



BROAD AGENCY ANNOUNCEMENT
(BAA) GUIDE FOR
INDUSTRY

MAY 2012

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CHAPTER 1: INTRODUCTION

A. OVERVIEW

Broad Agency Announcements (BAAs) are solicitation methods for Research and Development (R&D) efforts based on synopses published in the FedBizOpps and/or Grants.gov that provide for full and open competition in accordance with (IAW) Federal Acquisition Regulations (FAR) 6.102(d)(2) and merit-based, competitive procedures IAW DoD Grant and Agreement Regulations (DoDGARs) 22.315(a). BAAs are established in FAR 35.016 and are authorized for the acquisition of basic and applied research and that part of development not related to the development of a specific system or hardware procurement. The objective of a BAA is to encourage participation by science and technology firms and educational institutions in meeting Air Force Research and Development goals for innovative ideas and approaches for research that is general in nature.

B. CRITERIA FOR USE

Use of a BAA to solicit for research and development is encouraged when:

1. The Government desires new and creative solutions to problem statements.
2. Using a conventional statement of work could result in unintentionally stifling ideas and concepts given many possible approaches.
3. Fulfilling requirements for scientific study and experimentation directed toward advancing the state-of-the-art or increasing knowledge or understanding rather than focusing on a specific system or hardware solution.
4. The Government must be able to state its objectives in terms of areas of need or interest rather than specific solutions or outcomes.
5. Meaningful proposals with varying technical/scientific approaches are reasonably anticipated.
6. Evaluation will be based on a peer or scientific review.

CHAPTER 2: DEFINITIONS

Agreements Officer: Title given to a person with the authority to enter into, administer, and/or terminate Technology Investment Agreements.

Assistance Instrument: Business arrangement that is appropriate when the goal of the program is to transfer a thing of value to accomplish a public purpose of support or stimulation as authorized by law. Assistance instruments include grants, cooperative agreements, Technology Investment Agreements, and other transactions for research. Assistance Instruments are covered by the [DoD Grant and Agreement Regulation](#) (DoDGARS) and are not subject to the Federal Acquisition Regulation.

Broad Agency Announcement (BAA): A general announcement of an agency's research interest including criteria for selecting proposals and soliciting the participation of all offerors capable of satisfying the Government's needs. (See FAR 35.016.)

BAA Amendment: A change to the terms and conditions of the Announcement Overview, BAA, or Call. A BAA amendment may also change the time and date for receipt of proposals or white papers.

Contract Specialist: Term used interchangeably to include the Contract Negotiator or Buyer. Be advised only a Contracting Officer is warranted to obligate the Government. Regulations specify several other functions that must be performed by a Contracting Officer.

Contracting Officer: Title given to a person with the authority to enter into, administer, and/or terminate contracts and make related determinations and findings. Only a Contracting Officer has the authority to obligate the Government.

Contractor Acquired Property: Property acquired, fabricated, or otherwise provided by the contractor for performing a contract and to which the Government has title.

Cooperative Agreement: An assistance instrument in which there will be substantial involvement between the Government and the recipient to perform basic research, applied research, and advanced technology development. A cost-sharing arrangement may be required. (See DoDGARs 22.215(a)(2).)

[FedBizOpps \(FBO\)](#): The Governmentwide point of entry (GPE) by which U.S. Government agencies identify proposed contract actions and contract awards. BAA solicitations are published in FBO.

Government Furnished Property (GFP): Property in the possession of, or directly acquired by, the Government and subsequently furnished to the contractor for performance of a contract. Government-furnished property includes, but is not limited to, spares and property furnished for repair, maintenance, overhaul, or modification. Government-furnished property also includes contractor-acquired property if the contractor-acquired property is a deliverable under a cost contract when accepted by the Government for continued use under the contract. (See FAR Part 45.)

Grant: An instrument under which the Government provides assistance to a recipient (college/university/non-profit organization) for basic, applied or advanced research. There is no substantial Government involvement. (See DoDGARS 22.215(a)(1).)

Grants.gov: The public notification media used when a BAA will allow for the award of an assistance instrument (grant, cooperative agreement, technology investment agreement) as well as a contract.

Grants Officer: Title given to a person with the authority to enter into, administer, and/or terminate grants and cooperative agreements.

Independent Research and Development (IR&D) Cost: The cost of effort which is neither sponsored by a grant, nor required in performing a contract, and which falls within any of the following four areas: (a) Basic research, (b) Applied research, (c) Development, and (d) Systems and other concept formulation studies. (See FAR 31.001.)

Other Transactions for Prototype: Section 845 of Public Law 103-160, as modified by Section 804 of Public Law 104-201, provides the Secretary of the Air Force authority to enter into transactions (other than contracts) under 10 U.S.C. 2371 for prototype projects directly relevant to weapons or weapon systems proposed to be acquired or developed by the DoD. Agreements issued under this authority are commonly referred to as Other Transaction (OT) for Prototype agreements or Section 845 agreements.

Other Transactions for Research: An instrument under which the Government provides assistance to a recipient (can be a single contractor or a team of contractors) to transfer something of value to the public sector. Substantial Government involvement and 50/50 cost sharing are required. Used when it is not appropriate or feasible to use a contract, grant, or cooperative agreement. (See 10 U.S.C. 2371.)

Price Analyst: A contracting professional whose function is focused on analyzing and negotiating an offeror's cost proposal and documenting the results of the negotiation. A Price Analyst is not a Contract Specialist.

Program Manager (PM): Term used interchangeably to include a Project Engineer, Project Manager, Program Manager, Scientist, Contracting Officer Representative (COR), Contracting Officer Technical Representative (COTR), Senior Scientist or Contract Monitor. Individual responsible for overseeing/managing a Science & Technology (S&T) project.

Statement of Work (SOW): The document that captures the technical content of the contractual effort. The contract may incorporate portions of the offeror's technical proposal instead of a formal SOW. For BAAs, offerors are often required to submit a non-proprietary contractor statement of work (sometimes referred to as a C-SOW).

Technical/Cost Evaluation: The document that records the technical team's evaluation of each proposal against the evaluation criteria. It also addresses the technical team's assessment of applicable quantitative elements, to include number of labor hours proposed, skills mix, materials, subcontracting, etc.

Technology Investment Agreements (TIA): An assistance instrument used to attract non-traditional DoD contractors and facilitate the integration of the defense and commercial industries. It requires a 50/50 cost share unless waived. (See DoDGARS 37.)

White Paper: A brief (usually 2-5 pages) summary of the proposed technical approach with an accompanying rough-order-of-magnitude (ROM) price.

CHAPTER 3: PROCESSES

A. BAA PROCESS: The first step usually involves an announcement on FedBizOpps and, for assistance instruments, Grants.gov that requests interested offerors to submit either a white paper or full proposal (depending on the BAA variation selected, see below). The BAA announcement on FedBizOpps and, for assistance instruments, Grants.gov will be the only solicitation. This may be a short announcement that links to further information or the full announcement. It is recommended interested offerors read the BAA very carefully. As a minimum, the following information will be included in the BAA announcements:

1. An identifying number and program name.
2. Points of contact for both contracting and technical matters. Offerors are encouraged to make contact with the listed individuals for any assistance required.
3. A description of the broadly stated areas of potential basic research or a description of the scientific or engineering problems needing new and creative solutions. A short summary of areas of program interest, expanded as appropriate, to include problems, objectives, and deliverable items (reports, software, prototypes, etc.).
4. Information on proposal format and number of copies of white papers or proposals requested.
5. The address and/or method for white paper or proposal submittal.
6. If a two-step BAA variation is used, a description of the full proposal invitation procedures.
7. Criteria for selecting white papers and proposals.
8. If an informational briefing is scheduled, details as to time, date, place, number of attendees permitted, clearances needed, etc.
9. Advice to foreign-owned firms that their participation is subject to foreign disclosure review procedures and that they should immediately contact the contracting focal point for information if they contemplate responding.
10. If export-controlled technical data is involved, a note advising that only firms holding certification under the US/Canada Joint Certification Program (JCP) (www.dlis.dla.mil/jcp) are allowed access to such data.
11. The total dollar value or range of dollar values as well as anticipated period of performance may be stated in the announcement.

