

**PROGRAM ANNOUNCEMENT FOR FY 2021  
STRATEGIC ENVIRONMENTAL RESEARCH AND DEVELOPMENT  
PROGRAM (SERDP)**

**SERDP Broad Agency Announcement  
Core Pre-Proposal Instructions**

Reference: Broad Agency Announcement (BAA), *October 24, 2019*  
U.S. Army Corps of Engineers, Humphreys Engineer Center Support Activity

**NOTE:** These instructions are for the preparation and submittal of pre-proposals in response to the SERDP Core Statements of Need.

**1. INTRODUCTION**

The Strategic Environmental Research and Development Program (SERDP) is the Department of Defense's (DoD) environmental research and development program, planned and executed in partnership with the Department of Energy and the Environmental Protection Agency. SERDP's role is to fund research and development that addresses environmental issues relevant to the management and mission of DoD. SERDP-supported efforts lead to the development and application of innovative environmental technologies or methods that improve the environmental performance of DoD by improving outcomes, managing environmental risks, and/or reducing costs or time required to resolve environmental problems. The development and application of innovative environmental science and technology support the long-term sustainability of DoD's installations and ranges, and significantly reduce current and future environmental liabilities. Within its broad areas of interest, the Program focuses on Environmental Restoration, Munitions Response, Resource Conservation and Resiliency, and Weapons Systems and Platforms. SERDP funds research and development programs in basic and applied research and advanced technology development.

SERDP is seeking proposals responding to Statements of Need (SONs) for projects to be funded in fiscal year (FY) 2021. SONs may be found on the [SERDP website](#).

This Broad Agency Announcement (BAA) is for Private Sector Organizations. DoD organizations or other Federal agencies outside of DoD should refer to the FY21 Federal Call for Proposals located on the [SERDP website](#).

**1.1. GENERAL INFORMATION FOR PROPOSERS**

Awardees under this BAA will be selected through a multi-stage review process, including a brief pre-proposal, a full proposal, and an oral presentation to the SERDP Scientific Advisory Board (SAB) for final approval. To be eligible for consideration, proposers must submit a pre-proposal.

Any pre-proposal submitted shall be in response to only one of the SERDP SONs set forth in this announcement. Proposers may respond to more than one SON with separate pre-proposals.

After evaluation of the pre-proposals, SERDP will contact all proposers and either request or not request each to submit a full proposal. At that time, SERDP will provide detailed instructions for the full proposal format. Full proposals may not be submitted outside the pre-proposal process. Any full proposal that has not been reviewed in the pre-proposal phase will not be evaluated nor considered for award under this BAA. Due to the volume of pre-proposals anticipated, SERDP will not provide debriefs on those that are not requested to submit a full proposal.

Based on an evaluation of the written full proposal, and pending approval by the SAB, SERDP will notify each proposer as to whether the Government Contracting Officer wishes to enter into negotiation for the award of a contract. Proposers are advised that only the Contracting Officer is legally authorized to bind the Government. SERDP reserves the right to recommend for award any, all, or none of the proposals received. SERDP also reserves the right to recommend a portion of the work proposed in any single proposal for award. There is no commitment by SERDP to make any recommendations for contract awards, nor to be responsible for any money expended by the proposer before contract award is made. It is the sole responsibility of the proposer to make certain the proposal is properly received by SERDP.

The SERDP Office manages the BAA solicitation along with the U.S. Army Corps of Engineers, Humphreys Engineer Center Support Activity (HECSA) Contracting Center in Alexandria, Virginia. For contracting or small business information regarding this BAA solicitation, contact Doug Pohlman at 703-428-6420 or by email at [Douglas.E.Pohlman@usace.army.mil](mailto:Douglas.E.Pohlman@usace.army.mil) or the HECSA Small Business Representative at 703-428-7385 or [HECSASmallBusinessProgram@usace.army.mil](mailto:HECSASmallBusinessProgram@usace.army.mil) respectively. General SERDP procedural questions may be referred to the SERDP office at 571-372-6565. For technical information regarding a SON, contact the individual listed in the SON.

## 1.2. EVALUATION SCHEDULE

<b>DATE</b>	<b>ACTIVITY</b>
October 24, 2019	BAA Released
<b>January 7, 2020; 2:00 p.m. Eastern Time</b>	<b>Pre-proposals Due to SERDP</b>
Early February 2020	Requests for Full Proposals Sent
<b>March 5, 2020; 2:00 p.m. Eastern Time</b>	<b>Full Proposals Due to SERDP</b>
July – August 2020	Proposers Notified
September – October 2020	Presentation to the SERDP Scientific Advisory Board
June 2021	Anticipated Awards*

\* Proposal packages will be sent to contracting in the first quarter of FY2021. Contract award is expected in the third quarter of 2021, but not guaranteed.

