



BROAD AGENCY ANNOUNCEMENT (BAA)

Human Social Cultural and Behavioral Sciences (HSBC) Applied Research and Advanced Technology Development

This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and 35.016, the Department of Defense Grants and Agreements regulations (DoDGARS) 22.315(a), and DoD's Other Transaction Guide for Prototypes Projects, USD(AT&L), OT Guide, Jan 2001. A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued.

The Office of Naval Research (ONR) will not issue paper copies of this announcement. The ONR reserves the right to select for award all, some or none of the proposals in response to this announcement. The ONR reserves the right to fund all, some or none of the proposals received under this BAA. ONR provides no funding for direct reimbursement of proposal development costs. Technical and cost proposals (or any other material) submitted in response to this BAA will not be returned. It is the policy of ONR to treat all proposals as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

I. GENERAL INFORMATION

1. Agency Name –

Office of Naval Research
One Liberty Center
875 N. Randolph Street
Arlington, VA 22203-1995

2. Research Opportunity Title -

Human Social Cultural and Behavioral Sciences (HSBC) Applied Research and Advanced Technology Development

3. Program Name –

Human Social Cultural and Behavioral Sciences

4. Research Opportunity Number -

ONRBAA11-014

5. Response Date -

White Papers: 18 April 2011

Full Proposals: 13 June 2011

6. Research Opportunity Description -

In 2008 the Office of the Secretary of Defense (OSD) established the Human Social Culture Behavior (HSCB) Modeling Program. The mission of this six-year program is to research, develop, and transition technologies, tools, and systems that will help operations planners, intelligence analysts, operations analysts, and wargamers represent, understand, and forecast socio-cultural behavior at the strategic, operational and tactical level. The HSCB Program has the following objectives:

- Advance understanding of the influence of socio-cultural factors on behavior as it applies to military-relevant contexts and environments, and provide empirically validated theories that can be instantiated in computational models.
- Provide new methods and technology, validated computational models, and software to assist warfighters and others in considering socio-cultural behavior factors for analysis, planning, and operations.
- Develop methods and tools for flexible delivery of training of socio-cultural knowledge, skills, and abilities at tactical and operational levels.
- Develop methods and tools for the collection, generation, standardization, integration, and transfer of socio-cultural data for use in computational models and decision support systems

Cutting across all of these objectives is the core goal of the HSCB Program, to support the integration of methods and tools developed into existing systems so as to provide the warfighter with improved capabilities to operate in a varied and dynamic socio-cultural behavior landscape. The four topic areas below support the four objectives above and have been broken out into Applied Research and Advanced Technology Development focus areas; however the topics are not considered to be mutually exclusive and White Papers and proposals that address multiple topics are encouraged.

Topic 1 - **Data collection and management**. Variations in conditions (e.g., infrastructure, literacy), the state of conflict (e.g., Phase 0, SSTR, hostile conflict) and accessibility (e.g., denied environments, hostile terrain, ungoverned spaces, allied government) can impede the collection, analysis and application of valid socio-cultural behavior data necessary for understanding the operational environment. Applied research and advanced technology development are needed to (a) specify the challenges; (b) develop and validate new collection methods and tools; and (c)

develop standards, methods and systems for managing data so that it can be used in models and ingested for analysis by automated information processing systems.

Applied Research

We seek proposals to address the challenge of collecting valid socio-cultural behavior data in austere environments. We are interested in proposals that identify and validate—both theoretically and empirically—methods and tools for collecting data where access by warfighters or partner personnel to local populations is denied or hazardous, making conventional methods (e.g., polling, surveys, focus groups, interviews) impractical or ineffective. One promising area is extraction of data from social media (e.g., blogs, tweets, podcasts, forums, and other data "splurges" from YouTube video to Flickr photo streams). However, we are also interested in the challenge of collecting data on populations where technological development severely limits access to electronic communication, such that obtaining data on media consumption, use of social media or related technologies, and anything other than face-to-face interactions to collect information is not feasible. Finally, we are interested in proposals to address the challenge of collecting valid data on populations where an oral communication tradition dominates. In such cases, conventional collection and analysis of text sources (e.g., using human language technologies) will be of little value. Applied research is needed to identify methods for collecting data that can be integrated with conventional socio-cultural behavior data and, ultimately, used for computational modeling of that behavior. Proposals should address issues of scalability and applicability of methodology and resulting data at tactical, operational and strategic levels.

Advanced Technology Development

- Present methods for tactical level data collection are ad hoc, are either not science-based or require the support of subject-matter experts, and do not rapidly yield interpretable analysis. We seek proposals to develop an HSCB system fieldable to small units (platoon, squad) which is capable of assisting in the collection of HSCB data from open sources including media, blogs, etc., as well as managing corpora of conventionally collected (polling, surveys, etc.) HSCB information, and automatically/ semi-automatically transforming this generally unstructured information into a structured, ontological format suitable for analysis and reporting. This capability must (1) be useable by junior military personnel who have few or no hours of training and who lack social science expertise; (2) allow the collection and interpretation of operationally relevant social-cultural information; and (3) not require the support of a reach back cell. Analysis must be available in hours after data input using standard "laptop" computing power.
- Socio-cultural behavior data is complex, often qualitative, and frequently has been collected with widely varying methodologies. This is a key technical challenge to integrating this data into the development of an overall battle-space operational picture. To leverage this data for rigorous analysis, what is needed are standards, methods, and systems that will support identification, collection, automated extraction, and tagging of

socio-cultural behavior data in ways that enable it to be ingested and analyzed by automated information processing systems. Proposed approaches need to address socio-cultural behavior data that includes both structured and unstructured data. Furthermore, proposed approaches need to ensure that metadata on provenance, accuracy, and currency are maintained on the data. Proposed work will define a knowledge management system and supporting ontology for a sociocultural data center. Therefore proposals should describe a methodology for eliciting and documenting the information requirements for such a center.

Topic 2 – Multi-scale and hybrid modeling of regional and subregional stability. One of the great challenges associated with understanding socio-cultural behavior is its complexity, in terms of both the number of factors at play and the scales across which behaviors are related. Regional level outcomes are impacted by national level dynamics, which in turn are related to subregional and local drivers. This is of particular interest to the U.S. geographic combatant commands (COCOM) given the expansive and highly diverse areas of operation that they must cover and the variety of operations with which they may be involved (e.g., Counterinsurgency Operations (COIN); Stability, Security, Transition, and Reconstruction (SSTR); theater security operations; stability operations; and training or exercises with partner states). We seek proposals for applied research and advanced technology development that will leverage multi-scale and hybrid modeling to enhance DoD ability to monitor and anticipate changes in political, social, and economic stability, particularly for regional and subregional levels. Proposers must demonstrate their understanding of the major technical challenges associated with either multi-scale or hybrid modeling, and the validity and feasibility of their approaches to meeting those challenges.

