

**AIR FORCE OFFICE OF SCIENTIFIC RESEARCH (AFOSR)  
4015 Wilson Boulevard, Room 713  
ARLINGTON VA 22203**

**CONTRACTING AND ACQUISITION  
PROPOSER'S GUIDE TO THE AFOSR RESEARCH PROGRAMS**

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OPR: AFOSR/PKC (Editors: Harry R. Haraldsen and Charity E. Conrad)

## INTRODUCTION

The Proposer's Guide to the AFOSR Research Programs is provided to assist prospective proposers in preparing and submitting proposals to AFOSR. This guide is intended for proposers from educational institutions and industry as well as not-for-profit organizations. AFOSR uses grants, cooperative agreements, and contract award instruments; therefore, guidance will differ in some cases. Please note that guidance applies to grants and cooperative agreements unless the section specifies differently [after the paragraph number: (*CONTRACTS*) OR (*CONTRACTS – COMMERCIAL CONCERNS*)].

This guidance is provided in four chapters. Chapter 1 is an overview of the areas of AFOSR interest. Chapter 2 provides the guidance and necessary requirements for the preparation of the proposal. Chapter 3 outlines award types, authorization authority, and special provisions contained in awards and furnishes details on government scientific documentation services. Chapter 4 covers administrative matters such as payment. The appendices include a list of acronym terms for quick reference as well as proposal forms. **All amendments made to the Proposer's Guide will be available at AFOSR's Internet address: <http://www.afosr.af.mil>.**

## SUMMARY OF CHANGES

This pamphlet incorporates revisions to the following subject areas: Fellowship Research Programs (1.2.2), DTIC contact (1.5.1), High Performance Computing Availability (2.10.4.2), Animal Use (2.10.6), Facilities and Administration Expense Rate (Indirect Expense/Overhead) (2.12.8); Equipment and Facilities (2.12.11 and 2.12.12), Administration and Payment (4.1 and 4.2); Documentation to Support Eligibility for Categorical Exclusion Form (Atch 3); and Summary Proposal Budget Form (Atch 5), DFAS Enrollment Form (Atch 6)..

## CHAPTER 1 General Background

### 1.1 SUPPORT OVERVIEW

**1.1.1** The Air Force Office of Scientific Research (AFOSR) manages the Air Force basic research program. Research is supported in government laboratories, industrial laboratories and at colleges and universities. AFOSR and the Air Force laboratories are organized under the Air Force Research Laboratory (AFRL).

**1.1.2** Proposals are selected from the submissions that are in response to various AFOSR Broad Agency Announcements (BAAs) and or solicitations, which includes the AFOSR Research Interests Brochure and BAA 2000-1. Proposals are evaluated through a peer or scientific review process and selected for award on a competitive basis.

### 1.2 AFOSR AREAS OF RESEARCH INTEREST

**1.2.1** AFOSR's general areas of interest in the scientific disciplines are listed in BAA. The BAA describes the type of basic research that AFOSR is interested in sponsoring. It is subdivided into four major disciplinary areas that correspond to the areas of responsibility of AFOSR's four scientific directorates: (1) Aerospace and Materials Sciences, (2) Mathematics & Space Sciences, (3) Physics and Electronics, and (4) Chemistry & Life Sciences. These four areas are further subdivided into topic sub-areas, which state the general research approaches and specify the items of current interest.

**1.2.2** The BAA also describes researcher assistance programs. These programs include:

- National Research Council Resident Research Associates Program (NRC-RRA),
- National Defense Science and Engineering Graduate Fellowship Program (NDSEG).

These programs are designed to stimulate mutual research interest between the Air Force laboratories and institutions of higher education. They support graduate education, encourage the development of centers of research excellence in critical technological areas in which available research facilities and qualified researchers are nonexistent, and foster the accomplishment of research and training of quality research personnel. For further information on these programs contact AFOSR/NI, 4015 Wilson Boulevard, Room 713, Arlington, VA 22203 (703) 696-7300.

**1.2.3** The BAA also lists the AFOSR scientific directors, program managers, and Air Force chief scientists; their telephone numbers and addresses. More detailed information can also be found in the Air Force Basic Research Technology Area Plans (TAP). The TAP can be downloaded from [www.afmc.wpafb.af.mil/STBBS/info/taps/taps.htm](http://www.afmc.wpafb.af.mil/STBBS/info/taps/taps.htm) (be sure to capitalize STBBS).

