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Solicitation for Cooperative Agreement Applications

Procurement Technical Assistance Program

Defense Logistics Agency
Office of Small Business Programs
8725 John J. Kingman Road, Suite 1127
Fort Belvoir, VA 22060-6221
PTAP@dla.mil

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SECTION I - PROGRAM INTRODUCTION

This section describes the Procurement Technical Assistance Program (PTAP), eligibility to participate in the program, and how awards are planned to be made under this Solicitation for Cooperative Agreement Applications (SCAA). The SCAA shall not be considered to be an offer made by the Government, nor does it commit the Government to make any awards under this program. All awards are subject to the availability of funds.

A. BACKGROUND

The PTAP, which is administered by Defense Logistics Agency (DLA), was established by section 1241 of the Department of Defense (DoD) Authorization Act for Fiscal Year 1985 (Public Law 98–525) in an effort to expand the number of businesses capable of participating in Government contracts. Under the PTAP, DLA provides financial assistance to Procurement Technical Assistance Centers (PTACs) that serve as a resource for businesses to obtain information and training related to contracting opportunities with DoD, other Federal agencies, and State and local governments. The terms "State" and "local government" have the meanings provided in 10 U.S.C. §2411.

The "procurement technical assistance" provided to businesses by PTACs consists of, but is not limited to, the counseling services described in Section III. The PTACs are expected to make a concerted effort to seek out and assist small business concerns, small disadvantaged businesses concerns (SDB), women-owned small businesses concerns (WOSB), HUBZone small business concerns, service-disabled veteran-owned small business concerns (SDVOSB), historically black colleges or universities and Minority Institutions (HBCU/MIs). These terms are defined in Part 2 of the Federal Acquisition Regulation (FAR).

B. ADMINISTRATIVE REQUIREMENTS

1. **CFDA Number:** 12.002
2. **Authority:** Title 10 U.S.C., Chapter 142
3. **Funding Instrument:** Cost Sharing Cooperative Agreement
4. **Administrative Requirements :** All cooperative agreements resulting from this SCAA are governed by the regulations published in Chapter I, Subchapter C of Title 32, Code of Federal Regulations (CFR) and in Chapter XI of Title 2, CFR, which are referred to collectively herein as the DoD Grant and Agreement Regulations (DoDGARs). In the performance of an award made under this SCAA, the recipient shall comply with all pertinent DoDGARs provisions. Pursuant to 32 C.F.R. §32.5, §33.37, or §34.1(b)(2), as applicable, DoDGARs provisions flow down to subawards or subgrants.
5. **Cost Principles:** The cost principles establish general standards for the allowability of costs, provide detailed guidance on the cost accounting treatment of costs as direct or indirect costs, and set forth allowability principles for selected items of cost. No profit or fee to the recipient is ever allowed. The allowability of costs under any resultant cooperative agreement is governed by the applicable cost principles which are set forth as follows:
   a. 2 CFR Part 220, Cost Principles for Educational Institutions (OMB Circular A-21)
   b. 2 CFR Part 225, Cost Principles for State, Local and Indian Tribal Governments (OMB Circular A-87)

c. 2 CFR Part 230, Cost Principles for Non-profit Organizations (OMB Circular A-122).
d. 48 CFR Parts 31 and 231 (FAR and DFARS, Cost Principles for For-profit Organizations)
The applicability of a particular set of cost principles depends on the type of organization making the expenditure. For example, a non-profit organization receiving a subaward from a State recipient would be subject to 2 CFR Part 230, while the State would be subject to 2 CFR Part 225.

6. **Audit Requirements:** Recipients and subrecipients are responsible for obtaining independent audits in accordance OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations". Independent audit requirements for for-profit entities are specified in 32 C.F.R. §34.16. The Grants Officer may request additional audits as necessary.
7. **Executive Order 12372:** The PTAP is covered by Executive Order 12372 of July 14, 1982, "Intergovernmental review of Federal programs". This order provides for review of proposed federal assistance by State and local governments. Therefore, applications submitted for funds under this SCAA may be subject to the clearance procedures and requirements established by the State(s) in which their programs will be conducted. Consequently, applicants are reminded that they may have to initiate clearance action through appropriate State clearinghouses prior to submitting an application to DLA. For more information on the process a particular State requires to be followed, an applicant should contact the office or official designated as the single point of contact for the pertinent State(s).
(see http://www.whitehouse.gov/omb/grants_spoc)
8. **Subawards and Subgrants:** The recipient of a cooperative agreement shall apply the terms and conditions of this SCAA and the provisions of all laws and regulations referenced herein to all subawards or subgrants. The same shall be applied to any awards to lower tier subrecipients or subgrantees.

No previous solicitations apply to awards made as a result of an application in response to this SCAA. Applicants should not rely on the information or guidance contained in any previous versions of the SCAA when applying.

C. PROGRAM MANAGEMENT

The Director, Office of Small Business Programs, DLA, is responsible for the management of the PTAP including the issuance of this SCAA, evaluating applications received and the awarding of cooperative agreements.

D. ELIGIBILITY

1. Applicants must qualify as an "eligible entity", as defined in Section II.

2. Applications will not be accepted from applicants that apply as equal partners or equal joint ventures. Only one organization can take the lead and have primary responsibility for the proposed program.

3. Only one application will be accepted from a single eligible entity. An entity that submits more than one application, or is listed as a subrecipient in another eligible entity's application will not be considered for an award.

4. All subrecipients and subgrantees must meet the definition of "eligible entity" in Section II.

E. FUNDING LIMITATIONS

Annual Federal funding limitations are as follows –

1. $600,000 in the case of a PTAC providing statewide coverage (refer to Section II for the definition of "statewide coverage");
2. $300,000 in the case of a PTAC providing less than a statewide coverage;
3. $600,000 in the case of a PTAC that qualifies as an "eligible entity" under 10 U.S.C. §2411(1)(D) and operates wholly within more than one service area of the Bureau of Indian Affairs (BIA). For the purposes of this SCAA, this means a PTAC that provides procurement technical assistance to reservations and serves all of the federally recognized tribes in one of the BIA regions and at least half of the tribes in a second BIA region; or
4. $150,000 in the case of a PTAC that qualifies as an "eligible entity" under 10 U.S.C. §2411(1)(D) and operates wholly within one service area of the BIA. For the purposes of this SCAA, this means a PTAC that provides procurement technical assistance to reservations but does not meet the standard in E.3. above.

F. COST SHARING REQUIREMENTS

Within the limitations above, DLA provides funding to the PTACs through the award of cost sharing cooperative agreements. Under an award, DLA's share of cost is limited to no more than one-half unless the PTAC serves a distressed area (defined in Section II), in which case the DLA cost share is limited to no more than three-fourths. The recipient of an award is required to share the cost of operating a PTAC and match DLA funding accordingly. The allowability and valuation of cost matching contributions is governed by 32 C.F.R. §32.23, §33.24, or §34.13, as applicable. Funds used to satisfy cost sharing requirements may not be included as contributions for any other Federally-assisted project or program and may not be paid by the Federal Government under another award, except where authorized by Federal statute to be used for cost sharing or matching.

G. APPLICATIONS

1. All eligible entities meeting the definition in Section II are invited to submit an application. Application requirements are described in Section IV.

2. Applications must propose an initial base period of performance of 12 months.

   a. **NEW PROGRAMS -** An application to establish a new program must propose a 12-month base period of performance. The 12 month period may be proposed to start and end at the discretion of the applicant. Upon reviewing the application, the Government may direct adjustments to the proposed dates.

b. **EXISTING PROGRAMS –** An existing program, as defined in Section II, should propose a 12-month base period of performance with a start date immediately following the expiration of the current cooperative agreement.

H. AWARDS

1. Cooperative Agreement Awards will be made in accordance with Section V.

2. The award of a cooperative agreement under this program shall not, in any way, obligate DoD to enter into a contract or give preference for the award of a contract to an individual or business concern which is or becomes a client of a cooperative agreement award recipient.

3. All provisions and clauses of this SCAA shall apply and are incorporated into any resultant cooperative agreement.

4. If selected for an award, the applicant shall perform the services described in its application and amendments thereto, which will be incorporated into the award.

5. The Government reserves the right to revise or cancel this solicitation before making any awards.

I. FUNDING

Pursuant to Title 10 U.S.C., Chapter 142, Section 2413(d), funding priority will be given to applicants that are existing programs (see definition in Section II) and have a successful performance record. At the same time, Title 10 U.S.C., Chapter 142, Section 2412(2) also provides for DoD to assist in establishing and carrying out new programs.

An existing program, as defined by Section II, may not receive continued funding if, as determined by the Government, there has been poor performance, activity adversely affecting the operation and integrity of the PTAC, or a failure to follow the rules and procedures and meet the requirements set forth in statute, regulation, and/or an award.

J. AWARD PERIOD

Awards normally will be for an initial performance period of 12 months, which is referred to herein as the base period. At the Government's discretion, awards may be eligible to be extended for two additional periods, which are referred to herein as options. Refer to Section VIII for more information regarding options.

SECTION II - DEFINITIONS

The following definitions, in addition to those contained in the DoDGARs and other applicable regulations apply for the purpose of this SCAA:

1. **Active Client.** Refer to Appendix B.
2. **Administrative Grants Officer.** A person with the authority to administer grants or cooperative agreements consistent with the authority delegated by the Grants Officer.
3. **Availability of funds.** For the purpose of this SCAA, the terms "availability of funds", "funds are available" and "available funds" all refer to the total amount of DoD funds available or to be made available for the PTAP for the base year awards. Subsequent to the base year, this term will apply to the amount of DoD funds available or to be made available for an option period.
4. **Bid Matching.** A type of procurement technical assistance provided by matching profiles such as words, stock numbers, federal supply classes, item names, NAICS codes, CAGE codes, either collectively or separately for the purpose of determining if a solicitation (bid) offered by the Federal, State and/or local government is of interest to a client or business.
5. **Cash Contributions.** The recipient's cash outlay, including the outlay of money contributed to the recipient by third parties. Cash contributions do not include in-kind contributions as defined in this section.
6. **Civil Jurisdiction.** All cities with a population of at least 25,000 and all counties. Townships of 25,000 or more population are also considered as civil jurisdictions in the States of Michigan, New Jersey, New York, and Pennsylvania. In Connecticut, Massachusetts, Puerto Rico, and Rhode Island, where counties have very little or no government functions, the classifications are done for individual towns.
7. **Client.** An individual or a business that is seeking or may potentially seek to market its products and/or services as a prime contractor or subcontractor to DoD, other Federal agencies, and State or local governments that has received Procurement Technical Assistance from a PTAC.
8. **Commercial and Government Entity (CAGE) code.** The CAGE Code is a five position code that identifies contractors doing business with the Federal Government, NATO member nations, and other foreign governments.
9. **Consultant Services.** Services obtained from a third party that is a not an "eligible entity" to supplement PTAC personnel (except those being donated or otherwise provided to the PTAC at no costs). Consultant services are those services that are central to the purposes of the cooperative agreement and directly benefit PTAC clients in the areas such as counseling and training. Consultant services are subject to the limit stated in Section III.
10. **Contractor Services:** A distinction is made between "Consultant" and "Contractor" services for the purposes of the 10 percent limit stated in Section III. Unlike "Consultant Services", "Contractor Services" do not supplement PTAC personnel. For example, Contractor Services may include information technology support contractors or facility maintenance services. When entering into contracts, all recipients shall follow procurement procedures as required by 32 C.F.R. §32.44, §33.36, or §34.31, as applicable
11. **Cooperative Agreement Award Recipient.** An organization receiving financial assistance directly from DLA to carry out a PTA program. Awards will only be made to eligible entities as defined in this section.
12. **Counseling Session.** Refer to Appendix B.

13. **County Equivalent.** The term "parish" for the State of Louisiana and "borough" for the State of Alaska and the City of New York. For those States where cities are independent of counties (e.g., Virginia), such cities meet this definition. In addition, a "reservation" as defined in this Section, is a county equivalent for the purposes of this SCAA.
14. **Data Universal Number System (DUNS) number.** The 9-digit number assigned by the Dun and Bradstreet Information Services to identify unique business entities.
15. **Data Universal Numbering System+4 (DUNS+4) number.** The DUNS number assigned by Dun and Bradstreet plus a 4-digit suffix that may be assigned by a parent (controlling) business concern. This 4-digit suffix may be assigned at the discretion of the parent business concern for such purposes as identifying subunits or affiliates of the parent business concern.
16. **Distressed Area.** A Civil jurisdiction to be serviced by an eligible entity within an area that:
    a. has a per capita income of 80 percent or less of that State's average; or
    b. has an unemployment rate that is one percent greater than the national average for the most recent 24-month period for which statistics are available.

    In addition, a reservation, as defined in section 3(d) of the Indian Financing Act of 1974 (P.L. 93-262; 25 U.S.C. 1452(d)) is a distressed area for the purposes of this SCAA.
17. **Duplicate Coverage.** A situation caused when two or more applicants propose to provide procurement technical assistance to clients located within the same county or equivalent.
18. **Eligible Entities.**
    a. **A State.** "State", defined at 10 U.S.C. §2411, means a State of the United States, the District of Columbia, a territory or possession of the United States, an agency or instrumentality of a State, and a multi-State, regional, or interstate entity having governmental duties and powers.
    b. **Local government.** "Local government", defined at 10 U.S.C. §2411, means a unit of government in a State, a local public authority, a special district, an intrastate district, a council of governments, a sponsor group representative organization, an interstate entity, or another instrumentality of a local government.
    c. **Private nonprofit organizations.** A business entity which is exempt from federal income taxation under Section 501 of the Internal Revenue Code, and no part of its earnings inure to the benefit of any private shareholder or individual, and no substantial part of its activities is carrying on propaganda or otherwise attempting to influence legislation or participating in any political campaign on behalf of any candidate for public office.
    d. **Economic Enterprise.** "Economic enterprise", defined at 10 U.S.C. §2411, means any Indian-owned (as defined by the Secretary of the Interior) commercial, industrial, or business activity established or organized for profit purposes or for nonprofit purposes. *Provided*, that such Indian ownership shall constitute not less than 51 per centum of the enterprise.
    e. **Tribal Organization.** "Tribal organization", defined at 10 U.S.C. §2411, means the recognized governing body of any Indian tribe; any legally established organization of Indians which is controlled, sanctioned, or chartered by such governing body, or which is democratically elected by the adult members of the Indian community to be served by such organization and which includes the maximum participation of Indians in all phases of its activities: *Provided*, That in any case where a cooperative agreement is made to an organization to perform services benefiting more than one Indian tribe, the approval of each such Indian tribe shall be a prerequisite to the letting or making of such cooperative agreement.
19. **Existing Program.** An existing program is a current recipient under the PTAP. Two or more existing programs that subsequently combine or merge their organizations into a single eligible entity will also be considered to be an existing program even if the resulting eligible entity so

formed is a new organization and/or corporation. Subrecipients or sub-elements/organizations of existing programs that separate from an existing program and apply separately under this SCAA will not be considered an existing program. The Grants Officer may determine that an existing program that proposes substantial changes to their service area is no longer considered to be an existing program.

