



**University Consortium for Applied Hyperionics:**

**PROJECT CALL**

**REQUEST FOR WHITE PAPER/PROTOTYPE PROPOSAL NUMBER:**

**TEES/JHTO-RPP-2021-001**

**AMENDMENT 1 – July 1, 2021**

Project Call Release Date	June 28, 2021
Request for White Paper Questions Cutoff	July 19, 2021
Notice of Intent	July 26, 2021 (5:00 PM CST)
Phase 1: White Paper Submission Deadline	August 2, 2021 (5:00 PM CST)
Notification of White Paper Evaluation Outcome	August 31, 2021
Request for Prototype Proposal Questions Cutoff	September 20, 2021
Phase 2: Prototype Proposal Submission Deadline	October 4, 2021 (5:00 PM CST)
Agreement Award Notifications	November 15, 2021
Anticipated Project Start Date	January 1, 2022
Period of Performance	1 Year
Agreement Ceiling	Up to \$500,000 per award
<b>Expected Agreement Classification</b>	<b>Controlled Unclassified Information</b>

TO APPLY TO THIS PROJECT CALL, YOUR UNIVERSITY’S AUTHORIZED ORGANIZATIONAL REPRESENTATIVE WILL NEED TO CREATE AN ACCOUNT AND SUBMIT PROTOTYPE PROPOSAL DOCUMENTS THROUGH THE UNIVERSITY CONSORTIUM FOR APPLIED HYPERSONICS WEBSITE: [HTTPS://HYPERSONICS.TAMU.EDU](https://hyperionics.tamu.edu).

PROTOTYPE PROPOSALS WILL BE RECEIVED UNTIL THE ABOVE DEADLINE. IF YOU ENCOUNTER ANY ISSUES OR CONCERNS WITH YOUR SUBMISSION, PLEASE EMAIL: [UCAH@TAMU.EDU](mailto:UCAH@TAMU.EDU). QUESTIONS REGARDING THE CONTENT OF THE REQUEST FOR PROTOTYPE PROPOSALS MUST BE POSTED THROUGH THE UNIVERSITY CONSORTIUM FOR APPLIED HYPERSONICS WEBSITE ABOVE.



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## 1. PROJECT OVERVIEW

**Funding Opportunity Title:** University Consortium for Applied Hypersonics (UCAH) Project Call (TEES/JHTO-RPP-2021-001).

**Dates:** Questions regarding the Request for White Paper (RWP) may be emailed to [UCAH@tamu.edu](mailto:UCAH@tamu.edu) through **July 19, 2021**. Responses to the questions will be posted on the UCAH website (<https://hypersonics.tamu.edu>). Questions and responses to questions regarding White Papers (WPs) will be made available to all proposers, unless they involve proprietary or controlled unclassified information (CUI) material.

**Notice of Intent:** Notice of Intent to submit a WP must be provided by **5:00 PM (CST) on July 26, 2021**. Please provide the Topic Number and full list of participants (name and institution) through the project call webpage on the UCAH website.

**Phase 1:** Project WP submissions must be submitted through the UCAH website proposal call link and **must be received no later than August 2, 2021, at 5:00 PM (CST)**. Submissions received after the deadline will not be considered. The Government is interested in receiving top applied research proposals; hence WP submissions are limited to two per university<sup>1</sup>, and a maximum of seven Principal Investigators (PI) are authorized per proposal.

**Phase 2:** WPs will be evaluated and a Request for Prototype Proposal (RPP) may be issued to those which best meet the intent of the Office of the Under Secretary of Defense (OUSD), Research and Engineering (R&E) Joint Hypersonics Transition Office (JHTO), per Section 3.3 of this document. PIs whose WPs were not selected for continuation to the Prototype Project Proposal (PPP) phase will be notified. PPP submissions must be submitted through the UCAH website proposal call link and **must be received no later than October 4, 2021 at 5:00 PM (CST)**. Submissions received after the deadline will not be considered. Questions regarding the RPP may be emailed to [UCAH@tamu.edu](mailto:UCAH@tamu.edu) through **September 20, 2021 at 5:00 PM (CST)**. Responses to the questions will be posted on the UCAH website (<https://hypersonics.tamu.edu>). Questions and responses to questions regarding PPPs will be made available to all proposers, unless they involve proprietary or controlled unclassified information (CUI) material.

**Submission Instructions:** Proposal submission will be conducted utilizing the UCAH website. After creating an initial account (see <https://hypersonics.tamu.edu>), proposal teams can upload proposal documents. You should verify that the person authorized to submit proposals for your organization has completed registration well in advance of the submission deadline. To apply for grants on behalf of your organization, you will need the Authorized Organizational Representative role. Proposal submissions cannot be accomplished before your organization is fully registered. The portal is the single point for submission.