### 1.3 AIR FORCE RESEARCH LABORATORY PRINCIPAL INVESTIGATOR'S INTERACTION

**1.3.1** During the period of performance of a contract, grant, or cooperative agreement, the AFOSR program manager will conduct technical meetings with all principal investigators and Air Force laboratory researchers active in the selected topical area. Furthermore, AFOSR encourages principal investigators to visit Air Force Research Laboratory's Research Sites and discuss related objectives with Air Force scientists and engineers. AFOSR program managers should coordinate all such visits. Funding for such visits can be made available through a contract, grant, or cooperative agreement.

**1.3.2** In addition, AFOSR program managers often encourage laboratory personnel to visit principal investigators, with prior coordination, when mutual benefit can be expected.

**1.4 INFORMATION FOR INDUSTRY.** An Air Force Information for Industry Office (AFIFIO) has been established by the Air Force Material Command (AFMC). The AFIFIO informs the scientific and technical community of problems confronting the

Department of Defense (DOD) and the Air Force, and deals primarily with planning documents for the development of future Air Force projects. Classified and unclassified technical information is available to qualified representatives of industrial, scientific and other organizations who have demonstrated capability in research and development and either have an active DOD contract, grant or cooperative agreement, or who are in the Air Force Potential Contractor Program and are registered for access to the Defense Technical Information Center (DTIC) services. Appointments for on-site review of documentation may be requested by letter or telephone.

For access to classified information, the visitor and their organization must establish the proper security clearance one week before the intended date of the visit.

You may contact the AFIFIO at:

Air Force Information for Industry Office  
WL/DORT  
Wright-Patterson AFB OH 45433-7411  
(937) 255-5767

<http://www.wl.wpafb.af.mil/library/afifio.htm>

## 1.5 DOCUMENT AND INFORMATION SERVICES

**1.5.1** DTIC is the central facility within the DOD for receiving, announcing, and providing authorized users with reports resulting from Defense-sponsored research, development, test, evaluation, and engineering efforts. To assist organizations in acquiring DTIC services, a manual entitled, "Registration for Scientific and Technical Information Services of the DOD" is available from DTIC 8725 John J. Kingman Rd., Ste. 0944, Ft. Belvoir HDQTRS Complex (FBHC). DTIC Reference Services & Document Orders may be contacted at: (703) 767-8274 or call Customer Service line at: (800)-225-DTIC or World Wide Web address: <http://www.dtic.mil>.

**1.5.2** Unclassified DOD reports are approved for public release and are made available by DTIC for sale to the public through the National Technical Information Service (NTIS). These reports are announced in Government Reports Announcements, the publication medium of NTIS, which is distributed twice monthly on a subscription basis, and annually indexed in Government Reports Index. Inquiries on NTIS services may be directed to 5285 Port Royal Road, Springfield VA 22161, (703) 487-4650 or <http://www.ntis.gov>. DTIC and NTIS services include providing copies of technical reports, report bibliographies, subject searches, resumes of active R&D efforts, and other product.

## CHAPTER 2

### PROPOSALS FOR BASIC RESEARCH SUPPORT

**2.1 WHO MAY SUBMIT.** AFOSR will consider requests for support of basic research-- relevant to the Air Force--from any organization. Grants and Cooperative Agreements may be awarded to all organizations, unless a profit or fee is requested. Contracts may be awarded to all organizations including those requiring a fee or profit. Cooperative Agreements may be awarded to these institutions, as well as to consortia, and commercial concerns. Contracts may also be awarded to these institutions and to commercial concerns.

**2.1.1** Grant recipients and contractors will be required to submit and Certifications and Representations. Grant certification may be found

at Attachment 2. Contract certifications will be provided by an AFOSR contracting officer. Documentation to Support Eligibility for Categorical Exclusion Form (CATEX) (Atch 3), Human Subjects Form (if applicable-Atch 4), The Use of Laboratory Animals Report if applicable (for further information, reference DOD Directive 3216.1. This directive is available at [web7.whs.osd.mil/dodiss/directive/direct2.htm](http://web7.whs.osd.mil/dodiss/directive/direct2.htm).) The CATEX form addresses potential environmental concerns of major federal undertakings as mandated by the National Environmental Policy Act of 1969. Human Subjects Form ensures compliance with statues and regulations mandated by the Department of Health

and Human Services (DHHS). The Use of Laboratory Animals Report ensures compliance with statues and regulations detailed in DOD Directive 3216.1, *The Use of Laboratory Animals in DOD Programs*, to be submitted to the Institutional Animal Care and Use Committee. Further detail regarding Human and Animal Use may be found in Chapter 2, sections 2.10.5 and 2.10.6. Certifications and Representations form addresses debarment; suspension and other responsibility matters; restrictions on lobbying; and drug-fee workplace requirements.