20. **FAR.** The Federal Acquisition Regulation. The FAR is issued as Chapter 1 of Title 48, CFR.
21. **Follow-up Counseling session.** Refer to Appendix B.
22. **Government.** Government means the United States Government unless stated otherwise.
23. **Initial counseling session.** Refer to Appendix B
24. **In-kind contribution.** The value of a non-cash contribution provided by an eligible entity or third party. In-kind contributions may be in the form of real property, equipment, supplies (and other expendable property), facilities and services. See SCAA Section III for a detailed discussion concerning in-kind contributions. Indirect costs, whether billed by an indirect rate or otherwise billed directly, are in-kind contributions.
25. **Net Program Cost.** Total Program Cost less expended program income. The Federal and recipient share of cost is based on Net Program Cost.
26. **New program applicant.** An applicant that does not meet the definition of existing program.
27. **Nonprofit agency employing the blind or severely disabled.** A qualified nonprofit agency for the blind or the severely disabled (as defined in 41 CFR Part 51) which produces a commodity for, or provides a service to, the Government under the AbilityOne Program. For this program, such agencies shall be considered small business concerns.
28. **Outreach event.** Refer to Appendix B.
29. **Procurement technical assistance (PTA).** Professional, specialized assistance provided to a client that enables it to identify potential contractual opportunities and obtain or perform under contracts with DoD, other Federal agencies, State and/or local governments, and with Federal, State and/or local government prime contractors. This specialized assistance may consist of, but is not limited to, assistance in locating potential contracting opportunities, using electronic commerce as it relates to Federal, State and/or local government procurement, assisting in preparation of registrations, proposals and financial and contractual forms, and providing guidance on quality assurance and production issues relating to Federal, State and/or local government-specific requirements or specifications.
30. **Procurement Technical Assistance Center (PTAC).** A cooperative agreement award recipient whose award was made pursuant to this SCAA.
31. **Program Income.** Refer to Section VII.
32. **Recipient.** An eligible entity that receives a cooperative agreement award as a result of submitting an application under this SCAA. Note that in this SCAA, the terms Applicant, Recipient, and PTAC are used interchangeably.
33. **Regional Program.** A PTAC that provides less than statewide coverage.
34. **Reservation.** Reservation, defined in section 3(d) of the Indian Financing Act of 1974 (Public Law 93-262; 25 U.S.C. 1452(d)), includes Indian reservations, public domain Indian allotments, former Indian reservations in Oklahoma, and land held by incorporated Native groups, regional corporations, and village corporations under the provisions of the Alaska Native Claims Settlement Act.
35. **Satellite Office.** A satellite office supports and contributes to the mission of the PTAC, but is physically located at a site different than that of the recipient. Unlike a subrecipient (32 C.F.R. §32.2) or subgrantee (32 C.F.R. §33.3), a satellite office is an integral part of the award recipient's

organization. Notwithstanding whether or not the costs for the satellite office are tracked separately, the costs for the satellite location(s) will be included directly in the applicant's budget and set forth within the appropriate object cost categories in the Cost Share Budget Information Worksheet as part of the application. This is different from subrecipients and subgrantees which have their own separate budgets that are included in the applicant's budget as a single element of cost.

36. **Service.** When used as a verb in this SCAA, it means to provide procurement technical assistance to clients or potential clients.
37. **Service area.** The geographical area (measured at the county or equivalent level) where clients or potential clients reside or regularly do business for whom the applicant proposes to provide procurement technical assistance.
38. **Statewide coverage or program.** A PTAC serving at least 50 percent of a state's counties or equivalent coverage (i.e., parishes, boroughs) and 75 percent of a state's labor force.
39. **System for Award Management (SAM).** A Government-wide acquisition and award support system that includes the capabilities found previously in Central Contractor Registration (CCR)/Federal Agency Registration (FedReg), Online Representations and Certifications Application (ORCA) and the Excluded Parties List System (EPLS).
40. **Total Program Cost (TPC).** Total charges made to the program including the Federal and recipient's share of cost, and expended program income.
41. **Wide area workflow**. A paperless contracting application to eliminate paper from the receipt/acceptance and invoice/payments process of the contracting lifecycle.

SECTION III - PROGRAM REQUIREMENTS

This section sets forth the requirements for providing procurement technical assistance under a cooperative agreement awarded as a result of this SCAA.

A. RESOURCES

Applicants shall have the resources necessary to implement the program. As a minimum, these resources shall consist of:

1. Personnel –

   a. Program Manger

      The recipient shall have a Program Manager, employed on a full-time basis (i.e. must devote 100% of his/her time to the PTAC). The Program Manager should have knowledge and understanding of Federal, State and local government contracting policies and procedures gained from direct experience and/or formal training. The Program Manager is considered key to the effectiveness of the PTAC in meeting its objectives and must have appropriate management qualifications and a thorough understanding of the requirements of this SCAA.

      When it becomes known to the recipient that the Program Manager's position is to be vacated, the recipient shall provide notice, in writing, to the Grants Officer and AGO within two business days. A vacant Program Manager position shall be filled promptly. A proposal for a new candidate to assume the Program Manager position must receive approval prior to the candidate being offered the position.

   b. PTAC Staff

      The recipient shall employ personnel consisting of individuals who are qualified to counsel and advise business firms/clients on how to seek, obtain and perform on Federal, State and local government prime contracts and subcontracts. These employees must remain current in their knowledge of Federal, State and local government contracting laws, regulations, policies and procedures. Appropriate professional development and training programs must be in place to address this requirement. Any vacant positions included in the budget shall be filled promptly.

      Qualification standards for all positions (filled and vacant) must be on file at the PTAC and available for review upon request. With the exception of clerical personnel, resumes shall be on file at the PTAC for all personnel that are charged to the program, including subrecipient personnel.

      The PTAC must require its personnel to adhere to a code of generally accepted standards of professional conduct established by the recipient or its host organization. This includes subrecipients and consultants. Personnel are expected to be committed to conducting their professional activities in accordance with the highest standards of ethics and integrity and to avoid any real or perceived conflicts of interest. Board Members of the

recipient's organization, employees, subrecipients' employees and consultants, shall not use their PTAC positions for personal gain.

Subsequent to award and as detailed in Section VII, the addition of certain personnel positions not included in the budget at the time of award requires prior approval.

c. Limitation on Consultant Services

Recipients may supplement their personnel with Consultant Services (as defined in Section II), however, the cost of such consultant services is limited to 10% of Total Program Cost. At the time of application and budget submission, consultant services shall not exceed 10% of the total budget.

2. Funds

All funds provided under a resultant cooperative agreement are to be used for the sole purpose of providing procurement technical assistance to business entities. The recipient is required to expend funds in accordance with the budget approved at the time of award, subject to adjustments allowed by Section VII. PTACs that are part of an organization that receives other Federal or State assistance outside this cooperative agreement must maintain separate accounting/financial records to ensure a clear audit trail for the funds provided and expended under this agreement.

Funds used to satisfy cost sharing requirements may not be included as contributions for any other federally-assisted project or program and may not be paid by the Federal Government under another award, except where authorized by Federal statute to be used for cost sharing or matching. Any contributions used to satisfy cost sharing requirements, including the expenditure of cash and the receipt of third party in-kind contributions must be verifiable from the recipient's records.

The recipient must be able to document that all expenditures under the program are reasonable and necessary. The applicable cost principles apply to all program costs, whether DoD's share, the recipient's share, or costs financed by program income. For the purposes of determining allowability, allocability, and reasonableness, no distinction will be made between:

a. Those costs paid for, or to be paid for, by the Federal Government;
b. Those items included in the recipient's share of cost, whether they are items of direct cost, indirect cost, or are in-kind contributions; or
c. Costs financed by program income, except in the limited circumstances provided by Section IV for food and beverage expenses.

3. In-kind Contributions

The same determinations required concerning allowability, allocability, and reasonableness apply to in-kind contributions that apply to items included in the budget or incurred as direct costs.

a. In-kind contributions may be used to satisfy cost sharing requirements when such contributions meet all of the following criteria:

1) They are necessary and reasonable for proper and efficient accomplishment of program objectives.
2) They are allowable under the applicable cost principles, i.e., if the party receiving the contributions were to pay for them, the payments would be allowable costs.
3) They are not included as contributions for any other federally-assisted project or program.
4) They are not paid by the Federal Government under another award, except where authorized by Federal statute to be used for cost sharing or matching.
5) They are specifically included in the approved budget.
6) They verifiable from the recipient's records.
7) They conform to any other applicable DoDGARs provision including the rules that specify how in-kind contributions are to be valued.

In the performance of an award, contributions shall be counted as part of the recipient's cost share only after they have been received and used by the PTAC. Items that were made available for the recipient's use, but not actually used, do not count.

b. In-kind contributions from the recipient and any subrecipient(s) or subgrantee(s).

Values for in-kind contributions from the recipient and any subrecipient(s) or subgrantee(s) shall be established in accordance with the applicable cost principles. The amounts that may be credited as part of the recipient's cost share are determined on the basis of allowable costs incurred.

c. Third party in-kind contributions.

Third party in-kind contributions must be valued in accordance with 32 C.F.R. §32.23, §33.24, or §34.13, as applicable. The applicability of a particular part, i.e., part 32, 33, or 34, depends on the type of organization receiving the contribution.

Third party in-kind contributions are acceptable only where they are items that would have otherwise been necessary to include in the budget as direct costs had they not been donated. Acceptable in-kind contributions from third parties are performed by the third party for the direct benefit of the PTAC. The activities of third parties which they normally perform in their ordinary course of business, in pursuit of their own organization's mission, are not acceptable as in-kind contributions even if at the same time they support the PTAC. For example, when an economic development organization such as a Small Business Development Center (SBDC) or a Chamber of Commerce provides assistance to a small business, this is not acceptable as in-kind to the PTAC, even if the assistance provided is related to Federal, State and/or local government procurement and the business assisted is also client of the PTAC. In addition, anything that would normally be available free of charge to the PTAC or any business that may be a PTAC client is not acceptable as a third party in-kind contribution. "Discounts" are never acceptable in-kind contributions.

d. Limitation on third party in-kind contributions.

Third party in-kind contributions are limited to 25% of the total program cost. For the purposes of this requirement, third party in-kind contributions include in-kind contributions from any party other than the recipient of the DoD award.

4. Facilities

All recipients and subrecipients shall have a facility(s) for providing counseling sessions for clients that is readily identifiable by signage and easily accessible to the public. At a minimum, the PTAC shall be open to the public during the normal business hours of the host organization. Hours of operation shall be described in the application. Applicants are cautioned that extravagant or excessive facilities or facility costs that are beyond the type recognized as necessary for the operation a PTAC will be regarded unfavorably in the evaluation of the application.

5. Website & Email

a. All recipients shall maintain a website that provides, at minimum:
   1) A description of the services offered by the PTAC;
   2) Point of contact for potential PTAC clients; and
   3) The PTAC's service area (e.g., list of counties serviced).

   The website may be a standalone website, or may consist of a dedicated, PTAC-specific web page that is separate and distinct, but accessible via a link from the host organization's website.

b. In addition to person specific email addresses, all recipients must establish an email address for the PTAC that is not tied to a specific person. For example, PTAP@dla.mil.

6. Disclaimer and use of Logos

The PTAC is not required to explain its association with DoD and DLA or the sources of its funding.

If/when the PTAC chooses to explain its association with DoD and DLA and the sources of its funding, only the following statement shall be used verbatim on PTAC materials or publications including websites, conference or training materials, promotional materials, etc.:

"(Name of PTAC), which serves as a Procurement Technical Assistance Center (PTAC), is funded in part through a cooperative agreement from the Department of Defense (DoD) through a program that is administered by the Defense Logistics Agency (DLA). The content of any written materials or verbal communications of the PTAC does not necessarily reflect the official views of or imply endorsement by DoD or DLA."

PTACs are not authorized to use the DoD or DLA logo.

B. SERVICE AREA

1. The PTAC's service area –

   Applicants must propose to service, at a minimum, an entire county or equivalent. In addition, if an applicant proposes to service any portion of a county or equivalent, the applicant must service the entire county or equivalent. In the case of a PTAC that provides assistance to reservations, the service area must include, at a minimum, at least one entire reservation.

   Applicants are expected to perform an analysis of the area they intend to service to include: (1) the category of business firms (i.e., those categories delineated on the DLA form 1806); (2) the types of business firms (e.g., machine shops, construction companies, accounting firms, etc.); (3) total estimated number of clients the recipient plans to service during the performance period, broken down by the business categories delineated on the DLA form 1806; (4) the total number of projected active clients; and (5) any special efforts the PTAC will expend in generating employment within the service area.

2. Limitations on the service area –

   The PTAC's service area shall usually be limited to the county(ies) or equivalent specified in the cooperative agreement. Subject to the limitations below, recipients may service clients outside their service area provided they coordinate this service with the PTAC, if any, that is responsible for that client's area.

   a. PTACs receiving a DoD cost share of greater than 50% for services in distressed areas –

      PTAC's funded to provide services in an area(s) designated as distressed shall not charge costs incurred in servicing other, non-distressed areas to a distressed-area budget.

   b. Service to reservations –

      The PTACs described in Section I, paragraphs E.3. and E.4., are established by Indian-owned Economic Enterprises and Tribal Organizations (refer to 10 U.S.C. §2411(1)(D)) to provide procurement technical assistance to reservations, which are designated as distressed areas.

      These PTACs shall provide assistance solely to reservations, as defined in 10 U.S.C. §2411(2)(B).

C. METHODS AND PROCEDURES

Methods and Procedures shall be in place to address the following:

1. Outreach Effort. Have an ongoing outreach procedure in place which will include:
   a. How the business community will be made aware of the PTA Program;
   b. The types of assistance to be offered to clients;
   c. What is required of a business firm to become the PTAC's client;

d. Procurement outreach conferences the recipient plans to sponsor; and
e. Procurement outreach conferences the recipient plans to participate in other than as a sponsor.

The applicable cost principles, which are identified in Section I, address allowable and unallowable advertising and public relations costs.

2. Counseling Services. PTACs shall provide clients with counseling and information regarding marketing their products and services to DoD, other Federal agencies, and State and local governments. Recipients must assist, as appropriate, their clients with understanding Federal, State and local government requirements applicable to contracting for services, manufacturing, construction or other markets. The recipient's services will include, but are not limited to:
   a. Identifying marketing opportunities for clients consistent with the client's products and services.
   b. Advising and assisting clients in the preparation and proper submission of applications, certifications, registrations, etc. to prepare them for doing business with Federal, State and local government entities.
   c. Advising and assisting clients with the preparation and submission of bids and proposals.
   d. Advising and assisting clients concerning post award functions. As a minimum, the assistance should include:
      1) Production
      2) Quality Systems
      3) Accounting system requirements, and contract payments
      4) Transportation
      5) Packaging
      6) Subcontracting
      7) Property
      8) Wide area workflow
   e. Educating clients in the following areas:
      1) Federal, State and local government contracting laws, policies and procedures. Emphasis should be placed on requirements and procedures used by DoD and other Federal agencies in the acquisition of commercial products and services.
      2) DoD Pilot Mentor-Protege Program and similar Government programs.
      3) Electronic Business (eBusiness). Recipients must provide clients with information and assistance pertaining to the application of eBusiness tools and technologies as they relate to conducting business with the Federal Government. This includes the routine exchange of procurement information (e.g. solicitations, offers, contracts, purchase orders, invoices, payments, and other contractual documents) exchanged via information and computer technologies between the private sector and the Federal Government.
   f. Advising and assisting clients in pursuing and securing subcontracting opportunities from Federal, State and local government prime contractors including those that have subcontracting plan obligations pursuant to FAR clause 52.219-9 or similar clauses.
   g. Providing any other procurement technical assistance related training that may directly assist clients in obtaining or performing on Federal, State and local government contracts and subcontracts.

3. Maintain regulations and publications, either printed or on electronic media, (or identify sources for obtaining) that govern Federal, State and local government procurement, as applicable. Assist clients in understanding and using these regulations and publications.

4. Purpose –

   The purpose of the program is to provide specialized and professional technical assistance to individuals and businesses that are seeking to pursue and successfully perform under contracting and subcontracting opportunities with DoD, other Federal agencies, and/or State and local governments as described in the paragraph above titled *Counseling Services*. The purpose of the program does not include –
   - General business training or small business development counseling. For example, the PTAC shall not offer clients training on topics such as access to loans, ISO 9000, Lean, Six Sigma, or manufacturing, except where the manufacturing assistance specifically relates to compliance with Federal, State and/or local government-specific requirements.
   - Assistance to individuals interested in starting a new business.
   - Marketing on behalf of clients. That is, the PTAC may not sell to Federal, State and/or local governments or to other entities on behalf of their clients and may not represent clients to Federal, State and/or local governments or to other entities. However, PTACs may make introductions to facilitate information exchanges.
   - Employee development related training (e.g., vocational type training, basic writing skills) for client personnel.

   The PTAC should consult the Grants Officer if there is any question regarding the acceptability of any service or training offered to clients under this program.

D. FINANCIAL REPORTING

The SF 425 "Federal Financial Report", which is a Government-wide requirement, is due on a quarterly basis to the cognizant administration agency identified in Section VII. The administration agency will provide instructions regarding how to submit the report. In addition, a copy of the report shall be provided via email to PTAP@dla.mil. The following reporting period end dates shall be used for interim reports: March 31, June 30, September 30, and December 31. For the final report, the reporting period end date is the end date of the award's period of performance. Quarterly interim reports shall be submitted no later than 30 days after the end of each reporting period. Final reports shall be submitted no later than 90 days after the performance period end date. When the due date falls on a Saturday, Sunday, or legal holiday when Government offices are closed, the due date is extended until the following business day. Within the SF 425, recipients shall complete all lines including lines 10a through 10o and 11a through 11g.

E. PERFORMANCE REPORTING AND RECORD KEEPING

1. Performance reporting –

   Performance reports are due quarterly. The recipient is required to collect and maintain current, complete and accurate information in order to complete and submit the quarterly report, which is described below.

a. Due dates –

With regard to performance reports, quarters coincide with the period of performance specified in the award. For example, if the performance period begins on February 1st, the first quarter ends on April 30th. It should be noted that although both are submitted quarterly, the dues dates for the performance report and SF 425 may not be the same.

The first, second, and third quarter reports shall be submitted no later than 30 calendar days after the end date of each quarter. The fourth quarter report, which shall also be considered to be a consolidated final report, must be submitted no later than 90 calendar days after the end date of the period of performance specified in the award. When the due date falls on a Saturday, Sunday, or legal holiday when Government offices are closed, the due date is extended until the following business day.

b. Report content –

The quarterly performance report involves a 2-part submission including 1) the DLA Form 1806 "PTAC Cooperative Agreement Performance Report" and 2) a written report.

1) The DLA Form 1806 (OMB Approval Number 0704-0320) –
The DLA Form 1806 is an electronic report to be submitted via https://www2.dla.mil/scaa2/login.asp. Refer to Appendix B for a copy of the form and instructions for completing it.

2) The written report –

The written report is to be submitted via email with a copy to the AGO, the Grants Officer and to PTAP@dla.mil. The written report shall be numbered 1 through 8 and address each of the following. If there is nothing to report for a particular item, that should be so stated.

1. Progress made towards the achievement of quarterly and annual performance goals. If the PTAC fails to accomplish at least 80% of any quarterly performance goal, an explanation as to the reason for the shortcoming shall be provided as well as the efforts planned to rectify the condition during subsequent quarters. Consistent failure to achieve at least 80% of any performance goal will be considered failure to comply with the program requirements and will result in the PTAC being placed in a probationary status.
2. Any difficulties they may be experiencing in achieving any of their program objectives and actions taken to overcome such problems. New programs must address the progress made towards achieving the implementation milestones identified in their Program Implementation Plan.
3. Training completed, planned or ongoing in order to help PTAC personnel stay current in their areas of expertise.
4. Any noteworthy client success stories facilitated by the PTAC's assistance or other significant programmatic accomplishments. Client satisfaction feedback may also be addressed.

5. Identify any personnel positions included in the program budget that are currently vacant. Indicate the date the position was last occupied, the actions being taken to fill the position, and the anticipated fill date.
6. Identify any significant changes to the budget that was approved at the time of award, such as the addition of a staff, changes in major contractual obligations such as facility rental, or any other significant changes whether or not prior approval of those changes was required by SCAA Section VII.
7. Address any issues regarding the availability of previously committed cost matching funds.
8. Address any adjustments to the data reported in the DLA Form 1806 made to compensate for previous report omissions or mistakes.

2. Success stories –

The PTAC shall maintain on file success stories attesting to the assistance provided to their clients during the base and each option year of the award. The PTAC shall make copies of success stories available to the Grants Officer, AGO and/or designated representative upon request. A success story is one that demonstrates a direct effort of the PTAC that generated employment and/or helped to improve the economy of a locality by assisting a client(s) in obtaining or performing under a Federal, State, or local government contract(s). Each success story must have a clear means to verify (such as a letter or email message from the recipient's client stating that the story is true) that the success resulted from substantial effort on behalf of the client by the PTAC.

Each success story should include the following, as applicable:

a. Client name;
b. Client address;
c. Client point of contact;
d. Contracting agency point of contact, telephone and facsimile number, contract number and dollar value of award;
e. Narrative description of the issue(s); and
f. Narrative describing the PTAC's contribution to the success story and the tangible results to include jobs generated and/or retained.

3. Client survey –

Active clients serviced by the PTAC shall be surveyed annually, at a minimum, to document satisfaction with the assistance provided. The client shall be requested to assess the performance of the PTAC and its personnel in terms of:

a. Timeliness and responsiveness to general and specific client needs;
b. Training offered and received, as appropriate; and
c. Relevant advice and assistance to the client.

Active clients surveyed shall be instructed to rate the PTAC as satisfactory or unsatisfactory. The PTAC's files will reflect, in detail, the PTAC's efforts to overcome areas of client dissatisfaction.

Section IV - SUBMISSION OF APPLICATIONS

This section describes applications and how they are submitted. A submission of an application does not commit the Government to make an award under this program. The Government shall not be responsible for any monies expended or expenses incurred by an applicant prior to award.

A. APPLICATION AND SUBMISSION INFORMATION

1. New Programs –

   The following is applicable when submitting an application to establish a new program**,** i.e. a program that is not an "existing program" as defined in Section II.

   For new programs, the closing date and time for receipt of the complete application, including all *Documents to be Submitted* described below, is **Wednesday, July 17, 2013 at 5:00 p.m. Eastern Time.** The 2-step process described in paragraph 2. below for existing programs does not apply to new programs. For new programs, the entire application is due before **5:00 p.m. Eastern Time on Wednesday, July 17, 2013.**

   Applicants must submit the application through www.grants.gov. The www.grants.gov Funding Opportunity Number is: **DLA-20130412A**. In addition, supplemental information necessary to complete the application must be submitted through the DLA website at https://www2.dla.mil/scaa2/login.asp.

   A login and password is necessary to access the DLA website, which must be obtained to facilitate the application. An entity contemplating submitting an application must submit an inquiry to PTAP@dla.mil requesting a login and password. The inquiry must include documentation to allow DLA to make a preliminary determination regarding the organization's status as an "eligible entity" (refer to SCAA Section II) and include the applicant's CAGE Code.

2. Existing Programs –

   For existing programs, the application includes a 2-step process that includes (1) Preapplication and (2) Full Application. For the application to be timely, both steps must be completed timely.

   a. Step (1) – Preapplication

      For all existing programs, the closing date and time for Step (1) "Preapplication" is **Wednesday, July 17, 2013 at 5:00 p.m. Eastern Time.**

      Step (1) establishes the applicant's intent to submit the full application described as Step (2) below. Step (1) also allows DLA to assess program-wide funding requirements and to evaluate situations involving duplicate coverage. This 2-step process facilitates competition for an award under this SCAA among all eligible program participants, including both new and existing programs.

For all existing programs, Step (1) is due before **5:00 p.m. Eastern Time on Wednesday, July 17, 2013**.

For Step (1) the www.grants.gov Funding Opportunity Number is: **DLA-20130412A**

Step (1) "Preapplication" includes the following two items submitted at www.grants.gov –

1) The SF 424 "Application for Federal Assistance"

   In completing the SF 424, the applicant must provide an estimate in block 18.a. (Federal) of the amount of DoD funding that will be requested. As funding requests have program-wide ramifications, care should be taken to provide an accurate estimate. By signing and submitting the SF 424, the applicant certifies to the statements contained in the list of certifications provided later in this section.

2) The Proposed Service Area Listing, which is to be included as an attachment in block 14 of the SF 424 and included with the www.grants.gov submission.

   Use the template for the "Proposed Service Area Listing" available at http://www.dla.mil/smallbusiness/pages/scaa.aspx.
   Distressed and non-distressed areas do not need to be identified with Step (1).

   PTACs providing procurement technical assistance to reservations and serving less than an entire BIA region(s) should specify the region(s) that they will serve and identify the specific tribe(s) included in the proposed service area. DLA will use the information available at http://www.bia.gov/WhoWeAre/RegionalOffices/index.htm to determine the portion of the BIA region included in the service area and the associated funding limitations.

b. Step (2) – Full Application

For existing programs, Step (2) "Full Application" is due not later than **5:00 p.m. Eastern Time 120 days prior to the date that the current cooperative agreement will expire**. When the due date falls on a Saturday, Sunday, or legal holiday when Government offices are closed, the due date is extended until the following business day. Existing programs should contact the Grants Officer if there is any question as to when Step (2) is due.

For Step (2) the www.grants.gov Funding Opportunity Number is: **DLA-20130412B**

The application for Step (2) includes all *Documents to be Submitted* described below, which will include update and resubmission of those documents submitted in Step (1). As necessary, provide updated information in the SF 424. The Proposed Service Area Listing should only be revised to identify distressed and non-distressed areas, if applicable. Do not make changes to the service area proposed.

3. Timely Application –

The application described in detail below consists of:

a. Electronic documents submitted at www.grants.gov; and
b. Electronic documents submitted online at DLA's website.

To be considered timely: (1) the www.grants.gov submission must be transmitted and time-stamped at www.grants.gov prior to the due date and time and (2) electronic documents submitted at DLA's website must be submitted prior to the due date and time. The documents at the DLA website are submitted when application is complete and the "submit" button has been selected.

Any application that is received after the exact time specified is late and will not be considered. Substantially incomplete applications will not be reviewed and will receive no further consideration.

DLA strongly recommends that you do not wait until the application due date to begin the application process through www.grants.gov or the DLA website because of the time involved to complete the process. You are encouraged to submit your application a minimum of 15 days prior to the due date. DLA may grant special permission for an alternate means of application submission in the event of technical problems beyond the applicant's control.

B. DOCUMENTS TO BE SUBMITTED

The application consists of electronic submissions at 1. the DLA website at https://www2.dla.mil/scaa2/login.asp and 2. at www.grants.gov. Each component is described below.

1. Electronic documents submitted online at DLA's website -

The below items (a-g) are each part of the application package available and required to be submitted at the DLA website https://www2.dla.mil/scaa2/login.asp. At the DLA website, the package should be submitted for **Application Year 2014**.

a. Online Document #1 – Account edit document. This document includes the Applicant's name, address, and other identifying information.

b. Online Document #2 – A contingent fee representation and a certification of non-delinquency for Federal assistance. These shall be considered material representations of fact upon which reliance shall be placed in evaluating the application and making award.

c. Online Document #3 – Sources of Program Funding. This document must clearly identify all sources of funding and specify whether this funding is "cash" or "in-kind". The applicant must propose a budget that is within the DoD cost sharing limits set forth in Section I. The budget submission cannot anticipate program income as a source of program funding.

d. Online Document #4 – PTA Center Personnel List. List all personnel positions included in the budget. Include personnel working directly for the PTAC at main or satellite offices and the personnel positions of any subrecipients, third party contributors, or consultants. The personnel should be listed and grouped by their principal duty station. While all personnel must be listed in this document, only include salary and fringe amounts for personnel employed directly by the PTAC. Any costs associated with personnel employed by third party organizations such as subrecipients, consultants, or contractors should be included elsewhere in Online Document #5 (see the discussion regarding program budget below).

   When completing this form, show "% of Time Working on Program" in terms of the staff member's time employed by recipient, subrecipient, etc. For example, show a staff member who dedicates all of his or her time to the PTAC while employed by the recipient organization as a 100% contributor, whether that person is a full or part-time employee. Less than 100% contributors are those personnel that share time between the PTAC and other programs in the course of their employment with the recipient, subrecipient, etc. Describe the position, not the individual occupying the position. Do not include personal information such as employee's names.

e. Online Document #5 – Budget Information. The budget submitted should support the PTA program proposed. This document must specifically identify all of the estimated costs associated with the program. Total costs in this document must equal total funding in Online Document #3. Any in-kind contributions listed in Online Document #3 should be listed as costs in Online Document #5 and be clearly identified with the words "IN-KIND" in the description. Refer to information later in this section for guidance on how individual items of cost must be listed and described.

   Refer to the paragraph titled *Budget Development* later in this section for additional information.

f. Online Document #6 – Budget Information Summary. This document must identify the federal and non-federal amounts of the non-distressed and distressed budgets, as applicable. Totals must be consistent with other budget documents.

g. Online Document #7 – The "Proposed Performance Goals Submission" worksheet. This document includes proposed quarterly performance goals. These goals will subsequently be incorporated into the DLA Form 1806 "Procurement Technical Assistance Center Cooperative Agreement Performance Report" that will be submitted online on a quarterly basis. See http://www.dla.mil/SmallBusiness/Pages/SCAA.aspx for an illustration of the "Proposed Performance Goals Submission" worksheet.

2. Electronic documents submitted online at www.grants.gov -

The below items (a-d) are each part of the application package required to be submitted at www.grants.gov.

a. The SF 424 "Application for Federal Assistance" –

The www.grants.gov application package includes the SF 424. Submission of the SF 424 must include the following two items –

1) The SF 424 itself.

By signing and submitting the SF 424, the applicant certifies to the statements contained in the list of certifications provided later in this section.

2) The Proposed Service Area Listing, which is to be included as an attachment in block 14 of the SF 424 and included with the www.grants.gov submission.

Use the template for the "Proposed Service Area Listing" available at http://www.dla.mil/smallbusiness/pages/scaa.aspx.

PTACs providing procurement technical assistance to reservations and serving less than an entire BIA region(s) should specify the region(s) that they will serve and identify the specific tribe(s) included in the proposed service area. DLA will use the information available at http://www.bia.gov/WhoWeAre/RegionalOffices/index.htm to determine the portion of the BIA region included in the service area and the associated funding limitations.

b. Mandatory Attachments –

The www.grants.gov application includes an "Attachments" document. Use that document to attach each of the following. Within the "Attachments" document, attach the files in the sequence below. If a particular attachment is not applicable, include an attachment with an affirmative statement that the attachment is not applicable and why. This means that all of the 15 available slots within the "Attachments" document will be occupied. This is important for the proper processing of the application.

Ensure that www.grants.gov rules are followed in naming and attaching files because attachments that do not follow the rules may cause the entire application to be rejected or cause issues during processing. The www.grants.gov "Applicant User Guide" dated March 5, 2013 says that the file name must be limited to 50 or fewer characters and only the following characters are allowed when naming attachments: A-Z, a-z, 0-9, underscore (_), hyphen (-), space and period. User guides and support contact information for assistance using www.grants.gov is provided on the website.

1) Attachment 1 –

   Certification of Cost Matching Funds Letter and Third Party Letter(s) of Commitment.

   A Certification of Cost Matching Funds Letter from the Applicant and Letter(s) of Commitment from any third party contributors shall be provided following the format and containing all the information included in the templates provided at http://www.dla.mil/smallbusiness/pages/scaa.aspx.

   If a State is providing part of the matching funds and State appropriation cycles prohibit total compliance with submission requirements for a Third Party Letter of Commitment, submit documentation from the State to substantiate its intention to commit funds to the program.

   If there is any change to the State's commitment the applicant shall notify the Grants Officer of the change within 2 business days. In any event, the Recipient shall verify that the required matching funds are available from the State or other sources prior to submitting a request for reimbursement under an award.

2) Attachment 2 –

   Supporting documentation for in-kind contributions.

   Submit the information required by the paragraph provided later in this section titled *Supporting Documentation for In-kind Contributions*.

3) Attachment 3 –

   Provide information to describe and provide a basis for Fringe Benefit amounts included in Online Document #4 – PTA Center Personnel List. Simply stating what the rate is (for example, 30%) does not adequately fulfill this requirement. Where fringe benefit rates have been approved in conjunction with an indirect cost rate the negotiated rate memorandum must be provided and no further explanation is necessary.

4) Attachment 4 –

   If indirect costs are included in the budget, submit a current copy of a negotiated rate memorandum from the cognizant Federal Agency. A memorandum must be included for each site, including subrecipients and other third party contributors, which utilize an indirect rate. It is the responsibility of the applicant to identify the cognizant Federal Agency and obtain approval of an indirect cost rate.

5) Attachment 5 –

If the proposed DoD cost share exceeds of 50%, submit documentation to support service in distressed areas. Refer to the guidance provided at http://www.dla.mil/SmallBusiness/Pages/SCAA.aspx for assistance in conducting your analysis.

i. Submit an analysis verifying that the proposed service area meets the Section II definition of a "Distressed Area". Submit a copy of all data used in this analysis. This is not applicable to PTACs serving reservations because reservations are automatically considered distressed areas.

(1) Using per capita income –

US Department of Commerce, Bureau of Economic Analysis (BEA) data must be used. In conducting your analysis, compare State and local area "per capita personal income" for the most recent year available; or

(2) Using unemployment rates –

US Department of Labor, Bureau of Labor Statistics (BLS) data must be used. In comparing national and local area unemployment rates, use the average taken over the most recent 24-month period for which both national and local area statistics are available (use "not seasonally adjusted" monthly data). Use the latest final data available, i.e., do not use "preliminary" data published by BLS.

ii. If the applicant has proposed two separate budgets for providing services in both distressed and non-distressed areas, explain and justify the methodology used to separate the distressed and non-distressed portions of the budget. When preparing this information, ensure that your methodology is sufficiently explained so that it is clear that costs have been allocated in proportions that reasonably approximate the costs necessary to service the distressed and non-distressed portions of the service area. Refer to the paragraph titled *Budget Development* later in this section for additional information.

6) Attachment 6 –

If you propose a "statewide" program but will cover less than the entire state, submit documentation to verify the service area meets the Section II definition of "Statewide Coverage". Refer to the guidance provided at http://www.dla.mil/SmallBusiness/Pages/SCAA.aspx for assistance in conducting your analysis. Submit a copy of all data used in this analysis.

i. Submit documentation to verify that the service area includes at least 50 percent of the State's counties or equivalent coverage.

ii. Submit documentation to verify that the service area includes at least 75 percent of the State's labor force. US Department of Labor, Bureau of Labor Statistics (BLS) labor force statistics must be used. Use the most recent, annual labor force statistics available.

7) Attachment 7 –

Program Narrative - A narrative submission setting forth how the applicant intends to comply with the requirements in Section III. This narrative shall also include all data and information necessary for the Government to conduct the evaluation of the application using the evaluation factors as set forth in Section VI.

If the applicant intends to earn program income, e.g., charge clients a fee for any services rendered, the narrative shall include a discussion concerning why it is necessary to charge fees, the fees to be charged including amounts, details as to the basis for determining the fees to be charged, and how this income will be used to further program objectives (see Section VII).

For those programs serving reservations, the narrative must include a detailed discussion concerning how the applicant plans to provide services directly to businesses that are located on reservations.

The narrative submission shall be limited to no more than fifteen (15) pages with a font no smaller than 12 point type size.

8) Attachment 8 –

PTAC's Personnel Detail.

For each of the PTAC's personnel (as listed in online document 4, PTA Center's Personnel Form) provide detailed information following the format provided at http://www.dla.mil/smallbusiness/pages/scaa.aspx. Use the new template, which has been updated from previous versions.
Describe the position, not the individual occupying the position. Do not include personal information such as employee's names.

Submit a separate page for each position that includes all information requested in the template. Ensure consistency (title, location, etc.) with online document 4, PTA Center's Personnel Form.

9) Attachment 9 –

The resume of the proposed Program Manager. The resume should not contain personal information such as the Program Manager's home address, personal telephone number, or ID numbers such as an Employee ID or social security number.

10) Attachment 10 –

Certificate of Eligibility.

Submit the Certificate of Eligibility provided at http://www.dla.mil/smallbusiness/pages/scaa.aspx as well as documentation to verify that the applicant is the type of entity represented in the certification.

This certificate may not be altered in any way.

Applicants certifying that they are an Indian-owned "Economic Enterprise" must provide a copy the Bureau of Indian Affairs cards of all owners/Board of Directors members.

11) Attachment 11 –

The Cost Share Budget Information Worksheet (CSBIW) –

Submit a summary worksheet which captures the proposed total budget for the entire program and the cost share arrangement. Additionally, separate worksheets are required for each site including the main location, satellite offices, and subrecipients. When the main location uses the same indirect rate as satellite office(s) the CSBIWs for those locations may be combined. A CSBIW must also be submitted for any third party contributor when indirect costs are included as part of the budget.

The CSBIW should clearly show the calculation of any indirect costs included in the budget and calculations must be consistent with the negotiated rate memorandum provided. Include in the "Remarks" section of the CSBIW a description concerning specifically how the amount of indirect costs included was calculated.

The CSBIW is available at http://www.dla.mil/smallbusiness/pages/scaa.aspx.

12) Attachment 12 –

A narrative providing the rationale for the quarterly performance goals submitted in the "Proposed Performance Goals Submission" worksheet. Existing programs are expected to address previous year(s) reported goal accomplishments in formulating projected goals and should provide the rationale for any significant changes to goals proposed in the previous year.

13) Attachment 13 –

An organizational chart showing the PTACs placement within the host organization and lines of reporting for the Program Manager to the head of the host organization, including all positions within that line of authority. Identify positions, as opposed to individuals. Do not include personal information such as employee's names.

For those PTACs utilizing subrecipient and/or satellite offices, show the organization placement and relationship of these entities to the PTAC.

14) Attachment 14 –

A copy of the applicant's latest audit conducted in accordance with OMB Circular A-133, if applicable. In the case of an applicant that is a for-profit entity, a copy of the audit conducted pursuant to 32 C.F.R. §34.16 shall be provided, if applicable. If available, the applicant may provide the URL (i.e., web address) of an audit that is available on the internet in lieu of uploading a copy.

15) Attachment 15 –

Applications for new programs must provide a Program Implementation Plan to include targets for significant implementation milestones such as the hiring of key personnel, the execution of subagreements, and the opening of PTAC facilities. Targets for milestones should be identified by the number of calendar days elapsed following the start date of the proposed period of performance. The applicant is encouraged to propose and adhere to the most expeditious implementation plan possible, which may be regarded more favorably in the evaluation of the application.

c. Other Attachments –

Attachments other than those listed above are not required. However, an "Other Attachments Form" is included as part of the www.grants.gov application package for use in the event that the applicant needs to attach other documents to the application.

If the "Other Attachments Form" is used, it will require a "Mandatory Other Attachment". When used, the document attached as the "Mandatory Other Attachment" shall be a table of contents itemizing any other attachments included, specifying the file name for each and the attachment's purpose. In the event that this SCAA is amended, the "Other Attachments Form" may be used to attach a signed copy of the amendment(s).

d. The SF LLL "Disclosure Form to Report Lobbying", if applicable. Refer to the list of certifications provided in this section.

C. OPTION PERIOD APPLICATIONS

With the exception of certain *Mandatory Attachments*, application requirements and *Documents to be Submitted* with an option period application are the same as described above. Also note that only Step (2) of the 2-step process above will apply for an option and that changes to the PTAC's service area may be proposed for an option period. Refer to the table below for required *Mandatory Attachments* and directions for completing the "Attachments" document at www.grants.gov for an option –

	Always Required for an Option	**Only Required if Changed from the Prior Period**	**Never Required for an Option**
Attachment 1	X		
Attachment 2	X		
Attachment 3		X	
Attachment 4		X	
Attachment 5	X		
Attachment 6	X		
Attachment 7		X	
Attachment 8		X	
Attachment 9		X	
Attachment 10		X	
Attachment 11	X		
Attachment 12	X		
Attachment 13		X	
Attachment 14	X		
Attachment 15			X

Follow the attachment sequence provided earlier in this Section when preparing the application for an option period and completing the "Attachments" document at www.grants.gov. For attachments 1 -14, if a particular attachment is not applicable or is not required for the option, include an attachment with an affirmative statement that there are no changes or that the attachment is not applicable and why. This means that 14 of the available 15 slots within the "Attachments" document will be occupied. This is important for the proper processing of the application.

D. PROGRAM BUDGET AND SELECTED ITEMS OF COST

The applicant is required to provide a detailed description of every budgeted cost to enable the reviewer to make a determination concerning allowability, allocability, and reasonableness under the applicable cost principles. No cost should be included in the budget or billed to a resulting cooperative agreement before the applicant has consulted the applicable cost principles to determine its allowability. All budget estimates should be developed with and supported by verifiable backup data.

The electronic documents to be submitted via the DLA website provide expanding data fields with space for the applicant to provide logical and complete descriptions of each item of cost. Within the budget, each item of cost should be separated, itemized, and fully described to show what is being purchased. No miscellaneous or contingency costs may be included. Provide the details necessary to show how all budgeted amounts were arrived at and describe the basis of any estimates. Do not provide a one or two word description and a lump sum cost. Each item of cost should be listed and described so that there is no ambiguity as to its relevance to the PTAC mission and the reasonableness of its cost. Acronyms should be spelled out the first time they are used.

Budget information details submitted with the application must be consistent across all documents whether submitted in hardcopy or electronically. In particular, the budget details entered in Online Document #3 – Sources of Program Funding, Online Document #5 – Budget Information, the Certification of Cost Matching Funds Letter, and the Letters of Commitment must all be consistent. When listing items of cost that have significantly increased or decreased from the previous year, the description should address the increase or decrease and explain the reasons for the change.

Each item of cost should be listed under the appropriate direct cost category within Online Document #5 – Budget Information. Direct cost categories are described below as are selected items of cost. The guidance provided on listing and describing costs applies to all documents where costs are listed in the application including Online Document #3 – Sources of Program Funding, Online Document #5 – Budget Information, and Letters of Commitment.

1. PERSONNEL

   See instructions above regarding submission of Online Document #4 – PTA Center Personnel List.

2. FRINGE BENEFITS

   See instructions above regarding the submission of documentation to support Fringe Benefit amounts included in Online Document #4 – PTA Center Personnel List.

3. TRAVEL

   Separate and describe the purpose of each travel item. Provide an estimate that includes, as applicable, the number of travelers, number of days lodging, airfare, meal allowance, rental car, conference registration fees, mileage and mileage rate, etc. Provide the basis for any estimated amounts.

   a. Local Travel –

      Local Travel is considered travel for 12 hours or less (regardless of distance), unless the recipient organization's written travel policy otherwise defines "Local Travel". However local travel is defined, expenses for per diem, lodging, meals or other subsistence expenses are not allowable for local travel.

Provide the purpose, mileage, and mileage rate for any local travel. A summary entry may be made for recurring routine trips but an overall description should be made that clearly shows why a summary entry is justified. Describe the basis for any estimated amounts such as an estimated number of miles per year.

b. Training –

For training the submission must identify the actual course to include name, source, and duration. All training costs for PTAC personnel must be thoroughly documented and justified. A detailed explanation of the benefits to the program derived from the expenditure must be included. The most cost effective methods of obtaining the needed training must be utilized and this should be addressed in the justification.

When a course is available through the Defense Acquisition University (DAU), DAU should be the primary source of that training. If a course is available through DAU (including on-line through DAU) but the budget includes an equivalent course through a source other than DAU, a cost/benefit analysis is required along with the justification. This requirement does not restrict training to only those courses that are offered by DAU.

c. Conference Registration Fees –

Conference registration fees related to travel should be listed with the related travel expense. The costs of conference fees, to include seminar fees, workshop fees, event fees, etc. must be fully described and justified by showing the benefits to the PTAC. A summary entry may be made for recurring conferences or events but an overall description should be made that clearly shows why a summary entry is justified and provide the detail to show and justify the cost.

d. Food and Beverages –

With the exception of non-local travel for PTAC personnel, any cost related to the providing food and/or beverages for either PTAC personnel or clients is unallowable for either reimbursement by the Government or for credit towards the recipient's cost share. This does not prohibit the charging of reasonable fees to attendees of PTAC events, such as a conference or workshop, to pay for necessary refreshments. These fees constitute program income and must be accounted for as such (refer to Section VII).

4. EQUIPMENT

Include individual articles of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds $5,000. Individual items costing less than $5,000 each are not considered "Equipment" unless the capitalization level established by the recipient for financial statement purposes is lower. If applicable, a copy of this standard should be included with the application.

Describe the purpose of any equipment and the basis for any estimated amounts. Where equipment is being replaced, provide the age of the equipment needing replacement and justify the need for replacement.

Purchasing equipment with the intent of turning over the equipment to the host organization after only one year of use by the PTAC is prohibited. It is expected that resources, such as equipment, will be utilized from year to year to provide the most effective and economical use of funding that it is provided for the accomplishment of the PTAC's mission.

5. SUPPLIES

General office supplies may be summarized on a monthly basis, showing the monthly amount x 12 and the estimated total. Supplies in excess of $1,000 per month or $12,000 per year require a further summarized breakdown by categories of supplies, such as cost of paper per month, computer supplies, etc. The sheer quantity of an item may require a justification. Any individual item of supply in excess of $500 per month should be broken out separately and appropriately described and justified if not obvious.

Individual items such as computers equipment costing less than $5,000 each should normally be shown as "Supplies". When items such as computers are being replaced, provide the age of the items needing replacement and justify the need for replacement.

6. CONTRACTUAL

Consultant and contractor costs should be separated and itemized under "Contractual". Each cost should be listed separately and include a description of the purchase/services to be provided and an explanation as to why it is necessary in terms of the PTAC's mission. An explanation of how the costs were derived should also be provided in the description to include the basis for all estimates such as number of hours and the cost per hour.

If a contractor charges by a flat fee such as $1,000 per event or workshop, the description should show the number of events, the cost per event, and the estimated total, and it should provide detail to justify the cost and the benefit to the PTAC mission.

Subrecipient costs should be shown under "Contractual" and can usually be summarized in a single line item.

7. OTHER

The "Other" direct cost category may include, but is not limited to computer software, copying, postage, printing, publications, subscriptions, telephone, and conference fees that do not coincide with a travel event. Itemize disparate items separately and describe the basis for their cost. A combined total cost for a variety of disparate items is not acceptable, for example, line items such as "event costs", "utilities", or "software" without specifics is not acceptable.

a. Rental Expenses –

Any item of cost for rental of office space, rooms, storage, facility leasing, etc. should show the physical address of the property, the square footage, the cost per square foot, and the total estimated cost. If the space, such as a seminar room or a conference hall, is rented by the day, hour, or event, etc., the cost may described differently, for example, showing number of events, cost per event, and total estimated cost.

The description should explain the need for the space and how it relates to the PTAC mission, e.g. rental of a conference hall for a specified workshop to be conducted by the PTAC. It should give as much detail as needed so that the cost may be determined reasonable and necessary.

b. Facilities and Utilities –

Items of cost related to facilities and utilities should be logically and fully described, differentiating various services such as electrical, telephone, internet access, copying services, equipment maintenance, etc. A combined total cost for a variety of disparate items is not acceptable. For example, equipment maintenance could be either computer equipment or office equipment – the type of equipment needs to be described as the reasonableness of the cost could be severely affected.

c. Publications and Subscriptions –

Costs for each individual publication and subscription, regardless of dollar amount, should be broken out separately with its related cost and appropriate description, which should justify its benefit to the PTAC mission.

d. Memberships –

The cost of all dues and memberships in business, technical, and professional organizations must be described and justified by showing the benefits to the PTAC. Individual memberships are not allowable and all memberships purchased with program funds must be in the name of the recipient (PTAC) and not in the name of an individual. Summary totals for dues and memberships are not acceptable. Regardless of dollar amount, breakout each membership separately with its related cost and appropriate description. The description should specifically state that it is not an individual membership. Any acronyms should be spelled out the first time they are used.

e. DoD Office of Small Business Programs Regional Council meetings –

The Grants Officer must approve a PTAC's participation in DoD Office of Small Business Programs Regional Council meetings. Any costs associated with participating in Council meetings must be clearly identified in the budget and approved by the Grants Officer at the time of award. This restriction does not preclude the PTAC from participating in or co-

sponsoring PTA-related events in cooperation with the DoD Office of Small Business Programs Regional Council.

The extent of the PTAC's participation in these meetings should be limited as to not take time away from the PTAC's primary mission. PTACs may participate as non-voting members to broaden their knowledge of the National Small Business Programs of the US and to network with small business advocates from DoD and civilian agencies. Participation in the Council meetings also serves as training in that it allows PTACs to stay current with regard to statutes, policies, regulations, directives, and trends and technology affecting the small business.

PTACs may not provide coordination/planning, administrative assistance, or host or organize Council meetings that are not attended by PTAC clients. Any costs associated with holding office (e.g., additional travel, meetings) are not allowable. The Grants Officer will make the final determination as to whether the cost of a PTAC's participation is allowable.

8. INDIRECT COSTS

Within Online Document #5 – Budget Information, show the indirect cost base and rate. Include Subrecipient or Subcontractor indirect costs with the corresponding line item under "Contractual".

E. SUPPORTING DOCUMENTATION FOR IN-KIND CONTRIBUTIONS

Submit the information detailed below to support any proposed in-kind contributions.

1. Third party in-kind –

Third party in-kind contributions must be valued in accordance with 32 C.F.R. §32.23, §33.24, or §34.13, as applicable. The applicability of a particular part, i.e., part 32, 33, or 34, depends on the type of organization receiving the contribution. See Section III for additional guidance concerning the acceptability of third party in-kind contributions. Supporting information must be submitted for each third party in-kind contribution included in the budget on an individual basis. When a third party has contributed more than one item, supporting information must be provided for each contribution. For each third party in-kind contribution proposed, submit documentation that includes:

a. Submit a Letter of Commitment from the third party contributor.
b. Provide information to describe the need for the specific contribution in terms of the PTAC's mission.
c. Identify the value assigned to the contribution for cost sharing purposes.

The value assigned to a contribution by the recipient for cost sharing purposes is not necessarily the same value assessed by the third party contributor.

The value assigned for cost sharing must be derived in compliance with the DoDGARs, it must be allowable in accordance with the applicable cost principles, and it must be fair and

reasonable. The value assigned to a contribution by a third party contributor should not be assumed to be a value assigned in accordance with the DoDGARs for cost sharing purposes.

d. Provide information to show how the value in (c) above was derived and the value to be in compliance with the applicable DoDGARs section. It should be clear through this submission that the applicant understands and intends to comply with DoDGARs' requirements for valuing third party in-kind contributions. The documentation submitted must reference the applicable DoDGARs section and the paragraph that discusses how the particular type of contribution is to be valued. For example, include language such as:

> "The services furnished by the third party contributor's employee are in the employee's normal line of work. In accordance with 32 C.F.R. §32.23(e), the hourly rate included is the employee's regular rate of pay."; or
>
> "In accordance with 32 C.F.R. §33.24(d)(2) and §33.24(g), the value assigned to this contribution of office space is the fair rental rate of the space as established by an independent appraisal."

If a third party in-kind contribution is a type not specifically addressed in the applicable DoDGARs section, that should be acknowledged with this submission and the value assigned shall be fair and reasonable.

e. A price analysis must be performed in connection with each third party in-kind contribution proposed to ensure the value assigned is fair and reasonable. The value assigned to a contribution by a third party contributor may not be assumed to be fair and reasonable. Submit documentation to describe the basis used to determine that the value assigned is fair and reasonable. Examples of price analysis techniques include, but are not limited to the following:
   1) Comparison of the in-kind value with proposed prices received in response to a solicitation for the purchase of the same or similar items;
   2) Comparison with previous contract prices for the same or similar items, if both the validity of the comparison and the reasonableness of the previous price(s) can be established;
   3) Comparison with published price lists or published market prices;
   4) Comparison with rates paid for similar work within the host organization; and
   5) Comparison to an independent appraisal or estimate (see the specific requirement below for donated space).

f. For space donated that is normally priced on an annual basis, (for example, office space), the value assigned shall not exceed the fair rental value as established by an independent appraiser (e.g., a certified real property appraiser). An independent appraisal must be obtained and a copy must be submitted with the application. For space that is normally priced on an hourly or daily basis, such as conference facilities, the value assigned may be determined fair and reasonable on another basis as described in (e) above.

NOTE: After review of contributions proposed with an application, the Grants Officer may, on a case by case basis, require that an independent appraisal is obtained and submitted to support the value assigned to any in-kind contribution. Except as provided in Section VII, any in-kind

contributions used to satisfy an agreement's cost share requirements must be specifically included in the budget approved at the time of award.

2. In-kind from the recipient and any subrecipient(s) or subgrantee(s) –

   Values for in-kind contributions from the recipient and any subrecipient(s) or subgrantee(s) shall be established in accordance with the applicable cost principles. The amounts that may be credited as part of the recipient's cost share are determined on the basis of allowable costs incurred. No information beyond what is required above for all budgeted costs is necessary to support these contributions.

F. BUDGET DEVELOPMENT

The DLA website at https://www2.dla.mil/scaa2/login.asp allows for the development and proposal of a budget for service to distressed and/or non-distressed areas.

1. A non-distressed area budget –

   If the applicant has not requested special funding to serve distressed areas (i.e., the proposed DoD cost share does not exceed 50%), the applicant should develop a non-distressed area budget.

2. A distressed area budget –

   When the entire service area meets the definition in Section II of a "distressed area" and the applicant proposes a DoD cost share greater than 50%, the applicant should develop a distressed area budget.

3. Separate budgets for services in distressed and non-distressed areas –

   When part, but not all, of the service area meets the definition of a "distressed area" and the applicant proposes to separate the distressed portion and request special funding to provide services there (i.e., the proposed DoD cost share exceeds 50%), the applicant should develop both a distressed area budget and a non-distressed area budget.

   In this case, the applicant must be willing and able to accept the increased level of administration and accountability that comes along with structuring the PTAC in this manner. This is only appropriate for an applicant that has an accounting system and controls in place that enables costs incurred in servicing the distressed and non-distressed portions of the service area to be segregated and accounted for separately. In preparing and submitting an application, the applicant is expected to have conducted the analysis necessary in order to reasonably estimate the cost of servicing the distressed and non-distressed portions of the service area.

   Refer to the paragraph titled *Distressed and Non-Distressed Area Budgets* in Section VII for a discussion of post award requirements applicable to an award based on a proposed distressed and non-distressed area budget.

G. CERTIFICATIONS

By signing and submitting the SF 424, the applicant is providing the certification regarding lobbying at Appendix A to 32 C.F.R. Part 28 and each of the certifications listed below, which are required by Appendix B to 32 C.F.R. Part 22. If an award is made as a result of the application, the applicant agrees that it will flow down these requirements to subrecipients.

1. Debarment and Suspension –
   a. The applicant certifies to the best of its knowledge and belief, that it and its principals:
      1) Are not presently excluded or disqualified from participating in Federal procurement or nonprocurement transactions. The terms "excluded" and "disqualified" are defined in 2 CFR Part 180;
      2) Have not been convicted within the preceding three years of any of the offenses listed in 2 CFR §180.800(a) or had a civil judgment rendered against you for one of those offenses within that time period;
      3) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses listed in 2 CFR §180.800(a); or
      4) Have not had one or more public transactions (Federal, State, or local) terminated within the preceding three years for cause or default.

      An explanation shall be attached in block 15 of the SF 424 if the applicant is unable to certify to any of the statements in 1) – 4) above.

   b. The applicant certifies that it will comply with the requirements regarding debarment and suspension in Subpart C of the OMB guidance in 2 CFR part 180, as implemented by DoD in 2 CFR part 1125. The recipient also agrees to communicate the requirement to comply with Subpart C to persons at the next lower tier with whom the recipient enters into transactions that are "covered transactions" under Subpart B of 2 CFR part 180 and the DoD implementation in 2 CFR part 1125.

2. National Policies Prohibiting Discrimination –
   The applicant certifies that it will comply with applicable provisions of the following, national policies prohibiting discrimination:
   a. On the basis of race, color, or national origin, in Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d, et seq.), as implemented by DoD regulations at 32 CFR part 195.
   b. On the basis of sex or blindness, in Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), as implemented by DoD regulations at 32 CFR part 196.
   c. On the basis of age, in the Age Discrimination Act of 1975 (42 U.S.C. 6101, et seq.), as implemented by Department of Health and Human Services regulations at 45 CFR part 90.
   d. On the basis of handicap, in Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), as implemented by Department of Justice regulations at 28 CFR part 41 and DoD regulations at 32 CFR part 56.

3. The Hatch Act –
   If it is a State or local government, the applicant certifies that it will comply with the Hatch Act (5 U.S.C. 1501-1508 and 7324- 7328), as implemented by the Office of Personnel Management at 5 CFR part 151, which limits political activity of employees or officers of State or local governments whose employment is connected to an activity financed in whole or part with Federal funds.

4. Drug-Free Workplace –
   The applicant certifies that it will comply with the requirements regarding drug-free workplace requirements in Subpart B of 32 CFR part 26, which implements sec. 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub.L. 100-690, Title V, Subtitle D; 41 U.S.C. 701, et seq.).

5. Environmental Standards –
   The applicant certifies that it will comply with applicable provisions of the Clean Air Act (42 U.S.C. 7401, et. seq.) and Clean Water Act (33 U.S.C. 1251, et. seq.), as implemented by Executive Order 11738 [3 CFR, 1971-1975 Comp., p. 799] and Environmental Protection Agency (EPA) rules at Subpart J of 40 CFR part 32.

Section V - AWARD PROCEDURES

A. REVIEW OF APPLICATIONS

Applications conforming to this SCAA will be reviewed and processed in accordance with the procedures in this Section. The Government contemplates that multiple awards will be made. However, awards may not be made to all acceptable applicants. Award decisions will optimize the use of program funds while at the same time maximizing the availability of procurement technical assistance. DLA will make funding decisions on an agreement-by-agreement basis and in the best interest of the overall program.

The Grants Officer may provide an applicant the opportunity to cure any deficiency resulting from informality or irregularities contained in the application or waive the deficiency, when it is deemed to be to the advantage of the Government to do so. The Grants Officer reserves the right to request any additional information determined necessary to evaluate the application. Failure to provide the requested information in the time frame requested may result in the application being rejected.

B. DETERMINATION OF APPLICATION ACCEPTABILITY FOR AWARD

Each application shall be evaluated to determine its acceptability for award using the evaluation factors set forth in Section VI. Only those applicants found to be acceptable to provide procurement technical assistance to their proposed service area will be considered for award.

C. DUPLICATE COVERAGE

Duplicate coverage of service areas exists when the proposed service areas of two or more applicants overlap. The Government will make a determination on a case-by-case basis as to the acceptability of duplicate coverage. Multiple awards will not be made when those awards would result in what has been determined to be unacceptable duplicate coverage. In these cases, Government will consider how the selection of a particular application, among those producing the unacceptable duplicate coverage, would affect the greater availability of procurement technical assistance to all potential businesses. Based on this consideration, an application may be removed from further consideration if in the best interest of the overall program. Otherwise, a competition will be held utilizing the evaluation factors in Section VI. Only the applicant determined to be most meritorious among those proposing the unacceptable duplicate coverage will be further considered.

D. PRE-AWARD PROCEDURES

Prior to award and on a case by case basis, the Government may request a pre-award credit report, audit, survey or other review to determine if the applicant meets the standards in 32 C.F.R. §22.415 and in 32 C.F.R. §32.21, §33.20 or §34.11, as applicable. The Government may delay an award until all necessary reviews are complete and will handle any financial management system or other deficiencies identified on a case by case basis.

Section VI - EVALUATION CRITERIA

A. EVALUATION FACTORS

The factors and subfactors below will be used by the Government to evaluate applications. Awards will be made to the applicants whose applications are determined to be the best value, cost and other factors considered. The factors *past performance*, *technical capability* and *management* are of equal importance and each are more important than *cost*. Within *technical capability* and *management*, each subfactor is of equal importance.

1. Past performance.
2. Technical capability.
   a. Personnel.
   b. Facilities.
3. Management
   a. Technical understanding.
   b. Program management.
   c. Matching contributions.
4. Cost.

B. DESCRIPTION OF EVALUATION FACTORS

1. Past performance –

   The applicant's past performance will be evaluated to determine how relevant recent work accomplished by the applicant is to the work required of a recipient under the PTAP and the degree to which the applicant satisfied its previous customers. The applicant is responsible for identifying recent and relevant work accomplished and for providing references so that the Government may obtain information regarding customer satisfaction.

   The Government may consider past performance information obtained from sources other than those identified by the applicant, including Federal, State, and local government agencies, Better Business Bureaus, published media and electronic databases. The lack of recent and relevant past performance information will result in the assignment of a neutral rating (i.e. neither favorable nor unfavorable) for this factor.

   Pursuant to 10 U.S.C. §2413(d), the Government will give significant weight to successful past performance of existing programs, as defined in Section II. Accordingly, the successful past performance of an existing program, shall be considered more meritorious than other comparable past performance.

2. Technical capability –
   a. Personnel – Applications will be evaluated to ascertain the degree to which proposed personnel meet the requirements stated in Section III. The evaluation will consider qualifications, including relevant experience and education, as well as the availability of the proposed personnel.
   b. Facilities – Applications will be evaluated to ascertain the degree to which the proposed facilities meet the requirements stated in Section III. The availability of the facilities will also be considered.

3. Management
   a. Technical understanding – Applications will be evaluated based on the applicant's demonstrated understanding of the technical requirements of the PTAP. A simple statement of understanding or playback of the requirements in the SCAA will not be considered as responsive.
      Applications will be evaluated on the soundness of the approach to implementing a program pursuant to the requirements of this SCAA. In addition, the application must demonstrate credibility, realism, and logic in providing procurement technical assistance to business and the required deliverables to the Government under the cooperative agreement.
   b. Program management – Applications will be evaluated based how the applicant intends to manage and coordinate the effort under the cooperative agreement, including planning, assigning responsibility, controlling personnel, controlling utilization of resources, tracking deliverables, monitoring performance and obtaining feedback from clients. The evaluation will also consider the proposed performance goals, the procedures in place for monitoring and controlling costs; the procedures in place for identifying problems, resolving them and ensuring that they do not reoccur; any proposed subrecipients or subcontractors and the degree to which they will be used; and the Program Implementation Plan, if applicable.
   c. Matching contributions – Applications will be evaluated based the nature and type of commitments proposed to satisfy cooperative agreement cost sharing requirements. Contributions will be evaluated to determine the degree to which the commitments will contribute to the success of the applicant's proposed program and the significance of the commitments that the applicant has made and whether those commitments demonstrate that the applicant has taken a meaningful interest in the success of the proposed program.

4. Cost – The proposed cost to the Government for the base period will be considered in conjunction with the other non-cost factors to determine best value. Applicants are cautioned that to the extent proposed costs appear unrealistic, the Government may infer either a lack of understanding of the requirements, increased risk of performance, or lack of credibility on the part of the applicant.

Section VII – ADMINISTRATIVE REQUIREMENTS

All cooperative agreements resulting from this SCAA are governed by the DoDGARs, which are published in Chapter I, Subchapter C of Title 32, CFR and in Chapter XI of Title 2, CFR.

32 C.F.R. Parts 32, 33 and 34 contain applicable administrative requirements. The applicability of a particular part (i.e., Part 32, 33 or 34) depends on the type of organization receiving the award or subaward. Part 32 pertains to institutions of higher education and other non-profit organizations; Part 33 pertains to State and local governments; Part 34 pertains to for-profit organizations.

The recipient shall comply with all pertinent DoDGARs provisions in the performance of an award and shall ensure that these requirements are made applicable to all subawards or subgrants executed. The recipient shall ensure that every subaward or subgrant includes a provision for compliance.

This section sets forth certain policies and procedures that will be followed in administering awards resulting from this SCAA. It also defines the allowability of certain cost, the procedure for recipients to request payment, requirements of the recipient to keep the Government apprised of its program status and other post award topics.

A. AGO RESPONSIBILITIES/DUTIES

Pursuant to Subpart G of 32 C.F.R. Part 22, the administration of awards shall be assigned to the cognizant DoD grants administration office, which is either the Office of Naval Research (ONR) or the Defense Contract Management Agency (DCMA). In addition to those functions specifically delineated in 32 C.F.R. §22.715, the cognizant administration office shall be responsible for receiving recipients' payment requests and transmitting approved payment authorizations to payment offices. Additional administrative functions may also be delegated by DLA to ONR or DCMA. The cognizant administration office will serve as the recipient's primary point of contact for most administrative matters.

B. GENERAL

1. Standards for Financial Management Systems –
   The recipient is required to have and maintain a financial management system that complies with the standards in 32 C.F.R. §32.21, §33.20 or §34.11, as applicable. The Government may review the adequacy of the financial management system of any applicant as part of a preaward review or at any time subsequent to award.
2. Procurement Standards –
   32 C.F.R. §32.40 through §32.49, §33.36 or §34.30 though §34.31, as applicable, set forth standards for use by recipients in establishing procedures for the procurement of supplies and other expendable property, equipment and other services. These standards shall apply to the recipient's procurements funded in whole or in part with Federal funds or with the recipient's cost share.

3. Property Standards –
   32 C.F.R. §32.30 through §32.37, §33.31 through §33.34 or §34.20 though §34.25, as applicable, set forth standards governing management and disposition of property whose cost was charged to an award. The recipient shall comply with these standards.
4. Costs incurred to assist business firms/clients in pursuing claims or protests against the Government are not allowable.
5. Third party in-kind contributions –
   a. When authorized, third party in-kind contributions towards the recipient's cost share are provided for in the approved budget. Any substitutions or additions require prior approval by the Government. Unapproved third party in-kind contributions are not allowable.
   b. In the performance of an award, contributions shall be counted as part of the recipient's cost share only after they have been received and used by the PTAC. Items that were made available for the recipient's use, but not actually used, do not count.
   c. When used to satisfy cost sharing requirements, third party in-kind contributions must be documented showing the date the contribution was used by the PTAC and the name, signature and phone number of the donor. These records must include a narrative description of service provided or item donated and must show how the value placed on the contribution was derived.
6. Distressed and non-distressed area budgets (this paragraph applies when the award includes both a distressed and non-distressed area budget) –

   The applicable cost principles establish the standards for the allowability of costs, including the requirement that the cost is allocable to the particular cost objective. In the case of an award that includes both a distressed and non-distressed area budget, this means allocable to providing procurement technical assistance in a distressed or a non-distressed area.

   In the performance of an award, the recipient must segregate and accumulate costs in each of the two budget areas and is responsible for ensuring that the costs charged to either budget is allocable in accordance with the principles and methods provided in the applicable cost principles. The award does not imply the approval of a predetermined ratio or apportionment of incurred cost to be charged to the award as "distressed" or "non-distressed".

   The recipient may submit combined Requests for Reimbursement. However, the request must segregate the amounts charged to each the distressed and non-distressed area budget and show the Federal and non-Federal shares of each amount.
7. Performance and Financial reporting –
   Quarterly reporting requirements include the completion of the DLA Form 1806 and SF 425. Specifics are provided in Section III and in Appendix B.
   Additionally, the recipient shall immediately notify the Grants Officer of developments that have a significant impact on the award-supported activities. Also, notification shall be given in the case of problems, delays, or adverse conditions which materially impair the ability to meet the objectives of the award. This notification shall include a statement of the action taken or contemplated, and any assistance needed to resolve the situation.
8. Retention of records –
   Except as specified in 32 C.F.R. §32.53, §33.42 or §34.42, as applicable, financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of three years from the date of submission of the final SF 425. If any litigation, claim, or audit is started before the expiration of the three-year

period, the records shall be retained until completion of the action and resolution of all issues which arise from it.

9. Modification of cooperative agreement –
   The only method by which cooperative agreements can be modified is by a formal written modification signed by the Grants Office or the AGO. No other communications, whether oral or in writing, are valid methods of modifying the agreement.
10. Probationary status or probationary award –
    An award may be made probationary if the recipient fails to comply with award terms and conditions, if performance has been determined to be less than satisfactory or if the award poses special risk to the Government. While in probationary status, the award will be subject to a higher level of surveillance and the Government may impose special award conditions pursuant to the authority in 32 C.F.R. §32.14, §33.12 or §34.4, as applicable. As a result of a recipient's continued noncompliance, failure to adhere to special conditions, and/or failure to correct or resolve deficiencies, the Government may take one or more of the remedies for noncompliance available at 32 C.F.R. §32.62, §33.43 or §34.52, as applicable.

C. FUNDING

DoD funds will be obligated to awards for a specified performance period and only costs that are allocable to this performance period are allowable. Recipients may not carry unexpended DoD balances to a subsequent periods, including options. For example, DoD funds that were obligated for but not spent during the base period shall be deobligated and cannot be carried over to an option period. However, if a modification is issued to extend a base or option period of performance, funds obligated may be used to pay allowable costs during the extended period.

D. REVISION OF BUDGET AND PROGRAM PLANS

The recipient is required to report deviations from budget and program plans, and request prior approvals for budget and program plan revisions, in accordance with 32 C.F.R. §32.25, §33.30 or §34.15, as applicable. Certain specific requirements are highlighted below. Refer to the sections cited for other changes that require prior approval.

1. Revision of the budget -
   In the performance of an award, the transfer of funds among direct cost categories (i.e., Personnel, Fringe Benefits, Travel, etc.) requires prior approval when the cumulative amount of such transfers exceeds or is expected to exceed 10 percent of the total budget. In the case of an award that includes a distressed and non-distressed area budget, this requirement applies to each of the two budgets on an individual basis. In the event the required prior approval is not obtained, transferred amounts in excess of 10 percent are unallowable costs. Request for approval of budget changes shall be submitted using Section B of the SF 424A, showing the current budget and the proposed revisions.
2. Indirect costs and/or indirect rates incorporated into any specific award period are subject to downward revision only. However, these rates can be adjusted (either upward or downward) for an option period(s).

3. Change in personnel specified in the application –
   Personnel to be charged to the program are approved at the time of award within Online Document #4 – PTA Center Personnel List. Subsequent to award, the addition of any personnel that will work less than 100 percent of their time on the program requires prior approval. Approval is also required prior to any increase in the contributions of approved part-time contributors who do not provide direct counseling to clients. For example, if administrative or supervisory personnel were approved in the budget contributing 25% of their time to the program, any contributions above 25% requires prior approval.
   The prior approval required by this paragraph is for the position itself, not for the individual who will fill the position. Without prior approval, any salary or fringe benefits expenses associated with personnel requiring prior approval are unallowable.
4. Change in cost matching contributions –
   When approved to be used towards the recipient's cost share, third party in-kind contributions are provided for in the approved budget. Any substitutions or additions of third party in-kind contributions require prior approval by the Government. Unapproved third party in-kind contributions are not allowable.
5. Subawards and contracting out –
   Unless described in the application and included in the approved budget, the subaward, subgranting, transfer, contracting out or otherwise obtaining the services of a third party to perform any work under the award requires prior approval. This provision does not apply to the purchase of supplies, material, equipment or general support services.
6. Addition of funds after award –
   In the event funds are added, post award, to the program by the recipient or a third party, the reimbursable ratio will not be affected and the funds will not require allocation by direct class category. However, the total recipient share of expenditures shall be reported in the SF 425. The expenditure of additional funds shall be made in accordance with the applicable cost principles.

E. PROGRAM INCOME

1. Program Income –
   Program income is gross income earned by the recipient as a result of a cooperative agreement awarded under this SCAA. Program income includes, but is not limited to, amounts paid by PTAC clients for the PTAC's services or paid to attend a PTAC sponsored conference.
   No distinction is made between program income earned by the recipient and program income earned by subrecipients and/or subgrantees. The recipient is responsible for ensuring that subrecipients and/or subgrantees earn and spend program income in accordance with this section.
2. Earning Program Income –
   The PTAC's services are expected to be provided to clients at no or nominal cost. Generally, program income should only be earned to pay the immediate costs necessary to operate the PTAC or provide a particular service to clients. A PTAC shall not charge a commission, percentage, brokerage or other fee that is contingent upon the success of the client securing a Federal, State or local government contract. Recipients are responsible for establishing a separately identifiable program income account to facilitate tracking and reporting program income.

3. Spending Program Income –

Program income shall be expended in accordance with the "addition alternative" described in 32 C.F.R. §32.24(b)(1), §33.25(g)(2), or §34.14(d)(1), as applicable. In accordance with the addition alternative, program income earned is added to funds committed to the program by DoD and the recipient and used to further eligible program objectives. Program income may not be used to fund other programs and must be spent in accordance with the applicable cost principles.

In accordance with 32 C.F.R. §32.22(g), §33.21(f)(2), or §34.12(f) as applicable, the recipient shall disburse program income before requesting additional Federal cash payments. This means that program income, when earned, may not be accumulated, but must be fully expended prior to requesting Federal reimbursement for additional costs incurred (i.e., program income is always spent first). Although program income earned must be spent before requesting Federal reimbursement, the expenditure of program income does not reduce the level of DoD funds obligated to the cooperative agreement.

EXAMPLE: *The award document specified Total Program Cost (TPC) of $500,000, consisting of $250,000 DoD share and $250,000 recipient share. Subsequent to award, the PTAC generates $20,000 of program income.*

TPC could now be $520,000. Net Program Cost is $500,000, on which the Federal and recipient's share of cost is based. Shares of costs remain $250,000 DoD and $250,000 recipient.

4. Program Income as Match –

Program income may not be used to meet agreement cost share requirements. That is, no portion of costs financed by program income shall count towards satisfying cost sharing requirements.

5. Program Income From Prior Cooperative Agreements –

For existing programs, any unspent program income balance earned during the performance of earlier cooperative agreement(s) awarded under the PTAP shall be carried forward to an award made under this SCAA. Any program income balance carried forward must be fully expended prior to requesting any Federal reimbursement under an award made under this SCAA.

6. Final Disposition of Program Income –

If at the end of an award's period of performance the recipient holds a program income balance in excess of current expenditures, program income shall be disbursed to fully cover those expenditures and a final request for reimbursement shall not be made. The excess program income shall be carried forward to any follow-on award or subsequent option period and shall be fully expended prior to requesting any Federal reimbursement under the new award.

If there is no follow-on award or in the event that the cooperative agreement is terminated, the Federal share of net program costs will be determined by the Grants Officer or AGO considering, among other things, any unexpended program income balance. This may result in the recipient being required to return previously paid Federal funds (that is, Federal funds paid in excess of the Federal share after the Grants Officer or AGO has determined final net program costs) and/or unexpended program income to the Government.

In no event will the recipient be permitted to earn a profit or retain any portion of unexpended program income.

F. PERFORMANCE REVIEWS

1. Performance reviews will be conducted by the cognizant administration office. Recipients should assume that performance reviews will be conducted on-site and will require active participation by the Program Manager.
2. The purpose of the review is to evaluate the quality of the recipient's performance and its compliance with the requirements of the SCAA, the applicable cost principles, the DoDGARs and other pertinent regulations.
3. The areas to be reviewed and evaluated in a typical performance review may include any and all of the following, which is provided for informational purposes only. The performance review is not limited to the areas identified. The recipient's compliance with any and all of the award's terms and conditions is subject to review.
   a. GOALS –
      1) The PTAC was successful in achieving its goals for the reviewed period.
      2) Where goal shortfalls have occurred, those shortfalls were in despite of the PTAC's respectable efforts to meet the goal.
      3) Where goal shortfalls have occurred, the PTAC took appropriate corrective action.
      4) The PTAC maintains backup documentation to substantiate the data reported in the DLA Form 1806.
      5) The data reported in the DLA Form 1806 is in accordance with the requirements and definitions provided in the SCAA.
   b. CLIENT SERVICES –
      1) The area served by the PTAC is consistent with the cooperative agreement's service area.
      2) During the reviewed period, the PTAC participated in events that were appropriate in terms of the event's content as well as the scope of the PTAP and the mission of the PTAC.
      3) An appropriate level of information, including that provided in hard copy and/or electronically, is provided by the PTAC to its clients.
      4) A client satisfaction survey is conducted pursuant to the requirement in the SCAA.
      5) If applicable, appropriate corrective actions were taken as a result of the client satisfaction survey conducted.
      6) Client success stories are on file with the PTAC, pursuant to SCAA requirements.
   c. PROGRAM IMPLEMENTATION –
      1) For new PTACs, implementation of the program was in accordance with the plan submitted to DLA with the application that resulted in the award.
      2) The PTAC maintains a website that complies with SCAA requirements.
      3) Standard Operating Procedures for the execution of the program maintained by the recipient are current, accurate and complete.
      4) The PTAC has satisfactory internal controls, such as those regarding the usage of property purchased by the PTAC.
      5) The PTAC executes its program with integrity and business ethics.
   d. ADMINISTRATIVE REQUIREMENTS –
      1) Required reports to the Government are timely, accurate and complete (e.g., the DLA Form 1806, required written performance reports and the SF 425)
      2) The recipient has complied with all applicable certifications listed in SCAA Section IV.

3) Expenses for consultant services have not exceeded the 10% limit of Total Program Cost (refer to SCAA Section III).
4) The PTAC compiles with all applicable clauses in SCAA Section IX.

e. FACILITIES - The PTAC's facilities are adequate but not excessive in terms of available office space, the resources available within the facilities, accessibility, parking, signage and the general appearance of the office space.

f. THE PROGRAM MANAGER –
1) The Program Manager's position was occupied for the duration of the reviewed period.
2) The Program Manager is a full-time employee, who spends 100% of his/her time employed by the host working on the PTAC.
3) The Program Manager is qualified for the position, both in terms management proficiency and in providing procurement technical assistance.

g. OTHER PERSONNEL –
1) The PTAC has maintained a fully staffed program, pursuant to its budget, for the duration of the reviewed period.
2) The staff is qualified and able to provide the required counseling and assistance (resumes are required to be on file for review).
3) The host organization provides for continued professional development and appropriate training for PTAC staff.

h. FINANCIAL MANAGEMENT –
1) The recipient has an adequate accounting system.
2) Invoices/vouchers for payment are timely, accurate and complete.
3) If applicable, the recipient has obtained prior approval for the transfer of funds among direct cost categories (i.e., Personnel, Fringe Benefits, Travel, etc.) in excess of 10 percent of Total Program Cost.
4) If applicable, the costs charged to either a distressed and/or non-distressed area budget are allocable in accordance with the principles and methods provided in the applicable cost principles.
5) Procurement procedures utilized are pursuant to the "Procurement Standards" outlined in the DoDGARs.
6) If applicable, billing of indirect costs is in accord with the recipient's indirect cost rate agreement and the award.

i. COST SHARING REQUIREMENTS –
1) The recipient has satisfied the cooperative agreement's cost sharing requirements.
2) If applicable, third party in-kind contributions utilized have received the required prior approval and are documented pursuant to the requirement in SCAA Section VII.

j. PROGRAM INCOME - The recipient has complied with the cooperative agreement's terms and conditions with regard to earning, accounting for and spending program income.

G. PAYMENT

1. The recipient is authorized to submit requests for reimbursement to the cognizant administration agency (i.e., DCMA or ONR) not more often than monthly. Specific instructions for submitting the request and the required documentation will be provided by DCMA or ONR. The SF 270 "Request for Advance or Reimbursement" and/or other forms or electronic systems may be used.
2. Only allowable costs incurred during the performance period specified in the award are eligible for reimbursement.
3. Only the Government's share of program cost is eligible for reimbursement; the recipient will not be reimbursed for costs used as their required cost share.
4. Program income, when earned, may not be accumulated, but must be fully expended prior to requesting Federal reimbursement for additional costs incurred (i.e., program income is always spent first).
5. Federal payments shall only be requested and/or approved if:
   a. Non-Federal funds are immediately available to be used to satisfy the recipient's corresponding share of costs; or
   b. The cost sharing requirements have already been satisfied.
6. Recipients are required to furnish a final reimbursement request within 90 calendar days after the expiration of the agreement's effective period. The Government is not liable for the payment of any reimbursement request received more than 90 calendar days after expiration of the agreement's effective period.
7. Recipients are required to register in the System for Award Management (SAM) in order to receive payment. See the clause *Payment by Electronic Funds Transfer - System for Award Management* in Section IX.
8. The applicable cost principles, the terms of this SCAA and any additional conditions incorporated into an award will be used to determine allowable costs.
9. The Recipient shall not submit the final request for reimbursement prior to submitting the fourth quarter or final DLA Form 1806 Report.

H. RIGHTS TO AUDIT

1. The Recipient shall maintain a record of all costs and expenditures incurred in the performance of the cooperative agreement. The Grants Officer, AGO, or authorized representative of the Government shall have the right to examine and audit books, records, documents and other evidence, and accounting procedures and practices, to verify all costs incurred are recorded therein.

2. The Government or any authorized Government representative has the right of timely and unrestricted access to any books, documents, papers, or other records of recipients that are pertinent to the cooperative agreement award in order to make audits, examinations, excerpts, transcripts and copies of such documents. This right also includes timely and reasonable access to a recipient's personnel for the purpose of interview and discussion related to such documents. The rights of access in this paragraph are not limited to the required retention period, but shall last as long as records are retained.

I. CLOSEOUT PROCEDURES

As required herein, the recipient shall submit all financial, performance, and other reports required by the terms and conditions of an award no later than 90 days after the end of the award's performance period. However, the closeout of an award does not affect:

1. The right of DoD to disallow costs and recover funds on the basis of a later audit or other review;
2. The recipient's obligation to return any funds due as a result of later refunds, corrections, or other transactions;
3. Records retention requirements;
4. Property management requirements; and/or
5. Non-Federal audit requirements (i.e., the requirements in OMB Circular A-133 or 32 C.F.R. §34.16).

J. ALTERNATIVE DISPUTES RESOLUTION (ADR)

It is DoD policy to try to resolve disputes by mutual agreement at the Grant Officer's level. If a Grants Officer and a recipient are not able to resolve an issue through unassisted negotiations, the Grants Officer may encourage the recipient to enter into ADR procedures. ADR procedures are any voluntary means used to resolve issues in controversy without resorting to formal administrative appeals or litigation. ADR procedures include, but are not limited to, assisted settlement negotiations, conciliation, facilitation, mediation and fact-finding. In order to use ADR procedures, both parties must agree to use ADR and the particular form of ADR to resolve all or part of any matter. ADR procedures supplement other dispute resolution techniques.

A dispute resolution communication that is between a neutral person and party to alternative dispute resolution proceedings and that may not be disclosed under 5 U.S.C. §574 is exempt from disclosure under the Freedom of Information Act (5 U.S.C. §552(b)(3)).

Section VIII - OPTION TO EXTEND THE TERM OF THE COOPERATIVE AGREEMENT

A. DURATION

At the Government's discretion, awards may be eligible to be extended for two additional periods, which are referred to herein as options. Options will usually be for a performance period of 12 months each. If exercised, options will require supplemental agreement between the recipient and the Government.

B. GOVERNMENT'S OBLIGATION

The Government has no obligation to exercise options and may decide not to exercise one or both. Among other things, the award of an option is contingent on the continuance of enabling legislation, the availability of funds, the recipient's performance and its compliance with the terms and conditions of the award.

C. NOTICE

The Government will give the recipient preliminary written notice of whether or not it intends to exercise an option. The notice will also establish a due date for the option period application and will outline any applicable funding limitations. Such notice will normally be provided at least 60 days before the cooperative agreement expires. This preliminary notice does not commit or obligate the Government to exercise the option.

D. OPTION PERIOD APPLICATION REQUIREMENTS

Application requirements for an option period are substantially the same as they were for the base period. Refer to Section IV.

Section IX – SCAA Provisions and Cooperative Agreement Clauses

A. CLAIMS, DISPUTES, AND APPEALS

1. Recipient claims –
   If a recipient wishes to submit a claim arising out of or relating to an award the claim must be submitted in writing to the Grants Officer specifying the nature and basis for the relief requested and include all data that supports the claim. The decision of the Grants Officer shall be final, unless the recipient decides to appeal.
2. Recipient appeals –
   A recipient may appeal a decision of the Grants Officer within 90 calendar days of receiving that decision, by filing a written notice of appeal to the Grant Appeal Authority and to the Grants Officer.
3. Unsuccessful applicant appeals –
   An unsuccessful applicant may appeal a decision of the Grants Officer not to make an award within 10 calendar days of receiving that decision, by filing a written notice of appeal to the Grant Appeal Authority and to the Grants Officer.

Any appeal to the Grant Appeal Authority should be addressed to:

Defense Logistics Agency
Attn: General Counsel
8725 John J. Kingman Rd, Suite 1644
Fort Belvoir, VA 22060

B. OFFICIALS NOT TO BENEFIT

No member of or delegate to Congress, or resident commissioner, shall be admitted to any share or part of this agreement, or to any benefit arising from it, in accordance with 41 U.S.C. 22.

C. GRATUITIES

1. The right of the recipient to proceed may be terminated by written notice if, after notice and hearing, the agency head or a designee determines that the recipient, its agent, or another representative –
   a. Offered or gave a gratuity (e.g., an entertainment or gift) to an officer, official, or employee of the Government; and
   b. Intended, by the gratuity, to obtain the award of a cooperative agreement or favorable treatment under a cooperative agreement.
2. The facts supporting this determination may be reviewed by any court having lawful jurisdiction.
3. If this agreement is terminated under paragraph 1 above, the Government is entitled
   a. To pursue the same remedies as in a breach of contract; and
   b. In addition to any other damages provided by law, to exemplary damages of not less than 3 nor more than 10 times the cost incurred by the recipient in giving gratuities to the person concerned, as determined by the agency head or a designee.
4. The rights and remedies of the Government provided in this clause shall not be exclusive and are in addition to any other rights and remedies provided by law under this agreement.

D. COVENANT AGAINST CONTINGENT FEES

1. The applicant warrants that no person or agency has been employed or retained to solicit or obtain this cooperative agreement upon an agreement or understanding for a contingent fee, except a bona fide employee or agency. For breach or violation of this warranty, the Government shall have the right to annul this agreement without liability or, in its discretion, to deduct from the agreement price or consideration, or otherwise recover, the full amount of the contingent fee.
2. "Bona fide agency," as used in this clause, means an established commercial or selling agency, maintained by a contractor for the purpose of securing business, that neither exerts nor proposes to exert improper influence to solicit or obtain Government contracts nor holds itself out as being able to obtain any Government contract or contracts through improper influence.
3. "Bona fide employee," as used in this clause, means a person, employed by a recipient and subject to the recipient's supervision and control as to time, place, and manner of performance, who neither exerts nor proposes to exert improper influence to solicit or obtain an agreement no holds out as being able to obtain any agreement through improper influence.
4. "Contingent fee;" as used in this clause, means any commission, percentage, brokerage, or other fee that is contingent upon the success that a person or concern has in securing an agreement.
5. "Improper influence," as used in this clause, means any influence that induces or tends to induce a Government employee or officer to give consideration or to act regarding an agreement on any basis other than the merits of the matter.

E. CAMPUS ACCESS FOR MILITARY RECRUITING AND RESERVE OFFICER TRAINING CORPS (ROTC)

As a condition for receipt of funds available to DoD under this award, the recipient agrees that it is not an institution of higher education (as defined in 32 CFR part 216) that has a policy or practice that either prohibits, or in effect prevents:

1. The Secretary of a Military Department from maintaining, establishing, or operating a unit of the Senior Reserve Officers Training Corps (in accordance with 10 U.S.C. 654 and other applicable Federal laws) at that institution (or any subelement of that institution);

2. Any student at that institution (or any subelement of that institution) from enrolling in a unit of the Senior ROTC at another institution of higher education;

3. The Secretary of a Military Department or Secretary of Homeland Security from gaining access to campuses, or access to students (who are 17 years of age or older) on campuses, for purposes of military recruiting in a manner that is at least equal in quality and scope to the access to campuses and to students that is provided to any other employer; or

4. Access by military recruiters for purposes of military recruiting to the names of students (who are 17 years of age or older and enrolled at that institution or any subelement of that institution); their addresses, telephone listings, dates and places of birth, levels of education, academic majors, and degrees received; and the most recent educational institutions in which they were enrolled.

If the recipient is determined, using the procedures in 32 CFR part 216, to be such an institution of higher education during the period of performance of this agreement, the Government will cease all payments of DoD funds under this agreement and all other DoD grants and cooperative agreements to the recipient, and it may suspend or terminate such grants and agreements unilaterally for material failure to comply with the terms and conditions of award.

F. ROYALTY

DLA has a royalty-free, nonexclusive and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use, any copyrighted materials and reports which shall have been developed under this cooperative agreement. The recipient also hereby agrees to notify and provide three copies of any copyrighted materials developed under this cooperative agreement to the Grants Officer /AGO.

G. RESTRICTION ON DISCLOSURE AND USE OF DATA

Applicants, who include in their applications data that they do not want disclosed to the public for any purpose or used by the Government except for evaluation purposes, shall provide an attachment to their SF 424 with the following statement:

> *"This application includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this application. If, however, an agreement is awarded to this applicant as a result of – or in connection with – the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting agreement. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets (insert numbers or other identification of sheets);"*

This restriction does not limit the Government's right for internal use of the information contained in an application.

H. EXTENSION OF EFFECTIVE PERIOD

At any time prior to the expiration of the period of performance specified in the award document or modification thereto the Grant's Officer may authorize an extension of the cooperative agreement's period of performance.

The recipient may request and the Government may approve an extension of the cooperative agreement's period of performance. The request must be in writing, must include the supporting reasons for the request along with the revised expiration date, and must be received by the Government at least 10 calendar days before the expiration date of the period of performance specified in the award document or modification thereto.

I. TERMINATION AND ENFORCEMENT

Awards are subject to 32 C.F.R. §32.61 and §32.62, §33.43 and §33.44 or §34.51 and §34.52, as applicable. An award may be terminated by the Grants Officer and/or subject to one or more of the other remedies for noncompliance provided in these sections if the recipient fails to comply with any term of the award, whether stated in a Federal statute, regulation, assurance, application or in this SCAA. The recipient may also request that an award is terminated pursuant to the direction provided in 32 C.F.R. §32.61, §33.44 or §34.51, as applicable.

J. AVAILABILITY OF FUNDS

The Government's obligation under this cooperative agreement is contingent upon the availability of appropriated funds. No legal liability on the part of the Government for any payment may arise until funds are made available to the Grants Officer and the recipient receives notice of such availability, confirmed in writing by the Grants Officer.

K. NOTICE OF INTENT TO DISALLOW BUDGETED COSTS

1. Approval of the recipient's budget by the Grants Officer at the time of award does not imply the reasonableness, allowability and allocability of any particular item of cost and/or contribution contained therein.
2. Execution of a cooperative agreement award does not affect the Government's right to disallow budgeted costs and recover funds on the basis of a later audit or other review.

L. NOTICE OF INTENT TO DISALLOW COSTS INCURRED BELOW COOPERATIVE AGREEMENT RECIPIENT LEVEL (FIRST TIER)

1. Notwithstanding all other terms and conditions of this cooperative agreement, the Grants Officer /AGO may –
   a. At any time issue to the cooperative agreement recipient a written notice of intent to disallow subcontract, subagreement and any other planned or incurred costs by the recipient which are determined not to be allowable under the terms of this agreement.
   b. Limit the payment of cost, below the cooperative agreement recipient level (first tier), to those which implement or execute the purposes of the cooperative agreement program and which are allowable and allocable to the PTAC.
2. Notwithstanding any arrangements, subcontracts and/or agreements entered into by the cooperative agreement recipient with other organizations and/or contractors, DoD is not responsible for any cost incurred by the cooperative agreement holder that exceed what is allowable and allocable under the provisions of the SCAA and the applicable cost principles.

M. PAYMENT BY ELECTRONIC FUNDS TRANSFER - SYSTEM FOR AWARD MANAGEMENT (SAM)

This award is subject to the electronic funds transfer (EFT) payment method. The Government shall make payment to the recipient using the EFT information contained in SAM. In the event the EFT information changes, the recipient shall be responsible for providing the updated information in the SAM.

N. TRAFFICKING IN PERSONS

1. Provisions applicable to a recipient that is a private entity.
   a. You as the recipient, your employees, subrecipients under this award, and subrecipients' employees may not—
      1) Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
      2) Procure a commercial sex act during the period of time that the award is in effect; or
      3) Use forced labor in the performance of the award or subawards under the award.
   b. DLA, as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient that is a private entity –
      1) Is determined to have violated a prohibition in paragraph 1.a. of this award term; or
      2) Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph 1.a. of this award term through conduct that is either—
         i. Associated with performance under this award; or
         ii. Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, "OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement)."

2. Provision applicable to a recipient other than a private entity. DLA, as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity—
   a. Is determined to have violated an applicable prohibition in paragraph 1.a. of this award term; or
   b. Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph 1.a. of this award term through conduct that is either—
      1) Associated with performance under this award; or
      2) Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, "OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement)."

3. Provisions applicable to any recipient.
   a. You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph 1.a. of this award term.
   b. Our right to terminate unilaterally that is described in paragraph 1. or 2. of this section:
      1) Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and

2) Is in addition to all other remedies for noncompliance that are available to us under this award.

c. You must include the requirements of paragraph 1.a.of this award term in any subaward you make to a private entity.

4. Definitions. For purposes of this award term:
   a. "Employee" means either:
      1) An individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or
      2) Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.
   b. "Forced labor" means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.
   c. "Private entity":
      1) Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25.
      2) Includes:
         i. A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).
         ii. A for-profit organization.
   d. "Severe forms of trafficking in persons," "commercial sex act," and "coercion" have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

O. CORRESPONDENCE IN ENGLISH

The applicant/recipient shall ensure that all correspondence that is addressed to the United States Government is submitted in English or with an English translation.

P. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION

Pursuant to 75 FR 55663 (i.e., Federal Register, Volume 75, page 55663) and 2 CFR Part 170, each entity that applies under this SCAA and does not have an exception under 2 CFR Section 170.110(b) shall ensure they have the necessary processes and systems in place to comply with the reporting requirements of the award term below should they receive an award under this SCAA.

The following award term is incorporated into any award made under this SCAA.

Reporting Subawards and Executive Compensation

a. Reporting of first-tier subawards.
   1. Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates $25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).
   2. Where and when to report.
      i. You must report each obligating action described in paragraph a.1. of this award term to http://www.fsrs.gov.
      ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)
   3. What to report. You must report the information about each obligating action that the submission instructions posted at http://www.fsrs.gov specify.
b. Reporting Total Compensation of Recipient Executives.
   1. Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if--
      i. the total Federal funding authorized to date under this award is $25,000 or more;
      ii. in the preceding fiscal year, you received--
         (A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
         (B) $25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
      iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at http://www.sec.gov/answers/execomp.htm.)
   2. Where and when to report. You must report executive total compensation described in paragraph b.1. of this award term:
      i. As part of your registration profile at www.sam.gov.
      ii. By the end of the month following the month in which this award is made, and annually thereafter.
c. Reporting of Total Compensation of Subrecipient Executives.
   1. Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if--
      i. in the subrecipient's preceding fiscal year, the subrecipient received--

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) $25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and

ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at http://www.sec.gov/answers/execomp.htm.)

2. Where and when to report. You must report subrecipient executive total compensation described in paragraph c.1. of this award term:

i. To the recipient.

ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions

If, in the previous tax year, you had gross income, from all sources, under $300,000, you are exempt from the requirements to report:

i. Subawards, and

ii. The total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

1. Entity means all of the following, as defined in 2 CFR part 25:

i. A Governmental organization, which is a State, local government, or Indian tribe;

ii. A foreign public entity;

iii. A domestic or foreign nonprofit organization;

iv. A domestic or foreign for-profit organization;

v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

2. Executive means officers, managing partners, or any other employees in management positions.

3. Subaward:

i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. ___.210 of the attachment to OMB Circular A-133, ``Audits of States, Local Governments, and Non-Profit Organizations").

iii. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

4. Subrecipient means an entity that:

i. Receives a subaward from you (the recipient) under this award; and

ii. Is accountable to you for the use of the Federal funds provided by the subaward.

5. Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
   i. Salary and bonus.
   ii. Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
   iii. Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
   iv. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
   v. Above-market earnings on deferred compensation which is not tax-qualified.
   vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds $10,000.

Q. SYSTEM FOR AWARD MANAGEMENT AND UNIVERSAL IDENTIFIER REQUIREMENTS

Pursuant to 75 FR 55671 and 2 CFR Part 25, each entity that applies under this SCAA and does not have an exception under 2 CFR Section 25.110 shall:

(1) Be registered in the SAM prior to submitting an application;
(2) Maintain an active SAM registration with current information at all times during which it has an active award under this SCAA or an application under consideration for award; and
(3) Provide its DUNS number in the application submitted in response to this SCAA.

An applicant that does not comply with (1), (2), and (3) above may be determined not qualified to receive an award under this SCAA.

The following award term is incorporated into any award made under this SCAA.

System for Award Management and Universal Identifier Requirements

a. Requirement for System for Award Management
   Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the SAM until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.
b. Requirement for Data Universal Numbering System (DUNS) Numbers
   If you are authorized to make subawards under this award, you:

1. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
2. May not make a subaward to an entity unless the entity has provided its DUNS number to you.

c. Definitions

For purposes of this award term:

1. System for Award Management (SAM) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM Internet site (currently at www.sam.gov).
2. Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at http://fedgov.dnb.com/webform).
3. Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
   i. A Governmental organization, which is a State, local government, or Indian tribe;
   ii. A foreign public entity;
   iii. A domestic or foreign nonprofit organization;
   iv. A domestic or foreign for-profit organization; and
   v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
4. Subaward:
   i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
   ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. ___.210 of the attachment to OMB Circular A-133, ``Audits of States, Local Governments, and Non-Profit Organizations").
   iii. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.
5. Subrecipient means an entity that:
   i. Receives a subaward from you under this award; and
   ii. Is accountable to you for the use of the Federal funds provided by the subaward.

Appendix A - Glossary of Acronyms

ADR	Alternative Dispute Resolution
AGO	Administrative Grants Officer, either from DCMA or ONR
BIA	Bureau of Indian Affairs
CAGE	Commercial and Government Entity
CSBIW	Cost Share Budget Information Worksheet
CFR	Code of Federal Regulations
DCMA	Defense Contract Management Agency
DFAS	Defense Finance and Accounting Service
DLA	Defense Logistics Agency
DoD	Department of Defense
DoDGARs	Department of Defense Grant and Agreement Regulations
EC	Electronic Commerce
EFT	Electronic Funds Transfer
FSRS	Federal Funding Accountability and Transparency Act Subaward Reporting System
FY	Fiscal Year
GO	DLA Grants Officer
GSA	General Services Administration
HBCU/MI	Historically Black Colleges & Universities/ Minority Institutions
HUBZone	Historically Underutilized Business Zone
NPC	Net Program Cost
OMB	Office of Management and Budget
ONR	Office of Naval Research
OTSB	Other Than Small Business
PI	Program Income
PL	Public Law
POA&M	Plan of Action & Milestones
PTA	Procurement Technical Assistance
PTAC	Procurement Technical Assistance Center
PTAP	Procurement Technical Assistance Program
SAM	System for Award Management
SB	Small Business
SBA	Small Business Administration
SCAA	Solicitation for Cooperative Agreement Application
SDB	Small Disadvantaged Business
SDVOSB	Service-Disabled Veteran-Owned Small Business
SF	Standard Form
TPC	Total Program Cost
WAWF	Wide area workflow
WOSB	Woman-Owned Small Business

Appendix B – The DLA Form 1806

A. THE DLA FORM 1806 "PTAC Cooperative Agreement Performance Report"
(OMB Approval Number 0704-0320)

Shown here for illustrative purposes only – the actual form is electronic

1. Cooperative Agreement Recipient	2. Date Report Prepared			
3. Report Number	4. Period Covered by Report			
5. Cooperative Agreement Information				
a. Cooperative Agreement Reference Number				
b. Effective Period of Cooperative Agreement				
6. Budget Data				
a. Total Program Cost				
b. Total Funds Expended (cumulative)				
c. DoD Funds Obligated				
d. Total DoD Funds Expended (cumulative)				
e. Program Income Carried-over				
f. Program Income Earned (cumulative)				
g. Program Income Spent (cumulative)				
h. Current Program Income Balance				
	First Quarter	Second Quarter	Third Quarter	Fourth Quarter
7. Active Client Base				
8. Number of Outreach Events you sponsored				
9. Number of Outreach Events you supported or participated in but did not sponsor				
10. Total attendees at Outreach Events listed in (8) & (9) above				
11. Initial Counseling Sessions with all Category Small Business Concerns				
a. Initial Sessions with Small Disadvantaged Concerns				
b. Initial Sessions with Women-owned Small Business Concerns				
c. Initial Sessions with HUBZone Small Business Concerns				
d. Initial Sessions with Service-Disabled Veteran-owned Small Business Concerns				

12. Initial Counseling Sessions with Other than Small Business Concerns				
13. Initial Counseling Sessions with Distressed Area Concerns				
14. Follow-up Counseling Sessions with All Category Small Business Concerns				
a. Follow-up Sessions with Small Disadvantaged Concerns				
b. Follow-up Sessions with Women-owned Small Business Concerns				
c. Follow-up Sessions with HUBZone Small Business Concerns				
d. Follow-up Sessions with Service-Disabled Veteran-owned Small Business Concerns				
15. Follow-up Counseling Sessions with Other than Small Business Concerns				
16. Follow-up Counseling Sessions with Distressed Area Concerns				
17. NUMBER OF PRIME CONTRACT AWARDS RECEIVED BY CLIENTS				
a. All contract awards received by all category Small Business Concerns				
b. All contract awards received by Small Disadvantaged Business Concerns				
c. All contract awards received by Woman-owned Small Business Concerns				
d. All contract awards received by HUBZone Small Business Concerns				
e. All contract awards received by Service-Disabled Veteran-owned Small Business Concerns				
f. All contract awards received by other than Small Business Concerns				
g. All contract awards received by all clients that were awarded by DoD				
h. All contract awards received by all clients that were awarded by Federal agencies other than DoD				
i. All contract awards received by all clients that were awarded by State and local governments				

18. DOLLAR VALUE OF PRIME CONTRACT AWARDS RECEIVED BY CLIENTS				
a. Dollar value of all contract awards received by all category Small Business Concerns				
b. Dollar value of all contract awards received by Small Disadvantaged Business Concerns				
c. Dollar value of all contract awards received by Woman-owned Small Business Concerns				
d. Dollar value of all contract awards received by HUBZone Small Business Concerns				
e. Dollar value of all contract awards received by Service-Disabled Veteran-owned Small Business Concerns				
f. Dollar value of all contract awards received by other than Small Business Concerns				
g. Dollar value of all contract awards received by all clients that were awarded by DoD				
h. Dollar value of all contract awards received by all clients that were awarded by Federal agencies other than DoD				
i. Dollar value of all contract awards received by all clients that were awarded by State and local governments				
19. NUMBER OF SUBCONTRACT AWARDS RECEIVED BY CLIENTS				
a. All subcontract awards received by all category Small Business Concerns resulting from Federal Government (including DoD) prime contracts				
b. All subcontract awards received by Small Disadvantaged Business Concerns resulting from Federal Government (including DoD) prime contracts				
c. All subcontract awards received by Woman-owned Small Business Concerns resulting from Federal Government (including DoD) prime contracts				
d. All subcontract awards received by HUBZone Small Business Concerns resulting from Federal Government (including DoD) prime contracts				
e. All subcontract awards received by Service-Disabled Veteran-owned Small Business Concerns resulting from Federal Government (including DoD) prime contracts				
f. All subcontract awards received by other than Small Business Concerns resulting from Federal (including DoD), State & local government prime contracts				
g. All subcontract awards received by all categories of businesses resulting from State & local government prime contracts				

20. DOLLAR VALUE OF SUBCONTRACT AWARDS RECEIVED BY CLIENTS				
a. Dollar value of all subcontract awards received by all category Small Business Concerns resulting from Federal Government (including DoD) prime contracts				
b. Dollar value of all subcontract awards received by Small Disadvantaged Business Concerns resulting from Federal Government (including DoD) prime contracts				
c. Dollar value of all subcontract awards received by Woman-owned Small Business Concerns resulting from Federal Government (including DoD) prime contracts				
d. Dollar value of all subcontract awards received by HUBZone Small Business Concerns resulting from Federal Government (including DoD) prime contracts				
e. Dollar value of all subcontract awards received by Service-Disabled Veteran-owned Small Business Concerns resulting from Federal Government (including DoD) prime contracts				
f. Dollar value of all subcontract awards received by other than Small Business Concerns resulting from Federal (including DoD), State & local government prime contracts				
g. Dollar value of all subcontract awards received by all categories of businesses resulting from State & local government prime contracts				

Note: With the exception of block 10, quarterly performance goals are established for blocks 7 through 16, including all sub-elements.

B. DEFINITIONS

1. **Counseling Session.** A documented event where the types of "counseling services" described in SCAA Section III are provided. The venue must provide for live and direct interaction between the PTAC and the client. Acceptable venues for a counseling session include, but are not limited to, face-to-face, telephone, video conference, webinar and email.

   Counseling sessions may also be offered in classroom settings to small groups, provided that the information presented is specific to the needs of attendees and the event involves the PTAC's personal interaction with each individual attendee.

   The distribution of mass mailings (including emails), newsletters, publications, specifications, technical information, and bid matches are forms of providing assistance but are not counseling sessions, although these activities may generate subsequent counseling sessions. Simply referring business firms/clients to another source for advice or assistance and performing no other service for the client/business is not a counseling session nor can any resulting award be counted on the DLA 1806 submission.

2. **Initial Counseling Session.** The first counseling session held by a PTAC with an individual or business firm that is not an "active client" as defined in this Appendix. The initial counseling session should be used, in part, to determine if an individual or business firm has potential to do business with a Federal agency and/or State and local government as either a prime or sub-contractor. Those that are determined to have no potential should not be added to the "active client" base but the session can be reported as an "Initial Counseling Session." Those determined to both have potential and are interested in receiving assistance from the PTAC should be added to the "active client" base.

   A counseling session with a client that was previously counseled but no longer meets the definition of an "active client" and who was not included in the "active client base" reported in the previous quarter may again be reported as an initial counseling session.

3. **Follow-up Counseling Session.** A counseling session held with an active client, subsequent to the initial counseling session.

4. **Active client.** A client may be considered an active client only following an initial counseling session. That is, a client may not be added to the active client base unless they have had an initial counseling session with the PTAC. When establishing and reporting goals, the PTAC's "Active Client Base" may include only those clients that have had an initial counseling or follow-up counseling session with the PTAC during the previous 12 months ending on the last day of the quarter which is being reported or that are actively pursuing the PTAC's assistance.

   For reporting purposes, active clients carry forward from one period of performance to the next. For example, a client that had a follow-up counseling session with the PTAC in the fourth quarter of a performance period remains an active client for 12 months and is therefore reported as an active client during a follow-on award or option period.

   In keeping with the requirement for quarterly reporting, the PTAC's active client base is to be updated quarterly to ensure the accuracy of the data reported.

5. **Outreach event.** A procurement outreach conference that the PTAC sponsors, supports, or participates in as part of the outreach effort described in SCAA Section III is considered an outreach event. Mere attendance as an audience member at an outreach event without active participation, such as speaking or providing formal counseling or training, is not reportable. Where an event is reported as a counseling session, for example counseling in a group setting, that event shall not also be reported as an outreach event.

6. **Contract and Subcontract Awards –** Contract awards reported shall only include contracts or subcontracts awarded to "active clients", as defined in this Appendix.

   The recipient shall have a procedure of validating the number and dollar value for prime and subcontract awards received by its active clients. A signed statement, electronic signature or email from the client confirming that assistance provided by the PTAC contributed to the prime/subcontract awards is adequate for satisfying this requirement.

The dollar value of awards reported shall reflect the dollars actually obligated on an award document by the awarding agency. The dollar value reported shall not include the maximum or estimated value of orders that may be placed under a contract at a future date – only dollars actually obligated may be included.

C. INSTRUCTIONS

1. The first three quarterly reports submitted need only reflect the most recent data available at time of report submission. The fourth quarter report must reflect final and accurate values for the aggregate of the performance period.

   After submission, the DLA Form 1806 report will generally not be reopened to allow for edits or corrections. When the data reported in a quarter is later found to be inaccurate or incomplete, adjustments should be made to subsequent reports so that the cumulative total shown in the "Year To Date" column reflects an accurate value that agrees with the recipient's substantiating records. Any corrections or adjustments made in subsequent reports should be described in the concurrent written report. Adjustments necessary should be kept to a minimum.

2. The database used to track or maintain the information required by the report must permit PTAC data to be segregated from the data of other programs, including other federally sponsored programs. Only information specifically attributable to the PTAC shall be reported.

3. The recipient's records must provide an audit trail that will substantiate all data reported. These records shall be made available to the Government upon request.

4. Detailed report preparation instructions –

The instructions provided below pertaining to collecting and submitting report data are keyed to the numbers assigned to each information element contained in DLA Form 1806.

(1) Cooperative agreement recipient. (auto-filled)
(2) Date report is prepared. (auto-filled)
(3) Report number. (auto-filled)
(4) Period covered by report. (auto-filled)
(5) COOPERATIVE AGREEMENT INFORMATION
   a. Cooperative agreement reference number. (auto-filled)
   b. Effective period of the cooperative agreement. (auto-filled)
(6) BUDGET DATA – Leave block 6 blank. Budget data is reported in the SF 425, which shall be submitted pursuant to instructions provided by the cognizant administration agency. In addition, ensure that a copy of the SF 425 is provided via email to PTAP@dla.mil.

CLIENT AND COUNSELING DATA ELEMENTS

(7) ACTIVE CLIENT BASE. Enter the number of active clients being serviced at the completion of the reporting period.
(8) NUMBER OF OUTREACH EVENTS YOU SPONSORED – self-explanatory

(9) NUMBER OF OUTREACH EVENTS YOU SUPPORTED OR PARTICIPATED IN BUT DID NOT SPONSOR.
Note: Mere attendance as an audience member at an outreach event without active participation, such as being a speaker or providing formal counseling, should not be reported.

(10) TOTAL ATTENDEES AT OUTREACH EVENTS LISTED IN (8) & (9) ABOVE – self-explanatory

(11) INITIAL COUNSELING SESSIONS – The number of initial counseling sessions held with all categories of small businesses concerns including SDBs, WOSBs, HUBZone small business concerns and SDVOSBs.
   a. The number of the initial counseling sessions held with SDBs.
   b. The number of the initial counseling sessions held with WOSBs.
   c. The number of initial counseling sessions held with HUBZone Small Business Concerns.
   d. The number of initial counseling sessions held with SDVOSBs.
   Note: A Small Business Concern may qualify as one or more category of small business listed in (11)a. through (11)d. above. Such businesses should be counted in each category for which it qualifies. PTACs may accept the self-certification from clients as to which category (or categories) of small business it qualifies. For example, a small business concern could be a women-owned small business as well as a service-disabled veteran-owned small business concern. Consequently, if you counseled that firm, the counseling session would be credited at items (11), (11)b. and (11)d. A similar concept applies to blocks 14, 17, 18, 19 and 20.

(12) The number of initial counseling sessions that were held with other than small business concerns. A nonprofit client is counted as an "other than small business concern".

(13) The number of initial counseling sessions that were held with any client that is located in a distressed area.

(14) THRU (16). FOLLOW-UP COUNSELING SESSIONS (follow the same instructions listed in (11) thru (13), above)

CONTRACT AND SUBCONTRACT AWARDS RECEIVED BY CLIENTS

(17) NUMBER OF PRIME CONTRACT AWARDS RECEIVED BY CLIENT(S) – list the number of prime contracts received by active clients in the appropriate category(s) that the client was successful in obtaining as a result of assistance rendered by the PTAC.

(18) DOLLAR VALUE OF PRIME CONTRACT AWARDS RECEIVED BY CLIENT(S) – list the dollar value of prime contracts received by active clients in the appropriate category(s) that the client was successful in obtaining as a result of assistance rendered by the PTAC.

(19) NUMBER OF SUBCONTRACT AWARDS RECEIVED BY CLIENTS - list the number of subcontract awards received by active clients in the appropriate category(s) that the client was successful in obtaining as a result of assistance rendered by the PTAC.

(20) DOLLAR VALUE OF SUBCONTRACT AWARDS RECEIVED BY CLIENTS - list the dollar value of subcontract awards received by active clients in the appropriate category(s) that the client was successful in obtaining as a result of assistance rendered by the PTAC.