found at 32 Code of Federal Regulations (CFR) 22.105.

Proposals submitted in response to this BAA and selected for award are considered to be the result of full and open competition and in full compliance with the provisions of Public Law 98-369 sec. 2701, "The Competition in Contracting Act of 1984." Any award from this BAA must comply with the International Traffic in Arms Regulation (ITAR) and the Export Administration Regulation (EAR).

Under the authority of 10 U.S.C. 2371b, the RCCTO office is interested in awarding funding agreements to nontraditional and traditional defense contractors to carry out prototype projects that are directly relevant to enhancing the mission effectiveness of military personnel and the supporting platforms, systems, components, or materials proposed to be acquired or developed by the Department of Defense, or to improvement of platforms, systems, components, or materials in use by the armed forces. Additionally, the Government may use any information gained as a consequence of this BAA pursuit of future market research efforts for arriving at the most suitable approach to acquiring, distributing, and supporting supplies and services.

RCCTO will not issue paper copies of this announcement. RCCTO reserves the right to select for award and fund all, some, or none of the whitepapers, proposals, or demonstrations in response to this announcement. The cost of preparing whitepapers in response to this BAA is not considered an allowable direct charge to any resulting contract or to 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. It is the policy of RCCTO to handle all whitepapers, proposals, and presentations submitted under this BAA as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

This BAA is intended for industry and academia submissions and considerations related to advanced research technology development, innovative commercial technologies, development not related to the development of a specific system or hardware procurement. However, submissions may be directly relevant to enhancing mission effectiveness of military personnel and the supporting platforms, systems, components, or material proposed to be acquired or developed by the Department of Defense, or improvement of platforms, systems, components, or materials in use by the armed forces. Work funded under this BAA may include applied research and advanced technology development that may or may not be related to the development of a specific system or hardware procurement.

This BAA is used to fulfill the RCCTO requirements for scientific study, experimentation /demonstration and prototyping directed toward advancing the state-of-the-art or increasing

knowledge or understanding rather than focusing on a specific system or hardware solution and discovering innovative or disruptive commercial technology solutions.

NOTE: The management of this Broad Agency Announcement W56JSR-18-S-0001 has been transferred from the Army Contracting Command-Aberdeen Proving Ground (ACC-APG) to the Army Rapid Capabilities and Critical Technologies Office (RCCTO). The RCCTO is both the requiring activity and the buying activity.

A. Required Overview Content

1. Federal Awarding Agency Name(s)

Army Rapid Capabilities and Critical Technologies Office

2. Program Name

Army Rapid Capabilities and Critical Technologies Office

3. Broad Agency Announcement Title

Army Rapid Capability and Critical Technologies Office (RCCTO) Broad Agency Announcement

4. Broad Agency Announcement Number

Broad Agency Announcement W56JSR-18-S-0001

5. North American Industry Classification System (NAICS) Code/Title, Catalog of Federal Domestic Assistance (CFDA) numbers.

NAICS codes will be released with each special amendment notice, and the CFDA is 12.431 “Basic Scientific Research.”

North American Industry Classification System		
NAICS	Title	Small Business

		Size Standard
541713	Research and Development in Nanotechnology	1,000 employees
541714	Research and Development in Biotechnology (except Nano biotechnology)	1,000 employees
541715	Research and Development in the Physical, Engineering, and Life Sciences (except Nanotechnology and Biotechnology)	1,000 employees
541720	Research and Development in the Social Sciences and Humanities	$20.5 million

6. Response Date

This BAA is a continuously open announcement valid for five years from the release date unless rescinded. Amendments to this BAA will be periodically publicized as special notices to detail specific areas of interest and solicit information/solutions associated with enhancing mission effectiveness of military personnel or platforms, systems, components, and materials. The Government reserves the right to request, Whitepapers, Demonstrations, Full Proposals, or a combination thereof. Upon the receipt of a whitepaper, a proposal, a completed demonstration, or a combination thereof the government intends to complete an assessment and the applicant will be advised of the results by email. The intent of the special notices are for detailing the specifics associated with a focus area of interests/opportunity, and to outline the timeline and information submission requirement. All amendment special notices will be periodically posted on the Federal Business Opportunities, and requisite links to the announcement on RCCTO and SOCOM Vulcan websites at; https://www.fbo.gov/, http://rapidcapabilitiesoffice.army.mil/eto/, and https://www.vulcan-sof.com. Interested parties are encouraged to periodically check these websites for updates and amendments.

II. Focus Areas of Interests and Opportunities

A. Funding Opportunity Description – RCCTO

1. Position, Navigation, and Timing (PNT)

The Army is looking to provide military systems with alternative PNT solutions, and enabling capabilities, that do not rely only on Global Positioning System (GPS) signals, or solutions that rebroadcast signals from existing GPS sources it which can provide Position, Navigation, and Timing (PNT) to a local consumer. The Army is looking for reliable PNT solutions that are resilient to jamming and capable of supporting multiple length missions and multiple scale users (e.g., 1, 10, 100, etc.) The Army seeks solutions that are functional above ground, below ground, and in urban environments. The Army is interested in exploring any technologies that meet any or all of these criteria elements of position, navigation, and timing as well as multiple technology readiness levels (from early concepts, prototypes, to finished products).

2. Cyber

The Army, as a modern enterprise, is interested in software and algorithms, hardware/software systems, artificial intelligence, or other solutions, and enabling capabilities, which are proficient in identifying threats, cleaning up sorting and categorizing data in real time to provide reliable decision options to Army users, creating offensive cyber solutions, or other effects. The Army is particularly looking for novel solutions to collect and/or analyze vast amount of dynamic data, identify meaningful and bogus correlations, flag potential data gaps, identify false positives, remove human confirmation bias, and reduce the overall risk of creating damage by incorrect interpretations. The Army will also explore proof of concepts and prototype solutions to help identify the next wave of solutions and look for innovative and responsiveness approaches to defend and counter emerging cyber threats.

3. Electronic Warfare

The Army is looking at the commercial sector that continues to develop data analytics and machine learning techniques, and other electronic warfare capabilities. The Army is interested in taking advantage of those developments for military applications. One application of interest is using machine learning techniques on monitoring and assessing threat RF emissions, to establish normal and abnormal patterns of life, to characterize emitter types and signal structures, to assess utility of electronic attack systems, or for other tactical uses. This does not limit the Army to looking for other novel applications for providing an enhanced capability to the Warfighter.

3.1 Expert Systems Integration into EWPMT for SOI Readings automated significance ranking based on troop and emissions patterns of movement and RF activity

The RCCTO intends to award approximately up to $360,000 and may award up to 2 contracts under this announcement, subject to the availability of funds.

Full proposals for procurement contracts are requested. Proposal format shall be in accordance with instructions found at "1. Contract Proposal" page 61 of this announcement. Please submit all proposal volumes to Darbye Brooks at darbye.t.brooks.civ@mail.mil via the AMRDEC SAFE website at https://safe.amrdec.army.mil/safe/Welcome.aspx. Proposals shall not be submitted to the technical point of contact.

Proposal submission are due no later than 1:00pm ET on 20 July 2018.

TECHNICAL PROPOSAL (PROJECT DESCRIPTION): The technical portion of the proposal shall be no longer than 30 pages including tables and figures, single spaced text, size 12 Times New Roman font with one inch page margins. Technical proposals shall include the technical approach, schedule, detailed design specifications to provide delivery of a software prototype addressing the below:

Problem Statement:

Existing human-driven methods for Electronic Warfare (EW) decision making can be burdensome, slow and inaccurate. The US Army has decided to employ an Expert Systems (ES) Artificial Intelligence (AI)-based reasoning and expert logic / decision playbooks to relieve the cognitive burden on Army EW personnel, specifically Electronic Warfare Officers (EWO) operating the Electronic Warfare Planning and Management Tool (EWPMT) and Raven Claw (RC) systems. ES will provide real-time execution of EWO codified logic and reasoning within the Integrated EW Architecture. So designed, the ES system is to be integrated into the EWPMT software baseline to improve speed and accuracy of current EW Integrated Architecture solutions. This request for whitepapers solicits design details of such integrated solution from vendors. Solicited designs should have sufficient detail to implement prototypes in future support of some key elements of the EW use cases described below. Design should incorporate flexibility in defining input ontology,

logic, reasoning engine, decision/reasoning trees and playbooks for the expert system to enable this key use case. Design should include software definitions of key interfaces and data structures/formats/messages, key playbook/decision tree definitions.

Key Use case Description

The ES is to provide real-time ranking of sensor readings by applying EWO logic and reasoning. Such logic rules should be flexible, programmable, shareable, and subject to change and reconfiguration as the EWO doctrine evolves.

The ES will rank sensor readings on a scale of 0 to 10. Rank 10 reading will be highest in importance. Rank 0 will be lowest in importance. This ranking information is used to filter out less relevant readings from user display upon programmable user setting.

Signal readings are automatically ranked in importance by ES using their characteristics, such as locations and movement patterns in relation to each other and in relation to known “Blue” (i.e. friendly) and “Red” (i.e. adversary) signals and platforms, Blue and Red Situational Awareness (SA) information as well as signals emission activity patterns. For example, if certain Signal Of Interest (SOI) readings display certain movement activity in relation to blue force formation, specific movement speeds, formation patterns, these readings can be elevated in rank according to rulebooks/reasoning logic flexible in definition. Similarly, if a section of enemy formation changed their location as indicated by Red SA data as well as demonstrated some change in their radio emission activity (e.g. went “dark”) as indicated by sensor readings, ES should rate these prior sensor readings according to some other predetermined ranking logic.

In automating its SOI readings ranking decisions, ES received the following information elements:

1) Signal readings from RC and EWPMT software (SW) and Sabre Fury (SF) and other (VROD/VMAX) EW sensor(s)
2) Blue Force SA information (e.g. Joint Capabilities Release (JCR), Joint Battle Command-Platform (JBC-P), etc.) over EWPMT Multicom adapter

3) Red SA from Distributed Common Ground System-Army (DCGS-A) and EWPMT Multicom adapter

ES applies AI to classify and rank sensor readings as:

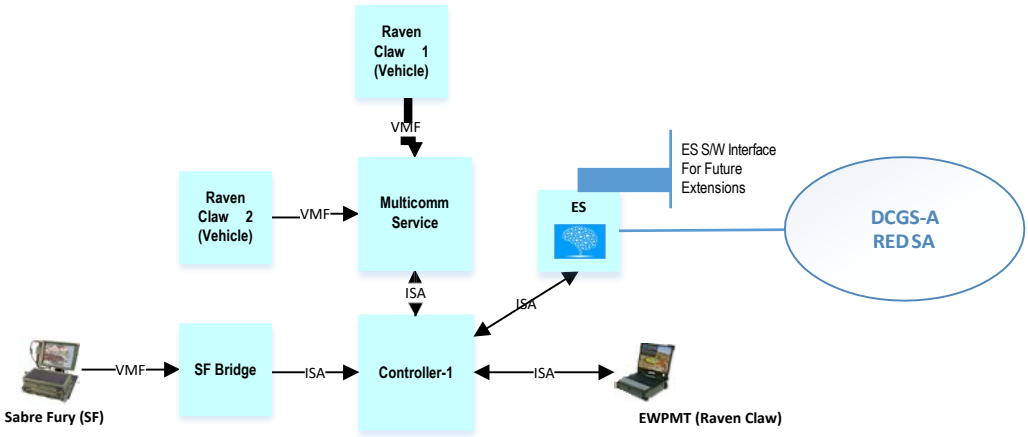
1) Blue Force (i.e. friendly), classified by proximity to known theater assets and/or signal characteristic and/or behaviors
2) Non-Blue Force (e.g. adversary, civilian, neutral party, etc.), inferred by proximity and/or signal characteristics or behavior

Assigned by Expert System ranking Metrics for EWPMT displayed readings (i.e., signal confidence / ranking levels) should be calculated/inferred from various signal characteristics and the below list. Recommended attributes / Features that can be used for ES reasoning in such ranking assignment:

1) Signal characteristics
2) Reading is identified as Blue or Red
3) Reading confidence levels (derived)
4) Geospatial Information from sensors and Blue/Red SA systems
5) Proximity of Red Readings to Blue Readings, as deducted
6) Temporal characteristics of Sensor readings and Blue Red SA
7) Absolute and Relative Movements of Red and Blue SA Readings
8) Distances and formations between readings and Red and Blue SA Readings
9) Temporal activities, "patterns of life" and temporal heuristics of detected SOIs
10) Nature of detected SOIs, any auxiliary SOI information

Brief Architecture Description

Offerors' response shall demonstrate familiarity with the following SW architecture of EWPMT-based systems:



Legend
Con troller-1 = ISA contro ller
ES = AI Expert System
EWPMT = Electronic Warfare Planning & Management Tool
ISA = Integrated Sensor Architecture format
MultiComm Service = translates WMF to ISA

Raven Claw 1 = represent RC in vehicle, can provide Blue pos ition
Raven Claw 2 = represent RC in vehicle, can provide Blue pos ition
Sabre Fury = Sabre Fury Senso r
SF Bridge = Sabre Fury Senso r ISA Bridge
VMF = Variable Message Format

Design Elements sought

Proposal submissions shall include complete Expert System Specification, addressing scalability, speed of ranking, flexibility in ontology and rule books definitions, specification of the required by the design computing requirements. The proposed Design Specifications shall demonstrate ES ability to apply learnt behaviors and patterns to ES ranking decision making.