Forms should be included when submitting a proposal. Other certifications that may be required will be requested by the AFOSR contracting office before award.

**2.2 WHEN TO SUBMIT.** Research proposals submitted in response to AFOSR BAA 2000-1 may be submitted at any time. Other BAAs issued by AFOSR will cite a specified cut off date for submittal of proposals. Unless a different quantity is requested, a signed original and five copies of the proposal should be submitted at least six months in advance of the proposed starting date to allow adequate time for evaluation and subsequent negotiations for award of a contract, grant, or cooperative agreement.

**2.3 WHERE TO SUBMIT.** To expedite evaluation, send proposals directly to the person listed in the BAA 2000-1 or any other BAA. These individuals have the responsibility for the subject matter of the proposal. Proposals within a general area of interest (i.e., Chemistry, Mathematics, Physics, etc.) may be sent to the cognizant AFOSR Scientific Director listed in the BAA 2000-1 at:

AFOSR/office symbol (named individual)  
4015 Wilson Boulevard, Room 713  
Arlington, VA 22203

In case of difficulties in determining the appropriate addressee, you may contact:

AFOSR/PK  
4015 Wilson Boulevard, Room 713  
Arlington, VA 22203  
(703) 696-5999

**2.4 ADVANCE CONSULTATIONS.** AFOSR technical personnel are willing to give advance opinions on any proposed research. These opinions will provide

the proposer guidance prior to the start of any extensive effort in the development of a detailed proposal and are based on the assumption that there is a valid Air Force need for the suggested objectives. Prior contact with Air Force technical personnel listed in the AFOSR Research Interests Pamphlet is not required, but is encouraged.

## **2.5 INSTRUCTIONS FOR PREPARING**

**PROPOSALS.** While the following format is not required, experience has shown it provides all the information needed for technical evaluation. Failure to provide required information could result in delay of awards (see section 2.15.5 for checklist).

**2.6 COVER PAGE.** Proposals are required to be submitted using a Cover Page (Atch 1). At least one copy of the Cover Page must be signed by an official authorized to commit the organization in business and financial affairs.

**2.7 ABSTRACT.** The abstract of the proposed research should be no more than one page and include: statement of relevance, objective of the research, approach, and scientific merit. Identify other parties who will receive the proposal or may fund the proposed effort or activity.

## **2.8 ENVIRONMENTAL COMPLIANCE**

**2.8.1** Federal agencies making contract, grant, or cooperative agreement awards and recipients of such awards must comply with various environmental requirements. The National Environmental Policy Act of 1969 (NEPA), 42 U.S.C. Sections 4321-4370 (a), requires that agencies consider the environmental impact of "major Federal actions" prior to any final agency decision. With respect to those awards which constitute "major Federal actions," as defined in 40 CFR 1508.18, federal agencies may be required to comply with NEPA and prepare an environmental impact statement (EIS) even if the agency does no more than provide grant funds to the recipient. Questions regarding NEPA compliance should be referred to the AFOSR legal staff at (703) 696-9705.

**2.8.2** Most research efforts funded by AFOSR will, however, qualify for a categorical exclusion from the need to prepare an EIS. Air Force instructions/regulations provide for a categorical exclusion for basic and applied scientific research

usually confined to the laboratory, assuming it complies with all other safety environmental and natural resource conservation laws that apply.

**2.8.3** Each proposal must be accompanied by a CATEX form (Atch 3), or a plan for meeting the NEPA requirements. This information will be used by AFOSR to make a determination that the proposed research effort qualifies for categorical exclusion.

**2.9 STATEMENT OF OBJECTIVES.** Describe the actual research to be completed, including goals and objectives, on a one-page titled Statement of Objectives. This statement of objectives may be incorporated into the award instead of incorporating the entire technical proposal. It is suggested that active verbs be used in this statement (for example, “conduct” research into a topic, “investigate” a problem, “determine” to test a hypothesis). It should not contain proprietary information.

## **2.10 TECHNICAL PROPOSAL**

**2.10.1 RESEARCH EFFORT.** Describe in detail the research to be performed. State the objectives and approach and their relationship and comparable objectives in progress elsewhere. Additionally, state knowledge in the field and include a bibliography and a list of literature citations. Discuss the nature of the expected results. The adequacy of this information will influence the overall evaluation. Proposals for renewal of existing support must include a description of progress if the proposed objectives are related.

