

Broad Agency Announcement (BAA)

BAA-RQKPC-2205, Amendment 02

Collaborations for Innovative Research on Aerospace Structure (CIRAS)

8 August 2023

BROAD AGENCY ANNOUNCEMENT TITLE: Broad Agency Announcement BAA-RQKPC-2205- “Collaborations for Innovative Research on Aerospace Structure (CIRAS)”

FEDERAL AGENCY NAME: Air Force Research Laboratory, Aerospace Systems Directorate, Aerospace Vehicles Division, AFRL/RQV

CONTRACTING POC:

Jodonna Alvarez- AFRL/RQKPC, Contracting Officer,
2130 Eighth Street Building 45, Wright Patterson AFB OH 45433-7541,
jodonna.alvarez@us.af.mil, 937-713-9966, and

Joycelyn Roux – AFRL/RQKPC, Contracting Officer,
2130 Eighth Street Building 45, Wright Patterson AFB OH 45433-7541
joycelyn.roux@us.af.mil, 937-713-9795

The BAA-RQKPC-2205, Collaborations for Innovative Research on Aerospace Structure (CIRAS) is being amended as follows:

1.) REVISING TECHNICAL POC (page 3 of BAA)

FROM:

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TO:

Thomas Spradlin – AFRL/RQVS,
2790 D ST
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Wright Patterson AFB OH 45433
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- 2.) Incorporating the Science and Technology (S&T) Protection Requirement: In accordance with Air Force Research Laboratory Instruction (AFRLI) 61-113. (#5. Other Requirements (g) page 4).
- 3.) Revising Attachment 3 Statement of Work (SOW) Supplemental Requirements to incorporate the Science and Technology (S&T) Protection Requirement.
- 4.) Revising Attachment 5 Statement of Work (SOW) Supplemental Requirements for Assistance Instruments to incorporate the Science and Technology (S&T) Protection Requirement.
- 5.) Revising Attachment 2 Contract Data Requirements Lists (CDRLs) adding CDRL A008 Technical Information Report (SF 424)
- 6.) Incorporating Attachment 11 to the BAA -Standard Form (SF) 424, Research and Related Senior/Key Person Profile (Expanded) Form
- 7.) Incorporating Attachment 12 to the BAA Security Program Questionnaire
- 8.) Additional FAR Clause 52.204-27 Prohibition on a ByteDance Covered Application (June 2023) is hereby incorporated into the CIRAS BAA contract clauses. In accordance with the OMB Memorandum M-23-13 the contracting officer shall insert the FAR Clause 52.204-27 Prohibition on a ByteDance Covered Application in all solicitations and contracts unless an exception is granted.
- 9.) Additional Article for Grants/Assistance Instruments –
Part 9 Additional Requirements - National Policy Requirements Article

Article 9.05 Prohibition on a ByteDance Covered Application (June 2023)
is hereby incorporated into the CIRAS BAA Articles for Grants/Assistance Instruments, in accordance with the OMB Memorandum M-23-13 the Grants/Agreements Officer shall insert the Article 9.05 Prohibition on a ByteDance Covered Application in all solicitations and awards unless an exception is granted.

****** NO OTHER CHANGES ARE BEING ACCOMPLISHED BY THIS AMENDMENT.**

2-Step Broad Agency Announcement

The 2-Step Process reduces acquisition resources for both the Government and industry. It may be considered when a large number of proposals are anticipated or to determine if further Government interest is warranted. If further interest is not warranted, industry saves unnecessary bid and proposal costs and the Government saves review time.

Overview Information

NAICS Code: The NAICS Code for this acquisition is **541715 (Research and Technology in the Physical, Engineering, and Life Sciences (except Nanotechnology and Biotechnology) with the Aircraft, Aircraft Engine and Engine Parts exception)**, and the small business size standard is **1,500** employees.

Federal Agency Name: Air Force Research Laboratory, AFRL/RQ Aerospace Systems Directorate, Aerospace Vehicles Division (AFRL/RQV)

Broad Agency Announcement Title: Collaborations for Innovative Research on Aerospace Structure (CIRAS)

Broad Agency Announcement Type: This is the **Initial Announcement (Two Step Closed BAA with Calls)**

Broad Agency Announcement Number: FA8650-21-S-2205

Catalog of Federal Domestic Assistance (CFDA) Number(s): 12.800 AIR FORCE DEFENSE RESEARCH SCIENCES PROGRAM

THIS WILL BE A TWO-STEP CLOSED BAA WITH CALLS SOLICITATION:

This Two Step Closed BAA with Calls will be effective for a period of 5 years from the date of publication. Calls are individual solicitations for research that will be issued in (<https://beta.SAM.gov>) and (<http://Grants.Gov>), based on available funding and agency needs.

First Step: WHITE PAPER DUE DATE AND TIME: The Air Force Research Laboratory, Aerospace Systems Directorate, Aerospace Vehicles Division (AFRL/RQV), will be soliciting white papers described in the Calls to be published in (<https://beta.SAM.gov>) and (<http://Grants.Gov>) at a later date. Each Call will contain the specific requirements and submission due date and time. Unless otherwise stated in a Call , all other requirements are contained in this BAA. Small businesses are encouraged to propose on all or any part of these upcoming Calls.

Offerors should be alert for any individual Calls and or BAA Amendments.

Second Step: PROPOSAL DUE DATE AND TIME: To be provided in the Requests for Proposals sent to offerors that submit White Papers considered to meet the needs of the Air Force.

Submission: White Papers must be submitted to the Contracting Point of Contact (POC): *Joycelyn Roux and Jodonna Alvarez, AFRL/RQKPC, Jodonna.alvarez@us.af.mil and Joycelyn.roux@us.af.mil*

Solicitation Request: Air Force Research Laboratory, *AFRL/RQ Aerospace Systems Directorate, Aerospace Vehicles Division (AFRL/RQV)*, Wright Patterson Air Force Base will be soliciting white papers on research effort described in future Calls.

Type of Contract/Instrument: The Air Force reserves the right to award the instrument best suited to the nature of research proposed. Accordingly, the Government may award any appropriate contract type under the FAR or Other Transaction (OT) for Prototype, grant, cooperative agreement, or OT for Research. The Air Force may also consider award of an appropriate technology transfer mechanism if applicable. It is anticipated that awards under this BAA will generally be Cost Plus Fixed Fee (CPFF), and Cooperative Agreement. Cost reimbursement contracts require successful offerors to have an accounting system considered adequate for tracking costs applicable to the contract.

Estimated Program Cost: Anticipated funding for the entire program is \$6M. The estimated cost for each Call will be specified in each individual Call.

Anticipated Number of Awards: The Air Force anticipates awarding a minimum of one award per individual Call. However, the Air Force reserves the right to award zero, one, or more awards for all, some or none of the effort solicited for each individual Call based on the offeror's ability to perform desired work and funding fluctuations.

Brief Program Summary: The Aerospace Vehicles Division (RQV), Aerospace Systems Directorate (RQ), Air Force Research Laboratory (AFRL), is soliciting research in aircraft structural design, analysis, and experimentation, specifically in the following areas:

1. Innovative structural concepts for reducing weight and/or improving performance
2. Generation of realistic load and environmental spectra
3. Advanced structural design and analysis methods

4. Advanced techniques for experimental validation of structural models and simulations

Communication Between Prospective Offerors and Government Representatives:

The acquisition team intends to manage communications in a manner best designed to facilitate the submittal of optimal proposals while not providing any unfair competitive advantages. Technical communications will be managed by the Program Manager identified below. Technical questions may be addressed after the Two Step Closed BAA release. Questions determined to provide a competitive advantage will be answered via (<https://beta.SAM.gov>) and (<http://Grants.Gov>). Dialogue between prospective offerors and Government representatives is encouraged until submission of proposals. Discussions with any of the points of contact shall not constitute a commitment by the Government to subsequently fund or award any proposed effort. Only Contracting Officers are legally authorized to commit the Government.

Address technical questions to the Technical POC: Thomas Spradlin, AFRL/RQVS 2790 D Street, B20065 WPAFB, OH 45433-7402, phone 312-986-8813, Email: thomas.spradlin.1@us.af.mil

Address contracting questions to the Contracting POC: Jodonna Alvarez and Joycelyn Roux, AFRL/RQKPC, Contracting Officer, 2130 Eighth Street Building 45, Wright Patterson AFB OH 45433-7541, jodonna.alvarez@us.af.mil, 937-713-9966, and joycelyn.roux@us.af.mil, 937-713-9795

Full Text Announcement

- I. Program Description:** Air Force Research Laboratory, Aerospace Systems Directorate, Aerospace Vehicles Division (AFRL/RQV) is soliciting white papers (and later technical and cost proposals) on the following research effort:

Note: White papers will be solicited in future Calls.

- 1. Statement of Objective/Description of Technical Area(s):** The objective of this Two Step Closed BAA with Calls is to advance the technology and/ or increase knowledge and understanding of:
 - a. Innovative structural concepts for reducing weight and/or improving performance
 - b. Generation of realistic load and environmental spectra
 - c. Advanced structural design and analysis methods
 - d. Advanced techniques for experimental validation of structural models and simulations

The complete Statement of Objectives (SOO) is Attachment 1 to this Two Step Closed BAA.

2. Within Scope Modifications: Potential offerors are advised that due to the inherent uncertainty of research and development efforts, awards resulting from this announcement may be modified during performance to make within scope changes, to include but not limited to, modifications which increase overall contract ceiling amount.

3. Deliverable Items:

- a. Data Items: See attached DD Form 1423-1 CDRLS (Attachment 2)
- b. Software: TBD per individual Call
- c. Hardware: TBD per individual Call
- d. Other: TBD per individual Call

4. Schedule:

- a. Overall effort: TBD per individual Call
- b. Data Items: Specified on individual CDRL(s)
- c. Software: TBD per individual Call
- d. Hardware: TBD per individual Call

5. Other Requirements:

- a. This announcement incorporates FAR and supplement provisions and clauses by reference. The full text of provisions and clauses can be found at Acquisition.gov.
- b. Program Security Classification: **Unclassified.** If a DD254 is applicable, offerors must verify their Cognizant Security Office information is current with Defense Counterintelligence and Security Agency (DCSA) at www.dcsa.mil.
- d. OPSEC: See attached SOO for OPSEC guidance.
- e. Export Control: Information involved in this research effort **MAY** be subject to Export Control (International Traffic in Arms Regulation (ITAR) 22 CFR 120-131, or Export Administration Regulations (EAR) 15 CFR 710-774). If effort may be subject to export control, then a Certified DD Form 2345, Militarily Critical Technical Data Agreement, will be required to be submitted with proposal.
- f. Export-Controlled Items: As prescribed by DFARS 225.7901-4, DFARS 252.225-7048, "Export-Controlled Item (JUN 2013)" is contained in this solicitation. This clause shall be contained in ALL resulting contracts.
- g. Science and Technology (S&T) Protection: In accordance with Air Force Research Laboratory Instruction (AFRLI) 61-113, "Science and Technology (S&T) Protection for the Air Force Research Laboratory", offerors are required to submit the following as part of their proposal:

1) A completed initial Standard Form (SF) 424, Research and Related Senior/Key Person Profile (Expanded) Form, (Attachment 11) for all Senior/Key Personnel proposed in support of the AFRLI 61-113 Personnel Risk Assessment requirement.

