

**UNITED STATES ARMY RESEARCH INSTITUTE FOR THE
BEHAVIORAL AND SOCIAL SCIENCES (ARI)**

BROAD AGENCY ANNOUNCEMENT

W5J9CQ-12-R-0002

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INTRODUCTION

This is the United States Army Research Institute for the Behavioral and Social Sciences (ARI) Broad Agency Announcement (BAA) issued under the provisions of paragraph 6.102(d)(2) of the Federal Acquisition Regulation, which provides for the competitive selection of proposals. Contract(s) based on responses to this BAA are considered to be the result of full and open competition and in full compliance with the provisions of PL 98-369, "The Competition in Contracting Act of 1984."

ARI contracts with educational institutions, nonprofit organizations, and private industry for research and development (R&D) in those areas covered in Part I of this BAA. Contractors are urged to consider cost sharing schemes in cooperation with ARI. Resulting awards as a result of this announcement may take the form of a purchase order or contract.

Funding of R&D within ARI areas of interest will be determined by funding constraints and priorities set during each budget cycle. Therefore, those contemplating submission of a proposal are encouraged to contact the ARI Technical Point of Contact identified in this section of the BAA, or the responsible ARI Manager noted at the end of the technical area entry, to determine whether the R&D warrants further inquiry. If the R&D warrants further inquiry and if funding is available, then submission of a proposal will be entertained. The recommended four-step sequence is: a telephone call, informal **two to four page** white paper, proposal, and contract award for selected projects. This sequence allows earliest determination of the potential for funding and avoids contractor and Government time spent on efforts that may have little chance of being supported. (Note: Calling the ARI Manager (noted at the end of each technical entry) is encouraged; but once submission of a proposal is decided, a call to the ARI Technical POC for the BAA (noted below) is required to complete the process.)

This BAA consists of four parts as follows:

- Part I - Research and Development Interests
- Part II - Proposal Preparation and Submission
- Part III - Proposal Evaluation and Award
- Part IV - Proposal Forms

THOSE SUBMITTING PROPOSALS ARE CAUTIONED THAT ONLY A CONTRACTING OFFICER CAN OBLIGATE THE GOVERNMENT TO ANY AGREEMENT INVOLVING EXPENDITURE OF GOVERNMENT FUNDS.

This BAA (with any amendments) shall remain in effect until 30 September 2011 or until superseded.

The Army Geospatial Center (AGC) Contracts Office, located in Alexandria, VA, is the responsible organization for contractual actions related to this BAA.

Points of Contact:

The BAA Technical POCs for ARI are Dr. Jay Goodwin who may be reached at (703) 545-2410, jay.goodwin@us.army.mil or Dr. Judy Brooks who may be reached at (703) 545-2419, Judith.brooks@us.army.mil.

The AGC Contracts Office POC is Nilda Lugo who may be reached at (703) 428-6272 or e-mail, Nilda.lugo@usace.army.mil

If, as a result of any telephone contact, an R&D effort is determined to have sufficient interest, an informal outline or White Paper of the proposed effort should be submitted to:

Jay.Goodwin@us.army.mil with email subject line “ARI BAA W5J9CQ-12-R-0002 White Paper”

OR

U.S. Army Research Institute
ATTN: DAPE-ARI-BR (Dr. Jay Goodwin)
2511 Jefferson Davis Highway
Arlington, VA. 22202-3926

Do **NOT** send any correspondence to the postal address above by any means other than the US Postal Service, as it will not be delivered.

Contractors preparing a White Paper for submission may follow any convenient format desired. Typical White Papers are 3-5 pages in length as needed to convey the concept in simple terms. Some data relating the estimated cost and schedule is desired.

A review of the papers by ARI staff will determine which efforts are of sufficient interest to merit a formal proposal. If there is sufficient interest in a proposed project, the contracting officer will invite the Offeror to submit a formal proposal. **All proposals, written communications or documentation concerning this BAA shall be forwarded to the following address:**

Army Geospatial Center (AGC)
Contracts Office – CECT-AGC
7701 Telegraph Road, Bldg2592
Alexandria, VA 22315-3864

Proposals submitted in response to this BAA may be for a period of performance up to three years. Long-term proposals should contain a brief summary of the work contemplated for each 12-month period, so that contracts may be negotiated for an entire three-year project or for individual one-year options or increments of the total project. A detailed performance schedule for each discrete task must be included along with cost data to include labor cost by labor category.

PART 1 - RESEARCH AND DEVELOPMENT INTERESTS

The United States Army Research Institute for the Behavioral and Social Sciences (ARI) is the Army's lead agency for conduct of research, development, and analyses to improve Army readiness and performance through research advances and applications of the behavioral and social sciences that address personnel, organization, training, and leader development issues.

Programs funded under this BAA will include basic research, applied research, and advanced technology development that can improve human performance and Army readiness. Collaboration is encouraged between universities, commercial organizations, and the other U.S. military Services.

I-A: APPLIED RESEARCH AND ADVANCED TECHNOLOGY DEVELOPMENT

ARI seeks Applied Research proposals that provide a systematic expansion and application of knowledge to design and develop useful strategies, techniques, methods, tests, or measures that provide the means to meet a recognized and specific Army need. Applied Research precedes system specific technology investigations or development; but it should have a high potential to transition into the Advanced Technology Development (ATD) Program. The ATD program includes development of technologies, components, or prototypes that can be tested in field experiments and/or simulated environments. Projects in this category have a direct relevance to identified military needs. ATD projects should demonstrate the general military utility or cost reduction potential of technology in the areas of personnel selection, assignment, and retention; training strategies and techniques; leader education and development; performance measurement; and team and inter-organizational mission effectiveness. Our ATD projects should be focused on a more direct operational benefit and, if successful, the technology should be available for transition.

Our Applied Research and ATD programs focus on issues in Training, Leader Development, Personnel, and Team and Inter-Organizational Performance. Specific topic areas are described in the following sections.

I-A-1: TRAINING

1.1 Training for Full Spectrum Readiness

The Army's new field manual (FM 7.0) on training for full spectrum operations stresses that traditional training and education may not meet all the needs of an expeditionary Army (U.S. Department of the Army, 2008). Army units need more efficient and effective training and evaluation methods to achieve full spectrum readiness and balanced capabilities across offensive, defensive, stability, and civil support tasks. Units need better tools to develop unit training plans and training based on their individual unit needs. Units also need tools to rapidly convert lessons learned into training and to enhance training effectiveness and efficiencies through improved measurement of human performance. The following are some specific needs:

- Identify and develop methods for addressing emerging human performance challenges and difficult to train skills and behaviors.
- Develop and refine near real-time tools and techniques to rapidly develop training.
- Design and develop methods for planning and managing training across the full spectrum of training requirements.
- Design and develop measurement and feedback tools for assessing individual and collective skills and measuring performance.

The ARI Manager is Dr. Scott Shadrick (254) 287-6808, scott.shadrick@us.army.mil

1.2 Training for New Military Technology

As new technologies are developed and delivered to the U.S. Army, effective training of its Soldiers, leaders, and units to employ these technologies will be essential. Units may receive new technologies without adequate training for Soldiers and units to train on the new technologies. Units need guidance on how best to organize and integrate training on new technologies to achieve operational readiness as efficiently as possible. In particular, units need more efficient and effective methods on how best to employ new technologies to meet the ever-changing operational requirements of the contemporary operational environment. The following are some specific needs:

- Identify training strategies for new technologies that address full spectrum operations.
- Develop methods and tools to organize and integrate training on new technologies.
- Design and develop more efficient and effective methods to help Soldiers determine how to employ new technologies to meet the ever-changing COE.
- Determine the skill retention patterns associated with new technology insertions at individual and collective levels.

The ARI Manager is Dr. Scott Shadrick (254) 287-6808, scott.shadrick@us.army.mil

1.3 Enhancing Army Institutional Training

In an era of persistent conflict and increasing resource demands, the Army must produce trained and ready Soldiers for an increasingly stretched force despite reduced funding, fewer training developers and instructors, and the need to adapt to changing ARFORGEN requirements. To do so, the Army is seeking to leverage breakthroughs in the behavioral sciences and the science of learning to enhance its institutional training

strategies. The goals include: accelerating learning while maintaining effectiveness; exploiting new learning and simulation technologies; identifying and integrating relevant lessons from operational and training units; minimizing training resource requirements (time, cost, people); and minimizing the impact of training on quality of life. New training methods are needed that support these goals, along with tools to assess their effectiveness and efficiency. Some particular areas of interest include:

- Cost-effective methods for exploiting emerging training technologies, to include distributed learning (dL), blended learning, and simulation systems.
- Methods and measures to support development of tactical and technical proficiency in the use of new technologies, particularly the employment of information technologies.
- Ways to tailor training to the skills and experience of the Soldier population being trained.
- Training interventions for initial entry training and Drill Sergeant School.
- Techniques, tools, and measures to enhance aviation collective training.

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1.4 Simulation Tools for Learning, Practice and Mission Rehearsal

Game-based and virtual technologies provide flexible training capabilities that have been shown to support local training of individuals and small units. Emerging training, doctrine, and force structures advocate the need for rapid deployment of units with personnel who may be unfamiliar with each other. There is no effective capability for distributed training with remote colleagues within the Army or across the Services. New mobile platforms such as high-end cellular phones may present a new flexible platform to provide training to Soldiers. Research is needed on methods to ensure effective training is delivered on these devices. In addition, further work is needed to develop methods for utilizing game and virtual technologies most effectively in general and to determine their effectiveness in a variety of training settings and for a range of tasks and skills. Thus, R&D is needed for the following:

- Develop training and After Action Review methods and procedures that provide effective means for training teams of individuals and small units when the trainees are not co-located..
- Develop effective methods for using small mobile computing platforms.
- Examine game technologies to determine characteristics (e.g., scenario building, replay, measurement/scoring capabilities) that are beneficial to training experiences for Contemporary Operating Environment missions and scenarios.

- Develop methods for measuring performance of small units in virtual and game environments to determine what is being learned and at what rate.

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1.5 Adaptive Training Technology

The effectiveness of training is maximized by providing one-on-one instruction by a human tutor who can tailor feedback and training experiences to the specific needs of the learner. But this kind of training is hardly efficient in terms of the number of students that can be trained, or the cost and time per student. Efficiency could be improved if the human tutor could be replaced with an automated tutor. Intelligent computer aided instruction (ICAI) could improve efficiency by allowing self-paced training available “anytime-anywhere.” The automated tutor must not only be able to evaluate student performance (diagnose strengths and weaknesses), but also to prescribe what training each individual needs and deliver that training. Research is needed to provide the means for automated diagnosis and tailored training delivery. The goal is to develop automated training capabilities which can provide both diagnostics and remediation based on each individual’s training needs, resulting in a more efficient training process. The application of adaptive training techniques could improve training delivery using serious games, distributed learning techniques and in embedded training. R&D is needed for the following:

- Implementation of training customization for the individual in the context of guided experiential learning scenarios.
- Application of semantic web ontologies to domain modeling and intelligent cognitive agents.
- Integration of tutoring, coaching, and remedial didactic training with game-based practice environments.
- Application of psychometric approaches to performance measurement in the context of experiential learning.
- Application of state-of-the-art learning science to develop pedagogical models.
- Intelligent Tutoring using strong artificial intelligence models and agents (run-time models, which can handle new scenarios without re-writing).
- Pedagogical and domain model re-use/interoperable across applications.