**2.10.2 PRINCIPAL INVESTIGATOR (PI) TIME.** PI time is required. List the estimate of time the principal investigator and other senior professional personnel will devote to the research (specify months and percentage of time - see section 2.12.6). This shall include information pertaining to other commitments of time, such as sabbatical or extended leave; and proportion of time to be devoted to this research and to other research. Awards may be terminated when the principal investigator severs connections with the organization or is unable to continue active participation in the research. If PI reimbursement of salaries is not requested, the equivalent amount of salaries must be formally cost shared.

**2.10.2.1** State the number of graduate students for whom each senior staff member is responsible. If the principal investigator or other key personnel are currently engaged in research under other auspices, or expect to receive support from other agencies for research during the time proposed for AFOSR support, state the title of the other research, the proportion of time to be devoted to it, the amount of support, name of agency, dates, etc. Send any changes in this information as soon as they are known. Submit a short abstract (including title, objectives, and approach) of that research and a copy of the budget for both present and pending research projects.

**2.10.3 FACILITIES.** Describe facilities available for performing the proposed research and any additional facilities or equipment the organization proposes to acquire at its own expense. Indicate government-owned facilities or equipment already possessed that will be used. Reference the facilities contract number or, in the absence of a facilities contract, the specific facilities or equipment and the number of the award under which they are accountable. Refer to section 2.8 regarding environmental compliance.

**2.10.4 SPECIAL TEST EQUIPMENT.** List special test equipment or other property required to perform the proposed research. Segregate items to be acquired with award funds from those to be furnished by the Government. When possible and practicable, give a description or title and estimated cost of each item. When information on individual items are unknown or not available, group the items by class and estimate the values. In addition, state why it is necessary to acquire the property with award funds.

**2.10.4.1** Justify the need for each equipment item. Additional facilities and equipment will not be provided unless the research cannot be completed by any other practical means. Include the proposed life expectancy of the equipment and whether it will be integrated with a larger assemblage of apparatus. If so, state who owns the existing apparatus. Further detail discussed in sections 2.12.11 - 2.12.12.

**2.10.4.2 HIGH PERFORMANCE COMPUTING AVAILABILITY.** Researchers that are supported under an AFOSR grant or contract, meeting certain restrictions, are eligible to apply for special

accounts and participation in a full-spectrum of activities within the DOD high performance computing modernization program. This program provides, at no cost to the user, access to a range of state-of-the-art high performance computing assets and training opportunities that will allow the user to fully exploit these assets. Details of the capabilities of the program can be found at the following Internet address: <http://www.hpcmo.hpc.mil>. Researchers needing high performance cycles should address the utilization of this program to meet their required needs. AFOSR program managers will facilitate the establishment of accounts awarded.

**2.10.5 HUMAN SUBJECTS.** The Air Force requires that research involving human subjects comply with all applicable statutes and regulations. Before a contract, grant, or cooperative agreement may be awarded to support research involving the use of human subjects, the Air Force must receive a completed Optional Form 310 (Atch 4), including:

**2.10.5.1** Assurance number provided by the Office of Protection from Research Risks (OPRR),

**2.10.5.2** Statement that the proposal was approved by the proposer's Institutional Review Board (IRB), including the date of approval and assessment of risk (minimal or greater than minimal),

**2.10.5.3** Statement that the review was performed by a full committee or an expedited review process,

**2.10.5.4** An unsigned copy of the informed consent document (ICD).a copy of the informed consent document (ICD) (Unsigned copy).

**2.10.5.5** Refer any questions regarding human subjects to AFOSR Directorate of Chemistry and Life Sciences at (703) 696-7733.

**2.10.5.6** Proposals from organizations not having a general assurance on file with the Department of Health and Human Services (DHHS) will first be reviewed for scientific merit. If a decision to support the proposal is reached, the Air Force may negotiate a special assurance or require that an acceptable general assurance be filed with DHHS.

**2.10.6 ANIMAL USE.** The Air Force requires that research involving animal use comply with all

applicable statutes and regulations that include DOD Directive 3216.1, *The Use of Laboratory Animals in DOD Programs*. Before a contract, grant, or cooperative agreement may be awarded to support research involving the use of laboratory animals, proposals must meet the following criteria:

**2.10.6.1** Proposed animal use protocols shall be in the prescribed DOD standard format;

**2.10.6.2** A signed/dated copy of the Institutional Animal Care and Use Committee (IACUC) approval of the proposed animal use protocol;

**2.10.6.3** The Institute's Office of Protection from Research Risks (OPRR) assurance number if applicable;

**2.10.6.4** A copy of the institute's most recent USDA inspection report;

**2.10.6.5** Documentation as to whether the institute is or is not accredited by the American Association for the Accreditation of Laboratory Animal Care (AAALAC).