Proposed design specification should address:

1) All Software (SW) and Hardware (HW) interface definitions and specifications
2) All database definitions and detailed specification, to include tables, their relations and database standards and libraries
3) All data structures, protocols and messaging definitions
4) All echelon level and force level information to be utilized in design and the formats of their representation within the proposed prototype
5) Specific rulebook/playbook designs and/or decision tree design
6) Specific ontologies, sensor information elements
7) Sensor reading ranking algorithm/logic/reasoning design
8) Computing environment definitions
9) All libraries and packages dependencies and versions

10) A list of all known licenses any of the utilized by the design SW modules (including 3rd party) may be covered by

Technical Point of Contact: Dr. Dennis Bushmitch, email: dennis.bushmitch.civ@mail.mil

4. Optical Augmentation

The Army is looking at Optical Augmentation, or Pre shot detection capabilities, to enhance preemptive engagement; Areas of interest center around Pre-shot type capabilities to identify threats prior to engagement, reducing the need for hostile fire detection responses, and identifies or disrupts acquisition of target prior to initiation of threat. Whereby, ultimately enabling Force protection and Survivability, while contributing to Lethality and Situational Awareness in increasingly lethal environments. The Army is also looking for novel applications understand the situation, and provide the ability to decide and act more rapidly than an enemy can respond.

5. Survivability

The Army is looking at providing novel platform (i.e. vehicle) protection, or other means and enabling capabilities, which, will significantly increase combat platform and formation force protection, survivability, situational awareness, and lethality.

6. Swarm and Anti-Swarm

The Army is looking at expendable systems that rely on large numbers, individual autonomy, and cooperation to provide an offensive or defensive capability in any area across the spectrum of Army operations (i.e., swarm). Additionally, as a defensive capability providing advancements in utilizing and defeating swarm behaviors (i.e., anti-swarm). The emerging technologies should offer advances in the ability to predict the effect of a given set of rules, and automatically derive individual rules to accomplish a desired team result. The defeat mechanisms can be either kinetic or non-kinetic, swarm or non-swarm, and offer a cost-effective solution compared to existing Army offensive and defensive systems.

7. Communications

The Army is looking to evaluate alternatives, or novel means, to traditional military communications. These can be outside the traditional radio frequency (RF) spectrum and traditional communication approaches. This includes, but not limited to exploring free space optical communications, sound-wave and any other non-RF communication types that can be conducted through various mediums (e.g., Air, Water, Solids). The communication solutions could be from point to point or point to multipoint, ground to ground, and ground to air.

8. Long Range Fires

The Army is looking to evaluate alternatives, and novel, means to provide long range fires solutions, and enabling capabilities. These can be outside the traditional means for providing armament and fires capabilities and will significantly increase the effectiveness and lethality against the current capabilities.

9. Air & Missile Defense

The Army is looking to evaluate alternatives means to provide air and missile defense, and enabling capabilities. These can be novel solutions that will significantly increase the effectiveness and lethality against the current capabilities.

9.1 ARCHIVED

10. Disruptive Technology

The Army is looking for operational breakthroughs, novel solutions, or unexpected capabilities. These capabilities can address known problems from a completely new angle by promoting revolutionary new areas of opportunity. These can qualify as "high risk/high reward" and change currently accepted approaches or capabilities.

10.1 ARCHIVED

10.2 ARCHIVED

10.3 ARCHIVED

10.4 ARCHIVED

10.5 ARCHIVED

10.6 HMMWV and JLTV Hybrid Electric Vehicles BAA

High Mobility Multi-Purpose Wheeled Vehicle (HMMWV) and Joint Light Tactical Vehicle (JLTV) Hybrid Electric Vehicles.

The RCCTO is requesting whitepapers. Format shall be in accordance with instructions found at "White paper Submissions" in Section V(A) of the BAA made as an attachment to this announcement. A rough order of magnitude (ROM) in accordance with Section V(A)(14) of the BAA is requested with the whitepaper submissions and will not contribute to the page total for the whitepaper submissions.

Please submit all Whitepapers and ROMs in separate files to Ms. Simone Brightmon at simone.l.brightmon.civ@mail.mil and Ms. Jolynda Ivy at jolynda.v.ivy.civ@mail.mil.
Subject line must read "Whitepaper and ROM HMMWV and JLTV Hybrid Electric Vehicle-[Company Name]".
Example: Whitepaper and ROM HMMWV and JLTV Hybrid Electric Vehicle-ABC Inc. Failure to do so may result in elimination for consideration for the funding opportunity.
Whitepaper and ROM submissions are due no later than 1:00pm ET 15 September 2021.

Problem Statement:
The HMMWV is the Army's light wheeled vehicle for combat support and combat service support missions with over 100,000 currently in service. Since its fielding in the 1980s, it has proved invaluable, and the Army has fielded multiple variants such as ambulances and up armored versions that include the Common Remotely Operated Weapon Station (CROWS) that enhances its survivability and lethality. Mine Resistant Ambush Protected Vehicles and the JLTV have supplanted the HMMWV for combat missions, however, the HMMWV is expected to remain in the military until at least 2050. Due to the large numbers of HMMWV variants found throughout the Army and the continued need for their service into the foreseeable future, the Army has been conducting an extensive depot recapitalization program for older model and war-weary HMMWVs which has produced almost 50,000 recapitalized vehicles. The Army continues to upgrade and modernize its fleet of HMMWVs in order to improve fuel efficiencies and ensure they can support

the Army on and off the battlefield for decades to come.

As the Army's light tactical vehicle for combat, the JLTV family of vehicles consists of vehicles capable of performing multiple mission roles and were designed to provide protected, sustained, and networked mobility for personnel and payloads across the full range of military operations in two variants and four mission package configurations: general purpose, heavy-guns carrier, close-combat-weapons carrier, and a utility vehicle. While the JLTV is in production, it is conceivable the Army could modify future production awards to include a hybrid electric variant.

Hybrid electric propulsion system technology and energy storage systems have matured and advanced to the point of mainstream commercial technology in automobiles, trains, and large industrial and commercial vehicles and are ready to be integrated into military vehicles in order to enhance operational combat effectiveness and supportability. To remain competitive on the battlefield, our military vehicles require significantly more electrical power to support new and future high-energy capabilities such as silent mobility, reduced signature management, lasers, and microwave systems. Additionally, while increasing performance and power generation capabilities, it is equally important to reduce the fuel and logistical support required. The primary opportunity and purpose of this effort is to integrate hybrid electric capabilities into both the HMMWV and JLTV to demonstrate the feasibility of these technologies to support future weapon systems, reduce the Army's reliance on fossil fuels and extend the effectiveness of these vehicles well into the future.

A HMMWV and/or JLTV Hybrid Electric Vehicle should:
Integrate a hybrid electric solution on a base HMMWV and/or JLTV while minimizing modifications to the vehicle's base cab, chassis, suspension, frame, or structure. The solution should increase automotive performance (acceleration, torque, maneuverability, power generation capability, fuel efficiency, extended range beyond 300 miles, etc.) beyond the current non-hybrid baseline variants at their respective gross vehicle weights (GVW) which is 22,500lbs for the M1281 Close Combat Weapons Carrier JLTV and 12,100lbs for the M1151A1W/B1 Armor Kit HMMWV. The table below describes the minimal level performance targets for the hybrid electric prototypes.

Performance Targets		
Metric	**JLTV Target**	**HMMWV Target**
Acceleration (0-30 MPH)	≤ 8 seconds	≤ 8 seconds

Power Generation (OBVP)	250KW HV both engine & battery with 30kW @28VDC	250KW HV both engine & battery with 30kW @28VDC
Power Generation (Export AC Power)	≥ 30kW	≥ 30kW
Range	≥ 300 Miles @ 35MPH	≥ 300 Miles @ 35MPH
Silent Watch	≥ 6 hours @ 2.0 kW load	≥ 6 hours @ 1.5kW load
Silent Mobility	≥ 50 miles, level ground	≥ 50 miles, level ground

The HMMWV and JLTV should effectively generate, store and distribute power to a host of potential weapons systems or to power external assets such as a laser warning receiver or a soft kill active protection system. The power architecture will supply electrical power in multiple variations to include 12VDC, 28VDV, High Voltage DC, 110VAC, and 220VAC to support current and future high demand energy systems.

Maintain existing vehicle capabilities (mobility, ride dynamics, transportability, and payload) while not exceeding the current vehicle gross weight) with allowances for battery placement and without compromising crew compartment space.

Maximize the use of commercially available components with military vehicle modification in an effort to reach Technology Readiness Level (TRL) 7 at a system level and Manufacturing Readiness Level (MRL) 5 when demonstrated as a prototype at the end of this effort.

Incorporate anti-idle technology and the associated optimized heating and cooling systems to reduce fuel consumption to the maximum extent possible without degrading operations or functionality while the vehicle is stationary.

Opportunity Sought:

Whitepaper submissions shall include how to design, prototype, and deliver either one (1) Hybrid

Electric HMMWV and/or one (1) Hybrid Electric JLTV Vehicle(s) within 15 months of contract award. Government Furnished Equipment (GFE) provided at the start of the project include the vehicle and Government Furnished Information (GFI) that includes limited CAD models, user manuals, Security Classification Guides, and vehicle characteristic sheets (receipt of certain data will be conditioned on a "need to know," proper NDA(s) and clearing proper security protocols at the USG's discretion). Additionally, discuss how you would produce the modification to these vehicles that converts the current power and drive systems into a Hybrid Electric Vehicle. Your white paper shall address either one or both vehicle types. Following the white Paper submissions, we intend to invite select vendors in for oral presentations and/or ask them to provide the RCCTO a proposal to provide said prototype(s). The RCCTO intends to make multiple prototype Other Transaction Authority (pOTA) awards for prototype deliveries of these two vehicles for delivery to the Government for testing within 15 months of award. Cost sharing may be required due to the use of an OTA as an award instrument. The Government prefers that all traditional defense contractors/large businesses, nontraditional defense contractors/small business prime contractors, and academic institutions propose some degree of cost share.

