

U.S. ARMY RESEARCH OFFICE  
BROAD AGENCY ANNOUNCEMENT FOR  
LPS Qubit Collaboratory (LQC)



**W911NF-21-S-0009**

Issued by:

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

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

### **A. Required Overview Content**

**1. Federal Agency Name(s):**

U.S. Army Research Office

**Issuing Acquisition Office:**

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

**2. Funding Opportunity Title:** LPS Qubit Collaboratory (LQC)

**3. Announcement Type**

Initial Announcement

**4. Research Opportunity Number:** W911NF-21-S-0009

**5. Catalog of Federal Domestic Assistance (CFDA) Number:**

12.431 – Basic Scientific Research

**6. Response Dates:**

This BAA is a continuously open announcement valid throughout the period from the date of issuance through **30 April 2026**, unless announced otherwise.

### **B. Additional Overview Information**

This Broad Agency Announcement (BAA) which sets forth research areas of interest to the Army Research Laboratory- Army Research Office (ARL-ARO) and the National Security Agency (NSA) is issued under paragraph 6.102(d)(2) of the Federal Acquisition Regulation (FAR), and 10 USC 2358 which provides for the competitive selection of basic research proposals. Proposals submitted in response to this BAA and selected for award are considered to be the result of full and open competition and in full compliance with the provision of Public Law 98-369, "The Competition in Contracting Act of 1984" and subsequent amendments.

The Department of Defense agencies involved in this program reserve the right to select for award; all, some, or none of the proposals submitted in response to this announcement. The participating DoD agencies will provide no funding for direct reimbursement of proposal development costs. Technical and cost proposals (or any other material) submitted in response to this BAA will not be returned. It is the policy of participating DoD agencies to treat all proposals as sensitive, competitive information and to disclose their contents only for the purposes of evaluation.

## II. DETAILED INFORMATION ABOUT THE FUNDING OPPORTUNITY

### A.1 Funding Opportunity Description

The U.S. Army Research Office (ARO) in partnership with NSA's Laboratory for Physical Science (LPS) is soliciting Incubator, Collaboration, and Fellowship research proposals for participation in the LPS Qubit Collaboratory (LQC). The mission of the LQC can be captured in three broad goals: 1) pursue disruptive fundamental research and enabling technologies with a focus on qubit development for quantum computing and other applications (such as sensing); 2) grow deep, collaborative partnerships to tackle the most difficult and relevant long-term problems in quantum information science and technology; and 3) build a quantum workforce of tomorrow through research experiences in government at LPS and at LQC partners. The LQC will offer a mechanism for collaborative research between LPS and academia, industry, FFRDCs, and Government Laboratories to advance foundational and transformative research on challenging problems that have hindered progress in quantum information processing and associated technologies.

The goal of this BAA is to seek proposals that bring together expertise from the public and private sectors and their respective research infrastructures to advance solutions that may be best approached as a collaborative team. A Collaboratory is "a center without walls, in which the nation's researchers can perform their research without regard to physical location, interacting with colleagues, accessing instrumentation, sharing data and computational resources, [and] accessing information in digital libraries"<sup>123</sup>. This BAA introduces LQC Research Thrusts (**A.1.1**) which are the technical areas of interest—which will be updated periodically—where partners of the LQC will pursue joint research with LPS through Incubator (**A.1.2**) and Collaboration (**A.1.3**) collaborative agreements. The LQC BAA also fulfills the Government's overarching interest--through the proposed research and on-site research experiences--in creating and training a workforce in quantum science and technology, generating pathways of solutions that feed technology development, establishing partnerships, and creating transition opportunities. In further support of training through research, **Section A.1.4** calls for Quantum Computing Research (QuaCR) Graduate and Postdoctoral Fellowships for US citizens working in areas of interest as described below.

Substantial progress on solving the most difficult and long-term Quantum Information Science & Technology (QIST) research problems that unleash further rapid progress in the field will constitute LQC success. Examples of such research problems include (but are not limited to): limits of performance due to device design, material selection, and/or control, the exploration of alternative qubit physics (e.g., different approaches to qubit encoding or types of gates) and lowering of barriers to such approaches, advances in materials that improve qubit gate fidelity,

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<sup>1</sup> Wulf, W. (1989, March). The national collaboratory. In *Towards a national collaboratory*. Unpublished report of a National Science Foundation invitational workshop, Rockefeller University, New York.

<sup>2</sup> Wulf, W. (1993) The collaboratory opportunity. *Science*, 261, 854-855.

<sup>3</sup> <https://en.wikipedia.org/wiki/Collaboratory>

reducing the overhead of classical components in quantum information technology and optimizing classical performance, and the exploration of applications of quantum technologies to new domains.

Three categories of proposals are sought for this BAA:

1. **Incubator** opportunities seek partnership proposals from single investigators and small research groups, including teaching colleges, who may have unique skillsets to contribute toward the pursuit of the research thrusts presented in A.1.1. Incubator proposals may also be the development of concepts into a detailed technical research approach to advance solution of problems of high interest to quantum information science research. Incubator proposals would avail themselves of the collaboration opportunities with LPS research staff and infrastructure made available at the Laboratory for Physical Sciences (LPS) to lay the groundwork for concepts that may be suitable for a Collaboratory proposal or responses to other DoD quantum information science research opportunities.
2. **Collaboratory** proposals seek research proposals that bring together a strong significant collaboration--researchers from academia, industry, FFRDCs, and/or Government Laboratories--to pursue long-term projects focused on fundamental problems of interest to qubit development and/or associated science and technology. These collaborative groups will propose to work together in a focused manner for a period of time expected to be one to three years in order to demonstrate a proof-of-concept experiment and/or theory exploration to determine the feasibility of their creative idea.
3. **QuaCR Research Fellowship** proposals seek to support talented U.S. citizen graduate students and postdoctoral researchers in the field of quantum information processing (primary interest) and quantum sensing (secondary interest). Applicants with a background from either within or outside QIS are encouraged. The proposed research areas are described in this BAA and must enhance active Quantum Information Science research efforts being supported by the Army Research Office and/or LPS. Research fellows are encouraged to complete an LPS Internship during their graduate career or visit during their postdoctoral fellowship (see below).

### **A.1.1 LPS Qubit Collaboratory Priority Research Thrusts (FY 2021)**

In this first year of the BAA, proposals are sought from a small number of research groups to collaboratively investigate long-term and outstanding challenges in qubit device physics and associated areas of Quantum Information Science and Technology. A gradual ramp up of the program will allow a continuous evaluation and modification of the program model. The following research areas are a priority and considered ripe for one of the collaborative research avenues described in this section. Other related topic areas of similar scope may also be considered.

#### **1.) Spin qubits, fast.**

This research area is interested in democratizing spin qubits. Working spin qubits are hard to fabricate and require significant infrastructure and workforce investments. New materials heterostructures and device fabrication techniques can take decades to master. Viable pathways to address difficult materials science challenges without starting from scratch have great potential to improve access to the field. Another roadblock is software and control engineering. Dots require many control lines and control signals. Any reduction in control complexity either by simplifying control systems and/or better qubit design would open many research avenues. Specifically, research proposals are sought that innovatively advance easier methods to characterize and explore the physics of multi-dot systems, ideally in more than one material. The goal is a potential reference system (control hardware, software, and environment) to initialize, control, and readout systems of approximately 10 quantum dots, but with sufficient flexibility to apply to a variety of semiconductor quantum dot qubit and gate approaches. Of particular interest are systems for electrons in silicon and holes in germanium.

Proposers should consider the following questions in formulating their research proposal. Can the initial evaluation of materials be completed faster before investing heavily in device fabrication? Can a common infrastructure be constructed that would open the field to new researchers interested in qubit measurement and control, but not fabrication and/or growth? Can the control stack be standardized to enable small quantum dot systems to be controlled quickly?

## **2.) More epitaxy, better qubits?**

Materials science for quantum computing has largely focused on a basic assumption: that epitaxial devices are better for quantum computing. Are these assumptions that are valid for conventional devices also valid for quantum information devices? How can the positive or negative implications of various epitaxial (or epitaxial-like) growth paradigms be rapidly determined through device modeling, through device testing, and through material characterization? What are the most promising materials for epitaxial qubits? Which qubit systems can benefit from epitaxial materials and/or does epitaxy enable novel qubit approaches? Improvements in computational methods and understanding of surfaces/interfaces at the microscopic level that will enable these assessments are needed and are of interest to this research area.

## **3.) Voltage controllable superconducting qubits**

This research area is interested in exploring compatibility of superconducting devices that are controllable by baseband voltage pulses. Design and qubit quality implications are of particular interest, as well as compatibility with existing wafer growth facilities at LPS and LQC partners. Further, understanding the fundamental limits of charge noise in superconducting systems is a long-term and presently under-investigated challenge.

## **4.) Going hot and not looking back**

Significant improvements in cooling power and complexity can be gained if qubits did not need to be cooled as much as technically possible using dilution refrigerators. This research area would consider designing qubits and multiple qubit experiments to operate in the range of 350

mK to 2 K. For solid-state, gate-based quantum computing, what experimental systems are most promising and empowered by this capability? What physical systems can be employed as qubits that would be promising in this temperature range? What temperature within this range would be desirable and matched for available refrigerators?

### **5.) Beyond Moore, Before Shor**

Significant effort has been put into the development of ultra-high-quality or precision-grown materials systems for qubits in the quantum computing research community. Examples include ultra-low-loss silicon-germanium heterostructures, atomistic fabrication techniques, and superconducting circuits for spin and superconducting qubits, respectively. This research area is interested in exploring the potential for these increasingly well-controlled quantum devices and systems for classical computing and enabling device applications such as low-power or ultra-fast computing or electronics and unique approaches to component technology well before the advent of a large-scale quantum computer.

### **6.) Accelerated Learning of Quantum Information Concepts**

There is a pressing need in Quantum Information Science & Technology (QIST) for new and broader talent. One innovation may be in developing approaches to teaching QIST concepts at multiple levels of expertise (but especially undergraduate to mid-career) to engineers, computer scientists, and physicists. Research proposals are sought in innovative collaborative learning concepts for quantum information science, to include the methodologies, pedagogy, and essential principles that effectively leverage classroom and laboratory experiences to train a diverse quantum workforce of the future. These projects should focus on methods applicable to higher education for the training and retraining of technical individuals that have a range of experiences and knowledge. Practical implementations coupled with evaluation of efficacy are highly desired. Some examples of research activities may include:

- Comparison of traditional quantum mechanics and emerging QIST laboratory experiments for educational use.
- Implementation and assessment of approaches that promise “hands-on” experience interacting with qubit systems.
- Evaluation of incorporating available cloud-based quantum computing resources and simulators into higher education curriculum.
- Integrated research and assessment of pedagogical variants implemented among student populations with varied training and experiences.
- Support for faculty sabbaticals to conduct research in quantum computing.
- Building an individual’s “quantum intuition” through non-conventional educational opportunities such as games and novel experiences.

## **A.1.2 Category 1: Incubator**

This category of research is an opportunity to (a) develop technical concepts that may be of high interest to quantum information science but have insufficient groundwork in terms of feasibility and relevance, or (b) develop technical concepts that may be of high interest to quantum information science by researchers who may not have access to the research infrastructure necessary to advance their concepts. In either case, incubator proposals are expected to rapidly advance to collaboratory proposals (A.1.3), proposals to other ARO/LPS quantum computing BAAs, or proposals to other DoD BAAs in quantum information science.

