



**BAA-2024-DOS-ADS-02**

**United States Department of State  
Bureau of Arms Control, Deterrence, and Stability**

**BROAD AGENCY ANNOUNCEMENT (BAA)  
CYCLE 2 FOR THE FISCAL YEAR 2024  
KEY VERIFICATION ASSETS FUND**

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**BROAD AGENCY ANNOUNCEMENT (BAA)  
FOR THE KEY VERIFICATION ASSETS FUND  
FULL TEXT ANNOUNCEMENT**

**ANNOUNCEMENT TYPE:** Broad Agency Announcement (BAA).

This publication constitutes a BAA as described in Federal Acquisition Regulation (FAR) Part 35.016 and FAR 6.102(d)(2). This BAA is a competitive announcement for proposals focusing on research and development of technologies or support for programs to meet the mission of the Bureau of Arms Control, Deterrence, and Stability (ADS) of the U.S. Department of State (DOS). Any updates or possible cancellation will be issued as an amendment to the BAA.

**I. GENERAL INFORMATION**

1. Requiring Agency: United States Department of State (DOS).
2. Broad Agency Announcement Title: Key Verification Assets Fund Program
3. Announcement Number: **BAA-2024-DOS-ADS-02**
4. Response Date: This announcement will remain open until 23:59 hours Eastern Time on the closing dates as posted. Please see the submission deadlines in Paragraph 3 of Section 4.
5. Two-step solicitation: White Papers (with Quad Charts) will be collected and screened in Phase 1. The Department will invite select Offerors to submit a full proposal in Phase 2.
6. Background: DOS ADS's Statutory Authorities for this solicitation:
  - 6.1 Section 1111 of Public Law 106-113 regarding the **Key Verification Assets Fund** and 22 USC §2571 regarding research, development, and other studies in the fields of arms control, nonproliferation, and disarmament.
  - 6.2 Other authorities relevant to ADS's mission areas include:
    - Section 1112 of Public Law 106-113 (22 USC § 2652c);
    - 22 USC § 2577: Verification and Compliance;
    - 22 USC § 2593a: Annual Report to Congress on Adherence to and Compliance with Arms Control, Nonproliferation, and Disarmament Agreements and Commitments.
  - 6.3 Pursuant to the relevant laws cited above, DOS ADS, through the Key Verification Assets Fund, or V Fund, seeks ambitious, innovative research proposals to address its priority science and technology requirements for arms control, nonproliferation, and disarmament-related monitoring and verification. The V Fund is administered

to help sustain, research, develop, or acquire technologies or programs relating to the verification of arms control, nonproliferation, and disarmament agreements and commitments.

- 6.4 The V Fund may be used to support and preserve critical verification assets/capabilities as well as to promote the development of new technologies to support monitoring and verification. It may also be used to improve and expand analytical tools, models, data, and metrics applicable to weapons of mass destruction (WMD) and conventional related policies.
- 6.5 The BAA requests project White Papers ranging from the basic science level (low Technology Readiness Level (TRL) to the operation of a fully developed capability (i.e., high TRL) (per GAO Technology Readiness Assessment Guidance, GAO-20-48G, <https://www.gao.gov/assets/gao-20-48g.pdf>). This BAA also accepts White Papers that focus on experimental work that creates a roadmap for a future, larger scale research program.
- 6.6 The V Fund is open to all interested and qualified sources, to include participation by and potentially collaboration with a wide variety of entities (e.g., large businesses, small businesses, independent consultants, academic institutions, Federally Funded Research and Development Centers (FFRDCs), University Affiliated Research Centers (UARCs), government agencies, non-governmental organizations, consortium participants, national labs, etc.). However, entities serving as a SETA (“System Engineering and Technical Assistance”) contractor or “consortium lead” of any federal department /agency cannot apply, to avoid a conflict of interest. Qualified sources may assist the Department of State in finding innovative technological approaches to address current and future arms control, nonproliferation, and disarmament policy development and implementation challenges through exchanges with various science and technology communities.

7. Contacts for BAA-related Communications:

- 7.1 Any questions regarding this BAA announcement must be provided to the points of contact below, by E-mail. Only Contracting Officers (COs) at the Department are legally authorized to obligate the awards.

Contracting Officer:

Name: Pete W. Jones  
Address: 2009 Dyess Ave, Bldg. #F, Charleston, SC 29415  
Phone: 771-204-9152, 202-486-2684  
Email: JonesPW@state.gov

Contracting Specialist:

Name: Conelius Stevenson

Address: 1735 North Lynn Street, Arlington, VA 22209  
Phone: 703-875 5113  
Email: StevensonC@state.gov

7.2 For general programmatic questions, which must be submitted by email, responses will be posted at the **System of Acquisition Management (SAM)** webpage (**SAM.gov**) as an amendment to the original announcement. For inquiries that are **company proprietary**, responses will be sent directly to the institution, and will not be posted online. All questions shall be submitted by the date stipulated in Section IV.