**Funding Opportunity Description:** The Joint Hypersonic Transition Office (JHTO), in partnership with Texas A&M Engineering Experiment Station (TEES) and the UCAH, is soliciting competitive WPs/PPPs supporting hypersonic research and technology, per the defined Statement of Need (SON) in [Section 2.1](#). JHTO reserves the right to fund none, some, or all of the submissions made in response to this RWP/RPP. Furthermore, JHTO may choose to fund a portion of a submission or a combination of submissions. Not all

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<sup>1</sup> This does not preclude teaming between faculty members from different Universities, as long as no University submits more than two (2) WPs, on which it is the lead.



meritorious submissions will necessarily receive funding. TEES and JHTO will exercise their discretion in selecting submissions. TEES and the JHTO will provide no funding for direct reimbursement of WP/PPP development costs.

**Estimated Project Ceiling:** Up to a one-year period of performance at \$500,000 per Project Sub-Agreement (PSA). The JHTO reserves the right to approve projects that slightly exceed this level based on the technical strengths of the proposal and the reasonableness of the costs.

**Applicant Eligibility:** Applicant and any sub-institutions must be a university or affiliate UCAH Consortium Member by the time of proposal submission on October 4, 2021.

**Non-traditional Defense Contractor Participation of Cost-Share Commitment:**

- a. Agreement awards are made under 10 U.S.C. § 2371b, and as such all awardees must meet at least one of the following conditions:
  - i. There is at least one nontraditional defense contractor or nonprofit research institution participating to a significant extent in the prototype project.
  - ii. All significant participants in the transaction other than the Federal Government are small business (including small business participating in a program described under section 9 of the Small Business Act (15 U.S.C. 638) or nontraditional defense contractors.
  - iii. At least one-third of the total cost of the Prototype Project is to be paid out of funds provided by sources other than the Federal Government.
  - iv. The senior procurement executive for the Agency determines, in writing, that exceptional circumstances justify the use of a transaction that provides for innovative business arrangements or structures that would not be feasible or appropriate under a contract, or would provide an opportunity to expand the defense supply base in a manner that would not be practical or feasible under a contract.
- b. An NTDC is an entity that is not currently performing and has not performed, for at least one year preceding the issuance of a RPP, any contract or subcontract for the DoD that is subject to full coverage under the Federal Acquisition Regulation (FAR) based Cost Accounting Standards (“CAS”). A subsidiary or a division of a traditional defense contractor may still qualify as an NTDC.
- c. Significant participation is determined on a project basis and is based on the importance of the NTDC contribution to the overall execution or outcome of the proposed project. OT Authority statute does not prescribe a monetary threshold or percentage value to justify significance. Examples of “significant” participation are:
  - i. Supplying a new key technology or product, or unique capability;
  - ii. Causing a material and quantifiable reduction in the project cost or schedule;
  - iii. Causing a measurable increase in the performance of the prototype;
  - iv. Accomplishing a significant amount of the effort;
  - v. Value-added analysis not based on percentage of project work or value.
- d. Since contracts and subcontracts with small businesses are exempt from full CAS coverage, small businesses are deemed NTDCs under OT Authority. An entity is considered a small business based



upon its applicable North American Industry Classification System (“NAICS”) designation (as described at 13 C.F.R. §121.201) for the specific nature of the work being proposed.

Except as addressed in the next paragraph, individuals supported by a Sub-Agreement awarded as a result of this RWP/RPP process must be United States (U.S.) citizens prior to award. Since research projects are expected to include CUI, International Traffic in Arms Regulations (ITAR) or Distribution Statement C information, the fundamental research exclusion (National Security Decision Directive 189) is not expected to apply. Universities responding to this RWP/RPP must be able to appropriately maintain and handle sensitive data. Hence, all publications will require review and approval.

Affiliate Consortium Members, including Industry, University Affiliated Research Centers (UARCs), a University Affiliated Laboratory (UAL), and Federally Funded Research and Development Centers (FFRDCs), and universities (on a case by case basis) from Australia, Canada, New Zealand, and the United Kingdom are not eligible to respond to this RWP/RPP but may team with an eligible principal bidder and be funded accordingly.

Teams are encouraged in all areas, to include:

- Other universities;
- Industry;
- UARCs/FFRDCs;
- National Laboratories;
- Minority Serving Institutions;
- Nontraditional Members.

**Period of Performance:** One-year with an anticipated start date of January 1, 2022.

**Administrative and Evaluation Support:** All submissions will be treated as “source selection information” as defined by 41 U.S.C. § 2101(7), and contents will be disclosed only in accordance with 41 U.S.C. § 2102. During the evaluation process submissions may be handled by government support contractors, TEES personnel, and other Consortium members for both administrative purposes and to support technical evaluations. Consortium members that are proposing under this RWP/RPP will not be reviewers within the topic area that they proposed in. All persons performing these roles are expressly prohibited from performing sponsored technical research and are bound by appropriate nondisclosure agreements (NDAs).

