



DAF Alternate Authorities Guide

Department of the Air Force (DAF)

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Guide Admin Note:
To access hyperlinks within the guide:

- Right click
- Select "copy link location"
- Paste into your preferred internet browser



Injecting Speed and Innovation in Contracting

ALTERNATE AUTHORITIES

- ◆ [10 U.S.C. § 4001](#), Research & Development Projects and [10 U.S.C. § 4141](#), Award of Grants and Contracts to Colleges and Universities: Requirement of Competition
- ◆ [10 U.S.C. § 4021](#), Research Projects: Transactions Other than Contracts and Grants (Commonly Referred to as Research Other Transactions)
- ◆ [10 U.S.C. § 4022](#), Authority of the Department of Defense to carry out certain prototype projects (commonly referred to as OTs for Prototype or OTPs)
- ◆ [10 U.S.C. § 4023](#), Procurement for Experimental purposes
- ◆ [10 U.S.C. § 4025](#), Prizes for Advanced Technology Achievements & [15 U.S.C. § 3719](#), Prize Competitions
- ◆ [15 U.S.C. § 3715](#), Use of partnership Intermediaries & [10 U.S.C. § 4124](#), Centers for Science, Technology, and Engineering Partnership

Note: DFARS 212.70 implements 10 U.S.C. 3458 for the acquisition of innovative commercial products or commercial services through the use of a general solicitation known as a commercial solutions opening (CSO). A CSO can result in a FAR-based contract or agreement (e.g. other transaction). See the [CSO Library](#) in the Acquisition Toolbox for additional information on CSOs.



Welcome to the DAF Alternate Authority Guide!

This guide provides information on 6 Alternate Authorities available across the DAF. Ensure your Organization has been delegated authority prior to use. The guide is intended for the entire DAF multi-functional team including program/project managers, Grants Officers/Specialists, Agreements Officers (AOs)/Specialists, Contracting Officers/Specialists, Contracting Officers (COs), Systems Engineers, Financial Managers, Small Business Representatives, and Legal Counsel. This guide is organized by Alternate Authority. The categories discussed within each authority include: Statutes, Guides/Memorandums/Sites, Warrant Requirements, Approvals, and Other Key Highlights.

Consult with legal counsel for interpretation of statutory, regulatory, and formal policy requirements. If a strategy, practice, or procedure is in the best interest of the Government and is not prohibited by law, regulation, or Executive Order, the Government team should assume it is permitted.



General Information

GENERAL WARRANT REQUIREMENTS

The following applies to all DAF Warrants issued for an Alternate Authority. Please see the warrant information applicable to each individual alternate authority.

The Head of the Contracting Activity (HCA) Delegations of Grant Authority, Other Transactions Authority, Procurements for Experimental Purposes, and Cooperative Agreement Authority are in DAFFARS MP5301.601(a)(i) Department of the Air Force Approval Authority Matrices, Table 3 or as specified in the Head of Contract Activity Designation memo for Space Development Agency and Space Rapid Capabilities Office. Senior Contracting Officials (SCOs) must provide appropriate oversight to ensure Grant Officers, Contracting Officers (CO)s and Agreements Officers (AOs) do not bind the Government in excess of their warrant authority and provide a formal process for terminating appointments. The warrant information listed in each alternate authority section of this guide represents the minimum DAF requirements for agreement and grant warrants. When a candidate must have an active Contracting Officer warrant; this may be limited or unlimited. SCOs can establish additional requirements that comply with applicable statutes and regulations.

All warrants are issued on a SF 1402, the applicable authority and any limitations must be identified. DAF Grants Officer and AO warrants (including Research OTs, Prototype OTs and Cooperative Agreements) may be transferable within the DAF, in accordance with local procedures.



Grants & Cooperative Agreements

Statutes:

[10 U.S.C. § 4001](#), Research & Development Projects and [10 U.S.C. § 4141](#), Award of grants and contracts to colleges and universities: requirement of competition

[32 CFR § 21: DoD Grants & Agreement Regulations \(DoDGARS\)](#)

Executive Office of the President, Office of Management and Budget Memorandum, [M-21-03 Improvements in Federal Spending Transparency for Financial Assistance](#)

[Financial Assistance Award Data Collection \(FAADC\) Help Guide](#)

Note: Refer to General Warranting Guidance on Page 3 of this Guide

A Grants Officer candidate must meet the DoDGARS 32 CFR 21.440(a) standards and complete DAU GRT 201 Grants and Agreements Management. DAF Cooperative Agreements must be executed in accordance with DoDGARS §21.435 through §21.455 and signed by a warranted grants officer.