In the interest of enhancing the industrial base, seeking diverse solutions and ensuring strong competition, the USG expects to award to traditional defense contractors/large businesses, nontraditional defense contractors/small business prime contractors, and to academic institutions as prime contractors based on their qualifying proposals. Any Selectees must meet award requirements of 10 USC 2371b (for instance, NDC or SB participation, appropriate cost-share, etc.). The USG may retain non-selected acceptable White Papers in reserve for potential selection for up to three years following the submission deadline.

White Paper Evaluation Criteria:

The RCCTO will be evaluating white papers in three overarching categories. These categories are in a descending order of importance.

a) Schedule. This is the ability of the vendor to deliver their prototype(s) within 15 months or earlier from contract award. For example, if a vendor proposed to integrate a hybrid electric solution for one (1) HMMWV and one (1) JLTV prototype, both prototypes are required to be delivered within 15 months or earlier from the date of the award.

b) Technical. This category will assess the vendor's overall technical approach to hybridizing a HMMWV and/or the JLTV and meeting or exceeding the technical goals listed above, their internal technical expertise (e.g. history of conducting similar types of efforts), the overall complexity of the vendor's solution, and overall risk to meet the performance targets outlined in the Performance Target table listed above.

c) Cost. The RCCTO will assess whether the proposed cost or price is realistic and affordable for the proposed technical approach. The RCCTO intends to make multiple awards under this announcement, subject to the availability of funds.

Follow-On Production Work:
Following successful completion of a prototype project and subject to the availability of funds, results from this effort will be used in developing program office plans and estimates to present to Headquarters Department of the Army for decisions on path forward and funding availability. Follow on contracts may be awarded and may be FAR based or Other Transaction Agreement and may require additional competition. Follow-on production activities are anticipated to be in support of Program Executive Office Combat Support & Combat Service Support (PEO CS&CSS) vehicle modernization efforts. It is not fully known at this time what the quantities or dollar values may be awarded, if any. The follow-on production efforts for this prototype project are expected to vary depending on the customer, however, as this hardware/software is anticipated to be an additional capability increase for existing systems or systems in production or development, it is anticipated that a successful prototype project may result in eventual production or further development.

Technical Point of Contact: MAJ Michael Pesano, Michael.g.pesano.mil@mail.mil

Notice: Offerors are advised that employees of the firms identified below may serve as non-government advisors in the review and evaluation of white papers as well as the source selection process. These individuals will be authorized access only to those portions of the white paper / proposal data and discussions that are necessary to enable them to perform their respective duties. Such firms are expressly prohibited from competing on the subject acquisition.

- Radiance Technologies, 310 Bob Heath Drive, Huntsville, AL 35806, (256) 704-3403
- MTSI, 5285 Shawnee Road, Alexandria, VA 22312, (703) 564-3800

In accomplishing their duties related to the white paper evaluation and source selection process, the aforementioned firms may require access to proprietary information contained in the offerors' proposals. Therefore, pursuant to FAR 9.505-4, this firm may execute an agreement with each offeror that states that they will (1) protect the offerors' information from unauthorized use or disclosure for as long as it remains proprietary and (2) refrain from using the information for any purpose other than that for which it was furnished. To expedite the evaluation process, each offeror must contact the above companies to effect execution of such an agreement prior to the submission of proposals. Each offeror shall submit copies of the agreement with their proposal, if applicable.

III. General Information

The Government reserves the right to make multiple awards, no awards, or a single award, subject to the limitations of fiscal year funding. One or more awards per Technology Focus Area, as described in the Funding Opportunity Description, are anticipated. An Offeror may propose on more than one Area. The RCCTO plans to award approximately $50,000,000 under this announcement, subject to the availability of funds.

The period of performance, and values, of individual contract awards will range at the Government's discretion. However in anticipation, but not limited to, three to twelve month period of performance awards, with dollar amounts ranging from $500,000 to $2,000,000 may be expected. The estimated start date of selected projects is subject to date of final award and availability of fiscal year (FY) funds. The award(s) will be made for the full performance period requested. Options may be utilized.

A. Award Information

The RCCTO has the authority to award a variety of instruments. RCCTO reserves the right to use the funding arrangement or contract type most appropriate for the effort proposed. Offerors should familiarized themselves with these instruments types and the applicable regulation before submitting a proposal. Following are brief descriptions of the possible award instruments.

1. Procurement Contracts

A legal instrument, which consistent with 31 U.S.C 6303, reflects a relationship between the Federal Government and a State, a local government, or other recipient when the principle purpose of the instrument is to acquire property or services for the direct benefit or use of the Federal Government.

2. Grants

A legal instrument consistent with 31 U.S.C 6304, used to enter into a relationship. The principal purpose of which is to transfer a thing of value to the recipient to carry out a public purpose of support or stimulation authorized by a law of the United States, rather than to acquire property or services for the Department of Defense's direct benefit or use. Further, it is a relationship in which substantial involvement is not expected between the Department of Defense and the recipient when carrying out the

activity contemplated by the grant. No fee or profit is allowed.

3. Cooperative Agreements

A legal instrument consistent with 31 U.S.C. 6305, used to enter into the same kind of relationship as a grant (see definition 3 above), and except that substantial involvement is expected between the Department of Defense and the recipient when carrying out the activity contemplated by the cooperative agreement. The term does not include

"cooperative research and development agreements," as defined in 15 U.S.C. 3710a. No fee or profit is allowed.

Grants and cooperative agreements are governed by the following regulation:

Code of Federal Regulations (CFR) part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards," as modified and supplemented by the Department of Defense's (DoD) interim implementation found at 2 CFR part 1103, "Interim Grants and Cooperative Agreements Implementation of Guidance in 2 CFR part 200" (79 FR 76047, December 19, 2014).

4. Cooperative research and development agreement.

IAW 15 U.S.C 3710a, any agreement between one or more Federal laboratories and one or more non-Federal parties under which the Government, through its laboratories, provides personnel, services, facilities, equipment, intellectual property, or other resources with or without reimbursement (but not funds to non-Federal parties) and the non-Federal parties provide funds, personnel, services, facilities, equipment, intellectual property, or other resources toward the conduct of specified research or development efforts which are consistent with the missions of the laboratory; except that such term does not include a procurement contract or cooperative agreement as those terms are used in sections 6303, 6304, and 6305 of title 31.

5. Technology Investment Agreement (TIA) Assistance Transaction other than a Grant or Cooperative Agreement (see 32 CFR, Part 37)

A legal instrument, consistent with 10 U.S.C. 2371, which may be used when the use of a contract, grant, or cooperative agreement is not feasible or appropriate for basic, applied, and advanced research projects. The research covered under a TIA shall not be duplicative of research being conducted under an existing DOD program. To the maximum extent practicable, TIA’s shall provide for a 50/50 cost share between the government and the offeror. An offeror's cost share may take the form of cash, independent research and development (IR&D), foregone intellectual property rights, equipment, or access to unique facilities, as well as others. Due to the extent of cost share, and the fact that an other transaction does not qualify as a "funding agreement" as defined at 37 CFR 401.2(a), the intellectual property provisions of a TIA can be

negotiated to provide expanded protection to an offeror's intellectual property. No fee or profit is allowed on other transactions. Cost sharing & matching is not an evaluation factor used under this BAA. Exceptions to this may exist if the offeror is proposing the use of a TIA or an OTA as an award instrument.

6. Other Transaction for Prototype (OTA)

A legal instrument, consistent with 10 U.S.C. 2371 (as supplemented by Section 845 of Public Law 104-201 and Section 804 of Public Law 104-201) and 10 U.S.C. 2371b, which may be used when the use of a contract, grant, or cooperative agreement is not feasible or appropriate for prototype projects directly relevant to weapons or weapon systems proposed to be acquired or developed by the DOD. The effort covered under another transaction for prototype shall not be duplicative of effort being conducted under an existing DOD program (please refer to the "Other Transactions" OT Guide for Prototype Projects at http://www.acq.osd.mil/dpap/Docs/otguide.doc). For Cost-Sharing requirements for these types of awards please see "C2 16. COST SHARING" found on page 30 at the web-link directly above.

B. **Eligibility Information**

1. Eligible Applicants

Eligible applicants under this BAA include degree-granting universities, nonprofit organizations, or industrial concerns. There is no restriction on the place of performance included in the BAA. Proposals are encouraged from Historically Black Colleges and Universities (as determined by the Secretary of Education to meet requirements of Title III of the Higher Education Act of 1965, as amended (20 U.S.C. § 1061)) and from Minority Serving Institutions defined as institutions "whose enrollment of a single minority or a combination of minorities…exceeds 50 percent of the total enrollment." [20 U.S.C. § 1067q and 10 U.S.C. § 2362].

2. Cost Sharing or Matching

There is no required cost sharing, matching, or cost participation for eligible applicants under this BAA and cost sharing and matching is not an evaluation factor used under this BAA. Exceptions to this may exist if the offeror is proposing the use of an OTA as an award instrument.

3. System for Award Management (SAM)

All offerors must have an active registration in SAM at https://www.sam.gov/portal/SAM/#1 prior to the BAA close date; and continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or application or plan under consideration by an agency. Failure to comply with the SAM requirements will result in ineligibility for award.

4. Commitment to Small Business

It is the policy of the Department of Defense to provide maximum opportunity to small businesses, including small businesses in all socioeconomic categories to participate in DOD acquisitions. The DoD is strongly committed to providing prime and subcontracting opportunities for small businesses, including small businesses in all socioeconomic categories, and, Historically Black Colleges and Universities, and Minority Institutions to support the RIF program. **Selection preference shall be given to small business offers addressing evaluation factors identified in section V "Evaluations."** If a small business (prime) proposer is teaming with an other than small business on the project, the small business must perform at least 51 percent of the cost of the work.

5. Contracts Options

It is the goal of the RCCTO to facilitate transition of technology into acquisition programs. Under FAR 52.217-7, 52.217-8, and 52.217.9, contracting offices may include options in contracts for further testing, low rate production, or full rate production of technologies developed. These options can be executed by the cognizant contracting activity.

6. Foreign Firms

Foreign owned, controlled, or influenced firms are advised that security restrictions may apply that could preclude their participation in these efforts. Before preparing a proposal, such firms are requested to contact the RCCTO's Security Branch at http://rapidcapabilitiesoffice.army.mil/eto/concerning their eligibility. Pursuant to the policy of FAR 35.017 and supplements, selected Federally Funded Research and

Development Centers may propose under this BAA. All email inquiries directed to the RCCTO security branch shall include the subject line entitled "Army Rapid Capabilities Office Security."

7. Receipt Qualification

a. For Assistance Instruments:

i. The Grants Officer is responsible for determining a recipient's qualification prior to award. In general, a Grants Officer will award grants or cooperative agreements only to qualified recipients that meet the standards at 32 CFR 22.415. To be qualified, a potential recipient must:

(1) Have the management capability and adequate financial and technical resources, given those that would be made available through the grant or cooperative agreement, to execute the program of activities envisioned under the grant or cooperative agreement;

(2) Have a satisfactory record of executing such programs or activities (if a prior recipient of an award);

(3) Have a satisfactory record of integrity and business ethics; and

(4) Be otherwise qualified and eligible to receive a grant or cooperative agreement under applicable laws and regulations. Applicants are requested to provide information with proposal submissions to assist the Grants Officer's evaluation of recipient qualification.

ii. In accordance with OMB guidance in parts 180 and 200 of Title 2, CFR, it is DoD policy that DoD Components must report and use integrity and performance information in the Federal Awardee Performance and Integrity Information System (FAPIIS), or any successor system designated by OMB, concerning grants, cooperative agreements, and TIAs as follows:

1) If the total Federal share will be greater than the simplified acquisition threshold on any Federal award under a notice of funding opportunity (see §200.88 Simplified Acquisition Threshold):

a. The Federal awarding agency, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, will review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313);

b. An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM;

c. The Federal awarding agency will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in §200.205 Federal awarding agency review of risk posed by applicants.