Incubator opportunities seek proposals from single investigators and small research groups, including teaching colleges, who may have creative solutions and unique skill sets to contribute toward the research topics in this BAA (A.1.1) but lack the research infrastructure at their institutions to pursue this research. Incubator proposals would avail themselves of the collaboration opportunities and infrastructure made available at the Laboratory for Physical Sciences (LPS). Collaboration with government scientists at LPS is expected. Collaboration areas include joint research with the scientific expertise at LPS, collaboration with the scientific infrastructure expertise at LPS, and collaboration to obtain a deeper understanding of DoD interests in quantum information research. Proposers may plan to spend summer breaks or sabbaticals at LPS.

Incubator opportunities also seek proposals to lay the groundwork to advance very high-risk technical concepts that may be of high interest to quantum information science by their potential game changing success. These concepts may not have the opportunity to advance because of a combination of insufficient groundwork, risk, collaboration, infrastructure, and resources.

A successful Incubator Period would quickly identify a technical problem of joint interest, identify technical criteria that would justify further research investment (for example; funding of a Collaboratory Phase), and deliver a technical proposal from 1-3 years which includes technical motivation (e.g., answering the Collaboratory proposal questions), technical and programmatic milestones, team roles and responsibilities, and rough order of magnitude costs for labor, equipment, and materials.

Incubator proposals are expected to be 1-3 years in duration and not exceed \$500K/year. Longer proposals may be considered due to scheduling requirements of fabrication and experiments.

### **A.1.3 Category 2: Collaboratory**

Collaboratory opportunities seek research proposals that bring together, in strong significant collaboration, researchers from academia, industry, FFRDCs, and/or Government Laboratories with LPS at the LQC to pursue disruptive research toward a technical area from the LQC Research Thrusts. These collaborative groups will propose to work together in a focused manner to demonstrate success or failure of their creative idea. Proposals must clearly answer the following questions:

- What is the problem you are trying to solve or understand?
- Why is the problem you are addressing important to the progress in the field?
- Why is the proposed collaboration uniquely suited to address this problem?
- What is new in your collaborative approach and why do you think it will be successful?
- What is new about your scientific or engineering approach?
- What are the yearly metrics/milestones to check for success?
- What are the “Phase 0” questions (if not already answered in the Incubator phase) that justify further years of research funding?
- What are the natural decision points to continue or discontinue research for the proposed idea and/or collaboration?

Experimental projects may require collocation during critical phases of the proposed research. Proposals that involve industry are encouraged but not required to identify partially matching contributions in infrastructure or people. Extended visits and sabbaticals to LPS are strongly encouraged and can be included in the cost of the proposal. Proposals are expected to be two-three years and request less than \$800K per year.

#### **A.1.4 LQC Quantum Computing Research (LQC QuaCR) Graduate and Postdoctoral Fellowships**

LQC QuaCR proposals seek to support the research of talented U.S. citizen graduate students and postdoctoral candidates, and furthermore attract them to the field of quantum information science and technology. While, the emphasis is on quantum computing, proposals for quantum sensing will also be considered. The goal of the LQC QuaCR is to stimulate U.S. graduate student and postdoctoral candidate participation in research related to quantum computing and to assist in the training of graduate students and postdocs to prepare them for careers in quantum information science, by pursuing research in areas described in this BAA. A requirement of the LQC QuaCR Fellowships is to spend at least one summer (no less than 10 weeks for graduate students and 1 month for postdoctoral fellows) at LPS working with an LPS Research or Technical Program Manager. A further goal of the fellowship is to recognize outstanding graduate students and postdocs and foster their impact on quantum information science research. Eligible recipients of research support are U.S. citizen graduate students or postdocs who either will work or are working on quantum computing related research with investigators funded through existing ARO and/or LPS grants and contracts. The duration of the graduate research fellowship is three years and two years for a postdoctoral candidate. Proposals selected for support will be added on to the primary grant and/or contract supporting the research. The principal investigator of the primary grant and/or contract and their associated institution will be responsible for oversight and management of the research performed under this support. The number of funded fellowships will be limited by the quality of proposals received and by the availability of funds.

The proposal must outline the research activities that the candidate will undertake during the three-year length of the fellowship and be written by the candidate. The proposal must specify how the QuaCR fellow will augment the existing research grant of the investigator or expand the group's activities in a new direction.

## **B. Federal Award Information**

Anticipated awards will be made in the form of procurement contracts, grants, or cooperative agreements, and are subject to the availability of appropriations. Given the collaborative nature of anticipated successful proposals and the participation of Government scientists, cooperative agreements are likely to be the most likely award mechanism. Funding for the second year and beyond will be contingent upon satisfactory performance and the availability of funds.

The ACC-APG RTP Division has the authority to award a variety of instruments on behalf of ARL-ARO. The ACC-APG RTP Division reserves the right to use the type of instrument most appropriate for the effort proposed. Applicants should familiarize themselves with these instrument types and the applicable regulations before submitting a proposal. Following are brief descriptions of the possible award instruments.

1. Procurement Contract. A legal instrument, consistent with 31 U.S.C. 6303, which reflects a relationship between the Federal Government and a State Government, a local government, or other entity/contractor when the principal purpose of the instrument is to acquire property or services for the direct benefit or use of the Federal Government.

Contracts are primary governed by the following regulations:

- a. Federal Acquisition Regulation (FAR) [FAR Website](#)
- b. Defense Federal Acquisition Regulation Supplement (DFARS) [DFARS Link](#)
- c. Army Federal Acquisition Regulation Supplement (AFARS) [AFARS Link](#)

2. Grant - A legal instrument that, consistent with 31 U.S.C. 6304, is used to enter into a relationship:
  - a. The principal purpose of which is to transfer a thing of value to the recipient to carry out a public purpose of support or stimulation authorized by a law or the United States, rather than to acquire property or services for the DoD's direct benefit or use.
  - b. In which substantial involvement is not expected between the DoD and the recipient when carrying out the activity contemplated by the grant.

- c. No fee or profit is allowed.
3. Cooperative Agreement. A legal instrument which, consistent with 31 U.S.C. 6305, is used to enter into the same kind of relationship as a grant (see definition "grant"), except that substantial involvement is expected between the DoD and the recipient when carrying out the activity contemplated by the cooperative agreement. The term does not include "cooperative research and development agreements" as defined in 15 U.S.C. 3710a. No fee or profit is allowed.
  4. Grants and cooperative agreements for Institutions of Higher Education and nonprofit organizations are primary governed by the following:
    - A. Federal statutes
    - B. Federal regulations
    - C. 2 CFR part 200, as modified and supplemented by DoD's interim Implementation found in 2 CFR part 1103
    - D. 32 CFR Parts 21, 22, 26, and 28.
    - E. DoD R&D General Terms and Conditions dated January 2021
    - F. ACC-APG-RTP Division Assistance, Research General Terms and Conditions dated August 2016, hereinafter referred to as "Agency Specific Requirements"
    - G. Award-specific terms and conditions
  5. Grants and cooperative agreements for for-profit and nonprofit organizations exempted from Subpart E—cost principles of part 200, are primary governed by the following:
    - a. Federal statutes
    - b. Federal regulations
    - c. 32 CFR Parts 21, 22, 26, and 28.
    - d. DOD 3210.6-R, Part 34 - Administrative Requirements for Grants and Agreements with For-Profit Organizations

Copies of OMB regulations may be obtained from:

Executive Office of the President  
 Publications Service  
 New Executive Office Building  
 725 17th Street, N.W., Room 2200  
 Washington, DC 20503

Telephone: (202) 395-7332  
 FAX Requests: (202) 395-9068  
<https://www.whitehouse.gov/omb/information-for-agencies/circulars/>

An electronic copy of the DoDGARs may be found at [ECFR Link](#) (Title 32: National Defense, Subchapter C – DoD Grant and Agreement Regulations)

### C. Eligibility Information

## **1. Eligible Applicants:**

Eligible applicants under this BAA include Institutions of higher education (foreign and domestic), nonprofit organizations, and for-profit concerns (large and small businesses). Proposals are encouraged from Historically Black Colleges and Universities (as determined by the Secretary of Education to meet requirements of Title III of the Higher Education Act of 1965, as amended (20 U.S.C. §1061)) and from Minority Institutions defined as institutions “whose enrollment of a single minority or a combination of minorities exceeds 50 percent of the total enrollment.” [20 U.S.C. § 1067k(3) and 10 U.S.C. § 2362]. However, no funds are specifically allocated for HBCU/MI participation.

### **1.1 Eligibility for Quantum Computing Research (QuaCR) Fellowships**

U.S. citizen graduate students or postdoctoral candidates who either will work or are currently working with a principal investigator or co-investigator of ARO quantum information science research awards are eligible to apply for the fellowship. The proposal must name the candidate QuaCR Fellow and indicate that the candidate will be working in the investigator’s group on quantum information science research for the next three years. The investigator need not be a U.S. citizen, and the sponsoring university need not be a U.S. university. A QuaCR Fellow who either changes advisors or leaves quantum information science research will void the fellowship and all remaining unspent funds will be returned to the government.

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

There is no requirement for cost sharing, matching, or cost participation to be eligible for award under this BAA and cost sharing and matching is not an evaluation factor used under this BAA.

## **3. Federally Funded Research and Development Centers (FFRDCs):**

Federally Funded Research & Development Centers (FFRDCs), including Department of Energy National Laboratories, are not eligible to receive awards under this BAA. However, teaming arrangements between FFRDCs and eligible principal offerors are allowed so long as such arrangements are permitted under the sponsoring agreement between the Government and the specific FFRDC, and no funds from the award flow to the FFRDC.

## **D. Application and Submission Information**

### **1. Address to View Broad Agency Announcement**

This BAA may be accessed from the following:

- 1) [Grants.gov](https://www.grants.gov)

- 2) [Beta SAM](#)
- 3) ARL website ([BAA List](#))

Amendments, if any, to this BAA will be posted to these websites when they occur. Interested parties are encouraged to periodically check these websites for updates and amendments.

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

## **2. Content and Form of Application Submission**

### **a. General Information**

A proposal submitted under this BAA must address unclassified fundamental research. Proposal submissions will be protected from unauthorized disclosure in accordance with applicable laws and DoD regulations. Applicants are expected to appropriately mark each page of their submission that contains proprietary information. The participating DoD agencies will provide no funding for direct reimbursement of proposal development costs. Technical and cost proposals (or any other material) submitted in response to this BAA will not be returned. It is the policy of participating DoD agencies to treat all proposals as sensitive, competitive information and to disclose their contents only for the purposes of evaluation.

**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, U.S.C.). If an applicant believes a conflict of interest may exist, the situation should be discussed with Point of Contact listed in Section G: Agency Contacts, who will then coordinate with appropriate ARO/ARL legal personnel prior to having applicant expend time and effort in preparing a white paper or proposal.

**Statement of Disclosure Preference:** Please complete ARO Form 52 or 52A stating your preference for release of information contained in your white paper or proposal.