7.3 **Programmatic Questions related to Phase I White Papers and Phase II Full Technical Proposals shall be directed to: V Fund Mailbox - Email: [ADS-BAA@state.gov](mailto:ADS-BAA@state.gov).**

## 8. Contract Instruments/Awards:

8.1 Multiple awards are anticipated under this solicitation. Awards under this BAA will be made to Offerors on the basis of the evaluation criteria contained in Paragraph 1 of Section V. The actual number of awards will be subject to the availability of funds as well as the quality and relevance of the White Papers/Proposals. The ADS Bureau reserves the right to fund all, some, or none of the Proposals received, as well as to fund multiple bidders on the same topic.

8.2 DOS anticipates Awards to be in the form of *negotiated agreements, purchase orders, or Interagency Acquisition Agreements (IAAs)*.

8.2.1 Provisions and potential contract clauses for negotiated purchase orders for large businesses, small businesses, independent consultants, academic institutions, UARCs, non-governmental organizations, and foreign entities, are included as an attachment to the awards.

8.2.2 Terms and conditions for Interagency Acquisition Agreements with other Federal Government Agencies or FFRDCs will be negotiated at the time of the IAA award.

8.3 Classification: Generally, submissions shall remain at the **UNCLASSIFIED** level. Offerors may submit classified proposals up to the Secret level. See Section IV for further instructions.

## II. AWARD INFORMATION

1. The amount and period of performance (PoP) of each selected proposal may vary depending on the research area and the technical approach pursued by the selected Offeror. The period of performance shall be stated in the award documents.

2. DOS plans to make multiple awards in accordance with the Evaluation Criteria and Review and Selection Process contained in Section V of this BAA. DOS is seeking institutions and participants for this program that are capable of supporting the goals and desired outcomes as described in this BAA. Offerors have the opportunity to be creative in the selection of the technical and management processes and approaches to address the research areas of interest described under Topics in Section VIII.
3. Estimated funding amounts may increase or decrease at any time based on current and future appropriations and can affect the actual funding approved compared to the cost identified in the White Papers/Proposals.
4. The Bureau intends to use the V Fund money to accommodate as many selected awards as possible. V Fund projects in 2021-2023 had an average total cost of \$213K, with the base year cost generally falling between \$50,000 and \$150,000. In an effort to manage costs and promote collaboration, the Bureau may decide to seek complementary financial contributions from partner agencies or programs. Bidders submitting proposals that request significant funds or multi-year efforts should bear in mind the risk of a possible lapse in funding for optional years. A bidder's requested cost estimate therefore shall be accompanied with a thorough budget justification, detailed spending plan, and projected milestones/pace.

**III. ELIGIBILITY INFORMATION.** This BAA is open to all interested and qualified sources, to include participation by and potentially with both "traditional and non-traditional" entities (e.g., large businesses; small businesses; independent consultants; academic institutions; University Affiliated Research Centers (UARC); Federally Funded Research and Development Centers (FFRDC); government agencies; non-governmental organizations; foreign entities; and others). However, an entity serving as a SETA ("System Engineering and Technical Assistance") contractor or "consortium lead" of any federal department/agency cannot respond to this BAA, per ethics regulations.

#### **IV. APPLICATION AND SUBMISSION INFORMATION/DEADLINES**

1. **TWO-PHASED SUBMISSION.** This BAA will use a two-step process. Phase 1: potential Offerors submit brief descriptive White Papers in lieu of full proposals. Phase 2: full proposals are requested from those Offerors selected in the White Paper evaluation process. See Attachments 1-5 for details on the files to be submitted.
  - 1.1 **Phase I.** An interested Offeror must submit a White Paper and a Quad Chart in accordance with instructions provided in this BAA. Phase I submissions will be evaluated against criteria described in Section V of this BAA.
    - 1.1.1 White Paper format and content instructions are noted in Attachment 1. Each Offeror shall include in the White Paper, if applicable, a preliminary Technology Readiness Level (TRL) assessment of the proposed technology that conforms to the technology objectives and an expected TRL at the conclusion of the effort.

The offeror shall perform a TRL assessment according to the GAO Technology Readiness Assessment Guidance GAO-20-48G (<https://www.gao.gov/assets/gao-20-48g.pdf>).

- 1.1.2 All Quad Charts must include the information indicated on the sample template in Attachment 2.
- 1.1.3 White Paper and Quad Chart submissions shall be sent to [ADS-BAA@state.gov](mailto:ADS-BAA@state.gov) for review. If there is a need for a classified White Paper/Quad Chart submission, please send an email to [ADS-BAA@state.gov](mailto:ADS-BAA@state.gov) to request instructions for classified submissions.
- 1.1.4 Notification of Selection. Selections will be made after White Papers are reviewed by ADS experts and ADS's Solicitation Authority (see Sections V (on evaluation) and VI (on award) for more information). All Offerors providing Phase I submissions will be informed by email if the effort proposed is not of interest to the Government at this time, or with a request for a formal cost and technical proposal by a specific date.
- 1.1.5 **Deadline for White Paper Submission.** This announcement will remain open until **23:59 Eastern Time on the closing date**. See chart in Paragraph 3 of Section IV.

