

**ARMY APPLICATIONS LAB**  
**BROAD AGENCY ANNOUNCEMENT FOR**  
**DISRUPTIVE APPLICATIONS**



**W911NF-19-S-0004**  
**2 May 2019 – 1 May 2024**

**ISSUED BY:**

**U.S. Army Contracting Command**  
**Aberdeen Proving Ground**  
**Research Triangle Park Division**  
**P. O. Box 12211**  
**Research Triangle Park, NC 27709-2211**



**Special Notes**

1. Formatting of the Announcement

The following table provides an overview of the outline structure of this announcement:

I.							
	A.						
		1.					
			a.				
				i.			
					(1)		
						(a)	
							(i)

2. See Appendix 1 for a Table of Acronyms used in this announcement.

3. See Appendix 2 for a Schedule of Amendments. Applicants are encouraged to frequently check Grants.gov and FBO.gov for updates and amendments to this BAA.

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## **I. OVERVIEW OF THE FUNDING OPPORTUNITY**

The Army that fought and won World War II relied on commercial industry and civilian ingenuity for the machines and technology that enabled Allied victory. Army investments and civilian know-how set the stage for the high-tech revolution that continues to fuel global markets over seventy years later. Today, as the accelerated rate of technological change in areas like artificial intelligence, robotics and autonomy, and power and energy presages unprecedented opportunities and threats, the Army seeks to renew its commitment to the revolutionary ideas and civilian research and development partnerships that will ensure the safety and prosperity of the nation in the years to come.

United States Army Futures Command (AFC) is focused on modernizing the Army and focuses on six priorities:

1. Long-Range Precision Fires
2. Next Generation of Combat Vehicles
3. Future Vertical Lift Platforms
4. Army Network
  - Network Command, Control, Communications and Intelligence
  - Assured Position Navigation and Timing
5. Air and Missile Defense Capabilities
6. Soldier Lethality
  - Soldier Lethality
  - Synthetic Training Environment

AFC's cross-functional teams (CFTs) are the Army's vehicle for force modernization, ensuring capability overmatch for Army forces on future battlefields.

While the Army plays a unique role in our society to deploy, fight, and win decisively against any adversary, anytime, and anywhere, many of the technologies that the Army relies on to accomplish this mission are being propelled by the civilian world. Army modernization priorities related to manned and unmanned vehicles, space systems, sensing, networks and connectivity, data visualization and gaming, space, and human performance monitoring (to name a few) all have substantial overlap with civilian sources, uses, and markets.

To capitalize on opportunities for breakthrough research and development in key civil-military technology areas relevant to the Army's modernization priorities, AFC has established the Army Applications Lab (AAL) to capitalize on the extended marketplace of ideas in government, academia, industry, and civilian innovation ecosystems and lead the research and development of disruptive innovations – i.e., technology demonstrators and early-stage products that revolutionize Army capabilities and corresponding civilian industries and create a first-mover advantage for the Army across a full spectrum of missions.

The three main lines of effort associated with this BAA are (1) discovery, (2) acceleration, and (3) translation of disruptive technology applications:

1. Discovery of novel capability concepts that capitalize on emerging technologies and application insights from the widest possible range of sources.
2. Acceleration of disruptive applications of technology that delivers a 2-4 times improvement over current or planned Army capabilities through the research, development, and validation of technology demonstrators.
3. Translation of breakthrough innovations that create a scalable, first-mover advantage for the Army in strategic technology areas by synchronizing knowledge generated in the discovery and acceleration phases with key decision points across the Army Future Force Modernization Enterprise (FFME).

Solutions consistent with these three functions and reflective of priorities, technical challenges, and problems associated with the FFME will be solicited through this BAA.

AAL is seeking technologies that address a wide range of Army needs consistent with CFT capability focus areas and associated programs and lines of effort as well as potentially disruptive new capabilities that augment or enhance Army capability overmatch. A key focus for AAL is to identify and transition new technologies, methodologies, and concepts related to:

1. Translational Research - Approaches and methodologies that accelerate the Army's innovation cycle through the translation of emerging technologies to Army capability objectives, including the Army's six modernization priorities and associated programs and lines of effort.
2. Fourth Industrial Revolution Technologies - Approaches and methodologies that are characterized by a fusion of technologies in the physical, digital, and biological spheres. Specific technologies of interest include robotics; artificial intelligence; autonomy; augmented and virtual reality; nanotechnology; quantum information systems; synthetic biology and biotechnology; Internet of Things (IoT); space systems; advanced networking, communications, and command and control technology; additive manufacturing; and power and energy systems.
3. Commercialization - Approaches and methodologies that support the research and development of dual-use solutions - i.e., solutions that support both emerging Army needs and scalable commercial markets.

This BAA may be used to award procurement contracts, grants, cooperative agreements, Technology Investment Agreements, and Other Transactions. AAL will entertain discussions with applicants to consider a wide range of funding constructs which might include but are not limited to Government funding, cost sharing, in-kind

labor or facility sharing by all parties, or any other allowable mechanism. Applicants may propose cost sharing approaches but they are not required. AAL envisions opportunities to engage in other types of collaboration agreements where no funds are exchanged such as Cooperative Research and Development Agreements (CRADAs) which are negotiated separately from this BAA. See <https://aal.army> for details.

There are two approaches AAL will use to engage with potential applicants under this BAA.

**Ongoing Topics** - AAL does not necessarily have funding for any particular research area at any given time. Those contemplating submission of a whitepaper or proposal are strongly encouraged to review the AAL website to understand AAL priorities, submit questions, and submit whitepapers and proposals. Whitepapers and proposals should be prepared in accordance with the instructions contained in this BAA and submitted according to guidelines found on <https://aal.army>. AAL will assess whitepapers and proposals and return feedback to applicants on a not-to-exceed quarterly basis.

**Special Topics** - As a part of this BAA, AAL will post specific areas with strong potential for funding on its website <https://aal.army> and on <http://www.grants.gov>. These topics will generally have clear deadlines for submission and may have other specific preparation guidelines.

Proposals and whitepapers that demonstrate significant innovation are sought from institutions of higher education, nonprofit organizations, state and local governments, foreign organizations, foreign public entities, and for-profit organizations (i.e. large and small businesses) for scientific research in technology areas that will enhance the capabilities the Army desires as outlined in this solicitation. Proposals and whitepapers may include studies, modeling & simulation, development of methodologies and approaches, technology demonstrators and prototypes, experiments, or feasibility analyses that are consistent with advancing the scientific state of the art or increasing basic knowledge and understanding. Applicants may also propose that AAL support the research with the use of Government-furnished facilities, Army expertise or other Government assets. Proposals will only be considered for the acquisition of basic and applied research and work not related to the development of a specific system or hardware procurement.

Proposals and whitepapers are expected to be for cutting-edge innovations that could produce discoveries with the potential for significant impacts to enable new and improved Army operational capabilities. The specific research areas and topics of interest described in this document should be viewed as suggestive, rather than limiting. AAL is always interested in considering new innovative research concepts of relevance to the Army. Additional information about AAL areas of interest can be found on the AAL website: <https://aal.army>.



Applicants whose whitepapers receive a favorable evaluation may be encouraged to prepare a proposal in accordance with instructions contained in this BAA. The costs of whitepapers and/or proposals in response to this BAA are not considered an allowable direct charge to any award resulting from this BAA or any other award. It may be an allowable expense to the normal bid and proposal indirect costs specified in Federal Acquisition Regulation (FAR) 31.205-18. AAL prefers proposals that incorporate intermediate milestones to assess progress. Proposals may be submitted at any time while this BAA, including any amendments, is valid.

In accordance with federal statutes, regulations, and Department of Defense (DoD) and Army policies, no person on grounds of race, color, age, sex, national origin, or disability shall be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from the Army. Applicants submitting proposals are cautioned that only a Contracting or Grants Officer can obligate the Government to any legal instrument involving expenditure of Government funds. All administrative inquiries regarding this BAA shall be submitted in email to: [usarmy.rtp.aro.mbx.baa@mail.mil](mailto:usarmy.rtp.aro.mbx.baa@mail.mil). Scientific and technical questions should be referred to the provided contact form on the AAL website. Interested parties are encouraged to periodically check any of the following websites for updates and amendments to this BAA: [www.grants.gov](http://www.grants.gov), [www.fbo.gov](http://www.fbo.gov), and the (AAL) website <https://aal.army>.

Director  
Army Applications Laboratory

(End of Section)

## **B. Required Overview Content**

### **1. Agency Name**

U.S. Army Futures Command, Army Applications Laboratory

### **2. Issuing Acquisition Office**

U.S. Army Contracting Command-Aberdeen Proving Ground, Research Triangle Park (ACC-APG-RTP) Division

### **3. Research Opportunity Title**

AAL Broad Agency Announcement (BAA) for Disruptive Applications for 2 May 2019– 1 May 2024

### **4. Announcement Type**

Initial Announcement

### **5. Research Opportunity Number**

W911NF-19-S-0004

### **6. Catalog of Federal Domestic Assistance (CFDA) Number and Title**

12.431 – Basic Scientific Research

### **7. Response Dates**

This BAA is a continuously open announcement valid throughout the period from the date of issuance through 1 May 2024, unless announced otherwise.

(End of Section)

### C. Additional Overview Information

1. This BAA sets forth research areas of interest to the AAL. This BAA is issued under paragraph 6.102(d)(2) of the Federal Acquisition Regulation (FAR), 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.
2. 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 provision of Public Law 98-369, "The Competition in Contracting Act of 1984" and subsequent amendments.
3. The DoD agencies involved in this program reserve the right to select for award all, some, or none of the proposals submitted in response to this announcement. Due to Government budget uncertainties, no specific dollars have been reserved for awards under this BAA. The participating DoD agencies will provide no funding for direct reimbursement of whitepaper or proposal development costs.
4. Whitepapers and technical and cost proposals (or any other material) submitted in response to this BAA will not be returned to the applicant. Unless noted in an applicant's proposal to the contrary, unsuccessful proposals will be retained for possible future consideration. It is the policy of participating DoD agencies to treat all proposals as sensitive, competitive information and to disclose their contents only for the purposes of evaluation.
5. An applicant may withdraw a proposal at any time before award by written notice or by email sent to the Government point of contact (POC) identified in Section G of this BAA.

