

BROAD AGENCY ANNOUNCEMENT

I. General Information

- a. Requiring Agency Name:** United States Air Force Academy (USAFA) in support of the Project on Advanced Systems and Concepts for Countering Weapons of Mass Destruction (PASCC)
- b. Funding Opportunity Number:** USAFA-PASCC-BAA-2016
- c. Funding Opportunity Title:** Project on Advanced Systems and Concepts for Countering Weapons of Mass Destruction
- d. Types of Instruments Awarded:** Fundamental research and development contracts, grants and cooperative agreements
- e. Announcement Type:** Amendment 0002 to Initial Announcement
- f. Catalog of Federal Domestic Assistance (CFDA) Numbers:** 12.800
- g. Catalog of Federal Domestic Assistance (CFDA) Titles:** Air Force Defense Research Sciences Program
- h. Opportunity Description:** The United States Air Force's Institute for National Security Studies (INSS) in partnership with the PASCC is announcing to business and academia the intent to solicit research white papers and proposals for Department of Defense (DoD) research efforts through this Broad Agency Announcement (BAA). This strategy provides USAFA an acquisition tool to support the USAFA/PASCC efforts with the flexibility to solicit proposals and make awards supporting research efforts to meet present and future DoD research needs as emerging threat issues are identified. USAFA invites white papers and proposals for research in many broad areas.

USAFA is seeking unclassified research white papers and proposals that do not contain proprietary information. Requests for white papers/proposals are also transmitted via calls which may be published separately from the BAA at various times during the open period of the BAA.

At this time, it is anticipated awards will be made in the form of grants, cooperative agreements or contracts. USAFA reserves the right to select and fund for award all, some, or none of the white papers and/or proposals in response to this announcement. All awards are contingent upon funds availability for the program areas identified. Unless specifically indicated in a Request for Proposal (RFP) or a call, cost sharing is permitted and encouraged, but not required; however, please be mindful that the Government may not accept volunteer services, and any contribution to the Federal award must be recognized as either Government or Non-Federal Entity (NFE) share. This announcement will remain open until replaced by a successor BAA or until it is cancelled. White papers and proposals may be submitted at any time.

USAFA will not issue paper copies of this announcement. The costs of white papers and/or complete proposals in response to this BAA are not considered an allowable direct charge to any award resulting from this BAA or any other award. Technical and cost proposals, or any other material, submitted in response to this BAA will not be returned.

Awards based on responses to this BAA are considered to be the result of full and open competition. This publication constitutes a BAA as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and the DoD Grants and Agreements Regulation (DoDGARs) Subpart 22.315(a).

Interested offerors should be alert for any BAA amendments, calls, or other changes to the requirements of this BAA. Amendments to and/or calls on this BAA will be posted to Grants.gov and the FedBizOpps.gov websites and published when they occur; interested parties are encouraged to periodically check these websites for updates and amendments.

- i. **Response Date:** This announcement remains open until superseded. White papers and proposals are reviewed and evaluated as they are received and may be submitted at any time; however, there is an initial preference for white papers over full applications/proposals. The white paper submission process is discussed in section IV of this BAA. Proposals will be due according to specific instructions contained in a separate RFP notice resulting from favorable white paper evaluations or calls issued against this BAA. Calls may be placed against this BAA and specific information related to due dates will be provided in each call. The calls may also include specific terms which apply to the call such as further technical details, cut-off date for white paper and/or proposal submission and any pertinent clauses. Proposals or white papers submitted in response to calls should be submitted according to directions contained within each individual call and in accordance with (IAW) this BAA. Late bid and proposal provisions IAW Federal Acquisitions Regulations (FAR) 52.215- 1(c)(3)) will apply to this BAA.
- j. **Research Areas:** This BAA's primary objective is to attract outstanding researchers and scholars who will investigate topics of interest to the security studies community. Investigations and research will focus on expanding knowledge related to countering weapons of mass destruction and weapons of mass effect (WMD/WME). The program solicits innovative proposals for research on WMD/WME counterproliferation, nonproliferation, and strategy to be conducted during the 2016-2021 timeframe.

In this BAA, the phrase "security studies research" refers to investigations in all disciplines, fields, and domains that (1) are involved in expanding knowledge for national defense, and (2) could potentially improve policy and international relations for combating WMD/WME. Disciplines include, but are not limited to: political science, sociology, history, biology, chemistry, physics, economics, homeland defense, and public policy.

In addition, specific research and dialogues of particular interest are:

- i. Emerging and Future WMD/WME Threats
- ii. Deterrence, Assurance, and Stability
- iii. Countering WMD Proliferation
- iv. Regulation, Prevention, and Denial of WMD by International Agreements and Cooperative Threat Reduction (CTR) Initiatives
- v. Countering WMD/WME
- vi. Rapid Capability Delivery
- vii. Counter Improvised Threats.

Strategic dialogues (Track II dialogues) provide a comparative authoritative analysis of complex and sensitive issues. This analysis, in addition to its direct contribution to the body of knowledge of the topics addressed, serves a framing function for subsequent formal diplomacy, as well as for follow-on research better set within the context of the topics. Dialogues of this nature fit within the fundamental research realm.

Please note that PASCC does not fund training or studies aimed at the development of new technologies. Issues related to conventional forms of terrorism, and topics whose primary focus is on cyber security, are also out of its purview.

- k. Background:** From the start of the program through early Fiscal Year (FY) 16, PASCC was managed and housed at the Naval Postgraduate School's (NPS) Center on Contemporary Conflict (CCC). The CCC is the research wing of the Department of National Security Affairs (NSA) and specializes in the study of international relations, security policy, and regional studies. The CCC previously hosted and organized international seminars, Track II dialogues, and stability exercises that bring critical players together for an open exchange and debate of ideas and formulation of recommendations.

PASCC was founded in May 2011 with support from the Defense Threat Reduction Agency (DTRA). Prior BAAs have been posted and administered by the Contracting Office of Naval Supply Fleet Logistics Center San Diego (NAVSUP FLC SD). The USAFA-PASCC-BAA-2016 announcement replaces previous versions issued by NAVSUP FLC SD. Historically, in each of the last two annual cycles, PASCC has received approximately 100 white papers and selected an average of 25 projects for funding against the USAFA BAA posting. Previous PASCC reports and project summaries are available online at www.nps.edu/Academics/Centers/CCC/Research/PASCC.html.

One of PASCC's primary objectives is to broaden the reach of its sponsored research. To that end, it supports research by and disseminates findings to multiple communities of interest. PASCC supports research activities that benefit the public through analysis and engagement to reduce and counter the threats posed by WMD/WME. PASCC cultivates national and international strategic research-community partnerships across domains. Selected projects bring scientific, technical, and social science faculty/experts together to look well into the future and help understand and anticipate WMD/WME capabilities. The goal, therefore, is to address WMD/WME existent and emerging capabilities and counter those future threats and challenges.

The USAFA will manage and execute the objectives of the PASCC effective as a result of this BAA posting. USAFA will facilitate the BAA and manage the ultimate goal of the research performed by providing research opportunities for essential faculty development, cadets, when possible, and the research community at large. In addition, at USAFA we strive to conduct research to enhance the ability of the Air Force and DoD to perform their missions.

PASCC is guided by a Senior Steering Group (SSG) that includes U.S. Government, State Department, DTRA, NPS representatives and leaders, the USAFA Technical POC, and occasionally the academic community. The SSG meets annually to assist the PASCC Director in establishing annual and long-range planning.