12. A statement that multiple white papers or proposals addressing different research areas, within the purview of the announcement, may be submitted by each offeror.
13. Notice to offerors that only Contracting/Grants/Agreements Officers are legally authorized to commit the Government.
14. Date and time when white papers or full proposals will be due. If an Open BAA variation has been selected white papers or proposals may be allowed over a specified extended period.

B. BAA VARIATIONS

Variations of the BAA process are available for use. The following types are commonly used, but are not considered all inclusive.

One-Step: The one-step process is used to request full technical and cost proposals from each offeror. The proposals are evaluated in accordance with the solicitation criteria and all of a selected proposal, part of a selected proposal, or none of the proposals are selected.

Two-Step: The two-step process is sometimes used when a large number of proposals are anticipated. Potential offerors are invited to submit brief descriptive white papers in lieu of full proposals. The BAA must state whether an unfavorable white paper evaluation will bar the offeror from further consideration. Full proposals are requested from those offerors selected in the white paper evaluation process. When proposals are received, they are evaluated and selected.

Open BAA: This approach allows for white paper and/or proposal submittals at any time within a specified period. BAAs must be publicized no less frequently than annually. White papers/proposals are evaluated when received during the period that the BAA is open.

Closed BAA: This approach allows for white paper and/or proposal submittals at a specified date and time as set forth in the BAA. Late bid and proposal provisions (IAW FAR 52.215-1(c)(3)) are usually included in the BAA.

BAA with Calls: This technique allows for publication of a basic BAA solicitation that contains overarching information, but does not request white papers or full proposals. The basic BAA often functions as a framework identifying the technical areas and giving the basic terms and administrative information of the BAA, and it is usually open for at least 12 months. The requests for white papers and/or proposals are transmitted via Calls that are published separately from the

basic BAA at various times during the open period of the basic BAA (Note: The first Call may be published with the basic BAA.). The Calls may further define the technology/government needs or just request white papers or full proposals. The Calls may also include specific terms that apply to that Call such as further technical details and any pertinent clauses such as available GFP or specific Organizational Conflict of Interest requirements. Proposals or white papers are submitted only when Calls to the basic BAA request them. Late bid and proposal provisions (IAW FAR 52.215-1(c)(3)) are usually included in the BAA.

Staggered-Closed BAA: The staggered-closed BAA states a specified date and time for receipt of proposals or white papers, but also allows for proposals/white papers after the date and time set for proposal receipt. All offerors should be cautioned, however, that the likelihood of funding proposals received after the specified date and time is substantially reduced.

Combinations of the above can result in subsets such as; closed one-step; closed two-step; open one-step; open two-step; two-step with calls; one-step with calls; or two-step staggered-closed.

(See Attachment 1 for graphic depiction of some common BAA variations.)

CHAPTER 4: BAA ANNOUNCEMENT

A BAA announcement may include the following general categories:

BROAD AGENCY ANNOUNCEMENT BAA-XXX-XX-XXXX

NAICS CODE:

FEDERAL AGENCY NAME:

BROAD AGENCY ANNOUNCEMENT TITLE:

BROAD AGENCY ANNOUNCEMENT TYPE:

CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER(S):

PROPOSAL DUE DATE AND TIME:

I. PROGRAM DESCRIPTION:

- 1. Statement of Objective/Needs:**
- 2. Deliverable Items:**
- 3. Schedule:**
- 4. Other Requirements**
- 5. Other Information:**

II. AWARD INFORMATION:

- 1. Anticipated Funding:**
- 2. Anticipated Number of Awards:**
- 3. Anticipated Award Date:**

III. ELIGIBILITY INFORMATION:

IV. PROPOSAL/APPLICATION AND SUBMISSION INFORMATION:

V. PROPOSAL/APPLICATION REVIEW INFORMATION:

VI. AWARD ADMINISTRATION INFORMATION:

VII. AGENCY CONTACTS:

VIII. OTHER INFORMATION:

CHAPTER 5: FREQUENTLY ASKED QUESTIONS

The areas below are those that usually generate the most questions from offerors. The following paragraphs should clarify the information in the BAA and answer many potential questions.

1. **BAA Amendments:** Changes to the announcement can only be made by posting an amendment in the FedBizOpps and, for assistance, Grants.gov. Amendments to BAAs include, but are not limited to the following purposes: (a) change due dates, (b) change total estimated funding, and (c) clarify objectives. Any amendment will appear in the same section of the FedBizOpps as the original announcement.
2. **Proposal Receipt Dates:** All BAAs or BAA Calls will contain an “open and effective” date or a date when white papers or proposals are due. This is the last day for receipt of white papers or proposals. This date can only be changed through a formal amendment (i.e., publication of amendment) to the FedBizOpps announcement.
3. **More Than One Award:** BAAs may result in more than one award. When applicable, the FedBizOpps announcement may specify a range for length of performance expected or a dollar range anticipated for each award. However, to allow for program flexibility, the Government may not provide a range for each award. In this case, the Government may indicate the total value of all awards anticipated.
4. **Source Lists:** Due to the nature of the BAA process Contracting Officers do not prepare a “source list” or “bidders list.”
5. **Availability of Referenced Documents:** Copies of specifications or Data Item Descriptions (DIDs) cited in the BAA announcement may be obtained at the Department of Defense Single Stock Point for Mil Specs and Standards website: <http://dodssp.daps.dla.mil/>.
6. **Late Proposals:** The due date for white papers or proposals will be specified in the BAA. The due date is firm unless otherwise specified in the BAA. Late proposals are only accepted if they comply with the provisions of FAR 52.215-1(c)(3).
7. **Proposals Exceeding The Page Limitations Specified In The Solicitation:** All BAA solicitations normally contain a page limitation for any white paper or proposal submitted. If a submittal exceeds the specified page limitation, the excess pages will normally be removed and not considered in the evaluation. White paper and proposals must comply

with the formatting requirements detailed in the BAA. Submissions not properly formatted will be re-formatted before the page count is evaluated. For example, if the BAA required proposals to be double spaced and an offeror submits a single-spaced proposal, each page will be counted as two pages toward the stated page limit.

8. **Differences between FBO.gov and Grants.gov:** BAAs are published in FBO.gov only when no assistance possibilities are anticipated. They are published in Grants.gov only when only possibilities for assistance are anticipated. Most BAAs are published in both. FBO.gov and Grants.gov function differently. For instance, there can be differences in process or specific forms required; sometimes electronic proposal submission is only accepted through Grants.gov. It is critical to read the BAA carefully to identify the differences in application methods between the two systems.

CHAPTER 6: WHITE PAPER PREPARATION

A. GENERAL: If the Two-Step BAA variation is used, offerors will be required to submit a white paper. The purpose of this white paper is to preclude unwarranted effort on the part of an offeror whose work is not of interest to the Government.

B. FORMAT: The white paper will generally be formatted as follows unless otherwise specified in the BAA:

Section A

1. Title, Period of Performance, Estimated Cost of Task (Rough Order of Magnitude (ROM)), Business Size, Name and Address of the Company, Technical and Contracting Points of Contact, Telephone Number, Fax and Email.
2. Add the following information for classified submissions: Classified level at which company is cleared, Commercial and Government Entity Code (CAGE), contractor address for forwarding classified material (name, address, zip code), cognizant security office (name, address, zip code), and offeror's security officer's name and telephone number.