The ARI Manager is Dr. Paula Durlach, (407) 384-3983, Paula.Durlach@us.army.mil

1.6 Tools for Training in a Technology-Enhanced, Learner-Centered Environment

Emerging Army doctrine prescribes the transformation of the Soldier education and training process through the integration of advanced training methods such as collaborative learning, tailoring training to meet individual needs, virtual classrooms, and leveraging multiple training platforms. To meet these training requirements, ARI requires research into the design, development and delivery of individual and collective training across multiple technology-based platforms, including mobile, handheld devices and traditional laptop and desktop computers. Additionally, research is required into the effectiveness and delivery of individual and collaborative training using these devices, particularly in a distributed learning environment. Research into developing assessment capabilities across platforms is also required. Particular areas of interest include:

- Development of tools for rapid authoring of training content and skill assessments which can be delivered via multiple platforms (e.g., desktop, classroom, mobile device)
- Development of research-based best practices for training with new and innovative approaches and technology, such as mobile devices, virtual classrooms and gaming
- Leveraging tailored assessments to determine student placement within a program of instruction
- Methods for assessing individual and collective performance in a scenario-based training environment
- Methods for incorporating game-based training scenarios into individual and group training exercises

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I-A-2: LEADER DEVELOPMENT

The Army's ongoing transformation includes a systematic rethinking of how Army leaders grow and how the Army's leadership development process facilitates and supports that growth. Leaders at all levels in the Army, including non-commissioned officers, pre-commissioning cadets, and junior and senior commissioned officers, must develop the critical cognitive skills that underlie tactical and technical expertise. To be successful, however, leaders also will need to possess refined interpersonal and communication skills to mentor and build teams among diverse subordinates, effectively cooperate with interagency and coalition partners, and appropriately influence a variety of stakeholders (e.g., the media, local populations). This area of research addresses methods and techniques to identify, train, develop, and assess the requisite skills for successful leadership within the Army; attention is also given to self- and

social awareness that supports leadership and leader development. Three areas of research emphasis are outlined below.

2.1 Leadership as an Influence Process

The fundamental notion that leadership is an influence process has shaped the U.S. Army leadership doctrine and this research program. In particular, we need to refine and extend this notion to account for leader influence in a variety of contexts, within and outside of the chain of command. Army leaders must be able to influence both up and down the chain of command, as well as laterally. Additionally, Army leaders may need to influence others outside the Army (e.g., members from other services, individuals from other countries). Army leaders also need to rely on a variety of influence strategies to shape and direct the behavior of others; such behaviors include use of effective proactive influence tactics, shaping the social context (e.g., climate, culture) that guides the behavior of others, targeting influence at collectives as well as individuals, and building “social capital” that amplifies influence attempts.

Specific topics of interest include:

- Identification of the knowledge, skills, and abilities (KSAs) that underlie effective influence and interventions to build those KSAs.
- Interventions to enhance the leader’s ability to build social capital.
- Interventions to develop leaders more adept at influence during negotiations.
- Interventions to help leaders build positive climates, particularly ethical and command climates.
- Assessment of influence-related concepts, particularly for self-development purposes.
- Use of influence in cross-cultural settings.
- Leadership as a “collective” or multilevel social phenomenon that occurs at various levels of group and organizational analysis.

The ARI Manager is Dr. Michelle Ramsden Zbylut, (913) 684-9797,
michelle.zbylut@us.army.mil

2.2 Developing Leadership Situational Awareness

It is thought that effective leaders are aware of the social/interpersonal situation within which they operate. They are able to make use of that situational awareness to make appropriate adjustments to influence strategies and tactics, just as the master strategist adjusts on the battlefield to take account of changing tactical conditions. KSAs

supporting leadership awareness include skills in perceiving and interpreting a variety of social cues.

Specific topics of interest include:

- Impact of leader self-identity and self awareness on influence processes and outcomes.
- Interventions to increase self-awareness.
- Interventions to enhance understanding of non-verbal cues.
- Assessment of relationship between situational awareness and strategic thinking
- Assessment of technologies that support strategic thinking through better situational awareness
- Use of critical thinking skills in interpersonal contexts.
- Use of critical thinking skills in culturally complex settings and operations.
- Interventions to increase frequency and effectiveness of social perspective taking.
- Use of emotion regulation (of self and others) and emotional labor as components of effective leadership.

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2.3 Developmental Interventions for Effective Leadership in a Changing Army

Only those leaders exhibiting high levels of awareness and understanding of the relationships between their actions and the responses of those they wish to influence will be able to adapt to changes in the environment in which they are asked to perform. While situational awareness is critical to tactical effectiveness, self-awareness and social-awareness are equally critical to leadership effectiveness. Both individual factors (e.g. cognitive abilities, personality factors, self-monitoring behaviors) and external factors (e.g. situations which are ambiguous, emotionally laden, and/or present significant risk) may impact capabilities for requisite awareness. The objective of this element of the R&D program is to develop and demonstrate tools that will develop and sustain high levels of these leadership capabilities.

Specific topics of interest include:

- Validated leader awareness model that accounts for individual and external factors.

- Measures to quantify individual differences in self/social/situational knowledge and abilities.
- Develop tools/resources to assist Army Leaders in visualizing abstract concepts and being able to represent abstract concepts in discourse/communications
- Determine methods to develop strategic thinking at low/mid-level officer training/education.
- Assess the feasibility and required actions to integrate Army Design Methodology with other elements of the integrated planning process.
- Training and assessment tools and techniques oriented to individual strategies in self/social/situational awareness.
- Job aids that enhance the development of leadership skills during on-the-job activities.

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I-A-3: TEAM AND INTER-ORGANIZATIONAL PERFORMANCE IN COMPLEX ENVIRONMENTS

3.1 Joint, Interagency, Intergovernmental, and Multinational Multi-Team Systems

The United States military works with other government and non-governmental organizations both within and outside the United States to achieve their mission. These multicultural teaming arrangements are an adaptive response to the complexity of the problems encountered in counterinsurgency and stability operations. These teams are likely to be peer-based, heterogeneous, and often distributed (or partially distributed). Research efforts, focused below the strategic level of operations, are needed to determine how to compose, lead, train, and support multi-team systems to facilitate intra- and inter-team collaboration, negotiation, and consensus-building; decision-making; and self synchronization for agile performance in dynamic and ambiguous situations. Topics of interest may include:

- Application or revision of concepts such as commander's intent, command intent, and unity of effort to train and support collaboration and decision-making by collocated and distributed teams.
- Understanding the role of trust in multi-team systems.

- Training and assessment tools and techniques for the development of collaborative capabilities for enhancing inter-organizational collaboration in coalition operations.
- Development and application of qualitative and quantitative measures for assessing and enhancing multi- team performance.

The ARI Manager is Dr. Armando Estrada, (443) 395-8129,
Armando.X.Estrada@us.army.mil

3.2 Networked Organizations

Advances in information technology and networked systems are changing the way military teams and organizations form and operate. Military teams are socio-technical systems and are often ad hoc and diverse, formed to meet specific, complex mission requirements. Team members may be collocated, distributed, or partially collocated and partially distributed. Research is needed to identify strategies for organization design, training, and performance support that leverages the advantages of distributed, networked teams and organizations while minimizing or eliminating barriers to collaboration. Topics of interest may include:

- Identifying data from the network and patterns of human interaction that can be captured and used for dynamic, real-time team development, training, and performance assessment.
- Use of network-enabled alerting to inform team operations.
- Approaches to organization visualization comprised of network and non-network data that are most appropriate for military operations.
- Extension of current approaches to cognitive work analyses to address socio-cognitive, socio-technical requirements of distributed, diverse teams.
- Similarities and differences in trust among humans when applied to trust in teams comprised of both humans and technology; investigating how trust is established, maintained, broken, and reestablished in distributed socio-technical teams.
- Application of a variable approach, one that combines both hierarchical and decentralized decision-making, to military organizational design and operations.
- Examining processes of hybrid teams comprised of both collocated and distributed members to develop methods and tools or organizational design solutions to enhance performance.

The ARI Manager is Dr. Arwen DeCostanza, (443) 395-8125,
Arwen.H.DeCostanza@us.army.mil

3.3 Multi-National and Cross-Cultural Operations

Modern conflicts place a premium on the flexibility of force personnel to readily shift from major combat operations to stabilization and security force assistance operations as circumstances dictate. These latter forms of operations rely heavily on Soldiers and leaders to interact with host nation governmental and military personnel, local civilian leaders, and the local populace on a regular basis in order to effectively accomplish the mission. The knowledge, skills, and capabilities required to effectively interact with these groups are not within the traditional skill set developed in US Army personnel, and require additional research and development to gain this capacity. Topics of interest may include:

- Identify the learning model for the development of the knowledge, skill, and aptitude components of cross-cultural competence.
- Measurement of the specific components of skills relevant to cross-cultural interaction, including interpersonal skills, perspective taking, and other relevant aspects of cross-cultural competence
- Developmental methods for training cross-cultural negotiation, communication, and collaboration skills outside formal education and training venues.
- Theories, models, and approaches providing the conceptual linkages between cultural aspects of societies, groups, and individuals.

The ARI Manager is Dr. Jessica Gallus, (703) 545-2410, Jessica.A.Gallus@us.army.mil

I-A-4. SOLDIER/PERSONNEL ISSUES

Our soldier R&D includes tools to attract, select, assign, promote, and retain enlisted and officer personnel, both Active and Reserve, whose abilities and interests will fit the future force's organizational and multi-skilled job demands.

Soldiers must be properly matched with the jobs and assignments that best fit their capabilities and interests, both at initial entry and as they progress in their careers. Advances in the development of new tools for personnel management must be coordinated with ongoing changes in Army policies, missions, and organization.

Our understanding of enlisted and officer job performance reflects a "whole person" approach, incorporating both the ability to perform and the motivation to perform. Our selection and classification system must incorporate both elements in a holistic fashion.

4-1 Expanded Tools for Enlisted and Officer Selection.

In recent years, the challenges confronting enlisted Soldiers and officers have been changing. They must confront a more challenging, ambiguous, and uncertain environment. They must take on responsibilities at a more junior level. These changes raise a number of challenges for our future research and development.

Specific topics of interest include:

- Identification of important cognitive abilities relevant to Soldier and officer performance not assessed by the ASVAB and existing standardized cognitive tests.
- Identification of non-verbal tests which could substitute for ASVAB tests using verbal content which could produce the same level of validity.
- Identify improved methods of ensuring that faking does not reduce the validity of personality tests when such tests are administered in operational conditions.
- Development of personality tests which do not rely on the standard multiple choice format.
- Identification non-cognitive attributes, in addition to personality, which contribute to Soldier and Officer performance and development of valid measures of these attributes.

The ARI Manager is Dr. Tonia Heffner, (703) 602-7948, Tonia.heffner@us.army.mil

4-2 Improved Person-Job Match

New missions, equipment, and doctrine will impact on the types of jobs and Soldiers needed for the future force. Current tools for classifying Soldiers into jobs will need to be refined to meet the changing needs of the Army. These tools will need to reflect the multiple requirements of future jobs, the realignment of the current job structure, and a broader view of Soldier performance which incorporates motivational as well as proficiency components.

Specific topics of interest include:

- Development of improved job analysis methods which better support job clustering and generalization of validity findings across jobs.
- Development of a person-job match model that emphasizes individual preferences and motivation, as well as aptitudes.
- Exploration of more dynamic and realistic, yet cost-effective, measures of individual job performance.

- Development and demonstration of a performance competency concept that can facilitate meaningful and cost-efficient comparisons across jobs.
- Modification of current personnel allocation systems to ensure maximum value for the Army given existing accession / training management constraints.

The ARI Manager is Dr. Peter Greenston, (703) 602-7944, Peter.greenston@us.army.mil

I.B BASIC RESEARCH

Basic Research is defined as systematic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific application of processes or products in mind. ARI's Basic Research Unit manages the Basic Research Program and maintains close contact with ARI's applied scientists and other relevant agencies within the Army. These contacts help to define issues that require fundamental research, ensure that the basic research program is coordinated across Services, and facilitate the transition of basic research results to applied programs for eventual use by the operational Army.