## 2. PRE-PROPOSAL INSTRUCTIONS

### 2.1. PRE-PROPOSAL LENGTH AND FORMAT

Pre-proposals shall be no longer than five (5) pages, type face not less than 11-point, and margins not less than one inch on all sides. All proposals shall be submitted as a single PDF file containing all sections outlined below.

### 2.2. PRE-PROPOSAL CONTENT

Pre-proposals must describe the merits and objectives of the proposer's project in response to the respective SON. The pre-proposal should concisely describe the following:

1. **Proposal Number:** Generated by the SERDP and ESTCP Management System (SEMS) when the proposal details are entered and saved in the system as outlined in Section 3 below.
2. **Proposal Title**
3. **Lead Principal Investigator**
4. **Lead Organization**
5. **Objective:** The proposed objectives and how the project is responsive to the objectives articulated in the SON.
6. **Background:** Sufficient technical background to demonstrate a thorough understanding of the problem and frame the proposed research in the context of the current state of the science or technology.
7. **Approach:** The technical approach and methods, preferably structured in hypothesis-driven tasks that clearly identify how the objectives of the proposed project will be addressed. This section should be the primary focus of the pre-proposal.
8. **Schedule:** The duration of the project, along with a milestone chart that delineates the timeline for each task and major deliverables.
9. **Cost:** The estimated total costs, including labor, materials, travel, burdens, and profit (fixed fee, if any, for eligible organizations) by year. A detailed breakout of costs is not required or desired in the pre-proposal. If selected for funding, proposers will be required to provide a certificate of current cost or pricing data prior to award in accordance with Federal Acquisition Regulation (FAR) 15.403-4(a)(1) if the total contract value is expected to exceed \$2,000,000.
10. **Research Team:** Identify the Principal Investigator(s), the key co-performers and their respective organizations. If multiple co-performers are proposed, indicate their responsibilities within the project.

### 2.3. APPENDICES

Appendices to the pre-proposal include:

1. **Required:** Abbreviated Curriculum Vitae (CV): One (1) page each for the Principal Investigator and other significant performers involved with the project that provide

relevant research experience. Include the full mailing addresses, phone numbers, and email addresses for each person listed.

2. **Required: List of Acronyms:** Provide a complete list of acronyms used in your pre-proposal and their definitions. List the proposal number at the top of the page.
3. **Required, if literature is cited:** Literature Citations: Provide literature citations for any material cited in the technical section or the supporting technical data.
4. **Optional: Supporting Technical Data (limited to 3 pages):** Data sheets, charts, referenced research extracts.
5. **Optional: Existing Support:** If the Principal Investigator is funded by other programs to conduct research that overlaps or parallels the current proposal, provide a brief description of that support (½ page per relevant effort).

Appendices do not count towards the 5-page limit.

### 3. SUBMITTAL

Pre-proposals are submitted via the SERDP and ESTCP Management System (SEMS). No electronic mail, faxed, or hard copy proposals will be accepted. **Pre-proposals must be submitted prior to 2:00 p.m. Eastern Time on January 7, 2020.**

Complete all steps below in order to submit a proposal.

- Create a single PDF file that contains all required sections outlined in the proposal guidance.
- Log in to [SEMS](#).
- Enter all required proposal details into SEMS. Proposal details may be saved and edited prior to final submission.
- Upload the final proposal file.
- Add the system-generated proposal number, project title, lead PI name and organization to first page of proposal as instructed in Section 2.2 above.
- Submit the proposal. Only proposals that have been submitted will be considered. Proposals with a “Saved” status will not be reviewed.

**Note:** A signed cover page is **not required** for pre-proposals.

Once the proposal has been submitted, SEMS will display an on-line confirmation message and will send an email notification to the proposer. It is the sole responsibility of the proposer to make certain the proposal is properly received by SERDP.

The proposer may continue to modify proposal details and upload revised proposal files until the due date. Prior versions of the proposal will be over-written and **only the last version uploaded** will remain in the system. Ensure the proposal details entered into the system match the contents of the PDF proposal file. It is recommended that proposals are uploaded as early as possible prior to the deadline, to ensure a successful and timely submission.