Section B - Task Objective - Description of work to be performed

Section C - Technical Summary and Proposed Deliverables

C. CONTENTS

1. The white paper should include the anticipated period of performance as well as a rough-order-of-magnitude (ROM) cost. The ROM cost consists of the total cost plus profit/fee, if any. It is a best guess of the anticipated cost of the effort. The ROM should be consistent with any dollar value or ranges, if any, specified in the announcement, as well as the level of work being proposed.
2. The white paper does not include a cost proposal or any of the material which usually accompanies a cost proposal. The white paper is **generally less than five (5) pages in length; See FedBizOpps announcement for specifics for each individual announcement.** It must include a short technical description of the concepts and plans to accomplish the technical objectives. It also briefly describes the technologies to be pursued in the effort. It should also identify any IR&D work underway within the company which may have direct application. The white paper should address only that specific part of the BAA that the offeror intends to accomplish. A single white paper that attempts to address the whole scope of the technology described in the FedBizOpps will most likely be rejected.

D. PROCESS: White papers should be submitted as specified in the BAA. The evaluation team will evaluate the white paper against the criteria stated in the announcement. Those offerors whose white papers are of interest may be invited to submit a formal proposal. All offerors submitting white papers will be contacted by the Government; either informing them the effort proposed is not of interest to the Government or requesting a formal cost and technical proposal by a specified date.

CHAPTER 7: PROPOSAL PREPARATION

A. GENERAL

1. 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 the technical solution necessary to perform the proposal. The technical proposal must be accompanied by a fully supported cost proposal, as cost and technical considerations are reviewed simultaneously.
2. **Do not put proprietary data or markings in the Statement of Work (SOW).** 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 sentences in accordance with FAR 52.215-1(e)(1) and (2) on the cover page:

“This 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 this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets [insert numbers or other identification of sheets]”; and

Each restricted data sheet should be marked as follows:

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

3. The BAA may allow for electronic submittal of the white paper or full proposal. Please read the BAA closely for any specific submittal procedures or restrictions.
4. To ensure all technical proposals receive proper consideration, the Government requires all contractors to follow the same format. Below is a common proposal format. This format can be incorporated as the proposal Table of Contents and serves as a final checklist as well. Each individual BAA should specify which content will be included in the proposal page limit. If the BAA has a different format from the one below, the format listed in the BAA takes precedence over this format.

B. PROPOSAL TABLE OF CONTENTS/CHECKLIST

Note: Always compare this guide's instructions with the announcement instructions as they may vary for some projects and may differ somewhat from the instructions herein. Should that occur, you must comply with the announcement instructions.

Part I - Technical Proposal

- i Cover Page
- ii Table of Content
- 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 Capabilities and Relevant Experience
 - 2.1 Previous or Current Relevant Independent Research and Development (IR&D) Work
 - 2.2 Related Government Contracts
 - 2.3 Facilities/Resources
 - 2.4 Resumes of Key Personnel (no names on the resumes)
- 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 Responsibilities
- 5.0 Appendix(es)

PART II -- Technical Proposal

Format of the proposal shall be specified in the BAA. Note: Carefully review the evaluation criteria specified in the BAA and ensure the proposal adequately addresses all elements of the criteria.

a. Cover Page

The cover page shall include the BAA title and reference number, name, telephone number, fax, and email for the offeror's principal points of contact (both technical and contractual), the offeror's CAGE code, and the business size for the NAICS code identified in the BAA. The page shall also contain the proprietary data disclosure statement, if applicable.

b. Table of Contents

Follow the previously described table of contents 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 offerors to concisely present the important aspects of their proposals to key management personnel. The summary should present an organized progression of the work to be accomplished, without the technical details, so that the reader can grasp the core issues of the proposed program. The Executive Summary should rarely exceed two pages.

e. Technical Approach

In this section, the offeror should provide as much technical detail and analysis as is necessary or useful to support the proposed technical approach. One must clearly identify the technologies, (basic, applied research or exploratory development) forming the "new and creative" solution(s) proposed. It is not effective to address a variety of possible solutions to the technology problems.

- 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.

- 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.
- 3) Risk Analysis and Alternatives: Every technology has limitations and shortcomings. The proposal evaluator(s) will formulate a risk assessment; therefore, it is in the best interest of the offerors to have their 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.
- 4) References: Any good technology discussion must present the basis for, and reference, the findings cited in the literature.

f. Capabilities and Relevant Experience

In this section, the offeror should describe any capabilities the offeror has that are uniquely supportive of the technology to be pursued. The following subparagraphs are offered as possible areas to be addressed.

- 1) Capabilities and Relevant Experience
- 2) Previous or Current Relevant IR&D Work and Points of Contact
- 3) Related Government Contracts and Points of Contact
- 4) Facilities/Resources
- 5) Resumes of Personnel (no names on the resumes)

g. Schedule

The schedule represents the offeror's commitment to perform the program tasks in an orderly, timely manner. Each major task identified in the SOW should appear as a separate line on a Timeline Chart by Task. Planned meetings, such as kick-off, presentations (including final presentation on the effort), Technical Interchange Meetings, etc., should be included in the timeline. The Timeline should also indicate the anticipated meeting site. All deliverables, such as hardware, software, and data items, should be included in the schedule.

h. Program Organization

In this paragraph, the offerors should present their 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:

- 1) Organization Chart(s) with Personnel: Include prime offeror and subcontractor organization charts.
 - 2) Management and Technical Team: This should specifically identify the tasks to be performed by each party and the criteria used to select each subofferor, if any, to perform its task(s).
 - (a) Proposer Responsibilities
 - (b) SubContractor(s) Responsibilities
 - (c) Consultant(s) Responsibilities
- i. Appendix(es): Appendices may include technical reports, published papers, and referenced material. A listing of these reports/papers, with short description of the subject matter, is usually adequate. **DO NOT PROVIDE COMMERCIAL PRODUCT ADVERTISING BROCHURES.** Please be aware that these may be included in the proposal page limitation.

PART III --- Contractor Statement of Work (SOW)

NOTE: Review the SOW instructions in the announcement. If instructions are different from this guide, comply with the announcement instructions.

Many BAAs request a contractor developed Statement of Work (SOW) submitted with the proposal. The SOW developed by the contractor and included in the proposal may be incorporated into a resulting, binding contract. Developing the SOW as a separate and distinct part of the proposal (Part II) will allow the Government to incorporate it as part of the contract with minimal time and effort. (See Attachment 2 for Sample SOW.)

- a. PLEASE USE THE FOLLOWING DECIMAL NUMBERING SYSTEM FOR SOW PREPARATION. **Do not put proprietary data or restrictive markings in the Statement of Work (SOW).**

Table of Contents

1.0 Objective

2.0 Scope

3.0 Background

4.0 Tasks/Technical Requirements

1st sub-level 4.1 Task

2nd sub-level 4.1.1 Sub-task

3rd sub-level 4.1.1.1 Second level sub-task

- b. A contractor developed SOW is required to accurately describe the work to be performed, is enforceable, and void of inconsistencies. If, in the Government's opinion, the SOW does not reflect these requirements, changes or adjustments may be required which could delay or preclude the award. The SOW must be a separate and distinct part of the proposal. The proposed SOW must contain a summary description of the technical methodology as well as the task description, but not in so much detail as to make the SOW inflexible. **DO NOT INCLUDE THE CONTRACTOR'S NAME, OR ANY PROPRIETARY INFORMATION IN THE SOW.**
- c. The following is offered as the format for the SOW. Begin this section on a new page. Start your SOW at Paragraph 1.0. A sample SOW is included for reference as Attachment 2.
 - 1) 1.0 - Objective: This section is intended to give a brief overview of the specialty area and should describe why it is being pursued, and what you are trying to accomplish.
 - 2) 2.0 - Scope: This section includes a statement of what the SOW covers. This should include the technology area to be investigated, objectives/goals, and major milestones for the effort.