2) If the total Federal share exceeds $500,000 on any Federal award under a notice of funding opportunity, the post-award reporting requirements reflected in Appendix XII to Part 200 of Title 2 CFR will be included in the award document. This requirement also applies to modifications of awards that: 1) increase the scope of the award, 2) are issued on or after January 1, 2016, and 3) increase the federal share of the award's total value to an amount that exceeds $500,000.

b. For Assistance awards recipients will be required to submit the following representation prior to award:

Representations under DoD Assistance Agreements: Appropriations Provisions on Tax Delinquency and Felony Convictions

The applicant is ( ) is not ( ) a "Corporation" meaning any entity, including any institution of higher education, other nonprofit organization, or for-profit entity that has filed articles of incorporation.

If the applicant is a "Corporation" please complete the following representations:

(1) The applicant represents that it is ( ) is not ( ) a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

(2) The applicant represents that it is ( ) is not ( ) is not a corporation that was convicted of a criminal violation under any Federal law within the preceding 24 months.

NOTE: If an applicant responds in the affirmative to either of the above representations, the applicant is ineligible to receive an award unless the agency suspension and debarment official (SDO) has considered suspension or debarment and determined that further action is not required to protect the Government's interests. The applicant therefore should provide information about its tax liability or conviction to the agency's SDO as soon as it can do so, to facilitate completion of the required considerations before award decisions are made. Applicant's authorized representative must sign and date form.

8. Conflicts of Interest.

52.203-16 – Preventing Personal Conflicts of Interest.
Preventing Personal Conflicts of Interest (Dec 2011)

(a) *Definitions.* As used in this clause--
"Acquisition function closely associated with inherently governmental functions" means supporting or providing advice or recommendations with regard to the following activities of a Federal agency:

(1) Planning acquisitions.

(2) Determining what supplies or services are to be acquired by the Government, including developing statements of work.

(3) Developing or approving any contractual documents, to include documents defining requirements, incentive plans, and evaluation criteria.

(4) Evaluating contract proposals.

(5) Awarding Government contracts.

(6) Administering contracts (including ordering changes or giving technical direction in contract performance or contract quantities, evaluating contractor performance, and accepting or rejecting contractor products or services).

(7) Terminating contracts.

(8) Determining whether contract costs are reasonable, allocable, and allowable.

"Covered employee" means an individual who performs an acquisition function closely associated with inherently governmental functions and is—
(1) An employee of the contractor; or

(2) A subcontractor that is a self-employed individual treated as a covered employee of the contractor because there is no employer to whom such an individual could submit the required disclosures.

"Non-public information" means any Government or third-party information that—

(1) Is exempt from disclosure under the Freedom of Information Act (5 U.S.C. 552) or otherwise protected from disclosure by statute, Executive order, or regulation; or

(2) Has not been disseminated to the general public and the Government has not yet determined whether the information can or will be made available to the public.

"Personal conflict of interest" means a situation in which a covered employee has a financial interest, personal activity, or relationship that could impair the employee's ability to act impartially and in the best interest of the Government when performing under the contract. (A de minimis interest that would not "impair the employee's ability to act impartially and in the best interest of the Government" is not covered under this definition.)

(1) Among the sources of personal conflicts of interest are—

(i) Financial interests of the covered employee, of close family members, or of other members of the covered employee's household;

(ii) Other employment or financial relationships (including seeking or negotiating for prospective employment or business); and

(iii) Gifts, including travel.

(2) For example, financial interests referred to in paragraph (1) of this definition may arise from—

(i) Compensation, including wages, salaries, commissions, professional fees, or fees for business referrals;
(ii) Consulting relationships (including commercial and professional consulting and service arrangements, scientific and technical advisory board memberships, or serving as an expert witness in litigation);

(iii) Services provided in exchange for honorariums or travel expense reimbursements;

(iv) Research funding or other forms of research support;

(v) Investment in the form of stock or bond ownership or partnership interest (excluding diversified mutual fund investments);

(vi) Real estate investments;

(vii) Patents, copyrights, and other intellectual property interests; or

(viii) Business ownership and investment interests.

(b) *Requirements.* The Contractor shall—

(1) Have procedures in place to screen covered employees for potential personal conflicts of interest, by—

(i) Obtaining and maintaining from each covered employee, when the employee is initially assigned to the task under the contract, a disclosure of interests that might be affected by the task to which the employee has been assigned, as follows:

(A) Financial interests of the covered employee, of close family members, or of other members of the covered employee's household

(B) Other employment or financial relationships of the covered employee (including seeking or negotiating for prospective employment or business).

(C) Gifts, including travel; and

(ii) Requiring each covered employee to update the disclosure statement whenever the employee's personal or financial circumstances change in such a way that a new personal conflict of interest might occur because of the task the covered employee is performing.

(2) For each covered employee—

(i) Prevent personal conflicts of interest, including not assigning or allowing a covered employee to perform any task under the contract for which the Contractor has identified a personal conflict of interest for the employee that the Contractor or employee cannot satisfactorily prevent or mitigate in consultation with the contracting agency;

(ii) Prohibit use of non-public information accessed through performance of a Government contract for personal gain; and

(iii) Obtain a signed non-disclosure agreement to prohibit disclosure of non-public information accessed through performance of a Government contract.

(3) Inform covered employees of their obligation—

(i) To disclose and prevent personal conflicts of interest;

(ii) Not to use non-public information accessed through performance of a Government contract for personal gain; and

(iii) To avoid even the appearance of personal conflicts of interest;

(4) Maintain effective oversight to verify compliance with personal conflict-of-interest safeguards;

(5) Take appropriate disciplinary action in the case of covered employees who fail to comply with policies established pursuant to this clause; and

(6) Report to the Contracting Officer any personal conflict-of-interest violation by a covered employee as soon as it is identified. This report shall include a description of the violation and the proposed actions to be taken by the Contractor in response to the violation. Provide follow-up reports of corrective actions taken, as necessary. Personal conflict-of-interest violations include—

(i) Failure by a covered employee to disclose a personal conflict of interest;

(ii) Use by a covered employee of non-public information accessed through performance of a Government contract for personal gain; and

(iii) Failure of a covered employee to comply with the terms of a non-disclosure agreement.

(c) *Mitigation or waiver*.
(1) In exceptional circumstances, if the Contractor cannot satisfactorily prevent a personal conflict of interest as required by paragraph (b)(2)(i) of this clause, the Contractor may submit a request through the Contracting Officer to the Head of the Contracting Activity for—

(i) Agreement to a plan to mitigate the personal conflict of interest; or

(ii) A waiver of the requirement.

(2) The Contractor shall include in the request any proposed mitigation of the personal conflict of interest.

(3) The Contractor shall—

(i) Comply, and require compliance by the covered employee, with any conditions imposed by the Government as necessary to mitigate the personal conflict of interest; or

(ii) Remove the Contractor employee or subcontractor employee from performance of the contract or terminate the applicable subcontract.

(d) *Subcontract flowdown*. The Contractor shall include the substance of this clause, including this paragraph (d), in subcontracts—

(1) That exceed $150,000; and

(2) In which subcontractor employees will perform acquisition functions closely associated with inherently governmental functions (i.e., instead of performance only by a self-employed individual).

(End of clause)

c. For Contract AND Assistance Proposals:

i. The Federal Awardee Performance and Integrity Information System (FAPIIS) will be checked prior to making an award at http://www.fapiis.gov/fapiis/index.jsp. The applicant representing the entity may comment in this system on any information about itself that a Federal Government Official entered. The information in FAPIIS will be used in making a judgment about the entity's integrity, business ethics, and record of performance under Federal awards that may affect the official's determination that the applicant is qualified to receive an award.

ii. 52.203-18 Prohibition on Contracting with Entities that Require Certain Internal Confidentiality Agreements or Statements—Representation.

Prohibition on Contracting with Entities that Require Certain Internal Confidentiality Agreements or Statements--Representation (Jan 2017)

(a) *Definition*. As used in this provision—

"Internal confidentiality agreement or statement", "subcontract", and "subcontractor", are defined in the clause at 52.203-19, Prohibition on Requiring Certain Internal Confidentiality Agreements or Statements.

(b) In accordance with section 743 of Division E, Title VII, of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235) and its successor provisions in subsequent appropriations acts (and as extended in continuing resolutions), Government agencies are not permitted to use funds appropriated (or otherwise made available) for contracts with an entity that requires employees or subcontractors of such entity seeking to report waste, fraud, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting such employees or subcontractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(c) The prohibition in paragraph (b) of this provision does not contravene requirements applicable to Standard Form 312, (Classified Information Nondisclosure Agreement), Form 4414 (Sensitive Compartmented Information Nondisclosure Agreement), or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

(d) Representation. By submission of its offer, the Offeror represents that it will not require its employees or subcontractors to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting such employees or subcontractors from lawfully reporting waste, fraud, or abuse related to the performance of a Government contract to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information (e.g., agency Office of the Inspector General).

(End of provision)

iii. **252.209-7991 Representation by Corporations Regarding an Unpaid Delinquent Tax Liability or a Felony Conviction under any Federal Law Fiscal Year 2016 Appropriations.**

See Class Deviation 2012-O0004, Prohibition Against Contracting With Corporations That Have an Unpaid Delinquent Tax Liability or a Felony Conviction under Federal Law, dated January 23, 2012, located at Contracting officers shall include this provision in all solicitations that will use funds made available by Division A of the Consolidated Appropriations Act, 2012, including solicitations for acquisition of commercial items

under FAR part 12, and shall apply the restrictions included in the deviation. This deviation is effective beginning January 23, 2012, and remains in effect until incorporated in the FAR or DFARS or otherwise rescinded. Class Deviation 2012-O0004 can be located at https://www.acq.osd.mil/dpap/policy/policyvault/USA007336-11-DPAP.pdf

9. Administrative and National Policy Requirements:

a. Required Certifications

For Contract Proposals:

Certifications Required for Contract Awards. Certifications and representations shall be completed by successful offerors prior to award. Federal Acquisition Regulation (FAR) Online Representations and Certifications are to be completed through SAM at website https://www.SAM.gov. Defense FAR Supplement and contract specific certification packages will be provided to the contractor for completion prior to award.

For Grant and Cooperative Agreement Proposal:

Grant awards greater than $100,000 require a certification of compliance with a national policy mandate concerning lobbying. Statutes and Government-wide regulations require the certification to be submitted prior to award. The certification is set forth at Appendix A to 32 CFR 28 regarding lobbying. When submitting your grant through Grants.gov, by completing blocks 17 and 19 of the Standard Form 424 Research and Related (R&R) Form, the grant applicant is providing the certification on lobbying required by 32 CFR Part 28, otherwise a signed copy by the authorized representative must be provided. Below is the required certification:

1. Certification at Appendix A to 32 CFR Part 28 Regarding Lobbying:

Certification for Contracts, Grants, Loans, and Cooperative Agreements the undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or

an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

2. Prohibition on Contracting With Entities that Required Certain Internal Confidentiality Agreements – Representation

Agreement with the representation below will be affirmed by checking the “I agree” box in block 17 of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

By submission of its proposal or application, the applicant represents that it does not require any of its employees, contractors, or subrecipients seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting those employees, contractors, subrecipients from lawfully reporting that waste, fraud, or abuse to a designated investigative or law

enforcement representative of a Federal department or agency authorized to receive such information.