## 2. PROJECT TOPIC DESCRIPTIONS

Section 2.1 identifies SON for each Prototype Project and the submission process will begin with the RWP. WPs shall follow the format described in [Section 3.2](#). Selection of WPs will follow the basis of selection summarized in Section 3.3. UCAH Consortium members are responsible for all expenses associated with responding to the RWP.

### 2.1 Proposal Project Calls

JHTO in partnership with the UCAH are interested in receiving WPs and PPPs for the following areas:



## 2.1.1 Technology Area 1: Materials, Structures and Thermal Protection Systems

### Topic 1: Material Characterization of Metamaterials

Technology Discipline: MSM - Materials, Structures, and Manufacturing

Proposal Description: Hypersonic vehicles are likely to experience significant thermal and structural challenges during the course of hypersonic flight. Information regarding the health monitoring of the system is paramount and can greatly improve the chances of mission success if used appropriately. Measurement and diagnostic sensors added to the outside of the vehicle skin or thermal protection system can cause unintended boundary layer effects and are difficult to attach with epoxies, brazes, or fasteners. Diagnostics embedded into the vehicle skin or thermal protection system can be detrimental to mechanical or thermal properties. Developing systems that can assess the state of their own health and environment naturally through the vehicle skin and that do not reduce performance can be useful for both experimental studies and for operational systems.

Proposals are sought to develop techniques and analysis for potential classes of metamaterials to use for functional sensing and response. Metamaterials are materials specifically engineered to have a peculiar physical behavior that can be exploited for an application of interest. In this solicitation we are seeking metamaterials that can not only withstand the high heat fluxes and thermal and mechanical strains experienced in high Mach flight but can also perform physical functions such as measuring and responding to the environment. Proposals should consider all aspects of the solution including the sensor, signal generation and transmission, cables and interconnects, and integration of the sensor into the structure to be monitored. Sensors of interest should measure and quantify surface states. Some examples of characteristics to measure include but are not limited to temperature, pressure, material recession, material oxidation, state of the boundary layer (laminar vs. turbulent), and crack formation and growth. The proposal should identify the class of metamaterials to be explored along with the possible functionalities to be imparted by the systems. Sensors at a minimum should survive temperatures of 1000°C with stretch goals of reaching 1500°C and above. The survivability of the proposed solution should be proven in a ground test environment capable of achieving relevant heating rates and heat fluxes. The team should incorporate partners knowledgeable in hypersonic vehicle design and materials to identify components and data of interest.

## 2.1.2 Technology Area 2: Guidance, Navigation and Control

### Topic 2: Robust Navigation Algorithms for Multi-Sensor Systems

Technology Discipline: NGC- Navigation, Guidance, and Control

Proposal Description: Future hypersonic systems will obtain significant amounts of information through sensors and diagnostics mounted on-board the system. The different phases of flight present different challenges to the vehicle and often use multiple sensor schemes depending on the flight phase. At hypersonic speeds, inconsistency or interruption of data stream can be detrimental. Smooth transitions of sensor information and sensor fusion are useful to achieve the best performance and most efficient systems.

Proposals are sought to develop a robust navigation algorithm that operates through multiple sensor environments and provide seamless and stable transition between different phases of flight. Algorithm will demonstrate a “bump-less” position, navigation, and timing (PNT) processing that allows the vehicle to seamlessly operate between different sensor modalities without inducing or propagating unwanted errors into the system.

## 2.1.3 Technology Area 3: Air Breathing Propulsion

### Topic 3: Hypersonic Air-breathing Engine Flight Envelope Expansion

Technology Discipline: PROP - Propulsion



Proposal Description: Optimization of hypersonic air-breathing propulsion systems can greatly improve the kinematic performance of hypersonic systems. Frequently, scramjet engines operate within somewhat narrow margins with respect to key flight parameters (e. g., Mach, altitude, throttle level, flow angle into the engine, etc.). Improving the ability of these engines to operate in a broader set of flight and operational conditions would allow application to vehicles with a wider set of missions.

Proposals are sought to develop technologies that expand the engine flight envelope. Consideration should be given to lower pressure operation at higher altitude and both lower and higher Mach number operation, in addition to expansion of other flight parameters. Approaches may include, but are not limited to, engine variable geometry, throttle and fuel distribution control, and the use of approved combustion accelerants.