- 3) 3.0 - Background: The contractor shall identify appropriate documents that are applicable to the effort to be performed. This section includes any information, explanations, or constraints that are necessary in order to understand the requirements. It may include relationship to previous, current and future operations. It may also include techniques previously tried and found ineffective.
- 4) 4.0 - Technical Requirements:
- (a) This section contains the detailed description of tasks which represent the work to be performed which are contractually binding. Thus, this portion of the SOW should be developed in an orderly progression and in enough detail to establish the feasibility of accomplishing the overall program goals. The work effort should be segregated into major tasks and identified in separately numbered paragraphs according to the decimal system above. Each numbered major task should delineate, by subtask, the work to be performed. The SOW must contain every task to be accomplished.
 - (b) The tasks must be definite, realistic, and clearly stated. Use “shall” whenever the work statement expresses a provision that is binding. Use “should” or “may” whenever it is necessary to express a declaration of purpose. Use “will” in cases where no contractor requirement is involved; e.g., power will be supplied by the Government. Use active voice in describing work to be performed.
 - (c) Do not use acronyms or abbreviations without spelling-out acronyms and abbreviations at the first use; Place the abbreviation in parenthesis immediately following a spelled-out phrase. This provides the definition for each subsequent reuse. As an option, a glossary may contain definitions of acronyms and abbreviations.
 - (d) If presentations/meetings are identified in your schedule, include the following paragraph in your SOW:

“Conduct presentations/meetings at times and places specified in the contract schedule.”
 - (e) It is preferred that your proposed Statement of Work be submitted on a CD-ROM using Microsoft Word. *It is still necessary, however, to submit a hard copy of the Statement of Work.*

PART IV --- Guidelines for Cost Proposals

NOTE: Review the cost proposal instructions in the announcement. If instructions are different from this guide, comply with the announcement instructions.

- a. For pricing purposes, offerors should assume a contract or agreement start date of approximately ninety (90) days after submission of the proposal. Offerors are to provide any current Forward Pricing Rate Agreements (FPRA) in effect at time of proposal submission.
- b. The cost proposal should be limited to the minimum number of pages necessary to adequately support the proposed cost. The BAA should specify whether adequate price competition (APC), as defined in FAR 15.403-1(c), is anticipated. If it is later determined APC *does not exist*, and the threshold for a negotiated contract is equal to or expected to exceed \$700,000, submission of certified cost or pricing data may be required. When certified cost or pricing data are required, the offeror shall submit to the contracting officer (and require subcontractors or prospective subcontractors submit to the prime contractor or appropriate subcontractor tier) the following:
 - 1) The certified cost or pricing data.
 - 2) A certificate of current cost or pricing data, in the format specified in FAR 15.406-2, certifying to the best of its knowledge and belief, the cost or pricing data were accurate, complete, and current as of the date of agreement on price or, if applicable, an earlier date agreed upon between the parties as close as practicable to the date of agreement on price.
- c. If certified cost or pricing data are requested and submitted by an offeror but an exception is later found to apply, the data will not be considered cost or pricing data as defined in FAR 2.101 and will not be certified in accordance with FAR 15.406-2.
- d. **Cost Sharing:** Air Force policy is that the Government will normally fully fund all R&D efforts with appropriated funds. However, there may be occasions where an offeror might anticipate some commercial or other form of additional benefit from participation in an Air Force project and may be willing to share in the costs of the project. In such cases, the offeror will be requested to verify or otherwise substantiate it, and a cost-sharing arrangement may be used. If so, a cost-sharing arrangement will be incorporated in the resulting award. No type of federal funding may be used as a source for the contractor's share of the cost. There are certain programs that may require cost sharing, such as Manufacturing

Technology, which statutorily require cost sharing. Certain types of assistance instruments, such as Technology Investment Agreements or some Cooperative Agreements, may also require cost sharing. On assistance instruments, however, some type of federal funding, such as IR&D, may be appropriate or acceptable as cost share.

e. **Additional Information:** The following information should be contained in a cover sheet attached to the cost proposal:

- 1) Full company name and address
- 2) BAA number submitting proposal against
- 3) Point of contact, name, title, phone and fax number
- 4) CAGE code
- 5) DUNS number
- 6) Type of contract proposed (i.e. CPFF, T&M)
- 7) Name, address and phone number of administration (DCMA) office
- 8) Name, address and phone number of audit (DCAA) office
- 9) Will you require the use of any government property in the performance of this work? If yes, identify.
- 10) Is this proposal consistent with your established estimating and accounting practices and procedures and FAR Part 31 cost principles? If no, explain.

f. **Cost Element Breakdown:** Clear, concise and accurate cost proposals reflect the offeror's financial plan for accomplishing the effort contained in the technical proposal. As a part of its cost proposal, the offeror shall submit, as appropriate, certified cost or pricing data in the format suggested by FAR 15.403-5(b)(1) or in contractor's format containing the information outlined below, together with supporting breakdowns. All direct costs (labor, material, travel, computer, etc.) as well as labor and overhead rates should be provided by contractor fiscal year (CFY) and Government Fiscal Year (GFY) unless otherwise specified in the BAA. Following this narrative is an example of pricing information that may be required. The supporting schedules may include summary level estimating rationale used to generate the proposed costs. Information, such as historical cost information, judgment, analogy to other similar efforts, etc., is generally accepted methods of projecting labor expenditures. Purchase order history, catalog prices, vendor quotations, firm negotiated values, engineering estimates, etc. are generally accepted methods of projecting material requirements. The cost element breakdown(s) may include the following.

- 1) Direct Labor: Direct labor should be detailed by number of labor hours by category of labor.
- 2) Labor and Overhead Rates: Direct labor hours, with their applicable rates, must be broken out and the bases used clearly identified. The source of labor and overhead rates and all pricing factors

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

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

contract or project and if they are or are not already available in the offeror's existing facilities. Indicate quantities, unit prices, whether items are to be purchased or fabricated, whether items are of a severable nature and the basis of the price. These items may be included under Direct Material in the summary format.

- 6) **Consultants:** When consultants are proposed to be used in the performance of the contract, indicate the specific project or area in which such services are to be used. Identify each consultant, number of hours or days to be used and the consultant's rate per hour or day. State the basis of said rate and give your analysis of the acceptability of the consultant's rate.
- 7) **Travel:** Travel costs must be justified and related to the needs of the project. Identify the number of trips, the destination and purpose. Travel costs should be broken out by trip with number of travelers, airfare, per diem, lodging, etc.
- 8) **Computer Use:** Detail the amount and kind of computer usage, the cost, and how the costs were derived.
- 9) **Facilities Capital Cost of Money:** If Facilities Capital Cost of Money is proposed, a properly executed DD Form 1861 is required.
- 10) **Project Funding Profile:** Offerors should include a project funding profile by Government Fiscal Year (GFY) (1 Oct through 30 Sept) for budgetary purposes. This will enable the Government to easily identify program funding needs by GFY.

If an offeror takes exceptions to the requirements called out in the announcement (e.g., base support, Government-furnished property (GFP), CDRLs), the exceptions should be clearly stated in the cost proposal.

CHAPTER 8: WHITE PAPER/PROPOSAL EVALUATION

A. WHITE PAPER EVALUATION

If the Two-Step process (see Chapter 3) was used, offerors will be required to submit a white paper. The evaluation team will evaluate the white paper to determine its overall technical value and interest to the Government. Offerors that submitted white papers found to be of interest may be requested to submit formal technical and cost proposals by a specific date. Offerors that submit a proposal without first submitting a white paper may not be eligible for award; please read each BAA closely to determine if this restriction applies.