For proposal upload questions, contact the SERDP Office at 571-372-6565.

#### **4. EVALUATION FACTORS FOR PRE-PROPOSALS AND FULL PROPOSALS**

The following evaluation factors will be the sole basis for reviewing pre-proposals and full proposals pursuant to these SONs. SERDP Relevance is evaluated on a pass/fail basis. For the pre-proposals, Technical Merit is significantly more important than Personnel which is more important than Cost. Transition Plan will be a factor for full proposals only. For full proposals, Cost is more important than Transition Plan.

##### **SERDP RELEVANCE**

Proposal reviewers will assess whether the pre-proposal submission (1) responds to the objectives as described in the SON, and (2) falls within the SERDP mission to support basic and applied research or advanced technology development. SERDP Relevance is a threshold review and if the pre-proposal is determined not to be relevant, no further evaluation of the pre-proposal will be made.

##### **TECHNICAL MERIT**

The overall scientific and technical merit of the pre-proposal must be clearly identifiable. The evaluation will consider the proposed approach and its substantiation by calculations, test data, and references. Emphasis will be placed on the proposer's demonstration of a thorough understanding of the environmental issue. The proposer must demonstrate the ability to execute the work by providing a comprehensive, logical, orderly, and concise plan that indicates major tasks, milestones, critical paths, go/no-go decision points and key events leading to the completion of the project in the proposed time frame. In addition, the proposer must show how the technical approach and proposed tasks will address the project objectives. Strong consideration will be given to innovation; however, the degree of risk associated with individual proposals will be weighed against potential benefits. The proposal should clearly articulate how the research will advance the state of the science.

##### **PERSONNEL**

Proposal reviewers will examine and assess the applicable qualifications, capabilities, demonstrated achievements, and proposed time commitment to the project by the proposed principal(s) and other key personnel.

##### **COST OF PROPOSAL**

Proposal reviewers will consider the reasonableness of the proposed cost, as well as the appropriateness and substantiation of costs for the technical complexity described. Cost sharing or leveraged resources also will be considered.

##### **TRANSITION PLAN (FULL PROPOSALS ONLY)**

The transition plan of the proposed research product(s) should demonstrate a clear understanding of how the project's results will transition to implementation either directly through future demonstrations or through future development and show a linkage between the work proposed and the needs of ultimate end user of the results. Coordination between the proposer and targeted end user community is of value for late-stage development projects.

## **5. REQUIREMENTS FOR FULL PROPOSALS SELECTED FOR FUNDING**

Please be aware of the following requirements for proposals that are selected for funding. These requirements are considered part of the proposal process and the associated costs are to be borne by the proposer.

### **5.1 REVISED PROPOSAL**

Proposals selected for funding may require revision following the selection process and prior to contract award. Common revisions include adjustments to schedule, task structure, funding profile, or specification of required deliverables.

### **5.2 SUBCONTRACTING PLAN**

The Subcontracting Plan is not required at the proposal stage. If your proposal is selected for funding, you may be required to submit a Subcontracting Plan if the criteria below apply to your proposal. In accordance with the Federal Acquisition Regulation (FAR) Subpart 19.7, all businesses, other than small business concerns are required to submit a subcontracting plan for contract proposals that exceed \$700,000. The subcontracting plan should reflect realistic, challenging, achievable positive percentage and dollars goals for subcontracting with Small Business concerns. The subcontracting plan must address a goal for each of the statutory required elements: Small Business, Small Disadvantaged Business, Woman-Owned Small Business, Service-Disabled Veteran-Owned Small Business, Veteran-Owned Small Business, and Historically Underutilized Business Zones. If the subcontracting plan contains zero percent goals for any of the respective elements listed above, an explanation must be provided as to why a goal greater than zero cannot be achieved.

The Subcontracting plan must be reviewed, negotiated and accepted by the Contracting Officer and Deputy of Small Business/Small Business Administration prior to contract award. The Small Business Subcontracting Plan shall be prepared in accordance with FAR 52.219-9 Small Business Subcontracting Plan. (DEVIATION 2018-O0018) and elements as described in the checklist in DFARS PGI 219.705-4. Additional information can be found on the [Department of Defense Office of Small Business Programs website](#). The U.S. Army Corps of Engineers, [Humphreys Engineer Center Support Activity \(HECSA\) Small Business Office website](#) provides information on how to prepare a subcontracting plan, along with links to find small businesses to participate. For guidance on creating an acceptable subcontracting plan or for information on locating small business concerns, contact the HECSA Small Business Representative at [HECSASmallBusinessProgram@usace.army.mil](mailto:HECSASmallBusinessProgram@usace.army.mil) or 703-428-7385