2.1 **Phase II.** Phase II proposals will only be accepted from Offerors, who upon review of Phase I submissions, are invited to submit a full proposal. **In order to be considered for award under Phase II, Offerors must be registered in the System for Award Management (SAM) at [www.sam.gov](http://www.sam.gov)**, be considered responsible within the meaning of FAR Part 9.1 on Responsible Prospective Contractors, have a satisfactory performance record, and otherwise, be eligible for award based on federal law and regulation.

- 2.1.1 **Full Proposal Submission.** Upon notification requesting a full proposal, Offerors shall prepare and submit a proposal in accordance with the format and instructions in Attachments 2-5. Each proposal shall include a Quad Chart, Technical Proposal, Cost Proposal, and a Statement of Work (SOW). All pages must be numbered.
- 2.1.2 Proposal Review, Evaluation, and Selection Process. Each proposal will be evaluated by the Government and the proposal must stand on its own technical merit. Proposals will be evaluated in accordance with the evaluation criteria and process specified in Section V, which includes its technical value, importance to agency programs, and funds availability. In order to provide the desired evaluation, qualified Government personnel and other experts will conduct reviews in the appropriate areas.
- 2.1.3 **Deadline for Full Proposal Submission.** This announcement will remain open until **23:59 Eastern Time on the Full Technical Proposal Submission closing date**

**noted in Paragraph 3 of Section IV. Timeline for Proposal Submission and Selection.**

- 2.1.4 Offerors must identify on each page information considered proprietary by marking their submissions with the restrictive language contained in FAR 52.215-1(e), Instructions to Offerors - Competitive Acquisition.
- 2.1.5 **UNIQUE ENTITY IDENTIFIER (UEI): The Federal Government has transitioned from the use of the DUNS Number to the Unique Entity Identifier (UEI) as the primary means of entity identification for Federal awards government-wide. UEIs are required in accordance with 2 CFR Part 25, and the transition from DUNS to UEI has resulted in the UEI being issued by the Federal Government in SAM.gov. This means entities no longer rely on a third-party to obtain an identifier (i.e., a DUNS issued by Dun and Bradstreet). This change streamlines the entity identification and validation process, making it easier and less burdensome for entities to do business with the Federal Government. It is the bidder's responsibility to obtain its UEI (via SAM.gov) prior to submission of proposals to this BAA. Failure to obtain the UEI in time will result in a delay in the awarding process, should the proposal be selected for funding.**
- 2.1.6 No further notice will be provided to Offerors submitting offers responsive to this BAA. All submissions shall remain at the unclassified level, with a supplementary classified submission, as appropriate.
- 2.1.7 Classified submissions: Offerors shall email an unclassified title as a placeholder to [ADS-BAA@state.gov](mailto:ADS-BAA@state.gov) to request instructions for classified submissions. Proposals may be classified up to the Secret level.

## **2. Format and Content of Proposals**

- 2.1 Proposals submitted under this BAA are generally expected to be unclassified. Titles given to the Proposal should be descriptive of the work they cover and not merely a copy of the title of a topic/requirement listed in this solicitation. Proposals that do not meet format requirements may be rejected without further review or evaluation. **Non-Government Offerors must be registered in the System for Award Management (SAM) in order to be eligible for a contract award.**

## 2.2 Nomenclature of Proposals and Quad Chart:

- 2.2.1 In labeling the proposal, the best way to deconflict with other Offerors' submissions is to **name the file with the BAA number, Offeror's short name, Topic number, and a very short descriptive title**. See examples below:

*BAA 2024-02. ORNL T15. Smart fuel rods for non-proliferation, or  
BAA 2024-02. LLNL T23. Assessment of highway tunnel in Wyoming, or  
BAA 2024-02. SNL T47. Deployment of DAS in Nevada, or  
BAA 2024-02. NASA T39. High-altitude balloon technologies, or  
BAA 2024-02. Oxford T55. US-Russia-China dialogue for arms control.*

## 2.3. Proposal Typographic Style:

- Paper size – 8.5-inch X 11-inch paper with font 12 point, Calibri. Smaller font may be used for figures, tables and charts. The page limitation for proposal text includes all figures, tables, and charts combined.
- Margins – 1 inch each side
- Spacing – single spaced
- See attachments for further details.