B. PROPOSAL EVALUATION

Proposals received as a result of the BAA shall be evaluated in accordance with evaluation criteria specified therein through a peer or scientific review process. Proposals are evaluated solely on the criteria published in the BAA on the FedBizOpps and, for assistance instruments on Grants.gov. The proposal must stand on its own merits as submitted. All BAA proposals are evaluated by Government personnel or as otherwise specified in the announcement. In some cases, when the necessary expertise cannot be found within the Government, outside consultants may be included on the evaluation team. This will be indicated in the announcement. The technical evaluation will classify proposals into categories utilizing the criteria published in the BAA. The three categories generally utilized are the following; however, offerors should consult the BAA as different categories may be specified:

(i) Category I: Demonstrates technical merit. Is important to agency programs. The offeror presents relevant experience and access to adequate resources. Risk is acceptable. The cost/price is reasonable and realistic. Proposals in Category I are recommended for acceptance (subject to availability of funds) and normally are displaced only by other Category I proposals.

(ii) Category II: Demonstrates technical merit; is important to agency programs; and presents relevant experience and access to adequate resources; but requires further development. Risk is acceptable. The cost/price is reasonable and realistic. Category II proposals are recommended for acceptance, but at a lower priority than Category I.

(iii) Category III: Does not demonstrate technical merit; does not meet agency needs; does not present adequate experience or resources; the risk level is unacceptable; or the cost/price is not reasonable or realistic.

C. AWARDS

1. More Than One Award and Flexibility in Awards made:

Under the BAA method, more than one award is generally made based on the quality of the proposals and availability of funding. Occasionally, the Air Force may be interested in contracting for only a certain portion (or portions) of a proposal. The BAA method provides the flexibility to make an award for only those portions or tasks of the proposal that are of interest to the Government. You will be notified in writing if the Government intends to make an award based on your proposal. The notification will indicate if all or only portions of your proposal will be included in the award.

2. Sequence of Awards:

In most BAAs, awards are usually made to Category I proposals prior to awards to any Category II proposals. However, because of the uniqueness of the BAA evaluation process, it may be the case that while your overall proposal is ranked in Category II (or even Category III) a certain part of the proposal may be ranked Category I or II. In this case the flexibility of the BAA process (mentioned in paragraph 1) will allow the Government to make an award for that portion of your proposal that is of high interest to the Government. Alternately, in cases where multiple Category I offerors propose similar technical approaches, a Category II proposal with a unique approach may be awarded over a Category I with a duplicative approach. Category III proposals, with the exception of certain parts of the proposal (as described above) are generally not awarded. Offerors whose proposal(s) are not recommended for acceptance will be notified by the Contracting Officer.

CHAPTER 9: NEGOTIATION TO AWARD

A. NOTIFICATION OF AWARD DECISION

The Contracting Officer or Contract Specialist will notify, in writing, offerors selected for negotiation for potential award and offerors that were not selected for contract award. Such notification can only occur after the technical evaluation has been approved. During this notification process, the Contracting Officer or Contract Specialist may request any required updates or revisions begin immediately.

B. MODEL DOCUMENT

The Contracting Officer or Contract Specialist may transmit the Government's anticipated contractual format (Model Document) to the selected offeror(s) if a model document was not provided in the BAA. The model document provides the basis for negotiations on all contractual or agreement requirements, terms, and conditions.

C. TECHNICAL AND COST NEGOTIATIONS

1. **Technical:** Any unresolved technical issues, such as the SOW, will normally be addressed first. Typically, negotiations involve specific language issues or determining Government needs versus effort proposed. Most of these negotiations are conducted via telephone and supplemented by either fax or email. If many complex issues arise, the Government negotiator may request face-to-face meetings to resolve them.
2. **Terms and Conditions:** Any exceptions, changes, or additions to the model document should be clearly identified and justification should be provided. Some may affect pricing or technical considerations (e.g., limited and restricted rights, licensing agreements, or royalties) and should normally be resolved before negotiating cost and fee/price.
3. **Cost and fee (if applicable)/Price** should be addressed last. If rates, factors, or other cost elements change after proposal submission, the Government negotiator must be informed as quickly as possible to preclude any delays. The offeror may be asked to document these changes. To expedite negotiations, this information should be sent via fax or email if it is not too voluminous. The contracting officer is responsible for evaluating the reasonableness of those offered prices. The analytical techniques and procedures employed are meant to ensure that the final price is fair and reasonable. The complexity and circumstances of each acquisition will determine the level of detail of the analysis required. FAR

15.404-1(d) requires that cost realism analysis be used on all cost reimbursement contracts to determine the probable cost of performance of the offeror. That cost may not necessarily coincide with the offeror's. Additionally, the government also performs a risk assessment. In that regard, the assessed risk should be commensurate with the fee. If the proposed and government assessed fee differ, then fee, like cost, will be negotiated.

4. **Pre-Award Cost:** Occasionally, circumstances arise within a specific program that may result in the offeror requesting Pre-award cost. Pre-award cost involves an offeror agreeing or requesting to start work on an award after the successful conclusion of negotiations, but without issuance of a signed award. The offeror assumes all risk in this situation. If no contract is awarded, all incurred costs shall be at the offeror's risk and not allowable on any Government contract. The offeror must weigh the benefit of starting an effort early against the possibility that a contract will not be awarded. If the Government agrees to pre-award cost, the CO will confirm the negotiated date in writing along with the provision of total cost risk assumption in the event that no award is issued. When the award is forwarded for signature, the early date the parties agreed to will be placed in the "Effective Date" block of the contract, which acknowledges allowability of the costs incurred prior to the offeror and CO signatures reflected on the document. Otherwise, the effective date is the mailing date. On assistance instruments, recognition of some pre-award costs may be acceptable and negotiated with the grants officer; however, costs which pre-date the announcement cannot be recognized.
5. **Agreement:** Once negotiations have been concluded, the Government negotiator will ask the offeror to confirm the negotiations in writing. The confirmation should include the cost and fee or price, and any terms and conditions agreed to (e.g., phase cost and fee, SOW changes, contract clause or instrument article exceptions, Small Business Subcontracting Plan, etc.). For an effort where the contracting officer determines there was not adequate price competition, if the total price of the contract reaches the regulatory threshold, the offeror must furnish to the Government a Certificate of Current Cost or Pricing Data as soon as possible following negotiations. While the offeror prepares this documentation, the Government negotiator initiates the contract preparation process.
6. **Offeror Signature:** Often the negotiator may submit the contract for legal review and contractor signature simultaneously. In this case the negotiator may ask the contractor to withhold signature until completion of that review. Any exceptions taken should be immediately brought to the attention of the Government negotiator for resolution prior to signing and forwarding the document.

7. **Signature and Distribution:** After the contractor has signed and returned the document, the CO signs the contract and the document is distributed. If it exceeds \$6.5 million dollars, by regulation the CO must wait three days for public announcement of the award before distribution can be made.

CHAPTER 10: DEBRIEFINGS

A. DEBRIEFINGS

When a FAR-based contract was proposed, offerors may submit a written request to the Contracting Officer for a debriefing of the evaluation results (See FAR 15.505 and 15.506.). The debriefing may be accomplished by telephone, teleconference, or face-to-face as determined by the Contracting Officer.

B. PROPOSAL RETENTION

All proposals and white papers will be retained by the government in accordance with FAR 4.8.

CHAPTER 11: ASSISTANCE INSTRUMENTS

A. BACKGROUND

An award may be made from a BAA announcement in the form of a Grant, Cooperative Agreement (CA), Technology Investment Agreement (TIA) or Other Transaction (OT) for Research, rather than a contract. These are known as "Assistance Instruments." Assistance Instruments are appropriate when the goal of the project is to provide assistance by transferring a thing of value (such as money or government facilities) to accomplish a public purpose. On the other hand, a FAR contract is usually more appropriate when the goal of the program is the purchase of goods or services for the direct benefit of the government. Assistance Instruments, while legally termed a contract, is not subject to the Federal Acquisition Regulation (FAR). There are three basic kinds of assistance instruments: (1) Grants, (2) CAs, and (3) OTs for Research. Additionally, TIAs are a very flexible class of agreements that may be either a CA or OT, depending on the patent language contained in the document.