## II. DETAILED INFORMATION ABOUT THE FUNDING OPPORTUNITY

- A. **Program Description** - AAL is interested in any and all technologies which can be shown to enable the Army of 2028 to be ready to deploy, fight, and win decisively against any adversary, anytime, and anywhere, in a joint, multi-domain, high-intensity conflict, while simultaneously deterring others and maintaining its ability to conduct irregular warfare.
  1. There are a number of technologies that touch more than one of the Army Modernization Priorities as well as other areas important to the Army. Advances in these areas may be highly disruptive since they could address multiple priorities or functions or challenge current Army approaches.

Areas of interest include but are not limited to the following:

- a. **Autonomous platforms** – The Army is particularly interested in research in autonomous ground and air vehicles, which must operate in open, urban and cluttered environments. Robotics and autonomous systems regardless of their missions require similar concepts and technologies including:
    - i. Ability to move in very cluttered, irregular, urban and underground terrains
    - ii. Ability to move effectively in contested environments and survive attacks
  - i. Technologies to enable low electronic and physical profiles
  - ii. Techniques to allow operators to be trained quickly even for complex tasks
  - iii. Architectures to enable reprogrammable platforms under dynamic conditions
  - iv. Sensors to detect obscured targets and to characterize terrain obstacles
  - v. Autonomous ground and air structures, propulsion, and mobility components
  - vi. Technologies to significantly reduce logistical burdens
- b. Artificial Intelligence and Machine Learning (AI/ML)** - The Army is interested in AI/ML research in areas which can reduce the cognitive burden on humans and improve overall performance through human-machine teaming. AI/ML research is needed in areas such as:
- i. Autonomous, intelligent maneuver and behaviors of autonomous ground and air vehicles - object recognition, threat warning, etc.
  - ii. Ability to analyze large, diverse data sets to predict enemy intent and behaviors
  - iii. Technologies to ensure robust, resilient and intelligent networking, cyber, electronic warfare and analysis of adversary signals
  - iv. Data analysis capabilities to engage with and exploit classified and unclassified sources in order to produce enhanced intelligence products
  - v. Techniques to fuse data from disparate sources to improve a particular mission
- c. Data visualization and synthetic environments** – The Army is interested in research involving concepts that enable improved situational awareness and the visualization and navigation of large data sets and to enhance operational activities and training and readiness. Research is needed in the visualization of data in following areas:
- i. Sensor data
  - ii. Large data sets
  - iii. Complex multi-source mode data sets

- iv. Novel visualization and synthetic environment approaches to enable improved training
  - v. Synthetic environments and networked instrumentation approaches for virtual-live validation of concepts and prototypes
- d. Assured Position, Navigation, and Timing (PNT)** – The Army is interested in research involving novel new PNT technologies which could be key enablers for many capabilities including autonomous vehicles, communications, and land navigation. Solutions that enable robust PNT for vehicles, Soldiers, munitions might include research in the following areas:
- i. PNT technologies which operate reliably in GPS-degraded or denied areas which cannot be exploited by adversaries
  - ii. Enhancements to commercial technologies to enable them to meet Army needs
  - iii. Robust security techniques for PNT at all levels
  - iv. PNT-enabled guidance and control
  - v. Algorithms and techniques to fuse data from multiple PNT sources to provide robust capabilities
- e. Power generation and management technologies** – The Army frequently must operate where power infrastructure is not available, on small vehicles or for individual Soldiers. Solutions that enable reliable power for vehicles, Soldiers, and munitions might include research on:
- i. Novel new power sources
  - ii. Power management algorithms to optimize generation and usage
  - iii. Advanced low-power electronic technologies to reduce power demand
  - iv. Compact power sources for small UAVs, robots, smart munitions
- f. Sensing** – The Army is interested in developing a detailed understanding of the environments and activities in the areas where it operates. Research is needed in the areas of sensors and associated processing in order to:
- i. Detect people, equipment, weapons, and any other object or action of interest
  - ii. Detect all targets even when obscured
  - iii. Detect based upon, physical, behavioral, cyber or other signatures
- g. Communications & networks** – It is critical the Army maintain secure, reliable communications for Soldiers, vehicles and at fixed locations even in austere environments. Research is needed in the areas related to following:
- i. Concepts and methodologies to enable robust, secure networks
  - ii. Protocols

- iii. Network interoperability including multi-national partners
  - iv. High efficiency components
- h. Computation** – The Army has a growing need for high performance computational capabilities to exploit large data sets and to compute complex AI/ML algorithms for many applications. Research is needed to improve computational capabilities in the following areas:
- i. Throughput
  - ii. Power efficiency
  - iii. Edge computing
- i. Space** – Like many commercial interests, the Army is interested in exploiting space assets to solve a range of problems. Research is needed to improve space-based capabilities in the following areas:
- i. Concepts enabling persistent, high-resolution sensing of ground-based features, environments, and targets
  - ii. Concepts enabling low-cost access to space
- j. Internet of Things (IoT)** – The Army needs to better integrate a wide range of capabilities and equipment and capitalize on commercial developments in the industrial and human IOT. The Army’s interested is driven in part by the fact that the amount of usable communication bandwidth on the battlefield will be dynamic, and as such automated reallocation of communication resources and information sharing strategies are more challenging than commercial ones. Research is needed to improve Army IOT in the following areas:
- i. New concepts, quantitative models and technical approaches enabling automated management of IoT
  - ii. New machine learning techniques that accelerate decision making to address the scale/volume of IoT information and advance the science
  - iii. New approaches, low-complexity algorithms, and methods to enable secure, resilient, and to automatically managed IOT networks in highly complex, mixed cooperative/adversarial, information-centric environment
  - iv. Novel IoT approaches to enable improved training and system evaluation
- k. Quantum Technologies** – The Army seeks to better employ quantum sciences in a number of areas to improve the performance and security of its future systems. Research is needed in the following areas:
- i. Quantum computing to solve highly complex problems in real time
  - ii. Quantum sensing to achieve highly sensitive characterization of activities and environments and enable highly accurate navigation

- iii. Quantum communications, and networking to enable highly secure and efficient information flow
- l. Signature reduction** – The Army needs to protect its Soldiers by making them harder to detect and locate. Research is needed to manage and reduce Army capability signatures in the following areas:
  - i. Technologies, methodologies and concepts to reduce the external signatures of Soldiers and of all Army platforms and equipment
  - ii. Capabilities to reduce RF, optical, thermal, acoustic, magnetic and any other signatures
- m. Protection** – The Army faces a number of current and future threats which it must address to protect its Soldiers. Research is needed to enhance Army capabilities for survival in the following areas:
  - i. Sensors to detect chemical, biological, radiological, nuclear, and explosive threats
  - ii. Lightweight, easy to manufacture armor
  - iii. Cyber protection technologies, methodologies, and concepts to protect Army systems including Soldiers, platforms, networks, and munitions
  - iv. Human performance optimization to endure harsh and extenuating conditions
- n. Human Performance** – The Soldier is the foundation of all Army capabilities. Technologies that reduce Soldiers’ mental or physical burden and allow them to react faster than their adversaries are needed in the following areas:
  - i. Human-machine interaction to insure autonomous platforms are efficiently managed and exploited
  - ii. Measuring effectiveness of and enhancing training tools and techniques
  - iii. Methodologies and approaches for effective augmentation of Soldiers in areas of cognition, perception, and physical performance
- o. Underpinning Methodologies** - Methodologies, frameworks, tools, facilities, techniques, and experimentation concepts, which underpin and enable advanced research and development in all of the areas are of interest including those which enhance the abilities to:
  - i. Collect, standardize, transform, and maintain data to focus research and validate concepts
  - ii. Rapid modeling, development, and assessment of technologies across widely distributed research teams

- iii. Integrate innovative technology applications into current or future warfighting systems, applications, and analysis systems to assess the potential operational effectiveness of novel new technology elements
- iv. Automate data analytics to enhance discovery, development and transition management of technologies that address Army capability gaps

(End of Section)



## B. Federal Award Information

The ACC-APG-RTP Division has the authority to award a variety of instruments on behalf of AFC. Anticipated awards will be made in the form of contracts, grants, cooperative agreements, technology investment agreements (TIAs), or other transactions for prototypes (OTAs). The ACC-APG-RTP Division reserves the right to select the type of instrument most appropriate for the effort proposed. Applicants should familiarize themselves with these instrument types and the applicable regulations before submitting a proposal. Following are brief descriptions of the possible award instruments:

1. Procurement Contract. A legal instrument, consistent with 31 U.S.C. 6303, which reflects a relationship between the Federal Government and a state government, a local government, or other entity/contractor when the principal purpose of the instrument is to acquire property or services for the direct benefit or use of the Federal Government. Contracts are primarily governed by the following regulations:
  - a. Federal Acquisition Regulation (FAR)
  - b. Defense Federal Acquisition Regulation Supplement (DFARS)
  - c. Army Federal Acquisition Regulation Supplement (AFARS)
2. Grant. A legal instrument that, consistent with 31 U.S.C. 6304, is used to enter into a relationship:
  - a. 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 or the United States, rather than to acquire property or services for the Federal Government's direct benefit or use.
  - b. In which substantial involvement is not expected between the Federal Government and the recipient when carrying out the activity contemplated by the grant.
  - c. No fee or profit is allowed.
3. Cooperative Agreement. A legal instrument which, consistent with 31 U.S.C. 6305, is used to enter into the same kind of relationship as a grant (see definition "grant") except that substantial involvement is expected between the Federal Government and the recipient when carrying out the activity contemplated by the cooperative agreement. The term does not include "cooperative R&D agreements" as defined in 15 U.S.C. 3710a. No fee or profit is allowed.
4. 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 applicant. An applicant's cost share may take the form of cash, independent research and development (IR&D), foregone intellectual property rights, equipment, access to unique facilities, and/or other means. Due to the extent of cost share, and the fact that a TIA 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 applicant's intellectual property. No fee or profit is allowed on TIAs.