Copies of these forms are available at [BAA Forms](#)

**NOTE:** A white paper or proposal may be handled for administrative purposes by support contractors. These support contractors are prohibited from competing on BAA proposals and are bound by appropriate non-disclosure requirements.

**Equipment:** Normally, title to equipment or other tangible property purchased with Government funds vests with nonprofit institutions of higher education or with nonprofit research organizations if vesting will facilitate scientific research performed for the Government. For profit organizations are expected to possess the necessary

plant and equipment to conduct the proposed research. Deviations may be made on a case-by-case basis to allow commercial organizations to purchase equipment, but disposition instructions must be followed.

## **b. Submission of a QuaCR Proposal**

### **b.1 Proposal Submission**

The proposal must be sponsored and submitted by the principal investigator who will advise the student over the course of the three-year duration of the fellowship. In the case of co-investigators affiliated with a sub-award, the principal investigator's university must submit the fellowship proposal. The co-investigator may be the primary advisor of the student. Proposals must contain all information specified in the "Proposal Content" section below and should be emailed as a PDF attachment to the Army Research Office: [QuaCR Proposal Email](#) .

### **b.2 Proposal Content**

(1) Cover Page: To be eligible for review, proposals must have ARO Form 51 as a cover page.

(2) Cost: The financial portion of the proposal should contain cost estimates sufficiently detailed for meaningful evaluation. Please use ARO Form 99, Summary Proposal Budget, to submit the budget data. In most cases, the QuaCR Fellowship will cover the costs of a student stipend/salary, travel, and tuition support. An additional \$8000/year may be included with the stipend/salary for student allowances. QuaCR Fellow participation in program reviews of the primary grant is strongly encouraged and sufficient travel costs should be included in the proposed budget. In addition to attendance at the program reviews, travel costs for a one to two day visit to the Washington, DC region each year of the fellowship should be included in the proposed budget. The QuaCR Fellowship award may continue even if the parent grant ends before the three-year term of the fellowship.

(3) Research Description: This section of the proposal shall be written by the candidate. The proposal must outline the research activities that the candidate will undertake during the three-year length of the fellowship. The proposal must specify how the QuaCR fellow will augment the existing research grant of the investigator or expand the group's activities in a new direction. Proposals that entail new research tasks rather than just providing additional resources to complete the research tasks already in the existing grant or proposal are preferred, but the primary criteria for selection are the qualifications of the candidate.

(4) Candidate Description: The proposal must also provide detailed information about the student's undergraduate and graduate academic career to date and specifically highlight the candidate's undergraduate and graduate research record.

Recommendation letters (no more than three) are strongly encouraged. Transcripts may be submitted but are not necessary as long as the proposal provides the following information with respect to the candidate: an up-to-date CV, academic institutions

attended, a summary of any prior independent research projects undertaken by the candidate, all available indications of the candidate's performance and stature in his/her graduate class, and a statement of commitment by the candidate to work with the investigator on quantum computing related research if awarded the QuaCR Fellowship.

All required forms can be found here: [BAA Forms](#)

### **b.3 Length and Format of Proposals**

The Research Description section of the QuaCR proposal may not exceed three pages. The Candidate Description section of the QuaCR proposal may not exceed two pages. The two-page Candidate Description limit does not include the statement of commitment by the candidate, but the statement of commitment is not to exceed 50 words. Recommendation letters may be attached with the proposal or emailed separately to the Technical POC. The page limits do not include the requisite cover page, any attached recommendation letters, and budget pages. As stated above, transcripts are not necessary, but if they are submitted, they will not count against the page length restrictions.

### **c. Submission of a White Paper for Incubator and Collaboratory Proposals:**

Stage 1 White Papers – Prospective applicants **must** submit White Papers for Incubator and Collaboratory proposals. The purpose of requesting a White Paper is to minimize the labor and cost associated with the production of a detailed proposal that has very little chance of being selected for funding. Based on assessment of the White Papers, feedback will be provided to an applicant to enable that applicant to make a determination as to whether they should submit a proposal. If offerors have not submitted White Papers under Stage I of the BAA, offerors may not submit full proposals for consideration for funding.

Recommended White Paper Format and Content:

- White Papers must be submitted electronically to [WP Email](#) in the following format:
- Single PDF file as an email attachment
- Page Size: 8 ½ x 11 inches
- Margins – 1 inch
- Font – No smaller than Times New Roman, 12 point
- Number of Pages – no more than ten (10) single-sided pages. Any pages exceeding the ten-page limit will not be evaluated.

White Papers must contain the following:

- Title page. The title page should be labeled “LQC BAA White Paper” and should include the BAA number, proposed title, program goal being addressed, Principal

- Investigator (PI) with telephone number and email address, and an executive summary. (Not to exceed one page.)
- Expected expenditures and justifications. (Not to exceed one page.)
  - Curriculum vitae sketches. (Not to exceed one page.)
  - Technical portion including all references and figures. Introduce the problem to be addressed, briefly survey related work, identify key obstacles, outline the proposed solution and well-defined objective, outline the yearly research plan with milestones, and state the impact if successful. (Not to exceed seven pages.)

**d. Preparing an Incubator or Collaboratory Application**

Stage 2 Proposal - After Stage 1 reviews are completed, interested offerors should submit proposals in accordance with the requirements set forth in this BAA.

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

COVER PAGE ARO FORM 51: for Contract proposals submitted by email. The Form SF 424 (R&R) is for all proposals submitted through Grants.gov (Assistance Instruments must submit through Grants.gov):

1. A Cover Page is required. Proposals will not be processed without either: (1) a signed Cover Page, ARO Form 51, or (2) an SF 424 R & R Form.
2. Should the project be carried out at a branch campus or other component of the submitting organization, that branch campus or component should be identified in the space provided (Block 11 on the ARO Form 51 and Block 12 on the SF424 R&R).
3. The title of the proposed project should be brief, scientifically representative, intelligible to a scientifically literate reader, and suitable for use in the public domain.
4. The proposed duration for which support is requested should be consistent with the program duration of forty-eight months.
5. Specification of a desired starting date for the project is important and helpful however, requested effective dates cannot be guaranteed.
6. To evaluate compliance with Title IX of the Education Amendments of 1972 {20 U.S.C. A§ 1681 Et. Seq.}, the Department of Defense is collecting certain demographic and career information to be able to assess the success rates of women

who are proposed for key roles in applications in STEM disciplines. To enable this assessment, each application must include the following forms completed as indicated.

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

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

Research and Related Personal Data form:

This form will be used by DoD as the source of demographic information, such as gender, race, ethnicity, and disability information for the Project Director/Principal Investigator and all other persons identified as Co-Project Director(s)/Co-Principal Investigator(s). Each application must include this form with the name fields of the Project Director/Principal Investigator and any Co-Project Director(s)/Co-Principal Investigator(s) completed; however, provision of the demographic information in the form is voluntary. If completing the form for multiple individuals, each Co-Project Director/Co-Principal Investigator can be added by selecting the "Next Person" button. The demographic information, if provided, will be used for statistical purposes only and will not be made available to merit reviewers. Applicants who do not wish to provide some or all of the information should check or select the "Do not wish to provide" option.

7. Pursuant to 31 U.S.C. 7701, as amended by the Debt Collection Improvement Act of 1996 [Section 31001(I)(1), Public Law 104-134], federal agencies shall obtain each awardees' Taxpayer Identification Number (TIN). This number may be the Employer Identification Number for a business or non-profit entity or the Social Security Number for an individual. The TIN is being obtained for purposes of collecting and reporting on any delinquent amounts that may arise out of an awardees' relationship with the Government.

8. Offerors shall provide their organization's Unique Entity Identifier (formerly DUNS). This number is a nine-digit number assigned by Dun and Bradstreet Information Services. See Section II.D.3 of this BAA for requirements pertaining to the Unique Entity Identifier.

9. Offerors shall provide their assigned Commercial and Government Entity (CAGE) Code. The CAGE Code is a 5-character code assigned and maintained by the Defense Logistics Service Center (DLSC) to identify a commercial plant or establishment.

TABLE OF CONTENTS: Use the following Format for the Proposal Table of Contents, Forms are available at [BAA Forms](#)

SECTION	PAGE NUMBER
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Proposal Budget	I-1 - I-□
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Appendices	K-□
List Appendix Items: _____	

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

STATEMENT OF DISCLOSURE PREFERENCE (FORM 52 OR 52A): Complete and sign ARO Form 52 (Industrial Contractors) or ARO Form 52A (Educational and Nonprofit Organizations), form can be found at the following website: [BAA Forms](#).

RESEARCH AND RELATED Other Project Information: The form entitled “Research and Related Other Project Information” found at the following website: [BAA Forms](#) shall be completed and signed by all organizations.

PROJECT ABSTRACT:

1. The Project Abstract shall be completed on the form entitled “Publicly Releasable Abstract” found at the following website: [BAA Forms](#).
2. Unless otherwise instructed in this BAA, the Project Abstract shall include a concise statement of work and basic approaches to be used in the proposed effort. The

abstract should include a statement of scientific objectives, methods to be employed, and the significance of the proposed effort to the advancement of knowledge.

3. The abstract should be no longer than one (1) page (maximum 4,000 characters).
4. The project abstract shall be marked by the applicant as publicly releasable. By submission of the project abstract, the applicant confirms that the abstract is releasable to the public. For a proposal that results in a grant award, the project abstract will be posted to a searchable website available to the general public to meet the requirements of Title VII (General Provisions), Section 8123, of the Department of Defense Appropriations Act, 2015. (Division C of the Consolidated and Further Continuing Appropriations Act, Public Law 113-235) The website address is <https://dodgrantawards.dtic.mil/grants>

**TECHNICAL PROPOSAL (PROJECT DESCRIPTION):** The technical portion of the proposal shall be no longer than 20 pages including tables and figures, single spaced text, size 12 Times New Roman font with one inch page margins, and shall contain the following:

1. **Technical Approach:** Introduce the problem to be addressed, survey related work, identify key obstacles, and outline the proposed solution and well-defined objective. Proposals should describe an approach to all technical areas with unambiguous and quantitative milestones. Proposers must justify the utility of the proposed work and highlight its benefits over the current state-of-the-art. Proposals should clearly address the expected key challenges and proposed methods to overcome these difficulties taking into consideration the current state of field. Proposers should set aggressive yearly quantitative milestones that define a path toward the end-of-the-program goals and analyze the impact if successful.
2. **Project Schedule, Milestones, and Deliverables:** A summary of the schedule of events, milestones, and a detailed description of the results and products to be delivered.
3. **Management Approach:** A discussion of the overall approach to the management of this effort, including brief discussions of: required facilities; relationships with any subawardees and with other organizations; availability of personnel; and planning, scheduling, and control procedures. A brief description of your organization, including if the offeror has extensive government contracting experience. If this information has been previously provided to the ARL/ARO, the information need not be provided again. A statement setting forth this condition should be made.