### **5.2 ACCOUNTING AND AUDITING REQUIREMENTS**

SERDP projects are generally awarded as cost-type contracts. To be eligible for such an award, a contractor must have an approved accounting system and an accepted up-to-date government audit. Details on these requirements can be found at the web sites for [Defense Contract Audit Agency](#) and [Defense Contract Management Agency](#). Contractors selected for award who do not meet these requirements should inform their program manager immediately, as the process for approval can be time consuming. In some cases, if the work is appropriate to a firm fixed price contract and requirements for a cost-type contract cannot be fulfilled, successful proposers will be given the opportunity to enter into a firm fixed-price contract.

5.4 **SAFEGUARDING COVERED DEFENSE INFORMATION AND CYBER INCIDENT REPORTING**  
DFARS Clause 252.204-7012 Safeguarding Covered Defense Information and Cyber Incident Reporting (OCT 2016) as prescribed in DFARS 204.7304(c) is a mandatory clause that will be included in all ESTCP contracts. DFARS 204.7304(c) reads:

“(c) Use the clause at [252.204-7012](#), Safeguarding Covered Defense Information and Cyber Incident Reporting, in all solicitations and contracts, including solicitations and contracts using FAR part 12 procedures for the acquisition of commercial items, except for solicitations and contracts solely for the acquisition of commercially available off-the-shelf (COTS) items.”

**Most SERDP projects do not result in Covered Defense Information. A written determination will be made by the ESTCP office at final project acceptance for those that do.** However, any resultant contract will not include addendums or local text regarding this mandatory clause. DFARS 252.204-7012 is a mandatory clause that will not be removed from any contract for an SERDP project, nor will DFARS 252.204-7012 be altered in any way. For more information please see the link below:

<https://business.defense.gov/Small-Business/Cybersecurity/>

#### 5.5 **EFFECTIVE DATES OF AWARDED CONTRACTS**

All contracts awarded off of this BAA require bilateral execution and will be executed in counterparts. Any contract awarded off of this BAA will first be sent to the successful offeror(s) for signature and execution of the offeror’s counterpart. No contracts which are executed solely by the successful offeror(s) are effective. **Offerors shall not begin work prior to the receipt of a fully executed contract. Offeror(s) who begin performance prior to receipt of a fully executed contract are performing at their own cost and at their own risk.**

\*\*\*Contracts are not effective until the Government’s Contracting Officer signs and executes the Government’s counterpart and the counterpart with the Government’s Contracting Officer’s signature is distributed to the successful offeror(s).\*\*\*

#### 5.6 **OTHER COST AND PRICING DATA**

All successful offeror(s) will be required to submit Other Cost and Pricing Data for the Government’s required pre-award contract price/cost analysis. Submitting this data along with the final proposal will help expedite the contract process. Successful offers above \$2,000,000 must provide certified data (see Section 2.3 above). Other Cost and Pricing Data includes:

- (1) For contractors requesting a cost type contract, provide a recent audit report documenting the contractor’s accounting system adequacy for determining costs applicable to cost type contracts. Contractors lacking an accounting system adequacy determination shall submit firm-fixed price proposals.
- (2) Cost Proposal Backup Documents including:
  - a. Payroll backup documents which show wages and fringe;

- b. Defense Contract Audit Agency (DCAA) Rate Agreement, Forward Pricing Rate Agreement (FPRA), Forward Pricing Rate Recommendations, Department of Health and Human Services College Rate Agreement, or Navy Rate Agreement, and the point of contact for the same. In the event of no established rate agreement, submit the last three years of actual incurred rate data for analysis;
- c. Details with respect to materials, supplies, and consumables (MSCs) including quantities and type of MSCs (ex. 500 gal. hydrogen peroxide at \$2/gal or, 20 large columns at \$50/column, etc.) which includes evidence of quotes for MSCs (actual quotes are preferred);
- d. Quotes for any subcontracted services detailed as other direct costs and not directly allocable to subcontractor expenses (i.e. if lab costs are listed, the lab pricing info);
- e. Travel specifics (who, where, when, purpose, mode of transportation), etc. \*GSA per-diem and lodging rates may be used for the destination cities\*

\*\*\*Offers with subcontractor costs in excess of \$50,000 should include similar details for each subcontractor exceeding \$50,000 in costs.\*\*\*