5. Other Transaction for Prototype (OTA). A legal instrument, consistent with 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 enhancing the mission effectiveness of military personnel and the supporting platforms, systems, components, or materials proposed to be acquired or developed by the DoD, or to improvement of platforms, systems, components, or materials in use by the armed forces. The effort covered under an OTA shall not be duplicative of effort being conducted under an existing DoD program (please refer to the "Other Transactions" OT Guide for Prototype Projects dated January 2017 (Version 1.2.0)). This document, along with other OTA resources, may be accessed at the following link:  
<http://www.acq.osd.mil/dpap/cpic/cp/10USC2371bOTs.html>.
6. Grants and cooperative agreements for institutions of higher education, nonprofit organizations, foreign organizations, and foreign public entities are primarily governed by the following:
  - a. Federal statutes
  - b. Federal regulations
  - c. 2 CFR Part 200, as modified and supplemented by DoD's interim implementation found at 2 CFR Part 1103
  - d. 32 CFR Parts 21, 22, 26, and 28
  - e. DoD Research and Development General Terms and Conditions
  - f. Agency-specific Research Terms and Conditions
  - g. Grants and cooperative agreements for for-profit and nonprofit organizations exempted from Subpart E—Cost Principles of 2 CFR Part 200, are primarily governed by the following:
    - h. Federal statutes
    - i. Federal regulations
    - ii. 32 CFR Part 34 - Administrative Requirements for Grants and Agreements with For-Profit Organizations
    - iii. x32 CFR Parts 21, 22, 26, and 28
    - iv. DoD Research and Development General Terms and Conditions

- v. Agency-specific Research Terms and Conditions
- 7. TIAs are primarily governed by the following:
  - a. Federal statutes
  - b. Federal regulations
  - c. 32 CFR Part 37 – Technology Investment Agreements
  - d. DoD Research and Development General Terms and Conditions
  - e. Agency-specific Research Terms and Conditions
- 8. OTAs are primarily governed by the following:
  - a. Federal statutes
  - b. Federal regulations
  - c. Office of Secretary of Defense implementation guidance titled Other Transactions (OT) Guide for Prototype Projects
- 9. The following websites may be accessed to obtain an electronic copy of the governing regulations and terms and conditions:
  - a. FAR, DFARS, and AFARS: <http://farsite.hill.af.mil/>
  - b. Code of Federal Regulations: <http://www.ecfr.gov>
  - c. DoD Research and Development General Terms and Conditions: <https://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-terms-conditions.aspx>
  - d. Agency-specific Research Terms and Conditions: <http://www.arl.army.mil/www/default.cfm?page=8>

## **C. Eligibility Information**

### **1. Eligible Applicants**

Eligible applicants under this BAA include institutions of higher education, nonprofit organizations, state and local governments, foreign organizations, foreign public entities, and for-profit organizations (i.e. large and small businesses) for scientific research in mechanical sciences, mathematical sciences, electronics, computing science, physics, chemistry, life sciences, materials science, network science, and environmental sciences. In accordance with FAR 35.016, Whitepapers and proposals will be evaluated only if they are “for acquisition of basic and applied research and that part of development not related to the development of a specific system or hardware procurement. BAA’s may be used by agencies to fulfill their requirements for scientific study and experimentation directed toward advancing the state-of-the-art or increasing knowledge or understanding rather than focusing on a specific system or hardware solution.”

For foreign public entities or foreign organizations, see Section II.C.3.a below for further information. There is no restriction on the place of performance for awards issued under this BAA.

### **2. Cost Sharing or Matching**

Generally, there is no requirement for cost sharing, matching, or cost participation to be eligible for award under this BAA. Cost sharing and matching is not an evaluation factor used under this BAA. Exceptions may exist if the applicant is proposing the use of a TIA or an OTA as an award instrument. Cost-sharing requirements may be found at 32 CFR 37 for TIAs. Cost-sharing requirements for OTAs may be found at Section C2.16 COST SHARING in the January 2017 document titled “Other Transactions” OT Guide for Prototype Projects.

In addition, if cost sharing is proposed on a grant or cooperative agreement proposal submitted by a nonprofit or institution of higher education, the award will be subject to the restrictions at 2 CFR 200.306. If cost sharing is proposed on a contract proposal, the award will be subject to the restrictions at FAR 35.003.

**3. Other**

- a.** Foreign public entities or foreign organizations are advised that security restrictions may apply that could preclude their participation under this BAA.
- b.** Pursuant to the policy of FAR 35.017 and supplements, selected Federally Funded Research and Development Centers (FFRDC) may propose under this BAA as allowed by their sponsoring agency and in accordance with their sponsoring agency policy.

(End of Section)

## D. Application and Submission Information

1. **Address to View Broad Agency Announcement** This BAA may be accessed via the following websites:
  - a. Grants.gov ([www.grants.gov](http://www.grants.gov))
  - b. Federal Business Opportunities ([www.fbo.gov](http://www.fbo.gov))
  - c. AAL website <http://www.aal.army/>
  - d. Amendments to this BAA, if any, will be posted to these websites when they occur. Interested parties are encouraged to periodically check these websites for updates and amendments.

The following information is for those wishing to respond to the BAA:

2. **Content and Form of Application Submission - General Information**
  - a. **General Information**
    - i. Preliminary Inquiries: The AFC will receive several hundred research proposals annually. Because of financial constraints, AFC can support for only a limited number of the proposals received. Preparation of research proposals often represents a substantial investment of time and effort by the applicant. Therefore, in an attempt to minimize this burden, we strongly encourage applicants interested in submitting proposals to make preliminary inquiries as to the general need for the type of research effort contemplated, before expending extensive effort in preparing a whitepaper and/or detailed proposal or submitting proprietary information. The AFC webpage allows preliminary inquiries to be made prior to submitting a whitepaper or proposal. The Government will not be obligated by any discussion that arises out of preliminary inquiries.
    - ii. Classified Inquiries or Submissions: Classified inquiries, whitepapers or proposals are not expected to be routine. However, in an unusual circumstance the applicant may be notified that access to classified information and/or controlled unclassified information will occur under the work proposed. In those instances where a contract is awarded requiring access to classified information and/or controlled unclassified information, clause FAR 52.204-2 shall be in effect, as well as a DD254, if issued. For questions regarding the potential for access to classified information and/or controlled unclassified information, please coordinate with the instructions provided on the AAL website.

- iii. Use of Color in Proposals: All proposals received will be stored as electronic images. Electronic color images require a significantly larger amount of storage space than black-and- white images. As a result, applicants' use of color in proposals should be minimal and used only when necessary for details. Only use color if it is not necessary.
- iv. Post-Employment Conflict of Interest: There are certain post-employment restrictions on former federal employees, including special government employees (18 U.S.C. 207). If a prospective applicant believes a conflict of interest may exist, the situation should be discussed with the TPOC provided on the AAL website who will then coordinate with appropriate AFC legal counsel prior to the applicant expending time and effort in preparing a proposal.
- v. Statement of Disclosure Preference: In accordance with Section II.D.2.e.iii of this BAA, Form 52 or 52A shall be completed stating your preference for release of information contained in your proposal. Copies of these forms may be downloaded from the ARO web site at <http://www.arl.army.mil/www/default.cfm?page=29> under "For the Researcher" (Forms, ARO BAA Forms).

NOTE: Proposals may be handled for administrative purposes by support contractors. These support contractors are prohibited from submitting proposals under this BAA and are bound by non-disclosure and/or conflict of interest requirements as deemed appropriate.

- vi. Equipment (see instrument-specific regulations provided in Section II.B of this BAA): Normally, title to equipment or other tangible property purchased with Government funds vests with nonprofit institutions of higher education or with nonprofit organizations whose primary purpose is conducting scientific research if vesting will facilitate scientific research performed for the Government. For-profit organizations are expected to possess the necessary plant and equipment to conduct the proposed research. Deviations may be made on a case-by-case basis to allow for-profit organizations to purchase equipment but regulatory disposition instructions must be followed.

## b. The Application Process

The application process is in three stages as follows:

- i. **Stage 1 – Submit Whitepaper** - Prospective proposers are required to submit whitepapers prior to the submission of a complete, more detailed proposal. The purpose of whitepapers is to minimize the labor and cost associated with the production of detailed proposals that have very little chance of being selected for funding. Based on assessment of the whitepapers, feedback will be provided to the proposers to encourage or discourage them from submitting proposals. Whitepapers should present the effort in sufficient detail to allow evaluation of the concept's scientific merit and its potential contributions of the effort to the Army mission.

**Stage 2 – Register with SAM (OPTIONAL)** - Although whitepapers are required prior to AAL requesting a complete proposal, applicants may elect to execute this step prior to receiving a request for proposal in order to expedite any potential award.

Process: Verify the accuracy of your Unique Entity Identifier at the D&B website <http://fedgov.dnb.com/webform> before registering with the System for Award Management System (SAM) at <https://www.sam.gov>. Prospective applicants must be registered in SAM prior to submitting an application or plan. The SAM obtains Legal Business Name, Doing Business Name (DBA), Physical Address, and Postal Code/ Zip+4 data fields from D&B. If corrections are required, registrants will not be able to enter/modify these fields in SAM; they will be pre-populated using D&B Unique Entity Identifier record data. When D&B confirms the correction has been made, the registrant must then re-visit [sam.gov](http://sam.gov) and click a “yes” to D&B's changes. Only at this point will the D&B data be accepted into the SAM record. Allow a minimum of two (2) business days for D&B to send the modified data to SAM.

**Stage 3 – Submit a Full Proposal** - Applicants who have submitted a whitepaper and been invited by AAL to provide a full proposal will make their submission under the terms and conditions cited in this BAA and will be reviewed regardless of the feedback on the whitepaper. Complete proposals must be submitted in order for the applicant to be considered for funding.

All proposals for Assistance Instruments must be submitted electronically through [Grants.gov](http://Grants.gov) using Workspace. Proposals for Contracts may be submitted via either [Grants.gov](http://Grants.gov) or email to:



usarmy.rtp.aro.mbx.baa@mail.mil. See Section II.D.2.f of this BAA for information on the proposal submission process.

Requests for waiver of electronic submission requirements may be submitted via email to: usarmy.rtp.aro.mbx.baa@mail.mil or regular mail:

Army Research Office  
ATTN: RDRL-RO (Proposal Processing)  
P.O. Box 12211  
RTP, NC 27709-2211

All required forms for proposals may be downloaded from the ARO web site at <http://www.arl.army.mil/www/default.cfm?page=29> under "For the Researcher" (Forms, ARO BAA Forms).

**c. Whitepaper Preparation**

- i. Whitepapers should focus on describing details of the proposed research, including how it is innovative, how it could substantially increase the scientific state of the art, Army relevance, and potential impact.
- ii. Whitepapers must be submitted through the AAL website, <https://aal.army>. The automated submission tool constrains the submission to a limited amount of written material. The details of these limitations are described on the website.

iii. Format and content of whitepapers:

Using input from the applicant, The AAL website will generate the following:

- (1) COVER PAGE (not to exceed one (1) page): The whitepaper cover page shall include at a minimum:

- (a) Title of the whitepaper
- (b) Name of the organization submitting the whitepaper
- (c) Names of any participating organizations
- (d) CAGE Code of the organization submitting the whitepaper
- (e) Name, address, email, phone # of the applicant's POC

- (2) TECHNICAL CONTENT:

- (a) A not to exceed 1,500 character executive summary of the proposed effort and its contribution to the Army's mission.
- (b) A not to exceed 10,000 character discussion of the effort's scientific research objective, approach,

relationship to similar research, facilities and infrastructure, and level of effort shall be submitted.

