

**USE OF UARC CONTRACT**  
**POLICY AND PROCEDURE MANUAL**  
**USU RESEARCH FOUNDATION (USURF)**

**Updated July 19, 2005, 2005**

**MDA CONTRACT NUMBER: HQ0006-05-D-0005**

**BACKGROUND:**

The University Affiliated Research Center (UARC) is a one (1) year base, four (4) option year Indefinite Delivery Indefinite Quantity (IDIQ) Cost Plus Fixed Fee (CPFF) Master Ordering Agreement (MOA). The UARC designation is established by Congress and administered by the Department of Defense (DoD) Director Defense Research and Engineering (DDR&E) office. There are currently 12 UARCs. UARCs are managed in accordance with the UARC Management Plan dated May 13, 1996, as attached.

**PURPOSE:**

The purpose of a UARC is to maintain essential engineering and technology capabilities of particular importance to the DoD community. A UARC has the following characteristics:

- It is affiliated with, or is part of a university or college
- It provides or maintains DoD essential engineering, research, and/or development capabilities defined as core
- It receives sole source (non-competitive) contract funding from DoD under the authority of 10 U.S.C. 2304(c)(3)(B). It may also receive DoD funding under other authorities which is therefore not subject to the UARC management plan.
  - 10 U.S.C. 2304(c)(3)(B) states:
    - (c) The head of an agency may use procedures other than competitive procedures only when –
      - (3) it is necessary to award the contract to a particular source or sources in order to...(B) to establish or maintain an essential engineering, research, or development capability to be provided by an educational or other nonprofit institution or a federally funded research and development center...
- It receives in excess of \$2.0M annually from DoD of such sole source funds.
- It maintains a strategic relationship with DoD. The characteristics of this relationship are:
  - Responsiveness to evolving sponsorship requirements
  - Comprehensive knowledge of sponsors requirements and problems
  - Broad access to information, including proprietary data
  - Broad corporate knowledge
  - Independence and objectivity

- Quick response capability
- Current operational experience
- Freedom from real and/or perceived conflicts of interest

**USE:**

DoD and NASA agencies (see attached authorization letter for NASA use) may use the USURF UARC contract if the following conditions are met:

- The efforts to be performed meet the requirements outlined in 10 U.S.C. 2304(c)(3)(B) and therefore can be sole-sourced to USURF
- The efforts to be performed fit within the core competencies outlined in the USURF UARC contract. They are:
  - Electro-optical sensor systems research and development
    - Innovative sensor components and systems
    - Cryo-systems thermal design, development and handling
    - Data processing, handling and analysis
    - Program management
    - Sensor calibration, characterization, test and evaluation
  - Ground, airborne and space rated instruments and payloads development, test and evaluation, integration, validation and operations
  - Data compression/decompression and data visualization for sensor analysis, data exploitation and data fusion
  - Phenomenology measurements, modeling, and simulation
  - Sensor modeling and simulation
  - Small/micro satellite sensor systems and components
  - Transition scientific data and technology to Government and non-Government agencies

**PROCEDURES:**

To use the UARC contract, agencies shall comply with the procedures outlined in Section H of the UARC contract. Section H requires the following activities:

- The Contracting Officer will issue a draft Task Order to the Contractor with a request for to the Contractor to submit a plan for accomplishing the work (Request for Proposal). The draft Task Order will include the following information and a copy shall be submitted to MDA contracts for their files:
  - Contract number, CLIN, and SOW reference
  - Description of the task to be performed
  - A period of performance for the task
  - Description of deliverables (as appropriate)
  - Identification of at least one of the USURF core competencies
- Sponsoring Agency shall submit a MIPR to MDA Finance. The MIPR shall include the following information:
  - UARC contract number and Task Order number