Statute does not require approval for use of this authority. However, check with your local policy office for SCO or below requirements.

REPORTING REQUIREMENTS

Grants and cooperative agreements are also reported using the [Financial Assistance Award Data Collection \(FAADC\) Tool](#). Refer to the DPC memo for additional guidance.

Guides/Memos

Warrant Requirements

Approvals

Other Key Highlights



Research Other Transactions

Statute:

10 U.S.C. § 4021, Research projects: transactions other than contracts and grants (commonly referred to as Research Other Transactions)

Office of the Under Secretary of Defense for Research and Engineering (OUSDR&E) **Guide to Research Other Transactions Under 10 U.S.C. 4021**

Guides/Memos

OMB Memorandum M-21-20, **Financial Assistance Award Data Collection (FAADC) Help Guide**, dated 19 Mar 2021

Note: Refer to General Warranting Guidance on Page 3 of this Guide

Warrant Requirements

An AO candidate must have an active Contracting Officer warrant (limited or unlimited). At a minimum, candidate must complete DAU CON 0660, Other Transactions Course. Additional training and resources are available in the **Acquisition Toolbox - Other Transactions Library**.

Approvals

Statute does not require approval for use of this authority. However, check with your local policy office additional requirements.



Research Other Transactions (cont.)

MANDATORY AND SUGGESTED TERMS AND CONDITIONS (ARTICLES)

Adversarial Deterrence is an ongoing National Security initiative. Therefore, DAF OT AOs shall review and include the security related articles listed in the document [Mandatory and Suggested Other Transaction Terms and Conditions \(Articles\)](#) posted in the Acquisition Toolbox - Other Transactions Library. The original FAR/DFARs clauses these articles originate from should be tailored appropriately for an OT. However, the premise should be conveyed to the offeror/awardee.

REPORTING REQUIREMENTS

Research OTs are required to be reported to the [Financial Assistance Award Data Collection \(FAADC\) Tool](#).

DAF Additional Required Other Transaction Reporting. In addition to the required DoD coding, [DAF OT Reporting](#) is required for new other transaction awards (10 U.S.C. § 4021) and modifications that increase the value of previously awarded OTs. AOs may be contacted by the SAF/AQCP annually to provide additional information requested by OSD/DPC to support the annual Report to Congress or other ad hoc reports.

Other Key Highlights



Other Transactions for Prototype (OTP)s

Statute:

10 U.S.C. § 4022, Authority of the Department of Defense to carry out certain prototype projects (commonly referred to as OTs for Prototype or OTPs)

Office of the Under Secretary of Defense for Acquisition and Sustainment (OUSD(A&S))
Other Transactions Guide, dated July 2023 V2.0

OUSD(A&S)/DPC Memorandum, **Required and Recommended Use of eBusiness Tools When Awarding and Administering Other Transactions**, dated 12 July 2022

SAF/FMB Memorandum, **Fiscal Policy for Prototype Funding, 10 U.S.C. § 4022**, dated 23 January 2023

SAF/AQC Memorandum, DAF Alternate Authorities Guide, dated TBD

Determination for Use of OT Authority Template

Note: Refer to General Warranting Guidance on Page 3 of this Guide

An AO candidate must have an active Contracting Officer warrant (limited or unlimited). At a minimum, candidate must complete DAU CON 0660, Other Transactions Course. Additional training opportunities identified in the **Acquisition Toolbox - Other Transactions Library**

Guides/Memos

**Warrant
Requirements**



Other Transactions for Prototype (OTP)s

Approvals

In accordance with 10 U.S.C. § 4022, approval to award an OTP and/or follow-on production OT or contract must be made on an individual basis for each transaction. The approval authorities for the award of OTPs and follow-on production awards (OTs and FAR-based procurement contracts) are in Table 1. When modifying an OTP or Follow-On Production award, a new determination is required once the cumulative value of the OTP or Follow-on Production rises to the next approval level. If the change only results in a cumulative value increase within the same approval threshold, a new determination does not need to be processed.