The focal points of ARI's Basic Research Program are:

- ***Improving Training in Complex Environments.*** Research in this area focuses on developing concepts and methods for training complex tasks and for sustaining complex task performance.
- ***Improving Leader and Team Performance.*** The focus of this area is to develop leader adaptability and flexibility, and discover and test the basic cognitive principles that underlie the dynamics of small group leadership and effective leader-team performance in both face-to-face and distributed environments.
- ***Identifying, Assessing, and Assigning Quality Personnel.*** This research domain is concerned with identifying and measuring the aptitudes and skills that are unique to the human performance requirements of the Future Force and the sociological and psychological factors that could influence recruitment, retention, and Army performance.
- ***Understanding Organizational Behavior and Network Science.*** The focus of this area is on understanding and predicting large and small group behavioral processes in dynamic social networks, whether in simulations, games, or Army organizations.

For more information about ARI's Basic Research Program please contact the ARI Basic Research program manager, Dr. Jay Goodwin, at (703) 545-2410 or Jay.Goodwin@us.army.mil

PART II

PROPOSAL PREPARATION AND SUBMISSION

PART II PROPOSAL PREPARATION AND SUBMISSION

GENERAL INFORMATION

Organizations or individuals interested in submitting proposals to ARI should make preliminary inquiries on the general need for the type of effort contemplated before expending extensive time and effort in preparing a detailed proposal. A formal proposal should present the proposed effort in sufficient detail to allow ARI to evaluate the scientific merit and relevance of the proposed work.

ARI encourages nonprofit organizations, educational institutions, historically black colleges and universities, other minority institutions, small business, and small disadvantaged business concerns to submit proposals for consideration.

Most of the information needed for proposal preparation can be found in this part of the BAA. Blank proposal forms, included in Part IV of this BAA, are designed to provide all required information needed for contracting purposes. Use of the proposal forms will expedite award of the R&D contract.

ELIGIBILITY

To be eligible for award of a contract, a prospective contractor (except other Governments, including state and local Governments) must meet certain minimum standards pertaining to financial resources, ability to comply with the performance schedule, prior record of performance, integrity, organization, experience, operational controls, technical skills, facilities, and equipment.

ARI generally encourages R&D contracts with foreign countries, where possible. Contracting will exclude countries that are on the State Department List of Countries that support terrorism as stated in Part IV - Proposal Forms, Representations and Certifications, DFAR Clause 252.209-7001 entitled, "Disclosure of Ownership or Control by the Government of a Terrorist Country (JAN 2009)."

FOREIGN NATIONALS PERFORMING UNDER RESULTANT CONTRACT

In accordance with Army Regulation, AR 380-5, foreign nationals who work on ARI contracts or task orders, including subcontractor employees and consultants, and will have access to any classified information or controlled unclassified information (CUI) OR will have access to Army Automated Information Systems (AIS) shall be approved by the ARI Contracting Officers Representative (COR) or the Contracting Officer before beginning work on the contract/task order. The contractor shall submit to the ARI COR the names, citizenship, and location of employment for all foreign nationals proposed for performance under this contract/task order. If employed within the United States the contractor shall submit documentation for each foreign national to verify that he/she was legally admitted into the United States and has authority to work and/or go to school in the US. Such documentation may include a US passport, Certificate of US citizenship (INS Form N-560 or N-561), Certificate of Naturalization (INS Form N-550 or N-570), foreign passport with I-551 stamp or attached INS Form I-94 indicating employment

authorization, Alien Registration Receipt Card with photograph (INS Form I-151 or I-551), Temporary Resident Card (INS Form I-688), Employment Authorization Card (INS Form I-688A), Reentry Permit (INS Form I-327), Refugee Travel Document (INS Form I-571), Employment Authorization Document issued by the INS which contains a photograph (INS Form I-688B). Access to classified information shall also require verification of appropriate security clearances by the ARI security officer.

For ARI contracts or task orders not involving access to either classified or controlled unclassified information or to Army AIS, the ARI COR shall be notified of foreign nationals working on the contract or task order, to include the names, citizenship and location of employment of all foreign nationals.

All contractors utilizing personnel, consultants or subcontractors outside the United States shall comply as appropriate with all provisions of the International Traffic in Arms Regulations (ITAR) governing and controlling the export of defense information, supplies, and services to foreign nations.

For further information, please contact:
U.S. Army Research Institute
ATTN: DAPE-ARI-BR (DR. GOODWIN)
2511 Jefferson Davis Highway
Arlington, VA 22202-3926

POST-EMPLOYMENT CONFLICT OF INTEREST

There are certain post-employment restrictions on former federal officers and employees, including special Government employees (Section 207 of Title 18, United States Code). If a prospective Offeror believes a conflict of interest may exist, the situation should be discussed with the Contracting Officer and legal personnel before time and effort is expended in preparing a proposal.

SUBCONTRACTING

Pursuant to Section 8(d) of the Small Business Act (15 U.S.C. 637(d)), it is the policy of the Government to enable small business concerns to be considered fairly as subcontractors to contractors performing work or rendering services as prime contractors or subcontractors under Government contracts. If the total cost proposal exceeds \$650,000, any large business is required to include a Small, Small Disadvantaged, and Women Owned Subcontracting Plan with its proposal package in accordance with FAR 52.219-9.

TITLE TO EQUIPMENT

Title to equipment or other tangible property purchased with contract funds will be disposed of in accordance with Contracting Officer instructions at the time of contract completion.

PROPOSAL SUBMISSION

Proposals may be submitted at any time; however, new starts are normally obligated early within the fiscal year. All proposals should include the information specified in this BAA Announcement in order to avoid delays in evaluation. Be sure to specify, the Commercial and Government Entity (CAGE Code), the DUNS Number, and the Tax Identification Number (TIN) with your submission. Completion of the Representations and Certifications as well as registration in the DoD's Central Contractor Registration (CCR) Database will be a prerequisite before receiving an award. Registration can be made at www.ccr.gov

A proposal for continuation of a given project will be considered on the same basis as proposals for new awards. The proposal should be submitted sufficiently in advance of the completion of the existing contract so that if it is accepted, support may be continued without interruption.

Submittal of an original, with the signature of an authorized official and two copies of the proposal will expedite the evaluation process. The mailing envelop as well as the cover of the proposal should be marked with the BAA Solicitation Number W5J9CQ-12-R-0002 (Attn: Nilda Lugo) along with the name of scientific point of contact responsible for the topic. Offerors are requested to provide their e-mail address upon submission of proposal and also the name, address, and phone number of their cognizant Defense Contract Audit Agency (DCAA) office, if known.

Note that there is a requirement for contractor reporting if the contract is funded with military funds. The below info is provided for your assistance in complying. At the website listed, there are FAQs you may also find helpful.

“The Office of the Assistant Secretary of the Army (Manpower & Reserve Affairs) operates and maintains a secure Army data collection site where the contractor will report ALL contractor manpower (including subcontractor manpower) required for performance of this contract. The contractor is required to completely fill in all the information in the format using the following web address: <https://contractormanpower.army.pentagon.mil> The required information includes: (1) Contracting Office, Contracting Officer, Contracting Officer's Technical Representative; (2) Contract number, including task and delivery order number; (3) Beginning and ending dates covered by reporting period; (4) Contractor name, address, phone number, e-mail address, identity of contractor employee entering data; (5) Estimated direct labor hours (including sub-contractors); (6) Estimated direct labor dollars paid this reporting period (including sub-contractors); (7) Total payments (including sub-contractors); (8) Predominant Federal Service Code (FSC) reflecting services provided by contractor (and separate predominant FSC for each sub-contractor if different); (9) Estimated data collection cost; (10) Organizational title associated with the Unit Identification Code (UIC) for the Army Requiring Activity (the Army Requiring Activity is responsible for providing the contractor with its UIC for the purposes of reporting this information); (11) Locations where contractor and sub-contractors perform the work (specified by zip code in the United States and nearest city, country, when in an overseas location, using standardized nomenclature provided on website); (12) Presence of deployment or contingency contract language; and (13) Number of contractor and sub-contractor employees deployed in theater this reporting period (by country). As part of its submission, the contractor will also provide the estimated total cost (if any) incurred to comply with this reporting requirement. Reporting period will be the period of performance not to exceed 12 months ending 30 September of each government fiscal year and must be reported by 31 October of each calendar year. Contractors may use a direct XML data transfer to the database server or fill in the fields on the website. The XML direct transfer is a format for transferring files from a contractor's systems to the secure web site without the need for separate data entries for each

required data element at the web site. The specific formats for the XML direct transfer may be downloaded from the web site.”

PROPOSAL PREPARATION INSTRUCTIONS

1. General.

a. The proposal is the only vehicle available to the Offeror for receiving consideration for award. The proposal must stand on its own merit; only information provided in the proposal can be used in the evaluation process leading to an award. The proposal should be prepared simply and economically, providing straightforward, concise delineation of capabilities necessary to perform the proposed work. The technical proposal must be accompanied by a fully supported cost proposal as cost and technical considerations are reviewed simultaneously.

b. Proposals containing data that is not to be disclosed to the public for any purpose or used by the Government except for evaluation purposes shall include the following statement on their cover page.

The proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this proposal. If, however, a contract is awarded to this Offeror as a result of - or in connection with - the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in these data if they are obtained from another source without restriction. The data subject to this restriction are contained in sheets _____.

The Offeror shall also mark each sheet of data it wished to restrict with the following legend:

Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal.

c. Note that no funds available to the Department of Defense may be provided to any institution of higher education that either has a policy of denying or that effectively prevents the Secretary of Defense from obtaining, for military recruiting purposes, entry to campuses or access to students on campuses or access to directory information pertaining to students. See DFARS 252.209-7005.

d. To ensure all technical proposals receive proper consideration, the Government-recommended proposal format shown below should be followed as closely as possible. This format can most easily be incorporated as the proposal table of contents and serves as a final checklist as well. White papers and proposals must reference the code number for the specific research area (e.g. I-A-1:1.1, I-A-2:2.2).

2. Proposal Contents/Checklist.

VOLUME I - Technical Proposal

- i Cover Page
- ii Table of Contents
- iii List of Illustrations/Tables
- iv Executive Summary
 - 1.0 Technical Approach
 - 1.1 Technical Discussion
 - 1.2 Technical Program Summary
 - 1.3 Risk Analysis and Alternatives
 - 1.4 References
 - 2.0 Special Technical Factors
 - 2.1 Capabilities and Relevant Experience
 - 2.2 Previous or Current Relevant Independent Research and Development (IR&D) Work
 - 2.3 Related Government Contracts
 - 2.4 Facilities/Resources
 - 3.0 Schedule
 - 3.1 Time Line Chart by Task
 - 4.0 Program Organization
 - 4.1 Organization Chart(s) with Key personnel
 - 4.2 Management and Technical Team
 - 4.2.1 Prime Contractor Responsibilities
 - 4.2.2 Subcontractor(s) Responsibilities
 - 4.2.3 Consultant(s) Responsibilities
 - 4.3 Resumes of Key Personnel
 - 5.0 Appendix (es)

NOTE: PLEASE USE THE ABOVE DECIMAL NUMBERING SYSTEM FOR PROPOSAL PREPARATION.