2) Documentation of a Security Program Plan in support of the AFRLI 61-113 Initial Institution S&T Protection Program Review requirement.

This must include, at a minimum, a completed Security Program Questionnaire (Attachment 12). Submittal may also include a pre-existing plan that the offeror uses as a matter of course or plan developed specifically for this acquisition. The purpose of requesting the plan is to assess the offeror's capacity for protection of the Government's S&T. Failure to demonstrate a plan adequate to meet the needs of the requirements, as determined by the Government in its sole discretion, may be grounds for considering the proposal un-awardable.

Government Procedures

The Government will review the submitted S&T protection documentation only for those proposals categorized as Selectable and selected for funding and negotiations.

S&T Protection Initial Risk Review:

- **Personnel Risk Assessment:** The Government will review non-government research key/senior performers identified by the offeror on the initial SF 424 for workload conflicts and conflicts of interest.
- **Initial Institution S&T Protection Program Review:** The Government will review the offeror's security program information submitted in accordance with paragraph 2 of this section (above) to identify any potential risks and ensure appropriate measures are in place to protect S&T information.

The Government may require the offeror to submit additional information and/or a mitigation plan for any identified S&T protection risks. If the Government determines the offeror failed to provide adequate additional information; or an acceptable mitigation plan; or it is determined the offeror's S&T protection approach is high risk and does not provide adequate protection of S&T information, the Government may reject the proposal and withdraw it from consideration for award.

S&T Protection Annual Risk Review: In accordance with Attachment (SOW Supplemental Requirements), the Contractor shall provide an SF 424 with the following information:

- 1) an initial report of all Senior/Key Personnel at the time of award;
- 2) an annual report of all Senior/Key Personnel providing support; and
- 3) a report for any new Senior/Key Personnel who join the contract, agreement, grant, or OT.

Any updated SF 424s for new Senior/Key Personnel supporting the award require coordination from the Government prior to the contractor employee receiving access to S&T information. The purpose of this report is oversight and should not be construed as relieving the contractor/recipient of any S&T Protection requirements within the contract, grant, agreement, or OT.

6. Other Information:

- a. Government Furnished Property (GFP) Availability: GFP is not anticipated to be made available under any resulting contract.
- b. Base Support/ Network Access: Base Support is anticipated. The Government will provide the following: work space, phones, network access, material, equipment, services, or other support for the performance of this effort.
 - (1) Available Base Facilities: Base Support will be located at Building 65, Wright Patterson AFB, Ohio 45433
- c. Multiple awards subject to Fair Opportunity are ***not anticipated***
- d. Data Rights Desired:
 - (1) Noncommercial Technical Data: Unlimited Rights desired, will accept Government Purpose Rights (GPR)
 - (2) Noncommercial Computer Software (NCS): Unlimited Rights desired will accept GPR
 - (3) NCS Documentation: Unlimited Rights desired, will accept GPR
 - (4) Commercial Computer Software Rights: Customary License

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

In accordance with DFARS 252.227-7013(b)(1) and 252.227-7014(b)(1), the Government shall receive unlimited rights in all noncommercial technical data and computer software developed exclusively with Government funds.

In accordance with DFARS 252.227-7013(b)(2) and DFARS 252.227-7014(b)(2), the Government shall receive Government Purpose Rights in all noncommercial technical data and computer software developed with mixed funding. "Developed with mixed funding" means, "development was accomplished partially with costs charged to indirect cost pools and/or costs not allocated to a government contract, and partially with costs charged directly to a government contract. Offerors that propose delivery of noncommercial technical data, NCS, or NCS documentation subject to Government Purpose Rights should fully explain how a portion of the data was developed at private expense. Specifically, offerors must explain what noncommercial technical data, NCS, or NCS documentation

developed with costs charged to indirect cost pools and/or costs not allocated to a Government contract will be incorporated, how the incorporation will benefit the program, and address whether those portions or processes are segregable.

Offerors that propose delivery of noncommercial technical data with Limited Rights, NCS with Restricted Rights, or NCS documentation with Limited Rights will be considered. Proposals should fully explain what noncommercial technical data, NCS, or NCS documentation developed with costs charged to indirect cost pools and/or costs not allocated to a Government contract will be incorporated and how the incorporation will benefit the program and whether those portions or processes are segregable. Offerors shall include the data rights assertions as required by DFARS 252.227-7017, Identification and Assertion of Restrictions on the Government's Use, Release, or Disclosure of Technical Data or Computer Software. The assertions list is included in Section K and due at time of proposals. Assertions must be completed with specificity. Each assertion must identify the technical data or computer software to be delivered and the associated item, component, or process developed exclusively or partially at private expense to which it pertains. Nonconforming data rights assertion lists will not be accepted until submitted in accordance with DFARS 252.227-7017.

Terms used in this section are defined in the clauses at 252.227-7013, Rights in Technical Data-Noncommercial Items, and 252.227-7014, Rights in Noncommercial Computer Software and Noncommercial Computer Software Documentation.

THIRD PARTY SOFTWARE (COMMERCIAL AND NONCOMMERCIAL):

If any such software, noncommercial or commercial, is not reasonably identifiable at proposal submission, it must still be approved by the contracting officer prior to incorporation. This obligation to obtain pre-approval by the contracting officer, as described above, continues throughout contract administration.

Noncommercial Computer Software:

DFARS 252.227-7014(d) describes requirements for incorporation of third party noncommercial copyrighted computer software and computer software documentation and is incorporated as follows:

The Contractor shall not, without the written approval of the Contracting Officer, incorporate any copyrighted computer software or computer software documentation in the software or documentation to be delivered under this contract unless the Contractor is the copyright owner or has obtained for the Government the license rights necessary to perfect a license or licenses in the deliverable software or documentation of the appropriate scope set forth in DFARS 252.227-7014(b), and prior to delivery of such—

(1) Computer software, has provided a statement of the license

rights obtained in a form acceptable to the Contracting Officer;
or
(2) Computer software documentation, has affixed to the
transmittal document a statement of the license rights obtained.

In addition, all noncommercial computer software will receive the appropriate level rights set forth in DFARS 252-7014(b), which could include: Unlimited rights, GPR, Restricted Rights, or specifically negotiated license.

Commercial Computer Software: For commercial computer software, the Government will neither accept nor execute a DD Form 250 for such software deliverables until the Contractor obtains from all third party software suppliers and/or vendors (Licensor) licenses for any commercial computer software to be delivered that are consistent with Federal Statutes, Federal Case Law, and Federal Regulations.

The following is a non-exhaustive list of terms and conditions which are inconsistent with Federal law and shall not be included in the commercial computer software license agreement between the Licensor and the Government:

1. The license shall not subject the Government to a contingent liability or a liability that is indefinite or indeterminate, including but not limited to: indemnification clauses, unilateral price increases, the right to attorney fees, automatic assessment of charges, or automatic renewal provisions. These provisions constitute obligations in advance or in excess of an appropriation and violate the Anti-Deficiency Act.
2. The license shall be governed by Federal Statutes, Federal Case Law, and Federal Regulations, and shall not be subject to the laws or jurisdiction of any municipality, state, or foreign country. The license shall not bind the Government to litigation in a particular forum or venue or require the Government to participate in arbitration.
3. The license shall not include non-substitution language that would preclude or limit the Government from using another vendor/reseller and/or product to fulfill Government requirements.
4. The Licensor shall not have the authority to unilaterally terminate the license. All remedies available shall be consistent with the Disputes and Termination Clauses in the underlying basic contract.
5. The Licensor shall not have the right to enter the premise or monitor Government networks for the purpose of auditing the use of the license.
6. The Licensor shall not have the authority to control or otherwise influence any litigation between a third party and the Government. The United States Department of Justice has the sole authority to represent the Government in all litigation matters.
7. The Licensor shall not use the fact that the Government is using the Licensor's products in any notification or advertisement to the public (e.g., no publicity rights permitted).
8. The license shall not require automatic updates or give Licensor the authority to unilaterally replace the software.

[IF APPLICABLE] Additionally, the Contractor may be required to obtain licenses that comply with the following terms and conditions, based on the Government's needs:

1. [IF APPLICABLE] The license shall not disclaim all warranties through use of an "as is" provision.
2. [IF APPLICABLE] The license shall neither restrict the Government from using the product at various sites nor limit use of the product by various Government agencies or third parties performing work on behalf of the Air Force under the [PROGRAM NAME]. In performance of the [PROGRAM NAME], Government personnel as well as Government contractors may use the software, subject to any negotiated limits on number of users, as applicable.
3. [IF APPLICABLE] [The license shall not limit the Government's use of the software at other Government and Government contractor sites.] [The license shall authorize the Government to use the software at the following sites: [list].]
4. [IF APPLICABLE] The license shall not restrict the Government from copying or embedding elements of accessible code into other applications (e.g., nesting code, derivative works).

The Contractor may obtain agreement from the Licensor to insert the clause below in its respective software licenses intended to be transferred to the Government:

"In the event that any of the provisions of the [Software License] are determined to be inconsistent with Federal law or do not otherwise satisfy the Government's needs, the parties to the [Software License] hereby agree that such provisions shall be null and void as they pertain to the Government. Specifically, the following sections are hereby deleted from the [Software License] [and/or amended as indicated below]:

[Section X: deleted; Section Y: amended as follows [...]]"

If the Licensor will not agree to the terms and conditions cited herein and/or as contained in DFARS 227.72, the Contractor shall retain the current license on behalf of and for the benefit of the US Government if permissible under its license and such use will not subject the Government to the terms of the license. If the software in question is required to be delivered to the Government, the Licensor must grant the Government a sublicense that allows the Government to use the software to meet its requirements.