4. The names of other federal, state, local agencies, or other parties receiving the proposal and/or funding the proposed effort. If none, so state. Concurrent or later submission of the proposal to other organizations will not prejudice its review by the ARL/ARO if we are kept informed of the situation.
5. A statement regarding possible impact, if any, of the proposed effort on the environment considering as a minimum its effect upon water, atmosphere, natural resources, human resources, and any other values.
6. The offeror shall provide a statement regarding the use of Class I and Class II ozone- depleting substances. Ozone-depleting substances mean any substance designated as Class I by EPA, including but not limited to chlorofluorocarbons, halons, carbon tetrachloride, and methyl chloroform and any substance designated as Class II by EPA, including but not limited to hydrochlorofluorocarbons. See 40 C.F.R. Part 82 for detailed information. If Class I or II substances are to be utilized, a list shall be provided as part of the offeror's proposal. If none, so state.
7. The type of additional support, if any, requested (e.g., facilities, equipment, and materials). Government Furnished Information or Equipment (GFI/GFE) available to all proposers is described in A.2.4.

BIOGRAPHICAL SKETCHES:

1. This Section shall contain the biographical sketches for senior and key personnel only.
  - a. Primary Principal Investigator: The “Primary” PI provides a single or initial point of communication between the sponsoring agency(s) and the awardee organization(s) about scientific matters. If not otherwise designated, the first PI listed will serve as the “Primary” PI. This individual can be changed with approval of the agency. The sponsoring agency(s) does not infer any additional scientific stature to this role among collaborating investigators.
  - b. Co-Principal Investigators: The individual(s) a research organization designates as having an appropriate level of authority and responsibility for the proper conduct of the research and submission of required reports to the agency. When an organization designates more than one PI, it identifies them as individuals who share the authority and responsibility for leading and directing the research, intellectually and logistically. The sponsoring agency(s) does not infer any distinction among multiple PIs.
  - c. Key personnel: The individual(s) a research organization designates as having a

high level of technical expertise in the topics proposed to be researched and who will both play an active role in the research and supervise the work of more junior personnel on a daily basis.

2. The following information is required:
  - a. Relevant experience and employment history including a description of any prior Federal employment within one year preceding the date of proposal submission.
  - b. List of up to five (5) publications most closely related to the proposed project and up to five (5) other significant publications, including those being printed. Patents, copyrights, or software systems developed may be substituted for publications.
  - c. List of persons, other than those cited in the publications list, who have collaborated on a project or a book, article, report or paper within the last four (4) years. Include pending publications and submissions. Otherwise, state "None."
  - d. Names of each investigator's own graduate or post graduate advisors and advisees. The information provided in "c" and "d" is used to help identify potential conflicts or bias in the selection of reviewers.
  - e. The time commitment of each senior or key person to this project.
3. For the personnel categories of postdoctoral associates, other professionals, and students (research assistants), the proposal may include information on exceptional qualifications of these individuals that merit consideration in the evaluation of the proposal.
4. The biographical sketches are limited to three (3) pages per investigator and other individuals that merit consideration.

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

CURRENT AND PENDING SUPPORT:

1. All project support from whatever source must be listed. The list must include all projects requiring a portion of the principal investigator's and other senior personnel's time, even if they receive no salary support from the project(s) including Cooperative Research and Development Agreements (CRADAs) or other technology transfer agreements with federal labs. Funding provided under any award resulting from this

BAA may only be used in support of the effort funded by that award, and not for any other project or purpose.

2. The information should include, as a minimum:

- (a) the project/proposal title and brief description,
- (b) the name and location of the organization or agency presently funding the work or requested to fund such work,
- (c) the award amount or annual dollar volume of the effort,
- (d) the period of performance, and
- (e) a breakdown of the time required of the principal investigator and/or other senior personnel.

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

BUDGET PROPOSAL (including DD Form 1861):

1. Each proposal must contain a budget for each year of support requested and a cumulative budget for the full term of requested support. The budget form (Form 99) may be reproduced as needed. Locally produced versions may be used, but you may not make substitutions in prescribed budget categories nor alter or rearrange the cost categories as they appear on the form. The proposal may request funds under any of the categories listed so long as the item is considered necessary to perform the proposed work and is not precluded by applicable cost principles. Additionally, a budget by major proposed research tasks using the same budget categories must be included.

2. A signed summary budget page must be included. The documentation pages should be titled "Budget Explanation Page" and numbered chronologically starting with the budget form. The need for each item should be explained clearly.

3. All cost data must be current and complete. Costs proposed must conform to the following principles and procedures:

Educational Institutions: 2 CFR Part 200 (formerly OMB Circular A-21)

Nonprofit Organizations: 2 CFR Part 200 (formerly OMB Circular A-122\*)

Commercial Organizations: FAR Part 31, DFARS Part 231, FAR Subsection 15.403-5, and DFARS Subsection 215.403-5.

\*For those nonprofit organizations specifically exempt from the provisions of 2 CFR Part 230, FAR Part 31 and DFARS Part 231 shall apply.

4. Sample itemized budgets and the information they must include for a contract and for grants and cooperative agreements can be found at Section II. H. (Other Information). Before award it must be established that an approved accounting system and financial management system exist.

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

#### **e. Submission of Complete Research Proposals**

Proposals must be submitted through the offeror's organizational office having responsibility for Government business relations. All signatures must be that of an official authorized to commit the organization in business and financial affairs. Proposals must be submitted electronically using one of the two following formats, based on award type sought. The content will remain the same whether using email or Grants.gov.

#### EMAIL SUBMISSION (for **Contracts only**):

1. Proposal requesting award of a contract must be emailed directly to [Proposal Email](#). Do not email full proposals to the LQC Program Point of Contact. All e-mailed proposals must contain the information outlined in Section II, D, 2, entitled "*Table of Contents*" including the electronic forms as follows:

- (a) ARO Form 51, Proposal Cover Page;
- (b) ARO Form 99, Summary Proposal Budget or equivalent,
- (c) ARO Current and Pending Support (unnumbered form),
- (d) ARO Form 52 or ARO Form 52a.
- (e) "FAR 52.209-11 – Representation by Corporations Regarding Delinquent Tax Liability or a Felony Conviction under any Federal Law (Feb 2016). See Note below."

These forms may be accessed at [BAA Forms](#) under BAA Forms. The fillable PDF forms may be saved to a working directory on a computer and opened and filled in using the latest compatible Adobe Reader software application found at this Grants.Gov: [Grants.gov Adobe Compatibility](#)

**Note:** A completed 52.209-11 – Representation by Corporations Regarding Delinquent Tax Liability or a Felony Conviction under any Federal Law (Feb 2016), is not required if the offeror's SAM Certifications and Representations have been updated annually since 2016. If the offeror's SAM has not be updated since March 2016, the

completed representation must be submitted and include POC information and signature of the authorized representative.

2. All forms requiring signature must be completed, printed, signed, and scanned into a PDF document. All documents must be combined into a single PDF formatted file to be attached to the e-mail.

3. Proposal documents (excluding required forms) must use the following format:

- Page Size – 8 ½ x 11 inches
- Margins – 1 inch
- Spacing – single
- Font – Times New Roman, 12 point, single-sided pages

**GRANTS.GOV SUBMISSION (For all Assistance Instruments):**

1. Grants.gov Registration (See *Section II.D.2.f. Grants.gov Registration* below) must be accomplished prior to application through this process. Note- All web links referenced in this section and “*Grants.gov Registration*” (below) are subject to change by grants.gov and may not be updated here.

2. Specific forms are required for submission of a proposal. The forms are contained in the Application Package available through the Grants.gov application process. To access these materials, go to [Grants.gov Link](#) select "Apply for Grants," and then select "Get Application Package." A Grant Application Package and Application Instructions are available for through the Grants.Gov Apply portal under CFDA Number 12.431/Funding Opportunity Number **W911NF-21-S-0009**. Select “Apply” and then “Apply Now Using Workspace.” The following documents are mandatory: (1) Application for Federal Assistance (Research and Related) (SF 424 (R&R), and (2) Attachments form.

(a) The SF 424 (R&R) form is to be used as the cover page for all proposals.

Authorized Organization Representative (AOR) usernames and passwords serve as “electronic signatures” when your organization submits applications through Grants.gov. By using the SF 424 (R&R), proposers are providing the certification required by 32 CFR Part 28 regarding lobbying. The SF 424 (R&R) must be fully completed.

(b) The Attachments form must contain the information outlined in Section II, D, 2 (*b. Preparing an Application*), entitled “Table of Contents” of this BAA including the electronic forms as follows:

- (1) Research and Related Other Project Information;
- (2) ARO Form 99, Summary Proposal Budget;

- (3) ARO Current and Pending Support (unnumbered form)
- (4) Representation by Corporations Regarding conviction of a Felony Criminal Violation under any Federal or State Law and Representation by Corporations Regarding an Unpaid Delinquent Tax Liability

Items (1)-(4) forms may be accessed at [BAA Forms](#) Item (4) “Representation relating to Tax Liability and Felony Convictions” may be submitted on a word document and attached to available field within the attachments form. The fillable PDF forms may be saved to a working directory on a computer and opened and filled in using the latest compatible Adobe Reader software application found at this Grants.Gov:

[Grants.gov Adobe Compatibility](#)

**Note:** Representation by Corporations Regarding Conviction of a Felony Criminal Violation and Unpaid Delinquent Tax Liability require POC information and signature of the authorized representative.

(c) All documents must be combined into separate and single PDF formatted files titled using the Table of Contents names listed in “*Section II.D.2.b. Preparing an Application*”: Preparation of complete Research Proposals”. Include “W911NF-21-S-0009” in title so the proposal will be distinguished from other BAA submissions and upload using the mandatory Attachments form.

(d) The training demonstration at [Grants.gov Training](#) will assist AORs in the application process. Remember that you must open and complete the Application for Federal Assistance (Research and Related) (SF 424 (R&R)) first, as this form will automatically populate data fields in other forms. If you encounter any problems, contact customer support at 1-800-518-4726 or at [Grants.gov Support](#). If you forget your user name or password, follow the instructions provided in the Credential Provider tutorial. Tutorials may be printed by right-clicking on the tutorial and selecting “Print”.

(e) As it is possible for grants.gov to reject the proposal during this process, it is strongly recommended that proposals be uploaded at least two days before any established deadline in the BAA so that they will not be received late and be ineligible for award consideration. It is also recommended to start uploading proposals at least two days before the deadline to plan ahead for any potential technical and/or input problems involving the applicant’s own equipment.

#### **f. Grants.Gov Registration**

Registration. Each organization that desires to submit applications via Grants.Gov must complete a one-time registration. There are several one-time actions your organization must complete in order to submit applications through Grants.gov (e.g., obtain a Dun and

Bradstreet Data Universal Numbering System (DUNS) number, register with the System for Award Management (SAM), register with the credential provider, register with Grants.gov and obtain approval for an Authorized Organization Representative (AOR) to submit applications on behalf of the organization). To registered please see [Grants.gov Registration](#).

Please note the registration process for an Organization or an Individual can take between three to five business days or as long as four weeks if all steps are not completed in a timely manner.

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

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

Each applicant (unless the applicant is an individual or Federal awarding agency that is exempt from those requirements under 2 CFR §25.110(b) or (c), or has an exception approved by the Federal awarding agency under 2 CFR §25.110(d)) is required to:

- (i) Be registered in SAM before submitting its application;
- (ii) Provide a valid unique entity identifier in its application; and
- (iii) Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

The Federal awarding agency may not make a Federal award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements. If an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

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

#### **White Papers:**

White Papers must be submitted electronically via e-mail to [WP Email](#) and received at the Army Research Office. The email subject line should contain the following: **W911NF-21-S-0009** LQC White Paper. Although White Papers may be submitted at any time during the duration of this BAA, from program planning and budget planning considerations White Papers are encouraged to be submitted during the period **1 February to 30 May**. Feedback on the White Papers will be e-mailed directly to the proposed principal investigators.