- l. Point(s) of Contact:** The specific points of contact for this announcement are listed below:

Government Technical POC:

Dr. James Smith
Director, USAF Institute of National Security Studies
Email: James.Smith@usafa.edu

Contracting/General Business POC:

Ms. Erica Wilson
Contract, Grants and Agreements Officer

US Air Force Academy

Any questions regarding this announcement shall be routed through the Contracting Office PASCC email address at 10CONS.PASCC@us.af.mil. All questions shall be submitted in writing by email. Amendments to this BAA will be posted to the following webpages:

- Grants.gov <http://www.grants.gov>
- Federal Business Opportunities <https://www.fbo.gov>

m. Type, Value and Award Information:

- i. The Government anticipates the award of grants, cooperative agreements and/or contracts under this BAA. Offerors should familiarize themselves with these instrument types and the applicable regulations before submitting a proposal. Please reference 2 Code of Federal Regulations (CFR) 200.22 Contract, 2 CFR 200.24 Cooperative agreement and 2 CFR 200.51 Grant agreement for descriptions of each.
- ii. USAFA estimates approximately \$3.5 to \$4 million per year will be available to make PASCC-approved awards. This information is only an estimate and does not obligate the Government in any way. Estimated funding amounts may increase or decrease at any time based on current and future appropriations.
- iii. It is anticipated that the cumulative amount for awards issued under this BAA will not exceed \$25 million. The amount of resources made available to this BAA will depend on the quality of the proposals received and the funds availability.
- iv. One-half of PASCC funding is normally provided to research projects and one-half devoted to strategic dialogues (Track II meetings). Applicants are encouraged to propose projects for either or both categories. Research projects are typically funded at levels between \$50,000 and \$150,000. The strategic dialogues aim at answering research questions by bringing together U.S. experts and (sometimes) officials with counterparts from foreign countries to discuss WMD/WME related concerns and/or threats to strategic stability. The research questions answered at these meetings fits within the fundamental/applied research realm, and reports are generated from the answers developed. Strategic dialogues are typically funded at levels between \$125,000 and \$225,000.
- v. Awards written against this BAA will be governed by the guidance in 2 CFR part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards," as modified and supplemented by the DoD's interim implementation found at 2 CFR 1103, "Interim Grants and Cooperative Agreements Implementation of Guidance in 2 CFR part 200", which also defers to the DoDGARS.

- n. Other Background Information:** PASCC supports fundamental research IAW DoD Instructions 5230.24 and 5230.27 in a DoD assistance/contract context, with grants that are historically funded by Budget Activity 6.2 (Applied Research).

FAR Part 35 restricts the use of BAAs, such as this, to the acquisition of basic and applied research and that portion of advanced technology development not related to the development of a specific system or hardware procurement. Contracts and grants and other assistance agreements made under BAAs are for scientific study and experimentation directed towards advancing the state of the art and increasing knowledge or understanding rather than focusing on a specific system or hardware solution.

*Note: See the DoDGARS definitions for basic, applied, and advanced research.

II. AMOUNT AND PERIOD OF PERFORMANCE

There is no set limit to the number of proposals an institution or organization can submit to this BAA; however, the level of effort for each key personnel should not reasonably exceed one (1) annual full time equivalent (FTE). The amount and period of performance of each selected proposal may vary depending on the research area and the technical approach to be pursued by the selected Offeror.

In most but not all cases, given the timely nature of the research areas, the period of performance of the awards shall not exceed twelve (12) months from the effective date of award by a Government Grants Officer. Awards are desired to be 12 months, with 24 months being the maximum desired period of performance.

III. ELIGIBILITY INFORMATION

All responsible, potential applicants from academia and industry are eligible to submit proposals under this BAA. USAFA particularly encourages proposals from small businesses, historically black colleges and universities, minority institutions and minority researchers. However, no portion of this BAA is set aside for a specific group.

Proposals from Federal Agencies, including subcontracting/sub-NFE efforts will not be evaluated under this BAA. Federally Funded Research & Development Centers (FFRDCs), including Department of Energy National Laboratories, are not eligible to receive awards under this BAA. U.S. Government schools of higher education, military laboratories and warfare centers, as well as other DoD and civilian agency laboratories are also not eligible to receive awards under this BAA and should not directly submit either white papers or full proposals in response to this BAA.

Before submitting a research white paper/proposal, you may wish to further discuss technical areas. If any such organization is interested in research described herein, the organization may contact the Technical Point of Contact at james.smith@usafa.edu. However, in your conversations with a Government official, be aware only warranted Contracting and Grants Officers are authorized to commit the Government.

University Affiliated Research Centers (UARC) are eligible to submit proposals under this BAA unless precluded from doing so by their DoD UARC contract.

While the general research to be performed is anticipated to stay within the public domain, some topic areas may cover export-controlled technologies. Research in these areas is limited to "U.S. persons" as defined in the International Traffic in Arms Regulations (ITAR) -22 CFR 120.1 et seq.

Cost sharing is encouraged but not required. IAW 31 U.S.C. 1342, the Government may not accept volunteer services, or employ personal services not authorized by law, except in cases of emergency involving the safety of human life or the protection of property. As such, if potential NFEs propose time or effort to support a particular project under this BAA, all contributions and costs incurred must be quantified as either costs to be charged to the Government, or costs incurred by the NFE (NFE cost share).

IV. APPLICATION AND SUBMISSION INFORMATION

- a. **Internet Address to Request Announcement Package-** Offerors will find the announcement may be accessed from the Internet at the Grants.gov website (<http://www.Grants.gov>). See 'for electronic submission' below. A copy of this BAA is also posted on Federal Business Opportunities (<https://www.fbo.gov/>).

b. Marking of White papers and Proposals – As previously stated, USAFA is seeking white papers which do not contain proprietary information. If proprietary information is submitted, USAFA will make every effort to protect the confidentiality of the proposal and any evaluations. However, under the Freedom of Information Act (FOIA) requirements, such information (or portions thereof) may potentially be subject to release. If protection is desired for proprietary or confidential information, the proposer must mark the white paper and/or proposal with a protective legend found in FAR 52.215-1(e), Instructions to Offerors – Competitive Acquisition, (modified to permit release to outside non-government evaluators and support contractors retained by USAFA). It is the offeror's responsibility to notify USAFA of proposals containing proprietary information and to identify the relevant portions of their proposals that require protection. The entire proposal (or portions thereof) without protective markings or otherwise identified as requiring protection will be considered to be furnished voluntarily to USAFA without restriction and will be treated as such for all purposes. Since the Government anticipates the award of grants, cooperative agreements, and/or contracts, this statement is applicable to proposals for all three of these potential instruments.

c. Content and Form of Application Submission (White paper and Proposal)

i. White papers:

1. Submission Requirements:

The initial preference is for white papers over full applications/proposals, which minimizes the labor and cost associated with the production of detailed full proposals.

White papers must be submitted to 10CONS.PASCC@us.af.mil; they should not be submitted directly to the USAFA Technical POC. Do not submit white papers through Grants.gov.

The white paper may also contain any unique capabilities or experience you have (e.g., collaborative research activities involving AF, DoD, or other Federal laboratory).

2. White paper Format:

- Paper size- 8.5x11 inch paper
- Margins- 1 inch
- Spacing- single or double spaced
- Font- Times New Roman, 12 point
- Number of pages permitted- 10 pages (excluding cover page, biographies, and cost estimate).

Offerors shall not send .ZIP files or password protected files.

Note: Titles given to the white papers and full proposals should be descriptive of the research they cover and not be merely a copy of the title of this solicitation or general area of interest identified in "Research Areas."

3. White paper Content:

- **Cover Page:** The Cover Page shall be titled "WHITE PAPER" and include the following:
 - BAA number "USAFA-PASCC-BAA-2016"

- Research opportunity “PROJECT ON ADVANCED SYSTEMS AND CONCEPTS FOR COUNTERING WEAPONS OF MASS DESTRUCTION”
 - Title of White paper that is descriptive of the research to be conducted
 - Estimated cost of proposed effort
 - Offeror’s administrative and technical points of contact, with telephone numbers and email addresses
 - Signature and name of an authorized officer at the Offer’s institution.
- **Technical Concept:** This 6 to 10 page section should include the following:
- **Executive Summary:** Concise (approximately 200 words) abstract of the proposed research effort.
 - **Research Objective:** Include the problem the proposed research will address and anticipated results.
 - **Public Purpose:** Discuss how the proposed research might fulfill a public benefit beyond the needs of the Departments of Defense, or Air Force.
 - **Background:** Provide an overview of the assessed need and relevance of the proposed effort to the research areas described above. Briefly summarize the literature if available. Describe how the proposed effort will result in a new contribution to the field.
 - **Scope and Technical Approach:** Describe the methods the Offeror will use to carry out the research. Provide sufficient detail on the project methodology and its linkages to the project objective(s) to allow evaluators to assess the unique contributions that this project will make. If the project will involve interviews or informants, clearly state their purpose.
 - **Qualifications:** Identify both the investigator(s) and the institution/organization to manage the project.
 - **Reports:** The following are sample reports that are typically provided under a grant-funded research effort:
 - Technical and financial progress reports, quarterly
 - Presentation materials
 - Technical and financial reports, quarterly/final

Note: Grants and cooperative agreements do NOT include the delivery of software, prototypes, and/or hardware deliverables. These items may be utilized for the testing of theory, methodology, or concepts, but they will not be deliverables.
 - **Timeline and Length of Period of Performance:** It is understood that the timeline is dependent on the date of award. If the proposed effort is for multiple years, the Offeror should distinguish year 1 tasks and timeline from the out-years.
- **Biography:** A brief biography of the principal investigator (PI) should highlight his or her academic and/or professional qualifications, state current title(s) and affiliation(s), and include relevant publications.
- **Cost Estimate:** Cost information is needed in the white paper, although not at the level of detail as required with the full proposal. White papers submissions shall include a realistic cost summary, not to exceed one (1) page, showing requested funding across all major categories (e.g. labor, travel, other direct costs, indirect). If the Offeror is proposing a multi-year effort, the cost summary shall be segregated by year 1 and year 2.

- 4. Evaluation Criteria:** Each white paper will be evaluated by the Government through a peer or scientific review process, to include the USAFA Technical POC, to determine whether the proposed research appears to advance knowledge in the field, enhance understanding, and provide a direct benefit to the public, which is defined here as those outside the DoD who are in the public and/or private sectors. This evaluation will also determine whether the proposed research appears to be of particular value to the research areas described in the BAA section titled “Research Areas.”

Subject to funding availability, all white papers will be evaluated under the following three primary criteria, as well as any specific conditions identified in calls posted against the BAA, of equal importance as they are all integral to achieving PASCC objectives, as follows:

- a. Technical merits of the proposed research,
- b. Potential relationship of the proposed research to the DoD and/or USAFA or INSS, as well as general public,
- c. The proposer’s/principal investigator’s/team leader’s/key personnel’s qualifications, capabilities, related experience, facilities, or techniques or a combination of these factors.

Upon completion of the review, white papers will be placed in one of three categories. Only white papers that meet agency needs will be funded. Offerors whose white papers are not of interest to the Government will be notified via letter that the effort proposed is not of interest to the Government. A breakdown of the criteria for each category follows:

Category I

- White paper is well conceived
- Scientifically & technically sound
- Pertinent to program goals and objective
- Offered by a responsible offeror
- Competent staff
- Supporting resources

Category II

- Scientifically or technically sound but requires further development

Category III

- Not scientifically or technically sound or does not meet agency needs.

Unless otherwise stated in a call, all white papers will be evaluated as stated above.

Initial Government evaluations and feedback will be issued via formal letter from the USAFA Grants Officer, whether it be a letter denying the white paper for technical or budget reasons, or a RFP for a full Grants.gov proposal submission. Those offerors submitting white papers assessed as best meeting the needs of the evaluator will be asked to submit a technical and cost proposal, contingent upon funds availability.

For white papers that propose efforts that are considered of particular value but either exceed available budgets or contain certain tasks or applications that are not desired, USAFA may suggest a full proposal with reduced effort to fit within expected available

budgets or an effort that refocuses the tasks or application of the effort to maximize the expected public benefit.

ii. Invited Full Proposals:

- 1. Submission Requirements:** Detailed full proposals (Volume 1: Technical Proposal, and Volume 2: Cost Proposal) will be subsequently requested from those Offerors whose proposed research projects have met the evaluation criteria listed above. However, email notifications and discussion about white papers are not assurances of a subsequent award.

Full proposal must be submitted electronically at <http://www.Grants.gov> using the application template package associated with this BAA. Proposal must include all forms listed in Grants.gov as “mandatory forms.” There are several one-time actions your organization must have completed before it will be able to submit applications through Grants.gov. Well before the submission deadline, you should verify the person authorized to submit proposals for your organization has completed those actions. If not, it may take them up to 21 days to complete the actions before they will be able to submit applications.

The Grants.gov Organization Registration Checklist at <http://www.Grants.gov/web/grants/applicants/grant-application-process.html> will guide offerors through the necessary processes. Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or email: support@grants.gov.

The process your organization must complete includes obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the System for Award Management (SAM) <https://www.SAM.gov> (previously Central Contractor Registry, or CCR), registering with the credential provider and registering with Grants.gov.

2. Submitting the Application:

- i. Submission** – Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.Grants.gov>, select “Apply for Grants.” In the “Download a Grant Application Package” section, enter the funding opportunity number for this announcement (USAFA-PASCC-BAA-2016). You can also search for the Catalog of Federal Domestic Assistance (CFDA) Number 12.800, for Research Interests of the U.S. Air Force Academy. On the Selected Grant Applications for Download page, click on 'download' under the heading “Instructions and Applications” to download the application package.

All required forms to be submitted as part of the proposal will be listed as a “mandatory form” in the ‘Instructions and Applications’ section on Grants.gov. Individual calls may have additional requirements; these requirements will be specified in the applicable call.

Proprietary information may be included on submitted forms, supporting documentation, and the Cost Proposal. All such information should be denoted with asterisks (***) at the beginning and end of the proprietary information; alternatively, a page with considerable proprietary information can display the statement “Proprietary Information” in its header or footer.

Statements of Work within the Technical Proposal should NOT include proprietary information or other restricted or protected information.

All applications must be self-contained within specified page limitations. Internet website addresses (URLs), with the exception of cost-proposal supporting documentation of Offeror policies and procedures, may not be used to provide information necessary for the review, because reviewers are under no obligation to view the Internet sites.

It is recommended that you complete SF 424 R&R form first to populate data in other forms. Complete all the required fields IAW the pop-up instructions on the form. To activate the instructions, turn on the “Help Mode” (icon with the pointer and question mark at the top of the form).

Note: All attachments to all forms must be submitted in PDF format (Adobe Portable Document Format). Grants.gov provides links to PDF file converters at this site: www.Grants.gov/help/download_software.

- ii. **All Offerors must submit the application using the SF 424 Research & Related (R&R) series forms, which are further outlined in the following sections.**
- iii. **SF 424 R&R:** The SF 424 (R&R) form can be downloaded from the following website: <http://www.Grants.gov/web/grants/forms.html> and must be used as the cover page for all electronic proposals. Complete all the required fields IAW the “pop-up” instructions on the form and the following instructions for the specified fields. To see the instructions, roll your mouse over the field to be filled out. You will see additional information about that field. Mandatory fields will have an asterisk marking the field and will appear yellow on most computers. In Grants.gov, some fields will self-populate based on the BAA selected. Please fill out the SF 424 first, as some fields on the SF 424 are used to auto populate fields in other forms. The completion of most fields is self-explanatory except for the following special instructions:
 - Field 1:** The Applicant Identifier may be left blank.
 - Field 3:** The Date Received by State and the State Application Identified are not applicable to research.
 - Field 7:** Complete as indicated. If Small Business is selected, please note if the organization is Woman-owned and/or Socially and Economically Disadvantaged. If the organization is a Minority Institution, select "Other" and under “Other Specify” note you are a Minority Institution (MI).
 - Field 9:** List USAFA as the reviewing agency. This field is pre-populated in Grants.gov.
 - Field 16:** Choose ‘No’ and check 'Program is Not Covered By Executive Order 12372'.
 - Attachments:** All attachments to all Grants.gov forms must be submitted in PDF format (Adobe Portable Document Format).
- iv. **Assurances (Non-Construction Programs):** All awards require some form of certification of compliance with national policy requirements. For that reason, an SF 424B needs to be completed and submitted with the application package via www.Grants.gov. For assistance awards, i.e., grants and cooperative agreements,

proposers using the SF 424 (R&R) are providing the certification by completing block 17 of the form for all applicable national policy requirements, to include:

(1) Prohibiting discrimination:

- (i) On the basis of race, color, or national origin, in Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d, et seq.), as implemented by DoD regulations at 32 CFR part 195;
- (ii) On the basis of age, in the Age Discrimination Act of 1975 (42 U.S.C. 6101, et seq.) as implemented by Department of Health and Human Services regulations at 45 CFR part 90;
- (iii) On the basis of handicap, in Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), as implemented by Department of Justice regulations at 28 CFR part 41 and DoD regulations at 32 CFR part 56;
- (iv) On the basis of sex or blindness, in Title IX of the Education Amendments of 1972 (20 U.S.C. §1681, et seq.), as implemented by DoD regulations at 32 CFR part 196.

(2) The Clean Air Act (42 U.S.C. 7401, et seq.) and Clean Water Act (33 U.S.C. 1251, et seq.), as implemented by Executive Order 11738 (3 CFR, 1971-1975 Comp., p. 799) and Environmental Protection Agency (EPA) rules at Subpart J of 40 CFR part 32.

(3) For human subjects, the Common Federal Policy for the Protection of Human Subjects, codified by the Department of Health and Human Services at 45 CFR part 46 and implemented by the DoD at 32 CFR part 219.

(4) For animals, rules on animal acquisition, transport, care, handling, and use in 9 CFR parts 1-4, Department of Agriculture rules implementing the Laboratory Animal Welfare Act of 1966 (7 U.S.C. 2131-2156), and guidelines in the National Academy of Sciences (NAS) “Guide for the Care and Use of Laboratory Animals” (1996), including the Public Health 32 Service Policy and Government Principles Regarding the Care and Use of Animals in Appendix D to the guide.

(5) The quality of the human environment, and provide help the agency may need to comply with the National Environmental Policy Act (NEPA, at 42 U.S.C. 4321, et. seq.) and to prepare Environmental Impact Statements or other required environmental documentation. In such cases, the NFE agrees to take no action that will have an adverse environmental impact (e.g., physical disturbance of a site such as breaking of ground) until the agency provides written notification of compliance with the environmental impact analysis process.

(6) Drug-Free Workplace: The NFE agrees to comply with the requirements regarding drug-free workplace requirements in Subpart B (or Subpart C, if the NFE is an individual) of 32 CFR part 26, which implements sec. 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100- 690, Title V, Subtitle D; 41 U.S.C. 701, et seq.).

(7) Officials Not to Benefit: No member of or delegate to Congress, or resident commissioner, shall be admitted to any share or part of this agreement, or to any benefit arising from it, IAW 41 U.S.C. 22.

(8) Debarment and Suspension: The NFE agrees to comply with the requirements regarding debarment and suspension in Subpart C of 32 CFR part 25, which implements E.O. 12549 [3 CFR, 1986 Comp., p. 189]; E.O. 12689 [3 CFR, 1989 Comp., p. 235]; and Sec. 2455 of Federal Acquisition and Streamlining Act of 1994 (Pub. L. 103-355). The NFE also agrees to communicate the requirement to comply with Subpart C to persons at the next lower tier with whom the NFE enters into transactions that are “covered transactions” under Subpart B of 32 CFR part 25.

(9) Contracts, Grants, Loans and Cooperative Agreements: The NFE agrees to comply with the requirements regarding Contracts, Grants, Loans and Cooperative Agreements. The NFE confirms that it certified in the grants.gov application to the best of his or her knowledge and belief, that:

(i) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

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

(iii) The NFE shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all sub-NFEs shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

(10) Requirements Regarding Representations: Representation by Corporations Regarding an Unpaid Delinquent Tax Liability or a Felony Conviction under any Federal Law—Fiscal Year 2015 Appropriations.

(i) IAW sections 744 and 745 of Division E, Title VII, of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235), none of the funds made available by this or any other Act may be used to enter into a contract with any corporation that— (a) Has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with

the authority responsible for collecting the tax liability, where the awarding agency is aware of the unpaid tax liability, unless the agency has considered suspension or debarment of the corporation and made a determination that this further action is not necessary to protect the interests of the Government; or (b) Was convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency is aware of the conviction, unless the agency has considered suspension or debarment of the corporation and made a determination that this action is not necessary to protect the interests of the Government.

(ii) By signing this award, the Offeror represents that— (a) It is not a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability. (b) It is not a corporation that was convicted of a criminal violation under any Federal law within the preceding 24 months. If it is determined a contract is the appropriate vehicle, USAFA will request representations and certifications IAW the FAR from prospective awardees.

- v. **R&R Other Forms-** The following other forms must be used for all electronic proposals: R&R Senior/Key Person Profile form, R&R Project/Performance Site Locations form, R&R Other Project Information form, the R&R Budget form and any other forms listed in the “Mandatory Forms” portion of Grants.gov. The R&R Subaward Budget Attachment Form is required when sub-awardees are involved in the effort. Primes should ensure that sub-NFEs’ cost information reflects the same level of detail as the primes’ cost information. The format should follow the Prime’s submission as well. See section 4. Volume II Cost Proposal on submissions of the Prime’s budget information. The SF-LLL form is required when applicants have lobbying activities to disclose. PDF copies of all forms may be obtained at the Grants.gov website.
- vi. **R&R Senior/Key Person Profile Form (Expanded):** Complete the R&R Senior/Key Person Profile Form for those key persons who will be performing the research. The principal purpose and routine use of the requested information are for evaluation of the qualifications of those persons who will perform the proposed research. For the principal investigator and each of the senior staff, provide a short biographical sketch and a list of significant publications (vitae) and attach it to the R&R Senior/Key Person Profile Form.
- vii. **R&R Personal Data Form:** Complete the R&R personal data form for all PIs and Co-PIs. Note: while the information on the form is voluntary, the form itself is mandatory. See form header for further information.
- viii. **R&R Project/Performance Site Locations Form:** Complete all information as requested.
- ix. **R&R Other Project Information Form: Human Subject/Animal Use and Environmental Compliance:**

Human Subject Use. Each proposal must address human subject involvement in the research by addressing Field 1 and 1a of the R&R Other Project Information Form. If Field 1 indicates “Yes,” the U.S. Air Force must receive a completed OMB No. 0990-0263 form before a contract, grant, or cooperative agreement may be awarded to support research involving the use of human subjects. Attach the document to the R&R Other Project Information Form. If using Grants.gov, a completed OMB No. 0990-0263 form shall be attached in field 12 of the R&R Other Project Information Form.

Refer any questions regarding human subjects to Laura Neal of the Analysis and Assessment Office, Institutional Review Board (IRB) at: (719) 333-6593 or via email at: Laura.Neal@usafa.edu or usafa.irb@usafa.edu. The IRB’s website can be found at <http://www.usafa.af.mil/Leadership/Institutional-Review-Board/>

Animal Use. Each proposal must address animal use protocols by addressing Field 2 and 2a of the R&R Other Project Information Form. If selected for award, additional documentation IAW Air Force standards will be required. Refer any questions regarding animal subjects to Lt Col Donald W. Rhymer, Chair of the USAFA Institutional Animal Care and Use Committee (IACUC) at: (719) 333-4185 or via e-mail at: donald.rhymer@usafa.edu.

Environmental Compliance. Federal agencies making contract, grant or cooperative agreement awards and NFEs of such awards must comply with various environmental requirements. The National Environmental Policy Act of 1969 (NEPA), 42 U.S.C. Sections 4321-4370 (a), requires agencies to consider the environmental impact of “major Federal actions” prior to any final agency decision. With respect to those awards which constitute “major Federal actions,” as defined in 40 CFR 1508.18, federal agencies may be required to comply with NEPA and prepare an environmental impact statement (EIS) even if the agency does no more than provide grant funds to the NFE. Questions regarding NEPA compliance should be referred to the USAFA INSS Director. USAFA will qualify for a categorical exclusion from the need to prepare an EIS. U.S. Air Force instructions/regulations provide for a categorical exclusion for basic and applied scientific research usually confined to the laboratory, if the research complies with all other applicable safety, environmental and natural resource conservation laws. Each proposal shall address environmental impact by filling in fields 4a through 4d of the R&R Other Project Information Form. This information will be used by USAFA to make a determination if the proposed research effort qualifies for categorical exclusion.

- x. **Certifications Regarding Lobbying Activities:** Grants and Cooperative Agreement awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. Grant applicants shall provide this certification by electronic submission of SF 424 (R&R) as a part of the electronic proposal submitted via Grants.gov (complete Block 17); the following certification applies to each applicant seeking federal assistance funds exceeding \$100,000:
(1) No Federal appropriated funds have been paid or will be paid by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the

extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

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

(3) The applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, and cooperative agreements) and that all sub-NFEs shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S.C. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

- xi. Policy Requirements:** Any award issued as a result of this announcement is subject to the following administrative, cost and national policy requirements contained therein.
 - DoD Grant and Agreement Regulations (DoDGARs 3210.6-R)
 - Office of Management and Budget (OMB) Super-circular 2 CFR 200 "Uniform Administrative Requirements, Cost Principles, and Audit Requirement for Federal Awards".

3. Volume 1: Technical Proposal (Research and Related (R&R) Other Project Information Form: Project Narrative)

i. Format

- Paper size-8.5 x 11 inch paper
- Margins- 1 inch
- Spacing- single-spaced
- Font- Times New Roman, 12 point
- Volume 1 is limited to no more than 20 pages, including indexes, foldouts, photographs, and appendices.
- Volume 2 has no page limit.

ii. Content

- **Cover Page:** This should include the words "TECHNICAL PROPOSAL" and the following:
 - BAA number "USAFA-PASCC-BAA-2016"
 - Title of proposal that is descriptive of the research to be conducted
 - Identity of prime Offeror and complete list of subcontractors/sub-NFEs, if applicable
 - Technical Point of Contact (name, address, phone/fax, email address)
 - Administrative/Business Point of Contact (name, address, phone/fax, email address)
 - Length of proposed period of performance.

- **Table of Contents:** An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.

- **Executive Summary:** Concise (approximately 200 words) abstract of the proposed research effort. The executive summary provides a brief overview of the proposed program topic, objectives, methodology, and expected results. In addition, the executive summary must state how the principal purpose of the research effort will support or stimulate a public purpose, beyond any benefits to the DoD. For example, the findings from research about international and bilateral counter-proliferation regimes may contribute to DoD knowledge about how and why states cooperate with one another; but, it is clearly beneficial to both private and public-sector negotiators and leaders. Its benefit to DoD is therefore considered indirect and the research could be the subject of a grant.

- **Statement of Research Objectives (SRO):** A research description clearly detailing the scope and objectives of the effort and the technical approach. The proposed SRO may be incorporated as an attachment to the resultant award instrument. Thus, full proposals must include a severable self-standing SRO without any proprietary restrictions, which can be attached to the agreement award.

A major portion of the proposal should consist of a clear description of the technical approach being proposed. This discussion should provide the technical foundation/justification for pursuing this particular approach and why one would expect it to enable the research objectives of the proposal. Within the technical approach, include a detailed list of the research tasks/subtasks organized chronologically.

If the SRO is proposing a conference, symposium, workshop, or strategic dialogue as part of the research methodology, the SRO must describe the need for such a gathering and how the meeting results are expected to support the project objective. Conference expenses in federal grants are exempt from U.S. Government conference approval guidance per the OMB Memo May 2012, see page 3, footnote 5 at

https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/memoranda/2012/m-12-12_0.pdf

For all types of research, include a concise statement of how the proposed research supports or stimulates a public purpose, rather than providing a specific benefit to DoD. This public-benefits statement is an important part of the evaluation and award process.

- **Project Schedule and Milestones:** A table summarizing the schedule of research and reporting activities and milestones. Because the date of award is not known at time of application, we recommend a “month 1,” “month 2,” format, as opposed to naming specific months and dates.

- **Reports:** The following are sample reports that are typically provided under a grant-funded research effort (do not include software, prototypes, hardware as deliverables):

- Technical and financial progress reports, quarterly
- Presentation materials

- Technical and financial reports, quarterly/final.

▪ **Management Approach:** A discussion of the overall approach to the management of this effort, including brief discussions of the total organization; responsibilities of the various personnel; project/function/subcontractor/sub-NFE relationships; government research interfaces; and planning, scheduling and oversight practices. Identify which personnel and subcontractors/sub-NFEs (if any) will be involved. Include a description of the facilities that are required for the proposed effort with a description of any Government-furnished equipment (GFE), hardware, software or information required, by version and/or configuration.

▪ **Offeror Qualifications:** A discussion of previous accomplishments and research by the Offeror institution in this or closely related areas; a discussion of the qualifications and/or resumes or curricula vitae of the proposed Principal Investigator and other key personnel.

▪ **Statement of Research Status:** Concise statement that identifies whether the proposed research continues research previously performed on a prior PASCC award, and if so, describes how the proposed project extends or enhances the prior effort.

▪ **Current and Pending Project and Proposal Submissions:** Principal Investigators and Key Personnel are required to provide information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing contracts, grants, and other assistance agreements.

Offerors shall provide information of any related proposal submissions from whatever sources (e.g., USAFA, NPS, Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations).

- The proposed project and all other projects or activities requiring the Principal Investigator's time as well as any other Key Personnel must be included, even if they receive no salary support from the project(s).
 1. Title of Proposal
 2. One (1) paragraph summary
 3. Source of funding
 4. Total award amount (separate annual direct and indirect costs)
 5. Contract and/or grant numbers for current contracts/grants
 6. For personnel also listed on the PASCC submission, percentage effort devoted to the project; this can be number of person-months or labor hours per year
 7. Identity of prime Offeror and complete list of subcontractors, if applicable
 8. Technical Point of Contact (name, address, phone/fax, email address)
 9. Administrative/Business Point of Contact (name, address, phone/fax, email address)
 10. Period of performance (differentiate basic effort)

11. How the project is related to the proposed effort and degree of overlap, if applicable.

4. Volume 2: Cost Proposal

- i. **Format:** The offeror **must** use the Grants.gov budget forms (including the SF 24 R&R Budget Form) from the application package template associated with this BAA on the grants.gov website located at <http://www.Grants.gov/>. A separate Adobe PDF document shall be uploaded with the online application materials, providing appropriate verification and/or supporting documentation for each element of costs proposed.

The Cost Proposal, which is a *narrative* explaining and justifying the budget figures in detail, must include all figures, calculations, and supporting documentation for determining cost *allowability*, *allocability* and *reasonableness*. Justifications for costs must be explicitly stated.

In addition to a narrative, Offerors may elect to include as part of their Cost Proposal a spreadsheet showing calculations, unit price, and number of units in more detail than is possible in the required SF Research and Related (R&R) Budget Form. However, inclusion of a more detailed spreadsheet is **not** a substitute for a detailed narrative that explains calculations, justifies inclusion of budget items, and states the basis for the amounts listed.

Estimate the total research project cost. Categorize funds by year and provide annualized budgets for projects lasting more than one year. Each budget year cannot exceed 12 months (for example, a 3 year project would consist of 3 separate 12 month budgets). In addition to the Research and Related (R&R) Budget forms available on Grants.gov, the budget proposal should include a budget justification for each year, clearly explaining the need for each item.

- ii. **Content:** Costs proposed must conform to the following principles and procedures:
 - 2 CFR Part 200, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards”
 - DoD’s interim implementation found at 2 CFR Part 1103, “Interim Grants and Cooperative Agreements Implementation of Guidance in 2 CFR Part 200”
 - DoDGARs, other than Parts 32 and 33
 - FAR Part 31.

The budget narrative must include the following:

Direct Labor - Individual labor categories or persons, with associated percent of annual effort and unburdened direct labor rates by annual salary (number of total hours and hourly rate must be provided). If proposal period crosses fiscal years, then provide escalation rates for each fiscal year period. Clearly state any escalation rates used in calculations. Provide supporting documentation verifying individual labor rates for each known individual; this may include a recent payroll receipt for individuals or a signed statement of salary rate or hourly rate and level of appointment from the Offeror’s Sponsored Programs Office or

Human Resources Office. For persons yet to be identified, provide general tables or schedules by labor category, which labor category will be used and why that labor category is appropriate.

Administrative and Clerical Labor - Salaries of administrative and clerical staff are normally indirect costs (and included in an indirect cost rate). Direct charging of these costs may be appropriate when a major project requires an extensive amount of administrative or clerical support significantly greater than normal and routine levels of support. Budgets proposing direct charging of administrative or clerical salaries must be supported with a budget justification, which adequately describes the major project and the administrative and/or clerical work to be performed.

Fringe Benefits - The Cost Proposal narrative must include the rates and calculations of the costs for each labor category/person, the salary amounts to which they are applied, and the sum total for each labor category/person.

If the rates have been approved/negotiated by a Government agency, **provide a copy of the memorandum/agreement**. If the rates applied are composite rates, or the rates have not been approved/negotiated, provide sufficient detail to enable a determination of allowability, allocability, and reasonableness of the allocation bases, and how the rates are calculated according to applicable OMB Circulars or FAR/Defense Federal Acquisition Regulations (DFARS) provisions.

Travel - The proposed travel cost should include the following for *each trip*:

- The purpose of the trip
- Origin and destination, if known (origin is typically known; if destination is unknown, state basis for estimating travel cost)
- Estimated duration
- Number of travelers
- Estimated cost per trip.

The costs must be justified based on the organization's historical average cost per trip or other reasonable basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principles.

Explain why travel is a necessary and/or cost-effective component of the technical approach/methodology, as well as why the travel destination was chosen, if known. Provide a copy of Offeror institution's travel policy. Provide documentation for proposed airfare costs (such as internet quotes from a travel website).

If hosting a workshop or other type of meeting for which participant travel costs are requested in the budget, outline those costs here, including best estimates for origin and destination, approximate duration, number of travelers, and estimated cost per trip. Describe how the venue will be selected, by what criteria, and what will be requested in the conference package. To support cost estimates, include past venue invoices or initial quotes from likely venues. If available, include a tentative agenda and roster of participants by organizational affiliation. If not available, state how many participants are anticipated from the U.S. Government and how many from outside the U.S. Government. **Funds provided cannot be**

used for payment to any Federal Government employee for support, subsistence, or services in connection with participation at a meeting sponsored through this award.

Anticipated use of funds requested from USAFA proposals for conferences and workshops will be evaluated using the following criteria. All factors are of equal importance:

- Technical merits of the proposed research,
- Potential relationship of the proposed research to INSS/PASCC objectives,
- The proposer's principal investigator's (PI), conference chair(s), team leader's or key personnel's qualifications, capabilities, related experience, facilities or a combination of these factors are integral to achieving INSS/PASCC objectives,
- The likelihood of the proposed effort to develop new research capabilities and broaden the research base in support of INSS/PASCC,
- The proposer's and associated personnel's record of past performance,
- The realism and reasonableness of cost including proposed cost sharing and funds availability. Cost Information (in addition to information required on SF 424 Research and Related (R & R) Budget forms):
 - Total project costs by major cost elements,
 - Anticipated sources of conference/workshop income and amount from each source.

Subcontractor/Sub-NFE Costs- Submit all subcontractor/sub-NFE proposals and analysis with your cost proposal (See FAR 15.404-3(b) and 2 CFR 200, Sub-NFE Monitoring and Management). If the subcontractor/sub-NFE will not submit cost and pricing information to the offeror, the subcontractor/sub-NFE must submit this information directly to the Government for analysis. On all subcontracts/subgrants and interdivisional transfers, provide the method of selection used to determine the subcontractor/sub-NFE and the proposed award type of each subaward. An explanation shall be provided if the offeror proposes a different amount than that quoted by the subcontractor. The offeror's proposal must also:

- Identify principal items/services to be subawarded. Identify prospective subcontractors/sub-NFEs and the basis on which they were selected. If non-competitive, provide selected source justification.
- Identify the type of contractual business arrangement contemplated for the subaward and provide a rationale for same.
- Identify the basis for the subcontract costs (e.g., firm quote or engineering estimate, etc).
- If applicable, identify the cost or pricing data or information other than cost or pricing data submitted by the subcontractor.
- 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.

Consultants - Offerors normally are expected to utilize the services of their own staff to the maximum extent possible in managing and performing the project's effort. If the need for consultant services is anticipated, the nature of the proposed consultant services must be justified and included in the Technical Proposal.

The Cost Proposal must include the name of the consultant(s), primary organizational affiliation, each individual's expertise, and a breakdown of the consultant's hours, the hourly rate proposed, and any other proposed consultant costs, such as estimated travel costs and per diem rates. Provide a copy of a signed Consulting Agreement or other documentation supporting the proposed consultant rate/cost, and a copy of the consultant's proposed statement of research objectives if it is not already separately identified in the prime Offeror's proposal.

Materials & Supplies - Provide an itemized list of proposed materials and supplies including quantities, unit prices, proposed vendors, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). Include supporting documentation for the estimates. Provide a copy of your organization's purchasing policy/processes.

NFE-Acquired Equipment or Facilities - If acquisition of equipment and/or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all equipment and/or facilities costs as well as the basis for them and supporting documentation for the estimate (e.g., quotes, prior purchases, catalog price lists). Allowable items normally would be limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, office equipment and furnishings, etc.) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.

Other Direct Costs - Provide an itemized list of all other proposed direct costs such as graduate assistant tuition, laboratory fees, report and publication costs, and the basis for the estimate (e.g., tuition schedules, quotes, prior purchases, catalog price lists). In addition to stating the basis for the cost estimates, include supporting documentation where possible.

Indirect Costs (i.e., Facilities and Administrative (F&A), Overhead, General and Administrative (G&A), etc.) - Describe the rates and calculation of the costs for each rate category, listing the base on which the rate is applied. If the rates have been approved/negotiated by a Government agency, provide a copy of the memorandum/agreement.

- For-Profit Entities: IAW 32 CFR Part 34, for-profit entities are bound by the cost principles located at 48 CFR parts 31 and 231. 48 CFR 31.203 (b) states that after direct costs have been determined and charged

directly to the contract or other work, indirect costs are those remaining to be allocated to intermediate or two or more final cost objectives. Therefore, if indirect costs are applicable to the federal award being proposed, provide the proposed indirect cost rate and adequate documentation to determine whether the indirect costs are reasonable, allowable, and necessary for the effort.

- All other NFEs: IAW 2 CFR 200.56, indirect (F&A) costs means those costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved. 2 CFR 200.414 requires previously negotiated indirect cost rates to be accepted by the Federal entity. If the NFE has never received a negotiated indirect cost rate they may elect one of the following options:
 - Utilize the de minimis rate of 10% of Modified Total Direct Costs (MTDC) indefinitely
 - Utilize the de minimis rate of 10% of Modified Total Direct Costs (MTDC) until the NFE chooses to negotiate a rate, which they may do so at any time
 - Elect not to use an indirect cost rate for the duration of the award. This option tends to be utilized by small non-profit entities that have very few federal awards and can directly charge all costs associated with their business to each federal award, consistently and appropriately.

Fee/Profit - Fee/profit is **unallowable** under grants or cooperative agreements.

NOTE: Failure to adequately provide detailed cost data will require the USAFA Grants Officer to contact the proposing organization for the requisite information. This will result in a delay of the award. All Offerors are required to submit a thoroughly detailed cost breakdown. The USAFA Grant Officer must be able to determine that all proposed costs are allocable, allowable and reasonable. A detailed budget and budget narrative will facilitate this cost analysis.

5. **Grants.gov Application Receipt Notices-** The applicant's approved account holder for Grants.gov will receive a confirmation page upon completing the submission to Grants.gov. This confirmation page is a record of the time and date stamp that is used to determine whether the proposal was submitted by subject deadlines. After an institution submits an application, Grants.gov generates a submission receipt via email and also sets the application status to "Received." This receipt verifies the application has been successfully delivered to the Grants.gov system. Next, Grants.gov verifies the submission is valid by ensuring it does not contain viruses, the opportunity is still open and the applicant login and applicant DUNS number match. If the submission is valid, Grants.gov generates a submission validation receipt via email and sets the application status to "Validated." If the application is not validated the application status is set to "Rejected." The system sends a rejection email notification to the institution and the

institution must resubmit the application package. Applicants can track the status of their application by logging in to Grants.gov.

V. Proposal Evaluation Information: Proposals submitted under this BAA are evaluated through a peer or scientific review process. If selected for contract award, evaluation will be on a competitive basis according to FAR 35.016(e), Public Law 98-369, Competition in Contracting Act of 1984, 10 USC 2361, and 10 USC 2374. If selected for grant/assistance instrument award, evaluation will use merit-based competitive procedures according to DoDGARs citation of 32 C.F.R Sec 22.315. Additionally, IAW 2 CFR 200.205, an evaluation of risk posed by applicants is required before they receive Federal awards. This evaluation may incorporate results of the evaluation of the applicant's eligibility or the quality of its application. If the Federal awarding agency determines that a Federal award will be made, special conditions that correspond to the degree of risk assessed may be applied to the Federal award. In evaluating risks posed by applicants, the Federal awarding agency may use a risk-based approach and may consider any items such as the following:

- Financial stability
- Quality of management systems and ability to meet the management standards prescribed in this part
- History of performance. The applicant's record in managing Federal awards, if it is a prior NFE of Federal awards, including timeliness of compliance with applicable reporting requirements, conformance to the terms and conditions of previous Federal awards, and if applicable, the extent to which any previously awarded amounts will be expended prior to future awards
- Reports and findings from audits performed under Subpart F—Audit Requirements of this part or the reports and findings of any other available audits; and
- The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on NFEs
- Responsibility & debarment
- Technical risk and complexity.

Proposals may be evaluated by the appropriate USAFA Technical POC and USAFA Staff, other military services, DoD agencies, civilian agencies and non-Government sources. Non-Government sources can include academia, nonprofit institutions, and support contractor personnel. Non-Government evaluators are authorized access only to those portions of the proposal data and discussions that are necessary to enable them to perform their respective duties. Non-Government evaluators are also required to sign non-disclosure agreements which prohibit them from disclosing proprietary information submitted by contractors. Employees of commercial firms under contract to the Government may be used to administratively process proposals and may gain access to proprietary information contained in proposals and/or post award documentation. These support contracts include non-disclosure agreements prohibiting their contractor employees from disclosing any information submitted by other contractors.

Award decisions will be based on a competitive selection of proposals resulting from a technical and cost review, to include the realism and reasonableness of proposed costs. Subject to funding availability, proposals will be evaluated using the following evaluation criteria:

- Anticipated contributions of the effort to the PASCC Research Program (Section 1 Item j)
- Technical merits of the proposed research
- The qualifications, capabilities, and experience of the proposed Principal Investigator, Team Leader, or other Key Personnel who are critical to achievement of the proposed objectives and must commit time and attention to ensure success of the project.
- Relevance to U.S. Government interests

- Expansion of knowledge and understanding of national security issues
- Anticipated benefits of new knowledge to the general public
- The proposer's and associated personnel's record of past performance.

Following the evaluation, proposals will be placed in one of three categories, as identified below. Further, be advised as funds are limited, otherwise meritorious white papers may not be funded. Offerors whose proposal are not of interest to the Government will be notified via letter that the effort proposed is not of interest to the Government.

Category I

Proposal is well conceived
Scientifically & technically sound
Pertinent to program goals and objective
Offered by a responsible offeror
Competent staff
Supporting resources

Category II

Scientifically or technically sound but requires further development

Category III

Not scientifically or technically sound or does not meet agency needs.

Offerors must indicate in their proposal, unless a match is required, if they are “not willing or able to cost share” or “able to cost share and/or offer these facilities/equipment/etc.”

Additional administrative information regarding submission of applications is contained in Section VI. The technical and cost information will be analyzed simultaneously during the evaluation process. USAFA reserves the right to select for award any, all, part or none of the proposal received.

The ultimate recommendation for award of proposals is made by the PASCC Director. Recommended proposals will be forwarded to the USAFA Grants Officer. Any notification received from USAFA that indicates that the Offeror's Full Proposal has been recommended does not ultimately guarantee an award will be made. A notice from the Technical POC indicates that the proposal has been selected IAW the evaluation criteria above and will be sent to the USAFA Contracting Team, to conduct preliminary cost analysis, assess the Offeror's responsibility, and take other steps necessary prior to sending a complete proposal package to USAFA Grants Officer for review and award.

Should your proposal be selected for award, the Contracting or Grants Officer will receive correspondence from the USAFA Technical POC stating this information. Your business office will be contacted by the Grants or Contracting Officer to negotiate the terms of your award.

Please note: Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure IAW FAR 3.104-5 and 15.207. The PASCC Proposal Review Committee will evaluate all white papers and advise as to the subset of invited Full Proposals. Restrictive notices notwithstanding, one or more support contractors may be utilized as subject-matter-expert technical consultants. However, proposal selection and award decisions are solely the responsibility of Government personnel. Each support contractor's employee having access to Technical and Cost Proposals submitted in response to this BAA will be required to sign a non-disclosure statement prior to receipt of any proposal submissions. As set forth herein, NFE acknowledges and agrees that third-

party support contractors may access technical information submitted by NFE. Government will ensure that the contractor employee has signed a non-disclosure agreement with its employer (on record); and, Government will ensure that the contractor employer, likewise, has signed Organizational Conflict of Interest clause with the Government precluding exploitation of any kind of non-public data it accesses as a result of its Government contract effort(s).

VI. Other Information:

a. Administrative Requirements

- i. The North American Industry Classification System (NAICS) code:** The North American Industry Classification System (NAICS) code, unless otherwise stated in the BAA amendments shall be: 541715, Research and Development in the Physical, Engineering and Life Sciences (except Nanotechnology and Biotechnology). The size standard is 1,000 employees. White papers and proposals submitted in response to this BAA shall be IAW the requirements of this BAA and its appropriate amendment(s).
- ii. System for Award Management (SAM):** All Offerors submitting proposals or applications must: (a) be registered in the System of Award Management (SAM) prior to submission; (b) maintain an active SAM registration with current information at all times during which it has an active Federal award or an application under consideration by any agency; and (c) provide its DUNS number in each Full Proposal it submits to USAFA via Grants.gov.

SAM is a cost free website that consolidates the capabilities found in CCR/FedReg, ORCA, and EPLS. Future phases of SAM will add the capabilities of other systems used in Federal procurement and award processes.

SAM may be accessed at <https://www.sam.gov/portal/public/SAM/>.

- b. Security Classification:** In order to facilitate intra-program collaboration and technology transfer, the Government will attempt to enable technology developers to work at the unclassified level to the maximum extent possible. If access to classified material will be required at any point during performance, the Offeror must clearly identify such need prominently in its proposal. An unclassified final report is required in order that the general public may benefit from the research findings.

The SRO in the Technical Proposal must be unclassified and must not contain Controlled Unclassified Information.

The Government does not provide access to classified material or secured facilities under grants.

- c. Use of Animal and Human Subjects in Research:** PASCC does not fund animal research.
- d. Protection of Proprietary and Sensitive Information:** The parties acknowledge that during performance of the award resulting from this BAA the NFE may require access to certain proprietary and confidential information (whether in its original or derived form) submitted to or produced by the Government. Such information includes, but is not limited to, business practices, proposals, designs, mission or operation concepts, sketches, management policies, cost and operating expense, technical data and trade secrets, proposed budgetary information, and acquisition planning or acquisition actions, obtained either directly or indirectly as a result of the effort performed on behalf of USAFA. As a result of access to this type of information, the NFE will identify any potential or actual OCI in their white paper and/or proposal IAW FAR 9.5.

The NFE shall take appropriate steps not only to safeguard such information, but also to prevent disclosure of such information to any party other than the Government. The NFE agrees to indoctrinate company personnel who will have access to or custody of the information concerning the nature of the confidential terms under which the Government received such information and shall stress that the information shall not be disclosed to any other party or to NFE personnel who do not need to know the contents thereof for the performance of the contract/agreement. NFE personnel shall also be informed that they shall not engage in any other action, venture, or employment wherein this information will be used for any purpose by any other party.

- e. **Organizational Conflicts of Interest:** All Offerors, principal investigators, and proposed subcontractors/sub-NFEs must affirm whether they are providing scientific, engineering, and technical assistance (SETA), USAFA Department, or similar support to any USAFA school/office, or to the underlying sponsor of this research through an active contract or subcontract/sub-NFE, as well as any other Federal award that could present a conflict. All affirmations must state which office(s) the Offeror supports and identify the prime contract numbers. Affirmations shall be furnished at the time of proposal submission. All facts relevant to the existence or potential existence of organizational conflicts of interest (FAR 9.5) must be disclosed. The disclosure shall include a description of the action the Offeror has taken or proposes to take to avoid, neutralize, or mitigate such conflict. IAW FAR 9.503 and without prior approval, a contractor cannot simultaneously be a SETA and a research and development performer. Proposals that fail to fully disclose potential conflicts of interests will be rejected without technical evaluation and withdrawn from further consideration for award.

Post-Employment Conflict of Interest: There are criminal laws and standards of conduct regulations that may apply to current or former Government employers/military officers who draft or assist in the drafting of grant proposals, or are named as principal investigators/alternates in grant proposals. See 18 United States Code (U.S.C. §203 - 207). These restrictions may apply to reservists on active duty, or to employees who served on a Federal Advisory Board/Council within the last 365 days, i.e. Special Government Employees. Accordingly, Offerors submitting grant proposals are required to identify any potential post-employment or current conflict of interest to the Grants Officer if a Government employee or former Government employee (broadly defined above to include military members, Special Government employees or reservists) participated in proposal drafting and/or is named as a principal investigator or alternate principal investigator.

If a prospective Offeror believes a conflict of interest exists or may exist (whether organizational or otherwise) or has questions on what constitutes a conflict interest, the proposer should send his/her contact information and summary of the potential conflict to the Grants Officer **before** time and effort are expended in preparing a proposal and mitigation plan.

Be advised the Grants Officer reserves the right in his/her discretion to withhold award if he/she determines there is a conflict of interest or standards of conduct violation, if the prospective grantee/contractor fails to demonstrate that there is no conflict/violation or that any potential conflict has been adequately mitigated to protect the rights and interest of the Government.

- f. **Federal Funding Accountability and Transparency Act of 2006:** The Federal Funding and Transparency Act and 27 Aug 2010 OMB memo, "Federal Spending Transparency and Subaward and Compensation Data Reporting" require that as of 1 Oct 10 awardees of contracts and NFEs of grants have been required to report Executive Compensation and First-Tier Subcontract/Sub-NFE Awards for any contract valued at \$30,000 or grant valued at \$25,000 or more excluding classified contracts or contracts/grants with individuals.

g. Reporting Executive Compensation and First-Tier Subcontract/sub-NFE Awards: Any grant or agreement award resulting from this announcement may contain the award term set forth in 2 CFR, Appendix A to Part 25.

h. Federal Awardee Performance and Integrity Information System (FAPIIS)-

There is a Government-wide policy on the use of the Federal Awardee Performance and Integrity Information System (FAPIIS) in the award of contracts and grants that may affect the agencies' processes for judging proposed NFEs to be qualified to receive contracts and financial assistance awards. The policy implements requirements of section 872 of the Duncan Hunter National Defense Authorization Act for fiscal year 2009 (Public law 110-417). See the FAPIIS website at <https://www.fapiis.gov/fapiis/policy.action> for further policy information.

i. Ombudsman –

1. An ombudsman has been appointed to hear and facilitate the resolution of concerns from offerors, potential offerors and others for this acquisition. When requested, the ombudsman will maintain strict confidentiality as to the source of the concern. The existence of the ombudsman does not affect the authority of the Program Officer or Contracting Officer. The ombudsman may refer the party to another official who can resolve the concern.
2. Before consulting with an ombudsman, interested parties must first address their concerns, issues, disagreements, and/or recommendations to the Grants or Contracting Officer for resolution. Consulting an ombudsman does not alter or postpone the timelines for any other processes.
3. If resolution cannot be made by the Grants/Contracting Officer, concerned parties may contact the USAFA Ombudsman:

James Anderson, Director of Contracting
10th Contracting Squadron, USAFA
Telephone: (719) 333-2074
Email: James.Anderson.72@us.af.mil

Concerns, issues, disagreements and recommendations that cannot be resolved at the USAFA level may be brought by the concerned party for further consideration to the U.S. Air Force Pentagon, Washington DC 20330-1060, phone number (703) 588-7004.

4. The ombudsman has no authority to render a decision that binds the agency.
5. Do not contact the ombudsman to request copies of the solicitation, verify offer due date, or clarify technical requirements. Such inquiries shall be directed to the Grants/Contracting Officer.

j. Grant Payment Process- The USAFA does not set up automatic payments for Grants to educational and nonprofit NFEs. Therefore, all NFEs must access Wide Area Workflow (WAWF) e-Business Suite's iRPAT (Invoicing, Receipt, Acceptance and Property Transfer (formerly known as WAWF) and complete WAWF's Standard Form (SF) 270, Request for Advance or Reimbursement, for payment. Each NFE must register with WAWF at <https://wawf.eb.mil>.

k. Only Contracting or Grants Officers are legally authorized to bind the Government.

End of Broad Agency Announcement