The Contractor shall provide documentation to clearly correlate or map any commercial computer software to be delivered to:

- a) Contract Line Item Numbers (CLINS);
- b) Contract Deliverables (CDRLS);
- c) Paragraphs in the statement of work (SOW); and
- d) Portions of any functional block diagrams and/or system architecture diagrams, so that it can be readily determined where certain commercial computer software corresponding to certain software license agreement(s) are physically located on the system to be delivered under the contract

II. Award Information

1. Anticipated Award Date: TBD per individual Call.

2. Anticipated funding for the program (not per contract)

FY21	FY22	FY23	FY24	FY25	FY26	Total
\$50,000	\$950,000	\$1,250,000	\$1,250,000	\$1,250,000	\$1,250,000	\$6,000,000

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

III. Eligibility Information

- 1. Eligible Offeror:** This is an unrestricted solicitation. Small businesses are encouraged to propose.
- 2. Cost Sharing or Matching:** Cost Sharing is not required, but is allowed.
- 3. Federally Funded Research and Development Centers:** The following guidance is provided for Federally Funded Research and Development Centers (FFRDCs) contemplating submitting a proposal, as either a prime or subcontractor. FAR 35.017-1(c)(4) prohibits an FFRDC from competing with any non-FFRDC concern in response to a Federal agency request for proposal for other than the operation of an FFRDC (with exceptions stated in DFARS 235.017-1(c)(4)). There is no regulation prohibiting an FFRDC from responding to a solicitation. However, the FFRDC's sponsoring agency must first make a determination that the effort being proposed falls within the purpose, mission, general scope of effort, or special competency of the FFRDC, and that determination must be included in the FFRDC's proposal. In addition, AFRL must make a determination that the work proposed would not place the FFRDC in direct competition with domestic private industry. Only after these determinations are made, would a determination be made concerning the FFRDC's eligibility to receive an award.
- 4. Government Agencies:** If a Government agency is interested in performing work, contact the Program Manager identified in the BAA. If those discussions result in a mutual interest to pursue your agency's participation, the effort will be pursued independent of this announcement.
- 5. Other:**
 - a. Foreign Participation:** If a foreign participant is identified, the offeror will be required to submit their country of origin and a detailed description of the information that is to be provided to the foreign participant at each stage of the contract and that information will be sent to our Foreign Disclosure Office for determination of release.
 - b. This acquisition is *MAY BE* subject to export control laws and regulations (International Traffic in Arms Regulations (ITAR)).** TBD per individual Call.
 - c. There are no limits on the number of white papers/proposals an offeror**

may submit. You may be ineligible for award if all requirements of this solicitation are not met on the white paper (and later proposal) due date as identified in individual Call.

IV. White Paper / Proposal and Submission Information

- 1. Overview:** This Announcement consists of a Two-Step Process described in detail below. White Papers/Proposals submitted for individual Calls shall be in accordance with this announcement. *There will be no other solicitation issued in regard to this requirement.* The Government intends to review white papers/proposals and award some, all, or none of the proposals received without negotiation/discussion; however, the Government reserves the right to negotiate with those offeror(s) whose proposal is selected for funding.

Offerors should be alert for any individual Calls and or BAA amendments.

For additional information, a copy of the Broad Agency Announcement (BAA) Guide for Industry is located at:

<https://www.afrl.af.mil/Portals/90/Documents/HQ/BAA%20Ind%20Guide%202020.pdf?ver=7AivkWvoUoptKgypgCuIvw%3d%3d>

2. First Step (White Paper) Instructions:

- a. General: The *FIRST STEP* requests a white paper and a rough order of magnitude (ROM) cost. The white paper shall include a discussion of the nature and scope of the research and the offeror's proposed technical approach. The Government will review the white papers in accordance with the FIRST STEP Peer or Scientific Review criteria, set forth in Section V below. Based on this review, the Government will determine which of them have the potential to best meet the Air Force's needs. Offerors will be notified of the disposition of their white paper. It is anticipated that Government review of the white papers submitted will take **30** working days. Those offerors submitting white papers assessed as meeting Air Force needs will be asked to submit a technical and cost proposal. Those offerors not requested to submit a technical and cost proposal will be notified but may, however, still elect to submit a technical and cost proposal. An offeror submitting a proposal without first submitting a white paper **will not** be eligible for an award. The cost of preparing white papers in response to this Solicitation is not considered an allowable direct charge to any resulting or any other contract; however, it may be an allowable expense to the normal bid and proposal indirect cost as specified in FAR 31.205-18.
- b. Page Limitation: The White Paper shall be limited to 5 pages, prepared and submitted in Word format. Font shall be standard 10-point business font Arial. Character spacing must be "normal," not condensed in any manner. Pages shall be double-spaced (must use standard double-space function in Microsoft Word), double-sided (each side counts as one

page),
8.5 by 11 inches, with at least one-inch margins on both sides, top and bottom. All text, including text in tables and charts, must adhere to all font size and line spacing requirements listed herein. Font and line spacing requirements do not have to be followed for illustrations, flowcharts, drawings, and diagrams. These exceptions shall not be used to circumvent formatting requirements and page count limitations by including lengthy narratives in such items. Pages shall be numbered starting with the cover page being Page 1, and the last page being no greater than Page **5**. The page limitation covers all information including indices, photographs, foldouts (counted as 1 page for each 8.5 by 11 portion) tables, charts, appendices, attachments, resumes, etc. The Government will not consider pages in excess of these limitations. Offerors should submit the White Paper electronically (email) to the Contracting POCs, identified in the Overview Information.

- c. Format: The white paper will be formatted as follows:
- (1) Section A: BAA Number, Title of Program, Name of Company, Business Size, Company's Commercial and Government Entity (CAGE) number, Dun & Bradstreet (D&B) Data Universal Numbering System (DUNS) number, Contracting POC and Technical POC with appropriate telephone numbers, fax numbers, and email addresses for the POCs.
 - (2) Section B: Period of Performance and Task Objectives;
 - (3) Section C: Technical Summary and Proposed Deliverables; and
 - (4) Section D: Cost of Task (Rough Order of Magnitude (ROM)).
 - (5) Section E: Quad Chart. The Quad chart should include Objective, Description of Effort, List of Related Accomplishments/Research Efforts/Contracts, Program Technical Approach, Challenges, Benefits of Proposed Technology, Major Goals/Milestones by FY, Cost by FY, Contact Information. See Attachment 4 for the Quad chart Guidance and Template. The Quad Chart Guidance includes font and text formatting.
- d. Technical Portion: The technical portion of the white paper shall include a discussion of the nature and scope of the research and the offeror's proposed technical approach/solution. It may also include any proposed deliverables. Resumes, descriptions of facilities and equipment, a proposed Statement of Work are not required at this point.
- e. Cost Portion: The cost portion of the white paper shall include a ROM cost estimate. No detailed price or cost support information should be forwarded; only a time-phased bottom line figure should be provided.
- f. Other Information: Multiple white papers within the purview of this announcement may be submitted by each offeror. If the offeror wishes to

restrict its white papers, they must be marked with the restrictive language stated in FAR 52.215-1(e).

- g. White Paper/Proposal Content Summary: You may be ineligible for award if all requirements of this solicitation are not met on the proposal due date.

3. Second Step (Proposal) Instructions:

Note: *If you intend to submit a proposal for an assistance instrument, go to Attachment 5 which discusses how to find the assistance opportunity, prepare the cover page, and complete the certification. This section also provides the process for electronic submission of proposals for assistance instruments that may be submitted in addition to BAA Section IV Paragraph 3.a.(5).*

a. General Instructions:

- (1) The *SECOND STEP* consists of offerors submitting a technical and cost proposal within **30** working days of the proposal request. After receipt, proposals will be reviewed in accordance with the award criteria in Section V. below. Proposals will be categorized and subsequently selected for negotiations.
- (2) Offerors should apply the restrictive notice prescribed in FAR 52.215-1(e) Instructions to Offerors—Competitive Acquisition. Offerors should consider proposal instructions contained in the Broad Agency Announcement (BAA) Guide for Industry, which can be accessed on line at <https://www.afrl.af.mil/Portals/90/Documents/HQ/BAA%20Ind%20Guide%202020.pdf?ver=7AivkWvoUoptKgypgCuIvw%3d%3d>. This guide is specifically designed to assist the offeror in understanding the BAA proposal process.
- (3) Technical/management and cost/business volumes should be submitted in separate volumes and must be valid for 180 days.
- (4) Proposals must reference the announcement number FA8650-21-S-2205.
The cost file(s) spreadsheets must be in Microsoft Excel and include the formulas for calculating cost element bases (i.e., G&A, O/H, etc.)
- (5) Offerors are advised that only Contracting Officers are legally authorized to contractually bind or otherwise commit the Government.
- (6) The cost of preparing proposals in response to this BAA is not considered an allowable direct charge to any resulting or any other contract; however, it may be an allowable expense to the normal bid and proposal indirect cost as specified in FAR 31.205-18.
- (7) No classified technical proposals or cost volumes are expected. Offerors are encouraged to keep all elements of the proposal package unclassified. In the rare case where an offeror has a need

to submit a classified appendix, please contact the technical POC for delivery instructions.

b. Technical/Management Proposal:

- (1) Page Limitations: The following describes proposal page limitations:
 - a) The Technical/Management Proposal shall be limited to **20** pages. Technical/Management proposals and Statements of Work must be provided in Microsoft Word. Signed pages may be submitted in Adobe.
 - b) Font shall be standard 10-point business font Arial.
 - c) Character spacing must be "normal," not condensed in any manner.
 - d) Pages shall be double-spaced (must use standard double-space function in Microsoft Word), double sided (each side counts as one page), 8.5 by 11 inches, with at least one-inch margins on both sides, top and bottom.
 - e) All text, including text in tables and charts, must adhere to all font size and line spacing requirements listed herein. Font and line spacing requirements do not have to be followed for illustrations, flowcharts, drawings, and diagrams. These exceptions shall not be used to circumvent formatting requirements and page count limitations by including lengthy narratives in such items.
 - f) Pages shall be numbered starting with the cover page being Page 1, and the last page being no greater than Page **20**. The page limitation covers all information including indices, photographs, foldouts (counted as 1 page for each 8.5 by 11 portion) tables, charts, appendices, attachments, resumes, etc.
 - g) The proposal page limit does not include the offeror's proposed Statement of Work (SOW) and Quad Chart; however, the same formatting rules apply to the SOW, which is limited to **5** pages. The Quad Chart is limited to **1** page.
 - h) **Please Note: The Government will check the proposal and SOW for conformance to the stated requirements. Any pages in excess of the stated page limitation after the format check will not be considered for review purposes.**
- (2) The Technical/Management proposal(s) shall include a discussion of the nature and scope of the research and the technical approach. Additional information on prior work in this area, descriptions of available equipment, use of base support (if desired), data and facilities and resumes of personnel who will be participating in this effort should also be included as attachments to the technical proposal. This volume shall include a SOW detailing the technical tasks proposed to be accomplished under the proposed effort and suitable for contract incorporation. **Do not include any proprietary information in the SOW.** Refer to the BAA Guide for Industry referenced above to assist in SOW preparation. In

addition to the contractor proposed SOW, a Government generated SOW attachment containing additional contracting requirements will be included in any resulting contracts. The SOW attachment is included as Attachment **3** to this BAA.