**Proposals:**

Proposals transmitted to be considered for award are encouraged to be submitted before 1 June for consideration within program planning and budget planning cycles of any fiscal year.

Applicants are responsible for submitting electronic proposals in sufficient time to insure Grants.gov receives it by the time specified in this BAA. If the electronic proposal is received by Grants.gov after the exact time and date specified for receipt of offers, it will be considered “late” and will not be considered for award. Acceptable evidence to establish the time of receipt by Grants.gov includes documentary evidence of receipt maintained by Grants.gov.

**Because of potential problems involving the applicants’ own equipment, to avoid the possibility of late receipt and resulting in ineligibility for award consideration, it is strongly recommended that proposals be uploaded at least two business days before the deadline established in the BAA.**

If an emergency or unanticipated event interrupts normal Government processes so that proposals cannot be received at grants.gov by the exact time specified in the solicitation, and urgent Government requirements preclude amendment of the solicitation closing date, the time specified for receipt of proposals will be deemed to be extended to the same time of day specified in the solicitation on the first work day on which normal Government processes resume.

**Proposal Receipt Notices** – After a proposal is submitted to Grants.gov, the AOR will receive a series of three emails from Grants.gov. The first two emails will be received within 24 to 48 hours after submission. The first email will confirm time of receipt of the application by the Grants.gov system and the second will indicate that the application has either been successfully validated by the system prior to transmission to the grantor agency or has been rejected due to errors. A third email will be received once the agency has confirmed receipt of the proposal. The document, [Tracking Your Application Package](#), located at [Tracking](#) explains this process. The proposal is not considered received until the AOR receives email #3.

**5. Intergovernmental Review**

Not Applicable

**6. Funding Restrictions:**

Category 1 Incubator Proposals: Multiple one to three-year awards are anticipated. Proposals are expected to request less than \$500K per year.

Category 2 Collaboratory Proposals: Multiple two to three-year awards are anticipated. Proposals are expected to request less than \$800K per year.

Category 3 QuaCR Proposals: Multiple three-year awards are anticipated for graduate students and two-year awards for postdoctoral candidate.

The actual amount of each award will be contingent on availability of funds and the scope of the proposed work. Depending on the results of the proposal evaluation, there is no guarantee that any of the proposals submitted in response to a particular program goal will be recommended for funding. Proposals may be funded in part.

## **7. Other Submission Requirements:**

Information to Be Requested from Successful Offerors- Offerors whose proposals are accepted for funding will be contacted before award to provide additional information required for award. The required information is normally limited to clarifying budget explanations, representations, certifications, and some technical aspects.

For Contracts Only- Performance Work Statements (PWS) - prior to award the Contracting Officer may request that the contractor submit a PWS for the effort to be performed, which will be incorporated into the contract at the time of award.

An applicant may withdraw a proposal at any time before award by written notice or by email. Notice of withdrawal shall be sent to the Contracting/Grants Officer identified in Section G, of this BAA. Withdrawals are effective upon receipt of notice by the Contracting/Grants Officer.

## **E. Application Review Information:**

### **1. Criteria:**

- a. Proposals submitted in response to this BAA will be evaluated and a recommendation for selection be made on the following criteria:
  - (i) Scientific and technical merits of the proposed research; and
  - (ii) Potential contribution of the research, if successful, to significantly enhance the feasibility of quantum computing.
  - (iii) Experience and qualifications of the principal investigator, other key research personnel, QuaCR candidate if relevant, management approach, and the institution sponsoring the proposal; and

(iv) The realism and reasonableness of cost.

NOTE: Cost sharing will not be considered in the evaluation.

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

The proposal selection process will be conducted based upon a technical review by a panel of government scientists according to the evaluation criteria specified in Section E.1 (*Criteria*). Each proposal will be evaluated based on the merit and relevance of the specific proposal as it relates to the research topic rather than against other proposals for research in the same general area.

## **3. Recipient Qualification**

### **a. For Grant, Cooperative Agreement:**

In accordance with OMB guidance in parts 180 and 200 of Title 2, CFR, it is DoD policy that DoD Components must report and use integrity and performance information in the Federal Awardee Performance and Integrity Information System (FAPIIS), or any successor system designated by OMB, concerning grants, cooperative agreements, and TIAs as follows:

(i) If the total Federal share will be greater than the simplified acquisition threshold on any Federal award under a notice of funding opportunity (see §200.88 Simplified Acquisition Threshold):

(a) The Federal awarding agency, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, will review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313);

(b) An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM;

(c) The Federal awarding agency will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by

applicants as described in §200.205 Federal awarding agency review of risk posed by applicants.

b. For Assistance awards recipients will be required to submit the following representation prior to award:

**Representations under DoD Assistance Agreements: Appropriations Provisions on Tax Delinquency and Felony Convictions**

The applicant is ( ) is not ( ) a “Corporation” meaning any entity, including any institution of higher education, other nonprofit organization, or for-profit entity that has filed articles of incorporation.

If the applicant is a “Corporation” please complete the following representations:

(1) The applicant represents that it is ( ) is not ( ) a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

(2) The applicant represents that it is ( ) is not ( ) is not a corporation that was convicted of a criminal violation under any Federal law within the preceding 24 months.

The “Representation relating to Tax Liability and Felony Convictions”, the form may be accessed at [BAA Forms](#)

NOTE: If an applicant responds in the affirmative to either of the above representations, the applicant is ineligible to receive an award unless the agency suspension and debarment official (SDO) has considered suspension or debarment and determined that further action is not required to protect the Government’s interests. The applicant therefore should provide information about its tax liability or conviction to the agency’s SDO as soon as it can do so, to facilitate completion of the required considerations before award decisions are made. Applicant’s authorized representative must sign and date form.

c. For CONTRACT Proposals:

(i) The Federal Awardee Performance and Integrity Information System (FAPIS) will be checked prior to making an award. The web address is: [FAPIS Link](#) The applicant representing the entity may comment in this system on any information about itself that a Federal Government Official entered. The information in FAPIS will be used in

making a judgment about the entity's integrity, business ethics, and record of performance under Federal awards that may affect the official's determination that the applicant is qualified to receive an award.

(ii) For contracts, the following representation must be submitted prior to award if the offeror's SAM Representations and Certifications are not dated after March 2016. If the offeror's SAM Representations and Certifications have been updated after March 2016, this representation is not required to be submitted separately.

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FAR 52.209-11: Representation by Corporations Regarding Delinquent Tax Liability or a Felony Conviction under any Federal Law (Feb 2016)

(a) As required by sections 744 and 745 of Division E of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L 113-235), and similar provisions, if contained in subsequent appropriations acts, the Government will not enter into a contract with any corporation that--

(1) Has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency is aware of the unpaid tax liability, unless an agency has considered suspension or debarment of the corporation and made a determination that suspension or debarment is not necessary to protect the interests of the Government; or

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

(b) The Offeror represents that—

(1) It is  is not  a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; and

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

**F. Award Administration Information:**

**1. Award Notices:**

Initial notification of selection of proposals for funding will be emailed by ARO in a 90-day window after submission of proposals.

The notification email of selection for funding must not be regarded as an authorization to commit or expend funds. The Government is not obligated to provide any funding until a Government Contracting/Grants Officer signs the grant, cooperative agreement or contract award document.

Applicants whose proposals are recommended for negotiation of award will be contacted by a Contract/Grant Specialist to discuss additional information required for award. This may include representations and certifications, revised budgets or budget explanations, certificate of current cost or pricing data, subcontracting plan for small businesses, and other information as applicable to the proposed award.

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

**a. Required Certifications**

(i) For CONTRACT Proposals:

Certifications Required for Contract Awards. Certifications and representations shall be completed by successful offerors prior to award. Federal Acquisition Regulation (FAR) Online Representations and Certifications are to be completed through SAM at website <https://www.SAM.gov>. Defense FAR Supplement and contract specific certification packages will be provided to the contractor for completion prior to award.

FAR 52.203-18, PROHIBITION ON CONTRACTING WITH ENTITIES THAT REQUIRE CERTAIN CONFIDENTIALITY AGREEMENTS OR STATEMENTS—REPRESENTATION (JAN 2017)

(ii) For GRANT and COOPERATIVE AGREEMENT Proposals:

Grant awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. Statutes and Government-wide regulations require the certification to be submitted prior to award. The certification is set forth at Appendix A to 32 CFR 28 regarding lobbying. When submitting your grant through Grants.gov, by completing blocks 18 and 19 of the Standard Form 424 Research and Related (R&R) Form, the grant applicant is providing the certification on

lobbying required by 32 CFR Part 28, otherwise a signed copy by the authorized representative must be provided. Below is the required certification:

(a). CERTIFICATION AT APPENDIX A TO 32 CFR PART 28 REGARDING LOBBYING: Certification for Contracts, Grants, Loans, and Cooperative Agreements The undersigned certifies, to the best of his or her knowledge and belief, that:

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

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

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

(b). PROHIBITION ON CONTRACTING WITH ENTITIES THAT REQUIRED CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS – REPRESENTATION

Agreement with the representation below will be affirmed by checking the “I agree” box in block 17 of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

By submission of its proposal or application, the applicant represents that it does not require any of its employees, contractors, or subrecipients seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting those employees, contractors, subrecipients from lawfully reporting that waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

Note that: (1) the basis for this representation is a prohibition in section 743 of the Financial Services and General Government Appropriations Act, 2015, Pub. L. 113-235) on provision of funds through grants and cooperative agreements to entities with certain internal confidentiality agreements or statements; and 2) section 743 states that it does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

## **b. Policy Requirements**

### **i. PROTECTION OF HUMAN SUBJECTS:**

#### **(1) Assistance Instruments:**

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

(b) The recipient must not begin performance of research involving human subjects, also known as human subjects research (HSR), that is covered under 32 CFR part 219, or that meets exemption criteria under 32 CFR 219.101(b), until you receive a formal notification of approval from a DoD Human Research Protection Official (HRPO). Approval to perform HSR under this award is received after the HRPO has performed a review of the recipient’s documentation of planned HSR activities and has officially furnished a concurrence with the recipient’s determination as presented in the documentation.

(c) In order for the HRPO to accomplish this concurrence review, the recipient must provide sufficient documentation to enable his or her assessment as follows:

(i) If the HSR meets an exemption criteria under 32 CFR 219.101(b), the documentation must include a citation of the exemption category under 32 CFR 219.101(b) and a rationale statement.

(ii) If the recipient's activity is determined as "non-exempt research involving human subjects", the documentation must include:

- Assurance of Compliance (i.e., Department of Health and Human Services Office for Human Research Protections (OHRP) Federal Wide Assurance (FWA)) appropriate for the scope of work or program plan; and

- Institutional Review Board (IRB) approval, as well as all documentation reviewed by the IRB to make their determination.

(d) The HRPO retains final judgment on what activities constitute HSR, whether an exempt category applies, whether the risk determination is appropriate, and whether the planned HSR activities comply with the requirements in paragraph (a) of this section.