- (c) A not to exceed 5,000 character section on the manner in which the work will contribute to the accomplishment of the Army's mission and how this contribution would be demonstrated.
- (d) A not to exceed 1,500 character summary of the applicant's key research facilities, instrumentation, key teaming agreements and related resources.
- (e) A not to exceed 1,000 character summary of support, if any, the applicant requests of the Government, such as facilities, equipment, demonstration sites, test ranges, software, personnel or materials, shall be identified as government furnished equipment (GFE), government furnished information (GFI), government furnished property (GFP), or government furnished data (GFD). Applicants shall indicate any Government coordination that may be required for obtaining equipment or facilities necessary to perform any simulations or exercises that would demonstrate the proposed capability.

(3) SCHEDULE AND COST:

The website will prompt for the duration of the effort and the number of research hours, as well as the costs of labor, travel, material, subcontractors, and any other expenses broken out by year. Any cost sharing or other applicant contributions will also be prompted for

(4) ADDENDUM:

A not to exceed 1,000 character summary per individual of the key personnel (up to three) who will perform the research, highlighting their relevant qualifications and experience.

iv. RESTRICTIVE MARKINGS ON WHITEPAPERS:

- (1) Any proprietary data that the applicant intends to be used only by the Government for evaluation purposes must be clearly marked. The automated tool on the website will allow applicants to flag sections appropriately. 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 conversations must take place with AAL prior to submission of the whitepaper.

- (2) 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.

v. EVALUATION AND DISPOSITION OF WHITEPAPERS:

- (1) Evaluation Process: Applicants are advised that invitations for proposals will be made based on the whitepaper submission and the availability of funding. The whitepaper will be evaluated for the concept's scientific merit and potential contributions of the effort to the Army mission. Applicants whose whitepapers are evaluated as having significant scientific merit may be invited to submit a proposal.
- (2) Disposition Process: The applicant will be notified in writing after completion of the evaluation.

**d. Whitepaper Submission**

All whitepapers must be submitted through the AAL website tool.

**e. Preparation of Proposals**

i. COVER PAGE:

- (1) A Cover Page is required. For contract proposals submitted by email, use ARO Form 51. For all Assistance instruments and contract proposals submitted via Grants.gov, use the Standard Form (SF) 424 (Research and Related (R&R)) Form. Proposals will not be processed without either: (1) a signed Cover Page, ARO Form 51, or (2) a SF 424 (R&R) Form.
- (2) Should the project be carried out at a branch campus or other component of the applicant, that branch campus or component should be identified in the space provided (Block 11 on the ARO Form 51 and Block 12 on the SF 424 (R&R) Form).

- (3) The title of the proposed project should be brief, scientifically representative, intelligible to a scientifically-literate reader, and suitable for use in the public domain.
- (4) The proposed duration for which support is requested should be consistent with the nature and complexity of the proposed activity. Applicants shall discuss the preferred performance period with AAL.
- (5) Specification of a desired starting date for the project is important and helpful; however, requested effective dates cannot be guaranteed.
- (6) Pursuant to 31 U.S.C. 7701, as amended by the Debt Collection Improvement Act of 1996 [Section 31001(I)(1), Public Law 104-134] and implemented by 32 CFR 22.420(d), federal agencies shall obtain each awardees' Taxpayer Identification Number (TIN). The TIN is being obtained for purposes of collecting and reporting on any delinquent amounts that may arise out of an awardees' relationship with the Government.
- (7) Applicants shall provide their organization's Unique Entity Identifier (formerly DUNS). This number is a nine-digit number assigned by D&B Information Services. See Section II.D.3 of this BAA for requirements pertaining to the Unique Entity Identifier.
- (8) Applicants shall provide their assigned Commercial and Government Entity (CAGE) Code. The CAGE Code is a 5-character code assigned and maintained by the Defense Logistics Service Center (DLSC) to identify a commercial plant or establishment.

ii. TABLE OF CONTENTS:

Use the following format for the Table of Contents. Forms are available at <http://www.arl.army.mil/www/default.cfm?page=29> under "For the Researcher" (Forms, ARO BAA Forms).

SECTION PAGE NUMBER

Table of Contents A-1

Statement of Disclosure Preference (Form 52 or 52A) B-1

Research and Related Other Project Information B-2

Project Abstract C-1

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Biographical Sketch E-1 - E-□

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Current and Pending Support G-1 - G-□

Facilities, Equipment, and Other Resources H-1 - H-□

Proposal Budget I-1 - I-□

Contract Facilities Capital Cost of Money (FCCM) (DD Form 1861) J-1

Appendices K-□

List Appendix Items:

This format applies to all proposals submitted via email and via Grants.gov. Applicants' should show the location of each section of the proposal, as well as major subdivisions of the project description.

iii. STATEMENT OF DISCLOSURE PREFERENCE (FORM 52 OR 52A):

Complete and sign ARO Form 52 (Industrial Contractors) or ARO Form 52A (Educational and Nonprofit Organizations).

iv. RESEARCH AND RELATED OTHER PROJECT INFORMATION: Must be completed and signed by all applicants.

v. PROJECT ABSTRACT:

- (1) The project abstract shall be completed on the form entitled “Publicly Releasable Project Abstract” found at the following website:  
<http://www.arl.army.mil/www/default.cfm?page=218>.
- (2) Unless otherwise instructed in this BAA, the project abstract shall include a concise statement of work and basic approaches to be used in the proposed effort. The abstract should include a statement of scientific objectives, methods to be employed, and the significance of the proposed effort to the advancement of scientific knowledge.

- (3) The abstract should be no longer than one (1) page (maximum 4,000 characters).
- (4) The project abstract shall be marked by the applicant as publicly releasable. By submission of the project abstract, the applicant confirms that the abstract is releasable to the public. For a proposal that results in a grant award, the project abstract will be posted to a searchable website available to the general public to meet the requirements of Section 8123 of the DoD Appropriations Act, 2015. The website address is <https://dodgrantawards.dtic.mil/grants>.

vi. PROJECT DESCRIPTION (TECHNICAL PROPOSAL): The technical portion of the proposal shall contain the following:

- (1) A complete discussion stating the background and objectives of the proposed work, the scientific approaches to be considered, the relationship to competing or related research, and the level of effort to be employed. Include also the nature and extent of the anticipated results and how they will significantly advance the scientific state-of-the-art. Also, if known, include the manner in which the work will contribute to the accomplishment of the Army's mission. Ensure the proposal identifies any scientific uncertainties and describes specific approaches for the resolution or mitigation of the uncertainties.
- (2) A brief description of your organization. If the applicant has extensive government contracting experience and has previously provided the information to the ARL, the information need not be provided again. A statement setting forth this condition should be made.
- (3) The names of other federal, state, local agencies, or other parties receiving the proposal and/or funding the proposed effort. If none, state so. Concurrent or later submission of the proposal to other organizations will not prejudice its review by the AFC if we are kept informed of the situation.
- (4) A statement regarding possible impact, if any, of the proposed effort on the environment, considering as a minimum its effect upon water, atmosphere, natural resources, human resources, and any other values.
- (5) A statement regarding the use of Class I and Class II ozone- depleting substances. Ozone- depleting substances are any substance designated as Class I by EPA, including but not limited to chlorofluorocarbons, halons, carbon tetrachloride, and methyl chloroform, and any substance designated as Class II by EPA, including but not limited to hydrochlorofluorocarbons. See 40 CFR Part 82 for detailed

information. If Class I or II substances are to be utilized, a list shall be provided as part of the applicant's proposal. If none, state so.

- (6) The type of support, if any, requested by the applicant (e.g., facilities, equipment, and materials).

vii. BIOGRAPHICAL SKETCH:

- (1) This section shall contain the biographical sketches for key personnel only.
  - (2) Primary Principal Investigator (PI): The Primary PI provides a single or initial point of communication between the AFC and the awardee organization(s) about scientific matters. If not otherwise designated, the first PI listed will serve as the Primary PI. This individual can be changed with notification to AFC. AFC does not infer any additional scientific stature to this role among collaborating investigators.
  - (3) Co-Principal Investigators: The individual(s) a research organization designates as having an appropriate level of authority and responsibility for the proper conduct of the research and submission of required reports to AFC. When an organization designates more than one PI, it identifies them as individuals who share the authority and responsibility for leading and directing the research, intellectually and logistically. AFC does not infer any distinction among multiple PIs.
- (4) The following information is required:
- (a) Relevant experience and employment history including a description of any prior Federal employment within one year preceding the date of proposal submission.
  - (b) List of up to five publications most closely related to the proposed project and up to five other significant publications, including those being printed. Patents, copyrights, or software systems developed may be substituted for publications.
  - (c) List of persons, other than those cited in the publications list, who have collaborated on a project or a book, article, report or paper within the last four years. Include pending publications and submissions. Otherwise, state "None."
  - (d) Names of each investigator's own graduate or post-graduate advisors and advisees.

NOTE: The information provided in (c) and (d) is used to help identify potential conflicts or bias in the selection of reviewers.

- (5) For the personnel categories of postdoctoral associates, other professionals, and students (research assistants), the proposal may include information on

exceptional qualifications of these individuals that merit consideration in the evaluation of the proposal.