Reference	Transaction Type	Transaction Value	Approval Authority
SAF/AQC Policy Memo 24-C-04	Other Transaction Prototype (OTP)	≤\$100M	SCO (Delegable to no lower than the AO) -For space programs and systems, as delegated by the HCA
10 U.S.C. §4022(a)(2) (A)	OTP Project	>\$100M ≤ \$500M	Assistant Secretary of the Air Force for Acquisition, Technology and Logistics (SAF/AQ) for non-space programs and systems —Or— Assistant Secretary of the Air Force for Space Acquisition and Integration (SAF/SQ) for space programs and systems
10 U.S.C. §4022(a)(2)	OTP Project	>\$500M	USD(R&E) or USD(A&S) (Not Delegable)
SAF/AQC Policy Memo 24-C-04	Follow-on Production Contract or OT	≤\$100M	PEO/PM/Requiring Official (GS-15/Colonel or equivalent only)
10 U.S.C. §4022(a)(2) (C)	Follow-on Production Contract or OT	>\$100M	SAF/AQ or SAF/SQ (Not Delegable)

Table 1 – Other Transactions for Prototypes Approvals



Other Transactions for Prototype (OTP)s

MANDATORY AND SUGGESTED TERMS AND CONDITIONS (ARTICLES)

Adversarial Deterrence is an ongoing National Security initiative. Therefore, DAF OT AOs shall review and include the security related articles listed in the document ***Mandatory and Suggested Other Transaction Terms and Conditions (Articles)*** posted in the Acquisition Toolbox - Other Transactions Library. The original FAR/DFARs clauses these articles originate from should be tailored appropriately for an OTP. However, the content/premise should be conveyed to the offeror/awardee.

OTP FUNDING

SAF/FMB issued a memorandum titled, ***Fiscal Policy for Prototype Funding, 10 U.S.C. § 4022*** dated 23 Jan 2023, which provided relevant background and fiscal policy concerning funding of prototype activities conducted under Title 10 U.S.C. § 4022 authorities. AOs must have a firm understanding as they engage with their teammates in the financial management and legal communities on OTP funding questions. The DAF OT Library housed in the Acquisition Toolbox contains **funding examples** of OTPs for systems, supplies, construction, and follow-on production options, by type of appropriation that serves to demonstrate the analysis the team should conduct. These examples do not represent all OTP funding scenarios; AOs should work closely with their financial management on a case-by-case basis to ensure compliance with DAF and OSD guidance.

Other Key Highlights



Other Transactions for Prototype (OTP)s

EBUSINESS TOOLS AND FPDS REPORTING

In accordance with OUSD(A&S)/DPC Memorandum, ***Required and Recommended Use of eBusiness Tools When Awarding and Administering Other Transactions***, dated 12 July 2022 FPDS is required for OTPs and/or Follow-on Production contracts or OTs. Refer to the DPC memo for additional specific guidance.

DAF Additional Required Other Transaction (10 U.S.C. § 4022) Reporting. In addition to the required DoD coding, **DAF OT Reporting** is required for new other transaction awards (10 U.S.C. § 4022) and modifications that increase the value of previously awarded OTs. AOs may be contacted by the SAF/AQCP annually to provide additional information requested by OSD/DPC to support the annual Report to Congress or other ad hoc reports.

**Other Key
Highlights**

Procurement for Experimental Purposes



Statute:

Guides/Memos

Warrant Requirements

10 U.S.C. § 4023, Procurement for experimental purposes

Office of the Under Secretary of Defense for Acquisition and Sustainment (OUSD(A&S)) **Other Transactions Guide**

OUSD(A&S)/DPC Memorandum, **Required and Recommended Use of eBusiness Tools When Awarding and Administering Other Transactions**, dated 12 July 2022

Procurements for experimental purposes authorizes the Government to acquire quantities necessary for experimentation, technical evaluation, assessment of operational utility, or to maintain a residual operational capability. This authority can result in a contract or otherwise. Therefore, candidate must have an active Contracting Officer Warrant (limited or unlimited), Grants Officer Warrant, or Agreements Officer Warrant for the type of instrument and \$ value to be awarded. For example, if an award will be made via a FAR-based contract, a Contracting Officer warrant at the appropriate dollar amount is required. If award will be made via an OT (prototype or research), a grant/cooperative agreement, or other agreement, a warrant for the applicable authority is required. The Grants Officer or AO warrant should be issued in compliance with the general DAF guidelines on page 3 of this guide and the specific requirements outlined in the applicable Alternate Authority Section.



Procurement for Experimental Purposes (cont.)