**2.10.6.6** Refer any questions regarding animal subjects to AFOSR Directorate of Chemistry and Life Sciences at (703) 696-7733.

**2.11 KEY PERSONNEL.** Furnish the vitae for those key persons who will be performing the research. Information about an individual is subject to the requirements of the Privacy Act of 1974 (Public Law 93-579). The information is requested under the authority of Title 10, USC, Sections 2358 and 8013. The principal purpose and routine use of the requested information are for evaluation of the qualifications of those persons who will perform the proposed research. Failure to provide such information will delay award.

**2.11.1** For the principal investigator and each of the senior staff, provide a short biographical sketch and a list of significant publications. List the names and titles of other scientific and technical personnel who will be directly associated with the project; indicate the number of assistants or student research assistants and their scientific or technical training and experience.

## 2.12 COST PROPOSAL

**2.12.1** Estimate the total research project cost. Categorize funds by year and provide separate annual budgets for projects lasting more than one year.

**2.12.2** A Summary Proposal Budget Form is included in the appendices of this guide (Atch 5). The form may be reproduced as needed. In addition to the forms, the budget proposal should include a budget justification for each year, clearly explaining the need for each item.

**2.12.3** If a portion of the total research project cost is to be furnished by the contractor or recipient, or any other party, state the source and amount separately from money requested from AFOSR.

**2.12.4** The applicable cost principles for commercial concerns should be in accordance with Part 31 of the FAR, as supplemented. For educational institutions and not-for-profit organizations, the Office of Management and Budget (OMB) Circulars A-110, A-21, A-122, etc., will be used in determining allowable costs.

**2.12.5** Cost categories most frequently appearing in cost estimates and pricing proposals are discussed in the following paragraphs.

**2.12.5.1 SALARY COST.** 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, established academic term salaries shall not be augmented either in rate or in total amount for research performed during the academic term. Supporting information should include vitae(s) specifically showing all educational degrees and year, actual payroll documents, or Forward Pricing Rate Agreement (FPRA) information. Separately list personnel, position, and labor category.

### 2.12.5.2 SALARY GUIDELINES FOR RECIPIENTS.

**2.12.5.2.1** 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, established academic term salaries shall not be augmented either in rate or in total

amount for research performed during the academic term.

**2.12.5.2.2** Rates of compensation for research conducted during nonacademic, e.g., summer terms, shall not exceed the rate for the academic year. When part, or all, of an individual's services are to be charged as project costs, it is expected they will be relieved of an equal part, or all, of their regular teaching or other obligations.

**2.12.5.3** Separately list personnel or position. For each person or position provide the following:

- Current or projected salary base and amount (for example, "\$100,00 annual," "\$100,000 per nine months academic year," "\$100,000 per ten months academic year). See section 2.12.5.2.2 for special requirements for educational institutions.
- For educational institutions, the portion of time devoted to the project should be separated between academic and nonacademic (summer) terms when applicable.

Contractors should use their standard method for proposing effort (e.g. man-hours, man-years, etc.).

- Information that may affect the salary during the period of the project, such as plans for leave and remuneration while on leave.
- Total annual salary charges to the research project.
- Cost sharing where applicable.

**2.12.6 FRINGE BENEFITS.** For all employees (including students and support staff), separately itemize charges for employee benefits and show rate and salaries that apply. Attach detail to the budget proposal (i.e. calculation and university agreement documentation). Also, indicate if the fringe benefit rate is in agreement with the university's cognizant government agency (i.e. DHHS, Office of Naval Research (ONR), or Department of Energy (DOE) and effective dates.

**2.12.7 FACILITIES AND ADMINISTRATION EXPENSE RATE (F&A) (INDIRECT EXPENSE/OVERHEAD).** The three types of rates that the recipient may use include: provisional, predetermined, and fixed with carry-forward. The recipient or educational institution should use rate(s)

in the most recent signed agreement with their cognizant government agency (i.e. DHHS, ONR, DOE) for the current and outyears of their budget.

**2.12.7.1** Please complete the outlined breakdown of the base and the applied facilities and administration expense rate of the Summary Proposal Budget Form (Block J - Atch 5).