Note that: (1) the basis for this representation is a prohibition in section 743 of the Financial Services and General Government Appropriations Act, 2015, Pub. L. 113-235) on provision of funds through grants and cooperative agreements to entities with certain internal confidentiality agreements or statements; and 2) section 743 states that it does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

b. Policy Requirements

(1) Protection of Human Subjects. Assistance Instruments Only. All research involving human subjects must be conducted in accordance with 32 CFR 219, 10 U.S.C. 980, and DoDI 3216.02, and AR 70-25 as well as other applicable federal and state regulations. Contractors/grantees must be cognizant of and abide by the additional restrictions and limitations imposed on the DoD regarding research involving human subjects, specifically as regards vulnerable populations (32 CFR 219 modifications to subparts B-D of 45 CFR 46), recruitment of military research subjects (32 CFR 219), and surrogate consent (10 U.S.C. 980). The regulations mandate that all DoD activities, components, and agencies protect the rights and welfare of human subjects of study in DoD-supported research, development, test and evaluation, and related activities hereafter referred to as "research." The requirement to comply with the regulations applies to new starts and to continuing research.

Notwithstanding any other provision contained in an assistance award or incorporated by reference therein, the Recipient is expressly forbidden to use or subcontract for the use of human subjects in any manner whatsoever without the prior express written approval of the applicable protocol proposed for an award as required by AR 70-25 in addition to the institution's approval. Non-compliance with any part of this provision may result in withholding of funds and/or the termination of an award. The Principal Investigators will notify the Army technical representatives within 24 hours if any of the following occur: (1) the protocol is suspended; (2) a death occurs as a consequence of the research protocol; or (3) a life-threatening, adverse event occurs as a consequence of the research protocol.

For Contracts, the appropriate clauses shall be added.

(2) ANIMAL USE. Assistance Instruments Only. DODI 3216.01 and AR 40-33, provides policy and requirements for the use of animals in DOD-funded research. The DoD definition of animals any live nonhuman vertebrate. All proposals that involve the use of animals must address compliance with DoDI 3216.01 and AR 40-33.

Provisions include rules on animal acquisition, transport, care, handling, and use in 9 CFR parts 1-4, Department of Agriculture rules implementing the Laboratory Animal Welfare Act of 1966 (7 U.S.C. 2131-2156), and guidelines in the National Academy of Sciences (NAS) "Guide for the Care and Use of Laboratory Animals" (1996), including the Public Health Service Policy and Government Principles Regarding the Care and Use of Animals in Appendix D to the Guide.

Notwithstanding any other provision contained in this award or incorporated by reference therein, the Recipient is expressly forbidden to use or subcontract for the use of laboratory animals in any manner whatsoever without the prior express written approval of the applicable protocol proposed for this award as required by AR 40-33 in addition to the institution's approval. Non-compliance with this provision may result in withholding of funds and/or termination of the award.

The Principal Investigator will notify the Army technical representatives within 24 hours if any of the following occur: (1) the protocol is suspended; or (2) a life-threatening, adverse event occurs as a consequence of the research protocol.

For Contracts, the appropriate clauses shall be added.

(3) Biological Defense Safety Program Requirements: For All Awards. Successful offerors whose Principal Investigators are conducting research with Bio-safety Levels 3 and 4 material must prepare a Facility Safety Plan in accordance with 32 Code of Federal Regulations (CFR) 626.18. See URL: www.access.gpo.gov/nara/cfr/waisidx_99/32cfr626_99.html for a copy of 32 CFR 626.18, Biological Defense Safety Program.

(4) Military Recruiting: For Assistance Instruments Only. This is to notify potential offerors that each grant or cooperative agreement awarded under this announcement to an institution of higher education must include the following term and condition:

"As a condition for receipt of funds available to the Department of Defense (DOD) under this award, the recipient agrees that it is not an institution of higher education (as defined in 32 CFR part 216) that has a policy of denying, and that it is not an institution of higher education that effectively prevents, the Secretary of Defense from obtaining for military recruiting purposes: (A) entry to campuses or access to students on campuses or (B) access to directory information pertaining to students. If the recipient is determined, using the procedures in 32 CFR part 216, to be such an institution of higher education during the period of performance of this agreement, and therefore to be in breach of this clause, the Government will cease all payments of DOD funds under this agreement and all other DOD grants and cooperative agreements to the recipient, and it may suspend or terminate such grants and agreements unilaterally for material failure to comply with the terms and conditions of award."

If your institution has been identified under the procedures established by the Secretary of Defense to implement Section 558, then: (1) no funds available to DOD may be provided to your institution through any grant, including any existing grant, (2) as a matter of policy, this restriction also applies to any cooperative agreement, and (3) your institution is not eligible to receive a grant or cooperative agreement in response to this solicitation.

(5) Military Recruiting: For Contracts Only. This is to notify potential offerors that each contract awarded under this announcement to an institution of higher education shall include the following clause: Defense Federal Acquisition Regulation Supplement (DFARS) clause 252.209- 7005, Military Recruiting on Campus.

(6) Subcontracting: For Contracts Only. This section is applicable to contracts where the dollar threshold is expected to exceed to $700,000.00. Pursuant to Section 8(d) of the Small Business Act [15 U.S.C. 637(d)], it is the policy of the Government to enable small business concerns to be considered fairly as subcontractors under all research agreements awarded to prime contractors. The required elements of the Subcontracting Plan are set forth by FAR 52.219-9 and DFARS 252.219-7003. The offeror's plan shall depict the percentage values of the option requirements separately. The information in the SB Subcontracting Plan must properly correlate with that of the offeror's SB Participation Plan. The Government's subcontracting goals for Fiscal Year 2016 (FY16) are listed below, future year goals can be found at: http://www.acq.osd.mil/osbp/gov/sbProgramGoals.shtml.

Subcontracting Plan Goals. The offeror is requested to consider, when appropriate, the Government's subcontracting goals. The goals are as follows:

Small Business 23%
Small Disadvantaged Business 5%
Women-Owned Small Business 5%
HUBZone Small Business: 3%
Service-Disabled Veteran-Owned Small Business: 3%

10. Reporting:

Additional reports including number and types will be specified in the award document, but will include as a minimum monthly financial status reports. The reports shall be prepared and submitted in accordance with the procedures contained in the award document and mutually agreed upon before award. Reports and briefing material will also be required as appropriate to document progress in accomplishing program metrics. A final report that summarizes the project and tasks will be required at the conclusion of the performance period for the award.

Army Manpower Contractor Reporting: For Contracts Only. The Office of the Assistant Secretary of the Army (Manpower & Reserve Affairs) operates and maintains a secure Army data collection site where the contractor will report ALL contractor manpower (including subcontractor manpower) required for performance of this contract. The contractor is required to completely fill in all the information in the format using the following web address: https://cmra.army.mil/. The required information includes: (1) Contracting Office, Contracting Officer, Contracting Officer's Technical Representative; (2) Contract number, including task and delivery order number; (3) Beginning and ending dates covered by reporting period; (4) Contractor name, address, phone number, e-mail address, identity of contractor employee entering data; (5) Estimated direct labor hours (including sub-contractors); (6) Estimated direct labor dollars paid this reporting period (including sub- contractors); (7) Total payments (including sub-contractors); (8) Predominate Federal Service Code (FSC) reflecting services provided by contractor (and separate predominant FSC for each sub-contractor if different); (9) Estimated data collection cost; (10) Organizational title associated with the Unit Identification Code (UIC) for the Army Requiring Activity (the Army Requiring Activity is responsible for providing the contractor with its UIC for the purposes of reporting this information); (11)

Locations where contractor and sub-contractors perform the work (specified by zip code in the United States and nearest city, country, when in an overseas location, using standardized nomenclature provided on website); (12) Presence of deployment or contingency contract language; and (13) Number of contractor and sub-contractor employees deployed in theater this reporting period (by country). As part of its submission, the contractor will also provide the estimated total cost (if any) incurred to comply with this reporting requirement. Reporting period will be the period of performance not to exceed 12 months ending 30 September of each government fiscal year and must be reported by 31 October of each calendar year. Contractors may use a direct XML data transfer to the database server or fill in the fields on the website. The XML direct transfer is a format for transferring files from a contractor's systems to the secure web site without the need for separate data entries for each required data element at the web site. The specific formats for the XML direct transfer may be downloaded from the web site.

Agency Contacts:

Questions of a technical and business nature are to be directed to:

http://rapidcapabilitiesoffice.army.mil/eto/

Comments or questions submitted should be concise and to the point, eliminating any unnecessary verbiage. In addition, the relevant part and paragraph of the Broad Agency Announcement (BAA) should be referenced, and the subject line of the email should reference either RCCTO BAA Technical Inquiry or RCCTO BAA Business Inquiry.

11. Other Information:

Below are 2 separate outlines of the informational requirements for a sample cost proposal. The first is outline is for procurement contracts and second is for grants, cooperative agreements, Technology Investment Agreements (TIAs), Other Transaction for prototype projects (OTAs).

1. CONTRACT Proposals:

Cost Proposal – {No Page Limit}

Cover sheet to include:

(1) BAA number;

(2) Technical area;

(3) Lead Organization submitting proposal;

(4) Type of business, selected among the following categories: “Large Business”, “Small Disadvantaged Business,” “Other Small Business,” “HBCU,” “MI,” “Other Educational,” Or “Other Nonprofit;”

(5) Contractor’s reference number (if any);

(6) Other team members (if applicable) and type of business for each;

(7) Proposal title;

(8) Technical point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available);

(9) Administrative point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), and electronic mail (if available);

(10) Award instrument requested: cost-plus-fixed-free (CPFF), cost-contract—no fee, cost sharing contract – no fee, or other type of procurement contract (specify).

(11) Place(s) and period(s) of performance;

(12) Total proposed cost separated by basic award and option(s) (if any);

(13) Name, address, and telephone number of the proposer’s cognizant Defense Contract Management Agency (DCMA) administration office (if known);

(14) Name, address, and telephone number of the proposer’s cognizant Defense Contract Audit Agency (DCAA) audit office (if known);

(15) Date proposal was prepared;

(16) DUNS number;

(17) TIN number; and

(18) Cage Code;

(19) Subcontractor Information; and

(20) Proposal validity period

(21) Any Forward Pricing Rate Agreement, other such approved rate information, or such other documentation that may assist in expediting negotiations (if available).

I. Reasoning for Submitting a Strong Cost Proposal

The ultimate responsibility of the Contracting Officer is to ensure that all prices offered in a proposal are fair and reasonable before contract award [FAR 15.4]. To establish the reasonableness of the offered prices, the Contracting Officer may ask the offeror to provide various supporting documentation that assists in this determination. The offeror's ability to be responsive to the Contracting Officer's requests can expedite contract award. As specified in Section 808 of Public Law 105-261, an offeror who does not comply with a requirement to submit information for a contract or subcontract in accordance with paragraph (a)(1) of FAR 15.403-3 may be ineligible for award.

II. DCAA-Accepted Accounting System

(A) Before a contract can be awarded, the Contracting Officer must confirm that the offeror has a Defense Contract Audit Agency (DCAA)-accepted accounting system in place for accumulating and billing costs under Government contracts [FAR 53.209-1(f)]. If the offeror has DCAA correspondence, which documents the acceptance of their accounting system, this should be provided to the Contracting Officer (i.e. attached or referenced in the proposal). Otherwise, the Contracting Officer will submit an inquiry directly to the appropriate DCAA office and request a review of the offeror's accounting system.

While a DCAA audit is pending, a Component contracting officers may make a determination that the offeror's accounting system is acceptable in accordance with FAR 242.7502 and the clause at FAR 252.242-7006, Accounting System Administration.

(B) If an offeror does not have a DCAA-accepted accounting system in place, the DCAA review process can take several months depending upon the availability of the DCAA auditors and the offeror's internal processes. This will cause a delay in contract award.

(C) For more information about cost proposals and accounting standards, view the link titled "Information for Contractors" on the main menu on their website.