B. GENERAL

Assistance Instruments differ from contracts in that they are usually more streamlined and less complex. Assistance Instruments establish a "partnership" between the government and the recipient rather than the "buyer/seller" relationship common with a FAR contract. A grant does not require substantial Government involvement, whereas a CA or OT for Research does. "Substantial Government involvement" is defined as involvement, of a technical nature, over and above the normal program management functions. Assistance Instruments are similar to contracts in that they also require basic cost and technical proposals (including the requirement for a proposed SOW), as well as negotiation and agreement on articles, similar to terms and conditions. They differ in that agreement is based on an estimated budget rather than a fair and reasonable price. The DoD Grant and Agreement Regulations (DoDGARS) is the governing policy for Grants, Cooperative Agreements, and Technology Investment Agreements. The website for the DoDGARS is <http://www.dtic.mil/whs/directives/corres/html/321006r.htm>.

C. WHEN A GRANT WOULD BE AWARDED

Grants are normally awarded for basic and applied research efforts. They are used when the objective is to advance the state of knowledge in an area of science or technology; to find a solution to a specific problem; or to achieve improved performance or reduce cost where no specific end result or product, other than documentation, is required. Any hardware involved would be for demonstration or proof-of-principle purposes only. The award of a Grant must meet several other requirements in addition to the above. A Grant must provide to the Government, at a minimum, a paid-up license and march-in rights in patents. The following characteristics apply to a Grant award:

1. Primarily awarded to educational or non-profit organizations.
2. Classified information is usually not involved.
3. There is no fee or profit.
4. DoD Grant and Agreement Regulations (DoDGARS) does apply.
5. Substantial involvement between the Government and recipient is not required.
6. Not subject to the terms of a procurement contract.

D. WHEN A CA WOULD BE AWARDED

CAs are normally awarded for basic research, applied research, or advanced research or development efforts. The following characteristics apply to a CA award:

1. Used when a contract or grant has been determined inappropriate.
2. Substantial involvement between the Government and recipient is required.
3. Paid-up license and march-in rights in patents must be obtained.
4. Government Purpose Rights in data usually obtained.
5. There is no profit/fee.
6. Cost share may be highly encouraged or required and may consist of other than cash; IR&D cost sharing allowable.
7. Not subject to the terms of the FAR.
8. DoDGARS does apply.

E. WHEN AN OTHER TRANSACTION (OT) FOR RESEARCH WOULD BE AWARDED

An OT for Research is used when it has been determined a contract, grant, or CA is not appropriate. OTs are undefined legal instruments. An OT created under 10 U.S.C 2371 may only be used for purposes specifically authorized by law such as for basic, applied, and advanced research. The following characteristics apply to an OT for Research award:

1. Paid-up license and march-in rights in patents not required.
2. 50/50 cost sharing is required unless waived.
3. Not subject to the terms of a procurement contract.
4. DoDGARS does not apply to OTs.
5. Substantial involvement between the Government and recipient is required.
6. There is no fee/profit

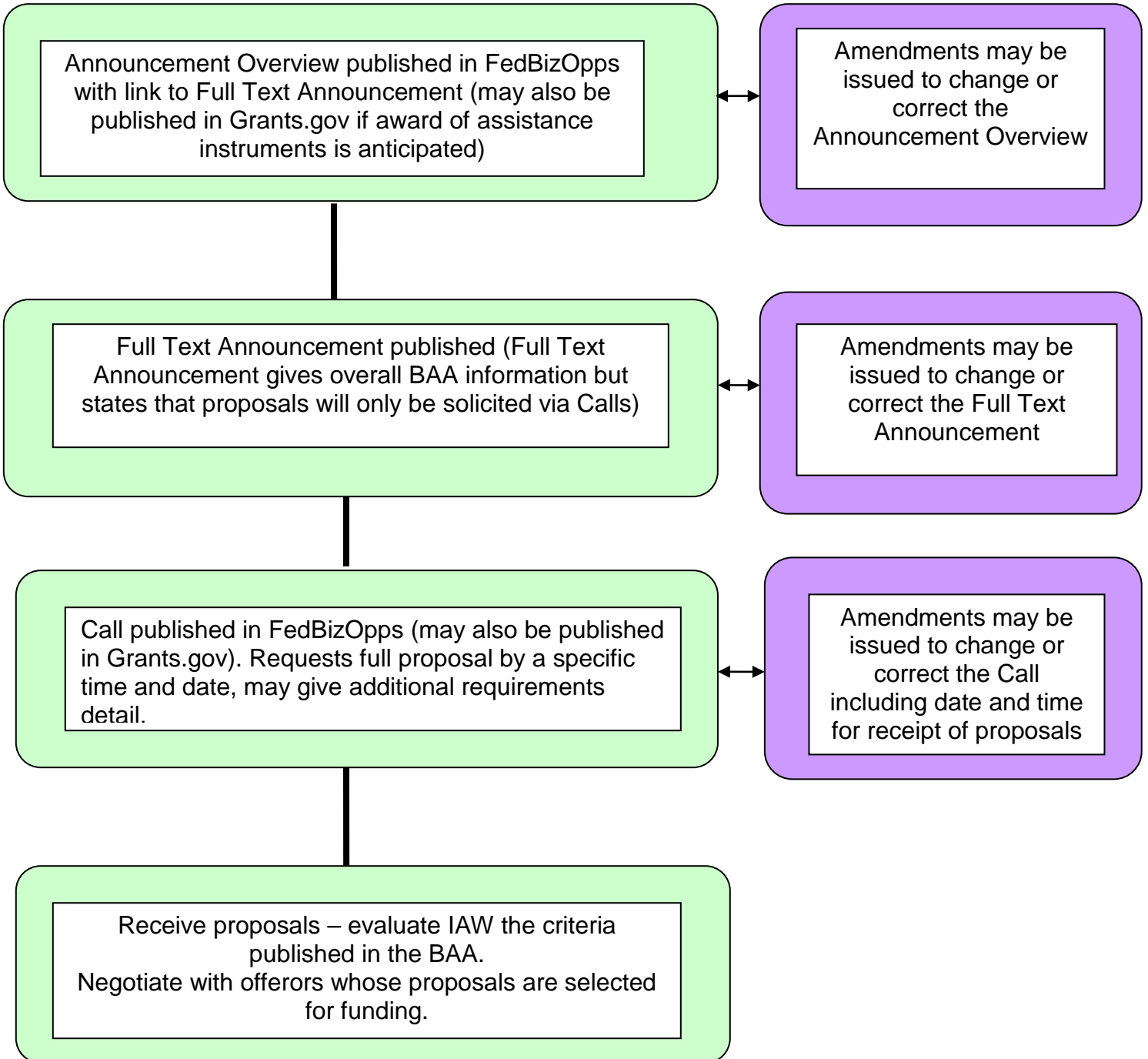
F. WHEN A TIA WOULD BE AWARDED

A TIA is a class of assistance instrument that may be either a CA or OT depending on the patent language included in the agreement. It is used for stimulation or support of basic, applied, and advanced research when it is appropriate to use assistance instruments and the research is to be performed by a for-profit firm or a consortium including for-profit firms, particularly firms that traditionally do not conduct business with the government. TIAs allow for flexibility in a number of areas that are often barriers to participation by firms that normally do not do business with the government. These flexibilities include standards for financial management systems, cost principles, and rights to technical data and computer software. The following characteristics apply to a TIA:

1. Recipient must be a for-profit company or a consortium (multiple firms teaming together) including a for-profit company.
2. Used when a contract or Grant have been determined inappropriate.
3. 50/50 cost share required unless waived.
4. Paid-up license and march-in rights in patents may be required if TIA is determined to be a CA. Not required if TIA is determined to be an OT.
5. There is no profit/fee.
6. More flexibility in reporting requirements and payment procedures may be negotiated. Payment may be made based on completion of technical milestones.
7. DoDGARS applies.
8. Substantial involvement between the Government and recipient is expected.