**2.12.8 INDIRECT RATES (CONTRACTS - COMMERCIAL CONCERNS).** Contractors should use the Forward Pricing Rate Agreement (FPRA) when applicable, stating the date of the current agreement. FPRA may include indirect rates such as Materials Overhead, Fringe Benefits, Labor Overhead, General & Administrative Expenses and Facilities Capital Cost of Money (FCCOM). If no FPRA has been established the contractor needs to submit an explanation of how the rate(s) were derived for the budget proposal. This explanation should include prior year and year to date costs and projections to support the rates proposed.

**2.12.9 PROPERTY COSTS.** A contractor is expected to adhere to Department of Defense and Air Force policies with respect to materials, special test equipment, and facilities as set forth in FAR subpart 45.3. A statement of the contractor's policy in making purchases (competitive bids, approved purchasing systems, etc.) should be given. A recipient must comply with the standards of OMB Circular A-110.

**2.12.10 EQUIPMENT & FACILITIES.** If facilities or equipment are proposed, justify why this property should be furnished by the Government. State the proposer's inability or unwillingness to furnish the facilities and/or equipment. Describe the function and research use of equipment to be acquired and its cost (see detail in section 2.10.3 for facilities). AFOSR does not permit the purchase of general office equipment or computer hardware/software for administrative use. Cost should be based on recent quotations from manufacturers or distributors.

**2.12.10.1** If a contract is used to fund the proposed research, the purchase of non-US manufactured equipment may require special prior authorization under the Buy American Act as may be referenced in FAR part 25. Process time for such approvals is approximately 90 days.

**2.12.11 SPECIAL TEST EQUIPMENT.** Describe special test equipment to be fabricated for specific research purposes. Please provide cost and standard equipment to be modified to meet specific requirements. Include acquisition and modification costs separately. Describe existing equipment to be modified to meet specific research requirements. Do not include equipment purchases that will be capitalized for Federal income tax purposes and allocated indirectly.

**2.12.11.1** Awards normally convey title to a university or not-for-profit institutions for equipment purchased with project funds. However, at the discretion of the contracting officer, the award may provide for retention of title by the Government or may impose conditions governing the equipment conveyed to the organization.

**2.12.12 TRAVEL COSTS.** Estimate the required amount of travel and the rate at which employees will be reimbursed. Present the various elements (per diem, mileage, air fare, destination, if known, etc.) of travel costs in sufficient detail to determine the reasonableness of such costs. Specify the type of travel and its relationship to the research. The principal investigator is encouraged to plan at least one trip to an Air Force laboratory.

**2.12.13 TUITION.** Estimate costs of tuition based upon current rates. Please provide published historical escalation rates to support tuition projection rates.

**2.12.14 SUPPLIES/MATERIAL COSTS.** Material costs will be direct charges unless otherwise stated. Give an item description, quantity or units needed, and the cost per unit. Unit costs should be based on recent quotations from manufacturers or distributors.

**2.12.15 COMPUTER COSTS.** Itemize rental or maintenance for computers and other equipment.

**2.12.16 CONSULTANT COSTS.** The nature of anticipated consultant services should be explained and the reason why consultants are required to complete the effort. State the planned daily consultant fees and travel expenses.

**2.12.17 PUBLICATION AND REPORT COSTS.** Estimate the costs of publishing and reporting research results, including the cost of clerical

preparation and charges for pages, illustrations, reprints, and distribution.

#### **2.12.18 COMMUNICATION/SHIPPING COSTS.**

Estimate costs that may not be included in overhead such as long-distance telephone calls, telegrams, postage, etc. Indicate hours and rates; service charges; and freight, import, and customs costs; etc.

**2.12.19 SUBCONTRACT COSTS.** Support the estimate of subcontract objectives by indicating the specific items or portion of the objectives to be subcontracted; the type of subcontract anticipated; name of subcontractor, if known; and a detailed cost summary and budget.

**2.12.20 OTHER DIRECT COSTS.** Itemize and fully explain other anticipated direct costs that are unusual or expensive items to justify costs (i.e., fabrication, shop time, volunteer fees).

**2.12.21 PROFIT OR FEE (CONTRACTS).** Include fee, if any, which the organization proposes to assess the research project per the restrictions cited in section 2.1 of this guide.

**2.12.22 FACILITIES CAPITAL COST OF MONEY (FCCOM) (CONTRACTS-COMMERCIAL CONCERNS).** If FCCOM is proposed, it must be supported by a DD Form 1861 (see DFAR parts 215.9 and 230). Provide the percentage breakout for Land, Facilities, and Equipment.