Approvals

The authority to take appropriate actions with respect to 10 U.S.C. § 4023 has been delegated to the SCOs listed in DAFFARS 5302.101 (see MP5301.601(a)(i) Table 3). SCOs may further delegate within their chain of responsibility, in writing, under such terms, conditions, and limitations as deemed appropriate. This authority may result in the award of a contract, or other instrument such as, but not limited to, an OT like agreement or cooperative agreement. In accordance with 10 U.S.C. § 4023, a separate approval to exercise this authority is not required. However, the acquisition strategy or other memorandum for record; as applicable depending on the type of vehicle used for award, must include the following:

- ◆ A description of the item (s) to be purchased and dollar amount of purchase,
- ◆ A description of the method of test/ experimentation,
- ◆ The quantity to be tested, and
- ◆ A definitive statement that use of this authority is determined to be appropriate for the acquisition in support of the national

REPORTING REQUIREMENTS

Procurements for experimental purposes do not create a new type of award, users should follow the reporting rules applicable to the instrument for award. Refer to the DPC memo for additional specific guidance.

Other Key Highlights



Prize Challenges

Statutes:

10 U.S.C. § 4025, Prizes for advanced technology achievements

15 U.S.C. 3719, Prize Competitions

Executive Office of the President, Office of Management and Budget Memorandum, **Prize Authority in the America COMPETES Reauthorization Act**

Guides/ Memos/Sites

Office of the Under Secretary of Defense for Research and Engineering (OUSD(R&E)) **DoD Prototyping Guide**

Office of Assistant Secretary of the Air Force (Acquisition, Technology & Logistics) **Agile Acquisition Handbook**

Site To Be Used for all Federal Challenges:
Challenge.gov

Warrant Requirements

This authority can result in a procurement contract or other agreement. Therefore, candidate must possess an active Contracting Officer Warrant (limited or unlimited), Grants Officer Warrant, or Agreements Officer Warrant for the type of instrument and \$ value to be awarded. For example, if an award will be made via a FAR-based contract, a Contracting Officer warrant at the appropriate dollar amount is required. If award will be made via an OT (prototype or research), a grant/cooperative agreement, or other agreement, a warrant for the applicable authority is required. The Grants Officer or AO warrant should be issued in compliance with the general DAF guidelines on page 3 of this guide and the specific requirements outlined in the applicable Alternate Authority Section.



Prize Challenges (cont.)

Approvals

Reference	Transaction Type	Transaction Value	Approval Authority
10 U.S.C. §4025(c)(1)	Prize Challenge	Prize w/ a fair market value more than \$10M	*COORD through DAF SAE (SAF/AQ) *APPR: Under Secretary of Defense for Research & Engineering
10 U.S.C. §4025(c)(2)	Prize Challenge	Award more than \$1M in cash prizes	*COORD through DAF SAE (SAF/AQ) *APPR: Under Secretary of Defense for Research & Engineering
10 U.S.C. §4025(c)(3)	Prize Challenge	Non-monetary prize w/a fair market value more than \$10K	*COORD through DAF SAE (SAF/AQ) *APPR: Under Secretary of Defense for Research & Engineering
10 U.S.C §4025 (g)(1)	Prize Challenge	NLT 15 days after award of a fair market value of more than \$10M	Written Notice of Award should be sent to congressional defense committees. Content of Notice found in 10 U.S.C §4025(g)(2)(A-E)

* Unless further delegated, the approval authority for prize challenges, below these transaction values, is the SAE

Other Key Highlights

- May be used on procurement contracts and agreements to recognize outstanding achievements in basic, advanced, and applied research, technology development, and prototype development that
 - 1) Have the potential for application to the performance of the military missions of the DoD; or
 - 2) Demonstrate management practices that improve the schedule or performance, reduce the costs, or otherwise support the transition of technology into acquisition programs or operational use
- May be carried out in conjunction with or in addition to the exercise of any other authority of the applicable approval official



Partnership Intermediary Agreement (PIA)

Statutes:

15 U.S.C. § 3715, Use of partnership intermediaries
10 U.S.C. § 4124, Centers for Science, Technology, and Engineering Partnership

Guides/ Memos/Sites

Air Force Instruction (AFI) 61-301, Scientific/Research and Development; PIA OPR Roles and Responsibilities
DAF Technology, Transfer & Transition (T3);
General PIA Resource and Training Site

Warrant Requirements

Note: Refer to General Warranting Guidance on Page 3 of this Guide

To issue a PIA contract, agreement, or memorandum of understanding with a non-profit partnership intermediary to engage academia and industry on behalf of the Government to accelerate tech transfer and licensing, an active Contracting Officer warrant (limited or unlimited) is required. DoD authorizes Science and Technology Reinvention Laboratories (STRs) Center Directors to use PIAs. STRL designated organizations within the DAF are Air Force Research Laboratory.

Approvals

Authority to enter into a PIA must be approved by SAF/AQR, per AFI 61-301. Submit requests for new PIAs to AFRL/SPT for processing.

Other Key Highlights

To use a PIA, the need must be for technology transfer and/or transition services.