## 2.4 Proposal Content:

### 2.4.1 Proposal Cover: (One page at most.)

**Element 1:** A statement that clearly defines the Topic number, for example:

*"This proposal is in response to **BAA-2024-DOS-ADS-02**, Topic  
\_\_\_\_\_"*

**Element 2:** Title of proposal should be descriptive, for example:

*Advanced Location, Discrimination, and Yield Estimation  
Algorithms to Enhance Monitoring of the Korean Peninsula*

**Element 3:**

Lead Organization: (name)

Lead Principal Investigator: (name, address, phone, E-mail address)

Team Organizations (if applicable): (name, address, phone, E-mail address)

**The Lead Organization's UEI. (See Section IV instruction re UEI.)**

**Element 4:** Executive Summary



**3. Timeline for Proposal Submission and Selection:**

This announcement will remain open until 23:59 Eastern Time on the closing dates for Phase I and Phase II. See chart below.

PROPOSAL ACTIVITIES	DATE
BAA Questions from bidders	<p><b>Due NLT April 2, 2024, 23:59 (EST) to AQM Pete Jones</b></p> <p>Email Questions to:  <a href="mailto:JonesPW@state.gov">JonesPW@state.gov</a> and  <a href="mailto:StevensonC@state.gov">StevensonC@state.gov</a></p>
Phase I: White Paper Submission Open Period	<p><b>Due NLT April 18, 2024, 23:59 (EST)</b></p> <p>Email submission to:  <a href="mailto:ADS-BAA@state.gov">ADS-BAA@state.gov</a></p>
Phase II: Full Technical Proposal Submission Open Period	<p><b>Due two weeks following invitation from AQM Pete Jones</b></p> <p>Email submission to:  <a href="mailto:ADS-BAA@state.gov">ADS-BAA@state.gov</a></p>

The Phase II selections will be made after the proposals are reviewed by panels of experts and the solicitation authority. See Sections V (Evaluation) and VI (Award) for more information.

**V. EVALUATION INFORMATION**

**1. Evaluation Criteria:** Award decision will be based on a competitive selection of proposals resulting from a peer and scientific review process and shall be evaluated based on the following criteria that are listed in “DESCENDING” order of importance.

**1.1 Impact/Importance/Potential to the ADS Bureau’s Mission:** The potential contributions of the proposed effort must be relevant to the ADS Bureau’s mission to address the policy and technical challenges of verification of and compliance with arms control, nonproliferation, and disarmament treaties, agreements, and commitments. This would include identifying and providing technological and analytical solutions that address specific verification and compliance challenges related to both current and future arms control, nonproliferation, and disarmament agreements/concerns.

**1.2 Scientific and Technical Merits:** For scientific and technical proposed projects, the technical approach is feasible, achievable, complete, and supported by a proposed technical team that has the expertise and experience to accomplish the proposed tasks.

Task descriptions and associated technical elements provided are complete and in logical sequence with all proposed deliverables clearly defined. The proposal identifies major technical risks and planned mitigation efforts are clearly defined and feasible. The P.I. should demonstrate a thorough understanding of the scientific problem, e.g., through an unbiased and balanced quotation of previous work on the same or similar problem.

**1.3 Fund Availability/Affordability:** The proposed costs are realistic for the technical and management approach offered and demonstrates the proposer's practical understanding of the effort.

**1.4 Past performance:** To the extent possible, the P.I.'s past record in delivering products as required under previous government-funded awards will be included in the consideration. P.I.s are encouraged to document their past record briefly in the vitae.

## **2. Additional Information about the Review and Selection Process:**

2.1 The ADS Bureau will conduct a scientific, technical, and analytical review of each proposal submitted in accordance with the instructions provided in this BAA. The ADS Bureau's intent is to review proposals in accordance with the timeline for the Proposal Open Period submission dates (Section IV).

2.2 Award(s) will be made to proposers whose proposals are determined to be the most advantageous to the Government, all factors considered, including the potential contributions of the proposed work to the overall V Fund Program and the availability of funding for the effort.

2.3 It is the policy of the ADS Bureau to ensure impartial, equitable, and comprehensive proposal evaluations and to select the source whose offer best meets the Government's technical, policy, and programmatic goals. In order to provide the desired evaluation, qualified Government personnel will conduct reviews and convene panels of experts in the appropriate areas.

2.4 Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure in accordance with FAR 3.104-4 and 15.207 OR FAR 37.203(d).

## **VI. AWARD ADMINISTRATION INFORMATION**

1. **Selection Notices:** As soon as the evaluation of all the proposals is complete, the proposer will be notified that: (1) the proposal has been selected for funding pending contract negotiations, purchase orders, or completion of the Interagency Acquisition Agreement(s); or (2) the proposal has not been selected. The official notifications will be sent via e-mail to the Technical and Administrative points of contacts identified in the proposal.

## 2. Administrative Requirements

**2.1 Meeting and Travel Requirements:** Performers should anticipate regular Principal Investigator(s) meetings and periodic site visits at the Program Manager's discretion.

**2.2 Post Contract Evaluation:** Principal Investigator(s) may be requested to participate in a project evaluation at a later date upon completion of the effort.

**2.3 Export Control:** All procurement contracts, other transactions, and other awards as deemed appropriate, resulting from this solicitation may be subject to International Traffic in Arms Regulations, and the Arms Export Control Act.