**2.12.23 TOTAL COSTS.** Please show a breakdown of the costs for each year and the total of the costs for all years.

**2.12.24 COST SHARE.** Cost share is encouraged but does not effect evaluation of the proposal. Provide detail of the cost share (i.e., cover costs on equipment, supplies, or any other cost category).

**2.12.25 APPROVED PURCHASING SYSTEM.** ONR conducts audits of purchasing systems for educational institutions with frequent high dollar, government awards. Assessment of the purchasing system must comply with OMB Circular A-110. This periodic review will allow the Air Force to waive cost analysis on individual cost for materials or other procured goods or services. Therefore, an approved purchasing system will expedite the cost analysis process for award. Please also provide the status of any existing purchasing system review or

approvals with a government contact phone number.

#### **2.12.26 FINANCIAL RESPONSIBILITY**

**DETERMINATION (CONTRACTS).** For cost reimbursement contracts, the contractor must have an acceptable accounting system as determined by DCAA. Commercial contractors will be determined financially responsible in accordance with FAR 9.104-1 for cost-type contracts. The contractor should indicate the type of accounting system used and its historical performance record. Additional information on financial responsibility is required for contractors that do not have an established record of government contracting experience. New contractors will need to provide justification such as a line of credit, bank account statements, etc. to show they have the financial resources necessary to perform the effort. If the proposer does not have an acceptable accounting system, then this may jeopardize the timeliness and/or award of a contract. Further information regarding DOD accounting system requirements is available at:

<http://www.hsv.tis.net/~bacons4/actsys.htm> and  
<http://www.hsv.tis.net/~bacons4/sgsoftw.htm>.

**2.13 JOINT SPONSORSHIP.** Disclose present or prospective joint sponsorship of any portion outlined in the proposal. In the absence of agreements among sponsors for joint support, devise the plan so the research can be carried out without drawing on the resources of any other sponsor. If, however, it is desirable to request another agency to provide part of the support, state the proposed plan and give reasons for the request. If the plan cannot be formulated at the time the proposal is written, send the information later as an addendum to the proposal. Prior approval of both agencies must be secured for research to be undertaken under joint sponsorship.

**2.14 EVALUATING PROPOSALS.** Proposals that merit consideration will be evaluated in accordance with evaluation criteria set forth in the applicable BAA. AFOSR will acknowledge receipt of proposals within approximately five working days. If completion of a final evaluation is not within approximately 90 days, the recipient will be notified with an estimate of the evaluation completion date. Peer and/or the scientific review process is used to conduct proposal evaluation process. Information summarizing the results of evaluations will be

furnished to proposers on request. Such information shall not be construed as an endorsement by the Government on the subject matter of disclosures, nor shall be used in whole or in part for advertising purposes with industry or with other government agencies.

**2.14.1** Frequently, proposals require clarification, discussion, and amendment. AFOSR's program managers are authorized to pursue such dialogue directly with identified principal investigators before making funding decisions. **However, only contracting officers are authorized to obligate the Government.** Requests by the evaluators for further information or resubmission of the proposal will be at the expense and risk of the offeror and shall create no obligation on behalf of the Government.

**2.14.2** If a proposal is accepted, a contract, grant, or cooperative agreement may be the funding instrument negotiated. In the event that the proposal is not accepted, the Government is not obligated to reimburse any cost that may incur in submitting the proposal. Exemptions to this policy may apply in accordance with FAR (commercial) for normal bid and proposal costs allowed or OMB Circulars (educational and not-for-profit organizations) for an increase in indirect cost pool for future awards.

## **2.15 PROTECTING PROPRIETARY INFORMATION**

AFOSR has a continuing interest in receiving and evaluating proposals containing new ideas, suggestions, and innovative concepts germane to the potential needs of the Air Force. AFOSR encourages the submission of detailed proposals that reflect the latest innovations and discoveries made by proposers.

**2.15.1** Proposers should mark the contents of proposals with restrictive legends, particularly if the proposal contains information concerning or relating to: trade secrets; processes; operations; style of work or apparatus; identity of suppliers or subcontractors; confidential statistical data; the amount or source of income; or profits, losses, or expenditures of a person, firm, partnership, corporation, or association.

**2.15.2** Proposers should understand, however, that the substance of a proposal may already be known

to government employees, government contractors, or other parties performing or cooperating on research with the Air Force. In addition the substance of a proposal may already be in the public domain, or may be available to the Air Force either now or later from other sources. Thus, the Air Force may be free to use information available from other sources, notwithstanding application of a restrictive legend to a proposal.