3. Proposal Contents.

Technical Proposal

- a. **Cover Page:** The cover page should include the BAA Number, R&D topic and reference number, name and telephone number for the principal points of contact (both technical and contractual), and any other information that identifies the proposal. The cover page should also contain the proprietary data disclosure statement, if applicable.
- b. **Table of Contents:** It is highly recommended that the Offeror follow the above table of contents and use it for a final quality-control checklist.
- c. **List of Illustrations/Tables:** This list is a quick reference of charts, graphs, and other important information. A separate list of Tables is recommended.
- d. **Executive Summary:** The executive summary allows the Offeror to present briefly and concisely the important aspects of its proposal to key management personnel. The summary should present an organized progression of the work to be accomplished, without the technical details, such that the

reader can grasp the core issues of the proposed program. The Executive Summary should rarely exceed two pages.

1.0 **Technical Approach:** In this section, the Offeror should provide as much technical detail and analysis as is necessary or useful to support the technical approach it is proposing. One must clearly identify the core of the intended approach. It is not effective to address a variety of possible solutions to the technology problems.

1.1 **Technical Discussion:** No technical approach is without its limitations or shortcomings. Every issue should be identified and compared with the successes/failures of previous approaches. A tradeoff analysis is a good way to make this comparison and should be supported by theory, simulation, modeling, experimental data, or other sound engineering and scientific practices. If the Offeror has a "new and creative" solution to the problem(s), that solution should be developed and analyzed in this section. The preferred technical approach should be described in as much detail as is necessary or useful to establish confidence in the approach.

1.2 **Technical Program Summary:** This section summarizes the above technical discussion in an orderly progression through the program, emphasizing the strong points of the proposed technical approach.

1.3 **Risk Analysis and Alternatives:** Every technology has its limitations and shortcomings. The proposal evaluator(s) will formulate a risk assessment and it is in the best interest of the Offeror to have its own understanding of the risk factors presented. Critical technologies should be identified along with their impact on the overall program as well as fallback positions that could still improve on existing approaches.

1.4 **References:** Any good technology discussion must present the basis for and reference the findings cited in the literature.

2.0 **Special Technical Factors:** In this section, the Offeror should describe any capabilities it has that are uniquely supportive of the technology to be pursued. The following subparagraphs are offered as possible areas to be addressed.

- 2.1 Capabilities and Relevant Experience
- 2.2 Previous or Current Relevant IR&D Work
- 2.3 Related Government Contracts
- 2.4 Facilities/Resources

3.0 **Schedule:** The schedule represents the Offeror's commitment to perform the program tasks in an orderly, timely manner.

3.1 **Time Line Chart by Task:** Each major task identified in the SOW must appear as a separate line on the program schedule. Planned meetings, such as kick-off, presentations (including final), Technical Interchange Meetings, etc., must be included in the Time Line. The Time Line must also indicate the anticipated meeting site.

4.0 **Program Organization:** In this paragraph, the Offeror should present its organization's ability to conduct difficult technical programs. Any pertinent or useful information may be included in this paragraph, but a minimum recommended response should address the following subparagraphs:

4.1 **Organizational Chart(s) with Key Personnel:** Include prime contractor and subcontractor organization charts.

4.2 **Management and Technical Team:** This should specifically identify what tasks will be performed by which party and why each subcontractor, if any, was selected to perform its task(s).

4.2.1 Prime Contractor Responsibilities

4.2.2 Subcontractor(s) Responsibilities

4.2.3 Consultant(s) Responsibilities

4.3 **Resumes of Key Personnel:** Include the resumes of the prime contractor, subcontractor, and consultant personnel to include the names, brief biography, and list of recent publications of the Offeror's key personnel. Documentation of previous work or experience in the field of the proposer is especially important.

5.0 **Appendix(es):** Appendices may include technical reports, published papers, and referenced material. A listing of these reports/papers with short descriptions of the subject matter is usually adequate. Do not provide commercial product advertising brochures; these are unwanted.

VOLUME II – Cost Proposal

a. Contract Type. Selection of the type of contract is based upon various factors, such as the type of research to be performed, the contractor's experience in maintaining cost records, and the ability to detail and allocate proposed costs and performance of the work.

A document commonly used because of its suitability in supporting research is a cost-reimbursable type contract. It permits some flexibility in the redirection of efforts due to recent research experiment results or changes in Army guidance.

Fixed-price contracts are used when the research projects costs can be estimated accurately, the services to be rendered are reasonably definite, and the amount of property, if any, is fixed. The negotiated price is not subject to any adjustment on the basis of the Contractor's cost experience in performing the contract.

Contracts awarded by the AGC will contain, where appropriate, detailed special provisions concerning patent rights, rights in technical data and computer software, reporting requirements, equal employment opportunity, etc.

The contract type is negotiable and offerors may propose either cost reimbursable or firm fixed price arrangements. For proposal pricing purposes, Offeror should assume a contract start date of 90 days after submission of the proposal.

b. Content of Cost Proposal. The cost portion of the proposal should contain a cost estimate or a firm fixed price for the proposed effort sufficiently detailed by element of cost for meaningful evaluation. The estimate should be detailed for each task of the proposed work.

c. The cost proposal should be limited to the minimum number of pages necessary to satisfy the specific requirements set forth herein. Submission of volumes of computer-generated data to support the cost proposal is not necessary or desired. If computer-generated data is essential to

support the cost proposal, it may be submitted as an addendum and must be clearly cross-referenced to the material it supports in the cost proposal.

d. Cost proposals should represent Offeror's best response to the solicitation. Any inconsistency, whether real or apparent, between promised performance and cost or price data must be fully explained in the proposal. Failure to explain any significant inconsistencies may demonstrate Offeror's lack of understanding of the nature and scope of the work required. Accordingly, cost proposals must be sufficient to establish the reasonableness, realism and completeness of the proposed cost/price. Further, any modifications made to the initial proposal must likewise be thoroughly supported in writing regardless of whether such changes are made during negotiations or at the time of a proposal revision.

1. Proposal Cover Sheet for total proposal.
2. Summary by cost element and profit or fee for total proposal.
3. Labor summary for total proposal by categories, rates and hours. For firm fixed price proposals submit fully loaded labor rates
4. Explanation of how labor rates are computed including base rates (actuals) and escalation, if any.
5. Interdivisional Transfers (detailed breakout of costs), if applicable
6. Identification of indirect rates by fiscal year and explanation of how established and base to which they apply.
7. Bill of Materials detailing items by type, quantity, unit price, total amount and source of estimate. Provide vendor written quotes.
8. Summary of all travel by destination, purpose, number of people and days, air fare, per diem, car rental, etc.
9. Consultants by name, rate and number of days or hours. Furnish copy of consulting agreement, and identify prior agreement(s) under which the consultant commanded proposed rate.
10. Computer use by type, rate and quantity.
11. Other direct costs by type, amount, cost per unit and purpose (specifically identify any costs for printing or publication).
12. DD Form 1861 (if proposing facilities capital cost of money).
13. Subcontractor's proposal, with prime Offeror's price/cost analysis of subcontractor's proposal. If subcontract was not competed, include justification.
14. Forecast of monthly and cumulative dollar commitments for the proposed contract period.

e. Subcontractors' proposals must be similarly structured. All subcontracted work must be properly identified as such. If a subcontractor elects to submit an abbreviated proposal to Offeror, it is Offeror's responsibility to see that the subcontractor simultaneously submits a complete detailed proposal properly identified directly to the Contracting Officer. Offeror must ensure that subcontractor adheres to the guidance set forth herein. FAR 15.404-3 requires that Offeror provide an analysis of subcontractors' cost proposals. To that end, Offeror's proposal must:

1. Identify principal items/services to be subcontracted.
2. Identify prospective subcontractors and the basis on which they were selected. If non-competitive, provide selected source justification.

3. Identify the type of contractual arrangement contemplated for the subcontract and provide a rationale for same.
4. Identify the basis for the subcontract costs as included in Offeror's proposal (e.g., firm quote or engineering estimate, etc.).
5. Identify the cost or pricing data or information other than cost or pricing data submitted by the subcontractor.
6. Provide a price analysis of the proposed subcontract in accordance with FAR 15.404-1(b). Provide an analysis concerning the reasonableness, realism and completeness of each subcontractor's proposal. If the analysis is based on a comparison with prior prices, identify the basis on which the prior prices were determined to be reasonable. If price analysis techniques are inadequate or FAR requires submittal of subcontractor cost or pricing data, provide a cost analysis in accordance with FAR 15.404-3(b). Cost analysis should include, but not be limited to, an analysis of materials, labor, travel, other direct costs and proposed profit rates.

f. Cost Element Summary Format. Cost elements which do not pertain to the Offeror's proposal may be omitted. Do not lump elements together. Cost elements peculiar to a particular Offeror which are not listed may be added. Elements may be rearranged to fit an Offeror's pricing structure.

COST ELEMENT SUMMARY

COST ELEMENTS	TOTAL DOLLARS
Total Direct Labor	
Fringe Benefits	
Labor Overhead	
In-Plant	
On-Site	
Direct Material	
Purchased Parts	
Subcontracts	
Other – Standard Commercial Items	
Computer Hardware, Software & Services	
Interdivisional Transfers	
Material Overhead	
Travel	
Consultants	
Other Direct Costs	
Supplies	
Publications	
Long Distance Telephone	

Reproduction	
Shipping & Postage	
General & Administrative (G&A) Expense	
Contract Facilities Capital Cost of Money	
Fee or Profit	
Total Proposed Contact Amount*	

PART III

PROPOSAL EVALUATION AND AWARD

PART III - PROPOSAL EVALUATION AND AWARD

Evaluation

FAR 52.215-1 Instructions to Offerors -- Competitive Acquisition (Jan 2004) ALT II

Proposals submitted in response to this BAA will be evaluated in accordance with the following criteria:

1. The overall scientific and/or technical merits of the proposal.
2. The potential contributions of the effort to the U.S. Army Research Institute
3. The Offeror's capabilities, related experience, facilities, techniques, or unique combination of these which are integral factors for achieving the proposal objectives.
4. The qualifications, capabilities, and experience of the proposed principal investigator, team leader, and other key personnel who are critical to the achievement of the proposal objectives.
5. The Offeror's record of past performance.
6. The reasonableness and realism of proposed costs and fees, if any, and the availability of funds.
7. The current and/or future relationship or interface with ongoing activities in academia and/or industry.

Evaluation will consist of a letter grade between A and F on each criterion as follows:

- A-Outstanding, of the highest quality
- B-Good, but could be improved
- C-Average
- D-Below average
- F-Totally inadequate and without merit

Criterion (1) is most important; the other criteria are of equal importance to one another.

Upon receipt of a proposal, the ARI evaluators will perform an initial review of its scientific merit and potential contribution to the Army mission and also determine if funds are expected to be available for the effort. Proposals not considered having sufficient scientific merit or relevance to the Army's needs or those in areas for which funds are not expected to be available may be declined without further review.

It is the policy of ARI to treat all proposals as privileged information before award and to disclose the contents only for the purposes of evaluation. Proposals not declined as a result of initial review will be subject to an extensive peer review by highly qualified scientists from within the Government. The Offeror must indicate on the appropriate proposal form any limitation to be placed on Disclosure of Information contained on the proposal.

Each proposal will be evaluated based on the merit and relevance of the specific R&D proposed as it relates to the overall ARI research and development program, rather than against other proposals in the same general area.

Award

With the submittal of all required information as described herein and the favorable evaluation of your proposal, the Government may unilaterally make award; therefore, it is in the Contractor's best interest to review all requirements listed within. Performance after the receipt of an award signed by the Contracting Officer indicates your full acceptance of all terms and conditions within the award.

Awards will be made on SF-33, SF-26, DD-1155, or other document as appropriate. Offerors shall provide a completed Attachment A (Reps and Certs) with their technical and cost proposals. Awards will consist of all applicable clauses and contracts shall be in accordance with the Uniform Contract Format (UCF), which follows:

SECTION A- SOLICITATION/CONTRACT FORM SF 33 or SF-26

SECTION B- SUPPLIES OR SERVICES AND PRICES/COST

ITEM 1- Perform all work necessary for research and development efforts in accordance with Contractor's proposal dated _____, entitled _____, submitted under BAA Topic No. _____.