ATTACHMENT 1: GRAPHIC DEPICTIONS OF COMMON BAAs

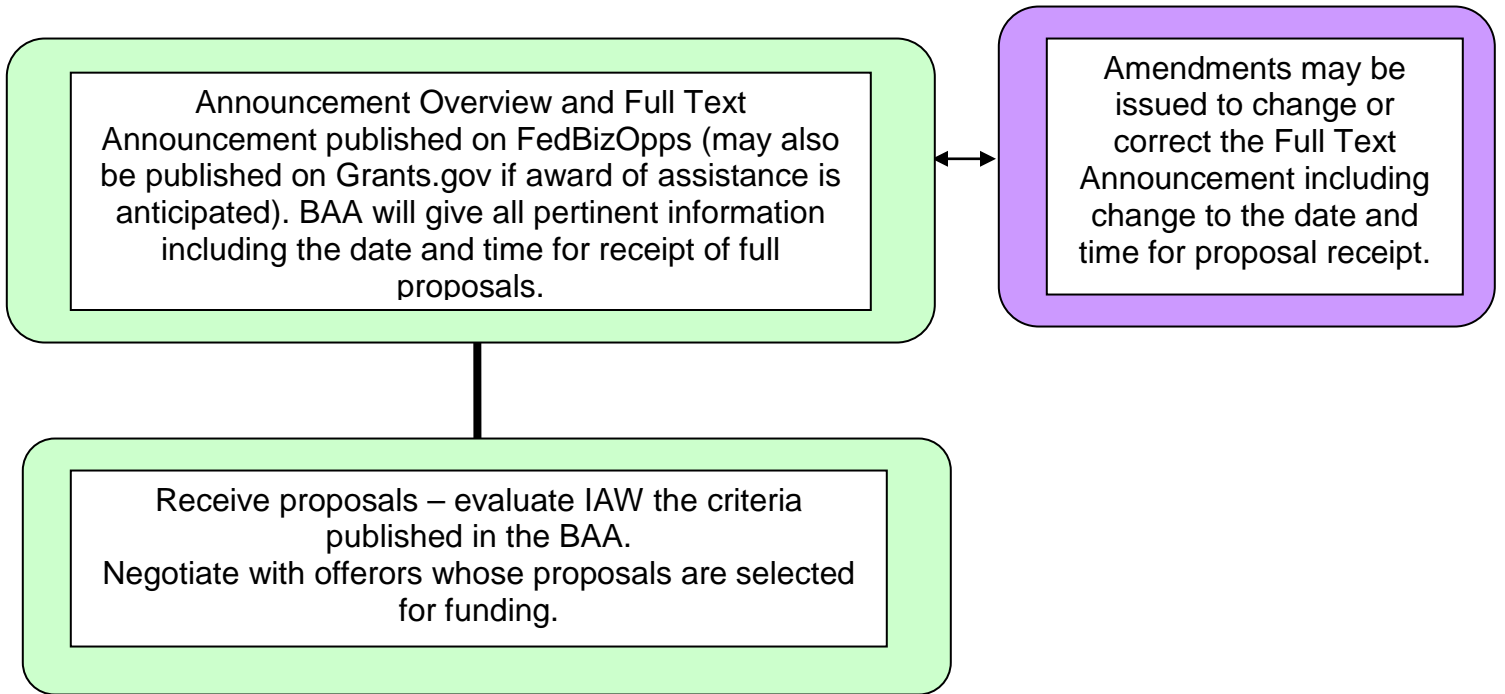
One-Step BAA with Calls



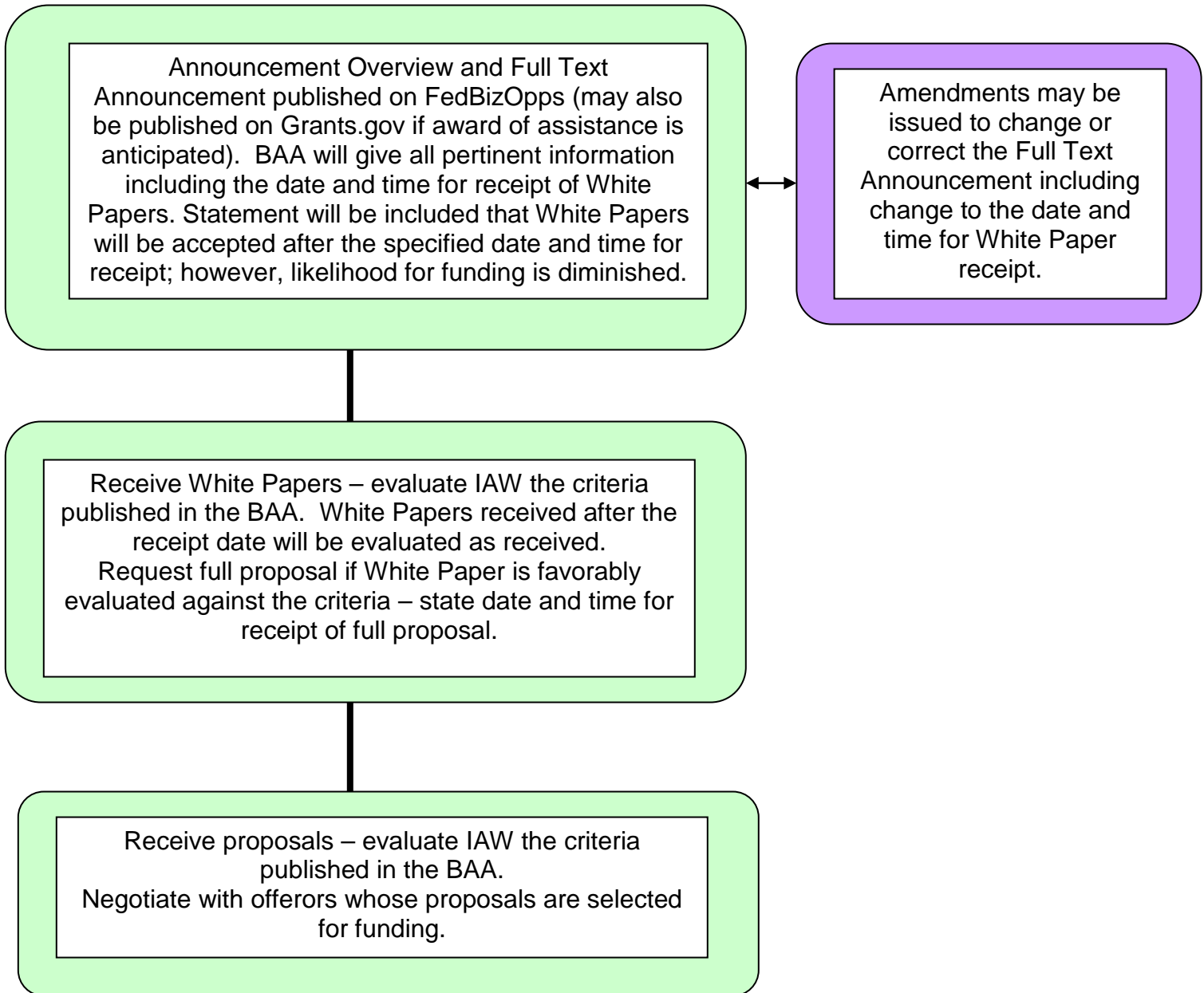
Two-Step Open BAA



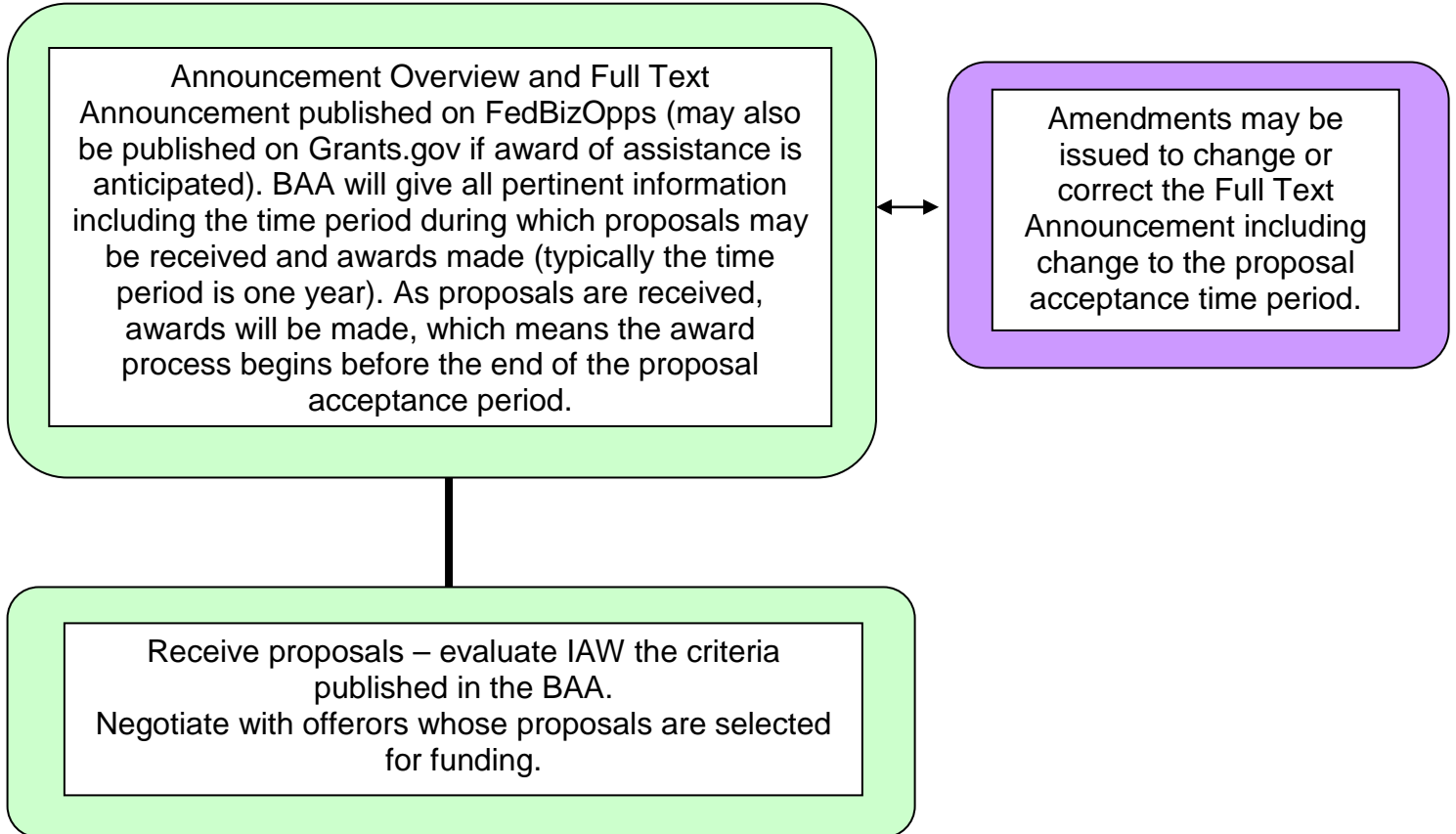
One-Step Closed BAA



Two-Step, Staggered-Close BAA



Open, One-Step BAA



SAMPLE STATEMENT OF WORK Attachment 2

1.0 OBJECTIVE:

1.1 The objective of this effort is to investigate: (a) techniques for generating code for (whatever); (b) technology that connect transformed variants of programs, crucial to debugging and performance analysis; and (c) exploitation of XXX by software environments.

2.0 SCOPE:

2.1 The scope of this effort is to develop technology for building integrated computational environments for XXXXX and distributing a set of advanced computational software tools based on this technology that demonstrates the ability to achieve improved performance on current XXXXXX computers.

3.0 BACKGROUND:

3.1 XXXXXX and computer communications networks are increasingly important to scientific advancement, economic computation, and national security. The technology is reaching the point of having a transforming effect on our society, industries, national defense, and educational institutions. The goal of the XXXXXXXXXXXXXXXX program is to accelerate significantly the commercial availability and utilization of the next generation of XXXXXXXXXXXXXXXX computers and software.

3.1 The key is by aggressively pursuing research in XXXXXXXXXXX, and intelligent XXXXXXXXXXX to deliver revolutionary advances in XXXXXXXXXXX software tools. An ideal XXXXXXXXXXX environment will ultimately depend on a pervasive understanding of the relationship between XXXXXXXXXXXI programming methodology, XXXXXXXXXXX, XXXXXXXXXXX implementation, and system performance characteristics.

4.0 TASKS/TECHNICAL REQUIREMENTS:

4.1 The contractor shall accomplish the following:

4.1.1 Design and implement a XXXXXXXXXXX for a XXXXXXXXXXX computer. The XXXX shall include the design of initial data structures.