**2.15.3** If, in the proposal review process, a proposer wishes to restrict release of the contents of a proposal, or portions thereof, the proposer should mark all pages including the cover page with the following legend:

*This proposal includes data that shall not be disclosed outside the government or outside evaluators under contract to the Government and shall not be duplicated, used, or disclosed - in whole, or in part, for any purposes other than to evaluate the proposal. However, if an award is made to this offeror as a result of - or in connection with - the submission of these data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract, grant, or cooperative agreement. This restriction does not limit the Government's right to use information contained in these data if they are obtained from another source without restriction.*

***The proposer shall also mark each restricted sheet with the following legend:***

*Use or disclosure of proposal data is subject to the restriction on the Cover Page of this proposal.*

This is a version of FAR part 15.6, Use and Disclosure of Data, modified to permit for contracted evaluations. If data is submitted without appropriate restrictive markings, it may jeopardize the offeror's ability to prevent disclosure outside the Government.

**2.15.4** If a proposal results in an award, AFOSR may release portions of the proposal awarded in response to post-award requests under the Freedom of Information Act (or similar requests) without prior contact with the offeror.

**2.15.5** Before submitting a proposal, please check through the following checklist. It is strongly encouraged to provide all required documents listed, as well as supporting justification and calculations.

Cover Page – Atch 1	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	
Abstract	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	
Statement of Objectives	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	
Technical Proposal	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	
Key Personnel	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	
Cost Proposal	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	
Certifications and Representations - Atch 2	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	
Documentation to Support Eligibility for Categorical Exclusion CATEX (Environment)-Atch 3	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	
Human Subject Use - Atch 4	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	N/A <input type="checkbox"/>
Use of Laboratory Animals (DOD Directive 3216.1)	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	N/A <input type="checkbox"/>

**2.16 DISPOSING OF PROPOSALS.**

Unless otherwise instructed, proposals not funded will be destroyed 12 months after submission. Funded proposals are included in official

government records and will be maintained according to Air Force regulations. Unnecessary extra copies of proposals will be destroyed after the evaluation process is completed.

**CHAPTER 3**

**AWARDING OF CONTRACTS, GRANTS, AND COOPERATIVE AGREEMENTS**

**3.1 AWARD TYPE AND AUTHORIZATION AUTHORITY.** AFOSR research support agreements may be contracts, grants, or cooperative agreements. Grants and cooperative agreements may be used to award organizations that do not require a profit or fee. Otherwise, contracts may be used to award organizations that require a fee or profit. AFOSR contracting officers will decide which instrument is appropriate for support of the proposed research. **Only Contracting Officers have authorization to commit the Government to awards.**

**3.2 SPECIAL PROVISIONS.** Awards made by AFOSR will contain, where appropriate, detailed special provisions concerning security, patent rights, rights in technical data, computer software, reporting requirements, equal employment opportunity, care of laboratory animals, use of human subjects, environmental compliance, and other requirements. More information on the above items is available on request from the contracting officer.

**CHAPTER 4  
ADMINISTRATION**

**4.1 DOD FUND TRACKING.** The amount of funding for a specific award is subject to negotiation based upon current funding policies. DoD expenditure and billing data is closely tracked for all awards and are subject to sharp reductions. Awardees are expected to adhere to expenditure plans. Prompt invoicing for grants and cooperative agreements are encouraged as well as use of advance billing procedures.

Advance billing is permitted up to 90 days prior to award. If neither option is taken, then the awardee will risk having funds reduced during the original funding period.

**4.2 ELECTRONIC FUNDS TRANSFER.** It is a Government-wide policy to use electronic funds transfer (EFT) in the payment of any grant for which an application or proposal was submitted or

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renewed. The Defense Finance and Accounting Service (DFAS) is responsible for implementing this EFT requirement. The EFT will improve timeliness and accuracy of payments and reduce administrative burdens associated with paper-based payments. Therefore, all awardees must register with DFAS for electronic payment. For further information is available at <http://www.dfas.mil>. Look in the "Vender Pay" section of that site.

**4.3 SCHEDULED PAYMENTS** AFOSR will make payment to educational and non-profit recipients based upon a predetermined payment schedule. Payments will normally

be made quarterly in advance of performance, based upon a spending profile which must be provided as part of the proposal. Payments should be limited to the amounts needed to conduct research during each respective period. Advances must be maintained in interest bearing accounts pursuant to OMB Circular A-110. In the event actual expenditures significantly deviate from the established scheduled payments cited in the award, the recipient must notify AFOSR, providing both an explanation for the deviation and a revised spending plan for the balance of the research period(s).