III. Field Pricing Assistance

During the pre-award cost audit process, the Contracting Officer may solicit support from DCAA to determine commerciality and price reasonableness of the proposal [FAR 15.404-2]. Any proprietary information or reports obtained from DCAA field audits will be appropriately identified and protected within the Government.

IV. Sample Cost Proposal – "Piece by Piece"

(A) To help guide offerors through the pre-award cost audit process, a sample cost proposal is detailed below. This sample also allows the offeror to see exactly what the Government is looking for; therefore, all cost and pricing back-up data can be provided to the Government in the first cost proposal submission. Review each cost element within the proposal, and take note of the types of documentation that the Contracting Officer will require from the offeror.

(B) Direct Labor: The first cost element included in the cost proposal is Direct Labor. The Department of Defense requires each proposed employee to be listed by name and labor category.

Below is the Direct Labor as proposed by our example offeror:

DIRECT LABOR		**YEAR 1**			**YEAR 2**		
Employee Name	Labor Category	Direct Hourly Rate	Hours	Total Direct Labor	Direct Hourly Rate	Hours	Total Direct Labor

Andy Smith	Program Manager	$55.00	720.00	$39,600.00	$56.65	720.00	$40,788.00
Bryan Andrew	Senior Engineer	$40.00	672.00	$26,880.00	$41.20	672.00	$27,686.40
Cindy Thomas	Principal Engineer	$50.00	512.00	$25,600.00	$51.50	512.00	$26,368.00
David Porter	Entry Level Engineer	$10.00	400.00	$4,000.00	$10.30	400.00	$4,120.00
Edward Bean	Project Administrator	$25.00	48.00	$1,200.00	$25.75	48.00	$1,236.00
Subtotal Direct Labor (DL)				$97,280.00			$100,198.40

(1) For this cost element, the Contracting Officer requires the offeror to provide adequate documentation in order to determine that each labor rate for each employee/labor category is fair and reasonable. The documentation will need to explain how these labor rates were derived. For example, if the rates are DCAA approved labor rates, provide the Contracting Officer with copies of the DCAA documents stating the approval. This is the most acceptable means of documentation to determine the rates fair and reasonable. Other types of supporting documentation may include General Service Administration (GSA) contract price lists, actual payroll journals, or Salary.com research. If an employee listed in a cost proposal is not a current employee (maybe a new employee, or one contingent upon the award of this contract), a copy of the offer letter stating the hourly rate – signed and accepted by the employee - may be provided as adequate documentation. Sometimes the hourly rates listed in a proposal are derived through subjective processes, i.e., blending of multiple employees in one labor category, or averaged over the course of the year to include scheduled payroll increases, etc. These situations should be clearly documented for the Contracting Officer.

(2) Another cost element in Direct Labor is labor escalation, or the increase in labor rates from Year 1 to Year 2. In the example above, the proposed labor escalation is 3% (ex., Andy Smith increased from $55.00/hr. in Year 1, by 3% to $56.65/hr in Year 2). Often times, an offeror may not propose escalation on labor rates during a 24-month period. Whatever the proposed escalation rate is, please be prepared to explain why it is fair and reasonable [ex., A sufficient explanation for our sample escalation rate would be the Government's General Schedule Increase and Locality
Pay for the same time period (name FY) in the same location (name location) was published as 3.5%, therefore a 3% increase is fair and reasonable].

(C) Other Direct Costs (ODCs): This section of the cost proposal includes all other directly related costs required in support of the effort i.e., materials, subcontractors, consultants, travel, etc. Any cost element that includes various items will need to be detailed in a cost breakdown to the Contracting Officer.

(1) Direct Material Costs: This subsection of the cost proposal will include any special tooling, test equipment, and material costs necessary to perform the project. Items included in this section will be carefully reviewed relative to need and appropriateness for the work proposed, and must, in the opinion of the Contracting Officer, be advantageous to the Government and directly related to the specific topic.

(a) The Contracting Officer will require adequate documentation from the offeror to determine the cost reasonableness for each material cost proposed. The following methods are ways in which the Contracting Officer can determine this [FAR 15.403-1].

(i) Adequate Price Competition. A price is based on adequate price competition when the offeror solicits and receives quotes from two or more responsible vendors for the same or similar items or services. Based on these quotes, the offeror selects the vendor who represents the overall best value to the Government. The offeror will be required to provide copies of all vendor quotes received to the Contracting Officer. Note: Price competition is not required for items at or below the micro-purchase threshold ($3,000) [FAR 15.403-1]. If an item's unit cost is less than or equal to $3,000, price competition is not necessary. However, if an item's total cost over the period of performance (unit cost * quantity is higher than $3,000, two or more quotes must be obtained by the offeror.

(ii) Commercial Prices. Commercial prices are those published on current price lists, catalogs, or market prices. This includes vendors who have prices published on a GSA-schedule contract. The offeror will be required to provide copies of such price lists to the Contracting Officer.

(iii) Prices set by law or regulation. If a price is mandated by the Government (i.e. pronouncements in the form of periodic rulings, reviews, or similar actions of a governmental body, or embodied in the laws) that is sufficient to set a price.

(b) Below is the list of Direct Material costs included in our sample proposal:

DIRECT MATERIAL COSTS: YEAR 1 YEAR 2

DIRECT MATERIAL COSTS:	YEAR 1	YEAR 2
Raw Materials	$35,000.00	$12,000.00
Computer for experiments	$4,215.00	$0.00
Cable (item #12-3657, 300 ft.)	$1,275.00	$0.00
Software	$1,825.00	$1,825.00
Subtotal Direct Materials Cost (DM):	$42,315.00	$13,825.00

(i) “Raw Materials”: This is a generic label used to group many material items into one cost item within the proposal. The Contracts Officer will require a detailed breakout of all the items that make up this cost. For each separate item over $3,000 (total for Year 1 + Year 2), the offeror must be able to provide either competitive quotes received, or show that published pricing was used.

(ii) “Computer for experiments”: Again, this item is most likely a grouping of several components that make up one system. The Contracts Officer will require a detailed breakout of all the items that make up this cost. For each separate item over $3,000 (total for Year 1 + Year 2), the offeror must be able to provide either competitive quotes received, or show that published pricing was used.

(iii) “Cable”: Since this item is under the simplified acquisition threshold of $3,000, competitive quotes or published pricing are not required. Simply provide documentation to show the Contracting Officer where this price came from.

(iv) “Software”: This cost item could include either one software product, or multiple products. If this includes a price for multiple items, please provide the detailed cost breakdown. Note: The price for Year 1 ($1,825) is below the simplified acquisition threshold; however, in total (Year 1 + Year 2) the price is over $3,000, so competitive quotes or published pricing documentation must be provided.

(c) Due to the specialized types of products and services necessary to perform these projects, it may not always be possible to obtain competitive quotes from more than one reliable source. Each cost element over the simplified acquisition threshold ($3,000) must be substantiated. There is always an explanation for HOW the cost of an item was derived; show us how you came up with that price!

(d) When it is not possible for an offeror to obtain a vendor price through competitive quotes or published price lists, a Contracting Officer may accept other methods to determine cost reasonableness. Below are some examples of other documentation, which the Contracting Officer may accept to substantiate costs:

(i) Evidence that a vendor/supplier charged another offeror a similar price for similar services. Has the vendor charged someone else for the same product? (Two (2) to three (3) invoices from that vendor to different customers may be used as evidence.)

(ii) Previous contract prices. Has the offeror charged the Government a similar price under another Government contract for similar services? If the Government has already paid a certain price for services, then that price may already be considered fair and reasonable. (Provide the contract number, and billing rates for reference.)

(iii) DCAA approved. Has DCAA already accepted or verified specific cost items included in your proposal? (Provide a copy of DCAA correspondence that addressed these costs.)

(2) Below is the remaining ODC portion of our proposal including equipment, subcontractors, consultants, and travel. Assume in this scenario that competitive quotes or catalog prices were not available for these items:

OTHER DIRECT COSTS:	YEAR 1	YEAR 2
Equipment Rental for Analysis	$5,500.00	$5,600.00
Subcontractor – Lockheed	$25,000.00	$0.00
Consultant: John Bowers	$0.00	$12,000.00
Travel	$1,250.00	$1,250.00
Subtotal Other Direct Costs (ODC):	$31,750.00	$18,850.00

(a) “Equipment Rental for Analysis”: The offeror explains that the Year 1 cost of $5,500 is based upon 250 hours of equipment rental at an hourly rate of $22.00/hr. One (1) invoice from the vendor charging another vendor the same price for the same service is provided to the Contracting Officer as evidence. Since this cost is over the simplified acquisition threshold, further documentation to determine cost reasonableness is required.

The offeror is able to furnish another invoice charging a second vendor the same price for the same service.

(b) "Subcontractor – Widget, Inc.": The offeror provides a copy of the subcontractor quote to the Contracting Officer in support of the $25,000 cost. This subcontractor quote must include sufficient detailed information (equivalent to the data included in the prime's proposal to the Government), so that the Contracting Officer can make a determination of cost reasonableness.

(i) As stated in Section 3.5(c)(6) of the DoD Cost Proposal guidance, "All subcontractor costs and consultant costs must be detailed at the same level as prime contractor costs in regards to labor, travel, equipment, etc. Provide detailed substantiation of subcontractor costs in your cost proposal."

(ii) In accordance with FAR 15.404-3, "the Contracting Officer is responsible for the determination of price reasonableness for the prime contract, including subcontracting costs." This means that the subcontractor's quote/proposal may be subject to the same scrutiny by the Contracting Officer as the cost proposal submitted by the prime. The Contracting Officer will need to determine whether the subcontractor has an accepted purchasing system in place and/or conduct appropriate cost or price analyses to establish the reasonableness of proposed subcontract prices. Due to the proprietary nature of cost data, the Subcontractor may choose to submit their pricing information directly to the Contracting Officer and not through the prime. This is understood and encouraged.

(iii) When a subcontractor is selected to provide support under the prime contract due to their specialized experience, the Contracting Officer may request sole source justification from the offeror.

(c) "Consultant – John Bowers": Again, the offeror shall provide a copy of the consultant's quote to the Contracting Officer as evidence. In this example, the consultant will be charging an hourly rate of $125 an hour for 96 hours of support. The offeror indicates to the Contracting Officer that this particular consultant was used on a previous contract with the Government (provide contract number), and will be charging the same rate. A copy of the consultant's invoice to the offeror under the prior contract is available as supporting evidence. Since the Government has paid this price for the same services in the past, determination has already been made that the price is fair.

(d) “Travel”: The Contracting Officer will require a detailed cost breakdown for travel expenses to determine whether the total cost is reasonable based on Government per diem and mileage rates. This breakdown shall include the number of trips, the destinations, and the number of travelers. It will also need to include the estimated airfare per round trip, estimated car rental, lodging rate per trip, tax on lodging, and per diem rate per trip. The lodging and per diem rates must coincide with the Joint Travel Regulations. Please see the following website to determine the appropriate lodging and per diem rates: http://www.defensetravel.dod.mil/. Additionally, the offeror must provide why the airfare is fair and reasonable as well. Sufficient back up for both airfare and car rental would include print outs of online research at the various travel search engines (Expedia, Travelocity, etc.) documenting the prices for airfare and car rentals thus proving why your chosen rate is fair and reasonable.

Below is a sample of the travel portion:

TRAVEL		Trips	Travelers	Nights	Days	Unit Cost	Total Travel
Airfare	per roundtrip	1	1			$996.00	$996.00
Lodging	per day	1	1	1		$75.00	$75.00
Tax on							
Lodging							
(12%)	per day	1	1	1		$9.00	$9.00
Per Diem	per day	1	1		2	$44.00	$88.00
Automobile							
Rental	per day	1	1		2	$41.00	$82.00
Subtotal Travel							$1,250.00

(D) Indirect Rates: Indirect rates include elements such as Fringe Benefits, General & Administrative (G&A), Overhead, and Material Handling costs. The offeror shall indicate in the cost proposal both the indirect rates (as a percentage) as well as how those rates are allocated to the costs in the proposal.