- Accounting and Appropriations information
- Budget amount
- MDA COR (CDR Doug Small) and/or MDA CO (Su Chang or Karla Jackson)
- The Contractor will submit a Task Plan (proposal) which will include:
  - A brief description of the method and approach to accomplish the task order
  - Estimated level of effort, in Direct Productive Labor Hours (DPLHs) by labor category, required to perform the task in the period of performance specified by the Task Order. DPLHs should include prime contract and subcontract hours.
  - The Contractor's cost estimate, including all travel and other direct costs, with supporting rationale to perform the Task Order
  - Specification of either Completion or Level of Effort Type Order.
  - Upon completion of negotiations, sponsoring agency shall complete a Technical Evaluation of the USURF Task Plan and submit a copy to MDA contracts.
  - MDA Contracts will then issue a Task Order to USURF.

Section H also allows for an "Alternate Procedure" to issue task orders when time does not permit the steps listed above to be taken. The MDA contracting officer, upon receipt of a MIPR, may issue a task order with a "not-to-exceed" DPLH and estimated cost authorization to proceed pending receipt and negotiation of a Task Plan.

## **CONTACT INFORMATION FOR MDA**

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**DEPARTMENT OF DEFENSE  
BALLISTIC MISSILE DEFENSE ORGANIZATION  
7100 DEFENSE PENTAGON  
WASHINGTON, DC 20301-7100**

TOS

OCT 16 1998

Mr. Daniel S. Goldin  
Administrator  
National Aeronautics and Space Administration  
300 E. Street SW  
Washington, District of Columbia

RECEIVED  
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Dear Mr. Goldin:

The purpose of this letter is to familiarize you with the unique contractual relationship the Department of Defense (DoD) has with the Utah State University Research Foundation (USURF), Space Dynamics Laboratory (SDL) and to encourage you to take advantage of this arrangement.

In 1996, the Ballistic Missile Defense Organization (BMDO) selected SDL for sponsorship under the Director, Defense Research and Engineering cognizance as a University Affiliated Research Center (UARC). UARCs are not-for-profit, private-sector organizations affiliated with, or part of, universities or colleges that maintain essential research, development and engineering capabilities needed by their sponsoring DoD components. They maintain long-term, strategic relationships with sponsoring DoD components in specific core areas and operate in the public interest, free from real or perceived conflicts of interest. UARCs are financed through long-term, noncompetitive contracts awarded by the sponsoring DoD component for specified core work.

Under the UARC contract agreement with BMDO, SDL provides research, development, and engineering support for the development of ballistic missile defense systems. The effort under this contract includes research, development, fabrication, testing, calibration, and performance assessments of sensors and sensor systems of interest to DoD. Principal areas of work being performed are categorized as (1) international cooperative efforts; (2) technical advisory support to BMDO and other government agencies, and (3) in-house technical expertise, instrumentation, and facilities to design, analyze, and test sensors and sensor systems, and transition technology from the laboratory to industry and/or other laboratories. The purpose of this UARC contract agreement is to provide the government with the necessary technical expertise in sensor system performance to ensure missile defense system architectures are viable; system

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performance is accurately characterized and demonstrated; and performance tradeoffs involving sensors are factual and complete.

Specific contract task orders are issued based on the nature of work to be performed. The following is an overview of the areas of support:

a. **International Cooperation:** This provides for a series of data exchange and analysis activities, cooperative experiment planning and execution, and concept studies to demonstrate the technology benefits of cooperative observation of atmospheric, ground structural, and missile targets of opportunity. The objectives are to: initiate and maintain cooperative efforts with Russian and other international agencies to exchange various sensing data; conduct cooperative observations of earth backgrounds and targets of opportunity as directed by the government; investigate design concepts for innovative high altitude and space-based surveillance technologies, perform feasibility studies, and plan and design sensor prototypes; fabricate the approved prototype designs and plan and execute data collection experiments using these prototype designs; and conduct analyses, performance evaluations, and technology assessments to directly support cooperative observations or data exchanges.