- (3) Any questions concerning the technical proposal or SOW preparation shall be referred to the Contracting POC.

c. Cost/Business Proposal:

- (1) Separate the proposal into a business section and cost section. Adequate price competition is anticipated.
 - a) See attachment 7 for the Section K - Representations and Certifications and attachment 8 for the Section L - Instructions, Conditions, and Notices to Offerors and
 - b) See Attachment 9 for the Model Contract and Attachment 10 for Model Assistance Instrument. Note that the document awarded may include contract line items (CLINs)/clauses/articles in addition to those in the model(s), and/or some of the CLIN/clauses/articles in the model(s) may be deleted, depending on the specific circumstances of the individual award. Any additions or deletions will be negotiated with the offeror prior to award.
 - c) The business section should contain all business aspects to the proposed contract, such as type of contract, any exceptions to terms and conditions of the announcement including the model contract, any information not technically related, etc. Provide rationale for exceptions.
 - d) Associate Contractor Agreements: Associate Contractor Agreements (ACAs) are agreements between contractors working on Government contracts that require them to share information, data, technical knowledge, expertise, or resources. The contracting officer may require ACAs when contractors working on separate Government contracts must cooperate, share resources or otherwise jointly participate in working on contracts or projects. Prime contractor to subcontractor relationships do not constitute ACAs. For each award, the contracting officer will identify associate contractors with whom agreements are required.
 - e) Identify any technical data that will be delivered with less than unlimited rights.
 - f) Subcontracting Plans: For efforts to exceed \$750,000, Subcontracting Plans shall be submitted in the cost/business proposal. Reference FAR 19.704 and DFARS 219.704 for subcontracting plan requirements. Small business concerns are exempt from this requirement.
 - g) Limitations on Pass-Through Charges: As prescribed in FAR 15.408(n)(1) & 15.408(n)(2), provisions 52.215-22, "Limitations on

Pass Through Charges- Identification of Subcontract Effort (Oct 2009)," apply.

- h) Completed Certifications and Representations (Section K) are due with the proposal. Certifications and Representations (Section K) can be found at Atch. 7. Offerors may also be required to submit updated or supplemental Certifications and Representations based on the specifics of their proposal.
 - i) If an offeror proposes the use of Government Furnished Property (GFP), other than GFP identified in the BAA, the offer must specifically identify each piece of GFP in the Cost/Business Proposal and propose and substantiate a rental cost for evaluation purposes in accordance with FAR 45.202. Include the following information in the proposal:
 - (i) A list describing all Government property that the offeror or its subcontractors propose to use on a rent-free basis. The list shall identify the accountable contract under which the property is held and the authorization for its use (from the contracting officer having cognizance of the property).
 - (ii) The dates during which the property will be used and, for any property that will be used concurrently in performing two or more contracts, the amounts of the respective uses in sufficient detail to support prorating the rent;
 - (iii) The amount of rent that would otherwise be charged in accordance with FAR 52.245-9, Use and Charges; and
 - (iv) The voluntary consensus standard or industry leading practices and standards to be used in the management of Government property, or existing property management plans, methods, practices, or procedures for accounting for property.
- (2) **Cost Element Breakdown:** Clear, concise, and accurate cost proposals reflect the offeror's financial plan for accomplishing the effort contained in the technical proposal. As a part of its cost proposal, the offeror shall submit the information outlined below, together with supporting breakdowns. All direct costs (labor, material, travel, computer, etc.) as well as labor and overhead rates should be provided by contractor fiscal year (CFY). Detailed cost element breakdowns by Government Fiscal Year or calendar year are not required. The supporting schedules may include summary level estimating rationale used to generate the proposed costs. The cost element breakdown(s) should include the following if applicable.
- a) **Direct Labor:** Direct labor should be detailed by number of labor hours by category of labor.
 - b) **Labor and Overhead Rates:** Direct labor hours, with their applicable rates, must be broken out and the bases used clearly identified. The source of labor and overhead rates and all pricing

factors should be identified. For instance, if a Forward Pricing Rate Agreement (FPRA) is in existence, that should be noted, along with the Administrative Contracting Officer's (ACO's) name and telephone number. If the rates are based on current experience in your organization, provide the historical base used and clearly identify all escalation, by year, applied to derive the proposed rates. If computer usage is determined by a rate, identify the basis used and rationale used to derive the rate.

- c) **Material/Equipment:** List all material/equipment items by type and kind with associated costs and advise if the costs are based on vendor quotes, data and/or engineering estimates; provide copies of vendor quotes and/or catalog pricing data.
- d) **Subcontractor Costs:** Submit all subcontractor proposals and analyses with your cost proposal (See FAR 15.404-3(b)). If the subcontractor will not submit cost and pricing information to the offeror, this information must be submitted directly to the Government for analysis. On all subcontracts and interdivisional transfers, provide the method of selection used to determine the subcontractor and the proposed contract type of each subcontract. An explanation shall be provided if the offeror proposes a different amount than that quoted by the subcontractor. The offeror's proposal must:
 - (i) Identify principal items/services to be subcontracted.
 - (ii) Identify prospective subcontractors and the basis on which they were selected. If non-competitive, provide selected source justification.
 - (iii) Identify the type of contractual business arrangement contemplated for the subcontract and provide rationale.
 - (iv) Identify the basis for the subcontract costs (e.g., firm quote or engineering estimate, etc.).
 - (v) Identify the cost or pricing data submitted by the subcontractor.
 - (vi) Provide an analysis of the proposed subcontract in accordance with FAR 15.404-3(b). Provide an analysis concerning the reasonableness, realism and completeness of each subcontractor's proposal. If the analysis is based on comparison with prior prices, identify the basis on which the prior prices were determined to be reasonable. The analysis should include, but not be limited to, an analysis of: materials, labor, travel, other direct costs and proposed profit or fee rates.
- e) **Special Tooling or Test Equipment:** When special tooling, and/or test equipment is proposed, attach a brief description of items and indicate if they are solely for the performance of this particular contract or project and if they are or are not already available in the offeror's existing facilities. Indicate quantities, unit

prices, whether items are to be purchased or fabricated, whether items are of a severable nature and the basis of the price. These items may be included under Direct Material in the summary format.

- f) **Consultants:** When consultants are proposed to be used in the performance of the contract, indicate the specific project or area in which such services are to be used. Identify each consultant, number of hours or days to be used and the consultant's rate per hour or day. State the basis of said rate and give your analysis of the acceptability of the consultant's rate.
- g) **Travel:** Travel costs must be justified and related to the needs of the project. Identify the number of trips, the destination and purpose. Travel costs should be broken out by trip with number of travelers, airfare, per diem, lodging, etc.
- h) **Computer Use:** Detail the amount and kind of computer usage, the cost, and how the costs were derived.
- i) **Facilities Capital Cost of Money:** If Facilities Capital Cost of Money is proposed, a properly executed DD Form 1861 is required.
- j) **Project Funding Profile:** Offerors should include a project funding profile by Government Fiscal Year (GFY) (1 Oct through 30 Sept) for budgetary purposes. This will enable the Government to easily identify program funding needs by GFY.
- k) If an offeror takes exceptions to the requirements Called out in the announcement (e.g., base support, Government-furnished property (GFP), CDRLs), the exceptions should be clearly stated in the cost proposal.
- l) **Forward Pricing Rate Agreements:** Offerors who have forward pricing rate agreements (FPRA's) and forward pricing rate recommendations (FPRR's) should submit them with their proposal.
- m) Cost/Business proposals have no page limitations.

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

V. White Paper / Proposal Review Information

1. **FIRST STEP – White Paper Peer or Scientific Review Criteria:** The Government will review White Papers to determine which of them have the potential to best meet the Air Force's needs based on the following criteria, which are listed in **equal** order of importance:
 - a. Is the technical approach consistent with the technologies listed in the BAA?
 - b. Is the research of interest to the Government?
 - c. Is appropriate funding available?
2. **SECOND STEP – Proposal Peer or Scientific Review Criteria:** Proposals will be reviewed against the criteria listed below. The technical aspect, which is

ranked as the first order of priority, shall be reviewed based on the following criteria that are of **equal** order of importance.

a. Technical:

- (1) Unique and innovative approach proposed to accomplish the technical objectives. New and creative solutions and/or advances in knowledge, understanding, technology, and the state of the art.
- (2) The offeror's understanding of the scope of the technical effort.
- (3) Soundness of the offeror's technical approach.
- (4) The potential for AFRL to transition the research and development deliverables to future Government needs. Any proposed restrictions on technical data or computer software will be considered.
- (5) Availability of qualified technical personnel and their experience with the applicable technologies.
- (6) Availability, from any source, of necessary research, test, laboratory, or shop facilities.

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

3. SECOND STEP / PROPOSAL - Review and Selection Process

a. Categories: Based on the Peer or Scientific Review, proposals will be categorized as Selectable or Not Selectable (see definitions below). The selection of one or more sources for award will be based on the Peer or Scientific Review, as well as importance to agency programs and funding availability.

- (1) **Selectable:** Proposals are recommended for acceptance if sufficient funding is available
- (2) **Not Selectable:** Even if sufficient funding existed, the proposal should not be funded.

Note: The Government reserves the right to award some, all, or none of proposals. When the Government elects to award only a part of a

proposal, the selected part may be categorized as Selectable, though the proposal as a whole may not merit such a categorization.

- b. No other criteria will be used.
- c. Prior to award of a potentially successful offer, the Contracting Officer will make a determination regarding price reasonableness.
- d. As indicated in Section I.5-g above, the Government will conduct a S&T Protection Initial Risk Review only for those proposals categorized as Selectable and selected for funding and negotiations.