SECTION C- DESCRIPTION/SPECIFICATIONS/STATEMENT OF WORK

SECTION D (Packaging and Marking)

SECTION E (Inspection and Acceptance)

SECTION F (Deliveries or Performance)

SECTION G (Contract Administration Data)

SECTION H (Special Contract Requirements)

SECTION I (Contract Clauses). Note: If award is made unilaterally, offeror agrees to clauses mentioned within this BAA for their particular contract type.

SECTION K (Representations, Certifications, and Other Statements of Offerors) SEE ATTACHMENT A OF THIS BAA. ATTACHMENT A MUST BE COMPLETED BY EACH OFFEROR AND SUBMITTED WITH EACH PROPOSAL

SECTION L (Instructions, Conditions, and Notices to Offerors or Respondents) is included within this BAA solicitation

SECTION M (Evaluation Factors for Award) - is the evaluation criteria listed in Part II of this BAA.

PART IV
PROPOSAL FORMS

PART IV - PROPOSAL FORMS

Proposal Cover Page

Disclosure of Proposal Information: Policy Statement and Statement of Disclosure Preference

Policy Statement and Memorandum of Understanding

Attachment A, Representations and Certifications

<Insert Cover Page form here>

DISCLOSURE OF PROPOSAL INFORMATION

POLICY STATEMENT

It is the policy of ARI to treat all research and development proposals as privileged information before award and to disclose the contents only for purposes of evaluation. Technical evaluation of these proposals normally is made by highly qualified personnel from the Government.

All reviewers are made aware that proposals sent to them shall not be duplicated, used, or disclosed in whole or in part for any purpose other than to evaluate the proposal, without the written permission of the Offeror.

You should be aware that, despite all precautions, we may be able to protect the confidentiality of proposals only to the extent that they are exempt from disclosure under the Freedom of Information Act (see FAR 52.215-12).

Please complete the following statement indicating your preference for treatment of your disclosure.

STATEMENT OF DISCLOSURE PREFERENCE

(Institution or Company) in submitting proposal (Title) with (Name) as Principal Investigator require the following procedure be used during its evaluation:

() The data contained in this research and development proposal shall not be duplicated, used, or disclosed in whole or in part for any purpose, other than to evaluate the proposal, without the written permission of the Offeror (except that if a contract is awarded on the basis of this proposal, the terms of the contract shall control disclosure and use). This restriction does not limit the Government's right to use information contained in the proposal if it is obtainable from another source without restriction. All data contained in this proposal are subject to this restriction.

() Permission is hereby granted to ARI to evaluate this proposal, which may include evaluation by evaluators both within and outside the Government, with the understanding that written agreement not to disclose this information shall be obtained from any non-Government evaluator.

() The evaluation of the above proposal shall be restricted to government personnel only. The Offeror shall mark the proposal in accordance with FAR 15.509.

(Date) (Signature of Authorized Company Representative)

(Date) (Signature of Principal Investigator)

POLICY STATEMENT AND
MEMORANDUM OF UNDERSTANDING

EVALUATION OF BROAD AGENCY ANNOUNCEMENTS

Prior to acceptance of any article of equipment, material, or disclosure of information for evaluation or testing by Army, the following policy must be understood and agreed to by the individual, firm, or corporation submitting such article, invention, or disclosure.

POLICY

1. The Army has a continuing interest in receiving and evaluating proposals containing new ideas, suggestions, and inventive concepts for weapons, supplies, facilities, devices, and equipment. However, Government personnel and contractors are constantly engaged in research and development activities, and the substance of the proposal may already be known to Government employees or contractors, or may even be in the public domain. For such reasons it is desirable, when receiving proposals for evaluation, to insure that the persons submitting them are aware of the conditions under which they will be considered by the Army.

2. It should be understood that the receipt and evaluation of the proposal by the Army does not imply a promise to pay, a recognition of novelty or originality, or any relationship which might require the government to pay for use of information to which it is otherwise lawfully entitled.

3. Due care will be exercised to ensure that, in addition to technical design or concept data submitted, financial and management plans will not be used by the Government for any purpose other than evaluation of the proposal.

4. The voluntary submissions will be handled in accordance with established Government procedures for safeguarding such articles or information against unauthorized disclosure. In addition, the data forming a part of or constituting the submission will not be disclosed outside the Government or be duplicated, used or disclosed in whole or in part by the Government, except for record purposes or to evaluate the proposal. This restriction extends to, and includes, financial and management plan information submitted with, or forming a part of this proposal. This restriction does not limit the Government's right to use information contained in such data if it is obtained from another source, or is in the public domain.

5. Information covering the results of evaluations or tests will be furnished to submitters upon request. Such information shall not be construed as an endorsement by the Government of articles or the subject matter of disclosure nor shall they be used in whole or in part for advertising purposes with industry or other Government agencies.

IT IS THE POLICY OF THE ARMY TO EVALUATE BAA PROPOSALS AS SOON AS POSSIBLE AFTER RECEIPT. THE CONDITIONS UNDER WHICH WE WILL RECEIVE AND EVALUATE SUBMISSIONS ARE PRESCRIBED BY REGULATION AND ARE OUTLINED IN THE ATTACHED STATEMENT OF POLICY. PLEASE EXECUTE AND RETURN A COPY OF THE ATTACHED MEMORANDUM OF UNDERSTANDING WITH YOUR PROPOSAL. UPON RECEIPT, YOUR PROPOSAL WILL BE SUBMITTED TO THE APPROPRIATE OFFICE FOR EVALUATION. ON COMPLETION OF THE

EVALUATION, WHICH MAY REQUIRE AS MUCH AS 120 DAYS, YOU WILL BE INFORMED OF THIS AGENCY'S DECISION WITH RESPECT TO YOUR PROPOSAL.

YOU MAY BE ASSURED THAT YOUR SUBMISSION WILL BE GIVEN EVERY POSSIBLE CONSIDERATION FOR APPLICATION TO ARI'S REQUIREMENTS.

MEMORANDUM OF UNDERSTANDING

.....The undersigned who has read and understood the above policy, on behalf of (Individual, Company, or Corporation) has made a disclosure of a proposal to the Army relating to . It is understood that the Department of the Army has accepted the above proposal for the purpose of evaluating it and advising of any possible Army interest. It is further understood that such acceptance does not imply or create; promise to pay; an obligation to give up any legal right or to assume any duty; a recognition of novelty, originality or priority; or any relationship, contractual or otherwise, such as would render the Government liable to pay for or give up any legal right or assume any obligation for disclosure or use of any information in the proposal to which the Government would otherwise lawfully be entitled.

Signature:

Printed/Typed Name:

Title/Position:

Date:

Reference: ARI BAA Number: _____

Title of Proposal:

ATTACHMENTS

ATTACHMENT A
REPRESENTATIONS, CERTIFICATIONS AND OTHER STATEMENTS OF
OFFERORS OR QUOTERS

52.225-20 Prohibition on Conducting Restricted Business Operations in Sudan—Certification
AUG 2009

252.209-7001 Disclosure of Ownership or Control by the Government of a Terrorist Country
JAN 2009

252.225-7003 Report of Intended Performance Outside the United States and Canada--
Submission with Offer DEC 2006

252.247-7022 Representation of Extent of Transportation by Sea AUG 1992

CLAUSES INCORPORATED BY FULL TEXT

252.204-7007 ANNUAL REPRESENTATIONS AND CERTIFICATIONS (52.204-8)
ALTERNATE A (MAY 2010)

(a)(1) The North American Industry Classification System (NAICS) code for this acquisition is 541720.

(2) The small business size standard is \$7.0M.

(3) The small business size standard for a concern which submits an offer in its own name, other than on a construction or service contract, but which proposes to furnish a product which it did not itself manufacture, is 500 employees.

(b)(1) If the clause at 52.204-7, Central Contractor Registration, is included in this solicitation, paragraph (d) of this provision applies.

(2) If the clause at 52.204-7 is not included in this solicitation, and the offeror is currently registered in CCR, and has completed the ORCA electronically, the offeror may choose to use paragraph (d) of this provision instead of completing the corresponding individual representations and certifications in the solicitation. The offeror shall indicate which option applies by checking one of the following boxes:

Paragraph (d) applies.

Paragraph (d) does not apply and the offeror has completed the individual representations and certifications in the solicitation.

(c)(1) The following representations or certifications in ORCA are applicable to this solicitation as indicated:

(i) 52.203-2, Certificate of Independent Price Determination. This provision applies to solicitations when a firm-fixed-price contract or fixed-price contract with economic price adjustment is contemplated, unless--

(A) The acquisition is to be made under the simplified acquisition procedures in Part 13;

(B) The solicitation is a request for technical proposals under two-step sealed bidding procedures; or

(C) The solicitation is for utility services for which rates are set by law or regulation.

(ii) 52.203-11, Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions. This provision applies to solicitations expected to exceed \$150,000.

(iii) 52.204-3, Taxpayer Identification. This provision applies to solicitations that do not include the clause at 52.204-7, Central Contractor Registration.

(iv) 52.204-5, Women-Owned Business (Other Than Small Business). This provision applies to solicitations that--

(A) Are not set aside for small business concerns;

(B) Exceed the simplified acquisition threshold; and

(C) Are for contracts that will be performed in the United States or its outlying areas.

(v) 52.209-5, Certification Regarding Responsibility Matters. This provision applies to solicitations where the contract value is expected to exceed the simplified acquisition threshold.

(vi) 52.214-14, Place of Performance--Sealed Bidding. This provision applies to invitations for bids except those in which the place of performance is specified by the Government.

(vii) 52.215-6, Place of Performance. This provision applies to solicitations unless the place of performance is specified by the Government.

(viii) 52.219-1, Small Business Program Representations (Basic & Alternate I). This provision applies to solicitations when the contract will be performed in the United States or its outlying areas.

(A) The basic provision applies when the solicitations are issued by other than DoD, NASA, and the Coast Guard.

(B) The provision with its Alternate I applies to solicitations issued by DoD, NASA, or the Coast Guard.

(ix) 52.219-2, Equal Low Bids. This provision applies to solicitations when contracting by sealed bidding and the contract will be performed in the United States or its outlying areas.

(x) 52.222-22, Previous Contracts and Compliance Reports. This provision applies to solicitations that include the clause at 52.222-26, Equal Opportunity.

(xi) 52.222-25, Affirmative Action Compliance. This provision applies to solicitations, other than those for construction, when the solicitation includes the clause at 52.222-26, Equal Opportunity.

(xii) 52.222-38, Compliance with Veterans' Employment Reporting Requirements. This provision applies to solicitations when it is anticipated the contract award will exceed the simplified acquisition threshold and the contract is not for acquisition of commercial items.

(xiii) 52.223-1, Biobased Product Certification. This provision applies to solicitations that require the delivery or specify the use of USDA-designated items; or include the clause at 52.223-2, Affirmative Procurement of Biobased Products Under Service and Construction Contracts.

(xiv) 52.223-4, Recovered Material Certification. This provision applies to solicitations that are for, or specify the use of, EPA-designated items.

(xv) 52.225-2, Buy American Act Certificate. This provision applies to solicitations containing the clause at 52.225-1.

(xvi) 52.225-4, Buy American Act--Free Trade Agreements—Israeli Trade Act Certificate. (Basic, Alternate I, and Alternate II) This provision applies to solicitations containing the clause at 52.225-3.

(A) If the acquisition value is less than \$25,000, the basic provision applies.

(B) If the acquisition value is \$25,000 or more but is less than \$50,000, the provision with its Alternate I applies.