b. **Technical Advisory Support:** This provides coordinated access to the SDL's unique technical expertise in the areas of electro-optical sensing, instrumentation, calibration, and system performance. SDL can provide on-site representation to complement the existing Federally Funded Research and Development Center and UARC organizations supporting your activity.


c. **Test/Calibration and Data Analysis:** This provides support to BMDO and other DoD agencies with an essential and continuing capability of maintaining and performing time critical tasks in data collection and analysis for electro-optical sensors and sensor systems. SDL provides conceptual studies, advanced planning, technical evaluation, design, fabrication, laboratory testing/calibration, and maintenance as appropriate for ongoing and new sensor systems (passive and/or active) in support of air; ground; and space-based experiments.

A prime example of the quality of effort provided by SDL is in their support of Spatial Infrared Imaging Telescope (SPIRIT III). In this project the Ballistic Missile Defense Organization, Advanced Technology Directorate is currently conducting research to develop active and passive sensors to

defend against theater and intercontinental ballistic missiles. Integral to this capability is sensor and interceptor efforts, ranging from basic technology explorations to experiments of prototype sensors/systems in space. SDL continues to support BMDO with space sensors of exceptional quality, most recently, the SPIRIT-III, a mid-to-long-wave high spatial resolution radiometer and high spectral resolution spectrometer flown as a primary instrument aboard the Mid-Course Space Experiment (MSX) satellite. SPIRIT III performed exceptionally well during its 10 months of operation aboard MSX, and obtained a tremendous amount of data about the earth's upper atmosphere, military targets, and celestial objects.

You may want to consider USURF/SDL in your execution plans for innovative space-based sensor research and experiments. BMDO maintains ongoing contractual means to rapidly leverage SDL's unique capabilities to meet government agencies' needs and can assist you in matching the capabilities of SDL to your needs. Please contact Col. Susan Vance, USAF, at (703) 604-3224 if you have any questions in the use of this unique arrangement.

Sincerely,



BRUCE J. PIERCE  
Deputy for Technology



DIRECTOR OF DEFENSE RESEARCH AND ENGINEERING  
3030 DEFENSE PENTAGON  
WASHINGTON, D.C. 20301-3030



MAY 13 1996

MEMORANDUM FOR ASSISTANT SECRETARY OF DEFENSE (COMMAND, CONTROL,  
COMMUNICATIONS, AND INTELLIGENCE)  
DIRECTOR, OPERATIONAL TEST AND EVALUATION  
GENERAL COUNSEL  
ASSISTANT SECRETARY OF THE NAVY (RESEARCH,  
DEVELOPMENT, AND ACQUISITION)  
ASSISTANT SECRETARY OF THE ARMY (RESEARCH,  
DEVELOPMENT, AND ACQUISITION)  
ASSISTANT SECRETARY OF THE AIR FORCE (ACQUISITION)  
DIRECTOR, NATIONAL SECURITY AGENCY  
DIRECTOR, BALLISTIC MISSILE DEFENSE OFFICE  
DEPUTY UNDER SECRETARY OF DEFENSE (LOGISTICS)  
DIRECTOR, ADVANCED RESEARCH PROJECTS AGENCY  
DIRECTOR, ACQUISITION PROGRAM INTEGRATION  
DIRECTOR, DEFENSE PROCUREMENT

SUBJECT: University Affiliated Research Center (UARC) Management  
Plan

I have approved the UARC Management Plan, which will be issued as a DoD Instruction. Pending publication of the instruction, I am releasing the enclosed UARC Management Plan as interim guidance, effective on May 1, 1996. Also enclosed is a copy of the DoD Report on the Five-Year Plan for Federally Funded Research and Development Centers (FFRDCs) and UARCs forwarded to the Congress on May 2, 1996.

I want to thank you for your assistance in the development of this management plan. Mr. Bob Nemetz, Director, OSD Studies and FFRDC Programs, and his staff will work with you and the UARCs to make the implementation of the management plan as smooth as possible.