- (6) The biographical sketches are limited to three (3) pages per investigator and other individuals that merit consideration.

viii. BIBLIOGRAPHY: A bibliography of pertinent literature is required. Citations must be complete (including full name of author(s), title, and location in the literature).

ix. CURRENT AND PENDING SUPPORT:

- (1) All project support from whatever source must be listed. The list must include all projects requiring a portion of the PI's and other key personnel's time, even if they receive no salary support from the project(s).
- (2) The information should include, as a minimum: (i) the project/proposal title and brief description, (ii) the name and location of the organization or agency presently funding the work or requested to fund such work, (iii) the award amount or annual dollar volume of the effort, (iv) the period of performance, and (v) a breakdown of the time required of the PI and/or other key personnel.

x. FACILITIES, EQUIPMENT, and OTHER RESOURCES: The applicant should include in the proposal a listing of facilities, equipment, and other resources already available to perform the research proposed.

xi. PROPOSAL BUDGET (including DD Form 1861):

- (1) Each proposal must contain a budget for each year of support requested and a cumulative budget for the full term of requested support. Each budget year and the cumulative budget for the full term must be documented on ARO Form 99. ARO Form 99 may be reproduced, but you may not make substitutions in prescribed budget categories nor alter or rearrange the cost categories as they appear on the form. The proposal may request funds under any of the categories listed so long as the item is considered necessary to perform the proposed work and is not precluded by applicable cost principles. In addition to the forms, the budget proposal should include budget justification for each year.
- (2) A signed summary budget page must be included. The documentation pages should be titled "Budget Explanation Page" and numbered chronologically starting with the budget form. The need for each item should be explained clearly.
- (3) All cost data must be current and complete. Costs proposed must conform to the following principles and procedures:



- (a) Institutions of Higher Education: 2 CFR Part 200
  - (b) Nonprofit Organizations: 2 CFR Part 200
  - (c) For-Profit/Commercial Organizations: FAR Part 31, DFARS Part 231, FAR Subsection 15.403-5, and DFARS Subsection 215.403-5.t
  - (d) For those nonprofit organizations specifically exempt from the provisions of Subpart E of 2 CFR Part 200 (see 2 CFR 200.401(c)), FAR Part 31 and DFARS Part 231 shall apply.
- (4) Sample itemized budgets and the information they must include for a contract and for grants and cooperative agreements can be found at Section II.H of this BAA (Other Information). Before award of a cost-type contract or assistance instrument it must be established that an approved accounting system and financial management system exist.

xii. APPENDICES: Some situations require that special information and supporting documents be included in the proposal before funding can be approved. Such information and documentation should be included by appendix to the proposal.

To evaluate compliance with Title IX of the Education Amendments of 1972 (20 U.S.C. A Section 1681 Et. Seq.), the Department of Defense is collecting certain demographic and career information to be able to assess the success rates of women who are proposed for key roles in applications in STEM disciplines. To enable this assessment, each application must include the following forms completed as indicated.

Research and Related Senior/Key Person Profile (Expanded) form:

The Degree Type and Degree Year fields on the Research and Related Senior/Key Person Profile (Expanded) form will be used by DoD as the source for career information. In addition to the required fields on the form, applicants must complete these two fields for all individuals that are identified as having the project role of PD/PI or Co-PD/PI on the form. Additional senior/key persons can be added by selecting the “Next Person” button.

Research and Related Personal Data form:

- (1) This form will be used by DoD as the source of demographic information, such as gender, race, ethnicity, and disability information for the Project Director/Principal Investigator and all other persons identified as Co-Project Director(s)/Co-Principal Investigator(s). Each application must include this form with the name fields of the Project Director/Principal Investigator or any Co-Project Director(s)/Co-Principal Investigator(s) completed; however, provision of the demographic information in the form is voluntary. If completing the form for

multiple individuals, each Co-Project Director/Co-Principal Investigator can be added by selecting the “Next Person” button. The demographic information, if provided, will be used for statistical purposes only and will not be made available to merit reviewers. Applicants who do not wish to provide some or all of the information should check or select the “Do not wish to provide” option.

**f. Submission of Proposals**

Proposals must be submitted by email (only when a contract is requested) or through Grants.gov. Proposals must be submitted through the applicant’s organizational office having responsibility for Government business relations. All signatures must be that of an official authorized to commit the organization in business and financial affairs.

Proposal content requirements remain the same for both email and Grants.gov submission.

- i. EMAIL SUBMISSION (only when a Contract is the requested form of agreement):
- (1) Proposals requesting a Contract may be emailed directly to usarmy.rtp.aro.mbx.baa@mail.mil. Do not email full proposals to AAL. All emailed proposals must adhere to the format requirements and contain the information outlined in Section II.D.2.e of this BAA.
  - (2) The applicant must include with its proposal submission the representations required by Section II.F.2.a.i of this BAA. The representations must include applicant point of contact (POC) information and be signed by an authorized representative. Note: If the applicant’s SAM Representations and Certifications include its response to the representations a hard copy representation is not required with proposal submission.
  - (3) All forms requiring signature must be completed, printed, signed, and scanned into a PDF document. All documents must be combined into a single PDF formatted file to be attached to the email.
  - (4) Proposal documents (excluding required forms) must use the following format:
    - (a) Page Size – 8 ½ x 11 inches
    - (b) Margins – 1 inch
    - (c) Spacing – single
    - (d) Font – Times New Roman, 12 point, single-sided pages

- ii. GRANTS.GOV SUBMISSION (For all proposals requesting Assistance agreements.
- (1) Proposals requesting a Contract may be submitted either via Grants.gov or email):
- (a) Grants.gov Registration (See Section II.D.2.g below) must be accomplished prior to application submission in Grants.gov.
  - (b) NOTE: All web links referenced in this section are subject to change by Grants.gov and may not be updated here.
- (2) Specific forms are required for submission of a proposal. The forms are contained in the Application Package available through the Grants.gov application process. To access these materials, go to <http://www.grants.gov>, select "Apply for Grants," and then select "Get Application Package." A Grant Application Package and Application Instructions are available through the Grants.gov Apply portal under CFDA Number 12.431/Funding Opportunity Number W911NF-19-S-0004. Select "Apply" and then "Apply Now Using Workspace."

\*NOTE: Effective 31 December 2017, the legacy PDF application package on Grants.gov will be retired and applicants must apply online at Grants.gov using the application Workspace. For access to complete instructions on how to apply for opportunities using Workspace refer to <https://www.grants.gov/web/grants/applicants/workspace-overview.html>.

The following documents are mandatory: (1) Application for Federal Assistance (R&R) (SF 424 (R&R)), and (2) Attachments form.

- (3) The SF 424 (R&R) form is to be used as the cover page for all proposals submitted via Grants.gov. The SF 424 (R&R) must be fully completed. Authorized Organization Representative (AOR) usernames and passwords serve as "electronic signatures" when your organization submits applications through Grants.gov. By using the SF 424 (R&R), proposers are providing the certification required by 32 CFR Part 28 regarding lobbying (see Section II.F.2.a.ii of this BAA). Block 11, "Descriptive Title of Applicant's Project," must reference the research topic area being addressed in the effort by identifying the specific paragraph from Section II.A of this BAA.
- (4) The Attachments form must contain the documents outlined in Section II.D.2.e.ii entitled "Table of Contents". All documents must be combined into separate and single PDF formatted files using the Table of Contents names. Include "W911NF-19-S-0004" in the title so the proposal will be distinguished from other BAA

submissions and upload each document to the mandatory Attachments form.

- (5) The applicant must include with its proposal submission the representations required by Section II.F.2.a.ii of this BAA. The representations must include applicant POC information and be signed by an authorized representative. Attach the representations document to an available field within the Attachments form. Note: If the applicant's SAM Representations and Certifications include its response to the representations a hard copy representation is not required with proposal submission.
- (6) The Grants.gov User Guide at: [http://www.grants.gov/help/html/help/index.htm?callingApp=custom#t=Get\\_Started%2FGet\\_Started.htm](http://www.grants.gov/help/html/help/index.htm?callingApp=custom#t=Get_Started%2FGet_Started.htm) will assist AORs in the application process. Remember that you must open and complete the Application for Federal Assistance (R&R) (SF 424 (R&R)) first, as this form will automatically populate data fields in other forms. If you encounter any problems, contact customer support at 1-800-518-4726 or at [support@grants.gov](mailto:support@grants.gov). If you forget your user name or password, follow the instructions provided in the Credential Provider tutorial. Tutorials may be printed by right-clicking on the tutorial and selecting "Print".
- (7) As it is possible for Grants.gov to reject the proposal during this process, it is strongly recommended that proposals be uploaded at least two days before any established deadline in the BAA so that they will not be received late and be ineligible for award consideration. It is also recommended to start uploading proposals at least two days before the deadline to plan ahead for any potential technical and/or input problems involving the applicant's own equipment.

**g. Grants.gov Registration**

- i. Each organization that desires to submit applications via Grants.Gov must complete a one-time registration. There are several one-time actions your organization must complete in order to submit applications through Grants.gov (e.g., obtain a Unique Entity Identifier, register with the SAM, register with the credential provider, register with Grants.gov and obtain approval for an AOR to submit applications on behalf of the organization). To register please see <http://www.grants.gov/web/grants/applicants/organization-registration.html>
- ii. Please note the registration process for an Organization or an Individual can take between three to five business days or as long as four weeks if all steps are not completed in a timely manner.

iii. Questions relating to the registration process, system requirements, how an application form works, or the submittal process should be directed to Grants.gov at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov).

### **3. Unique Entity Identifier and System for Award Management (SAM)**

- a. Each applicant (unless the applicant is an individual or Federal awarding agency that is exempt from those requirements under 2 CFR 25.110(b) or (c), or has an exemption approved by the Federal awarding agency under 2 CFR 25.110(d)) is required to:
  - i. Be registered in SAM prior to submitting its application;
  - ii. Provide a valid unique entity identifier (formerly DUNS) in its application; and
  - iii. Maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.
- b. The Federal awarding agency may not make a Federal award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements. If an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

### **4. Submission Dates and Times**

- a. Proposals - Proposals will be considered until and including the closing date of this announcement (see cover page of this announcement for opening/closing dates), except for special programs identified in this BAA that may announce specific opening/closing dates. Proposals submitted after the closing date will not be considered by the Government.
- b. Proposal Receipt Notices
  - i. Grants.gov: After a proposal is submitted to Grants.gov, the AOR will receive a series of three emails from Grants.gov. The first two emails will be received within 24 to 48 hours after submission. The first email will confirm time of receipt of the proposal by the Grants.gov system and the second will indicate that the proposal has either been successfully validated by the system prior to transmission to the grantor agency or has been rejected due to errors. A third email will be received once the grantor agency has

confirmed receipt of the proposal. Reference the Grants.gov User Guide at [http://www.grants.gov/help/html/help/index.htm?callingApp=custom#t=Get\\_Started%2FGet\\_Started.htm](http://www.grants.gov/help/html/help/index.htm?callingApp=custom#t=Get_Started%2FGet_Started.htm) for information on how to track your application package.

For the purposes of this BAA, an applicant's proposal is not considered received by AFC until the AOR receives email #3.