Applied Research

- We seek applied research that will inform multi-scale and/or hybrid modeling of regional and subregional economic, political, and social stability in the US Europe Command (USEUCOM), US Africa Command (USAFRICOM), US Pacific Command (USPACOM), US Central Command (CENTCOM), and/or US Southern Command (USSOUTHCOM). Research should focus on validating and integrating social scientific theory; on methods/designs for instantiating that theory in multi-scale and/or hybrid models; and on developing indicators of political, social, and economic instability. One focus of interest is the complex interrelationships between natural disasters—often exacerbated by manmade environmental perturbations—and unstable governments. A research design based on historical data of past events and interventions would allow military and other aid agencies to better predict regions or circumstances that would require crisis intervention under social conditions that could deteriorate rapidly. We are also interested in research that will build understanding of which Diplomatic, Information, Military, Economic (DIME) Course of Action (COA) could be taken pre-crisis to mitigate the need for intervention. Proposers should demonstrate familiarity with the operational challenge space of one or more of the US geographic combatant commands.

Advanced Technology Development

- Develop and deliver field testable prototype multi-scale and/or hybrid models to support monitoring and forecasting of political, social, and economic instability in the USEUCOM, USAFRICOM, USSOUTHCOM, USCENTCOM, and/or USPACOM Area Of Operation (AOR). Proposers should specifically address how to model instability for contexts where data availability and quality are poor. We encourage attention to how geographic sources, techniques, and modeling methodologies could be leveraged. Performers will be required to deliver software that can be subject to testing and evaluation using government-provided data. See the overall guidelines for Advanced Technology Development discussed later in paragraph 11. Instability models should focus upon anticipating unexpected consequences of actions (e.g., 2nd and 3rd order effects, cascading effects) in social, political, economic, and/or cultural realms and how these effects play back into societal and cultural change and evolution, at the regional, national, and sub-national levels. Specific questions of interest include, but are not limited to, the following:
 - Socio-cultural patterns of life—develop capabilities to identify, analyze and visualize typical movement and migration patterns in sociocultural groups to better understand significant deviations from normal patterns. An example focus of interest is crime hot spotting (i.e., identification of patterns across geographic space and time), including analysis of issues such as illicit trafficking, transnational organized crime, financial crime, corruption, and/or hate crime.
 - Vulnerability assessment models that address resiliency—the social, political, economic, and cultural impacts and outcomes of phenomena such as man-made and natural disasters, pandemic or epidemic outbreak, macro-level terrorism events and/or technological disaster.
 - Requirements, pressures, and challenges associated with democratization processes across transitional and transitioned countries.

Proposers should demonstrate familiarity with the operational challenge space of USEUCOM, USAFRICOM, USSOUTHCOM, USCENTCOM, and/or USPACOM. Proposers should demonstrate their familiarity with international data sets that would support COCOM-oriented modeling. Performers will be required to deliver software that can be subject to testing and evaluation using government-provided data. See overall guidelines for Advanced Technology Development discussed later in paragraph 11.

Topic 3 – Analysis and modeling of non-kinetic Courses of Action (COAs). Kinetic courses of action have been thoroughly explored in simulations, experiments, and military exercises, and their effects have been quantified throughout the history of warfare (e.g., casualties, injuries, land/resources acquired or lost). Non-kinetic COAs are becoming more and more widely used in complex operations such as Irregular Warfare (IW), COIN, and SSTR where the primary objective is to impact general populations rather than armed forces. Yet they are less well-understood, more difficult to simulate, and their effects have proven harder to measure and assess. The challenges are compounded by the fact that, increasingly, non-kinetic COAs are being planned and executed as part of what may be called the comprehensive approach to operations (CA), which “integrates the tools of statecraft with [our] military forces, international partners, humanitarian organizations, and the private sector to achieve unity of effort towards a

shared goal.”¹ In the CA to operations, the military must operate synchronously alongside other agents with widely divergent resources, organizational structures, missions, goals and objectives, methods, standards, and competencies. Needed are methods and models to support the U.S. military’s planning and execution of non-kinetic COAs, given these characteristics of contemporary complex operations. The desired end state is the ability to identify, simulate, forecast, and measure the interactive effects of kinetic and non-kinetic COAs.

Applied Research

- We seek proposals to develop resources, methods, and tools to build US capability to specify and understand the discrete effects of non-kinetic COA. The PMESII framework provides some structure for identifying potential effects.² Applied research should focus on building understanding of possible non-kinetic actions, indicators of impacts of those actions, methods for collecting data on those indicators, and techniques for conducting analysis of the effects of COA on the operational environment. Proposers should demonstrate their familiarity with the characteristics and challenges of the comprehensive approach to operations.³ Performers must provide the scientific theory basis and testable methods for demonstrating the effects of non-kinetic COA.

Advanced Technology Development

- Develop and deliver prototype models of the interactive effects of kinetic and non-kinetic COA across the PMESII spectrum. We are particularly interested in forecasting the second and third order effects of communication and non-kinetic actions, and forecasting of how a given population’s vulnerability to influence by US/allied adversaries may be impacted by the interaction of kinetic and non-kinetic COA. As with other Advanced Technology Development topics, performers will be required to deliver within one year prototype software that can be field tested and evaluated using government-supplied data. See overall guidelines for Advanced Technology Development on discussed later in paragraph 11.

Topic 4 – Training methodologies Given the wide range of cultures that personnel will serve in over the course of their careers, both general cultural competencies and culture/region-specific training are needed. Research emphasis is needed to determine how best to provide both culture general and culture specific training, including how to specify the desired learning outcomes for training. In addition, there remains a need to develop tools for training socio-cultural behavior skills at the tactical level. Proposers should acknowledge that there is significant research and development underway across DoD that is focused on enhancing the effectiveness of language and cultural training.

¹ US Army Field Manual 3-07, *Stability Operations*, October 2008, page 1-4.

² PMESII refers to the dimensions of the operating environment that may be impacted by various COA: political, military, economic, social, information, and infrastructure.

³ Search NATO resources for information on the CA to operations. Related concepts include DIME (diplomatic, information, military, and economic), whole of government, and JIMP (Joint Interagency Multinational and Public).

Proposers should discuss how their research will advance the state of the practice in DoD training. Among the metrics that may be used to gauge the progress and impact of performers are the following:

- Increasing the relevance of training by addressing learning objectives specifically tailored to performance requirements;
- Reaching larger numbers of personnel, especially for certain types of training that is currently provided via live role players at training centers;
- Reducing costs;
- Increasing the speed with which culture-specific training can be developed and delivered;
- Reducing time to train;
- Increasing fidelity, not only of the physical environment (e.g., making the simulation background realistic) but also of the task (e.g., closely matching the psychological- or performance-oriented challenges of a mission);
- Demonstrating training transfer and effectiveness, i.e., individuals or units who've had the training perform their missions better than those who didn't.