His point of contact regarding this matter is Mr. Jay Minsky at (703) 845-2202, fax (703) 379-1731.

  
Anita K. Jones

Attachments



**DEPARTMENT OF DEFENSE  
UNIVERSITY AFFILIATED RESEARCH CENTER (UARC)  
MANAGEMENT PLAN  
May 1, 1996**

**A. PURPOSE**

The Objective of this Management Plan is to ensure that essential engineering and technology capabilities of particular importance to the Department of Defense (DoD) are maintained. This Management Plan defines University Affiliated Research Centers (UARCs), and establishes policies and procedures for the management of certain contracts placed by the Department with UARCs.

**B. APPLICABILITY**

1. This plan applies to UARCs, their DoD Sponsors, DoD Contracting Activities, and DoD Tasking Activities. A UARC has the following characteristics:

- a. It is affiliated with, or is part of a university or college.
- b. It provides or maintains DoD essential engineering, research, and/or development capabilities defined as core.
- c. It receives sole source (non-competitive) contract funding from DoD under the authority of 10 U.S.C. 2304(c)(3)(B) (this paragraph allows DoD to use non-competitive procedures in order to establish or maintain an essential engineering, research, and/or development capability). It may also receive DoD funding under other authorities which is therefore not subject to this plan.
- d. It receives in excess of \$2.0M annually from DoD of such sole source funds.
- e. It maintains a strategic relationship with DoD. The characteristics of this relationship are:
  - (1) Responsiveness to evolving sponsors requirements.
  - (2) Comprehensive knowledge of sponsors requirements, and problems.
  - (3) Broad access to information, including proprietary data.
  - (4) Broad corporate knowledge.
  - (5) Independence and objectivity.
  - (6) Quick response capability.
  - (7) Current operational experience.
  - (8) Freedom from real and/or perceived conflicts of interest.

2. There exist college and university laboratories that receive sole source funds, but are not considered UARCs. These fall under two categories:

a. College or university laboratories that receive less than \$2.0 million annually under the authority of 10 U.S.C. Section 2304(c)(3)(B) are not considered UARCs.

b. College and University laboratories that receive sole source funds in excess of \$2.0 million, but under authorities other than 10 U.S.C. 2304(c)(3)(B) are not considered UARCs. DoD does not fund these institutions to establish or maintain an essential capability. Rather, DoD uses these organizations because of other considerations. Some examples (not inclusive) are: they uniquely provide a capability available from no other source, there is an unusual or compelling urgency caused by such things as immediate national security or mobilization requirements, or the terms of an international agreement require it.

### **C. DEFINITIONS**

1. **Primary Sponsor.** One DoD component will be designated a primary sponsor by Director Defense Research and Engineering (DDR&E) for each UARC. The primary sponsor works with the Contracting Activity(ies) in implementing DoD's UARC management policies and procedures.

2. **Contracting Activity.** A Contracting Activity is a DoD component that awards a contract or contracts under the authority of 10 U.S.C. 2304(c)(3)(B) to a UARC. Multiple Contracting Activities for a single UARC are possible.

3. **Tasking Activity.** A Tasking Activity is a DoD entity that requires and funds the services of a UARC for performance of DoD specific work.

### **D. POLICY**

1. The UARC's role for DoD work covered by this Management Plan is to provide or maintain essential engineering, research, and/or development capabilities through DoD contracts awarded under the authority of 10 U.S.C. 2304(c)(3)(B).

2. UARCs are bound by the limits imposed by contracting activities through their separate contracts, or by their established charter or parent university. This Management Plan does not usurp the authority of university boards of directors, trustees, or any other chartered managing body.