Below is the indirect portion of our sample proposal:

INDIRECTS	YEAR 1	YEAR 2
Subtotal Direct Labor (DL):	$97,280.00	$100,198.40

Fringe Benefits, if not included in Overhead, rate (15.0000 %) X DL =	$14,592.00	$15,029.76
Labor Overhead (rate 45.0000 %) X (DL + Fringe) =	$50,342.40	$51,852.67
Total Direct Labor (TDL):	$162,214.40	$167,080.83

(1) In this example, the offeror includes a Fringe Benefit rate of 15.00% that it allocated to the Direct Labor costs. They also propose a Labor Overhead rate of 45.00% that is allocated to the Direct Labor costs plus the Fringe Benefits.

(2) All indirect rates and the allocation methods of those rates must be verified by the Contracting Officer. In most cases, DCAA documentation supporting the indirect rates and allocation methods can be obtained through a DCAA field audit or proposal review. Many offerors have already completed such reviews and have this documentation readily available. If an offeror is unable to participate in a DCAA review to substantiate indirect rates, the Contracting Officer may request other accounting data from the offeror to make a determination.

(E) Cost of Money (COM): If Cost of Money (an imputed cost that is not a form of interest on borrowings (see FAR 31.205-20); an "incurred cost" for cost-reimbursement purposes under applicable cost-reimbursement contracts and for progress payment purposes under fixed-price contracts; and refers to— (1) Facilities capital cost of money (48 CFR 9904.414); and (2) Cost of money as an element of the cost of capital assets under construction (48 CFR 9904.417)) is proposed in accordance with FAR 31.205-10, a DD Form 1861 is required to be completed and submitted with the contractor's proposal.

(F) Fee/Profit: The proposed fee percentage will be analyzed in accordance with DFARS 215.404, the Weighted Guidelines Method.

Note: Proposed fee for cost-plus type contracts shall not exceed the statutory limitations imposed by 10 United States Code (U.S.C.) 2306(d).

(G) Subcontracting Plan: If the total amount of the proposal exceeds $700,000 and the offeror is a large business or an institute of higher education (other than HBCU/MI) and the resultant award is a contract, the offeror shall be prepared to submit a subcontracting

plan for small business and small disadvantaged business concerns. A mutually agreeable plan will be included in and made a part of the contract (see the goals listed at Section II, F, 2, b).

2. Grants, Cooperative Agreements, Technology Investment Agreements (TIAs), and Other Transactions for prototype projects (OTAs) Proposals:

Before award it must be established that an approved accounting system and financial management system exist.

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

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

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

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

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

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

Note: There is no page limitation for budget proposals or budget justifications.

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

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

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

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

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

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

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

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

for the cost of each item of permanent equipment included in the budget must be disclosed, such as:

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

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

(3) Engineering Estimate: Include rationale for quote and reason for not soliciting current quotes. If applicable, the following additional information shall be disclosed in the offeror's cost proposal:

(4) Special test equipment to be fabricated by the awardee for specific research purposes and its cost.

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

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

(7) Grants and cooperative agreements may convey title to an eligible institution for equipment purchased with project funds. At the discretion of the contracting/grants officer, the agreement may provide for retention of the title by the Government or may impose conditions governing the equipment conveyed to the organization per the governing laws and regulations.

(D) Travel: Forecasts of travel expenditures (domestic and foreign) that identify the destination and the various cost elements (airfare, mileage, per diem rates, etc.) must be submitted. The costs should be in sufficient detail to determine the reasonableness of such costs. Allowance for air travel normally will not exceed the cost of round-trip, economy air accommodations. Specify the type of travel and its relationship to the research project. Requests for domestic travel must not exceed $3,000 per year per

principal investigator. Separate, prior approval by the ARL is required for all foreign travel (i.e., travel outside the continental U.S., its possessions and Canada). Foreign travel requests must not exceed $1,800 each per year per principal investigator. Special justification will be required for travel requests in excess of the amounts stated above and for travel by individuals other than the principal investigator(s). Individuals other than the principal investigator(s) are considered postdoctoral associates, research associates, graduate and undergraduate students, secretarial, clerical, and other technical personnel. Additional travel may be requested for travel to Army laboratories and facilities to enhance agreement objectives and to achieve technology transfer.

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

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

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

(H) Consultant Costs: Offerors normally are expected to utilize the services of their own staff to the maximum extent possible in managing and performing the project's effort. If the need for consultant services is anticipated, the nature of proposed consultant services should be justified and included in the technical proposal narrative. The cost proposal should include the names of consultant(s), primary organizational affiliation, each

individual's expertise, daily compensation rate, number of days of expected service, and estimated travel and per diem costs.

(I) Computer Services: The cost of computer services, including computer-based retrieval of scientific, technical, and educational information, may be requested. A justification/explanation based on the established computer service rates at the proposing organization should be included. The budget also may request costs, which must be shown to be reasonable, for leasing automatic data processing equipment. The purchase of computers or associated hardware and software should be requested as items of equipment.

(J) Sub-awards (subcontracts or subgrants): A precise description of services or materials that are to be awarded by a sub-award must be provided. For sub-awards totaling $10,000 or more, provide the following specific information:

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

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

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

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

(5) A detailed cost summary.

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

(L) Profit/ Fee: Profit/ fee is not allowed for the Recipient of or sub-award to an assistance instrument, where the principal purpose of the activity to be carried out is to stimulate or support a public purpose (i.e., to provide assistance), rather than acquisition (i.e., to acquire goods and services for the direct benefit of the United States

Government). A sub-award is an award of financial assistance in the form of money, or property in lieu of money, made under a DoD grant or cooperative agreement by a recipient to an eligible sub-recipient. The term includes financial assistance for substantive program performance by the sub-recipient of a portion of the program for which the DoD grant or cooperative agreement was made. It does not include the recipient's procurement of goods and services needed to carry out the program.

(M) Subcontracting Plan: Subcontracting plans do not apply to assistance instruments. CONTRACT FACILITIES CAPITAL COST OF MONEY: If cost of money is proposed, a completed Contract Facilities Capital Cost of Money (FCCM) (DD Form 1861) is required.

V. Multi-Step Solicitation Process

The transmittal of information will generally be conducted via a multi-step process. The first step will either consist of a whitepaper submission, physical demonstration, or a combination of both. If required by the Government, the second step will consist of full proposal submissions per alternate submission instructions to be provided in accordance with Government processes. The Government will specify all submission requirements with the release of special notice BAA amendments. Special notices will be posted to the FBO, and requisite links to the FBO post on RCCTO ETO, and SOCOM Vulcan websites at https://www.fbo.gov/, http://rapidcapabilitiesoffice.army.mil/eto/, and https://www.vulcan-sof.com.

A. Whitepaper Submissions (Per Special Notice/Government Request)

Whitepaper submission requirements will be specified during the release of each BAA special notice amendment. However, submissions generally will consist of one proposed solution for one specific focus area of interest per submission. All Whitepaper submissions must comply with the instructions and submission guidelines of this announcement, and the specifics details in each follow-on special notice. Upon the receipt of a whitepaper the government intends to complete an assessment and the applicant will be advised via the Vulcan submission.

All whitepaper submissions for this BAA will be in the form of electronic files and must be uploaded to the RCCTO submission page on the SOCOM Vulcan website to enhance U.S. Defense technology discovery and collaboration.

When sending electronic files, the offeror shall account for potential delays in file transfer from the originator's computer server to the submission website. Offerors are encouraged to submit their responses as soon as possible within the open announcement period to avoid potential file transfer delays due to high demand or problems encountered in the course of the submission closer to the deadline.

Acceptable evidence to establish the time of receipt includes electronic evidence of receipt. Offerors should print and maintain for their records the electronic date/time stamped receipt appearing on the final screen following each submission. All submissions shall be fully uploaded and submitted before the due date and time in order to be considered submitted timely. **There will be no exceptions.** If you experience upload issues prior to the specified deadline, you may email contact@vulcan-sof.com.

Late Whitepaper Submission:

Any modification or revision that is received at the designated Government website after the exact time specified for the receipt of the whitepaper is "late" and will not be considered unless:

- Any modification or revision is received before award is made,
- The contracting officer determines that accepting the late whitepaper would not unduly delay the acquisition; or
- A late modification of an otherwise successful whitepaper, that makes its terms more favorable to the Government, may be considered at any time it is received and may be accepted.

1. General Information. No paper copies of this solicitation will be issued. The Government reserves the right to fund all, some or none of the proposals in response to this announcement and to create and maintain a reserve list of proposals for potential funding, in the event that sufficient funding becomes available. No funding will be provided to offerors for reimbursement of costs incurred to respond to this solicitation. Whitepapers, technical and cost or price proposals (or any other material) submitted in response to this BAA will not be returned. All submissions will be treated as sensitive competitive information and their contents will be disclosed only for the purposes of evaluation.

2. E-mail Addresses. Offerors must be aware that it is their responsibility to ensure: (1) correct e-mail addresses are provided at the time of submission, (2) e-mail notifications reach the intended recipient(s), and (3) the e-mail is not blocked by the use of 'spam blocker' software or other means that the recipient's Internet Service Provider may have implemented as a means to block the receipt of certain e-mail messages.

3. Electronic Submissions. Offerors must register and submit Whitepapers shall be submitted via the SOCOM Vulcan Website, https://www.vulcan-sof.com for enhanced discovery by the Government technology scouting community. Whitepapers provided by any other means (e.g. hand-carried, postal service mail, commercial carrier, fax or e-mail) will **NOT** be considered.

   Due to data limitations, ROM or cost data portions of a Whitepaper submission should not be submitted via the SOCOM Vulcan Website. Offerors shall submit any ROM or cost data electronically via the email address indicated for each special notice or funding opportunity.

   a. Vulcan Submission Instructions:
      i. To create an account on the Vulcan platform, visit www.vulcan-sof.com and click "Request Access Here."

      ii. Make sure your email address matches your organization affiliation.

      iii. Make sure you correctly follow the on-screen registration instructions and notifications.

      iv. Navigate to Vulcan TV and watch a quick tutorial on using Vulcan.

      v. When ready to submit to the specified Army RCCTO Call:

         - Either navigate to "Calls" on left sidebar and view the gallery of public calls in Vulcan and/or submit to the link in the special notice.

         - Click on specified call for each special announcement to read the description and submission instructions for this event. Make sure

you understand the format of the required White Paper or attachment for this submission.

- Any additional, or overriding, guidance would be specific in special notice.

vi. Quick Tips:

- If your organization has already submitted to this CALL, you will be able to see it under "Submitted."

- If your technology is already in Vulcan but has not yet been submitted to this CALL, you may click "Select Existing" to quickly add it.

- If you are submitting a new technology into Vulcan, then click "Create New Scout Card". Please watch the tutorial video and proceed (including uploading your White Paper as an attachment).

1. When you have successfully submitted your technology, you will see an on-screen message indicating so. If you have any issues, please send your inquiries to contact@vulcan-sof.com

4. Whitepapers should focus on describing details of the proposed research, including how it is innovative and how it could substantially increase the scientific state of the art, Army relevance, and potential impact should also be described.

5. Whitepapers are limited ten (10) pages plus the cover page.

6. Only UNCLASSIFIED Whitepapers will be accepted. There is no limit on the number of Whitepapers an offeror may submit in response to each special notice.