- ii. Email Submission: After a proposal is submitted to [usarmy.rtp.aro.mbx.baa@mail.mil](mailto:usarmy.rtp.aro.mbx.baa@mail.mil), the AOR will receive an email confirming time of receipt of the proposal by the grantor agency. For the purposes of this BAA, an applicant's proposal is not considered received by the grantor agency until the AOR receives the email confirming receipt of the proposal.

## **5. Intergovernmental Review**

Not Applicable

## **6. Funding Restrictions**

There are no specific funding restrictions associated with this BAA (e.g. direct costs, indirect costs, etc.).

## **7. Other Submission Requirements**

- a. Information to Be Requested from Successful Applicants: Applicants whose proposals are accepted for funding will be contacted before award to provide additional information required for award. The required information may include requests to clarifying budget explanations, representations, certifications, and some technical aspects.
- b. For Contracts Only: Performance Work Statements (PWS). Prior to award the Contracting Officer may request that the contractor submit a PWS for the effort to be performed, which will be incorporated into the contract at the time of award.

(End of Section)

## **E. Application Review Information**

### **1. Criteria**

Proposals submitted in response to this BAA will be evaluated using the factors listed below (in descending order of importance):

- a.** The overall scientific and/or technical merits of the proposal and an assessment of risk versus potential impact of the technology
- b.** The potential contributions of the effort to the Army mission and the extent to which the research effort will contribute to balancing the overall AFC research program.
- c.** Cost realism and reasonableness.
- d.** Teaming arrangements and methodologies for creating and modifying teaming arrangements with other organizations.
- e.** Availability of funds to complete R&D activities and likelihood of Army funding being available for future procurement and fielding.
- f.** The applicant's capabilities, related experience, facilities, techniques, or unique combinations of these, which are integral factors for achieving the proposed objectives.
- g.** The qualifications, capabilities, and experience of the proposed PI, team leader, or other key personnel who are critical to achievement of the proposed objectives.
- h.** The applicant's record of past performance.

### **2. Review and Selection Process**

- a.** Upon receipt of a proposal, the AFC 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 on the appropriate proposal form (Form 52 or 52A) any limitation to be placed on disclosure of

information contained in the proposal.

- c. Each proposal will be evaluated based on all the evaluation criteria in Section II.E.1 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 II.E.1, 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.

## **10. Recipient Qualification**

### **a. Grant, Cooperative Agreement, and TIA Proposals:**

- 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 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.

(End of Section)

## **F. Award Administration Information**

### **1. 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.

### **2. Administrative and National Policy Requirements**

#### **a. Required Representations and Certifications:**

##### **i. Contract Proposals:**

- (1) Representations and certifications shall be completed by successful applicants prior to award. FAR Online Representations and Certifications are to be completed through SAM at <https://www.SAM.gov>. As appropriate, DFARS and contract-specific certification packages will be provided to the contractor for completion prior to award.
- (2) FAR 52.203-18, PROHIBITION ON CONTRACTING WITH ENTITIES THAT REQUIRE CERTAIN 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 SF 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 applicant 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).

(3) FAR 52.209-11, REPRESENTATION BY CORPORATIONS REGARDING DELINQUENT TAX LIABILITY OR A FELONY CONVICTION UNDER FEDERAL LAW (FEB 2016)

As required by sections 744 and 745 of Division E of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L 113-235), and similar provisions, if contained in subsequent appropriations acts, the Government will not enter into a contract with any 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, where the awarding agency is aware of the unpaid tax liability, unless an agency has considered suspension or debarment of the corporation and made a determination that suspension or debarment is not necessary to protect the interests of the Government; or

Was convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency is aware of the conviction, unless an agency has considered suspension or debarment of the corporation and made a determination that this action is not necessary to protect the interests of the Government.

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; and

It is  is not  a corporation that was convicted of a felony criminal violation under a Federal law within the preceding 24 months.

ii. Grant and Cooperative Agreement Proposals:

- (1) 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. When submitting your grant through Grants.gov, by completing blocks 18 and 19 of the SF 424 ( R&R) Form, the grant applicant is providing the certification on lobbying required by 32 CFR Part 28; otherwise a copy signed by the AOR must be provided. Below is the required certification:

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:

- (a) 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.
- (b) 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 SF-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients 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 31 U.S.C. 1352. 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) In accordance with Continuing Appropriations Act, 2017 (Pub. L. 114-223), or any other Act that extends to fiscal year (FY) 2017 funds the same prohibitions as contained in section 743, division E, title VII, of the Consolidated Appropriations Act, 2016 (Pub. L. 114-113), none of the funds appropriated or otherwise made available by that or any other Act may be made available for a grant or cooperative agreement with an entity that requires its employees or contractors seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting those employees or contractors 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 the information.

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: Section 743 states that it does not contravene requirements applicable to SF 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

- (3) Recipients are required to submit the following representation with the application package in accordance with the instructions at Section II.D.2.f.ii of this BAA:

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:

- (a) 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.
- (b) 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.

b. Policy Requirements:

The following list provides notable national policy requirements that may be applicable to an award. NOTE: The following is not an all-inclusive list of policy requirements. For assistance awards, refer to the DoD Research and Development General Terms and Conditions at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-terms-conditions.aspx> for additional national policy requirements that may apply. For contract awards, appropriate clauses will be added to award documents.

i. PROTECTION OF HUMAN SUBJECTS:

(1) Assistance Instruments:

- (a) The recipient must protect the rights and welfare of individuals who participate as human subjects in research under this award and comply with the requirements at 32 CFR part 219, Department of Defense Instruction (DoDI) 3216.02, 10 U.S.C. 980, and when applicable, Food and Drug Administration (FDA) regulations.

- (b) The recipient must not begin performance of research involving human subjects, also known as human subjects research (HSR), that is covered under 32 CFR part 219, or that meets exemption criteria under 32 CFR 219.101(b), until you receive a formal notification of approval from a DoD Human Research Protection Official (HRPO). Approval to perform HSR under this award is received after the HRPO has performed a review of the recipient's documentation of planned HSR activities and has officially furnished a concurrence with the recipient's determination as presented in the documentation.
- (c) In order for the HRPO to accomplish this concurrence review, the recipient must provide sufficient documentation to enable his or her assessment as follows:
  - (i) If the HSR meets an exemption criteria under 32 CFR 219.101(b), the documentation must include a citation of the exemption category under 32 CFR 219.101(b) and a rationale statement.
  - (ii) If the recipient's activity is determined as "non-exempt research involving human subjects", the documentation must include:
    - i. Assurance of Compliance (i.e., Department of Health and Human Services Office for Human Research Protections (OHRP) Federal Wide Assurance (FWA)) appropriate for the scope of work or program plan; and
    - ii. Institutional Review Board (IRB) approval, as well as all documentation reviewed by the IRB to make their determination.
- (d) The HRPO retains final judgment on what activities constitute HSR, whether an exempt category applies, whether the risk determination is appropriate, and whether the planned HSR activities comply with the requirements in paragraph (a) of this section.
- (e) The recipient must notify the HRPO immediately of any suspensions or terminations of the Assurance of Compliance.



- (f) DoD staff, consultants, and advisory groups may independently review and inspect the recipient's research and research procedures involving human subjects and, based on such findings, DoD may prohibit research that presents unacceptable hazards or otherwise fails to comply with DoD requirements.
  - (g) Definitions for terms used in this article are found in DoDI 3216.02.
- (2) Contracts: The appropriate clauses to include DFARS 252.235.7004, Protection of Human Subjects (JUL 2009).
- ii. ANIMAL USE:
- (1) Assistance Instruments:
- (a) Prior to initiating any animal work under the award, the recipient must:
    - (i) Register the recipient's research, development, test, and evaluation or training facility with the Secretary of Agriculture in accordance with 7 U.S.C. 2136 and 9 CFR section 2.30, unless otherwise exempt from this requirement by meeting the conditions in 7 U.S.C. 2136 and 9 CFR parts 1-4 for the duration of the activity.
    - (ii) Have the recipient's proposed animal use approved in accordance with DoDI 3216.01, Use of Animals in DoD Programs by a DoD Component Headquarters Oversight Office.
    - (iii) Furnish evidence of such registration and approval to the grants officer.
  - (b) The recipient must make the animals on which the research is being conducted, and all premises, facilities, vehicles, equipment, and records that support animal care and use available during business hours and at other times mutually agreeable to the recipient, the United States Department of Agriculture Office of Animal and Plant Health Inspection Service (USDA/APHIS) representative, personnel representing the DoD component oversight offices, as well as the grants

officer, to ascertain that the recipient is compliant with 7 U.S.C. 2131 et seq., 9 CFR parts 1-4, and DoDI 3216.01.

- (c) The recipient's care and use of animals must conform with the pertinent laws of the United States, regulations of the Department of Agriculture, and regulations, policies, and procedures of the DoD (see 7 U.S.C. 2131 et seq., 9 CFR parts 1-4, and DoDI 3216.01).
- (d) The recipient must acquire animals in accordance with DoDI 3216.01.

- (2) Contracts: The appropriate clauses to include DFARS 252.235.7002, Animal Welfare (DEC 2014).

iii. BIOLOGICAL SAFETY PROGRAM REQUIREMENTS:

- (1) Assistance Instruments and Contracts: Awards may be subject to biological safety program requirements IAW:
  - (a) Army Regulation (AR) 385-10, Chapter 20  
[http://armypubs.army.mil/epubs/DR\\_pubs/DR\\_a/pdf/web/r385\\_10.pdf](http://armypubs.army.mil/epubs/DR_pubs/DR_a/pdf/web/r385_10.pdf)
  - (b) Department of Army (DA) PAM 385-69  
[http://armypubs.army.mil/epubs/DR\\_pubs/DR\\_a/pdf/web/p385\\_69.pdf](http://armypubs.army.mil/epubs/DR_pubs/DR_a/pdf/web/p385_69.pdf)
  - (c) DoD Manual 6055.18-M, Enclosure 4, Section 13  
<http://www.dtic.mil/whs/directives/corres/pdf/605518m.pdf>
  - (d) DoD Executive Agent List (see item 3)  
[http://www.oaa.army.mil/aea\\_functions.aspx](http://www.oaa.army.mil/aea_functions.aspx)

iv. MILITARY RECRUITING:

- (1) Assistance Instruments: This is to notify potential applicants that each grant or cooperative agreement awarded under this announcement to an institution of higher education must include the following term and condition:

- (a) As a condition for receiving funds available to the DoD under this award, you agree that you are not an institution of higher education (as defined in 32 CFR part 216) that has a policy or practice that either prohibits, or in effect prevents:
- (i) The Secretary of a Military Department from maintaining, establishing, or operating a unit of the Senior Reserve Officers Training Corps (ROTC)—in accordance with 10 U.S.C. 654 and other applicable Federal laws—at that institution (or any sub element of that institution);
  - (ii) Any student at that institution (or any sub element of that institution) from enrolling in a unit of the Senior ROTC at another institution of higher education.
  - (iii) The Secretary of a Military Department or Secretary of Homeland Security from gaining access to campuses, or access to students (who are 17 years of age or older) on campuses, for purposes of military recruiting in a manner that is at least equal in quality and scope to the access to campuses and to students that is provided to any other employer; or
  - (iv) Access by military recruiters for purposes of military recruiting to the names of students (who are 17 years of age or older and enrolled at that institution or any sub element of that institution); their addresses, telephone listings, dates and places of birth, levels of education, academic majors, and degrees received; and the most recent educational institutions in which they were enrolled.
- (b) If you are determined, using the procedures in 32 CFR part 216, to be such an institution of higher education during the period of performance of this award, we:
- (i) Will cease all payments to you of DoD funds under this award and all other DoD grants and cooperative agreements; and

(ii) May suspend or terminate those awards unilaterally for material failure to comply with the award terms and conditions.