#### **3. Competition**

a. UARCs may compete for science and technology work unless precluded from doing so by their DoD contracts. Generally, UARCs may not compete against industry in response to competitive Requests for Proposals (RFPs) for development or production that involve engineering expertise developed or sustained through contracts awarded under 10 U.S.C. 2304(c)(3)(B).

b. The Primary Sponsor's contract defines the limits of competition. All other contracts must be consistent with it.

c. If special circumstances require a waiver of the provisions of paragraph 3.a. above, DDR&E must approve the waiver.

d. Any special consideration for competition will observe the following guidelines :

(1) Ensure that any competitive work performed by the UARC does not jeopardize the UARC's ability to perform its work for DoD, and does not introduce an apparent conflict of interest.

(2) Ensure that no unauthorized use shall be made of proprietary or privileged information gained from activities of the UARC.

(3) Make UARC developed capabilities equally available to all industrial partners.

#### **E. RESPONSIBILITIES**

1. DDR&E shall:

a. Identify and designate appropriate organizations as UARCs.

b. Establish UARC policy.

c. Designate a primary sponsor for each UARC to assist in data gathering, reporting or meeting other DoD requirements.

d. Prepare reports as requested by Congress.

e. Set and approve any comprehensive limits or restrictions on UARC DoD work obtained under the authority of 10 U.S.C. 2304 (c)(3)(B) if appropriate.

f. Review and approve all Comprehensive Reviews.

g. Review and approve UARCs' core competency statements.

2. A UARC Primary Sponsor shall:

a. Implement the UARC Management Plan.

b. Collect annually from each UARC Contracting Activity funding and staffing data for 10 U.S.C. 2304(c)(3)(B) based efforts and report findings to DDR&E.

c. Provide data on annual obligations/expenditures as requested by DDR&E

d. Disseminate DDR&E and UARC Primary Sponsor guidance to the Contracting Activities and UARCs as appropriate.

e. In coordination with the UARCs, Contracting Activities, and Tasking Activities, establish and maintain the definition of each UARC's DoD mission and core competencies.

f. Review UARC contractual relationships for consistency with provisions of the Management Plan.

g. Chair a Comprehensive Review each time the primary contract is renewed (approximately every 5 years), with the Contracting Activity(ies) participation. If the Primary Sponsor has multiple contracts with a UARC, then the Primary Sponsor will select a single contract award/renewal for performing the Comprehensive Review. As part of this review, the Primary Sponsor shall examine all DoD 10 U.S.C. 2304 (c)(3)(B) contractual relationships with the UARC for consistency with the provisions of the Management Plan. Report findings to DDR&E.

h. If required, adjudicate the priority of work requested by the Tasking Activities.

3. A Contracting Activity shall:

a. Implement the UARC Management Plan.

b. Ensure that all work performed under the authority of 10 U.S.C. 2304(c)(3)(B) is consistent with the UARC's DoD mission and its core competencies.

4. A Tasking Activity shall:

a. Define tasks that fall within the core competencies and for which the UARC is the performer of choice (follow the guidelines in the "Criteria for evaluating work" section of the UARC core competency statement)

b. Provide expected funding and work years requirements to the UARC Contracting Activity for planning purposes annually and during the contract negotiation process.

c. Provide the Primary Sponsor and the Contracting Activity the rationale for selecting the UARC as the performer of choice for each task.

## **F. PROCEDURES**

1. **Contracts.** The instrument(s) under which the UARC performs DoD work pursuant to 10 U.S.C 2304(c)(3)(B) shall be a contract or contracts between the UARC and Contracting Activity(ies), and will be subject to the principles and guidelines of this Management Plan and consistent with the appropriate sections of the Federal Acquisition Regulation. Contracts shall include the following:

a. A statement of the essential engineering, research, and/or development capability required.

b. A description of the UARC mission and identification of its core competencies, and identification to the Primary Sponsor of any differences with the UARC's already identified mission and core competencies.

c. A description of the procedures used to evaluate performance in the areas of technical quality, responsiveness, value, cost and timeliness.

d. Other requirements as appropriate (i.e., when cost-type contracts are used, the contract sponsors will identify any cost elements that require advance agreement and/or approval).

e. The appropriate organizational conflict of interest clause, as set forth in the Federal Acquisition Regulation.