**2.4 Logos and Names Usage:** V Fund Awardees agree that DOS ADS has permission to use organization names and logos in certain materials, such as slide presentations, to highlight the wide array of interest in the V Fund BAA.

**3. Reporting:** The number of reports (and other deliverables) will be specified in the award document. The reports shall be prepared and submitted in accordance with the procedures contained in the award document and mutually agreed to before the award is granted. Reports and briefing materials will also be required as appropriate to document progress in accomplishing program metrics. Detailed, periodic status/progress reports are required in order for incremental invoices to be certified and processed. A final technical report that summarizes the project tasks will be required at the conclusion of the performance period for the award, notwithstanding the fact that the research may be continued under a follow-on vehicle. The program office will work with the P.I. to archive and post the final technical report/product, as appropriate.

## VII. OTHER INFORMATION

1. **FULL AND OPEN COMPETITION:** This acquisition is unrestricted and is issued under the provisions of the Federal Acquisition Regulation paragraph 6.102(d) (2) and FAR 35.016 that provides for the competitive selection of research proposals. Proposals submitted in response to approved proposals issued pursuant to this BAA that are selected for award are considered to be the result of full and open competition and in full compliance with the provisions of PL 98-369, the Competition In Contracting Act of 1984.

2. **ORGANIZATIONAL CONFLICT OF INTEREST:** Organizational Conflict of Interest may apply to this action but cannot be determined prior to issuance of this announcement. This issue and the need for applicable clauses will be resolved prior to the award of any instrument resulting from an Offeror's proposal.

3. **ASSOCIATE CONTRACTOR AGREEMENTS:** Associate Contractor Agreements (ACAs) are agreements between contractors working on government contract projects that specify

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

4. **NON-GOVERNMENT PERSONNEL:** All proprietary material should be clearly marked and will be held in strict confidence. The program office has contracted for various non-government scientific, engineering, technical, and administrative staff support services, some of which require contractors to obtain access to proprietary information submitted by other contractors. All non-government contractor support personnel have signed and are bound by the appropriate non-disclosure agreements and organizational conflict of interest statements.
  
5. **FEDERALLY FUNDED RESEARCH AND DEVELOPMENT CENTERS (FFRDCS):** FFRDCs may submit proposals in response to this announcement. FFRDCs or contractors that propose using FFRDCs shall provide a rationale in their proposal that the research is within the purpose, mission, general scope of effort or special competency of the FFRDC and that research to be performed would not place the FFRDC in direct competition with the private sector. The Government does not intend that FFRDCs use privileged information or access to facilities to compete with the private sector.
  
6. **UNIVERSITY AFFILIATED RESEARCH CENTERS (UARCS):** UARCS may submit proposals in response to this announcement.
  
7. **RE-SUBMISSION OF A PROPOSAL:** In order to be considered in a solicitation, a proposal should be formally submitted, regardless of whether it was submitted previously to other solicitations. Different BAAs are often based on different statutory authorities, or with funding sources allocated in different program lines (or budget pockets), and hence selection decisions are made separately.

**VIII. BAA 2024-02 Topics**

Topic	Category	Description
1.	Nuclear Arms Control	<p><b>Develop Research/Plans/Technical Approaches related to Nuclear Arms Control to include at least one of the following.</b></p> <ul style="list-style-type: none"> <li>• Manage competition and promote stability through nuclear arms control and risk reduction measures.</li> <li>• Strengthen monitoring and verification of nuclear arms control, nonproliferation, and disarmament agreements and commitments.</li> </ul>

Topic	Category	Description
		<ul style="list-style-type: none"> <li>Strengthen and maintain extended deterrence, including through enhanced cooperation with allies and partners and greater understanding of their views and perspectives.</li> </ul>
2.	<b>Chemical and Biological Weapons</b>	<p><b>Develop Research/Plans/Technical Approaches related to Chemical and Biological Weapons to include at least one of the following.</b></p> <ul style="list-style-type: none"> <li>Strengthen the United Nations Secretary General’s Mechanism’s (UNSGM) capacity to deploy in response to biological weapons use.</li> <li>Increase capacity within the field of chemical attribution to detect trace chemical signatures.</li> <li>Improve detector technology so it is capable of detecting solid- and low- vapor pressure liquid chemical agents.</li> </ul>
3.	<b>Emerging Technologies and AI</b>	<p><b>Develop Research/Plans/Technical Approaches related to Emerging Technologies and Artificial Intelligence to include at least one of the following.</b></p> <ul style="list-style-type: none"> <li>Develop practical implementation tools for the Political Declaration on Responsible Military Use of Artificial Intelligence (AI) and Autonomy, including the development and deployment of AI capabilities as well as approaches and techniques to minimize and mitigate unintended biases in AI capabilities applicable across a wide range of types of applications.</li> <li>Develop technical approaches to mitigate the potential escalation risks from the integration of AI into strategic decision-making contexts and identify escalation risks or pathways arising from potential technical failures of AI capabilities in decision making contexts.</li> </ul>
4.	<b>Space and Missile Defense</b>	<p><b>Develop Research/Plans/Technical Approaches related to Space and Missile Defense to include at least one of the following.</b></p> <ul style="list-style-type: none"> <li>Develop technical approaches to strengthen outer space security that includes space security cooperation, implementing NATO space policy, deterring adversaries from extending conflict into space, countering threats used by adversaries for hostile purposes, and engaging allies and partners on the national security aspects of space flight safety.</li> <li>Develop region-wide ballistic missile defense capabilities, including through development of early warning systems</li> </ul>