(e) The recipient must notify the HRPO immediately of any suspensions or terminations of the Assurance of Compliance.

(f) DoD staff, consultants, and advisory groups may independently review and inspect the recipient's research and research procedures involving human subjects and, based on such findings, DoD may prohibit research that presents unacceptable hazards or otherwise fails to comply with DoD requirements.

(g) Definitions for terms used in this article are found in DoDI 3216.02.

(2) Contracts: The appropriate clauses shall be added to the award.

ii. ANIMAL USE:

(1) Assistance Instruments:

(a) Prior to initiating any animal work under the award, the recipient must:

(i) Register the recipient's research, development, test, and evaluation or training facility with the Secretary of Agriculture in accordance with 7 U.S.C. 2136 and 9 CFR section 2.30, unless otherwise exempt from this requirement by meeting the conditions in 7 U.S.C. 2136 and 9 CFR parts 1-4 for the duration of the activity.

(ii) Have the recipient's proposed animal use approved in accordance with DoDI 3216.01, Use of Animals in DoD Programs by a DoD Component Headquarters Oversight Office.

(iii) Furnish evidence of such registration and approval to the grants officer.

(b) The recipient must make the animals on which the research is being conducted, and all premises, facilities, vehicles, equipment, and records that support animal care and use available during business hours and at other times mutually agreeable to the recipient, the United States Department of Agriculture Office of Animal and Plant Health Inspection Service (USDA/APHIS) representative, personnel representing the DoD component oversight offices, as well as the grants officer, to ascertain that the recipient is compliant with 7 U.S.C. 2131 et seq., 9 CFR parts 1-4, and DoDI 3216.01.

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

(d) The recipient must acquire animals in accordance with DoDI 3216.01.

(2) Contracts: The appropriate clauses shall be added to the award.

(iii) **BIOLOGICAL DEFENSE SAFETY PROGRAM REQUIREMENTS:** For All Awards. Successful offerors whose Principal Investigators are conducting research with Bio-safety Levels 3 and 4 material must prepare a Facility Safety Plan in accordance with 32 Code of Federal Regulations (CFR) 626.18. See URL: [CFR Link](#) for a copy of 32 CFR 626.18, Biological Defense Safety Program.

(iv) **MILITARY RECRUITING:** For Assistance Instruments Only. This is to notify potential offerors that each grant or cooperative agreement awarded under this announcement to an institution of higher education must include the following term and condition:

"As a condition for receipt of funds available to the Department of Defense (DOD) under this award, the recipient agrees that it is not an institution of higher education (as defined in 32 CFR part 216) that has a policy of denying, and that it is not an institution of higher education that effectively prevents, the Secretary of Defense from obtaining for military recruiting purposes: (A) entry to campuses or access to students on campuses or (B) access to directory information pertaining to students. If the recipient is determined, using the procedures in 32 CFR part 216,

to be such an institution of higher education during the period of performance of this agreement, and therefore to be in breach of this clause, the Government will cease all payments of DOD funds under this agreement and all other DOD grants and cooperative agreements to the recipient, and it may suspend or terminate such grants and agreements unilaterally for material failure to comply with the terms and conditions of award."

If your institution has been identified under the procedures established by the Secretary of Defense to implement Section 558, then: (1) no funds available to DOD may be provided to your institution through any grant, including any existing grant, (2) as a matter of policy, this restriction also applies to any cooperative agreement, and (3) your institution is not eligible to receive a grant or cooperative agreement in response to this solicitation.

(v) **MILITARY RECRUITING:** For Contracts Only. This is to notify potential offerors that each contract awarded under this announcement to an institution of higher education shall include the following clause: Defense Federal Acquisition Regulation Supplement (DFARS) clause 252.209-7005, Military Recruiting on Campus.

(vi) **SUBCONTRACTING:** For Contracts Only. This section is applicable to contracts where the dollar threshold is expected to exceed to \$750,000.00. 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 under all research agreements awarded to prime contractors. The required elements of the Subcontracting Plan are set forth by FAR 52.219-9 (DEVIATION 2013-O0014) and DFARS 252.219-7003.

**Subcontracting Plan Goals.** Small business subcontracting goals are established on an individual contract basis. The applicant is requested to consider, when appropriate, the Governments' subcontracting goals. When applied to R&D the small business-subcontractor plan should result in the best mix of cost schedule and performance.

(vi) **EXPORT CONTROL LAWS:**

(1) Assistance Instruments: N/A

(2) Contracts: Applicants should be aware of current export control laws and are responsible for ensuring compliance with all International Traffic in Arms Regulation (ITAR) (22 CFR 120 et. Seq.) requirements, as applicable. In some cases, developmental items funded by the Department of Defense are now

included on the United States Munition List (USML) and are therefore subject to ITAR jurisdiction. Applicants should address in their proposals whether ITAR restrictions apply or do not apply, such as in the case when research products would have both civil and military application, to the work they are proposing to perform for the Department of Defense. The USML is available online at <https://www.ecfr.gov/cgi-bin/text-idx?node=pt22.1.121> Additional information regarding the President's Export Control Reform Initiative can be found at <http://export.gov/ecr/index.asp>

vii. DRUG-FREE WORKPLACE:

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

viii. DEBARMENT AND SUSPENSION:

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

ix. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION:

- (1) Assistance Instruments: The recipient must report information about subawards and executive compensation as specified in the award term in Appendix A to 2 CFR part 170, "Reporting subaward and executive compensation information," modified as follows: (a) To accommodate any future designation of a different Government wide Web site for reporting subaward information, the Web site "<http://www.fsrs.gov>" cited in paragraphs a.2.i. and a.3 of the award provision is replaced by the phrase "<http://www.fsrs.gov> or successor OMB designated Web site for reporting subaward information"; (b) To accommodate any future designation of a different Government wide Web site for reporting executive compensation information, the Web site "<http://www.sam.gov>" cited in paragraph b.2.i. of the award provision is replaced by

the phrase “<https://www.sam.gov> or successor OMB-designated Web site for reporting information on total compensation”; and 106 (c) The reference to “Sec. \_\_\_\_ .210 of the

attachment to OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations” in paragraph e.3.ii of the award term is replaced by “2 CFR 200.330, as implemented in DoD Research and Development General Terms and Conditions SUB Article I of this award.”

(2) Contracts: The appropriate clause(s) shall be added to the award.

### **3. Reporting:**

Reports including number and types will be specified in the award document but will include as a minimum quarterly technical and financial status reports. The reports shall be prepared and submitted in accordance with the procedures contained in the award document and mutually agreed upon before award. Reports and briefing material will also be required as appropriate to document progress in accomplishing program metrics.

**MANPOWER CONTRACTOR REPORTING: For Contracts Only.** The Office of the Assistant Secretary of the Army (Manpower & Reserve Affairs) operates and maintains a secure Army data collection site where the contractor will report ALL contractor manpower (including 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: [www.sam.gov](http://www.sam.gov) . 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) Predominate 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.

If the total Federal share exceeds \$500,000 on any Federal award under a notice of funding opportunity, the post-award reporting requirements reflected in Appendix XII to Part 200 of Title 2 CFR will be included in the award document. This requirement also applies to modifications of awards that: 1) increase the scope of the award, 2) are issued on or after January 1, 2016, and 3) increase the federal share of the award's total value to an amount that exceeds \$500,000.

**G. Agency Contacts, LQC Website:**

Questions of a technical nature or a programmatic nature shall be directed as specified below:

Technical Program Point of Contact (ARO):

Dr. T.R. Govindan  
Army Research Office  
Email Address: [t.r.govindan.civ@mail.mil](mailto:t.r.govindan.civ@mail.mil)

Technical Program Point of Contact (LPS):

Dr. Charles Tahan  
Laboratory for Physical Sciences  
Email Address: [ctahan@lps.umd.edu](mailto:ctahan@lps.umd.edu)

Questions of a business nature shall be directed to the contact info, as specified below:

Email address: [Business Q&A](#)

Comments or questions submitted should be concise and to the point, eliminating any unnecessary verbiage. In addition, the relevant part and paragraph of the Broad Agency Announcement (BAA) should be referenced.

Information about the LPS Qubit Collaboratory can be found at: [LQC](#)

## **H. Other Information:**

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

### **1. CONTRACT Proposals:**

Cost Proposal – {No Page Limit} Cover sheet to include:

- (1) BAA number;
- (2) Technical area;
- (3) Lead Organization submitting proposal;
- (4) Type of business, selected among the following categories: “LARGE BUSINESS”, “SMALL DISADVANTAGED BUSINESS”, “OTHER SMALL BUSINESS”, “HBCU”, “MI”, “OTHER EDUCATIONAL”, OR “OTHER NONPROFIT”;
- (5) Contractor’s reference number (if any);
- (6) Other team members (if applicable) and type of business for each;
- (7) Proposal title;
- (8) Technical point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available);
- (9) Administrative point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), and electronic mail (if available);
- (10) Award instrument requested: cost-plus-fixed-fee (CPFF), cost-contract—no fee, cost sharing contract – no fee, or other type of procurement contract (specify).
- (11) Place(s) and period(s) of performance;
- (12) Total proposed cost separated by basic award and option(s) (if any);
- (13) Name, address, and telephone number of the proposer’s cognizant Defense Contract Management Agency (DCMA) administration office (if known);
- (14) Name, address, and telephone number of the proposer’s cognizant Defense Contract Audit Agency (DCAA) audit office (if known);
- (15) Date proposal was prepared;

- (16) DUNS number;
- (17) TIN number; and
- (18) Cage Code;**
- (19) Subcontractor Information; and**
- (20) Proposal validity period**
- (21) Any Forward Pricing Rate Agreement, other such approved rate information, or such other documentation that may assist in expediting negotiations (if available).

### I. Reasoning for Submitting a Strong Cost Proposal

The ultimate responsibility of the Contracting Officer is to ensure that all prices offered in a proposal are fair and reasonable before contract award [FAR 15.4]. To establish the reasonableness of the offered prices, the Contracting Officer may ask the offeror to provide various supporting documentation that assists in this determination. The offeror's ability to be responsive to the Contracting Officer's requests can expedite contract award. As specified in Section 808 of Public Law 105-261, an offeror who does not comply with a requirement to submit information for a contract or subcontract in accordance with paragraph (a)(1) of FAR 15.403-3 may be ineligible for award.

### II. DCAA-Accepted Accounting System

- A) Before a contract can be awarded, the Contracting Officer must confirm that the offeror has a Defense Contract Audit Agency (DCAA)-accepted accounting system in place for accumulating and billing costs under Government contracts [FAR 53.209-1(f)]. If the offeror has DCAA correspondence, which documents the acceptance of their accounting system, this should be provided to the Contracting Officer (i.e. attached or referenced in the proposal). Otherwise, the Contracting Officer will submit an inquiry directly to the appropriate DCAA office and request a review of the offeror's accounting system.
- B) If an offeror does not have a DCAA-accepted accounting system in place, the DCAA review process can take several months depending upon the availability of the DCAA auditors and the offeror's internal processes. This will cause a delay in contract award.
- C) For more information about cost proposals and accounting standards, view the link titled "Information for Contractors" on the main menu on their website.