Applied Research/Advanced Technology Development

We are interested to receive proposals for either applied research or advanced technology development on the following two topics:

- We are seeking proposals to develop, demonstrate, and validate methods for accelerating the development and delivery of materials for new regions. Developing training content for specific regions/cultures currently is time consuming and expensive. Yet it is essential that DoD be able to quickly develop training (or adapt existing training) to prepare the warfighter to engage in novel socio-cultural settings. Proposers should discuss how novel methods can be employed while maintaining the validity and accuracy of the content.
- We are seeking proposals for development and demonstration of methods and/or tools for virtual training of cultural skills. Deliverables should support training of skills that go beyond meet-and-greet interactions between US operations personnel and local populations. Also, deliverables should support training that is role-specific, i.e., that matches a trainee's role WRT to cultural interactions and level of current expertise or experience. Current approaches to tailoring rely heavily on specific branching chains within specific scenarios of a particular product, which provides insufficient flexibility and makes validation against learning objectives difficult. Virtual cultural training requires robust modeling and simulation capability to provide accurate representations of human behavior. The ability to provide effective virtual training requires improvement in culturally accurate training scenarios, theoretically valid instantiation of behavior in models, small unit performance assessment for non-kinetic actions, and capabilities to assess and measure learning of non-kinetic/cultural skills. Performers will be required to deliver a prototype within one year. See overall guidelines for Advanced Technology Development discussed later in paragraph 11.

7. Point(s) of Contact -

Questions of a technical nature shall be directed to the cognizant Technical Point of Contact, as specified below:

Science and Technology Point of Contact:

Dr. Ivy Estabrooke

Program Manager, Human Social Cultural and Behavioral Sciences

Expeditionary Maneuver Warfare and Combating Terrorism S&T, Code 30

875 N. Randolph St, Room 1143E, Arlington VA 22203-1995

Email Address: ivy.estabrooke@navy.mil

Questions of a business nature shall be directed to the cognizant Contract Specialist, as specified below:

Business Point of Contact:

Millie Abdi, Contract Specialist

ONR Code 255

875 N. Randolph St., Arlington, VA 22203-1995

Email Address: misale.abdi@navy.mil

Questions submitted within 2 weeks prior to a deadline may not be answered, and the due date for submission of the white paper and/or full proposal will not be extended.

Amendments will be posted to one or more of the following web pages:

- Federal Business Opportunities (FEDBIZOPPS) Webpage – <https://www.fbo.gov/>
- Grants.gov Webpage – <http://www.grants.gov/>
- ONR Broad Agency Announcement (BAA) Webpage – <http://www.onr.navy.mil/en/Contracts-Grants/Funding-Opportunities/Broad-Agency-Announcements.aspx>

8. Instrument Type(s) -

Awards may take the form of contracts, grants, cooperative agreements, and other transaction agreements, as appropriate.

9. Catalog of Federal Domestic Assistance (CFDA) Numbers -

12.300

10. Catalog of Federal Domestic Assistance (CFDA) Titles -

DOD Basic and Applied Scientific Research

11. Other Information –

Work funded under a BAA may include basic research, applied research and some advanced technology development (ATD). With regard to any restrictions on the conduct or outcome of work funded under this BAA, ONR will follow the guidance on and definition of "contracted

fundamental research" as provided in the Under Secretary of Defense (Acquisition, Technology and Logistics) Memorandum of 24 May 2010. As defined therein the definition of "contracted fundamental research", in a DoD contractual context, includes [research performed under] grants and contracts that are (a) funded by Research, Development, Test, and Evaluation Budget Activity 1 (Basic Research), whether performed by universities or industry or (b) funded by Budget Activity 2 (Applied Research) and performed on campus at a university. The research shall not be considered fundamental in those rare and exceptional circumstances where the applied research effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the contract or grant.

Pursuant to DoD policy, research performed under grants and contracts that are a) funded by Budget Category 6.2 (Applied Research) and NOT performed on-campus at a university or b) funded by Budget Category 6.3 (Advanced Research) does not meet the definition of "contracted fundamental research." In conformance with the USD(AT&L) guidance and National Security Decision Direction 189, ONR will place no restriction on the conduct or reporting of unclassified "contracted fundamental research," except as otherwise required by statute, regulation or Executive Order. For certain research projects, it may be possible that although the research being performed by the prime contractor is restricted research, a subcontractor may be conducting "contracted fundamental research." In those cases, it is the ***prime contractor's responsibility*** in the proposal to identify and describe the subcontracted unclassified research and include a statement confirming that the work has been scoped, negotiated, and determined to be fundamental research according to the prime contractor and research performer.

Normally, fundamental research is awarded under grants with universities and under contracts with industry. ATD is normally awarded under contracts and may require restrictions during the conduct of the research and DoD pre-publication review of research results due to subject matter sensitivity.

The funds available to support awards are Budget Activity 2 and 3. Expected outputs for the former would include such things as published research findings, data, methodologies, designs, training materials, analytic frameworks, ontologies or taxonomies.

Advanced technology performers will be required to deliver prototype software that can be field tested with government-supplied data, within one year of commencing work. Proposers should consider a development plan with the following steps:

- Establish technical feasibility and initial demonstration of proposed approach.
- Document key challenges and risks and develop plans to address them.
- Design a prototype solution to guide spiral development and implementation.
- Identify performance metrics for prototype development.
- Deliver a high-level design and initial "visualization demo" that highlights the key components and concept of operation.
- Develop prototype.
- Conduct and/or participate in an experiment to evaluate the prototype in relation to the performance metrics identified.

FAR Part 35 restricts the use of the Broad Agency Announcements (BAAs), such as this, to the acquisition of basic and applied research and that portion of advanced technology development not related to the development of a specific system or hardware procurement. Contracts and grants and other assistance agreements made under BAAs are for scientific study and experimentation directed towards advancing the state of the art and increasing knowledge or understanding.

THIS ANNOUNCEMENT IS NOT FOR THE ACQUISITION OF TECHNICAL, ENGINEERING AND OTHER TYPES OF SUPPORT SERVICES.

II. AWARD INFORMATION

*Anticipated Number of Awards: 15

*Anticipated Range of Individual Award Amounts: \$300k-\$800k per year

*Previous Year(s) Average Individual Award Amounts: aprox. \$350k

*Anticipated Period of Performance: Typically up to 36 months

In the case of funded proposals for the production and testing of prototypes, ONR may during the contract period add a contract line item or contract option for the provision of advanced component development or for the delivery of additional prototype units. However, such a contract addition shall be subject to the limitation contained in Section 819 of the National Defense Authorization Act for Fiscal Year 2010.