#### **2.1.4 Technology Area 4: Hypersonic Environments and Phenomenology**

##### **Topic 4: Impact of Flight Environments (Weather in Near Space)**

Technology Discipline: ENV – Hypersonic Environments

Proposal Description: The transit of hypersonic vehicles within the atmosphere may depend partly on atmospheric conditions (weather) in the corridors these systems operate. The environment should be well understood to maximize effectiveness and performance of these systems.

Proposals are sought to increase understanding of wind, turbulence, ice clouds, hydrometeor content, and high-altitude ( $20\text{km} < x < 60\text{KM}$ ) electrodynamics as well as unknown ionospheric interactions that may have an impact on both offensive and defensive mission success. The operating environment (weather) for all vehicles is a critical factor to mission success, to include fast and lethal hypersonic systems. The construction of usable databases or prediction algorithms for mission planning and vehicle development are sought.

#### **2.1.5 Technology Area 5: Applied Aerodynamics and Hypersonic Systems**

##### **Topic 5: Adaptive Flow Control for Hypersonic Applications**

Technology Discipline: AERO - Applied Aerodynamics and Aerothermodynamics

Proposal Description: Hypersonic vehicle design requires sufficient thermal protection and control which are both at the mercy of the boundary layer state beyond the forward edges of the vehicle. Precise control, thermal protection and airflow into high speed propulsion systems all are sensitive to the state and character of the hypersonic boundary layer. Understanding and control of this region of flow could have significant performance and operating advantages for these classes of vehicles. Turbulent boundary layers result in elevated heat flux compared to laminar boundary layers. However, laminar boundary layer states upstream of control surfaces result in reduced control surface effectiveness. Active flow control (AFC), if properly utilized, can offer the ability to maintain laminar boundary layers over the hypersonic vehicle acreage to reduce heat flux and overall thermal protection heat flux requirements. Conversely, AFC can induce turbulent flow upstream of control surfaces to enhance control surface effectiveness.

Proposals are sought to explore flow control for transition on the acreage and also in proximity to control surfaces through the development and demonstration of on-demand tripping of a hypersonic boundary layer for improved control surface authority, and relaminarization for increased range. The challenge is addressing the phrase “if properly utilized”. Several AFC techniques can be explored to assess the optimal pairing. In addition, closed-loop control of the AFC method requires sensors that can detect fluctuations in the boundary layer. Local sensing of the flow combined with recent research in Artificial Intelligence can predict the turbulence intensity of the atmosphere and further improve the closed-loop control of the AFC technique employed. The purpose of this research is to examine the benefit that would be obtained from flow control on a hypersonic vehicle. Focus should be on the feasibility of including the control and its resulting effects on the vehicle performance, quantified.



**Topic 6: Variable Inlet Geometry Optimization**

**Technology Discipline:** AERO - Applied Aerodynamics and Aerothermodynamics

**Proposal Description:** Air breathing hypersonic vehicles often operate in a narrow performance band due to the requirement to maintain undisturbed flow through the engine. These engines may be sensitive to changes in flow into the inlet and through the engine. Variable inlet geometries could have the ability to increase performance and robustness of high speed engines.

Proposals are being sought to explore optimization of variable inlet geometry for a hypersonic air breathing single-use vehicle, for cruise at Mach 5, with the intent of maximizing the scramjet's operating envelope.

**Topic 7: Characterizing Optical Effects within the Aerodynamic Environment**

**Technology Discipline:** AERO - Applied Aerodynamics and Aerothermodynamics

**Proposal Description:** Hypersonic strike weapons and endo-atmospheric interceptors may employ active seekers to provide the accuracy needed to achieve their missions. Optical radiation from the target is distorted by multiple physics-based phenomenon creating uncertainties and inaccuracies in the pointing and tracking data needed for precise guidance.

Proposals are sought for the establishment of models or databases that quantify optical effects within the aerodynamic environment, including but not limited to the effect of shocks waves, transitional and turbulent boundary layers, shock/BL interactions, products from ablation, ionized plasma flows, and effects of the atmosphere. Research quantifying the effects on these models of high Mach number flows with representative flight enthalpies is of particular interest.

**2.1.6 Technology Area 6: Lethality and Energetics**

**Topic 8: Throttle-able Rocket Motor Technology (GC 3 Intelligent Systems)**

**Technology Discipline:** ORD - Ordnance

**Proposal Description:** Hypersonic systems perform optimally in a narrow velocity range and, for several reasons, are often less efficient when operating across a wide range of velocities. Hypersonic systems therefore rely on rocket-boosted subcomponents to reach the high hand-off speed necessary to put the vehicle in a high speed environment where hypersonic technologies excel.