(2) Contracts: Each contract awarded under this announcement to an institution of higher education shall include the following clause: DFARS 252.209-7005, Military Recruiting on Campus.

v. SUBCONTRACTING:

(1) Assistance Instruments: N/A

(2) Contracts: 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 and small disadvantaged business (SDB) concerns to be considered fairly as subcontractors. All other than U.S. small businesses proposing contracts expected to exceed \$700,000 and that have subcontracting possibilities are required to submit a subcontracting plan IAW FAR 19.702(a), and shall do so with their proposal.

(3) Subcontracting plans are determined to be acceptable or unacceptable based on the criteria established at FAR 19.705-4, DFARS 219.705-4, and AFARS 5119.705-4. Goals are established on an individual contract basis and should result in realistic, challenging and attainable goals that, to the greatest extent possible, maximize small business participation in subcontracting for Small Business, SDB, Woman-Owned Small Business (WOSB), Economically-Disadvantaged Woman-Owned Small Business (EDWOSB), Service-Disabled Veteran-Owned Small Business (SDVOSB), Veteran-Owned Small Business (VOSB), and Historically Underutilized Business Zone (HUBZone) Small Business consistent with applicants' make-or-buy policy, the pool of and availability of qualified and capable small business subcontractors, their performance on subcontracts, and existing relationships with suppliers.

Subcontracting goals should result in efficient contract performance in terms of cost, schedule, and performance and should not result in increased costs to the government or undue administrative burden to the prime contractor. For reference, DoD Small Business Subcontracting Goals may be found at:

<http://www.acq.osd.mil/osbp/statistics/sbProgramGoals.shtml>.

vi. EXPORT CONTROL LAWS:

- (1) Assistance Instruments: N/A
- (2) Contracts: Applicants should be aware of current export control laws and are responsible for ensuring compliance with all International Traffic in Arms Regulation (ITAR) (22 CFR 120 et. Seq.) requirements, as applicable. In some cases, developmental items funded by the DoD are now included on the United States Munition List (USML) and are therefore subject to ITAR jurisdiction. Applicants should address in their proposals whether ITAR restrictions apply or do not apply, such as in the case when research products would have both civil and military application, to the work they are proposing to perform for the DoD. The USML is available online at <http://www.ecfr.gov/cgi-bin/text-idx?node=pt22.1.121>. Additional information regarding the President's Export Control Reform Initiative can be found at <http://export.gov/ecr/index.asp>.

vii. DRUG-FREE WORKPLACE:

- (1) Assistance Instruments: The recipient must comply with drug-free workplace requirements in Subpart B of 2 CFR part 26, which is the DoD implementation of 41 U.S.C. chapter 81, "Drug- Free Workplace."
- (2) Contracts: The appropriate clause(s) shall be added to the award.

viii. DEBARMENT AND SUSPENSION:

- (1) Assistance Instruments: The recipient must comply with requirements regarding debarment and suspension in Subpart C of 2 CFR part 180, as adopted by DoD at 2 CFR part 1125. This includes requirements concerning the recipient's principals under an award, as well as requirements concerning the recipient's procurement transactions and subawards that are implemented in DoD Research and Development General Terms and Conditions PROC Articles I through III and SUB Article II.
- (2) Contracts: The appropriate clause(s) shall be added to the award.

ix. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION:

- (1) Assistance Instruments: The recipient must report information about subawards and executive compensation as specified in the award term in Appendix A to 2 CFR part 170, "Reporting subaward and executive compensation information," modified as follows:

- (a) To accommodate any future designation of a different Government wide Web site for reporting subaward information, the Web site “http://www.fsr.gov” cited in paragraphs a.2.i. and a.3 of the award provision is replaced by the phrase “http://www.fsr.gov or successor OMB- designated Web site for reporting subaward information”;
  - (b) To accommodate any future designation of a different Government wide Web site for reporting executive compensation information, the Web site “http://www.sam.gov” cited in paragraph b.2.i. of the award provision is replaced by the phrase “https://www.sam.gov or successor OMB-designated Web site for reporting information on total compensation”; and
  - (c) The reference to “Sec. .210 of the attachment to OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations” in paragraph e.3.ii of the award term is replaced by “2 CFR 200.330, as implemented in DoD Research and Development General Terms and Conditions SUB Article I of this award.”
- (2) Contracts: The appropriate clause(s) shall be added to the award.

### **3. Reporting**

- a. 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.
- b. **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 subcontractor6 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, email address, identity of contractor employee entering data;
- (5) Estimated direct labor hours (including subcontractors);
- (6) Estimated direct labor dollars paid this reporting period (including subcontractors);
- (7) Total payments (including subcontractors);
- (8) Predominate Federal Service Code (FSC) reflecting services provided by contractor (and separate predominant FSC for each subcontractor 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 subcontractors 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 subcontractor employees deployed in theater this reporting period (by country).
- (14) 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 FY 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.

- c. 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 2 CFR 200 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.

(End of section)



## **G. Agency Contacts**

1. Questions of a technical or programmatic nature shall be directed to the contact form on the AAL website.
2. Questions of a business or administrative nature are to be directed to the following email: [usarmy.rtp.aro.mbx.baa@mail.mil](mailto:usarmy.rtp.aro.mbx.baa@mail.mil)
3. Comments or questions submitted should be concise and to the point, eliminating any unnecessary verbiage. In addition, the relevant part and paragraph of the announcement should be referenced.
4. Requests to withdraw a proposal shall be directed to [usarmy.rtp.aro.mbx.baa@mail.mil](mailto:usarmy.rtp.aro.mbx.baa@mail.mil).

(End of Section)

## H. Other Information

Below are two separate outlines of the informational requirements for a sample cost proposal. Section H.1 is for a procurement contract and Section H.2 is for grants and cooperative agreements.

### 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”, “SDB”, “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.	TPOC 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 fee (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
18.	CAGE code
19.	Subcontractor information

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)

a. Reasoning for Submitting a Strong Cost Proposal

i. The ultimate responsibility of the Contracting Officer is to ensure that all prices offered in a proposal are fair and reasonable before contract award. To establish the reasonableness of the offered prices, the Contracting Officer may ask the applicant to provide supporting documentation that assists in this determination. The applicant’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 applicant 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.

b. DCAA-Accepted Accounting System

i. Before a cost-type contract can be awarded, the Contracting Officer must confirm that the applicant has a DCAA-accepted accounting system in place for accumulating and billing costs under Government contracts [FAR 53.209-1(f)]. If the applicant has DCAA correspondence, which documents the acceptance of its 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 applicant’s accounting system.

ii. If an applicant does not have a Defense Contract Audit Agency (DCAA)-accepted accounting system in place, the DCAA review process can take several months depending upon the availability of the DCAA auditors and the applicant’s internal processes. This will delay contract award.

iii. For more information about cost proposals and accounting standards, view the link titled “Information for Contractors” on the main menu of the DCAA website.

c. 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.

d. Sample Cost Proposal – “Piece by Piece”

To help guide applicants through the pre-award cost audit process, a sample cost proposal is detailed below. This sample allows the applicant to see exactly what the Government is looking for so that 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 applicant.

- i. *Direct Labor*: The first cost element included in the cost proposal is Direct Labor. Each proposed employee must be listed by name and labor category.

Below is the Direct Labor as proposed by our sample applicant:

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 Andrews	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 applicant to provide adequate documentation in order to determine that the labor rate for each employee/labor category is fair and reasonable. The documentation must 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 to year. In the example above, the proposed labor escalation is 3% (ex., Andy Smith's direct labor rate increased by 3% from \$55.00/hour in Year 1 to \$56.65/hour in Year 2). Often times, an applicant 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. For example, 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".

- ii. 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 must be detailed in a cost breakdown.

- (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 must 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.

The Contracting Officer will require adequate documentation from the applicant 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]:

- (a) Adequate Price Competition. A price is based on adequate price competition when the applicant solicits and receives quotes from two or more responsible vendors for the same or similar items or services. Based on these quotes, the applicant selects the vendor who represents the best value to the Government. The applicant will be required to provide to the Contracting Officer copies of all vendor quotes received.

\*NOTE: Price competition is not required for items at or below the micropurchase 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 x quantity) is higher than \$3,000, two or more quotes must be obtained by the applicant.

- (b) 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 applicant will be required to provide copies of such price lists to the Contracting Officer.

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.

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

<b>DIRECT MATERIAL COSTS</b>	<b>YEAR 1</b>	<b>YEAR 2</b>
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 Costs	\$42,315.00	\$13,825.00

“Raw Materials”: This is a generic label used to group many material items into one cost item within the proposal. The Contracting 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 applicant must be able to provide either competitive quotes received, or show that published pricing was used.

“Computer for experiments”: This item is most likely a grouping of several components that make up one system. The Contracting 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 applicant must be able to provide either competitive quotes received, or show that published pricing was used.

“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.

“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.

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; document how you came up with that price.