III. ELIGIBILITY INFORMATION

All responsible sources from academia and industry may submit proposals under this BAA. Historically Black Colleges and Universities (HBCUs) and Minority Institutions (MIs) are encouraged to submit proposals and join others in submitting proposals. However, no portion of this BAA will be set aside for HBCU and MI participation.

Federally Funded research & Development Centers (FFRDCs), including Department of Energy National Laboratories, are not eligible to receive awards under this BAA. However, teaming arrangements between FFRDCs and eligible principal bidders are allowed so long as they are permitted under the sponsoring agreement between the Government and the specific FFRDC.

Navy laboratories and warfare centers as well as other Department of Defense and civilian agency laboratories are also not eligible to receive awards under this BAA and should not directly submit either white papers or full proposals in response to this BAA. If any such organization is interested in one or more of the programs described herein, the organization should contact an appropriate ONR POC to discuss its area of interest. The various scientific divisions of ONR are identified at <http://www.onr.navy.mil/>. As with FFRDCs, these types of federal organizations may team with other responsible sources from academia and industry that are submitting proposals under this BAA.

Teams are also encouraged and may submit proposals in any and all areas. However, Offerors must be willing to cooperate and exchange software, data and other information in an integrated program with other contractors, as well as with system integrators, selected by ONR.

Some topics cover export controlled technologies. Research in these areas is limited to “U.S. persons” as defined in the International Traffic in Arms Regulation (ITAR) – 22 CFR § 1201.1 et seq. (See Section VII, Other Information)

For Grant, Cooperative Agreement and Other Transaction Agreement applications:

The Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by Section 6202 of Public Law 110-252, requires that all agencies establish requirements for recipients reporting information on subawards and executive total compensation as codified in 2 CFR 170.110. Any company, non-profit agency or university that applies for financial assistance (either grants, cooperative agreements or other transaction agreements) as either a prime or sub-recipient under this BAA must provide information in their proposal that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR 170.220 and Appendix A. Entities are **exempt** from this requirement **UNLESS** in the preceding fiscal year, it received: a) 80 percent or more of its annual gross revenue in Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; b) \$25 million or more in annual gross revenue from Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; and c) the public does not have access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 or section 6104 of the Internal Revenue Code of 1986.

IV. APPLICATION AND SUBMISSION INFORMATION

1. Application and Submission Process -

White Papers are required prior to submitting a Full Proposal - The due date for White Papers is no later than the date and time stated in Significant Dates and Times in paragraph 3 below. Initial Navy evaluations of the White Papers will be issued via email notification on or about 3 May 2011. Detailed technical and cost proposals will be subsequently encouraged from those offerors whose proposed research has been identified through the above-referenced E-mail as being of “particular value” given the program technical objectives. However, any such encouragement does not assure a subsequent award. Any offeror may submit a full proposal even if its white paper was not identified as being of “particular value.” Full Proposals will not be considered under this BAA unless a white paper was received before the white paper due date specified in this solicitation.

Oral Presentations – Offerors whose proposed research is identified as being of “particular value” may be given the opportunity to provide an expanded presentation of their selected white papers. The purpose of the oral presentation is to provide additional information and address how the proposed technology will affect military applications. Oral presentations, if held, are expected to take place in mid-May; specific dates, time, location and briefing format of the oral

presentations will be provided after White Paper evaluations have been completed via email notification.

Oral Presentation Evaluation/Notification: Navy evaluations of oral presentations, if held, will be issued via email notification on or about 20 May 2011. A full proposal will be encouraged from those Offerors whose proposed technologies have been identified as still being of “particular value” to the Navy. Any Offeror whose oral presentation was not identified as being of “particular value” to the Navy is ineligible to submit a full proposal under this BAA.

Full Proposals - The due date for receipt of Full Proposals is no later than the date and time stated in Significant Dates and Times in paragraph 3 below. It is anticipated that final selections will be made by 12 Jun 2011. As soon as the final proposal evaluation process is completed, the Offeror will be notified via email of its selection or non-selection for an award. Proposals exceeding the page limit may not be evaluated. Full proposals not in compliance with the prescribed template will not be evaluated.

2. Content and Format of White Papers/Full Proposals -

The Proposals submitted under this BAA are expected to be unclassified. However, confidential/classified proposals are permitted. Contracts or other instruments resulting from a classified proposal will be unclassified.

Unclassified Proposal Instructions:

Unclassified proposals shall be submitted in accordance with paragraphs 5 and 6 of Section IV.

Classified Proposal Instructions:

Classified proposals shall be submitted directly to the attention of ONR’s Document Control Unit at the following address and marked in the following manner:

OUTSIDE ENVELOPE (no classification marking):

“Office of Naval Research
Attn: Document Control Unit
ONR Code 43
875 N. Randolph St.
Arlington, VA 22203-1995”

The inner wrapper of the classified White Paper and/or Full Proposal should be addressed to the attention of the TPOC, ONR Code 30 and marked in the following manner:

HSCB Sciences Program
Office of Naval Research
Attn: Dr. Ivy Estabrooke
ONR Code: 30
875 N. Randolph St.

Arlington, VA 22203-1995

An 'unclassified' Statement of Work (SOW) must accompany any classified proposal.

Proposal submissions will be protected from unauthorized disclosure in accordance with FAR Subpart 15.207, applicable law, and DoD/DoN regulations. Offerors are expected to appropriately mark each page of their submission that contains proprietary information.

IMPORTANT NOTE: Titles given to the White Papers/Full Proposals should be descriptive of the work they cover and not be merely a copy of the title of this solicitation.

a. WHITE PAPERS

White Paper Format

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single-spaced
- Font – Times New Roman, 12 point
- Copies – Electronic (email) submissions should be sent to the attention of Mr. Clark Phillips at: Clark.Phillips.CTR@navy.mil. The subject line of the email shall read “ONR BAA 11-014 White Paper Submission.” The white paper must be a Microsoft Word 2007 or PDF format attachment to the email.

NOTE Failure to adhere to the following may result in the exclusion of your White Paper: 1) Do NOT send hardcopies of White Papers (including facsimiles) as only electronic submissions will be accepted and reviewed; 2) Do not send .ZIP files; 3) Do not send password protected files.

White Paper Content

- Cover Page – The Cover Page shall be labeled “WHITE PAPER”, and shall include the BAA number, proposed title, Offeror’s administrative and technical points of contact, with telephone numbers, facsimile numbers, and Internet addresses, and shall be signed by an authorized officer.
- Technical Concept – A description of the research and/or technology innovation, technical approach and technical risk areas.
- Budget – A rough order of magnitude budget should be included in the white paper.