Topic	Category	Description
		<p>and enhancing missile defense cooperation and information sharing.</p> <ul style="list-style-type: none"> <li>• Develop technical approaches to achieve NATO agreement to address the threats posed by cruise missiles.</li> </ul>
5.	<b>Conventional Risk Reduction and Stability Tools</b>	<p><b>Develop Research/Plans/Technical Approaches related to Advancing the Global Use of Conventional Risk Reduction and Stability Tools to Increase Transparency, Decrease Miscalculation, and Prevent Conflict, to include at least one of the following.</b></p> <ul style="list-style-type: none"> <li>• Identify specific conflicts and security challenges worldwide that would most benefit from conventional risk reduction, confidence-building measures, and stability tools to increase transparency, decrease miscalculation, and prevent conflict. This should include specific conflicts and security challenges in the Indo-Pacific, Africa, Europe, Central Asia, Latin America, Caribbean, the Middle East, and the Arctic. This could include a tabletop exercise or workshop approach to identify the conflicts and security challenges.</li> <li>• Assess existing regional security frameworks, training, and capacity-building partnerships with countries, and/or international groups that could be candidates for applying conventional risk reduction, confidence-building measures, and stability tools.</li> </ul>

## Attachment 1: Phase I White Paper Format

1. The White Paper narrative must be 8.5 x 11 inches with one-inch margins, no longer than **four** pages, single-spaced, with text in Calibri, 12 point font. All White Papers must specify a project title, the Offeror's organization, and the specific topic number associated with the proposal. Pages in excess of the page limitation will not be read or evaluated. White Papers must not exceed a file size of 10 MB.
2. The White Paper must be limited only to further explanation of the information conveyed in the Quad Chart, as deemed necessary by the Offeror. The information should provide sufficient information on the research being proposed (e.g., the hypothesis, theories, concept, approaches, data measurements, and analysis, etc.) to allow for an assessment by a technical expert. Expand as necessary on the following sections of the Quad Chart: Objective; Description of the Effort; Benefits of the Proposed Technology; Technical Challenges; Technology Readiness Level (TRL) of the technology at project start and planned TRL at project completion; Major Goals/Milestones by Government fiscal year. Do not include corporate or personnel qualifications, past experience, or any supplemental information not requested in the Quad Chart. (However, this information will be required for those invited to submit a follow-up full proposal.) See Paragraph 2 of Section IV regarding nomenclature of files to be submitted.
3. White Papers shall be sent to [ADS-BAA@state.gov](mailto:ADS-BAA@state.gov) for review. If there is a need for a classified White Paper submission, please email [ADS-BAA@state.gov](mailto:ADS-BAA@state.gov) to request instructions for classified submissions.

## **Attachment 2: Phase I/Phase II Quad Chart Format**

1. The following information must be included in the Phase 1 Quad Chart. Quad Charts shall not exceed 1-page in landscape view, all text in Calibri, 12-pt. font.
2. A Quad chart conveys the essence of the proposed solution for a single requirement. When preparing a submission, the Offeror shall ensure that the specific criteria of the Verification Focus/Need or Requirement are addressed, the solution is clear, and can be accomplished with the proposed product, cost, and schedule. The Quad Chart includes a document header and four quadrants.
3. **Header Information:** Should include BAA Announcement Number, Offeror's name, Topic Number, and short descriptive title, with appropriate document markings.
4. **Top Left Quadrant – Requirements/Science and Technology Verification Focus/Objective:** Identify the specific focus need that the proposal is addressing as specified by the BAA Topics in Section VIII.
5. **Top Right Quadrant - Graphical Description:** Include a photograph, schematic, or artist's conception of the proposed solution or prototype. Include labels or brief descriptive text as needed for clarification.
6. **Bottom Left Quadrant**
  - 6.1 Approach and Phases: Describe the proposed scientific and technical approach, the technology involved, or proposed product, how it will be used to solve the problem, actions taken to date, and any related ongoing efforts. Briefly describe the tasks to be performed for each phase; a bullet list is acceptable.
  - 6.2 Benefits and Challenges.
  - 6.3 Proposers/Partners: Identify lead organization(s) and other significant teaming partners. Details must include names, e-mail addresses, and telephone numbers.
  - 6.4 Principal Investigators: If different from Proposers and Partners, the details must include names, e-mail addresses, and telephone numbers.
7. **Bottom Right Quadrant**
  - 7.1 Operational and Performance Capabilities Summary: Describe any basic, new, or enhanced capabilities the project will provide to meet the Requirements/ Verification Focus/Need. Explain how the project addresses and answers the specific Need. List all key aspects of performance, capability, operational use,



relevant software or hardware specifications, and planned interface and/or compatibility, if applicable.