VI. Award Administration Information

- 1. **Award Notices:** Offerors will be notified whether their proposal is recommended for award on or about 45 calendar days after submission of their proposal. The notification is not to be construed to mean that any contract or assistance award is assured, as availability of funds and successful negotiations are prerequisites to any award.
- 2. **Administrative and National Policy Requirements:** See Section I.
- 3. **Reporting:** *See I.3.a., CDRLs.*

VII. Other Information

- 1. **Acquisition of Commercial Items:** Based upon market research, the Government is not using the policies contained in Part 12, Acquisition of Commercial Items, in this solicitation. However, interested offerors may identify to the Contracting Officer their interest and capability to satisfy the Government's requirement with a commercial item within 15 days of this notice.
- 2. **Support Contractors:** Only Government employees will participate in Peer or Scientific Reviews. Offerors are advised that employees of commercial firms under contract to the Government may be used to administratively process proposals, monitor contract performance, or perform other administrative duties requiring access to other contractors' proprietary information. These support contracts include nondisclosure agreements prohibiting their contractor employees from disclosing any information submitted by other contractors or using such information for any purpose other than that for which it was furnished.
- 3. **Feedback Sessions:**
 - a. **Contracts:** When requested, a Feedback Session will be provided with content consistent with the procedures that govern BAAs (FAR 35.016). The process will follow the time guidelines outlined in the

award notice described in Paragraph VI.1.

- b. **Assistance Instruments:** When requested, an informal feedback session will be provided. The process will follow the time guidelines outlined in the award notice described in Paragraph VI.1.
4. **Item Unique Identification and Valuation.** It is DoD policy that contractors shall be required to identify the Government's unit acquisition cost for all deliverable end items for which Item Unique Identification applies. Therefore, proposals must clearly break out the unit acquisition cost for any deliverable items. See DFARS 211.274-3, Policy for Valuation, for more information. (Per DoD, "fully burdened unit costs" to the Government would include all direct, indirect, G&A costs, and an appropriate portion of fee). For more information, see the following website:
<http://www.acq.osd.mil/dpap/pdi/uid/index.html>.
5. **Pre-Award Clearance:** Pursuant to FAR 22.805, a pre-award clearance must be obtained from the U.S. Department Of Labor, Employment Standards Administration, Office Of Federal Contract Compliance Program's (OFCCP) prior to award of a contract (or subcontract) of \$10,000,000 or more unless the contractor is listed in OFCCP's National Pre-award Registry https://ofccp.dol-esa.gov/preaward/pa_reg.html. Award may be delayed if you are not currently listed in the registry and the contracting officer must request a pre-award clearance from the OFCCP.
6. **Updates of Publicly Available Information Regarding Responsibility Matters:** Any contract or assistance award that exceeds \$600,000; and when offeror checked "has" in paragraph (b) of the provision FAR 52.209-7, shall contain the clause/article, FAR 52.209-9 "Updates of Publicly Available Information Regarding Responsibility Matters."
7. Offerors are required to submit the completed provision at DFARS 252.215-7009 Proposal Adequacy Checklist with their proposal. (See *Atch. 6*).
8. **White Paper / Proposal Reminders:** You may be ineligible for award if all requirements of this solicitation are not met on the proposal due date.
 - a. **Step One:** White Papers are due to the Contracting POC.
 - b. **Step One:** White Papers are due per individual Call announcement.
 - c. **Step One and Step Two:** White Paper and Proposal page limits are strictly enforced.
 - d. **Step One and Step Two:** White Papers and Proposals must be submitted in the format specified.
 - e. **Step Two:** Proposals are due to the Contracting POC.
 - f. **Step Two:** The Cost/Business Proposal must contain all information described in the Cost/Business Proposal Submission Section.
 - g. **Step Two:** Offerors other than small businesses must include a subcontracting plan.
 - h. **Step Two:** Offerors who have Forward Pricing Rate Agreements (FPRA's)

or Forward Pricing Rate Recommendations (FPRR's) should submit them with their proposal.

- i. **Step Two:** If a DD254 is applicable, offerors must verify their Cognizant Security Office information is current with Defense Counterintelligence and Security Agency (DCSA) at www.dcsa.mil.
- j. **Step Two:** If a Call is subject to export control, offerors must submit a Certified DD Form 2345, Militarily Critical Technical Data Agreement, with proposal.

ATTACHMENTS

List of Attachments:

1. Statement of Objectives (SOO)
2. CDRLs
3. Statement of Work (SOW) Supplemental Requirements
4. Quad Chart Template
5. Statement of Work (SOW) Supplemental Requirements for Assistance Instruments
6. Proposal Adequacy Checklist (if applicable; used when APC is not anticipated)
7. Section K- Representations and Certifications
8. Section L – Instructions, Conditions, and Notices to Offerors
9. Model Contract
10. Model Assistance Instrument
11. Standard Form (SF) 424, Research and Related Senior/Key Person Profile (Expanded) Form
12. Security Program Questionnaire

***Please note: The attachments are for planning and estimating purposes only. Attachments will be tailored to each specific award.**

CONTRACT DATA REQUIREMENTS LIST (1 Data Item)						Form Approved OMB No. 0704-0188			
The public reporting burden for this collection of information is estimated to average 110 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Department of Defense, Executive Services and Communications Directorate (0704-0188). Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number. Please do not return your form to the above organization. Send completed form to the Government Issuing Contracting Officer for the Contract/PR No. listed in Block E.									
A. CONTRACT LINE ITEM NO. 0001		B. EXHIBIT A		C. CATEGORY: TDP _____ TM _____ OTHER _____					
D. SYSTEM/ITEM			E. CONTRACT/PR NO. FA8650-21-C-		F. CONTRACTOR				
1. DATA ITEM NO. A001	2. TITLE OF DATA ITEM SCIENTIFIC AND TECHNICAL REPORTS				3. SUBTITLE Final Report				
4. AUTHORITY (Data Acquisition Document No.) DI-MISC-80711A/T			5. CONTRACT REFERENCE CSOW		6. REQUIRING OFFICE AFRL/RQVS				
7. DD 250 REQ XX	9. DIST STATEMENT REQUIRED	10. FREQUENCY ONE/R		12. DATE OF FIRST SUBMISSION See Block 16*		14. DISTRIBUTION			
8. APP CODE A	C	11. AS OF DATE End of Tech Effort		13. DATE OF SUBSEQUENT SUBMISSION See Block 16*		a. ADDRESSEE	b. COPIES		
						Draft	Final		
							Reg	Repro	
16. REMARKS Block 4: Document format shall minimally conform to guidance described in the attached ANSI-based AFRL Format Guidelines. Include a completed Standard Form (SF) 298. If the Final Report contains data that is being delivered with less-than-unlimited rights, the data shall be appropriately marked within the Final Report. NOTE: When the sensitivity of STINFO in draft and final deliverable documents meets the requirements of Controlled Unclassified Information (CUI) as dictated by EO 13556, "Controlled Unclassified Information," contractors must properly mark pages of their submitted documents with the acronym "CUI" at the top and bottom of each page and include the CUI designation indicator on the title page. BLOCK 9: C: Distribution authorized to US Government agencies and their contractors; 1-15-2021. Refer other requests for this document to AFRL/RQVS. Block 10: The contractor shall deliver the Scientific and Technical Report, in final format, no later than the date specified in the Schedule. USAF will review and, if necessary, return the report with comments no later than the date specified in the Schedule. If the report is returned to the contractor with comments, the contractor shall deliver the publication-ready copy of the report no later than the date... (continued on next page)						AFRL/RQVS	1	1	0
						AFRL/RQON	0	1	0
15. TOTAL						1	2	0	
G. PREPARED BY Thomas J. Spradlin AFRL/RQVS (312) 986-8813			H. DATE 26-JUL-2023		I. APPROVED BY		J. DATE		

17. PRICE GROUP

18. ESTIMATED
TOTAL PRICE

CONTRACT DATA REQUIREMENTS LIST*(1 Data Item)*

A. CONTRACT LINE ITEM NO. 0001	B. EXHIBIT A	C. CATEGORY: TDP _____ TM _____ OTHER _____
D. SYSTEM/ITEM	E. CONTRACT/PR NO. FA8650-21-C-	F. CONTRACTOR

16. REMARKS *(Continued)*

specified in the Schedule.

Block 11: End of Technical Effort.

Block 12. 30 days from Block 11. Approval/disapproval by letter from the Air Force Program Manager within 30 days after receipt. Disapproval requires correction/resubmission within 30 days after receipt of Air Force comments.

The contractor shall deliver a draft of the final report IAW the ANSI-based AFRL Format Guidelines (attached), in editable MS Word format and editable PDF on appropriately labeled CD-ROM or DVD (label to include report title, contract number, CUI markings as required, distribution statement, and any data rights and/or export control notices) via approved postal delivery service, or as an attachment on a secure e-mail or sharing through other secure network systems such as DoD SAFE within 30 calendar days after completion of the technical effort. The AFRL Program Manager will take no more than 30 calendar days after delivery to review the draft final report and return technical and STINFO comments to the contractor. The contractor shall incorporate the combined STINFO and technical comments.

Block 13: End of Contract, 90 days from Block 11. The contractor shall deliver the final version of the report in publication-ready condition within 60 calendar days after the date of the draft submission (date in Block 12). The final report shall be delivered as described in the instruction in Block 12 above.

NOTE: Submittal of DD Form 250Z, Final Receiving Report or WAWF prior to acceptance notification will result in rejection of the Final Receiving Report. Hard date indicating when final tech report is due can be found in Section F in the contract.

The report will be published with the Defense Technical Information center (DTIC) by the AFRL STINFO officer.

Under no circumstances shall the contractor submit any version of the scientific and technical report to DTIC.