For Applied Research and Advanced Technology Development

- Operational Naval Concept – A description of the project objectives, the concept of operation for the new capabilities to be delivered, and the expected operational performance improvements.

- Operational Utility Assessment Plan – A plan for demonstrating and evaluating the operational effectiveness of the Offeror’s proposed products or processes in field experiments and/or tests in a simulated environment.

b. FULL PROPOSALS

INSTRUCTIONS FOR CONTRACT, COOPERATIVE AGREEMENTS AND OTHER TRANSACTION AGREEMENTS (Does not include Grants)

***NOTE:** Submission instructions for BAAs issued after FY2010 have changed significantly from previous requirements. Potential Offerors are advised to carefully read and follow the instructions below. The new format and requirements have been developed to streamline and ease both the submission and review of proposals. Both the Template and the Spreadsheet have instructions imbedded into them that will assist in completing the documents. Also, both the Template and the Spreadsheet require completion of cost-related information – both documents must be fully completed to constitute a valid proposal.*

All proposals must use ONR’s Technical and Cost Proposal Template and Cost Proposal Spreadsheet. The Template can be found by following this link: <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/contracts-proposal/cost-proposal.aspx>. Please note that all the attachments listed in Section III.8 of the Template can be incorporated into the Template file for submission.

The Cost Proposal Spreadsheet can be found by following this link: <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/contracts-proposal/cost-proposal.aspx>. Click on the “proposal spreadsheet” link and save a copy of the spreadsheet. Instructions for completion have been embedded into the spreadsheet. Any proposed options that are identified in the Technical and Cost Proposal Template, but are not fully priced out in the Cost Proposal Spreadsheet, will not be included in any resulting contract or other transaction. If proposing options, they **must** be separately priced and separate spreadsheets should be provided for the base period and each option period.

For proposed subcontracts or interorganizational transfers over \$150,000, Offerors must provide a separate fully completed Cost Proposal Spreadsheet in support of the proposed costs. This spreadsheet, along with supporting documentation, must be provided either in a sealed envelope with the prime’s proposal or via email directly to both the Program Officer and the Business Point of Contact at the same time the prime proposal is submitted. The email should identify the proposal title, the prime Offeror and that the attached proposal is a subcontract, and should include a description of the effort to be performed by the subcontractor. Offerors should also familiarize themselves with the new subcontract reporting requirements set forth in Federal Acquisition Regulation (FAR) clause 52.204-10, Reporting Executive Compensation and First-Tier Subcontract Awards. From October 1, 2010 through February 28, 2011, any newly awarded subcontract must be reported if the prime contract award amount is \$550,000 or more. Starting March 1, 2011, any newly awarded subcontract must be reported if the prime contract award

amount was \$25,000 or more. The pertinent requirements can be found in Section VII, Other Information, of this document.

Offerors should submit one (1) original plus six hard copies of their Technical and Cost Proposal package, and one (1) electronic copy on a CD-ROM. Offerors shall follow the Technical and Cost Proposal Template. The electronic Technical and Cost Proposal should be submitted in a secure, pdf compatible format, saved for the electronic file for the Cost Proposal Spreadsheet which should be submitted in a Microsoft Excel 2007 compatible format. All attachments should be submitted in a secure, pdf compatible format.

The secure pdf compatible format is intended to prevent unauthorized editing of the proposal prior to any award. A password should not be required for opening the proposal document, but the Government must have the ability to print and copy text, images, and other content. Offerors may also submit their Technical and Cost Proposal in an electronic file that allows for revision (preferably in Microsoft Word) to facilitate the communication of potential revisions. Should an offeror amend its Technical and Cost Proposal package, the amended proposal should be submitted following the same hard and electronic copy guidance applicable to the original proposal.

The electronic submission of the Excel spreadsheet should be in a “useable condition” to aid the Government with its evaluation. The term “useable condition” indicates that the spreadsheet should visibly include and separately identify within each appropriate cell any and all inputs, formulas, calculations, etc. The Offeror should not provide “value only spreadsheets” similar to a hard copy.

INSTRUCTIONS FOR GRANTS (Does not include contracts, cooperative agreements and other transaction agreements)

The offeror must use the Grants.gov forms from the application package template associated with the BAA on the Grants.gov web site located at <http://www.grants.gov>. If options are proposed, the cost proposal must provide the pricing information for the option periods; failure to include the proposed costs for the option periods will result in the options not being included in the award. Assume that performance will start no earlier than three (3) months after the date the cost proposal is submitted. A separate Adobe .pdf document should be included in the application that provides appropriate justification and/or supporting documentation for each element of cost proposed.

The following information must be completed as follows in the SF 424 to ensure that the application is directed to the correct individual for review: Block 4a, Federal Identifier: Enter the previous ONR award number, or N00014 if the application is not a renewal or expansion of an existing award; Block 4b, Agency Routing Number: Enter the three (3) digit Program Office Code (30x) and the Program Officer’s name, last name first, in brackets (i.e., Estabrooke, Ivy). Applicants who fail to provide a Department code identifier may receive a notice that their proposal will be rejected.

Please note that Volume I, Technical Proposal should be submitted as an attachment to the SF 424 rather than being inserted into Block 7, Project Narrative. Block 7 should be completed with a statement that Volume 1 is attached. To attach the Technical Proposal, open the Attachment Form in the Optional Documents box of the application package, scroll down to the Attachment page, and follow the instructions. The file should be titled “Volume I – Technical Proposal.”

Full Proposal Format – Volume 1 - Technical and Volume 2 - Cost Proposal

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single-spaced
- Font – Times New Roman, 12 point
- Number of Pages – Volume 1 is limited to no more than 20 pages. Limitations within sections of the proposal, if any, are indicated in the individual descriptions shown below. The cover page, table of contents, resumes and current and pending project and proposal submissions information are excluded from the page limitations. Technical Proposals exceeding the page limit may not be evaluated. There are no page limitations to Volume 2.
- Copies – the full proposal should be submitted electronically at <http://www.grants.gov/> as delineated in paragraph 5 below.

Volume 1: Technical Proposal

- **Cover Page**: This should include the words “Technical Proposal” and the following:
 - 1) BAA number 11-014;
 - 2) Title of Proposal;
 - 3) Identity of prime Offeror and complete list of subawards, if applicable;
 - 4) Technical contact (name, address, phone/fax, electronic mail address)
 - 5) Administrative/business contact (name, address, phone/fax, electronic mail address) and;
 - 6) Proposed period of performance (identify both the base period and any options, if included).