Proposals are sought to develop high efficiency, end-burning rocket motor concepts that enable control of the motor burn time. The goal is to develop rocket motors that utilize a single propellant that can be operated more quickly or slowly based on the mechanism for control. The intent is to maximize system performance by tailoring flight trajectory. The project should leverage recent advances in highly loaded grain technology (HLG) and include concepts that have variable rate burn rate enhancers. In addition, acceleration of the propellant rate through the use of diode laser technology as well as microwave technology should be investigated. The approach should demonstrate rocket throttling technologies on small scale rocket motor test stands, taking throttling concepts from the lab to meaningful demonstrations. Both active and passive throttling should be examined; passive throttling should be accomplished by tailoring the burning rate profile through the use of burn rate enhancers that change with axial distance in the end-burner grain.

**3. PHASE 1: WHITE PAPER SUBMISSION AND EVALUATION**

**3.1 General Requirements**

WPs should adhere to the following:





- Section I of the WP should be no more than three pages in length.
- Figures and tables must be numbered and, when referenced in the text, be referenced by that number. They should be of a size that is easily readable and may be in landscape orientation. They must be formatted to print on an 8.5 x 11-inch paper size.
- WPs will be single-spaced with one-inch margins on all sides. Font should be Times New Roman font (11-point minimum). Smaller font may be used in figures and tables, but must be legible.
- WPs must be in portrait orientation except for figures, graphs, images and pictures.
- The WP documents should be submitted as one pdf document. Number pages sequentially within the proposal showing proposal section and page number.
- All major sections shall begin on a new page.
- Proposal language shall be English.
- No classified information shall be submitted with the proposal.
- All information that is considered to be a trade secret or proprietary information should be marked as such. Note that government support contractors, TEES personnel, and other Consortium members may have access to this information for the purposes of administrative and evaluation support. Consortium members that are proposing under this RWP/RPP, will not be reviewers within the topic area that they proposed in. These personnel will be required to complete a NDA and to certify that they have no conflict of interest that might impact the process.

### 3.2 Format

Please use the WP templates provided on the [UCAH website](#). WPs should be formatted as follows:

**Cover Page.** The Cover page should include:

- Project Title
- Technical Area and Topic Number (from Section 2)
- Applicant Organization
- Primary Technical Point of Contact (POC), including name, address, phone and email contact information
- Co-PI(s) names and institutions
- Primary Business POC, including name, address, phone and email contact information
- Total Solution Rough Order of Magnitude (ROM) price
- Date of Submission

**Table of Contents.** The Table of Contents should include all of the documents requested in Sections I-VIII.

**Section I: Technical Requirements** (3 pages maximum)

- a Background and Benefits of Proposed Solution as related to the SON
- b Technical Approach, including clearly defined prototype solution

**Section II: Bibliography and References Cited**



### Section III: Facilities (2 pages maximum)

Identify any facilities required for the proposed research and whether those facilities are organic to project participants' organizations or must be leased or purchased. Note whether facility availability is likely to impact project cost/schedule/performance.

### Section IV: Key Personnel

- a. Include a description of contributions and significance of each
- b. One-page biosketch for each participant
- c. Current and pending sponsored research projects for each participant

### Section V: Security Requirements

- a. Address any special security and classification requirements, as necessary.
- b. Is your institution as well as those you are collaborating with capable of protecting CUI in accordance with the following Defense Federal Acquisition Regulation Supplement (DFARS) clauses?:
  - DFARS 252.204-7012? YES or NO
  - DFARS 252.204-7019? YES or NO
  - DFARS 252.204-7020? YES or NO
  - DFARS 252.204-7021? YES or NO
- c. Are they able to handle classified research? YES or NO
- d. Are they registered with the Directorate of Defense Trade Controls (DDTC)? YES or NO

### Section VI: Pricing

The JHTO, as the final decision-authority in making WP selections, will consider affordability. Therefore, each WP shall include a ROM price and narrative required to meet the technical solutions described in the WP. This ROM price shall include, at a minimum, the estimated cost for labor, material/equipment, other direct costs and subcontracts. The ROM narrative shall provide details on the following cost categories:

- a. Labor Rates
- b. Fringe Benefits
- c. Travel
- d. Material & Supplies
- e. Subawards/Subcontracts
- f. Recipient Acquired Equipment or Facilities
- g. Other Direct Costs
- h. Indirect Costs



Category	Year One
A. Labor	
B. Fringe Benefits	
Number of graduate students supported in this effort	
Number of undergraduate students supported in this effort	
C. Travel	
D. Material/ Supplies	
E. Subawards/Subcontracts	\$ -
Institution #1: Fill In Name	
Institution #2: Fill In Name	
Institution #3: Fill In Name	
Institution #4: Fill In Name	
Institution #5: Fill In Name	
Institution #6: Fill In Name	
F. Equipment or Facilities	
G. Other Direct Costs	
H. Indirect Costs	
<b>Total Project Costs:</b>	<b>\$ -</b>

\*A ROM budget and justification should be submitted from the lead university and any sub-universities/PIs.