4.1.2 Develop an execution analysis infrastructure to debug and study the performance of XXXXXXXXXXX without having to understand the transformations caused upon the program by the XXXXXXXXXXX, which includes:

4.1.2.1 Implementation of connections between XXXXXXXXXXX and XXXXXXXXXXX.

4.1.2.2 Implementation of connections from XXXXXXXXXXX to XXXXXXXXXXX representation.

4.1.3 Develop technology to utilize the power of XXXXXX on the XXXXXXXXXXXX tasks to develop a general XXXXXX environment which includes:

4.1.3.1 Tools for XXXXXXXX to be XXXXXXXXXXXX scheduled on XXXXXXXXXXXX;

4.1.3.2 Interfaces for automatic scheduling of tools that are specifically designed to be executed on XXXXXXXX; and

4.1.3.3 Integrating the XXXXXX paragraph 4.1.1.

4.1.4 Identify XXXXX community members with relevant applications to experiment with the XXXXXXXXXXXX of the XXXXXXfrom paragraph 4.1.1 and the general XXXXXXXXXXXX from paragraph 4.1.3.

4.1.5 Reporting.

4.1.5.1 Continually determine the status of the effort and report progress toward accomplishment of contract requirements. (See CDRL, A001)*

4.1.5.2 Continually determine the status of funding required for contract performance. (See CDRL, A002)**

4.1.5.3 Document all technical work accomplished and information gained during the performance of this acquisition. This shall include all pertinent observations, nature of problems, positive as well as negative results, and design criteria established, where applicable; also, procedures followed, processes developed, "Lesson Learned", etc. The details of all technical work shall be documented to permit full understanding of the techniques and procedures used in evolving technology or processes developed. Separate design, engineering, or process specifications delivered during this acquisition shall be cross-referenced to permit a full understanding of the total acquisition. (See CDRL, A003)***

*(See CDRL, A001) - indicates an R&D Project Summary Report, due either monthly or quarterly.

** (See CDRL, A002) - indicates a Contract Funds Status Report, due either monthly or quarterly.

*** (See CDRL, A003) - indicates Final Technical Report due at the end of the contract term