7. Any proprietary data that the applicant intends to be used only by the Government for evaluation purposes must be clearly marked. The applicant must also identify any technical data or computer software contained in the whitepaper that is to be treated by the Government as limited rights in technical data and restricted rights in computer software. In the absence of such identification, the Government will conclude there are no limitations or restrictions on technical data or computer software included in the whitepaper. Records or data bearing a restrictive legend may be included in the

whitepaper. It is the intent of the Army to treat all whitepapers as procurement sensitive before award and to disclose their contents only for the purpose of evaluation.

Care must be exercised to ensure that classified, sensitive, and critical technologies are not included in a whitepaper. If such information is required, appropriate restrictive markings and procedures should be applied prior to submission of the whitepaper.

Applicants are cautioned, however, that portions of the whitepapers may be subject to release under terms of the Freedom of Information Act, 5 U.S.C. 552, as amended.

8. Combine all files and forms into a single PDF before submitting.

9. Whitepapers submittals via electronic means must be in the following format but do not require any special forms:

    - Single, searchable PDF formatted file
    - Page Size: 8 ½ x 11 inches
    - Margins – 1 inch
    - Spacing – single
    - Font – Times New Roman, 12 point

        - The offeror's name and applicable requirement number shall be in the header of each page. The header may be included in the one-inch margins.

10. Submission Structure.

A complete submission will consist of two sections: Section One, the Cover Sheet, and Section Two, the Technical Description (to include cost).

- Section One-Cover Sheet. The Cover Page shall be labeled as determined by special notice and shall include the BAA Number TBD, proposed title, technical points of contact, telephone number, facsimile number, and E-mail address.

- Section Two- Technical description (TD). Ensure your TD adequately describes the proposed contributions and approach. The TD should include the following sections:

11. Contribution to the Requirement.

Provide a high-level project overview describing how this contribution addresses one or more of the goals listed below:

- Enhanced Military or DoD System Capability – Describe how your proposed project significantly increases or improves the military capabilities in relationship to requirements identified in Section 13 and/or acquisition program needs.

- Accelerated Military or DoD System Development Capability – Describe how your proposed project accelerates the development and ability to deploy military or system capabilities required for use by the Department of the Defense.

- Reduces Costs – Describe how your proposed project reduces the development, acquisition, sustainment, demilitarization, or total ownership costs of the identified fielded system or acquisition program.

- Reduce Technical Risks – Describe how your proposed approach can reduce the probability of program failure when applicable.

12. Technical Approach.

Describe the proposed technical approach.

- Project objectives and scope.
- Overview of tasks and methods planned to achieve each objective.
- The final product to be delivered.
- Major subcontractors or interdivisional partnerships and their expertise/experience
- Facilities/Equipment necessary to carry out the proposed effort.
- Related Prior or Current Work, including SBIR/STTR contracts and IR&D projects.
- The current Technology Readiness Level (TRL) of the technology and/or product and what you think is required in testing by the government in order for your technology or product to be incorporated into a defense system or military program. DoD seeks a Technology Readiness Level (TRL) goal of 5 - 6 for entry and goal of 7 - 9 for exit (for descriptions of TRL, see www.acq.osd.mil/chieftechnologist/publications/docs/TRA2011.pdf.) In

circumstances of exceptional technical merit, proposals with a lower TRL rating will be considered for award, as warranted by the Source Selection Authority.

- Discuss the benefits of your product or technology as it applies to the requirement addressed and how you plan to transition deliverables to a Government acquisition program, including any restrictions on Government use, release, or disclosure of technical data or computer software presenting transition difficulty and/or increased risk/cost to the Government.
- Discuss how the approach is innovative, feasible, achievable, and complete.

13. Schedule

Provide a proposed project schedule and describe how the proposed schedule is achievable for the proposed technical approach. Technologies should transition to a military system or defense program within 24 months of contract award. Discuss and/or use a Gantt chart or similar master planning tool to describe:

- Major activities/milestones to include transition and/or deployment events
- Deliverables
- Metrics/measures of success
- Potential risks and risk mitigation plans

14. Costs (ROM/Per Government Request)

The cost section of the whitepaper is ONLY a rough order of magnitude (ROM) for general awareness and for gauging the magnitude of the solution submitted in response to each special amendment notice. It is not a request for a formal nor detailed cost proposal. All formal cost proposals will be requested separately at the Government's discretion at the time of the release of a special amendment notice or upon an invitation to provide proposals through separate means in accordance with Army acquisition processes. However, the below criteria may be expected for the whitepaper ROM.

Name and describe the ROM costs for the proposed technical approach, including

- General methods (e.g., expert judgment, analogous estimating, and parametric estimating) used to define proposed costs realism for the technical approach proposed.

- Additional funds, if any, expected to complete the project including the timing, source, amount, and planned use of the funds. General funding dependencies, if any or known, such as a firm commitment from a government organization, and/or Internal Research and Development, which may be critical to the completion of a task.

15. Security

Do not lock or encrypt any files uploaded as part of the submission

The Government's decision to invite an offeror to submit a Full proposal will be based upon the evaluations results of a submission and/or Demonstration. Full proposal request are solely within the Government's discretion.

B. Demonstration (Per Special Notice/Government Request)

If requested by the Government, the demonstration environment and location will be detailed in the special notice amendment. The Government reserves the right to identify demonstration requirements as it relates to individual areas of interest, potential solutions, and special notice releases. In general, demonstrations may consist of a contractor led presentation ranging from 30 minutes to 2 hours. Demonstrations may be conducted at a mutually agreed upon location or virtually as deemed appropriate. The intent of demonstrations is to streamline the transmittal of information and utility of a solution to meet the Government objectives. Upon the completion of a demonstration the government intends to complete an assessment and the applicant will be advised via the Vulcan submission.

C. Submission of Full Proposals (Per Special Notice/Government Request)

Full Proposals are by invitation only. The Government will extend invitations for submission of Full Proposals as deemed appropriate. Full Proposals shall provide sufficient detail that represents an innovative approach to accelerating the transition of defense-related technologies. Invitations for Full Proposals will be issued via a contracting officer's notification. The anticipated due date and time for Full Proposals will be included in the proposal invitation. Upon the receipt a proposal the government intends to complete an assessment and the applicant will be advised via the Vulcan submission.

a. Format of Full Proposal

Specific DoD Component information for Full Proposal preparation instructions will be provided with the invitation for Full Proposals. Do not lock or encrypt any files submitted as part of the proposal submission. Perform a virus check before uploading any files to the submission websites. If a virus is detected, it may cause rejection of the file. Proposal prices and terms and conditions shall remain valid for 180 days from the submission date of the Full Proposal.

VI. Evaluation

The evaluation process will be conducted using technical subject matter expert reviews as described in FAR 6.102(d)(2) and 35.016. Each Presentation/Whitepaper, Demonstration, and/or Full Proposal will be evaluated based on the merit, relevance, and cost as it relates to the evaluation factors stated herein rather than against other Presentation/Whitepapers, Demonstrations, and/or Full Proposals.

1. Evaluation Factors

Whitepapers, Demonstrations, and Full proposals submitted in response to this BAA will be evaluated using the criteria listed below (in descending order of importance):

- The overall scientific and/or technical merits of the proposal.
- The potential contributions of the effort to the Army mission.
- Schedule: The degree to which the proposed schedule is achievable within 24 months or earlier from award, or as specified in the special announcement.
- Cost: Whether the proposed cost or price is realistic and affordable for the proposed technical approach to the extent appropriate.

2. Review and Selection Process

a. Upon receipt of a proposal, the ARO staff will perform an initial review of its scientific merit and potential contribution to the Army mission, and also determine if funds are expected to be available for the effort. Proposals not considered having sufficient scientific merit or relevance to the Army's needs, or those in areas for which funds are not expected to be available, may not receive further review.

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

c. Each proposal will be evaluated based on the evaluation criteria in Section V of this BAA rather than against other proposals for research in the same general area.

d. Upon completion of an evaluation against the criteria in Section V, a proposal selected for possible award will be analyzed for the realism and reasonableness of costs. Proposal costs must be determined reasonable and realistic before the Government can make an award.

3. Recipient Qualification

a. Grant, Cooperative Agreement, TIA, and OTA Proposals:

i. The Grants Officer is responsible for determining a recipient’s qualification prior to award. In general, a Grants Officer will award grants, cooperative agreements, or OTAs only to qualified recipients that meet the standards at 32 CFR 22.415. To be qualified, a potential recipient must:

(1) Have the management capability and adequate financial and technical resources, given those that would be made available through the grant, cooperative agreement, or OTA, to execute the program of activities envisioned under the grant, cooperative agreement, or OTA;

(2) Have a satisfactory record of executing such programs or activities (if a prior recipient of an award);

(3) Have a satisfactory record of integrity and business ethics; and

(4) Be otherwise qualified and eligible to receive a grant, cooperative agreement, or OTA under applicable laws and regulations. Applicants are requested to provide information with proposal submissions to assist the Grants Officer's evaluation of recipient qualification.

ii. In accordance with Office of Management and Budget (OMB) guidance in parts 180 and 200 of Title 2, CFR, it is DoD policy that DoD Components must report and use integrity and performance information in the Federal Awardee Performance and Integrity Information System (FAPIIS), or any successor system designated by OMB, concerning grants, cooperative agreements, and TIAs as follows:

If the total Federal share will be greater than the simplified acquisition threshold on any Federal award under a notice of funding opportunity (see 2 CFR 200.88 Simplified Acquisition Threshold):

(1) The Federal awarding agency, prior to making a Federal award with a total amount of
Federal share greater than the simplified acquisition threshold, will review, and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313);

(2) An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM;

(3) The Federal awarding agency will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 2 CFR 200.205 Federal awarding agency review of risk posed by applicants.

b. Contract Proposals:

i. Contracts shall be awarded to responsible prospective contractors only. See FAR 9.104-1 for a listing of the general standards against which an applicant will be assessed to determine responsibility. Applicants are requested to provide information with proposal submission to assist the Contracting Officer's evaluation of responsibility.

ii. FAPIIS will be checked prior to making an award. The web address is: https://www.fapiis.gov/fapiis/index.action. The applicant representing the entity may comment in this system on any information about the entity that a federal government official entered. The information in FAPIIS will be used in making a judgment about the entity's integrity, business ethics, and record of performance under Federal awards that may affect the official's determination that the applicant is qualified to receive an award.

VII. Basis for Award

The Government intends to make multiple awards resulting from this announcement and reserves the right to select for award any, all, part, or none of the proposals received. The awards will be made based on the best Whitepapers, Demonstration, and/or Full Proposals that are determined to be most beneficial to the Government with appropriate consideration given to the evaluation criteria. Awards will be made to the offerors whose offer is determined to provide the overall best value to the Government based on the criteria/preferences and availability of funds, this may not necessarily be the proposal offering the lowest cost/price or receiving the highest evaluated rating.

Offerors are advised only properly warranted Government contracting officers are legally authorized to contractually bind or otherwise commit the Government. The Government reserves the right to request any additional, necessary documentation once it makes the award instrument determination. Offerors may be removed from award consideration should the parties fail to reach agreement on award terms, conditions and cost/price within a reasonable time, or if the offeror fails to timely provide requested additional information.

A. Negotiation and Discussions

The Government reserves the right to hold discussions at its discretion.

B. Award Notices

Applicants whose proposals are recommended for award may be contacted by a Contract/Grant Specialist to discuss additional information required for award. This may include representations and certifications, revised budgets or budget explanations, certificate of current cost or pricing data, subcontracting plan for small businesses, and/or other information as applicable to the proposed award. The anticipated start date will be determined at that time. The notification email must not be regarded as an authorization to commit or expend funds. The Government is not obligated to provide any funding until a Government Contracting/ Grants Officer signs the award document. The award document signed by the Government Contracting/Grants Officer is the official and authorizing award instrument. The authorizing award instrument, signed by the Contracting/ Grants Officer, will be emailed to the PI and AOR.