(C) If the acquisition value is \$50,000 or more but is less than \$67,826, the provision with its Alternate II applies.

(xvii) 52.225-6, Trade Agreements Certificate. This provision applies to solicitations containing the clause at 52.225-5.

(xviii) 52.225-20, Prohibition on Conducting Restricted Business Operations in Sudan-- Certification.

(xix) 52.226-2, Historically Black College or University and Minority Institution Representation. This provision applies to--

(A) Solicitations for research, studies, supplies, or services of the type normally acquired from higher educational institutions; and

(B) For DoD, NASA, and Coast Guard acquisitions, solicitations that contain the clause at 52.219-23, Notice of Price Evaluation Adjustment for Small Disadvantaged Business Concerns.

(2) The following certifications are applicable as indicated by the Contracting Officer:
(Contracting Officer check as appropriate.)

----(i) 52.219-19, Small Business Concern Representation for the Small Business Competitiveness Demonstration Program.

----- (ii) 52.219-21, Small Business Size Representation for Targeted Industry Categories Under the Small Business Competitiveness Demonstration Program.

----- (iii) 52.219-22, Small Disadvantaged Business Status.

----- (A) Basic.

----- (B) Alternate I.

----- (iv) 52.222-18, Certification Regarding Knowledge of Child Labor for Listed End Products.

----- (v) 52.222-48, Exemption from Application of the Service Contract Act to Contracts for Maintenance, Calibration, or Repair of Certain Equipment Certification.

----- (vi) 52.222-52 Exemption from Application of the Service Contract Act to Contracts for Certain Services--Certification.

----- (vii) 52.223-9, with its Alternate I, Estimate of Percentage of Recovered Material Content for EPA-Designated Products (Alternate I only).

XX ----- (viii) 52.223-13, Certification of Toxic Chemical Release Reporting.

----- (ix) 52.227-6, Royalty Information.

----- (A) Basic.

----- (B) Alternate I.

XX ----- (x) 52.227-15, Representation of Limited Rights Data and Restricted Computer Software.

(d) The offeror has completed the annual representations and certifications electronically via the Online Representations and Certifications Application (ORCA) Web site at <https://orca.bpn.gov/>. After reviewing the ORCA database information, the offeror verifies by submission of the offer

that the representations and certifications currently posted electronically have been entered or updated within the last 12 months, are current, accurate, complete, and applicable to this solicitation (including the business size standard applicable to the NAICS code referenced for this solicitation), as of the date of this offer, and are incorporated in this offer by reference (see FAR 4.1201); except for the changes identified below [offeror to insert changes, identifying change by clause number, title, date]. These amended representation(s) and/or certification(s) are also incorporated in this offer and are current, accurate, and complete as of the date of this offer.

FAR/DFARS clause No.	Title	Date	Change
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Any changes provided by the offeror are applicable to this solicitation only, and do not result in an update to the representations and certifications posted on ORCA.
 (End of Provision)

252.227-7017 IDENTIFICATION AND ASSERTION OF USE, RELEASE, OR DISCLOSURE RESTRICTIONS (JUN 1995)

(a) The terms used in this provision are defined in following clause or clauses contained in this solicitation --

(1) If a successful Offeror will be required to deliver technical data, the Rights in Technical Data -- Noncommercial Items clause, or, if this solicitation contemplates a contract under the Small Business Innovative Research Program, the Rights in Noncommercial Technical Data and Computer Software -- Small Business Innovative Research (SBIR) Program clause.

(2) If a successful Offeror will not be required to deliver technical data, the Rights in Noncommercial Computer Software and Noncommercial Computer Software Documentation clause, or, if this solicitation contemplates a contract under the Small Business Innovative Research Program, the Rights in Noncommercial Technical Data and Computer Software -- Small Business Innovative Research (SBIR) Program clause.

(b) The identification and assertion requirements in this provision apply only to technical data, including computer software documentation, or computer software to be delivered with other than unlimited rights. For contracts to be awarded under the Small Business Innovative Research Program, the notification and identification requirements do not apply to technical data or computer software that will be generated under the resulting contract. Notification and identification is not required for restrictions based solely on copyright.

(c) Offers submitted in response to this solicitation shall identify, to the extent known at the time an offer is submitted to the Government, the technical data or computer software that the Offeror, its subcontractors or suppliers, or potential subcontractors or suppliers, assert should be furnished to the Government with restrictions on use, release, or disclosure.

(d) The Offeror's assertions, including the assertions of its subcontractors or suppliers or potential subcontractors or suppliers, shall be submitted as an attachment to its offer in the

following format, dated and signed by an official authorized to contractually obligate the Offeror:

- Identification and Assertion of Restrictions on the Government’s Use, Release, or Disclosure of Technical Data Computer Software.
- The Offeror asserts for itself, or the persons identified below, that the Government’s rights to use, release, or disclose the following technical data or computer software should be restricted:

Technical Data Computer Software to be Furnished With Restrictions*	Basis for Assertion**	Asserted Rights Category***	Name of Person Asserting Restrictions****
[LIST]*****	[LIST]	[LIST]	[LIST]

* For technical data (other than computer software documentation) pertaining to items, components, or processes developed at private expense, identify both the deliverable technical data and each such item, component, or process. For computer software or computer software documentation identify the software or documentation.

** Generally, development at private expense, either exclusively or partially, is the only basis for asserting restrictions. For technical data, other than computer software documentation, development refers to development of the item, component, or process to which the data pertain. The Government’s rights in computer software documentation generally may not be restricted. For computer software, development refers to the software. Indicate whether development was accomplished exclusively or partially at private expense. If development was not accomplished at private expense, or for computer software documentation, enter the specific basis for asserting restrictions.

*** Enter asserted rights category (e.g., government purpose license rights from a prior contract, rights in SBIR data generated under another contract, limited, restricted, or government purpose rights under this or a prior contract, or specially negotiated licenses).

**** Corporation, individual, or other person, as appropriate.

***** Enter "none" when all data or software will be submitted without restrictions.

Date _____
 Printed Name and Title _____

 Signature _____
 (End of identification and assertion)

(e) An Offeror's failure to submit, complete, or sign the notification and identification required by paragraph (d) of this provision with its offer may render the offer ineligible for award.

(f) If the Offeror is awarded a contract, the assertions identified in paragraph (d) of this provision shall be listed in an attachment to that contract. Upon request by the Contracting Officer, the Offeror shall provide sufficient information to enable the Contracting Officer to evaluate any listed assertion.

{end of provision }

252.227-7028 TECHNICAL DATA OR COMPUTER SOFTWARE PREVIOUSLY DELIVERED TO THE GOVERNMENT (JUN 1995)

The Offeror shall attach to its offer an identification of all documents or other media incorporating technical data or computer software it intends to deliver under this contract with other than unlimited rights that are identical or substantially similar to documents or other media that the Offeror has produced for, delivered to, or is obligated to deliver to the Government under any contract or subcontract. The attachment shall identify --

(a) The contract number under which the data or software were produced;

(b) The contract number under which, and the name and address of the organization to whom, the data or software were most recently delivered or will be delivered; and

(c) Any limitations on the Government's rights to use or disclose the data or software, including, when applicable, identification of the earliest date the limitations expire.

ATTACHMENT B
COST-REIMBURSABLE CONTRACTS
FAR/DFARS CONTRACT CLAUSES
ALL APPLICABLE CLAUSES WILL BE INCORPORATED WITHIN THE AWARD
DOCUMENTS.

52.252-1, Solicitation Provisions Incorporated by Reference (FEB 1998)

This solicitation incorporates one or more solicitation provisions by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. The offeror is cautioned that the listed provisions may include blocks that must be completed by the offeror and submitted with its quotation or offer. In lieu of submitting the full text of those provisions, the offeror may identify the provision by paragraph identifier and provide the appropriate information with its quotation or offer. Also, the full text of a solicitation provision may be accessed electronically at this/these address(es):
<http://farsite.hill.af.mil/vffara.htm>

52.252-2 Clauses Incorporated by Reference (FEB 1998)

This contract incorporates one or more clauses by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. Also, the full text of a clause may be accessed electronically at this/these address(es):
<http://farsite.hill.af.mil/vffara.htm>

252.201-7000, Contracting Officer's Representative, Dec 1991

52.202-1, Definitions, JUL 2004 (in solicitations and contracts that exceed the simplified acquisition threshold)

52.203-3, Gratuities, APR 1984

52.203-5, Covenant Against Contingent Fees, APR 1984

52.203-6, Restrictions On subcontractor Sales To The Government, SEP 2006

52.203-7, Anti-Kickback Procedures, JUL 1995

252.203-7001, Prohibition on Persons Convicted of Fraud or Other Defense-Contract-Related Felonies, DEC 2008

52.203-8, Cancellation, Rescission, and Recovery of Funds for Illegal or Improper Activity, JAN 1997

52.203-10, Price or Fee Adjustment for Illegal or Improper Activity, JAN 1997

52.203-12, Limitation on Payments to Influence Certain Federal Transactions, SEP 2007

52.204-2, Security Requirements, AUG 1996

52.204-4, Printed or Copied Double-Sided on Recycled Paper, AUG 2000

52.204-7, Central Contractor Registration, APR 2008

252.204-7000, Disclosure of Information, DEC 1991

252.204-7003, Control of Government Personnel Work Product, APR 1992

252.204-7004, Central Contractor Registration, Alt A, SEP 2007

52.209-6, Protecting the Government's Interests when Subcontracting with Contractors Debarred, Suspended, or Proposed for Debarment, SEP 2006

252.209-7001, Disclosure of Ownership or Control by the Government of a Terrorist Country, DEC 2008

252.209-7004, Subcontracting with Firms That Are Owned or Controlled by the Government of a Terrorist Country, DEC 2006

252.209-7005, Reserve Officer Training Corps and Military Recruiting on Campus, JAN 2000

52.213-4, Terms and Conditions -- Simplified Acquisitions (Other Than Commercial Items), JUL 2010

52.214-34, Submission of Offers in the English Language, APR 1991

52.214-35, Submission of Offers in U.S. Currency, APR 1991

52.215-2, Audit and Records-Negotiation, MAR 2009

52.215-5, Facsimile Proposals, OCT 1997

52.215-8, Order of Precedence -- Uniform Contract Format, OCT 1997

52.215-10, Price Reduction for Defective Cost or Pricing Data, OCT 1997

52.215-11, Price Reduction for Defective Cost or Pricing Data -- Modifications, OCT 1997

52.215-15, Pension Adjustment and Asset Reversions, OCT 2004

52.215-16, Facilities Capital Cost of Money, JUN 2003

52.215-20 –ALT IV- Requirements for Cost or Pricing Data or Information Other Than Cost or Pricing Data, OCT 1997

52.215-21 –ALT IV- Requirements for Cost or Pricing Data or Information Other Than Cost or Pricing Data – Modifications, OCT 1997

52.216-1, Type of Contract – [Cost Reimbursable], APR 1984

52.216-7, Allowable Cost and Payment, DEC 2002

52.216-8, Fixed Fee, MAR 1997

52.216-11, Cost Contract -- No Fee, APR 1984

52.216-15, Price Redetermination Prospective, APR 1998

252.219-7003, Small, Small Disadvantaged and Women-Owned Small Business Subcontracting Plan (DoD Contracts), APR 2007

52.219-8 (DEV), Utilization of Small Business Concerns, (DEVIATION), MAY 2004

52.219-9, Small Business Subcontracting Plan, OCT 2001

52.222-2, Payment for Overtime Premiums, JUL 1990

52.222-3, Convict Labor, JUN 2003

52.222-21, Prohibition of Segregated Facilities, FEB 1999

52.222-26, Equal Opportunity, MAR 2007

52.222-35, Equal Opportunity for Special Disabled Veterans, Veterans of the Vietnam Era, and Other Eligible Veterans, SEP 2006