**Section VII: Affirmation of Business Status Certification**

- a. Name of Business Entity
- b. Proposed NAICS Code
- c. Cage Code
- d. SAM Expiration Date
- e. Address
- f. Business POC Name, Title, Phone and Email

**Section VIII: Data Rights Assertions**

Identify any intellectual property, patents and inventions in the proposed solution and associated restrictions on JHTO use of that intellectual property, patents and inventions. The following information shall be presented for all assertions:

- a. Technical data, computer software, or patent to be furnished with restriction
- b. Basis for assertion
- c. Asserted rights category
- d. Name of entity asserting restrictions



### 3.3 Basis for Selection

WPs will be evaluated against the stated criteria below:

- 1) Relevance of the proposed solution in addressing the SON.
- 2) Technical Merit and feasibility of the proposed solution to address the SON.
- 3) Proposed solution's approach and/or underlying technology is unique, underutilized and/or innovative; and is a compelling solution to the SON.

WPs will be evaluated on the basis of the merit of the proposed concept in addressing each SON, not against other WPs submitted in response to the same SON. Additionally, while not overtly stated, the Government's evaluation will consider whether the proposal increases the likelihood of accomplishing the aspects of JHTO's mission.

This UCAH routinely receives more WPs than has the resources to award. All submissions will be fairly evaluated, however, only a select few will be invited to submit a PPP. The government reserves the right to limit the number of RPPs. The government also reserves the right to select a portion of a WP as the basis for requesting a PPP. As such, a proposed solution may also be evaluated to be of merit, but not requested to submit a PPP. WPs that are chosen to submit a PPP will be notified in writing as soon as practicable.

If the WP is of interest, but not requested to submit a PPP due to availability of government resources, the WP lead may be contacted within 180 calendar days from the WP submission date with a RPP for the possibility of a PSA award. If after 180 calendar days from the WP submission date (or earlier if notified by JHTO), government resources are not identified to formally move to Phase 2, requesting a PPP, the WP lead will no longer be eligible for an award under this RWP/RPP.

## 4. PHASE 2: PROTOTYPE PROJECT PROPOSAL SUBMISSION AND EVALUATION

Phase 2 of the award process, PPP submission and evaluation, will follow the evaluation process for Phase 1 as discussed in [Section 3](#). The intent of the PPP is to provide increased, contract-level fidelity to information provided in the previously-submitted WP.

JHTO will issue a RPP through TEES. TEES will assign a program specialist to assist each member with the proposal process and ensure that the required documents are completed properly. PPPs shall follow the format described in [Section 4.1](#) and [4.2](#) and will be evaluated by JHTO based on the criteria in [Section 4.3](#). UCAH Consortium members are responsible for all expenses associated with responding to the RPPs.

### 4.1 General Requirements

PPPs should adhere to the following:

- Figures and tables must be numbered and, when referenced in the text, be referenced by that number. They should be of a size that is easily readable and may be in landscape orientation. They must be formatted to print on an 8.5 x 11-inch paper size.
- PPPs will be single-spaced with one-inch margins on all sides. Font should be Times New Roman (11-point minimum). Smaller font may be used in figures and tables, but must be legible.



- PPPs must be in portrait orientation except for figures, graphs, images and pictures.
- The proposal documents should be submitted as one pdf document. Number pages sequentially within the proposal showing proposal section and page number. The budget spreadsheets should also be submitted as an excel document with formulas left available for evaluation purposes.
- All major sections shall begin on a new page.
- Proposal language shall be English.
- No classified information shall be submitted with the proposal.
- All information that is considered CUI (formerly FOUO), should be marked as such and transmitted appropriately.
- All information that is considered to be a trade secret or proprietary information should be marked as such. Note that government support contractors, TEES personnel, and other Consortium members may have access to this information for the purposes of administrative and evaluation support. Consortium members that are proposing under this RWP/RPP, will not be reviewers within the topic area that they proposed in. These personnel will be required to complete an NDA and to certify that they have no conflict of interest that might impact the process.
- Letters of support are encouraged. They can be attached as an appendix to the proposal submission.

#### 4.2 Format

Please use the proposal templates provided on the [UCAH website](#). PPPs should be formatted as follows:

**Cover Page.** The Cover page should include:

- Prototype Project Title
- Technical Area and Topic Number (from [Section 2](#))
- Applicant Organization
- Primary Technical POC, including name, address, phone and email contact information
- Co-PI(s) names and institutions
- Primary Business POC, including name, address, phone and email contact information
- Facility Clearance Level (if required)
- Proposed Period of Performance
- Date of Submission
- Proposed Validity Date (must be valid for a minimum of ninety (90) days)

**Table of Contents.** The Table of Contents should include all of the documents requested in Sections I-X.

**Section I: Statement of Work** (6 pages maximum).

- a. Abstract
- b. Objectives Statement
- c. Research Narrative
  - i. Background and Benefits of Proposed Solution as related to the SON
  - ii. Technical approach, including clearly defined prototype solution



- iii. Schedule and Deliverables
- d. Place of Performance
- e. Government Furnished Property/Equipment/Materials/High Performance Computing Requirements

**Section II: Bibliography and References Cited**

**Section III: Facilities**

Identify any facilities required for the proposed research and whether those facilities are organic to project participants’ organizations or must be leased or purchased. Note whether facility availability is likely to impact project cost/schedule/performance.