CONTRACT DATA REQUIREMENTS LIST (1 Data Item)					Form Approved OMB No. 0704-0188				
The public reporting burden for this collection of information is estimated to average 110 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Department of Defense, Executive Services and Communications Directorate (0704-0188). Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number. Please do not return your form to the above organization. Send completed form to the Government Issuing Contracting Officer for the Contract/PR No. listed in Block E.									
A. CONTRACT LINE ITEM NO. 0001		B. EXHIBIT A		C. CATEGORY: TDP _____ TM _____ OTHER _____					
D. SYSTEM/ITEM			E. CONTRACT/PR NO. FA8650-21-C-		F. CONTRACTOR				
1. DATA ITEM NO. A002	2. TITLE OF DATA ITEM FUNDS AND MAN-HOUR EXPENDITURE REPORT				3. SUBTITLE				
4. AUTHORITY (Data Acquisition Document No.) DI-FNCL-80331A/T			5. CONTRACT REFERENCE CSOW		6. REQUIRING OFFICE AFRL/RQVS				
7. DD 250 REQ LT	9. DIST STATEMENT REQUIRED B	10. FREQUENCY MTHLY		12. DATE OF FIRST SUBMISSION **		14. DISTRIBUTION			
8. APP CODE N/A		11. AS OF DATE *		13. DATE OF SUBSEQUENT SUBMISSION **		a. ADDRESSEE	b. COPIES		
						Draft	Final		
							Reg	Repro	
16. REMARKS Tailored to allow contractor's format. Submit electronically. * At the close of the contractor's monthly accounting period. ** 25 days after Block 11 time. BLOCK 9: B: Distribution authorized to US Government agencies only.						AFRL/RQVS	0	1	0
						AFRL/RQF	0	1	0
						AFRL/RQKPC	0	1	0
						DCMA/ACO	0	1	0
15. TOTAL						0	4	0	
G. PREPARED BY Thomas J. Spradlin AFRL/RQVS (312) 986-8813			H. DATE 26-JUL-2023		I. APPROVED BY		J. DATE		

17. PRICE GROUP

18. ESTIMATED
TOTAL PRICE

CONTRACT DATA REQUIREMENTS LIST (1 Data Item)						Form Approved OMB No. 0704-0188		
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A. CONTRACT LINE ITEM NO. 0001		B. EXHIBIT A		C. CATEGORY: TDP _____ TM _____ OTHER _____				
D. SYSTEM/ITEM			E. CONTRACT/PR NO. FA8650-21-C-		F. CONTRACTOR			
1. DATA ITEM NO. A003	2. TITLE OF DATA ITEM STATUS REPORT				3. SUBTITLE			
4. AUTHORITY (Data Acquisition Document No.) DI-MGMT-80368A/T			5. CONTRACT REFERENCE CSOW		6. REQUIRING OFFICE AFRL/RQVS			
7. DD 250 REQ LT	9. DIST STATEMENT REQUIRED	10. FREQUENCY	12. DATE OF FIRST SUBMISSION		14. DISTRIBUTION			
8. APP CODE		11. AS OF DATE	13. DATE OF SUBSEQUENT SUBMISSION		a. ADDRESSEE	b. COPIES		
						Draft	Final	
						Reg	Repro	
16. REMARKS Tailored to allow contractor's format and to delete para 3.2.3. Submit electronically, except when final report is due to be submitted, then omit this item. * At the close of the contractor's monthly accounting period. ** 25 days after Block 11 time.					AFRL/RQVS	0	1	0
					AFRL/RQKPC	0	1	0
					DCMA/ACO	0	1	0
15. TOTAL					0	3	0	
G. PREPARED BY Thomas J. Spradlin AFRL/RQVS (312) 986-8813			H. DATE 26-JUL-2023	I. APPROVED BY			J. DATE	

17. PRICE GROUP

18. ESTIMATED
TOTAL PRICE

CONTRACT DATA REQUIREMENTS LIST (1 Data Item)						Form Approved OMB No. 0704-0188					
The public reporting burden for this collection of information is estimated to average 110 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Department of Defense, Executive Services and Communications Directorate (0704-0188). Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number. Please do not return your form to the above organization. Send completed form to the Government Issuing Contracting Officer for the Contract/PR No. listed in Block E.											
A. CONTRACT LINE ITEM NO. 0001		B. EXHIBIT A		C. CATEGORY: TDP _____ TM _____ OTHER _____							
D. SYSTEM/ITEM			E. CONTRACT/PR NO. FA8650-21-C-			F. CONTRACTOR					
1. DATA ITEM NO. A004		2. TITLE OF DATA ITEM PRESENTATION MATERIAL				3. SUBTITLE					
4. AUTHORITY (Data Acquisition Document No.) DI-ADMN-81373/T			5. CONTRACT REFERENCE CSOW			6. REQUIRING OFFICE AFRL/RQVS					
7. DD 250 REQ LT	9. DIST STATEMENT REQUIRED C	10. FREQUENCY ASREQ		12. DATE OF FIRST SUBMISSION *		14. DISTRIBUTION					
8. APP CODE N/A		11. AS OF DATE N/A		13. DATE OF SUBSEQUENT SUBMISSION *		a. ADDRESSEE		b. COPIES			
								Draft		Final	
								Reg		Repro	
16. REMARKS Tailored to require only view graphs or hard copy. Submittal of the actual viewgraph is not required if the presentation is computer generated. ASREQ means as required to document topics under discussion at briefings and reviews. * Submit at each briefing or review as appropriate. Maximum # of view graphs shall not exceed 500 for this contract. Submit reproducible on media compatible with MS-Office for Windows. Submit electronically. BLOCK 9: C: Distribution authorized to US Government agencies and their contractors.						AFRL/RQVS		0	1	1	
15. TOTAL →						0	1	1			
G. PREPARED BY Thomas J. Spradlin AFRL/RQVS (312) 986-8813			H. DATE 26-JUL-2023		I. APPROVED BY			J. DATE			

17. PRICE GROUP

18. ESTIMATED
TOTAL PRICE

CONTRACT DATA REQUIREMENTS LIST (1 Data Item)					Form Approved OMB No. 0704-0188				
The public reporting burden for this collection of information is estimated to average 110 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Department of Defense, Executive Services and Communications Directorate (0704-0188). Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number. Please do not return your form to the above organization. Send completed form to the Government Issuing Contracting Officer for the Contract/PR No. listed in Block E.									
A. CONTRACT LINE ITEM NO. 0001		B. EXHIBIT A		C. CATEGORY: TDP _____ TM _____ OTHER _____					
D. SYSTEM/ITEM			E. CONTRACT/PR NO. FA8650-21-C-		F. CONTRACTOR				
1. DATA ITEM NO. A008	2. TITLE OF DATA ITEM TECHNICAL INFORMATION REPORT				3. SUBTITLE SF 424 Update				
4. AUTHORITY (Data Acquisition Document No.) DI-MISC-80652/T			5. CONTRACT REFERENCE CSOW		6. REQUIRING OFFICE AFRL/RQVS				
7. DD 250 REQ LT	9. DIST STATEMENT REQUIRED C	10. FREQUENCY ANNLY		12. DATE OF FIRST SUBMISSION *		14. DISTRIBUTION			
8. APP CODE N/A		11. AS OF DATE Contract Award		13. DATE OF SUBSEQUENT SUBMISSION ** R/ASR		a. ADDRESSEE	b. COPIES		
						Draft	Final		
							Reg	Repro	
16. REMARKS Tailored to allow for actual standard Form 424 Research and Related Senior Key Person Profile is preferred or Contractor Format is acceptable. Submit electronically in Microsoft Office Suite compatible format, PDF, or RTF as coordinated with the COTR. For email delivery include the contract number in the subject line. Provide update and supplements to this document as appropriate during the period of performance. Identify changes from previous versions. Permanent change pages shall conform to the requirements, quality, style and format of the basic documentation. * 30 days after Block 11. ** Every 12 months after Block 12 through out the technical effort. R/ASR means revisions as required to keep the SF24 up to date, make changes or corrections; submit revisions as generated. Submit classified Data (up to and including SECRET) via the SIPRNET or as coordinated with the requiring office. Submit Export Controlled Data as coordinated with the coordinating with the requiring office. BLOCK 9: C: Distribution authorized to US Government agencies and their contractors.						AFRL/RQVS	0	1	0
						AFRL/RQ/Securit	0	1	0
						y			
15. TOTAL						0	2	0	
G. PREPARED BY Thomas J. Spradlin AFRL/RQVS (312) 986-8813			H. DATE 26-JUL-2023		I. APPROVED BY		J. DATE		

17. PRICE GROUP

18. ESTIMATED
TOTAL PRICE

INSTRUCTIONS FOR COMPLETING DD FORM 1423

(See DoD 5010.12-M for detailed instructions.)

FOR GOVERNMENT PERSONNEL

Item A. Self-explanatory.

Item B. Self-explanatory.

Item C. Mark (X) appropriate category: TDP - Technical Data Package; TM - Technical Manual; Other - other category of data, such as "Provisioning," "Configuration Management," etc.

Item D. Enter name of system/item being acquired that data will support.

Item E. Self-explanatory (to be filled in after contract award).

Item F. Self-explanatory (to be filled in after contract award).

Item G. Signature of preparer of CDRL.

Item H. Date CDRL was prepared.

Item I. Signature of CDRL approval authority.

Item J. Date CDRL was approved.

Item 1. See DoD FAR Supplement Subpart 4.71 for proper numbering.

Item 2. Enter title as it appears on data acquisition document cited in Item 4.

Item 3. Enter subtitle of data item for further definition of data item (optional entry).

Item 4. Enter Data Item Description (DID) number, military specification number, or military standard number listed in DoD 5010.12-L (AMSDL), or one-time DID number, that defines data content and format requirements.

Item 5. Enter reference to tasking in contract that generates requirement for the data item (e.g., Statement of Work paragraph number).

Item 6. Enter technical office responsible for ensuring adequacy of the data item.

Item 7. Specify requirement for inspection/acceptance of the data item by the Government.

Item 8. Specify requirement for approval of a draft before preparation of the final data item.

Item 9. For technical data, specify requirement for contractor to mark the appropriate distribution statement on the data (ref. DoDD 5230.24).

Item 10. Specify number of times data items are to be delivered.

Item 11. Specify as-of date of data item, when applicable.

Item 12. Specify when first submittal is required.

Item 13. Specify when subsequent submittals are required, when applicable.

Item 14. Enter addressees and number of draft/final copies to be delivered to each addressee. Explain reproducible copies in Item 16.

Item 15. Enter total number of draft/final copies to be delivered.

Item 16. Use for additional/clarifying information for Items 1 through 15. Examples are: Tailoring of documents cited in Item 4; Clarification of submittal dates in Items 12 and 13; Explanation of reproducible copies in Item 14.; Desired medium for delivery of the data item.

FOR THE CONTRACTOR

Item 17. Specify appropriate price group from one of the following groups of effort in developing estimated prices for each data item listed on the DD Form 1423.

a. Group I. Definition - Data which is not otherwise essential to the contractor's performance of the primary contracted effort (production, development, testing, and administration) but which is required by DD Form 1423.

Estimated Price - Costs to be included under Group I are those applicable to preparing and assembling the data item in conformance with Government requirements, and the administration and other expenses related to reproducing and delivering such data items to the Government.

b. Group II. Definition - Data which is essential to the performance of the primary contracted effort but the contractor is required to perform additional work to conform to Government requirements with regard to depth of content, format, frequency of submittal, preparation, control, or quality of the data item.

Estimated Price - Costs to be included under Group II are those incurred over and above the cost of the essential data item without conforming to Government requirements, and the administrative and other expenses related to reproducing and delivering such data item to the Government.

c. Group III. Definition - Data which the contractor must develop for his internal use in performance of the primary contracted effort and does not require any substantial change to conform to Government requirements with regard to depth of content, format, frequency of submittal, preparation, control, and quality of the data item.

Estimated Price - Costs to be included under Group III are the administrative and other expenses related to reproducing and delivering such data item to the Government.

d. Group IV. Definition - Data which is developed by the contractor as part of his normal operating procedures and his effort in supplying these data to the Government is minimal.