2. Reviews. Primary Sponsors shall chair a Comprehensive Review as part of the contract renewal process (normally every five years). During the review, the Primary Sponsor shall examine and evaluate the core competencies within the sponsors mission areas for current relevance and will ensure that all assigned tasks are consistent with the UARC mission and core competencies. Potential for conflict of interest should be reviewed.

3. Reports required:

<b>REPORT</b>	<b>RESPONSIBLE OFFICE</b>	<b>FREQUENCY</b>	<b>DATE DUE</b>	<b>REPORT TO</b>
Comprehensive Review	Primary Sponsor	New contract, or Renewal of existing contract	60 days prior to issuance	DDR&E
UARC Utilization Data	Primary Sponsor	As requested	As requested	DDR&E
Projected Funding and Staffing Requirements	Primary Sponsor	Annually	July 15	DDR&E

**G. EFFECTIVE DATE:**

This Management Plan is effective immediately.

Appendix B

## UARC Mission Areas

The Applied Physics Laboratory (APL), Johns Hopkins University (JHU) - Critical DoD areas supported by JHU/APL include missiles; radar; sonar; space; undersea warfare; command, control and communications; anti-air warfare; strike warfare; information warfare; complex combat systems, and the characteristics and limitations unique to the operating environment of DoD systems.

Georgia Tech Research Institute (GTRI), Georgia Institute of Technology - GTRI conducts scientific and technological investigations in a broad range of disciplines to advance and refine knowledge and expertise in radio frequency (RF), electro-optic (EO), millimeter wave (MWW), and infrared (IR) technologies for missile systems' airborne and ground sensors; weapon system guidance, control, communications, and information technology (including databases, networks, software, engineering, telecommunications and information structure). GTRI also conducts applied research in systems development, signal processing, modeling and analysis, phenomenology, test and evaluation of multi-spectral sensors and seekers, and engineering investigations/assessments of emerging computer science and communication techniques.

Pennsylvania State University (PSU), Applied Research Laboratory (ARL) - To advance the technology base in undersea warfare, PSU/ARL conducts basic and applied research, exploratory and advanced development which emphasizes guidance and control of undersea systems; propulsor technology; advanced thermal propulsion concepts; hydrodynamics and hydroacoustics; materials and manufacturing technology; noise and vibration control; signal processing; communications; thermal power plants; systems analysis; systems engineering; modeling and simulation; robotics; and laser manufacturing technology.

The University of Texas at Austin (UT), Applied Research Laboratory (ARL) - The UT/ARL conducts basic and applied research, exploratory and advanced development, engineering, test and evaluation, systems analysis and assessment, technical field support in the following areas: high frequency acoustics; low frequency acoustics for surveillance programs; tactical frequency sonar detection and classification; satellite geodesy; precision geolocation and geomatics; electromagnetic propagation and sensor systems; non-linear acoustics; and command, control, communications, computers and intelligence.

Utah State University (USU), Space Dynamics Laboratory (SDL) - The USU/SDL performs space science experiments to further the exploration and understanding of the solar system; disseminates knowledge gained from new sensor development and space science experiments to government agencies, contractors, academia, and private industry; conceives and engineers new state of the art electro-optical sensors for transition to government agencies and industry, and enhances the university educational programs through the expertise, resources and research programs of the laboratory.

University of Washington (UW), Applied Physics Laboratory (APL) - The UW/APL conducts, within the broader mission of the UW, a program of fundamental research, technological advancement, engineering, and education emphasizing Navy applications of ocean science, ocean acoustics, and ocean engineering. The focus of this research is on understanding physical processes in the ocean environment, including the Arctic.

Source: Office of Director, OSD Studies and FFRDC Programs

Appendix B