**Section IV: Key Participants**

Use of 10 U.S.C. § 2371b prototype authority for this Prototype Project requires that proposals meet requirements for significant participation by a non-profit research institution or NTDC or small business.

Include a description of contributions and significance of each such entity and indicate the percentage of their total available time each will devote to this project.

Participant	Business Status (Check one)	Participant Contribution and Significance to Overall Project
<p><i>[Insert separate row(s) for each additional participant. Delete row(s) as applicable if Participant is the only participant.]</i></p> <p>Name: Institution: Role: Time Commitment (%):</p>	<p><input type="checkbox"/> Traditional</p> <p><input type="checkbox"/> Nontraditional defense contractor</p> <p><input type="checkbox"/> Nonprofit research institution</p> <p><input type="checkbox"/> Small business</p>	<p><i>[Insert detailed, quantifiable description which addresses the following:</i></p> <ul style="list-style-type: none"> <li>• <i>What is this Participant’s significant contribution?</i></li> <li>• <i>Why is this Participant’s contribution significant to the overall project?</i></li> <li>• <i>How is this Participant uniquely qualified to provide this significant contribution?</i></li> </ul> <p><i>(Note: number of years of experience is not deemed a unique qualification.)]</i></p>

Each participant resume shall be no more than two (2) pages in length. Current and pending sponsored research projects are requested for each PI.

**Section V: Security Requirements**

- a. Address any special security and classification requirements, as necessary.
- b. Is your institution as well as those you are collaborating with capable of protecting CUI in accordance with following Defense Federal Acquisition Regulation Supplement (DFARS) clauses?:
  - DFARS 252.204-7012? YES or NO
  - DFARS 252.204-7019? YES or NO
  - DFARS 252.204-7020? YES or NO
  - DFARS 252.204-7021? YES or NO
- c. Are they able to handle classified research? YES or NO
- d. Are they registered with the Directorate of Defense Trade Controls (DDTC)? YES or NO



## Section VI: Pricing

The Price Section shall provide sufficient detail to substantiate that the overall proposed price is realistic, reasonable, complete for the work proposed and reflects the best price for the PPP. The Pricing Section shall also include a narrative explanation of proposed prices. For all team members that do not have Government-approved rates, their proposed rates shall represent the most favored customer rates.

- a. Labor Rates: Provide the basis for which the estimated total labor hours were calculated, including generic labor categories, estimated rates and hours for those individuals.
- b. Fringe Benefits: The proposal should show the rates and calculation of the costs.
- c. Travel: The proposed travel cost should include the following for each trip: the purpose of the trip, origin and destination if known, approximate duration, the number of travelers, and the estimated cost per trip (including mileage, parking, baggage costs, etc.) must be justified based on the organizations historical average cost per trip or other reasonable basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principals. Proposed travel should include funds for a yearly Program Review.
- d. Materials & Supplies: Provide a list of the materials/equipment required to meet the technical approach and the estimated cost.
- e. Sub-Agreements/Subcontracts: Provide a description of the work to be performed by the subrecipient/ subcontractor. For each PSA, a detailed cost proposal is required to be submitted by the subrecipient(s).
- f. Recipient Acquired Equipment or Facilities: Equipment and/or facilities are normally furnished by the Recipient. If acquisition of equipment and/or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all equipment and/ or facilities costs and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). Allowable items normally would be limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, laptops, office equipment) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.
- g. Other Direct Costs – Provide an itemized list of all remaining proposed other direct costs, such as Graduate Assistant tuition, laboratory fees, report and publication costs, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).
- h. Indirect Costs: Provide an estimate of the total indirect costs and provide data supporting how the estimate was calculated, including any estimated costs other than the labor and material equipment, i.e., overhead, G&A, etc.

You must provide a detailed budget justification for each year of the effort. You should clearly explain the need for each item. This section should include the budget, budget justification, copy of approved rate sheet, and any supporting documentation for the lead university and all sub-universities/PIs.

## Section VII: Milestone Payment Schedule

The Milestone Payment Schedule shall include the payable events for the Prototype Project. Each event shall include a description and proposed price for the event.