### III. Field Pricing Assistance

During the pre-award cost audit process, the Contracting Officer will solicit support from DCAA to determine commerciality and price reasonableness of the proposal [FAR 15.404-2]. Any proprietary information or reports obtained from DCAA field audits will be appropriately identified and protected within the Government.

IV. Sample Cost Proposal – “Piece by Piece”

A) To help guide offerors through the pre-award cost audit process, a sample cost proposal is detailed below. This sample also allows the offeror to see exactly what the Government is looking for; therefore, all cost and pricing back-up data can be provided to the Government in the first cost proposal submission. Review each cost element within the proposal, and take note of the types of documentation that the Contracting Officer will require from the offeror.

B) Direct Labor: The first cost element included in the cost proposal is Direct Labor. The Department of Defense (DoD) requires each proposed employee to be listed by name and labor category.

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

DIRECT LABOR		YEAR 1			YEAR 2		
Employee Name	Labor Category	Direct Hourly Rate	Hours	Total Direct Labor	Direct Hourly Rate	Hours	Total Direct Labor
Andy Smith	Program Manager	\$55.00	720.00	\$39,600.00	\$56.65	720.00	\$40,788.00
Bryan Andrew	Senior Engineer	\$40.00	672.00	\$26,880.00	\$41.20	672.00	\$27,686.40
Cindy Thomas	Principal Engineer	\$50.00	512.00	\$25,600.00	\$51.50	512.00	\$26,368.00
David Porter	Entry Level Engineer	\$10.00	400.00	\$4,000.00	\$10.30	400.00	\$4,120.00
Edward Bean	Project Administrator	\$25.00	48.00	\$1,200.00	\$25.75	48.00	\$1,236.00
Subtotal Direct Labor (DL)				\$97,280.00			\$100,198.40

1) For this cost element, the Contracting Officer requires the offeror to provide adequate documentation in order to determine that each labor rate for each employee/labor category is fair and reasonable. The documentation will need to explain how these labor rates were derived. For example, if the rates are DCAA- approved labor rates, provide the Contracting Officer with copies of the DCAA documents stating the approval. This is the most acceptable means of documentation to determine the rates

fair and reasonable. Other types of supporting documentation may include General Service Administration (GSA) contract price lists, actual payroll journals, or Salary.com research. If an employee listed in a cost proposal is not a current employee (maybe a new employee, or one contingent upon the award of this contract), a copy of the offer letter stating the hourly rate - signed and accepted by the employee - may be provided as adequate documentation. Sometimes the hourly rates listed in a proposal are derived through subjective processes, i.e., blending of multiple employees in one labor category, or averaged over the course of the year to include scheduled payroll increases, etc. These situations should be clearly documented for the Contracting Officer.

- 2) Another cost element in Direct Labor is labor escalation, or the increase in labor rates from Year 1 to Year 2. In the example above, the proposed labor escalation is 3% (ex., Andy Smith increased from \$55.00/hr in Year 1, by 3% to \$56.65/hr in Year 2). Often times, an offeror may not propose escalation on labor rates during a 24-month period. Whatever the proposed escalation rate is, please be prepared to explain why it is fair and reasonable [ex., A sufficient explanation for our sample escalation rate would be the Government's General Schedule Increase and Locality Pay for the same time period (name FY) in the same location (name location) was published as 3.5%, therefore a 3% increase is fair and reasonable].

C) Other Direct Costs (ODCs): This section of the cost proposal includes all other directly related costs required in support of the effort i.e., materials, subcontractors, consultants, travel, etc. Any cost element that includes various items will need to be detailed in a cost breakdown to the Contracting Officer.

- 1) Direct Material Costs: This subsection of the cost proposal will include any special tooling, test equipment, and material costs necessary to perform the project. Items included in this section will be carefully reviewed relative to need and appropriateness for the work proposed, and must, in the opinion of the Contracting Officer, be advantageous to the Government and directly related to the specific topic.
  - a) The Contracting Officer will require adequate documentation from the offeror to determine the cost reasonableness for each material cost proposed. The following methods are ways in which the Contracting Officer can determine this [FAR 15.403-1].
    - i) Adequate Price Competition. A price is based on adequate price competition when the offeror solicits and receives quotes from two or more responsible vendors for the same or similar items or services. Based on these quotes, the offeror selects the vendor who represents the best value to

the Government. The offeror will be required to provide copies of all vendor quotes received to the Contracting Officer.

Note: Price competition is not required for items at or below the micropurchase threshold (\$5,000) [FAR 15.403-1]. If an item's unit cost is less than or equal to \$5,000 price competition is not necessary. However, if an item's total cost over the period of performance (unit cost \* quantity is higher than \$5,000, two or more quotes must be obtained by the offeror.

- ii) Commercial Prices. Commercial prices are those published on current price lists, catalogs, or market prices. This includes vendors who have prices published on a GSA-schedule contract. The offeror will be required to provide copies of such price lists to the Contracting Officer.
- iii) Prices set by law or regulation. If a price is mandated by the Government (i.e. pronouncements in the form of periodic rulings, reviews, or similar actions of a governmental body, or embodied in the laws) that is sufficient to set a price.

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

i)

DIRECT MATERIAL COSTS:	YEAR 1	YEAR 2
Raw Materials	\$35,000.00	\$12,000.00
Computer for experiments	\$4,215.00	\$0.00
Cable (item #12-3657, 300 ft)	\$1,275.00	\$0.00
Software	\$1,825.00	\$1,825.00
Subtotal Direct Materials Costs (DM):	\$42,315.00	\$13,825.00

- ii) "Raw Materials": This is a generic label used to group many material items into one cost item within the proposal. The Contracts Officer will require a detailed breakout of all the items that make up this cost. For each separate item over \$3,000 (total for Year 1 + Year 2), the offeror must be able to provide either competitive quotes received, or show that published pricing was used.
- iii) "Computer for experiments": Again, this item is most likely a grouping of several components that make up one system. The Contracts Officer will

require a detailed breakout of all the items that make up this cost. For each separate item over \$3,000 (total for Year 1 + Year 2), the offeror must be able to provide either competitive quotes received, or show that published pricing was used.

- iv) “Cable”: Since this item is under the micropurchase threshold of \$5,000, competitive quotes or published pricing are not required. Simply provide documentation to show the Contracting Officer where this price came from.
  - v) “Software”: This cost item could include either one software product, or multiple products. If this includes a price for multiple items, please provide the detailed cost breakdown. Note: The price for Year 1 (\$1,825) is below the micro purchase threshold; however, in total (Year 1 + Year 2) the price is over \$5,000, so competitive quotes or published pricing documentation must be provided.
- c) Due to the specialized types of products and services necessary to perform these projects, it may not always be possible to obtain competitive quotes from more than one reliable source. Each cost element over the simplified acquisition threshold (\$5,000) must be substantiated. There is always an explanation for HOW the cost of an item was derived; show us how you came up with that price!
- d) When it is not possible for an offeror to obtain a vendor price through competitive quotes or published price lists, a Contracting Officer may accept other methods to determine cost reasonableness. Below are some examples of other documentation, which the Contracting Officer may accept to substantiate costs:
- i) Evidence that a vendor/supplier charged another offeror a similar price for similar services. Has the vendor charged someone else for the same product? (Two (2) to three (3) invoices from that vendor to different customers may be used as evidence.)
  - ii) Previous contract prices. Has the offeror charged the Government a similar price under another Government contract for similar services? If the Government has already paid a certain price for services, then that price may already be considered fair and reasonable. (Provide the contract number, and billing rates for reference.)

- iii) DCAA approved. Has DCAA already accepted or verified specific cost items included in your proposal? (Provide a copy of DCAA correspondence that addressed these costs.)
- 2) Below is the remaining ODC portion of our proposal including equipment, subcontractors, consultants, and travel. Assume in this scenario that competitive quotes or catalog prices were not available for these items:

OTHER DIRECT COSTS:	YEAR 1	YEAR 2
Equipment Rental for Analysis	\$5,500.00	\$5,600.00
Subcontractor – Lockheed	\$25,000.00	\$0.00
Consultant: John Bowers	\$0.00	\$12,000.00
Travel	\$1,250.00	\$1,250.00
Subtotal Other Direct Costs (ODC):	\$31,750.00	\$18,850.00

- a) “Equipment Rental for Analysis”: The offeror explains that the Year 1 cost of \$5,500 is based upon 250 hours of equipment rental at an hourly rate of \$22.00/hr. One (1) invoice from the vendor charging another vendor the same price for the same service is provided to the Contracting Officer as evidence. Since this cost is over the simplified acquisition threshold, further documentation to determine cost reasonableness is required. The offeror is able to furnish another invoice charging a second vendor the same price for the same service.
- b) “Subcontractor – Widget, Inc.”: The offeror provides a copy of the subcontractor quote to the Contracting Officer in support of the \$25,000 cost. This subcontractor quote must include sufficient detailed information (equivalent to the data included in the prime’s proposal to the Government), so that the Contracting Officer can make a determination of cost reasonableness.
- i) As stated in Section 3.5(c)(6) of the DoD Cost Proposal guidance, “All subcontractor costs and consultant costs must be detailed at the same level as prime contractor costs in regards to labor, travel, equipment, etc. Provide detailed substantiation of subcontractor costs in your cost proposal.”
- ii) In accordance with FAR 15.404-3, “the Contracting Officer is responsible for the determination of price reasonableness for the prime contract, including subcontracting costs”. This means that the subcontractor’s quote/proposal may be subject to the same scrutiny by the Contracting Officer as the cost proposal submitted by the prime. The Contracting Officer will need to determine whether the subcontractor has an accepted purchasing

system in place and/or conduct appropriate cost or price analyses to establish the reasonableness of proposed subcontract prices. Due to the proprietary nature of cost data, the Subcontractor may choose to submit their pricing information directly to the Contracting Officer and not through the prime. This is understood and encouraged.

- iii) When a subcontractor is selected to provide support under the prime contract due to their specialized experience, the Contracting Officer may request sole source justification from the offeror.
- c) “Consultant – John Bowers”: Again, the offeror shall provide a copy of the consultant’s quote to the Contracting Officer as evidence. In this example, the consultant will be charging an hourly rate of \$125 an hour for 96 hours of support. The offeror indicates to the Contracting Officer that this particular consultant was used on a previous contract with the Government (provide contract number), and will be charging the same rate. A copy of the consultant’s invoice to the offeror under the prior contract is available as supporting evidence. Since the Government has paid this price for the same services in the past, determination has already been made that the price is fair.
- d) “Travel”: The Contracting Officer will require a detailed cost breakdown for travel expenses to determine whether the total cost is reasonable based on Government per diem and mileage rates. This breakdown shall include the number of trips, the destinations, and the number of travelers. It will also need to include the estimated airfare per round trip, estimated car rental, lodging rate per trip, tax on lodging, and per diem rate per trip. The lodging and per diem rates must coincide with the Joint Travel Regulations. Please see the following website to determine the appropriate lodging and per diem rates:  
<http://www.defensetravel.dod.mil/site/perdiemCalc.cfm>  
 Additionally, the offeror must provide why the airfare is fair and reasonable as well. Sufficient back up for both airfare and car rental would include print outs of online research at the various travel search engines (Expedia, Travelocity, etc.) documenting the prices for airfare and car rentals thus proving why your chosen rate is fair and reasonable.

i) Below is a sample of the travel portion:

TRAVEL		Trips	Travelers	Nights	Days	Unit Cost	Total Travel
Airfare	per roundtrip	1	1			\$996.00	\$996.00
Lodging	per day	1	1	1		\$75.00	\$75.00
Tax on							

Lodging							
(12%)	per day	1	1	1		\$9.00	\$9.00
Per Diem	per day	1	1		2	\$44.00	\$88.00
Automobile					2		
Rental	per day	1	1			\$41.00	\$82.00
Subtotal Travel							\$1,250.00

D) Indirect Rates: Indirect rates include elements such as Fringe Benefits, General & Administrative (G&A), Overhead, and Material Handling costs. The offeror shall indicate in the cost proposal both the indirect rates (as a percentage) as well as how those rates are allocated to the costs in the proposal.