7.2 Deliverables: Deliverables shall include, by phase, study reports, written progress and final reports, and for example, a list of all prototype hardware and software along with the required data as described in the proposal, if applicable.

7.3 Cost and Schedule: A Rough Order of Magnitude (ROM) and Schedule shall be proposed by phase, which includes the cost, Period of Performance (PoP), and a total cost and PoP that combines all phases. The ROM should be split between an estimate for travel costs (if any) and the direct costs of the research being proposed.

7.4 **Corporate Contact Information:** Provide the submitter’s company name, point of contact, phone and fax numbers, and email address.

8. **Sample quad chart:**

8.1.Header should contain: BAA Announcement Number, Offeror’s name, Topic Number, and short descriptive title, with appropriate document markings (see example below).

**BAA 2024-DOS-ADS-02. Oxford T55. US-Russia-China dialogue for arms control**

<p><b>Objective:</b> Clear concise (1-2 sentences) description of the goal of the effort (12-pt font)</p> <p><b>Description of Effort:</b> Brief description of the technology proposed for investigation and methods to be used during the course of investigation. (12-pt font)</p> <p><b>ADS Requirements Addressed:</b> Specify the arms control treaty/agreement or other ADS-defined requirement.</p>	<p><b>Photographic or graphic illustration of concept or technology. Text in 12-pt font.</b></p>						
<p><b>Benefits:</b> Brief statement that identifies the net advantages of the proposed technology over current practices and competing technologies (12-pt font)</p> <p><b>Challenges:</b> Bulleted list of technical or scientific challenges (12-pt font)</p> <p><b>Maturity of Technology:</b> Description of the current maturity of the proposed technology with respect to Technology Readiness Level.</p>	<p><b>Major Goals and Milestone by Fiscal Year (FY):</b></p> <ul style="list-style-type: none"> <li>Bulleter list,</li> <li>Deliverables: (e.g., study, written reports, prototype device, or proof of prototype testing.</li> </ul> <p><b>Proposed Funding:</b></p> <table border="1" data-bbox="1062 1560 1287 1619"> <thead> <tr> <th>Year 1</th> <th>Year 2</th> <th>Total</th> </tr> </thead> <tbody> <tr> <td>\$000</td> <td>\$000</td> <td>\$000</td> </tr> </tbody> </table> <p><b>Period of Performance:</b> 1yr/2yrs</p> <p><b>Contact Info:</b> Name, E-mail, Phone, Affiliation etc.</p>	Year 1	Year 2	Total	\$000	\$000	\$000
Year 1	Year 2	Total					
\$000	\$000	\$000					

8.2 In labeling the quad chart and proposals, the best way to deconflict with other Offerors’ submissions is to name the file with the BAA number, Offeror’s short name, Topic number, and a very short descriptive title. See examples below.

- *BAA 2024-02. ORNL. T15. Smart fuel rod for non-proliferation, or*
- *BAA 2024-02. LLNL. T23. Surve of highway tunnels in Nevada, or*
- *BAA 2024-02 SNL. T47. Deployment of DAS in Nevada, or*
- *BAA 2024-02 NASA. T39. High-altitude balloon technologies, or*
- *BAA 2024-02 Oxford. T55. US-Russia-China dialogue for arms control.*

9. Quad Charts shall be sent to ADS-BAA@state.gov for review. If there is a need for a classified Quad Chart submission, please email [ADS-BAA@state.gov](mailto:ADS-BAA@state.gov) to request instructions for classified submissions.

### **Attachment 3: Phase II Technical Proposal Format**

The Technical Proposal portion of the Phase II submission shall not exceed 30 pages, with **20** pages for Elements 1-4 below.

#### **Element 1: Program description**

- 1.1 Introduction and Motivation
- 1.2 Proposed Approach
- 1.3 Illustrative/Demonstrative Examples (or Previous Successes in Different Regions or Corroboration with Other Techniques)
- 1.4 Relevance to DOS/ADS mission:
  - Overall Merit,
  - Achievability/Risk Assessment,
  - Uniqueness,
  - Benefits of Teaming Arrangement (if applicable).

#### **Element 2: References**

- 2.1 A **brief** bibliography of relevant technical papers and research reports/notes (published and unpublished) which document the technical ideas upon which the proposal is based.

#### **Element 3: Contractor's Statement of Work**

#### **Element 4: Deliverables**

- 4.1 Progress report, annual reports, technical reports, and final reports will describe the methods, analyses, and results of the projects.
  