When it is not possible for an applicant to obtain a vendor price through competitive quotes or published price lists, the 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 applicant 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 applicant 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) ODCs: 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:

ODCs	YEAR 1	YEAR 2
Equipment Rental for Analysis	\$5,500.00	\$5,600.00
Subcontractor – Widget, Inc.	\$25,000.00	\$0.00
Consultant: John Bowers	\$0.00	\$12,000.00

Travel	\$1,250.00	\$1,250.00
Subtotal: ODCs	\$31,750.00	\$18,850.00

- (3) “Equipment Rental for Analysis”: The applicant 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 applicant is able to furnish another invoice charging a second vendor the same price for the same service.
- (4) “Subcontractor – Widget, Inc.”: The applicant 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.
- (a) 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.”
- (b) 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.
- (c) When a subcontractor is selected to provide support under the prime contract due to its specialized experience, the Contracting Officer may request sole source justification from the applicant.

“Consultant – John Bowers”: The applicant 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 applicant 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 applicant 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.

“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 comply 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 applicant 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 are fair and reasonable.

(d) Below is a sample of the travel portion:

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

iii. *Indirect Costs*: Indirect costs include elements such as fringe benefits, general and administrative (G&A), overhead, and material handling costs. The applicant 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:

<b>INDIRECTS</b>	<b>YEAR 1</b>	<b>YEAR 2</b>
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

In this example, the applicant includes a fringe benefit rate of 15.00% that it allocated to the direct labor costs. The applicant also proposes a labor overhead rate of 45.00% that is allocated to the direct labor costs plus the fringe benefits.

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 applicants have already completed such reviews and have this documentation readily available. If an applicant is unable to participate in a DCAA review to substantiate indirect rates, the Contracting Officer may request other accounting data from the applicant to make a determination.

iv. *FCCM*: Cost of money is an imputed cost that is not a form of interest on borrowings (see FAR 31.205-20). FCCM is an “incurred cost” for cost-reimbursement purposes under applicable cost-reimbursement contracts and for progress payment purposes under fixed-price contracts. It refers to (1) FCCM (48 CFR 9904.414) and (2) cost of money as an element of the cost of capital assets under construction (48 CFR 9904.417). If cost of money is proposed in accordance with FAR 31.205-10, a DD Form 1861 is required to be completed and submitted with the applicant’s proposal.

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

vi. *Subcontracting Plan*: If the total amount of the proposal exceeds \$700,000 and the applicant is a large business or an institute of higher education (other than HBCU/MI) and the resultant award is a contract, the applicant shall be prepared to submit a subcontracting plan for small business and SDB concerns. A mutually agreeable plan will be included in and made a part of the contract (see Section II.F.2.b.v).

## 2. GRANT and COOPERATIVE AGREEMENT 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 PI(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:
  - i. The basis for the direct labor hours or percentage of effort (e.g., historical hours or estimates);
  - ii. 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;
  - iii. The portion of time to be devoted to the proposed research, divided between academic and non-academic (summer) terms, when applicable;
  - iv. The total annual salary charged to the research project; and
  - v. 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, G&A, 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, applicants must provide sufficient detail to enable a determination to be made that the costs included in the forecast rate are allocable according to applicable cost provisions. Applicants' 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:
- i.** All individual cost elements included in the forecast rate(s);
  - ii.** Basis used to prorate indirect expenses to cost pools, if any;
  - iii.** How the rate(s) was calculated;
  - iv.** Distribution basis of the developed rate(s);
  - v.** Basis on which the overhead rate is calculated, such as "salaries and wages" or "total costs;" and
  - vi.** The period of the applicant's FY.
- 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. Applicants 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:
- i.** Vendor Quote: Show name of vendor, number of quotes received and justification, if intended award is to other than lowest bidder.

- ii. Historical Cost: Identify vendor, date of purchase, and whether or not cost represents lowest bid. Include reason(s) for not soliciting current quotes.
- iii. Engineering Estimate: Include rationale for quote and reason for not soliciting current quotes.

If applicable, the following additional information shall be disclosed in the applicant's cost proposal:

- iv. Special test equipment to be fabricated by the awardee for specific research purposes and its cost.
- v. Standard equipment to be acquired and modified to meet specific requirements, including acquisition and modification costs, listed separately.
- vi. 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.
- vii. Grants and cooperative agreements may convey title to an 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 PI. Separate, prior approval by the AFC 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 PI. Special justification will be required for travel requests in excess of the amounts stated above and for travel by individuals other than the PI(s). Individuals other than the PI(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: Applicants 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. Subawards (Subcontracts or Subgrants): A precise description of services or materials that are to be awarded by a subaward must be provided. For subawards totaling \$10,000 or more, provide the following specific information:
  - i. A clear description of the work to be performed;
  - ii. If known, the identification of the proposed subawardee and an explanation of why and how the subawardee was selected or will be selected;
  - iii. The identification of the type of award to be used (cost reimbursement, fixed price, etc.);
  - iv. Whether or not the award will be competitive and, if noncompetitive, rationale to justify the absence of competition; and
  - v. A detailed cost summary.
- k. ODCs: 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 must be fully explained and justified.
- l. Profit/Fee: Profit/fee is not allowed for the recipient of or subaward 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 Government). A subaward 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 subrecipient. The term includes financial assistance for substantive program performance by the subrecipient 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.
- n. FCCM: If cost of money is proposed, a completed FCCM (DD Form 1861) is required.

(End of Section)



## APPENDIX 1: TABLE OF ACRONYMS

AAL	Army Applications Laboratory
ACC	Army Contracting Command
AFC	Army Futures Command
AFARS	Army Federal Acquisition Regulation Supplement
AI	Artificial Intelligence
AI/ML	Artificial Intelligence/Machine Learning
ALD	Atomic Layer Deposition
AMC	Army Materiel Command
AOR	Authorized Organization Representative
AR	Army Regulation
ARL	Army Research Laboratory
ARO	Army Research Office (part of ARL)
ASA(ALT)	Assistant Secretary of the Army for Acquisition, Logistics, and Technology
BAA	Broad Agency Announcement
CAGE	Commercial and Government Entity
CCDCOM	Combat Capabilities Development Command
C4ISR	Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance
CFDA	Catalog of Federal Domestic Assistance
CFR	Code of Federal Regulations
CFT	Cross Functional Team
COTS	Commercial Off the Shelf
CPFF	Cost Plus Fixed Fee
C-RAM	Counter-Rockets, Artillery, and Mortar
C-UAS	Counter Unmanned Aerial System
CSA	Chief of Staff of the Army
DA	Department of Army
D&B	Dun and Bradstreet
DBA	Doing Business As (name of the company)
DCAA	Defense Contract Audit Agency
DCMA	Defense Contract Management Agency
DFARS	Defense Federal Acquisition Regulation Supplement
DLSC	Defense Logistics Service Center
DoD	Department of Defense
DoDI	Department of Defense Instruction
DVE	Degraded Visual Environment
EA	Electronic Attack
EDWOSB	Economically-Disadvantaged Woman-Owned Small Business
EUL	Unique Entity Identifier
EW	Electronic Warfare
FAPIIS	Federal Awardee Performance and Integrity Information System
FAR	Federal Acquisition Regulation
FCCM	Facilities Capital Cost of Money

FFRDC	Federally Funded Research and Development Center
FSC	Federal Service Code
FWA	Federal Wide Assurance
FY	Fiscal Year
G&A	General and Administrative
GCS	Ground Combat System
GFD	Government Furnished Data
GFE	Government Furnished Equipment
GFI	Government Furnished Information
GFP	Government Furnished Property
GSA	General Service Administration
HBCU/MI	Historically Black Colleges and Universities and Minority-Serving Institutions
HSI	Human Systems Integration
HPC	High Performance Computing
HRPO	Human Research Protection Official
HSATS	Human Systems Analytic Tool Suite
HSR	Human Subjects Research
HUBZone	Historically Underutilized Business Zone
IED	Improvised Explosive Device
IMU	Inertial Measurement Unit
IoT	Internet of Things
IR&D	Independent Research and Development
IRB	Institutional Review Board
IT	Information Technology
ITAR	International Traffic in Arms Regulation
MAV	Manned Aerial Vehicle
MDO	Multi-Domain Operations
METT-TC	Mission, Enemy, Terrain and Weather, Troops and Support Available, Time Available, Civil Considerations
ML	Machine Learning
M&S	Modeling and Simulation
MSC	Major Subordinate Command
MT	Machine Translation
NLOS	Non Line of Sight
NLP	Natural Language Processing
ODC	Other Direct Cost
OMB	Office of Management and Budget
OHRP	Office for Human Research Protections
OTA	Other Transaction for Prototype
PAM	Pamphlet
PDF	Portable Document Format
PE	Programming Environments
PI	Principal Investigator
PNT	Position, Navigation, and Timing

POC	Point of Contact
PPE	Personal Protective Equipment
PWS	Performance Work Statement
R&D	Research and Development
RDECOM	Research, Development, and Engineering Command
ROTC	Reserve Officer Training Corps
R&R	Research and Related
RTP	Research Triangle Park
SAM	System for Award Management
SbT/MgC	Subterranean and Megacity
SDB	Small Disadvantaged Business
SDO	Suspension and Debarment Official
SDVOSB	Service-Disabled Veteran-Owned Small Business
SF	Standard Form
SLV	Survivability, Lethality, and Vulnerability
S&T	Science & Technology
STEM	Science, Technology, Engineering, and Mathematics
STTW	Sensing Through the Wall
TBI	Traumatic Brain Injury
TCAD	Technology Computer-Aided Design
T&E	Test & Evaluation
TIA	Technology Investment Agreement
TIC	Toxic Industrial Chemical
TIM	Toxic Industrial Material
TIN	Taxpayer Identification Number
TPOC	Technical Point of Contact
TRADOC	Training and Doctrine Command
TRIAD	Translational Research Innovative Application Discovery
TTP	Tactics, Techniques, and Procedures
UAS	Unmanned Aerial System
UAV	Unmanned Aerial Vehicle
UB	Underbody Blast
UIC	Unit Identification Code
UQ	Uncertainty Quantification
U.S.C.	United States Code
USDA/APHIS	Department of Agriculture Office of Animal and Plant Health Inspection Service
USML	United States Munition List
UWB	Ultra-Wideband
UXO	Unexploded Ordinance
VC	Venture Capital
VOSB	Veteran-Owned Small Business
USDA/APHIS	Department of Agriculture Office of Animal and Plant Health Inspection Service
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UWB	Ultra-Wideband
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VC	Venture Capital
VOSB	Veteran-Owned Small Business

(End Section)

## **APPENDIX 2: SCHEDULE OF AMENDMENTS**

**Amendments to this BAA may be issued to incorporate programmatic or administrative changes to this document, if necessary.**

**NOTE: Amendments may be issued more frequently at the discretion of the Government.**