## Section VIII: Affirmation of Business Status Certification



Certifications for each participant shall be provided.

- a. Name of Business Entity
- b. Proposed NAICS Code
- c. Cage Code
- d. SAM Expiration Date
- e. Address
- f. Business POC Name, Title, Phone and Email

### Section IX: Data Rights Assertions

Identify any intellectual property, patents and inventions in the proposed solution and associated restrictions on JHTO/the Government's use of that intellectual property, patents and inventions. The following information shall be presented for all assertions:

- a. Technical data, computer software, or patents to be furnished with restriction (If the assertion is applicable to items, components, or processes developed at private expense, identify both the data and each such item, component, or process).
- b. Basis for assertion (Generally, the development of an item, component, or process at private expense, either exclusively or partially is the only basis for asserting restrictions on the Government's rights to use, release, or disclose Technical Data pertaining to such items, components, or processes. Indicate whether development was exclusively or partially at private expense. If development was not at private expense, enter the specific reason for asserting that the Government's rights should be restricted).
- c. Asserted rights category (Enter asserted rights category (e.g., government purpose license rights from a prior contract, limited, or specifically negotiated licenses).
- d. Name of entity asserting restrictions (corporation, individual, or other person, as appropriate).

### Section X: Appendices

#### 4.3 Evaluation of Proposals

JHTO will evaluate all PPPs submitted in response to this RPP, with the expectation that multiple PPPs may exist for a given SON. JHTO reserves the right to award all, some or none of the PPPs submitted. JHTO may also request and recommend a directed partnership between two or more submitted PPPs which may include all elements or selected elements of those PPPs. Should the JHTO choose to do this, it will provide direction that will enable the PPP leads, in conjunction with TEES, to pursue a PSA that will meet the requirements of the SON. TEES and the JHTO will provide no funding for direct reimbursement of PPP development costs. Technical and cost proposals (or any other material) submitted in response to this RWP/RPP will not be returned.

If, based on evaluation of a PPP, JHTO is interested in pursuing award, TEES will negotiate a PSA(s) with the selected UCAH consortium member.

PPPs will be evaluated against the stated criteria below:

- 1) Relevance of the proposed solution in addressing the SON;
- 2) Technical Merit and feasibility of the proposed solution to address the SON;
- 3) Proposed solution's approach and/or underlying technology is unique, underutilized and/or





innovative; and is a compelling solution to the SON;

- 4) UCAH consortium membership;
- 5) Student engagement in all phases of the proposed solution;
- 6) Proposed price;
- 7) Project schedule; and
- 8) Potential impact of data rights assertions.

PPPs will be evaluated on the basis of the merit of the proposed concept in addressing the SON and the factors above, not against any other PPPs held under the same SON. PPP submissions will be valid for 365 calendar days. Upon completion of evaluations, the government will notify the PPP lead that: (1) the proposed solution has been selected to pursue the award of a PSA; (2) the proposed solution is not of interest to the government; or (3) the proposed solution is of interest, but not eligible for a PSA due to availability of government resources.

If the proposed solution is of interest, but not eligible for a PSA due to availability of government resources, the PPP lead may be contacted within 365 calendar days from the PPP submission date with a request to refresh their PPP for the possibility of a PSA award. If after 365 calendar days from the PPP submission date (or earlier if notified by JHTO), government resources are not identified to formally move to a PSA award, the PPP lead will no longer be eligible for an award under this RPP.

#### **4.4 Potential for Follow-On Production**

In accordance with 10 U.S.C. § 2371b, paragraph (f), a Prototype Project issued under the overarching Other Transaction (OT) Agreement<sup>2</sup>, if successfully completed and competitively awarded, may result in the award of a follow-on production contract or transaction without the use of competitive procedures. Success metrics for each PPP shall be defined in the individual Prototype Project and subsequent PSA(s).

Per DoD Policy, the following definition of “successfully completed” shall apply to any Prototype Project: ‘A transaction for a Prototype Project is complete upon the written determination of the appropriate approving official for the matter in question that efforts conducted under an OT-Prototype Project: (1) met the key technical goals of a project; (2) satisfied success metrics incorporated into the Prototype Project; or (3) accomplished a particularly favorable or unexpected result that justifies the transition to production. Furthermore, successful completion can occur prior to the conclusion of a Prototype Project to allow the Government to transition any aspect of the Prototype Project determined to provide utility into production while other aspects of the Prototype Project have yet to be completed.

All Prototype Projects issued under the overarching OT Agreement shall set forth the conditions for successful completion in the statement of work.

The language of paragraphs 1 and 2 of this section shall be incorporated into all PSAs in order to allow for the option of non-competitive follow-on production contract(s).

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<sup>2</sup> The Agreement under which the UCAH is established and managed by TEES.