INDIRECTS	YEAR 1	YEAR 2
Subtotal Direct Labor (DL):	\$97,280.00	\$100,198.40
Fringe Benefits, if not included in Overhead, rate (15.0000 %) X DL =	\$14,592.00	\$15,029.76
Labor Overhead (rate 45.0000 %) X (DL + Fringe) =	\$50,342.40	\$51,852.67
Total Direct Labor (TDL):	\$162,214.40	\$167,080.83

- 1) In this example, the offeror includes a Fringe Benefit rate of 15.00% that is allocated to the Direct Labor costs. They also propose a Labor Overhead rate of 45.00% that is allocated to the Direct Labor costs plus the Fringe Benefits.
- 2) All indirect rates and the allocation methods of those rates must be verified by the Contracting Officer. In most cases, DCAA documentation supporting the indirect rates and allocation methods can be obtained through a DCAA field audit or proposal review. Many offerors have already completed such reviews and have this documentation readily available. If an offeror is unable to participate in a DCAA review to substantiate indirect rates, the Contracting Officer may request other accounting data from the offeror to make a determination.

E.) Cost of Money (COM): If Cost of Money (an imputed cost that is not a form of interest on borrowings (see FAR 31.205-20); an “incurred cost” for cost-reimbursement purposes under

applicable cost-reimbursement contracts and for progress payment purposes under fixed-price contracts; and refers to— (1) Facilities capital cost of money (48 CFR 9904.414); and (2) Cost of money as an element of the cost of capital assets under construction (48 CFR 9904.417)) is proposed in accordance with FAR 31.205-10, a DD Form 1861 is required to be completed and submitted with the contractor's proposal.

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

G.) Subcontracting Plan: If the total amount of the proposal exceeds \$750,000 and the offeror is a large business or an institute of higher education (other than HBCU/MI) and the resultant award is a contract, the offeror shall be prepared to submit a subcontracting plan for small business and small disadvantaged business concerns. A mutually agreeable plan will be included in and made a part of the contract (see the goals listed at Section II, F, 2, b).

## **2. GRANT and COOPERATIVE AGREEMENT Proposals:**

Before award it must be established that an approved accounting system and financial management system exist.

A.) Direct Labor: Show the current and projected salary amounts in terms of man-hours, man-months, or annual salary to be charged by the principal investigator(s), faculty, research associates, postdoctoral associates, graduate and undergraduate students, secretarial, clerical, and other technical personnel either by personnel or position. State the number of man-hours used to calculate a man-month or man-year. For proposals from universities, research during the academic term is deemed part of regular academic duties, not an extra function for which additional compensation or compensation at a higher rate is warranted. Consequently, academic term salaries shall not be augmented either in rate or in total amount for research performed during the academic term. Rates of compensation for research conducted during non-academic (summer) terms shall not exceed the rate for the academic terms. When part or all of a person's services are to be charged as project costs, it is expected that the person will be relieved of an equal part or all of his or her regular teaching or other obligations. For each person or position, provide the following information:

- 1) The basis for the direct labor hours or percentage of effort (e.g., historical hours or estimates).
- 2) The basis for the direct labor rates or salaries. Labor costs should be predicted upon current labor rates or salaries. These rates may be adjusted upward for forecast salary or wage cost-of-living increases that will occur during the agreement period. The cost proposal should separately identify the rationale applied to base salary/wage for cost-of-living adjustments and merit increases. Each must be fully explained.

- 3) The portion of time to be devoted to the proposed research, divided between academic and non-academic (summer) terms, when applicable.
- 4) The total annual salary charged to the research project.
- 5) Any details that may affect the salary during the project, such as plans for leave and/or remuneration while on leave.

B.) Fringe Benefits and Indirect Costs (Overhead, General and Administrative, and Other): The most recent rates, dates of negotiation, the base(s) and periods to which the rates apply must be disclosed and a statement included identifying whether the proposed rates are provisional or fixed. If the rates have been negotiated by a Government agency, state when and by which agency. A copy of the negotiation memorandum should be provided. If negotiated forecast rates do not exist, offerors must provide sufficient detail to enable a determination to be made that the costs included in the forecast rate are allocable according to applicable OMB Circulars or FAR/DFARS provisions. Offerors' disclosure should be sufficient to permit a full understanding of the content of the rate(s) and how it was established. As a minimum, the submission should identify:

- 1) All individual cost elements included in the forecast rate(s);
- 2) Bases used to prorate indirect expenses to cost pools, if any;
- 3) How the rate(s) was calculated;
- 4) Distribution basis of the developed rate(s);
- 5) Bases on which the overhead rate is calculated, such as "salaries and wages" or "total costs," and
- 6) The period of the offeror's fiscal year.

C.) Permanent Equipment: If facilities or equipment are required, a justification why this property should be furnished by the Government must be submitted. State the organization's inability or unwillingness to furnish the facilities or equipment. Offerors must provide an itemized list of permanent equipment showing the cost for each item. Permanent equipment is any article or tangible nonexpendable property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. The basis for the cost of each item of permanent equipment included in the budget must be disclosed, such as:

- 1) Vendor Quote: Show name of vendor, number of quotes received and justification, if intended award is to other than lowest bidder.
- 2) Historical Cost: Identify vendor, date of purchase, and whether or not cost represents lowest bid. Include reason(s) for not soliciting current quotes.
- 3) Engineering Estimate: Include rationale for quote and reason for not soliciting current quotes. If applicable, the following additional information shall be disclosed in the offeror's cost proposal:
  - 4) Special test equipment to be fabricated by the awardee for specific research purposes and its cost.
  - 5) Standard equipment to be acquired and modified to meet specific requirements, including acquisition and modification costs, listed separately.
  - 6) Existing equipment to be modified to meet specific research requirements, including modification costs. Do not include equipment the organization will purchase with its funds if the equipment will be capitalized for Federal income tax purposes. Proposed permanent equipment purchases during the final year of an award shall be limited and fully justified.
- 7) Grants and cooperative agreements may convey title to an institution for equipment purchased with project funds. At the discretion of the contracting/grants officer, the agreement may provide for retention of the title by the Government or may impose conditions governing the equipment conveyed to the organization per the governing laws and regulations.

D.) Travel: Forecasts of travel expenditures (domestic and foreign) that identify the destination and the various cost elements (airfare, mileage, per diem rates, etc.) must be submitted. The costs should be in sufficient detail to determine the reasonableness of such costs. Allowance for air travel normally will not exceed the cost of round-trip, economy air accommodations. Specify the type of travel and its relationship to the research project. Requests for domestic travel must not exceed \$3,000 per year per principal investigator. Separate, prior approval by the ARL is required for all foreign travel (i.e., travel outside the continental U.S., its possessions and Canada). Foreign travel requests must not exceed \$1,800 each per year per principal investigator. Special justification will be required for travel requests in excess of the amounts stated above and for travel by individuals other than the principal investigator(s). Individuals other than the principal investigator(s) are considered postdoctoral associates, research associates, graduate and undergraduate students, secretarial, clerical, and other technical

personnel. Additional travel may be requested for travel to Army laboratories and facilities to enhance agreement objectives and to achieve technology transfer.

E.) Participant Support Costs: This budget category refers to costs of transportation, per diem, stipends, and other related costs for participants or trainees (but not employees) in connection with ARL-sponsored conferences, meetings, symposia, training activities, and workshops (see the "Other Programs" section as described earlier in this BAA). Generally, indirect costs are not allowed on participant support costs. The number of participants to be supported should be entered in the parentheses on the budget form. These costs should also be justified in the budget justification page(s) attached to the cost proposal.

F.) Materials, Supplies, and Consumables: A general description and total estimated cost of expendable equipment and supplies are required. The basis for developing the cost estimate (vendor quotes, invoice prices, engineering estimate, purchase order history, etc.) must be included. If possible, provide a material list.

G.) Publication, Documentation, and Dissemination: The budget may request funds for the costs of preparing, publishing, or otherwise making available to others the findings and products of the work conducted under an agreement, including costs of reports, reprints, page charges, or other journal costs (except costs for prior or early publication); necessary illustrations, cleanup, documentation, storage, and indexing of data and databases; and development, documentation, and debugging of software.

H.) Consultant Costs: Offerors normally are expected to utilize the services of their own staff to the maximum extent possible in managing and performing the project's effort. If the need for consultant services is anticipated, the nature of proposed consultant services should be justified and included in the technical proposal narrative. The cost proposal should include the names of consultant(s), primary organizational affiliation, each individual's expertise, daily compensation rate, number of days of expected service, and estimated travel and per diem costs.

I.) Computer Services: The cost of computer services, including computer-based retrieval of scientific, technical, and educational information, may be requested. A justification/explanation based on the established computer service rates at the proposing organization should be included. The budget also may request costs, which must be shown to be reasonable, for leasing automatic data processing equipment. The purchase of computers or associated hardware and software should be requested as items of equipment.

J.) Subawards (subcontracts or subgrants): A precise description of services or materials that are to be awarded by a subaward must be provided. For subawards totaling \$10,000 or more, provide the following specific information:

- 1) A clear description of the work to be performed.
- 2) If known, the identification of the proposed subawardee and an explanation of why and how the subawardee was selected or will be selected.
- 3) The identification of the type of award to be used (cost reimbursement, fixed price, etc.).
- 4) Whether or not the award will be competitive and, if noncompetitive, rationale to justify the absence of competition.
- 5) A detailed cost summary.

K.) Other Direct Costs: Itemize and provide the basis for proposed costs for other anticipated direct costs such as communications, transportation, insurance, and rental of equipment other than computer related items. Unusual or expensive items shall be fully explained and justified.

L.) Profit/ Fee: Profit/ fee is not allowed for the Recipient of or subaward to an assistance instrument, where the principal purpose of the activity to be carried out is to stimulate or support a public purpose (i.e., to provide assistance), rather than acquisition (i.e., to acquire goods and services for the direct benefit of the United States Government). A subaward is an award of financial assistance in the form of money, or property in lieu of money, made under a DoD grant or cooperative agreement by a recipient to an eligible subrecipient. The term includes financial assistance for substantive program performance by the subrecipient of a portion of the program for which the DoD grant or cooperative agreement was made. It does not include the recipient's procurement of goods and services needed to carry out the program.

M.) Subcontracting Plan: Subcontracting plans do not apply to assistance instruments.

**CONTRACT FACILITIES CAPITAL COST OF MONEY:** If cost of money is proposed, a completed Contract Facilities Capital Cost of Money (FCCM) (DD Form 1861) is required.