• **Table of Contents**: An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.

Technical Approach and Justification: The major portion of the proposal should consist of a clear description of the technical approach being proposed. This discussion should provide the technical foundation/justification for pursuing this particular approach/direction and why one could expect it to enable the objectives of the proposal to be met. Offerors should limit the number of pages for this section to 15 pages.

For Applied Research and Advanced Technology Development

- Operational Naval Concept: A description of the project objectives, the concept of operation for the new capabilities to be delivered, and the expected operational performance improvements.
- Operational Utility Assessment Plan: A plan for demonstrating and evaluating the operational effectiveness of the Offeror's proposed products or processes in field experiments and/or tests in a simulated environment.
- Project Schedule and Milestones: A summary of the schedule of events and milestones:
- Reports:
The following are sample data deliverables that are typically required under a research effort:
 - Technical and Financial Progress Reports
 - Final Report

Grants and other agreements do not include the delivery of software, prototypes, and other hardware deliverables.

- Management Approach: Identify which personnel and subcontractors/subrecipients (if any) will be involved. Include a description of the facilities that are required for the proposed effort, along with a description of any Government Furnished Equipment/Hardware/ Software/Information required, by version and/or configuration.
- Current and Pending Project and Proposal Submissions: Offerors are required to provide information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing contracts, grants, and other assistance agreements. Offerors shall provide the following information of any related or complementary proposal submissions from whatever sources (e.g., ONR, Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations).

The information must be provided for all proposals already submitted or submitted concurrently to other possible sponsors, including ONR. Concurrent submission of a proposal to other organizations will not prejudice its review by ONR:

- 1) Title of Proposal and Summary;
- 2) Source and amount of funding (annual direct costs; provide contract and/or grant numbers for current contracts/grants);
- 3) Percentage effort devoted to each project;
- 4) Identity of prime Offeror and complete list of subcontractors, if applicable;
- 5) Technical contact (name, address, phone/fax, electronic mail address)
- 6) Administrative/business contact (name, address, phone/fax, electronic mail address);
- 7) Period of performance (differentiate basic effort);
- 8) The proposed project and all other projects or activities requiring a

portion of time of the Principal Investigator and other senior personnel must be included, even if they receive no salary support from the project(s);

- 9) The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months or labor hours per year to be devoted to the project, regardless of source of support; and
- 10) State how projects are related to the proposed effort and indicate degree of overlap.

• **Qualifications:** A discussion of the qualifications of the proposed Principal Investigator and any other key personnel. Include resumes or curricula vitae for the Principal Investigator, other key personnel and consultants. The resumes/curricula vitae shall be attached to the proposal.

Volume 2: Cost Proposal

The offeror must use the Grants.gov forms from the application package template associated with the BAA on the Grants.gov web site located at <http://www.grants.gov/>. If options are proposed, the cost proposal must provide the pricing information for the option periods; failure to include the proposed costs for the option periods will result in the options not being included in the award. Assume that performance will start no earlier than three (3) months after the date the cost proposal is submitted. A separate Adobe .pdf document should be included in the application that provides appropriate justification and/or supporting documentation for each element of cost proposed.

Part 1: The itemized budget must include the following

- **Direct Labor** – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates. Provide escalation rates for out years.

Administrative and clerical labor – Salaries of administrative and clerical staff are normally indirect costs (and included in an indirect cost rate). Direct charging of these costs may be appropriate when a major project requires an extensive amount of administrative or clerical support significantly greater than normal and routine levels of support. Budgets proposing direct charging of administrative or clerical salaries must be supported with a budget justification which adequately describes the major project and the administrative and/or clerical work to be performed.

- **Fringe Benefits and Indirect Costs** (i.e., F&A, Overhead, G&A, etc) – The proposal should show the rates and calculation of the costs for each rate category. If the rates have been approved/negotiated by a Government agency, provide a copy of the memorandum/agreement. If the rates have not been approved/negotiated, provide sufficient detail to enable a determination of allowability, allocability and reasonableness of the allocation bases, and how the rates are calculated. Additional information may be requested, if needed. If

composite rates are used, provide the calculations used in deriving the composite rates.

- Travel – The proposed travel cost should include the following for each trip: the purpose of the trip, origin and destination if known, approximate duration, the number of travelers, and the estimated cost per trip must be justified based on the organization’s historical average cost per trip or other reasonable basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principals.
- Subawards – Provide a description of the work to be performed by the subrecipients. For each subaward, a detailed cost proposal is required to be submitted by the subrecipient(s). The subawardee’s or subrecipient’s cost proposal can be provided in a sealed envelope with the recipient’s cost proposal or via e-mail directly to both the Program Officer and the business point of contact at the same time the prime proposal is submitted. The e-mail should identify the proposal title, the prime Offeror and that the attached proposal is a subcontract. A proposal and supporting documentation must be received and reviewed before the Government can complete its cost analysis of the proposal and enter negotiations. Fee/profit is not allowable on any subawards made through assistance agreements. Fee is allowable on subcontract awards.
- Consultants – Provide a breakdown of the consultant’s hours, the hourly rate proposed, any other proposed consultant costs, a copy of the signed Consulting Agreement or other documentation supporting the proposed consultant rate/cost, and a copy of the consultant’s proposed statement of work if it is not already separately identified in the prime contractor’s proposal.
- Materials & Supplies – Provide an itemized list of all proposed materials and supplies including quantities, unit prices, proposed vendors (if known), and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).
- Recipient Acquired Equipment or Facilities – Equipment and/or facilities are normally furnished by the Recipient. If acquisition of equipment and/or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all equipment and/or facilities costs and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). Allowable items normally would be limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, office equipment and furnishings, etc.) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.
- Other Direct Costs – Provide an itemized list of all other proposed other direct costs such as Graduate Assistant tuition, laboratory fees, report and publication costs, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).

NOTE: If the grant proposal is for a conference, workshop or symposium, the funds provided by ONR may be used to pay for food or beverages only in

exceptional circumstances. The funds will not be used for food or beverages unless (1) the grant proposal contains a request for such funding that is fully supported factually in accordance with the cost principles of the relevant OMB circular, and (2) the grants officer determines that the funding is a reasonable, allocable, allowable expense under the relevant cost principles.

- **Fee/Profit** – Fee/profit is unallowable under assistance agreements at either the prime or subaward level but may be permitted on any subcontracts issued by the prime awardee.

Part 2: Cost breakdown by Government fiscal year and task/sub-task corresponding to the same task breakdown in the proposed Statement of Work. When options are contemplated, options must be separately identified and priced by task/subtask.

3. Significant Dates and Times-

| Anticipated Schedule of Events | | |
|---|--------------------------|----------------------------------|
| Event | Date (MM/DD/YEAR) | Time (Local Eastern Time) |
| White Papers Due Date | 04/18/2011 | 3:00 PM |
| Notification of Initial Navy Evaluations of White Papers* | 05/03/2011 | |
| Oral Presentation of White Papers* | 05/10/20011 | |
| Notification of Navy Evaluations of Oral Presentations* | 05/20/2011 | |
| Full Proposals Due Date | 06/13/2011 | 3:00 PM |
| Notification of Selection for Award* | 06/18/2011 | |
| Contract Awards* | 10/31/2011 | |

* These dates are estimates as of the date of this announcement.

NOTE: Due to changes in security procedures since September 11, 2001, the time required for hard-copy written materials to be received at the Office of Naval Research has increased. Materials submitted through the U.S. Postal Service, for example, may take seven days or more to be received, even when sent by Express Mail. Thus any hard-copy proposal should be submitted long enough before the deadline established in the solicitation so that it will not be received late and thus be ineligible for award consideration.

4. Submission of Late Proposals (Applicable to White Papers and Full Proposals)

Any proposal, modification, or revision, that is received at the designated Government office after the exact time specified for receipt of proposals is “late” and will not be considered unless it is received before award is made, the contracting officer determines that accepting the late proposal would not unduly delay the acquisition and

- (a) If it was transmitted through an electronic commerce method authorized by the announcement, it was received at the initial point of entry to the Government infrastructure not later than 5:00 p.m. one working day prior to the date specified for receipt of proposals; or
- (b) There is acceptable evidence to establish that it was received at the Government installation designated for receipt of proposals and was under the Government's control prior to the time set for receipt of proposals; or
- (c) It was the only proposal received.

However, a late modification of an otherwise timely and successful proposal that makes its terms more favorable to the Government will be considered at any time it is received and may be accepted.

Acceptable evidence to establish the time or receipt at the Government installation includes the time/date stamp of that installation on the proposal wrapper, other documentary evidence of receipt maintained by the installation, or oral testimony or statements of Government personnel.

If an emergency or unanticipated event interrupts normal Government processes so that proposals cannot be received at the Government office designated for receipt of proposals by the exact time specified in the announcement, and urgent Government requirements preclude amendment of the announcement closing date, the time specified for receipt of proposals will be deemed to be extended to the same time of day specified in the announcement on the first work day on which normal Government processes resume.

The contracting officer must promptly notify any offeror if its proposal, modifications, or revision was received late and must inform the offeror whether its proposal will be considered.

5. Submission of Grant Proposals through Grants.gov

(NOT APPLICABLE TO PROPOSALS FOR CONTRACTS, COOPERATIVE AGREEMENTS, AND OTHER TRANSACTION AGREEMENTS)

Detailed instructions entitled "Grants.gov Electronic Application and Submission Information" on how to submit a grant proposal through Grants.gov may be found at the ONR website listed under the 'Acquisition Department – Contracts & Grants Submitting a Proposal' link at:

<http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-gov.aspx>.

As stated in Section IV.2, White Papers should not be submitted through the Grants.gov Apply process, but rather should be sent directly to ONR. White Papers should be e-mailed directly to the Technical Point of Contact. White Paper format requirements are found in Section IV, item 2a above.

By completing Block 17, the Grant Applicant is providing the certification on lobbying required by 32 CFR Part 28. Refer to Section VI, "Award Administration Information" entitled "Certifications" for further information.

For electronic submission of grant full proposals, several one-time actions must be completed in order to submit an application through Grants.gov. These include obtaining a Dun and Bradstreet Data Universal

Numbering System (DUNS) number, registering with the Central Contract Registration (CCR), registering with the credential provider, and registering with Grants.gov. See <http://www.grants.gov>, specifically <http://www.grants.gov/GetStarted>.

Use the Grants.gov organization Registration Checklist at http://www.grants.gov/applicants/register_your_organization.jsp which will provide guidance through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called “MPIN” are important steps in the CCR registration process. Applicants who are not registered with CCR and Grant.gov should allow at least 21 days to complete these requirements. The process should be started as soon as possible. Any questions relating to the registration process, system requirement, how an application form works, or the submittal process **must** be directed to Grants.gov at 1-800-518-4726 or support@grants.gov.

Special Notices Relative to Grant Applications to be Submitted Through Grants.gov

All attachments to grant applications submitted through [Grants.gov](http://www.grants.gov) must be in Adobe Portable Document Format (i.e., .pdf files). Proposals with attachments submitted in word processing, spreadsheet, or any format other than Adobe Portable Document Format will not be considered for award.

Applicants who have registered with Grants.gov are urged to submit their proposals electronically *at least* three days before the date and time that proposals are due so that it will not be received late and be ineligible for award consideration.

Proposal Receipt Notices:

After a full proposal is submitted through Grants.gov, the Authorized Organization Representative (AOR) will receive a series of three e-mails. You will know that your proposal has reached ONR when the AOR receives e-mail Number 3. You will need the Submission Receipt Number (e-mail Number 1) to track a submission. The three e-mails are:

Number 1 – The applicant will receive a confirmation page upon completing the submission to Grants.gov.

Number 2 – The applicant will receive an e-mail indicating that the proposal has been validated by Grants.gov within two days of submission (this means that all of the required fields have been completed).

Number 3 – The third notice is an acknowledgement of receipt in e-mail form from ONR within ten days from the proposal due date, if applicable. The e-mail is sent to the authorized representative for the institution. The e-mail for proposals notes that the proposal has been received and provides the assigned tracking number.

6. Address for the Submission of Full Proposals for Contracts, Cooperative Agreements, and Other Transaction Agreements.

Hard copies of Full Proposals for Contracts, Cooperative Agreements, and Other Transaction Agreements should be sent to the Office of Naval Research at the following address:

Office of Naval Research
Attn: Mr. Clark Phillips,
ONR Department Code 30
875 North Randolph St.
Arlington, VA 22203-1995

NOTE: PROPOSALS SENT BY FAX OR EMAIL WILL NOT BE CONSIDERED.

V. EVALUATION INFORMATION

1. Evaluation Criteria –

Award decisions will be based on a competitive selection of proposals resulting from a scientific and cost review. Evaluations will be conducted using the following evaluation criteria. Criteria 1 through 4 are significantly more important than Criterion 5, and Criteria 1 through 4 are of equal value.

- 1) Overall scientific and technical merits of the proposal;
- 2) Potential Naval relevance and contributions of the effort to the agency's specific mission;
- 3) The offeror's capabilities, related experience, facilities, techniques or unique combinations of these which are integral factors for achieving the proposal objectives;
- 4) The qualifications, capabilities and experience of the proposed Principal Investigator (PI), team leader and key personnel who are critical in achieving the proposal objectives; and
- 5) The realism of the proposed costs and availability of funds.