Estimated Price - Group IV items should normally be shown on the DD Form 1423 at no cost.

Item 18. For each data item, enter an amount equal to that portion of the total price which is estimated to be attributable to the production or development for the Government of that item of data.

These estimated data prices shall be developed only from those costs which will be incurred as a direct result of the requirement to supply the data, over and above those costs which would otherwise be incurred in performance of the contract if no data were required. The estimated data prices shall not include any amount for rights in data. The Government's right to use the data shall be governed by the pertinent provisions of the contract.

Statement of Work (SOW)

Supplemental Requirements (AFRL/PZL)

26 January 2021

The following paragraphs are also considered be a part of the SOW/PWS requirements and the Contractor is responsible for compliance to the same extent as the rest of the SOW/PWS.

1. Implementation of Disclosure of Information - In order to comply with DFARS 252.204-7000, Disclosure of Information, the following copies of the information to be released are required at least 50 days prior to the scheduled release date:
 - (a) One copy(ies) to: Contracting Officer
 - (b) One copy(ies) to: Program Manager
2. Communications Security (COMSEC) Monitoring - All communications with DoD organizations are subject to Communications Security (COMSEC) review. Contractor personnel will be aware that telecommunications networks are continually subject to interception by unfriendly intelligence organizations. The DoD has authorized the military departments to conduct COMSEC monitoring and recording of telephone calls originating from or terminating at DoD organizations. Therefore civilian contractor personnel are advised that any time they place a call to or receive a call from a USAF organization they are subject to COMSEC procedures. The Contractor will assume the responsibility for ensuring wide and frequent dissemination of the above information to all employees dealing with official DoD information.
3. The contractor shall submit all Controlled Unclassified Information (documents designated as FOR OFFICIAL USE ONLY, ITAR, limited distribution etc.) by one of the following controlled means by using either USPS mail or electronically via Safe Access File Exchange (SAFE) website, DOD encryption wizard (<https://spi.dod.mil/ewizard.htm>) or obtaining a DOD approved PKI cert (<http://www.identrust.com/certificates/eca/index.html> or <http://www.eca.orc.com/>) and sending the information via encrypted email.

4. Key Positions and Minimum Qualifications

(a) Contractor personnel holding the position titles and having the qualifications listed below are considered essential to the work being performed under this contract:

Key Positions: (list by job title) and/or experience)	Minimum Qualifications: (list minimum qualifications in terms of education
_____	_____
_____	_____
_____	_____

(b) The contractor shall notify the contracting officer before the departure of any individual in a key position and identify the proposed substitution. Any proposed personnel substitution that does not meet the minimum qualification requirements described above requires the prior written approval of the contracting officer.

5. Packaging and Marking

(a) All hardware deliverable contract items shall be packaged in accordance with established commercial practices.

(b) When special delivery and/or handling instructions are required, all boxes and/or crates must contain the following statement in plain sight and in bold letters: **INSTRUCTION TO RECEIVING OFFICE - DO NOT OPEN; CONTENTS ARE SENSITIVE TO DAMAGE WHEN IMPROPERLY OPENED OR HANDLED. CONTACT THE RESPONSIBLE TECHNICAL PROJECT OFFICER IMMEDIATELY UPON RECEIPT. CONTACT: TBD**

6. Program Manager – The Government Program Manager for this effort is TBD.

7. Program Focal Points – The individuals listed below are identified as focal points for this contract. Principal Investigator: TBD; Technical Contract Manager: TBD; Alternate: TBD.

8. Base Support - Base support may be provided by the Government to the Contractor in accordance with this SOW.

(a) The Contractor will require use of base support on a rent-free, non-interference basis to include Government-controlled working space, material, equipment, services (including automatic data

processing), or other support (excluding use of the Defense Switched Network (DSN)) which the Government determines can be made available at, or through, any Air Force installation where this contract shall be performed.

- (b) Unless otherwise stipulated in the contract schedule, the Contractor will use base support on a no-charge-for-use basis and the value shall be a part of the Government's contract consideration.
- (c) The Contractor will immediately report (with a copy to the cognizant CAO) inadequacies, defective base support, or non-availability of support stipulated by the contract schedule, together with a recommended plan for obtaining the required support. Facilities are not be purchased under this contract by the Contractor. Additionally, the Contractor (or authorized representative) will not purchase, or otherwise furnish any base support requirement provided by the SOW/PWS (or authorize others to do so), without prior written approval of the Contracting Officer regarding the price, terms, and conditions of the proposed purchase, or approval of other arrangements.
- (d) Following are installations where base support will be provided: **(Building 65, WPAFB, OH 45433)**.
- (e) The base support to be furnished under this contract is **(working space, phones, network access, material, equipment, services, or other support in the performance of this effort)**. Because of the nature and location(s) of the work performed, the value of such support is undeterminable. The Contractor is not authorized to incur any costs resulting from nonsupport prior to Contracting Officer direction.
- (f) In the performance of this contract or any major subcontract, no direct or indirect costs for support will be incurred if the Government determines that support is available at, or through any Air Force Installation where this contract shall be performed.

9. Implementation of Patent Rights Clause –

- (a) "Interim or Final Invention Reports 1) listing the subject invention(s) and stating that all subject inventions have been disclosed, or 2) stating that there are no such inventions, shall be sent to both the Administrative Contracting Officer (insert "at the address located on the face of the contract" or name and address for the ACO) and to _____ (insert contact information, name/or position title, email, and phone number for person(s) at the procuring contract office who performs patent administration) within the timeframes specified in the Patent Rights clause of this contract.
- (b) Contractors are highly encouraged to use DD Form 882, Report of Invention and Subcontracts, to submit these reports. The DD Form 882 may also be used for the notification of an award of any subcontract(s) for experimental, developmental or research work which contain a "Patent Rights" clause.
- (c) All other notifications required by the contract shall also be sent to the addresses in paragraph (a). This provision also constitutes the request for the following information for any subject invention for which the contractor has retained ownership (1) the filing date, (2) serial number and title, (3) a copy of the patent application, and (4) patent number and issue date. Submittal shall be to (insert contact information for person(s) at the procuring contract office who will handle patent administration, e.g., name and/or position, email, phone numbers, etc.).

10. Information Regarding Non-US Citizens Assigned to this Project –

- (a) Contractor employees requiring access to USAF bases, AFRL facilities, and/or access to U.S. Government Information Technology (IT) networks in connection with the work on this contract must be U.S. citizens. For the purpose of base and network access, possession of a permanent resident card (“Green Card”) does not equate to U.S. citizenship. This requirement does not apply to foreign nationals approved by the U.S. Department of Defense or U.S. State Department under international personnel exchange agreements with foreign governments. It also does not apply to dual citizens who possess US citizenship, to include Naturalized citizens. Any waivers to this requirement must be granted in writing by the Contracting Officer prior to providing access. Specific format for waiver request will be provided upon request to the Contracting Officer. The above requirements are in addition to any other contract requirements related to obtaining a Common Access Card (CAC).
- (b) For purposes of paragraph (a) above, if an IT network/system does not require AFRL to endorse a contractor’s application to said network/system in order to gain access, the organization operating the IT network/system is responsible for controlling access to its system. If an IT network/system requires an U.S. Government sponsor to endorse the application in order for access to the IT network/system; AFRL will only endorse the following types of applications; consistent with the requirements above:

- (1) Contractor employees who are U.S. citizens performing work under this contract.
- (2) Contractor employees who are non-U.S. citizens and who have been granted a waiver.

Any additional access restrictions established by the IT network/system owner apply.

11. Fundamental Research -

Pursuant to DFARS 252.204-7000, Disclosure of Information, the exception allowing release in Paragraph (a)(3) is applicable to Statement of Work section(s)/task(s) _____, only as long as the work remains in the public domain, or is considered fundamental research and not sensitive or inappropriate for public release. Any time work progresses to the non-public domain, exceeds the scope of fundamental research, or you have reason to believe the work has become sensitive or inappropriate for release to the public, then this exception no longer applies.

12. Science and Technology (S&T) Protection:

The requirements below are in accordance with Air Force Research Laboratory Instruction (AFRLI) 61-113,

“Science and Technology (S&T) Protection for the Air Force Research Laboratory”.

- a. Initial/Annual/New SF 424, Research and Related Senior/Key Person Profile (Expanded) Form,

Requirement: In accordance with CDRL A030, the Contractor shall provide an SF 424 with the following information:

- 1) an initial report of all Senior/Key Personnel at the time of award;
- 2) an annual report of all Senior/Key Personnel providing support; and
- 3) a report for any new Senior/Key Personnel who join the contract, agreement, grant, or OT. Any updated SF 424s for new Senior/Key Personnel supporting the award require coordination from the Government prior to the Contractor employee receiving access to S&T information.

Statement of Work (SOW)

Supplemental Requirements for Assistance Instruments (AFRL/PZL)

The following paragraphs are also considered be a part of the SOW requirements and the Contractor is responsible for compliance to the same extent as the rest of the SOW.

I. Science and Technology (S&T) Protection: The requirements below are in accordance with Air Force Research Laboratory Instruction (AFRLI) 61-113, "*Science and Technology (S&T) Protection for the Air Force Research Laboratory*".

- a. Initial/Annual/New SF 424, Research and Related Senior/Key Person Profile (Expanded) Form, Requirement: The Contractor shall provide an SF 424 with the following information:
 - i. Initial SF 424: An initial report of all Senior/Key Personnel at the time of award. This form is required with proposal submission.
 - ii. Annual SF 424: An annual report of all Senior/Key Personnel providing support. The first submission is due 30 days after 12 months after receipt of award. Subsequent submissions are due every 12 months after first annual submission, and throughout the technical effort.
 - iii. New/Revised SF424: A report for any new Senior/Key Personnel who join the contract, agreement, grant, or OT. Any updated SF 424s for new Senior/Key Personnel supporting the award require coordination from the Government prior to the contractor employee receiving access to S&T information. These reports are required to provide updates and supplements to the SF 424 as appropriate during the period of performance. Identify changes from previous versions. Permanent change pages shall conform to the requirements, quality, style, and format of the basic documentation.

Submission: Annual and Revised SF 424s shall be submitted electronically in Microsoft Office Suite compatible format, PDG, or RTF as coordinated with the Air Force Program Manager. For email delivery, include the award number in the subject line. The recipient shall submit one copy of the SF 424 to:

- (1) AFRL Program Manager
- (2) AFRL/XX Security

Note: Submit classified Data (up to and including SECRET) via the SIPRNET or as coordinated with the requiring office. Submit Export Controlled Data as coordinated with the requiring office.

Note: Submit electronically. Electronic submittals shall be encrypted or password protected.