- 4.2 For example, for R&D projects in physical science, vendors shall deliver the following reports, data, results, and software. Base software will be in the form used for research. Additional efforts to design, implement, deliver, and integrate advanced user interfaces to function in user environments are optional tasks.
  - 4.2.1 Quarterly R&D progress reports (e.g., 4 if 1-yr effort; 8 if 2-yr effort)
  - 4.2.2 Annual technical reports
  - 4.2.3 Annual Technology Interchange Meeting (TIM) - briefings to COR at DOS ADS
  - 4.2.4 Parametric data, template events, and software, if applicable
  - 4.2.5 A final technical report
  - 4.2.6 Software interfaces, documentation, and training, if funded as additional CLINs, if applicable

#### **Element 5. Milestone Chart (Schedule)**

- 5.1 Tentative Schedule for Performing Proposed Tasks

## **Element 6. Facilities and Equipment Description**

## **Element 7. Description of Relevant Prior Work**

For each relevant prior work, list the following elements:

7.1 Principal Investigator:

7.2 Project Title:

7.3 Contract No:

7.4 Sponsoring Agency:

7.5 Government PoC (COR):

7.6 Period of Performance: Start month/year – End month /year

7.7 A brief (50 words at most) summary for each relevant prior work.

## **Element 8. Management Plan**

## **Element 9. Resumes of Key Individuals**

#### **Attachment 4: Phase II Cost Proposal Format**

1. **Project Cost Estimate:** Proposals must provide a Rough Order of Magnitude (ROM) cost estimate. The ROM cost estimate should be consistent with any dollar value or ranges specified in the announcement, as well as the level of work being proposed. The ROM should be split between an estimate for travel costs (if any) and the direct costs of the research being proposed. The V Fund program provides modest funds to develop new technologies and analytical products to support operational requirements, facilitate dialogues, explore arms control policy issues, or to adapt existing projects to the needs of arms control, nonproliferation, and disarmament verification, detection, or monitoring.
2. The requested cost estimate shall include a thorough budget justification, detailed spending plan, and projected milestones/pace.
3. **Administrative and Financial Contact:** Provide the name, address, phone/fax, and e-mail address of the points of contact, along with the lead organization's Unique Entity Identifier (UEI).

## **Attachment 5: Phase II Statement of Work Format**

1. A Statement of Work (SOW) must be included with the full proposal as part of the Phase II submission. The SOW should be 3–5 pages in length, Calibri, 12 pt. font and must be a separate and distinct document suitable for incorporation into the procurement instrument. Do not include proprietary data or markings in the SOW. Pages should be numbered. Provide a date (document date) under the title on the initial page.
2. The proposed SOW must accurately describe the work to be performed and contribution to the Bureau’s verification goals. The proposed SOW must also contain a summary description of the technical approach as well as the task description. The SOW includes the following sections and specifically responds to the BAA Topic:
  - 2.1 OBJECTIVE. This section is intended to give a brief overview of the project. Describe why the work is being pursued and what the Offeror intends to accomplish.
  - 2.2 SCOPE. This section includes a statement of what the SOW covers and describes the capability area (Broad Agency Announcement topic) to be investigated, goals, and milestones for the effort.
  - 2.3 BACKGROUND. The Offeror must identify appropriate references/documents that are applicable to the effort to be performed. This section includes any information, explanations, or constraints that are necessary to understand project tasks and requirements. Describe the effort’s relationship to previous and ongoing efforts.
  - 2.4 TASKS AND TECHNICAL REQUIREMENTS. This section contains the detailed description of tasks that are necessary to perform the proposed work. These tasks will represent the work to be performed in any potential contract award, and, thus, shall be considered contractually binding. This section describes the proposed effort in an orderly progression, providing sufficient detail to establish the feasibility of accomplishing the overall program goals. Clearly distinguish base-period tasks from option tasks. The sequence of performance must be presented by fiscal year and task order. The SOW must contain every task to be accomplished. Note that the Government reserves the right to modify and negotiate the language in the SOW prior to any potential contract award.
    - 2.4.1 Task descriptions must be definite, realistic, and clearly stated. Use the phrase “the contractor shall” whenever the work statement expresses a provision that is binding. Use active voice in describing work to be performed.
    - 2.4.2 Do not use acronyms or abbreviations without first defining them. Place abbreviations and acronyms in parentheses following the first usage of the spelled-out phrase.

- 2.4.3 If presentations and meetings are identified in the Offeror's schedule, the Offeror must include the following statement in the SOW: "Conduct presentations and meetings at times and places specified in the contract schedule."
- 2.4.4 The desired project structure consists of base period tasks, focused on demonstrating the feasibility of the technology, and option tasks, which cover design, fabrication, testing, and evaluation of the final product. Execution of option tasks will be dependent upon and determined by the contractor's performance during and the results produced from the base period tasks.
- 2.4.5 See Articles IV and V for further information.