52.222-36, Affirmative Action for Workers with Disabilities, JUN 1998

52.222-37, Employment Reports on Special Disabled Veterans, Veterans of the Vietnam Era, and Other Eligible Veterans, SEP 2006

52.222-38, Compliance with Veteran's Employment Reporting Requirements, SEP 2006

52.223-5, Pollution Prevention and Right-to-Know Information, AUG 2003

52.223-6, Drug-Free Workplace, MAY 2001

52.223-13, Certification of Toxic Chemical Release Reporting, AUG 2003

52.223-14, Toxic Chemical Release Reporting, AUG 2003

52.225-13, Restrictions on Certain Foreign Purchases, JUN 2008

252.225.7012, Preference for Certain Domestic Commodities, JUN 2010

252.225-7031, Secondary Arab Boycott of Israel, JUN 2005

52.227-1, ALT 1, Authorization and Consent, DEC 2007

52.227-2, Notice And Assistance Regarding Patent And Copyright Infringement, DEC 2007

252.227-7013, Rights in Technical Data--Noncommercial Items, NOV 1995

252.227-7014, Rights in Noncommercial Computer Software and Noncommercial Computer Software Documentation, JUN 1995

252.227-7025, Limitations on the Use or Disclosure of Government Furnished Information Marked with Restrictive Legends, JUN 1995

252.227-7038, Patent Rights—Ownership by the Contractor (Large Business), DEC 2007

252.227-7039, Patents—Reporting Of Subject Inventions, APR 1990

52.230-2, Cost Accounting Standards, OCT 2008

52.230-3, Disclosure and Consistency of Cost Accounting Practices, JUN 2010

52.230-5, Cost Accounting Standards -- Educational Institution, OCT 2008

52.230-6 -- Administration of Cost Accounting Standards, JUN 2010

52.230-7, Proposal Disclosure—Cost Accounting Practice Changes, APR 2005

252.231-7000, Supplemental Cost Principles, DEC 1991

52.232-9, Limitation on Withholding of Payments, APR 1984

52.232-17, Interest, OCT 2008

52.232-20, Limitation of Cost, APR 1984

52.232-22, Limitation of Funds, APR 1984

52.232-23, Assignment of Claims, JAN 1986

52.232-25, Prompt Payment, OCT 2008

52.232-33, Payment by Electronic Funds Transfer--Central Contractor Registration, OCT 2003

252.232-7003, Electronic Submission of Payment Requests, MAR 2008

252.232-7010, Levies on Contractor Payments, DEC 2006

52.233-1, Disputes, JUL 2002

52.233-2, Service of Protest, SEP 2006

52.233-3, Protest After Award Alternate 1, AUG 1996

52.233-4 – Applicable Law for Breach of Contract Claim, OCT 2004

252.235-7010, Acknowledgment of Support and Disclaimer, MAY 1995

252.235-7011, Final Scientific or Technical Report, NOV 2004

52.239-1, Privacy or Security Safeguards, AUG 1996

52.242-1, Notice of Intent to Disallow Costs, APR 1984

52.242-3, Penalties for Unallowable Costs, MAY 2001, (in all solicitations and contracts, over \$700,000)

52.242-4, Certification of Indirect Costs, JAN 1997

52.242-13, Bankruptcy, JUL 1995

52.242-15, Stop-Work Order, Alternate I, AUG 1989

52.243-2, Changes -- Cost-Reimbursement, Alternate V, AUG 1987

52.243-6, Change Order Accounting, APR 1984

252.243-7002, Requests for Equitable Adjustment, MAR 1998 (in solicitations and contracts estimated to exceed the simplified acquisition threshold)

52.244-2, Subcontracts, Alternate 1, JUN 2007

52.244-5, Competition in Subcontracting, DEC 1996 (when the contract amount is expected to exceed the simplified acquisition threshold)

52.245-1 Alternate II, Government Property, JUN 2007

52.245-9, Use and Charges, AUG 2010

52.246-8, Inspection of Research and Development -- Cost-Reimbursement, MAY 2001

52.246-9, Inspection of Research and Development (Short Form), APR 1984

252.247-7023, Transportation of Supplies by Sea, MAY 2002

252.247-7024, Notification of Transportation of Supplies by Sea, MAR 2000

52.249-5, Termination for the Convenience of the Government (Educational and Other Nonprofit Institutions), SEP 1996

52.249-6, Termination (Cost Reimbursement), MAY 2004

52.249-14, Excusable Delays, APR 1984

52.251-1, Government Supply Sources, APR 1984

252.251-7000, Ordering From Government Supply Sources, NOV 2004

52.253-1, Computer Generated Forms, JAN 1991

FAR 52.230-1 COST ACCOUNTING STANDARDS NOTICES AND CERTIFICATION (OCT 2008)

(Applicable if proposed contract subject to CAS as specified in 48 CFR 9903.201 (FAR Appendix)

Note: This notice does not apply to small businesses or foreign governments. This notice is in three parts, identified by Roman numerals I through III.

Offerors shall examine each part and provide the requested information in order to determine Cost Accounting Standards (CAS) requirements applicable to any resultant contract.

If the offeror is an educational institution, Part II does not apply unless the contemplated contract will be subject to full or modified CAS coverage pursuant to 48 CFR 9903.201-2(c)(5) or 9903.201-2(c)(6), respectively.

I. Disclosure Statement--Cost Accounting Practices and Certification

(a) Any contract in excess of \$650,000 resulting from this solicitation will be subject to the requirements of the Cost Accounting Standards Board (48 CFR Chapter 99), except for those contracts which are exempt as specified in 48 CFR 9903.201-1.

(b) Any offeror submitting a proposal which, if accepted, will result in a contract subject to the requirements of 48 CFR Chapter 99 must, as a condition of contracting, submit a Disclosure Statement as required by 48 CFR 9903.202. When required, the Disclosure Statement must be submitted as a part of the offeror's proposal under this solicitation unless the offeror has already submitted a Disclosure Statement disclosing the practices used in connection with the pricing of this proposal. If an applicable Disclosure Statement has already been submitted, the offeror may satisfy the requirement for submission by providing the information requested in paragraph (c) of Part I of this provision.

Caution: In the absence of specific regulations or agreement, a practice disclosed in a Disclosure Statement shall not, by virtue of such disclosure, be deemed to be a proper, approved, or agreed-to practice for pricing proposals or accumulating and reporting contract performance cost data.

(c) Check the appropriate box below:

___ (1) Certificate of Concurrent Submission of Disclosure Statement. The offeror hereby certifies that, as a part of the offer, copies of the Disclosure Statement have been submitted as follows:

(i) Original and one copy to the cognizant Administrative Contracting Officer (ACO) or cognizant Federal agency official authorized to act in that capacity (Federal official), as applicable; and

(ii) One copy to the cognizant Federal auditor.

(Disclosure must be on Form No. CASB DS-1 or CASB DS-2, as applicable. Forms may be obtained from the cognizant ACO or Federal official and/or from the loose-leaf version of the Federal Acquisition Regulation.)

Date of Disclosure Statement: _____ Name and Address of Cognizant ACO or Federal Official Where Filed: _____

The offeror further certifies that the practices used in estimating costs in pricing this proposal are consistent with the cost accounting practices disclosed in the Disclosure Statement.

___ (2) Certificate of Previously Submitted Disclosure Statement. The offeror hereby certifies that the required Disclosure Statement was filed as follows:

Date of Disclosure Statement: _____ Name and Address of Cognizant ACO or Federal Official Where Filed: _____

The offeror further certifies that the practices used in estimating costs in pricing this proposal are consistent with the cost accounting practices disclosed in the applicable Disclosure Statement.

___ (3) Certificate of Monetary Exemption. The offeror hereby certifies that the offeror, together with all divisions, subsidiaries, and affiliates under common control, did not receive net awards of negotiated prime contracts and subcontracts subject to CAS totaling \$50 million or more in the cost accounting period immediately preceding the period in which this proposal was submitted. The offeror further certifies that if such status changes before an award resulting from this proposal, the offeror will advise the Contracting Officer immediately.

___ (4) Certificate of Interim Exemption. The offeror hereby certifies that (i) the offeror first exceeded the monetary exemption for disclosure, as defined in (3) of this subsection, in the cost accounting period immediately preceding the period in which this offer was submitted and (ii) in accordance with 48 CFR 9903.202-1, the offeror is not yet required to submit a Disclosure Statement. The offeror further certifies that if an award resulting from this proposal has not been made within 90 days after the end of that period, the offeror will immediately submit a revised certificate to the Contracting Officer, in the form specified under subparagraph (c)(1) or (c)(2) of Part I of this provision, as appropriate, to verify submission of a completed Disclosure Statement.

Caution: Offerors currently required to disclose because they were awarded a CAS-covered prime contract or subcontract of \$50 million or more in the current cost accounting period may not claim this exemption (4). Further, the exemption applies only in connection with proposals submitted before expiration of the 90-day period following the cost accounting period in which the monetary exemption was exceeded.

II. Cost Accounting Standards--Eligibility for Modified Contract Coverage

If the offeror is eligible to use the modified provisions of 48 CFR 9903.201-2(b) and elects to do so, the offeror shall indicate by checking the box below. Checking the box below shall mean that the resultant contract is subject to the Disclosure and Consistency of Cost Accounting Practices clause in lieu of the Cost Accounting Standards clause.

___ The offeror hereby claims an exemption from the Cost Accounting Standards clause under the provisions of 48 CFR 9903.201-2(b) and certifies that the offeror is eligible for use of the Disclosure and Consistency of Cost Accounting Practices clause because during the cost accounting period immediately preceding the period in which this proposal was submitted, the offeror received less than \$50 million in awards of CAS-covered prime contracts and subcontracts. The offeror further certifies that if such status changes before an award resulting from this proposal, the offeror will advise the Contracting Officer immediately.

Caution: An offeror may not claim the above eligibility for modified contract coverage if this proposal is expected to result in the award of a CAS-covered contract of \$50 million or more or

if, during its current cost accounting period, the offeror has been awarded a single CAS-covered prime contract or subcontract of \$50 million or more.

III. Additional Cost Accounting Standards Applicable to Existing Contracts

The offeror shall indicate below whether award of the contemplated contract would, in accordance with subparagraph (a)(3) of the Cost Accounting Standards clause, require a change in established cost accounting practices affecting existing contracts and subcontracts.

yes no
(End of provision)

FAR 52.242-4 CERTIFICATION OF FINAL INDIRECT COSTS (JAN 1997)

(a) The Contractor shall --

(1) Certify any proposal to establish or modify final indirect cost rates;

(2) Use the format in paragraph (c) of this clause to certify; and

(3) Have the certificate signed by an individual of the Contractor's organization at a level no lower than a vice president or chief financial officer of the business segment of the Contractor that submits the proposal.

(b) Failure by the Contractor to submit a signed certificate, as described in this clause, may result in final indirect costs at rates unilaterally established by the Contracting Officer.

(c) The certificate of final indirect costs shall read as follows:

CERTIFICATE OF INDIRECT COSTS

This is to certify that I have reviewed this proposal to establish final indirect cost rates and to the best of my knowledge and belief:

1. All costs included in this proposal _____ (identify proposal and date) to establish final indirect cost rates for _____ (identify period covered by rate) are allowable in accordance with the cost principles of the Federal Acquisition Regulation (FAR) and its supplements applicable to those contracts to which the final indirect cost rates will apply; and

2. This proposal does not include any costs, which are expressly unallowable under applicable cost principles of the FAR or its supplements.