Mark all data delivered with the following Distribution Statement: Distribution authorized to XXXXX.

NOTE to PCO/Buyer: If the specific effort is covered by an S&T protection plan (identified by the PM) the following paragraph is applicable.

- b. **S&T Protection Plan Requirement:** The Recipient shall support the USG in the planning, development, and implementation of the S&T Protection Plan as required and adhere to the S&T Protection Plan in the course of executing this requirement, incorporating any previous planning conducted on the baseline system. The Recipient shall adhere to and be compliant with the guidance established in the S&T Protection Plan found at Attachment XX.

II. System Award Management: To apply for grants and other funding opportunities the applicant entity must be registered in the System for Award Management (SAM). Proposals will not be accepted through Grants.gov or other methods unless the entity is registered in SAM.

III. Certifications:

1. **SAM:** SAM is now the central repository for common Government-wide financial assistance certifications and representations. Registration in SAM now includes the acceptance of Certifications and Assurances. SAM may be accessed at: <https://sam.gov/content/home> The Financial Assistance Certifications Report is an attestation that the entity will abide by the requirements of the various laws and regulations; therefore, as applicable, you are still required to submit any documentation, including the SF LLL Disclosure of Lobbying Activities (if applicable), and informing DoD of unpaid delinquent tax liability or a felony conviction under any Federal law.
(Note: Grant offices should include any other requirements, such as IRB certifications.)
2. *Note to Agreements/Grants Officer: In the rare event that additional certification(s) or representation(s) are required (beyond those identified in SAM) due to law or regulations, specific DoD program needs, or as necessary to conduct business, you may add them as warranted by adding them as an attachment to the funding opportunity. For example, this will likely be necessary for Title III programs. If doing so, add the following statement here, or preface the Certification(s) or Representation(s) Attachment with the following statement: “This program contains unique certifications and representations not identified in the SAM repository and are included as an attachment to this funding opportunity. By checking “I Agree” on the SF 424 Block 21 or the SF 424 (R&R) block 17 you agree to abide by the following statement: By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent*

statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)”

IV. Grants.gov: If you are submitting an assistance instrument proposal, you may do so electronically through Grants.gov, in addition to submitting in accordance with BAA Section IV Paragraph 2.a.iv., but you are not required to submit via Grants.gov. *(The CO may request an email from the offeror be submitted notifying the Contracting POC when a proposal is submitted electronically via Grants.gov.)* The application submission and receipt instructions follow below. Read the following instructions carefully and completely:

1. Electronic Delivery

DoD is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. Applicants may submit their applications online through Grants.gov in accordance with the BAA.

2. How to Register to Apply through Grants.gov

- a. Instructions: Read the instructions below about registering to apply for funds under this BAA. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

The registration process can take up to four weeks to complete. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required application submission deadlines.

If individual applicants are eligible to apply for this grant funding opportunity, refer to:

<https://www.grants.gov/web/grants/applicants/registration.html>

Organization applicants can find complete instructions here:

<https://www.grants.gov/web/grants/applicants/organization-registration.html>

- (1) *Obtain a DUNS Number:* All entities applying for funding, including renewal funding, must have a Data Universal Numbering System (DUNS) number from Dun & Bradstreet (D&B). Applicants must enter the DUNS number in the data entry field labeled "Organizational DUNS" on the SF-424 form.

For more detailed instructions for obtaining a DUNS number, refer to:

<https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

- (2) *Register with SAM*: In addition to having a DUNS number, organizations applying online through Grants.gov (or otherwise) must register with the System for Award Management (SAM).

For more detailed instructions for registering with SAM, refer to:

<https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>

- (3) *Create a Grants.gov Account*: The next step in the registration process is to create an account with Grants.gov. Applicants must know their organization's DUNS number to complete this process. Completing this process automatically triggers an email request for applicant roles to the organization's E-Business Point of Contact (EBiz POC) for review. The EBiz POC is a representative from your organization who is the contact listed for SAM. To apply for grants on behalf of your organization, you will need the Authorized Organizational Representative (AOR) role.

For more detailed instructions about creating a profile on Grants.gov, refer to:

<https://www.grants.gov/web/grants/applicants/registration/add-profile.html>

- (4) *Authorize Grants.gov Roles*: After creating an account on Grants.gov, the EBiz POC receives an email notifying them of your registration and request for roles. The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the AOR role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been approved as an AOR.

- b. *Electronic Signature*: When applications are submitted through Grants.gov, the name of the organization's AOR that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC **must** authorize individuals who are able to make legally binding commitments on behalf of the organization as an AOR; **this step is often missed and it is crucial for valid and timely submissions.**

3. How to Submit an Application via Grants.gov

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different webforms within an application. For each BAA, you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to:

<https://www.grants.gov/web/grants/applicants/apply-for-grants.html>

- a. *Create a Workspace*: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
- b. *Complete a Workspace*: Add participants to the workspace, complete all the required forms, and check for errors before submission.

(1) *Adobe Reader*: If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace so that they will appear similar to other Standard forms. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at:

<https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

(2) *Mandatory Fields in Forms*: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.

(3) *Complete SF-424 Fields First*: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS number. To trigger this feature, an applicant must complete the SF-424 information first. Once it is completed, the information will transfer to the other forms.

- c. *Submit an Application via Workspace*: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.
- d. *Track an Application via Workspace*: After successfully submitting a workspace package, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the package. The number will be listed on the Confirmation page that is generated after submission.

For additional training resources, including video tutorials, refer to:

<https://www.grants.gov/web/grants/applicants/applicant-training.html>

Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. For questions related to the specific grant opportunity, contact the number listed in the application package of the grant you are applying for.

If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number. The Support Center ticket number will assist the DoD with tracking your issue and understanding background information on the issue.

4. Timely Receipt Requirements and Proof of Timely Submission

- a. *Online Submission.* All applications must be received by the due date established for each program. Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time stamp is generated within the system when the application is successfully received by Grants.gov. The applicant AOR will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. Applicant AORs will also receive the official date/time stamp and Grants.gov Tracking number in an email serving as proof of their timely submission.

When the application is successfully retrieved from Grants.gov, and the download of submissions is acknowledged, Grants.gov will provide an electronic acknowledgment of receipt of the application to the email address of the applicant with the AOR role. Again, proof of timely submission shall be the official date and time that Grants.gov receives your application. Applications received by Grants.gov after the established due date for the program will be considered late and will not be considered for funding.

Applicants using slow internet, such as dial-up connections, should be aware that transmission can take some time before Grants.gov receives your application. Again, Grants.gov will provide either an error or a successfully received transmission in the form of an email sent to the applicant with the AOR role. The Grants.gov Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. Please be patient and give the system time to process the application.

- V. **Assistance Opportunity:** Go to <https://www.grants.gov/web/grants/search-grants.html> to find the opportunity. Instructions are provided at <http://www.grants.gov/web/grants/applicants/apply-for-grants.html>

RESEARCH & RELATED Senior/Key Person Profile (Expanded)

OMB Number: 4040-0001
Expiration Date: 11/30/2025

PROFILE - Project Director/Principal Investigator

Prefix:	<input type="text"/>	* First Name:	<input type="text"/>	Middle Name:	<input type="text"/>
* Last Name:	<input type="text"/>	Suffix:	<input type="text"/>		
Position/Title:	<input type="text"/>				
Department:	<input type="text"/>				
Organization Name:	<input type="text"/>				
Division:	<input type="text"/>				
* Street1:	<input type="text"/>				
Street2:	<input type="text"/>				
* City:	<input type="text"/>	County/ Parish:	<input type="text"/>		
* State:	<input type="text"/>	Province:	<input type="text"/>		
* Country:	<input type="text" value="USA: UNITED STATES"/>		* Zip / Postal Code:	<input type="text"/>	
* Phone Number:	<input type="text"/>	Fax Number:	<input type="text"/>		
* E-Mail:	<input type="text"/>				
Credential, e.g., agency login:	<input type="text"/>				
* Project Role:	<input type="text" value="PD/PI"/>	Other Project Role Category:	<input type="text"/>		
Degree Type:	<input type="text"/>				
Degree Year:	<input type="text"/>				
*Attach Biographical Sketch	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment	
Attach Current & Pending Support	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment	

PROFILE - Senior/Key Person 1

Prefix:	<input type="text"/>	* First Name:	<input type="text"/>	Middle Name:	<input type="text"/>
* Last Name:	<input type="text"/>	Suffix:	<input type="text"/>		
Position/Title:	<input type="text"/>				
Department:	<input type="text"/>				
Organization Name:	<input type="text"/>				
Division:	<input type="text"/>				
* Street1:	<input type="text"/>				
Street2:	<input type="text"/>				
* City:	<input type="text"/>	County/ Parish:	<input type="text"/>		
* State:	<input type="text"/>	Province:	<input type="text"/>		
* Country:	<input type="text" value="USA: UNITED STATES"/>		* Zip / Postal Code:	<input type="text"/>	
* Phone Number:	<input type="text"/>	Fax Number:	<input type="text"/>		
* E-Mail:	<input type="text"/>				
Credential, e.g., agency login:	<input type="text"/>				
* Project Role:	<input type="text"/>	Other Project Role Category:	<input type="text"/>		
Degree Type:	<input type="text"/>				
Degree Year:	<input type="text"/>				
Attach Biographical Sketch	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment	
Attach Current & Pending Support	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment	

Delete Entry

Next Person

To ensure proper performance of this form; after adding 20 additional Senior/ Key Persons; please save your application, close the Adobe Reader, and reopen it.

SECURITY PROGRAM QUESTIONNAIRE

Objective: This questionnaire is used to review the security program and practices of the institutions receiving research funding.

Intended Audience/User: Completed by collaborators; reviewed by S&T Protection Lead.

Date Submitted: _____

Applicant Name: _____

CAGE Code/SCL and level (if applicable): _____

Completed by Name: _____

Position/Title: _____

1. What are your physical security plans?
2. What information security processes are in place?
3. Where will information for this effort be stored? (examples: computers, cloud, file cabinets, etc.)
4. What procedures are in place for transmission/transportation of information for this effort?
5. What procedures are in place for disposal and destruction of information for this effort?
6. What procedures are in place for reproduction of information for this effort?
7. What safeguards are in place for personnel who can access information for this effort?
8. What is the plan for safeguarding GFE/GFI?
9. What procedures are in place for cybersecurity or network protection?
10. What operations security processes are in place to prevent adversaries' access to information for this effort or actions that would compromise your projects?
11. What processes are in place to deter, detect, and mitigate actions of insider threat?
12. What procedures are in place to handle if information for this effort is compromised?
13. Are you willing to provide AFRL S&T Protection training to all personnel with access annually?

Additional comments: