



# **National Safe Skies Alliance**

Program for Applied Research in Airport Security

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## Guidance for Preparing Proposals

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## CHAPTER 1 General Information

This document consists of six chapters that describe (1) the Program for Applied Research in Airport Security (PARAS) and its administration by the National Safe Skies Alliance, Inc. (Safe Skies), (2) the sequence of events leading to research, (3) eligibility for submitting a proposal, (4) administrative requirements of contractors, and (5) specific instructions for preparing and submitting proposals on PARAS projects. Chapter 6 provides figures that can be used in preparing a proposal.

**Readers are cautioned that a thorough understanding of Sections 4 and 5 is necessary to the preparation of acceptable proposals. To facilitate the review of multiple proposals by the project panels and PARAS staff, compliance with the instructions for preparing proposals in Section 5 is mandatory. Questions should be addressed to the Program Officer listed in the Request for Proposal (RFP) prior to proposal preparation to minimize the risk of proposal rejection.**

### 1.1 National Safe Skies Alliance, Inc.

Safe Skies is a non-profit organization focused on improving the effectiveness and efficiency of aviation security. Safe Skies is dedicated to helping airports meet their security requirements through applied research, pre-operational and operational field assessments, and life-cycle analyses, all of which help airports make informed decisions about their facilities' security. Safe Skies' activities, including PARAS, are funded by the Federal Aviation Administration.

### 1.2 Need for Applied Research

The security problems faced by airports are numerous. These challenges can often be solved most effectively through systematic, well-designed research using a coordinated approach.

This program does **not** operate on a grant basis. Contracts are issued to produce practical, implementable, and timely solutions to problems currently faced by airports.

Because the PARAS research process seeks practical solutions for operational problems, proposal submitters must indicate strong capabilities within their teams that have been gained through extensive, successful experiences in the relevant problem areas. Consequently, proposers should first make a frank and thorough self-appraisal to determine whether they possess the capability and experience necessary to ensure successful completion of the project.

### **1.3 Program for Applied Research Project Management and Oversight**

PARAS has an oversight committee that is responsible for (1) soliciting research needs, (2) evaluating and selecting research topics, (3) setting project priorities and recommending funding levels, (4) ensuring the dissemination of research results, and (5) evaluating program effectiveness. The oversight committee is supported in these efforts by PARAS staff, who act as secretariat to the committee and are also responsible for the project management, technical review, and acceptance of research projects that are referred by the committee. Following project approval, Project Panels will be assigned oversight of individual research projects. PARAS staff will perform project management tasks for the projects.

### **1.4 Project Panels**

Each of the applied research projects is assigned a panel consisting of outstanding individuals, knowledgeable in the specifics of the particular problem area, who provide technical guidance while the research is in progress. Panel membership may include persons from airports, airlines, industry, academia, and aviation-related associations. Members are appointed as individuals possessing expertise in specialized areas and not as representatives of their employers. PARAS has clearly established procedures for balancing bias and scrupulously avoiding personal and organizational conflicts of interest. Also, as a condition for accepting appointment to a panel, members are prohibited from submitting proposals on projects under their jurisdiction.

When appropriate, representatives from relevant governmental agencies may participate on panels.

The Project Panel is responsible for (1) drafting a project statement that includes the research objective, deliverables, budget, and schedule, which is then issued as an RFP; (2) reviewing research proposals and selecting the contractor; (3) reviewing progress of the project; (4) providing technical oversight of the research in progress; (5) reviewing and evaluating project reports (including the final deliverable) as to the accomplishment of objectives, suitability for publication, and products for implementation; and (6) making recommendations regarding follow-up activities after contract completion.

## CHAPTER 2 Sequence of Events for Research

### 2.1 Problem Statements

PARAS accepts research problem statements considered to be of national importance that have been submitted from industry practitioners.

### 2.2 Project Statements

Following the Oversight Committee's acceptance of problem statements, project panels are convened to prepare research project statements that describe the problems and the specific objectives for solving those problems. The project statements include a title, contract dollar limit, schedule for submittals and for the research, and contact information for the Program Officer managing the project. The following sections also are included in the project statement:

- *Background*—Describes the need for research
- *Objective*—States clearly the resulting product and its intended use
- *Special Notes*—Lists unique considerations for preparing the proposal

### 2.3 Requests for Proposals

After the project statements have been developed by the panels, they are posted on the Internet at [www.sskies.org](http://www.sskies.org) during the solicitation period as an RFP.

Issuance of an RFP does not constitute an award commitment by Safe Skies nor does it obligate Safe Skies to pay for costs incurred in the preparation and submission of a proposal.

PARAS does not provide pre-proposal briefings or meetings with staff or panels during proposal evaluation or researcher selection. The proposal, therefore, constitutes the sole opportunity for proposers to state their case. Program officers are available, however, to provide limited, appropriate information to proposers.

Proposals become the property of Safe Skies and are treated as privileged documents. Safe Skies will dispose of proposals according to Program policies (this includes the possibility that all proposals might be rejected).

### 2.4 Selection of Preferred Contractor and Contract Award

Acceptable proposals (see Section 5 for guidance on preparing an acceptable proposal) are sent to the project panel for their review. Each panelist evaluates and initially ranks the proposals using the following criteria: (1) the proposer's demonstrated understanding of the problem; (2) the merit of the proposed research approach and methodology; (3) experience, qualifications, and objectivity of the research team in the same or closely related problem area; (4) the plan for ensuring

application of results; (5) the proposer's plan for participation by Disadvantaged Business Enterprises—small businesses owned and controlled by socially and economically disadvantaged individuals, if any; and (6) the adequacy of the facilities and equipment available to conduct the work. The panel then reconvenes to collectively and thoroughly discuss the merits of each proposal with the overall goal of choosing the proposal that best conforms to the RFP in a manner most advantageous to the Program. The selection is usually made by consensus, although a majority vote is sometimes necessary. Panels are encouraged to identify a second choice proposal if they believe another proposer could also successfully achieve the project objectives.

The proposer submitting the panel's first choice proposal is then notified. This notification includes an award notification letter, a Representation and Certifications form to be completed by the proposer, a copy of the Contractor Procedural Manual, and the panel's comments on the proposal.

The second choice proposer is notified that it was judged to be a candidate for serious consideration and that its proposal will be held in abeyance during negotiations with the first choice proposer. In the event negotiations with the first choice proposer cannot be conducted successfully, Safe Skies may then negotiate a contract with the second choice proposer.

A contract will then be issued between Safe Skies and the selected proposer. Safe Skies may (1) reject any or all offers if such action is in its best interest, (2) accept other than the lowest cost proposal, and (3) waive minor irregularities in proposals received. Line items of the budget are examined to determine the reasonableness of funds allocation to the various tasks. Proposals that provide for cost sharing at a combined total cost over and above the total funds available are **not** encouraged, and the evaluation will be based on the work proposed to be conducted within the advertised funds.

Unsuccessful proposers will be notified, and their proposals will be disposed of in accordance with Program policies. A debriefing will be provided to unsuccessful proposers at their request. The debriefing is intended to indicate to the proposers the technical areas in which their proposals were judged weak or deficient and how the weaknesses or deficiencies were factors in their evaluation. The factors constituting the basis for selection of the successful proposer will be identified, but the debriefing will not include a point-by-point comparison of all the elements considered in the evaluation criteria. There will not be any revelation of confidential business information, trade secrets, techniques, or processes of the other proposers, and there will not be any indication of the relative merits or technical standing of the unsuccessful proposers.

## 2.5 Contract

Successful proposers will be issued a *cost-reimbursement* (CR) contract with a fixed ceiling. **Contractors must complete all research activities and provide all contracted deliverables within the contracted budget amount.**

CR provides for payment to the contractor of allowable costs incurred in the performance of the contract, to the extent prescribed in the contract. This type of contract establishes maximum costs for purposes of (a) obligating funds and (b) setting a ceiling, which the contractor may not exceed. For this type of contract, it is essential that the contractor's cost accounting system is adequate for the determination of costs applicable to the contract and that appropriate review by Safe Skies personnel during performance will provide reasonable assurance that the effort is proceeding satisfactorily.

## 2.6 Nondiscrimination

Contractors are required to comply with all applicable statutes, regulations, and orders of the U.S. Department of Transportation (U.S. DOT) relative to nondiscrimination in federally assisted programs and shall not discriminate on the basis of race, color, national origin, sex, creed, age, or disability. In the fulfillment of this provision, the contractor must provide all required information and will permit access to its books, records, accounts, facilities, and other sources as may be determined by Safe Skies or the U.S. DOT.

## 2.7 Conducting the Research

The selected proposer then undertakes the research under the technical guidance of the project panel and follows PARAS' administrative procedures (see Section 4), concluding the effort by submitting the project deliverables.

Once proposer selection has been made, the proposal review comments from the panel and PARAS staff are submitted to the selected proposer, and a response may be required. Some minor modifications to the proposal may be indicated.

## **CHAPTER 3 Qualified Applicants**

Anyone may submit a proposal in response to RFPs following a self-appraisal of qualifications to determine whether or not the respondent possesses, either singly or by teaming with others, the requisites of capability and experience necessary to ensure successful completion of the research project. In instances of joint ventures, a prime contractor must be designated, with full justification if the prime contractor will not carry out more than 50 percent of the work (budgeted cost).

Research conducted under PARAS may be performed by airports, colleges, universities, industry, research institutions and foundations, or consultants. Each of these entities may submit a proposal as long as it shows the possession of extensive, demonstrated capability coupled with a proven experience record in the problem area.

PARAS also encourages participation by small businesses, minority-owned firms, and women's business enterprises as contractors or subcontractors for projects.

Although proposers based outside the United States may respond to RFPs and may be able to document possession of sufficient depth of knowledge of U.S. practice in the research subject areas, the complicated logistics involved in surveillance and administration of contracts might make it less likely that such organizations would be selected.

## **CHAPTER 4 Research Administration**

After executing the contract, the contractor is expected to pursue the research aggressively and with due regard to the performance period. The Contractor Procedural Manual describes the necessary administrative steps leading to successful research. The key items are described below.

### **4.1 Amplified Work Plan**

The contractor will provide one PDF electronic copy of an amplified work plan to the PARAS Program Officer for review and acceptance. This plan, due within 15 working days after the contract beginning date, is to provide a detailed expansion of the research approach outlined in the proposal and is not to be in conflict with that approach. The amplified work plan includes (1) a complete description of the tasks to be pursued in the conduct of the research, (2) a work-flow diagram by tasks and time (schedule), and (3) the project budget. It should demonstrate clearly the accomplishment of the research within the specified period and funding, a factor that will be analyzed carefully during the review. The amplified work plan is also the opportunity to address the project panel's comments on the contractor's initial research approach as outlined in its proposal.

### **4.2 Surveillance Visit**

At the start of the project, PARAS staff may visit the contractor's office to become acquainted with its facilities and personnel and to review the administrative and fiscal procedures described in the contract and the Contractor Procedural Manual. Other visits may be made by the staff to maintain liaison with the project throughout the contract period. Annual trips to meet with the Program Officer and staff may be requested of the Principal Investigator (PI).

### **4.3 Monthly Progress Reports**

Within 10 working days following the end of each month during the course of the research, the contractor shall submit a two-part electronic PDF report to the Program Officer consisting of the following:

1. Using the Monthly Report Template, provide:
  - (a) Clear and complete account of the work performed on each task during the reporting (previous) month
  - (b) Outline of the work to be accomplished during the next month

(c) Description of any problems encountered or anticipated that might affect the completion of the contract within the time and fiscal constraints as set forth in the contract, together with recommended solutions to such problems (or a statement that no problems exist)

(d) Anticipated dates of key deliverables (i.e., interim reports, preliminary draft final report, and revised final report)

(e) Contractor's performance relative to its Disadvantaged Business Enterprises (DBE) plan, if applicable

2. A project progress schedule consisting of graphical information depicting:

(a) Schedule of research activities and related current progress

(b) Comparative status of actual and estimated expenditures

(c) Percentage completion of the subject research

#### **4.4 Quarterly Progress Reports**

Utilizing the PARAS template, contractors are required to complete quarterly progress reports which are due to the Program Officer within 10 working days following the end of each calendar quarter. One electronic file will be required. Quarterly progress report distribution to the panel will be determined by the Program Officer. A monthly progress report is not required during the month in which a quarterly progress report is due.

#### **4.5 Adherence to Original Research Objectives and Budget Estimates**

The research objectives and general tasks presented in the RFP are included as the general scope of work in the contract. In addition, the contractor's cost proposal to undertake the research is also part of the agreement and cannot be exceeded. However, to maintain flexibility in conducting research, revisions to the scope may be approved in advance in writing. The most common revision is the researcher's amplified work plan, which typically is an enhancement of the contractor's research approach submitted in its proposal. Once the amplified work plan is approved by the panel, it is incorporated by reference in the contract and becomes the binding scope of work in the contract. Throughout the project, the PI and the contractor are expected to manage the expenditure of approved funds in a manner consistent with the overall objectives. Should promising new leads or unproductive lines of inquiry be discovered, the Program Officer must be notified, especially if they might lead to significant deviations from the objectives of the original research. Anticipated changes in the original estimate must be discussed in advance with the Program Officer who may then submit a formal request to the Contracts Officer for negotiation of modifications to the original contract.

#### 4.6 Advance Approvals

Under the terms of the contract, the following contract expenditures require **prior written approval** from the Program Officer, regardless of whether those expenditures are included in the proposal:

- Equipment having a value in excess of an amount specified in the contract
- Travel to scientific or technical meetings—foreign travel requires prior approval—all proposed travel must be in accordance with federal travel regulations
- Subcontracts above \$25,000

#### 4.7 Principal Investigator

The research is considered to be under the technical direction of the PI identified in the proposal, and it is expected that the PI will be available for the full contract period and will have major involvement in the pursuit of the research objectives. Replacement of the PI is subject to the approval of the panel and the Program Officer, who may then submit a formal request to the Contracts Officer for a contract modification.

#### 4.8 Payments

Payments, exclusive of possible amounts withheld as a performance guarantee, will be made upon the submission of periodic vouchers (not more than once monthly) by the contractor and approval by the Program Officer. Complete instructions for the preparation of vouchers are issued at the time of contract execution.

#### 4.9 Subcontracting

Advance written approval is required for subcontracts of more than \$25,000, even though provision for such may be included in the proposal. At a minimum, the proposal should indicate the extent to which subcontractors will be used, the method of identifying them, and the extent to which competition will be used to secure them. An itemized budget and justification of the proposed subcontractor are required when submitting the subcontract for approval.

#### 4.10 Adherence to Disadvantaged Business Enterprise Plan

If the proposer chooses to utilize a DBE in the research project, their plan for involvement of DBEs is a factor in the selection of the contractor, and the contractor's adherence to its DBE plan will be monitored during the contract period. Contractors are required to submit periodic reports comparing actual with proposed payments to DBEs.

#### **4.11 Research Using Human Subjects**

If a proposal's research plan includes the use of human subjects, proposers should indicate how they will follow federal and institutional regulations. If the proposal is selected, the research plan will be subject to review by an institutional review board (IRB). The contractor will be responsible for contracting with and paying the expenses related to the IRB. The costs of an IRB should be outlined in the budget.

#### **4.12 Deliverables**

Every project includes several deliverables. The most common are the Interim Report, the Draft Final Deliverable, and the Final Deliverable.

An Interim Report (one (1) electronic PDF copy) may be required from the contractor to provide PARAS with information on a project's activities and findings at a designated point during the contract period. The Interim Report may also include material to be reviewed by the project panel (e.g., a revised work plan to complete the remaining tasks). The Interim Report will be reviewed for acceptance under the same criteria as specified for Final Deliverables (described below). Interim Reports are generally not intended for publication, but if the acceptance review or other factors determine that publication is warranted, the process is similar to that described for final reports.

Unless otherwise indicated in the *Special Notes* section of the RFP, the contractor will submit one (1) electronic PDF copy of the Draft Final Deliverable not later than 90 calendar days before the contract expiration date. This preliminary draft is reviewed by the Project Panel and PARAS staff, and review comments are transmitted to the PI approximately 45 calendar days prior to the contract expiration date. The PI then prepares the Final Deliverable that incorporates the panel's comments and reflects editing by a competent technical editor to ensure compliance with the PARAS requirements for style and organization of reports as detailed in the document entitled *Guidance for Preparing the Final Deliverable*. Unless otherwise indicated in the *Special Notes* section of the RFP, one (1) MS-Word electronic copy, prepared in accordance with PARAS' specifications, must be submitted by the contract expiration date. The electronic copy may be submitted via email or DropBox.

The PI must also submit the list of panel comments on the Draft Final Deliverable and a point-by-point response of how each comment was addressed in the Final Deliverable. If a report revision was not made for any review comment, the response would state why a revision was not considered appropriate.

PARAS' report procedure requires organizations to give careful thought during proposal preparation to the level of funds that will be required to ensure satisfactory compliance with

contract commitments regarding preparation, editing, submission, and revision of Interim Reports, Draft Final Deliverables, and Final Deliverables. Final acceptance of reports is based on the following criteria:

- Fulfillment of objectives as set forth in the contract
- Adequacy of documentation
- Clarity of presentation

Based on the acceptance review, a decision is made concerning publication. Such publication is the responsibility of PARAS.

### **4.13 Copyrights**

All data, written materials, computer software, and other information prepared under the contract and the copyrights therein shall be owned by Safe Skies. The contractor and subcontractors will be able to publish this material for non-commercial purposes, for internal use, or to further academic research or studies. The contractor and subcontractors will not be allowed to sell the project material without prior approval by Safe Skies.

By signing a contract with Safe Skies, contractors accept legal responsibility for any copyright infringement that may exist in work conducted under PARAS. Contractors are therefore responsible for obtaining all necessary permissions for use of copyrighted material. For guidance on using copyrighted material, please consult “Use of Copyrighted Material” in the *Guidance for Preparing the Final Deliverable* document.

### **4.14 Patents and Inventions**

The disposition of patents and inventions is the responsibility of the contractor and its obligations in this regard are set forth in the contract. Appropriate notice to Safe Skies is required of inventions, discoveries, and patent applications.

### **4.15 Insurance**

Contractors shall be required to maintain either (1) insurance that provides for general liability, automobile usage, worker’s compensation, and employer’s liability as required by law; or (2) self-insurance that provides the equivalent coverage and shall provide to Safe Skies a valid insurance certificate at the time of contract execution, with updated certificates provided at policy expiration.

#### **4.16 Disposition of Equipment**

Subject to acceptance by Safe Skies and the terms of the contract, contractors will have the opportunity to make recommendations for the retention or disposition of equipment acquired with project funds, if applicable.

#### **4.17 Data Rights**

Safe Skies and PARAS shall have the right to duplicate, use, and disclose in any manner and for any purpose whatsoever all data, whether delivered to Safe Skies or not, under the contract and to authorize others to do so.

#### **4.18 Fulfillment of Contract**

Fulfillment of the contract includes submission by the contractor of an acceptable final deliverable. Other actions to be taken in closing out a contract involve audit of contract costs, submission of a final voucher by the contractor, disposition of data and equipment, resolution of patent rights, completion of a certificate of performance and release form, and other related business matters.

## CHAPTER 5 Instructions for Preparing and Submitting Proposals

### 5.1 General

Proposals are invited only in response to the issuance of RFPs by Safe Skies. PARAS projects do **not** operate on a grant basis and therefore, no funds are available to support unsolicited proposals, however meritorious they may be. Projects are structured to seek practical solutions for critical problems that exist nationwide; therefore, only proposers who have extensive, demonstrated capability and experience in the subject problem area should submit proposals. Further, it is expected that this high level of capability will be applied in meeting the commitments of the proposal.

### 5.2 Deadlines

The deadline for receiving proposals is shown on the RFP for each project statement. Proposal deadlines are rigid, and extensions are not granted. **Without exception, all proposals arriving after the deadline shown on the RFP will be rejected.**

Signed copies of proposals are not required. Proposers may withdraw their proposals in writing at any time.

### 5.3 Transmittal

A letter of transmittal is not required with the proposal package. If a proposer elects to send a transmittal letter, it must not include information vital to the proposal. All information that is to be considered as part of the proposal **must** be bound in a **single volume** that will constitute the proposal in its entirety. Each copy must include all information to be considered. While not encouraged, brochures, pamphlets, and other descriptive materials pertaining to the proposer may be included as appendix material. CD-ROMs, video tapes, or computer diskettes are not acceptable for inclusion in proposals, unless specifically identified in the RFP.

### 5.4 Liability Statement

**A Liability Statement is included in the RFP (see Figure 1). In order for the proposal to be accepted, the Liability Statement must be signed by an authorized official of the proposer, and shall not be altered in any way. The statement must be transmitted with the proposal. If a signed Liability Statement is not received by the proposal deadline, or has been altered in any way, the proposal will be rejected.**

## 5.5 Acknowledgment

PARAS will acknowledge that your proposal has been received and will advise submitters of proposals that have been rejected from consideration.

## 5.6 Presentation

Proposers are cautioned to be concise and straightforward in their single-volume proposals. Material that is extraneous and not germane to the research project under consideration will detract from the quality of the proposal. In the interest of saving paper, reducing mailing costs, and easing handling, proposal pages should be printed on both sides, using the lightest bond weight permitting such practice, and maintaining margins of 0.5 to 1 inch. Text should be written using 10-, 11-, or 12-point type. All pages of the proposal shall be numbered.

## 5.7 Organization

All proposal information shall be presented in ten (10) hard copies (unless otherwise stated in the RFP) of a single-bound volume that has been checked by the submitter for completeness and accuracy of detail. **A proposal that does not comply with the instructions in this document will not be accepted.** It is **mandatory** that the proposal contains the following information and that it be presented in the order shown below:

1. Cover
2. Summary Page
3. Table of Contents
4. Research Plan
5. Qualifications of the Research Team
6. Accomplishments of the Research Team
7. Other Commitments of the Research Team
8. Equipment and Facilities
9. Time Requirements
10. Summary of Hours by Task
11. Itemized Budget
12. DBE Plan (if appropriate)

13. Cooperative Features (if appropriate)
14. Appendixes (if appropriate)

For the convenience of the reviewers, Items 4 through 13 should be separated with either color-coded or tab-type dividers so that information may be located quickly.

## **5.8 Details of Essential Content**

1. *Cover:* The cover shall contain the PARAS project number (e.g., PARAS 0001), the title of the project, the name of the submitting proposer, and a “Limited Use Document” clause; copies shall be numbered sequentially from one to ten (or max stated in RFP) in the upper right-hand corner. For guidance, an example of the desired information and layout of the cover is shown in Figure 2.
2. *Summary Page:* The summary page shall immediately follow the cover and shall include the information arranged as shown in Figure 3. The summary page shall contain the project number and title; the name, address, and telephone number of the proposer submitting; the name and address of the proposer with which a joint venture is proposed, if such is the case; the name and title of the person formally submitting the proposal; the name(s) and title(s) of the person(s) who actually wrote the proposal; the name(s), address(es), telephone number(s), and e-mail address(es) of the PI(s) assigned to the project; the name, address, telephone number, and e-mail address of the responsible administrative officer authorized to bind the proposer contractually for the project and to approve the expenditure of project funds; the amount of time proposed to complete the research; and the total amount of the budget contained in the proposal.
3. *Table of Contents:* Self-explanatory
4. *Research Plan:* The research plan shall describe in detail how the research objective will be accomplished, including the submission of an acceptable final deliverable. The plan ultimately becomes a part of the contract by reference of the proposal; therefore, it should describe in a specific and straightforward manner the proposed approach to the solution of the problem described in the project RFP. It should be concise, yet include sufficient detail to describe completely the proposed approach to solving the problem. Research methodology shall be described in sufficient detail to permit evaluation of the probability of success in achieving the objectives. It is emphasized that no pre-proposal briefings or meetings with PARAS staff or project panels are conducted during proposal evaluation and selection. The proposal, therefore, constitutes the one-and-only opportunity for the proposer to state its case. The research plan shall be subdivided into the following sections:

(a) *Introduction:* The introduction to the research plan should provide a concise overview of the proposer's approach to conducting the research. It should describe (1) the manner in which the expertise and experience of the proposed team will be used in the research, and (2) the availability and application of special data, facilities, contacts, or equipment needed, if applicable. The introduction should highlight the linkages of the proposed team's capabilities to the project tasks and the manner by which the proposed plan will satisfy the objectives.

(b) *Research Approach:* This section should be used to describe how the objectives will be accomplished through a logical, innovative, and rational plan. The plan shall describe each phase or task of the proposed research in sufficient detail to allow an informed assessment of the likelihood of success.

(c) *Anticipated Research Results:* The research plan shall contain specific statements describing the anticipated research results and how their application could be promoted. Section 4(c) should include: (1) a summary of the anticipated product(s), e.g., mathematical models, design techniques, field or laboratory test procedures, or guidelines for best practices; (2) a description of their applicability to improving current practice; and (3) an implementation plan. Although the plan will likely evolve during the project, proposers should identify their initial thoughts on activities to promote product application, including: a realistic assessment of impediments to successful implementation; future activities necessary for successful implementation; and criteria for judging the progress and consequences of implementation. If it is known initially that the results will not be amenable to immediate implementation, this section should include recommendations for the additional work necessary to reach the implementation stage.

5. *Qualifications of the Research Team:* Name, address, telephone number, e-mail address, and pertinent background information must be provided for the PI bearing primary responsibility for the project. The same information is required for other research team members who participate to a significant degree. The proposal must describe how the academic, industrial, and/or research experiences of each research team member relates to the project to be undertaken. Short resumes, focused only on information relevant to the project may be included in this section; more extensive resumes or biographies should be included in an appendix (Item 13).
6. Item 5 of the proposal must also include a section labeled "Disclosure" that presents information relevant to possible sources of financial or organizational conflict of interest in conducting the research. For example, under certain conditions, proposer ownership, other organizational relationships, or proprietary rights and interests could be perceived as jeopardizing an objective approach to the research effort, and proposers must disclose any such circumstances. If there are none, this should be stated.

7. Federal, state, transit agency, or airport employees involved in proposals to conduct research must also include in this section a letter signed by the appropriate authority stating that the employee's agency is aware of the proposal and approves of the employee's participation in the proposed research.
8. *Accomplishments of the Research Team:* Proposals shall describe the past accomplishments ("track record") of the research team in the same or closely related problem area of the project to be undertaken. This description should include details concerning all known instances of application to practice of the proposer's research products. If no such knowledge exists, it should be so stated.
9. *Other Commitments of the Research Team:* Proposals shall contain a listing of current organization and personnel commitments to other work during the term of the project in sufficient detail to indicate that the organization and all of the individuals assigned to the proposed project will be able to meet the commitments of the proposal. Staff-hour commitments and percentage of time committed to other work for each member of the proposed research team shall be specified.
10. *Equipment and Facilities:* This section shall describe the facilities available to undertake the research and list the equipment on hand considered necessary to complete the research, if applicable. In the event that use of the facilities or equipment is conditional, the conditions should be described. It should be mentioned if certain facilities or equipment are considered necessary to undertake the research but are not on hand. The proposer should identify any arrangements that will be made to borrow or rent necessary equipment. Letters of commitment should be included to indicate the availability of equipment. Rental rates should be included in the budget. In the rare occasions where it is anticipated that project funds will be used to purchase additional equipment, these expenses should be listed under "capital equipment."
11. *Time Requirements:* The time required to complete the research project shall be clearly stated in the proposal. Proposals will not be rejected if the proposed time does not match the time specified in the RFP; however, the proposer must justify any deviation from the RFP. In addition, a schedule shall be included that shows each phase or task of the work, when that phase or task will begin, how long it will continue, and when it should end. The timetable should clearly delineate the points when project deliverables and reports are planned.
12. *Summary of Hours by Task:* A summary table listing **every principal member of the research team, including consultants and contractors**, their role in the study, level of effort (expressed as the percent of their time on the project over the proposed project period), and their number of hours by task shall be included. The example in Figure 4 should be followed as closely as

possible. Actual hours should be shown rather than months or dollars. In addition, it is preferred that only one table be submitted rather than separate tables by task.

13. *Itemized Budget.* The estimated cost for the project should be based on the proposed performance period. Figure 5 (for the proposed prime researcher) and Figure 6 (one for each borrowed person, consultant, or subcontractor) shall be used to reflect phase and/or task costs to the extent feasible. Please contact the Program Officer for Excel templates of the most up-to-date version of these figures. **Proposals will not be accepted where budgets are in excess of the amount shown in the RFP, and budgets that provide for cost sharing at a combined total cost over and above the total funds available are not encouraged.**

The format in Figure 5 should be used to reflect the costs of the proposed prime contractor only and should include the following:

(a) *Salaries and Wages:* Each employee of the proposed prime contractor to participate in the performance of the project shall be identified by name, role, unloaded hourly rate, and cost presented in the format specified in the terms of Figure 5. It is recognized that the internal policies of some agencies prevent strict conformance with this requirement. If the proposer does not break out indirect costs, but instead uses commercial wage rates (fully burdened hourly rates), those rates should be shown in the budget and supporting information for those rates should be provided.

(b) *Borrowed Personnel:* Proposers shall summarize the reimbursement to other employers for salaries and wages paid by them to their employees released for and directly engaged in the performance of the subject research, plus federal and state payroll taxes and related employee benefit plan costs. Figure 6 should be used to provide a detail breakout of these costs.

(c) *Consultants:* Proposers shall summarize the costs for services of independent consultants deemed necessary for accomplishment of the research. Figure 6 should be used to provide a detail breakout of these costs.

(d) *Subcontracts:* Proposers shall summarize the costs for services of subcontractors deemed necessary for performance of a portion of the research. Figure 6 should be used to provide a detail breakout of these costs.

(e) *Capital Equipment:* Items with a value in excess of \$5,000 per unit required for the conduct of the research shall be listed. Any unit costing more than \$5,000 is subject to approval in advance of purchase, separate from being listed in the budget. Only equipment needed and used exclusively for the research project may be included; general use equipment shall not be approved.

(f) *Materials and Services*: Proposers shall list materials, supplies, and other articles, including the cost of processing; testing; rental of apparatus and equipment from others; preparing, editing, and reproducing reports, including the final report for submission to PARAS; and services not provided for in Items a, b, c, and d above. After the final report has been received and accepted, publication of that report is the responsibility of Safe Skies. Accordingly, the budget should provide only for preparing the number of copies as described in the RFP. If the RFP does not specify the number of copies, proposers should assume the number of copies specified in Section 4 Research Administration, under the section entitled, "Reports." Report publication is the responsibility of Safe Skies; publication costs should not be included in the proposer's cost estimate.

(g) *Other Direct Costs*: Telephone and Internet services, postage, freight, express, etc. shall be included.

(h) *Travel*: Transportation costs plus the per diem allowance for lodging, meals, and incidental expenses established by the U.S. General Services Administration (GSA) shall be listed for persons working directly on the subject research. Details per trip should include number of travelers, estimated transportation (airfare, train, etc.), and per diem. While all travel shall be conducted in accordance with the research proposer's stated travel policies, travel expenses shall not exceed the prevailing Federal Travel Regulations for such travel without prior approval. Most projects include at least one meeting between key members of the research team, the project panel, and Program Officer in Washington, DC; the travel costs for the research team should be included. Approval of individual trips is not required except for costs of travel to scientific and technical meetings.

(i) *Employee Benefit Plan Costs and Payroll Taxes*: Costs of insurance, employees' pension and retirement plans, and federal, state, and local payroll taxes for employees working directly on the subject research shall be included, unless utilizing commercial wage rates. If actual costs are not known, the current costs and taxes should be extrapolated on the basis of previous years' trends to provide the best estimates possible over the entire contract period.

(j) *Overhead*: Unless utilizing commercial wage rates, proposers should include an allowance for overhead costs determined in accordance with their usual method of accounting and generally accepted accounting principles. The current overhead rate should be extrapolated on the basis of previous years' trends to provide the best estimate possible for the anticipated contract period. Proposers should specify the rate and the base on which the overhead is applicable, and include a statement supporting this rate. A negotiation agreement or statement from a federal, state, or local government agency is acceptable for this purpose. A fixed overhead rate is preferred, and the proposer may be asked to agree to fixed indirect rates. The funding allocated for the project does not allow for upward adjustment of indirect rates. If the

proposer does not agree to fixed indirect rates, an upward adjustment will require a reallocation of the budget without an increase in funding.

The costs for borrowed personnel, consultant, and subcontractor should be reflected using Figure 6. One table should be used for each entity.

All fiscal, budget, and other pertinent information must be bound with each proposal, in the single volume required.

Cost analysis of proposals will be conducted by the project panel in coordination with the Program Officer and the Contracts Officer to determine the reasonableness of the proposed itemized budget. A determination of the need for a pre-award audit for financial accountability purposes will be made on a case-by-case basis.

All proposed costs shall be in accordance with applicable government cost allowability requirements. Proposers shall refer to the Office of Management and Budget's "*Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*" at 2 CFR Part 200.

14. *Disadvantaged Business Enterprise Plan:* PARAS encourages participation by disadvantaged business enterprises (DBEs)—small firms owned and controlled by socially and economically disadvantaged individuals; however, it does not have a minimum DBE requirement. Proposers must describe their plan for DBE participation in Item 11, including information on each DBE. Proposers should include the anticipated dollar amount and the percentage of DBE participation relative to the total project budget. Figure 7 should be used to break out the dollar amount for each DBE on the team. If a proposer's team does not include a DBE, a statement to that effect must be included in Item 11.
15. *Cooperative Features:* If assistance in the form of personnel, data, or equipment is required from other organizations, agencies, or individuals (whether public or private), proposers shall describe the plans for obtaining such assistance. Such cooperative features could include paid subcontractors, unpaid volunteer participants, donations or loans of equipment or data, or agreements to provide access to roads or other facilities. A letter of intent from agencies or individuals agreeing to provide these cooperative arrangements should be included in the proposal.
16. *Appendixes:* The appendixes may include statements concerning previous work on issues related to the project, abstracts of related projects, a bibliography or list of references, and brochures or materials describing the proposer's organization and capabilities in general terms. Any other relevant material not specifically mentioned previously may be included as an appendix.

It is expected that proposers will have studied the foregoing instructions and will have complied fully with them. Failure to do so, if not warranting outright rejection, will certainly raise serious questions as to how well the proposer would handle a complex research project and would, therefore, seriously jeopardize the chances of being selected to conduct the work. In matters that require further clarification, proposers should contact the Program Officer with technical questions regarding the RFP. The name and telephone number of the staff member assigned to each project are noted on the RFP.

**Please remember that noncompliance with the following will result in automatic rejection:**

- 1. Proposals must arrive at the address indicated before the deadline shown on the RFP.**
- 2. Proposals must contain, in the order indicated, the items listed in Section 5.8, *Details of Essential Content*.**
- 3. Proposals must be accompanied by an executed, unmodified copy of the Liability Statement. If this statement is not received by the proposal deadline, the proposal will be rejected.**
- 4. Proposal budgets may not exceed the available funds stated in the RFP.**

**Nothing set forth herein shall waive any provision of the contract terms and conditions, which shall be controlling and take precedence with respect to any conflicting provision included in this document.**

**CHAPTER 6 Figures**

**Figure 1**  
**Contractor Liability Statement**

PARAS XXXX

The signature of an authorized representative of the responding proposer is required on the following unaltered statement in order for National Safe Skies Alliance, Inc. (Safe Skies) to accept the proposer’s response for consideration. **Responses submitted without this executed and unaltered statement by the response deadline will be summarily rejected.** An executed, unaltered statement indicates the proposer’s intent and ability to execute a contract that includes the provisions below.

Proposer: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**CONTRACTOR LIABILITY**

- (a) The parties agree that the contractor and its employees and agents (“Contractor”) will be primarily responsible for performing the work required under the contract, and shall therefore be legally responsible for, and shall indemnify and hold Safe Skies harmless for all claims asserted against Safe Skies, its committee members, officers, employees, and agents, by any third parties, whether or not represented by a final judgment, if such claims arise out of or result from Contractor’s negligent or wrongful acts in performing such work, including all claims for bodily injury (including death), personal injury, property damage, and other losses, liabilities, costs, and expenses (including but not limited to attorney’s fees).
  
- (b) With respect to entities of State government that are subject to State law restrictions on their ability to indemnify and hold harmless third parties (“Restricted State Entities”), the

obligation to indemnify and hold harmless Safe Skies in Paragraph (a) shall apply to the full extent permitted by applicable State law. In addition, each Restricted State Entity executing this contract represents and warrants that no part of any research product or other material delivered by such Restricted State Entity to Safe Skies (“Work Product”) shall include anything of an obscene, libelous, defamatory, disparaging, or injurious nature; that neither the Work Product nor the title to the Work Product will infringe upon any copyright, patent, property right, personal right, or other right; and that all statements in the Contractor’s proposal to Safe Skies and in the Work Product are true to the Contractor’s actual knowledge and belief, or based upon reasonable research for accuracy.

- (c) The term “wrongful act” as used herein shall include any tortious act or omission, willful misconduct, failure to comply with Federal, state, or local governmental requirements, copyright or patent infringement, libel, slander or other defamatory or disparaging statement in any written deliverable required under the contract, or any false or negligent statement or omission made by Contractor in its proposal to Safe Skies.
- (d) The obligations in paragraph (a) of this clause to indemnify and hold harmless Safe Skies shall not extend to claims, damages, losses, liabilities, costs, and expenses to the extent they arise out of the negligent or wrongful acts or omissions of Safe Skies, its committee members, officers, employees, and agents.
- (e) Both Safe Skies and Contractor shall give prompt notice to each other upon learning of the assertion of any claim, or the commencement of any action or proceeding, in respect of which a claim under this Statement may be sought, specifying, if known, the facts pertaining thereto and an estimate of the amount of the liability arising therefrom, but no failure to give such notice shall relieve Safe Skies or Contractor of any liability hereunder except to the extent actual prejudice is suffered thereby.
- (f) Safe Skies and Contractor agree to cooperate with each other in the defense of any claim, action, or legal proceeding arising out of or resulting from Contractor’s performance of the work required under this contract, but each party shall control its own defense. Safe Skies shall also have the option in its sole discretion to permit Contractor or its insurance carrier to assume the defense of any such claims against Safe Skies.
- (g) The obligations under this clause survive the termination, expiration, or completion of performance under this contract.

**Figure 2**

Example Cover Page

copy **4**

**Program for Applied  
Research in Airport Security**

**Project Number**

(insert appropriate project number, e.g., PARAS 0001, PARAS 0003)

**Project Title**

(as shown on RFP)

National Safe Skies Alliance, Inc.

LIMITED USE DOCUMENT

This proposal is for use of recipient in selection of a researcher to  
conduct work under PARAS.

**Proposer Name**

**Figure 3**  
**Example Summary Page**

**SUMMARY PAGE**

PARAS Project: (Use number on project statement RFP)

Title: (As shown on project statement RFP)

Proposer: (Name that will appear on contract; include address, phone number, and e-mail address)

Person Submitting Proposal: (Name and title)

Proposal Written by: (Name and title)

Proposal Date:

Principal Investigator: (Name and title, address, telephone number, and e-mail address)

Administrative Officer: (Name and title, address, telephone number, and e-mail address)

Proposed Contract Period: (In months)

Total Contract Amount:                   \$ \_\_\_\_\_

Figure 4

PARAS XXXX

Example of Summary of Hours by Task

Names of Principal Staff Members	Role in Study	Pct. Time Over Contract Period*	Task 1	Task 2	Task 3	Task 4	Task 5	Total
<b>PRIME (Company Name)</b>								
J. Smith	Project Principal	3.1%	8	16	16	8	16	64
S. Jones	Prin. Investigator	33.2%	24	120	240	150	160	694
E. Gonzales	Jr. Planner	36.7%	24	160	300	122	160	766
R. Kim	Admin.	6.5%	16	24	16	40	40	136
Subtotal			72	320	572	320	376	1,660
<b>BORROWED PERSONNEL 1 (Company Name)</b>								
M. Martinez	Researcher	4.0 %	8	20	20	20	16	84
K. Ballard	Researcher	34.5%	40	120	200	200	160	720
T. Richards	Jr. Planner	19.3%	12	60	150	100	80	402
P. Lee	Admin.	3.1%	8	8	8	20	20	64
Subtotal			68	208	378	340	276	1,270
<b>CONSULTANT 1 (Company Name)</b>								
R. Colon	Res. Specialist	8.0%	16	40	40	40	32	168
Subtotal			16	40	40	40	32	168
<b>SUBCONTRACTOR 1 (Company Name)</b>								
M. Huang	Legal Advisor	1.9%	4	10	10	8	8	40
H. McDonnell	Engineer	16.3%	20	60	100	80	80	340
A. Robinson	Transp. Planner	9.9%	6	30	80	50	40	206
G. Thomas	Admin.	1.4%	4	4	4	10	8	30
Subtotal			34	104	194	148	136	616
<b>SUBTOTAL BORROWED PERSONNEL, CONSULTANTS &amp; CONTRACTORS</b>			118	352	612	528	444	2,054
<b>GRAND TOTAL</b>			190	672	1,184	848	820	3,714

\* Total hours divided by 174 hours/month divided by contract months.

PARAS: Guidance for Preparing Proposals

Figure 5

Example of Prime Contract Budget Detail PARAS XXXX\*

(a) Wages (Prime)			Task		Task		Task		Task		Task		Total	
Name	Role in Study	Direct Hourly Rate	Hours	Cost										
				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Subtotal				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<b>(b) Borrowed Personnel (2)</b>														
Entity Name 1				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Entity Name 2				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Subtotal				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<b>(c) Consultants (2)</b>														
Entity Name 1				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Entity Name 2				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Subtotal				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<b>(d) Subcontracts (2)</b>														
Entity Name 1				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Entity Name 2				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Subtotal				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<b>(e) Capital Equipment (Prime)</b>														
Item 1 Description				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Item 2 Description				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Subtotal				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<b>(f) Materials and Services (Prime)</b>														
Item 1 Description				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Item 2 Description				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Item 3 Description				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Subtotal				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<b>(g) Other Direct Charges (Prime)</b>														
Item 1 Description				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Item 2 Description				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Item 3 Description				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Subtotal				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<b>(h) Travel (Prime)</b>														
Trip 1 Description				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Trip 2 Description				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Trip 3 Description				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
Subtotal				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<b>(i) Employee Benefits &amp; Payroll Taxes</b>				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
(If not using fully burdened rates)														
<b>(j) Overhead (Prime)</b>				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
(If not using fully burdened rates)														
<b>GRAND TOTAL PROJECT</b>				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -

Notes: (1) Total hours divided by 174 hours/month divided by contract months.  
(2) Use Figure 6 to provide detail for borrowed personnel, consultants, and subcontractors.

\*Use this form for prime contract only.

**Figure 6**

**Example of Borrowed Personnel, Consultant, and Subcontract Budget Detail PARAS XXXX\***

**Entity Name:** \_\_\_\_\_

<b>Wages</b>			<b>Task 1</b>		<b>Task 2</b>		<b>Task 3</b>		<b>Task 4</b>		<b>Task 5</b>		<b>Total</b>	
<i>Name</i>	<i>Role in Study</i>	<i>Direct Hourly Rate</i>	<i>Hours</i>	<i>Cost</i>	<i>Hours</i>	<i>Cost</i>								
				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<b>Subtotal</b>				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<b>Materials and Services</b>														
<i>Item 1 Description</i>				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<i>Item 2 Description</i>				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<i>Item 3 Description</i>				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<b>Subtotal</b>				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<b>Other Direct Costs</b>														
<i>Item 1 Description</i>				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<i>Item 2 Description</i>				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<i>Item 3 Description</i>				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<b>Subtotal</b>				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<b>Travel</b>														
<i>Trip 1 Description</i>				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<i>Trip 2 Description</i>				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<i>Trip 3 Description</i>				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<b>Subtotal</b>				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<b>Employee Benefits &amp; Payroll Taxes</b>				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<i>(If not using fully burdened rates)</i>														
<b>Overhead</b>				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -
<i>(If not using fully burdened rates)</i>														
<b>TOTAL</b>				\$ -		\$ -		\$ -		\$ -		\$ -		\$ -

\*Use this form for borrowed personnel, consultants, and subcontractors, one form per entity.

**Figure 7**

**Example of Disadvantaged Business Enterprise Participation**

**Plan Proposer:**

**Date:**

**Project Number: PARAS XXXX**

Company Name	Relation to Prime (Check One)		DBE Type (Check One)		Budgeted Amount (\$)
	Prime	Subcontractor	Minority-owned	Woman-owned	

*Instructions: In the table above, list each DBE on your team, its relationship to the lead proposer, the DBE type, and the dollar amount budgeted.*