FIRM: _____

SIGNATURE: _____

NAME OF CERTIFYING OFFICIAL: _____

TITLE: _____

DATE OF EXECUTION: _____

(End of Clause)

DFARS 252.204-7004 Alternate A, CENTRAL CONTRACTOR REGISTRATION (SEP 2007)

Substitute the following paragraph (a) for paragraph (a) of the clause at FAR 52.204-7:

(a) Definitions. As used in this clause--

“Central Contractor Registration (CCR) database” means the primary Government repository for contractor information required for the conduct of business with the Government.

“Commercial and Government Entity (CAGE) code” means—

(1) A code assigned by the Defense Logistics Information Service (DLIS) to identify a commercial or Government entity; or

(2) A code assigned by a member of the North Atlantic Treaty Organization that DLIS records and maintains in the CAGE master file. This type of code is known as an “NCAGE code.”

“Data Universal Numbering System (DUNS) number” means the 9-digit number assigned by Dun and Bradstreet, Inc. (D&B) to identify unique business entities.

“Data Universal Numbering System +4 (DUNS+4) number” means the DUNS number assigned by D&B plus a 4-character suffix that may be assigned by a business concern. (D&B has no affiliation with this 4-character suffix.) This 4-character suffix may be assigned at the discretion of the business concern to establish additional CCR records for identifying alternative Electronic Funds Transfer (EFT) accounts (see Subpart 32.11 of the Federal Acquisition Regulation) for the same parent concern.

“Registered in the CCR database” means that—

(1) The Contractor has entered all mandatory information, including the DUNS number or the DUNS+4 number, into the CCR database;

(2) The Contractor’s CAGE code is in the CCR database; and

(3) The Government has validated all mandatory data fields, to include validation of the Taxpayer Identification Number (TIN) with the Internal Revenue Service, and has marked the records “Active.” The Contractor will be required to provide consent for TIN validation to the Government as part of the CCR registration process.

ATTACHMENT C
FIRM FIXED PRICE CONTRACTS
FAR/DFARS CONTRACT CLAUSES
ALL APPLICABLE CLAUSES WILL BE INCORPORATED WITHIN THE AWARD
DOCUMENTS.

CLAUSES INCORPORATED BY REFERENCE

- 52.202-1 Definitions JUL 2004
- 52.203-3 Gratuities APR 1984
- 52.203-5 Covenant Against Contingent Fees APR 1984
- 52.203-6 Restrictions On Subcontractor Sales To The Government SEP 2006
- 52.203-7 Anti-Kickback Procedures JUL 1995
- 52.203-8 Cancellation, Rescission, and Recovery of Funds for Illegal or Improper Activity JAN 1997
- 52.203-10 Price Or Fee Adjustment For Illegal Or Improper Activity JAN 1997
- 52.203-12 Limitation On Payments To Influence Certain Federal Transactions SEP 2007
- 52.204-4 Printed or Copied Double-Sided on Recycled Paper AUG 2000
- 52.209-5 Certification Regarding Responsibility Matters APR 2010
- 52.209-6 Protecting the Government's Interest When Subcontracting With Contractors Debarred, Suspended, or Proposed for Debarment SEP 2006
- 52.215-2 Audit and Records—Negotiation MAR 2009
- 52.215-8 Order of Precedence--Uniform Contract Format OCT 1997
- 52.215-17 Waiver of Facilities Capital Cost of Money OCT 1997
- 52.215-21 Requirements for Cost or Pricing Data or Information Other Than Cost or Pricing Data—Modifications OCT 1997
- 52.216-11 Cost Contract--No Fee APR 1984
- 52.219-8 (DEV) Utilization of Small Business Concerns (DEVIATION) MAY 2004
- 52.219-9 Alt II (Dev) Small Business Subcontracting Plan (Apr 2008) Alternate II (Deviation) OCT 2001
- 52.219-25 (DEV) Small Disadvantaged Business Participation Program--Disadvantaged Status and Reporting (DEVIATION) APR 2008
- 52.222-3 Convict Labor JUN 2003
- 52.222-21 Prohibition Of Segregated Facilities FEB 1999
- 52.222-26 Equal Opportunity MAR 2007
- 52.222-35 Equal Opportunity For Special Disabled Veterans, Veterans of the Vietnam Era, and Other Eligible Veterans SEP 2006
- 52.222-36 Affirmative Action For Workers With Disabilities JUN 1998
- 52.222-37 Employment Reports On Special Disabled Veterans, Veterans Of The Vietnam Era, and Other Eligible Veterans SEP 2006
- 52.222-50 Combating Trafficking in Persons FEB 2009
- 52.222-54 Employment Eligibility Verification JAN 2009
- 52.223-6 Drug-Free Workplace MAY 2001
- 52.223-14 Toxic Chemical Release Reporting AUG 2003
- 52.223-16 Alt I IEEE 1680 Standard for the Environmental Assessment of Personal Computer Products (Dec 200&0 Alternate I DEC 2007
- 52.224-1 Privacy Act Notification APR 1984

52.224-2 Privacy Act APR 1984
 52.225-13 Restrictions on Certain Foreign Purchases JUN 2008
 52.226-1 Utilization Of Indian Organizations And Indian-Owned Economic Enterprises JUN 2000
 52.227-1 Alt I Authorization And Consent (Dec 2007) - Alternate I APR 1984
 52.227-2 Notice And Assistance Regarding Patent And Copyright Infringement DEC 2007
 52.227-11 Patent Rights--Ownership By The Contractor DEC 2007
 52.227-14 Rights in Data—General DEC 2007
 52.229-3 Federal, State And Local Taxes APR 2003
 52.232-2 Payments Under Fixed-Price Research And Development Contracts APR 1984
 52.232-8 Discounts For Prompt Payment FEB 2002
 52.232-9 Limitation On Withholding Of Payments APR 1984
 52.232-17 Interest OCT 2008
 52.232-23 Assignment Of Claims JAN 1986
 52.232-25 Prompt Payment OCT 2008
 52.232-33 Payment by Electronic Funds Transfer--Central Contractor Registration OCT 2003
 52.233-1 Disputes JUL 2002
 52.233-3 Protest After Award AUG 1996
 52.242-13 Bankruptcy JUL 1995
 52.243-1 Alt V Changes--Fixed-Price (Aug 1987) - Alternate V APR 1984
 52.245-1 Alt I Government Property (Jun 2007) Alternate I JUN 2007
 52.246-25 Limitation Of Liability—Services FEB 1997
 52.249-2 Termination For Convenience Of The Government (Fixed-Price) MAY 2004
 52.249-9 Default (Fixed-Priced Research And Development) APR 1984
 52.249-14 Excusable Delays APR 1984
 52.251-1 Government Supply Sources APR 1984
 52.252-6 Authorized Deviations In Clauses APR 1984
 52.253-1 Computer Generated Forms JAN 1991
 252.201-7000 Contracting Officer's Representative DEC 1991
 252.203-7000 Requirements Relating to Compensation of Former DoD Officials JAN 2009
 252.203-7001 Prohibition On Persons Convicted of Fraud or Other Defense-Contract-Related Felonies DEC 2008
 252.203-7002 Requirement to Inform Employees of Whistleblower Rights JAN 2009
 252.204-0007 Contract-wide: Sequential ACRN Order SEP 2009
 252.204-7000 Disclosure Of Information DEC 1991
 252.204-7003 Control Of Government Personnel Work Product APR 1992
 252.204-7004 Alt A Central Contractor Registration (52.204-7) Alternate A SEP 2007
 252.205-7000 Provision Of Information To Cooperative Agreement Holders DEC 1991
 252.209-7004 Subcontracting With Firms That Are Owned or Controlled By The Government of a Terrorist Country DEC 2006
 252.209-7005 Reserve Officer Training Corps and Military Recruiting on Campus JAN 2000
 252.222-7999 (Dev) Additional Requirements and Responsibilities Restricting the Use of Mandatory Arbitration Agreements (Deviation) FEB 2010
 252.225-7012 Preference For Certain Domestic Commodities DEC 2008
 252.226-7001 Utilization of Indian Organizations and Indian-Owned Economic Enterprises, and Native Hawaiian Small Business Concerns SEP 2004

252.227-7021 Rights In Data--Existing Works MAR 1979
252.227-7027 Deferred Ordering Of Technical Data Or Computer Software APR 1988
252.227-7038 Patent Rights--Ownership by the Contractor (Large Business) DEC 2007
252.232-7003 Electronic Submission of Payment Requests and Receiving Reports MAR 2008
252.235-7004 Protection of Human Subjects JUL 2009
252.235-7010 Acknowledgment of Support and Disclaimer MAY 1995
252.243-7001 Pricing Of Contract Modifications DEC 1991
252.243-7002 Requests for Equitable Adjustment MAR 1998
252.244-7000 Subcontracts for Commercial Items and Commercial Components (DoD Contracts) AUG 2009
252.247-7023 Transportation of Supplies by Sea MAY 2002
252.247-7024 Notification Of Transportation Of Supplies By Sea MAR 2000

CLAUSES INCORPORATED BY FULL TEXT

52.233-4 APPLICABLE LAW FOR BREACH OF CONTRACT CLAIM (OCT 2004)

United States law will apply to resolve any claim of breach of this contract.
(End of clause)

52.252-2 CLAUSES INCORPORATED BY REFERENCE (FEB 1998)

This contract incorporates one or more clauses by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. Also, the full text of a clause may be accessed electronically at this/these address(es):

<http://farsite.hill.af.mil/vffara.htm>

<http://akss.dau.mil/jsp/default.jsp>

(End of clause)

252.204-7006 BILLING INSTRUCTIONS (OCT 2005)

When submitting a request for payment, the Contractor shall--

(a) Identify the contract line item(s) on the payment request that reasonably reflect contract work performance; and

(b) Separately identify a payment amount for each contract line item included in the payment request.

(End of clause)

252.232-7010 LEVIES ON CONTRACT PAYMENTS (DEC 2006)

(a) 26 U.S.C. 6331(h) authorizes the Internal Revenue Service (IRS) to continuously levy up to 100 percent of contract payments, up to the amount of tax debt.

(b) When a levy is imposed on a payment under this contract and the Contractor believes that the levy may result in an inability to perform the contract, the Contractor shall promptly notify the Procuring Contracting Officer in writing, with a copy to the Administrative Contracting Officer, and shall provide--

(1) The total dollar amount of the levy;

(2) A statement that the Contractor believes that the levy may result in an inability to perform the contract, including rationale and adequate supporting documentation; and

(3) Advice as to whether the inability to perform may adversely affect national security, including rationale and adequate supporting documentation.

(c) DoD shall promptly review the Contractor's assessment, and the Procuring Contracting Officer shall provide a written notification to the Contractor including--

(1) A statement as to whether DoD agrees that the levy may result in an inability to perform the contract; and

(2)(i) If the levy may result in an inability to perform the contract and the lack of performance will adversely affect national security, the total amount of the monies collected that should be returned to the Contractor; or

(ii) If the levy may result in an inability to perform the contract but will not impact national security, a recommendation that the Contractor promptly notify the IRS to attempt to resolve the tax situation.

(d) Any DoD determination under this clause is not subject to appeal under the Contract Disputes Act.

(End of clause)

252.235-7011 FINAL SCIENTIFIC OR TECHNICAL REPORT. (NOV 2004)

The Contractor shall--

(a) Submit two copies of the approved scientific or technical report delivered under this contract to the Defense Technical Information Center, Attn: DTIC-O, 8725 John J. Kingman Road, Fort Belvoir, VA 22060-6218;

(b) Include a completed Standard Form 298, Report Documentation Page, with each copy of the report; and

(c) For submission of reports in other than paper copy, contact the Defense Technical Information Center or follow the instructions at <http://www.dtic.mil>.

(End of clause)