The degree of importance of cost will increase with the degree of equality of the proposals in relation to the other factors on which selection is to be based, or when the cost is so significantly high as to diminish the value of the proposal's technical superiority to the Government.

The Office of Naval Research is strongly committed to providing meaningful subcontracting opportunities for small businesses, small disadvantaged businesses, woman-owned small businesses, HUBZone small businesses, veteran-owned small business, service disabled veteran-owned small businesses, historically black colleges and universities, and minority institutions through its awards.

For proposed awards to be made as contracts (that exceed \$650,000) to other than small businesses, the Offeror is required to submit a Small Business Subcontracting Plan in accordance with FAR 52.219-9. As such, Subcontracting Plans will be evaluated to ensure that submissions are compliant with FAR Subpart 19.7

For proposed awards made as contracts to small businesses at any value or to other than Small Businesses that are less than \$650,000, the Offeror shall provide a statement which demonstrates how it intends to provide meaningful subcontracting opportunities to support this policy.

The Government will evaluate options for award purposes by adding the total cost for all options to the total cost for the basic requirement. Evaluation of options will not obligate the Government to exercise the options during contract performance.

2. Evaluation Panel -

Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure in accordance with FAR 3.104-4 and 15.207. The cognizant Program Officer and other Government scientific experts will perform the evaluation of technical proposals. Restrictive notices notwithstanding, one or more support contractors may be utilized as subject-matter-expert technical consultants. However, proposal selection and award decisions are solely the responsibility of Government personnel. Each support contractor's employee having access to technical and cost proposals submitted in response to this BAA will be required to sign a non-disclosure statement prior to receipt of any proposal submissions

VI. AWARD ADMINISTRATION INFORMATION

1. Administrative Requirements –

- The North American Industry Classification System (NAICS) code – The NAICS code for this announcement is 541712 with a small business size standard of 500 employees.
- Central Contractor Registration: All Offerors submitting proposals or applications must:
 - (a) be registered in the Central Contractor Registration (CCR) prior to submission;
 - (b) maintain an active CCR registration with current information at all times during which it has an active Federal award or an application under consideration by any agency; and
 - (c) provide its DUNS number in each application or proposal it submits to the agency.

Subcontracting Plans: shall be submitted by all but small business concerns for proposals that exceed \$650,000 in accordance with FAR Part 19 and clause 52.219-9.

NOTE: Central Contractor Registry (CCR), Subcontracting Plan requirements and Certification requirements are all set forth in the ONR Technical and Cost Proposal Template for those submitting contract proposals.

Grants, Cooperative Agreements and Normal Other Transaction Agreements (OTAs) Certification Requirements:

Grant and Cooperative Agreement awards greater than \$100,000, as well as OTAs not under Section 845, require a certification of compliance with a national policy mandate concerning lobbying. Grant applicants shall provide this certification by electronic submission of SF424 (R&R) as a part of the electronic proposal submitted via [Grants.gov](https://www.grants.gov) (complete Block 17).

The following certification applies likewise to each cooperative agreement and normal OTA applicant seeking federal assistance funds exceeding \$100,000:

CERTIFICATION REGARDING LOBBYING ACTIVITIES

(1) No Federal appropriated funds have been paid or will be paid by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S.C. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Grants not through Grants.gov

Proposers seeking grants who have received Grants.gov waiver approval for awards greater than \$100,000 shall complete and submit electronic representations and certifications at the Contracts and Grants Section of the ONR Home Page at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/~media/BDBA1ACF9F534C10BE2A9C9AD9AA7F12.ashx>.

VII. OTHER INFORMATION

1. Government Property/Government Furnished Equipment (GFE) and Facilities

Government research facilities and operational military units are available and should be considered as potential government-furnished equipment/facilities. These facilities and resources are of high value and some are in constant demand by multiple programs. It is unlikely that all facilities would be used for any one specific program. The use of these facilities and resources will be negotiated as the program unfolds. Offerors submitting proposals for

contracts, cooperative agreements and Other Transaction Agreements should indicate in the Technical and Cost Proposal Template, Section II, Blocks 8 and 9, which of these facilities are critical for the project's success. Offerors submitting proposals for grants should address the need for government-furnished facilities in their technical proposals.

2. Security Classification

In order to facilitate intra-program collaboration and technology transfer, the Government will attempt to enable technology developers to work at the unclassified level to the maximum extent possible. If access to classified material will be required at any point during performance, the Offeror must clearly identify such need by completing Section II, Block 11, DD 254 – Security Classification Specification.

Normally, work done under a grant does not require access to classified material.

3. Use of Animals and Human Subjects in Research

If animals are to be utilized in the research effort proposed, the Offeror must complete a DoD Animal Use Protocol with supporting documentation (copies of AAALAC accreditation and/or NIH assurance, IACUC approval, research literature database searches, and the two most recent USDA inspection reports) prior to award. For assistance with submission of animal research related documents, contact the ONR Animal Use Administrator at (703) 696-4046.

Similarly, for any proposal for research involving human subjects, the Offeror must submit or indicate an intention to submit prior to award: documentation of approval from an Institutional Review Board (IRB); IRB-approved research protocol; IRB-approved informed consent form; proof of completed human research training (e.g., training certificate or institutional verification of training); an application for a DoD-Navy Addendum to the Offeror's DHHS-issued Federal wide Assurance (FWA) or the Offeror's DoD-Navy Addendum. In the event that an exemption criterion under 32 CFR.219.101 (b) is claimed, provide documentation of the determination by the Institutional Review Board (IRB) Chair, IRB vice Chair, designated IRB administrator or official of the human research protection program including the category of exemption and short rationale statement. This documentation must be submitted to the ONR Human Research Protection Official (HRPO), by way of the ONR Program Officer. Information about assurance applications and forms can be obtained by contacting ONR_343_contact@navy.mil. If the research is determined by the IRB to be greater than minimal risk, the Offeror also must provide the name and contact information for the independent medical monitor. If human subject work is proposed outside of the United States, additional documentation of host country permission is required.

For assistance with submission of human subject research related documentation, contact the ONR Human Research Protection Official at (703) 696-4046.

For contracts and orders, the award and execution of the contract, order, or modification to an existing contract or order serves as notification from the Contracting Officer to the Contractor that the HRPO has approved the assurance as appropriate for the research under the Statement of Work and also that the HRPO has reviewed the protocol and accepted the IRB approval or exemption determination for compliance with the DoD Component policies. See, DFARS 252.235-7004.

4. Recombinant DNA -- RESERVED

5. Department of Defense High Performance Computing Program

The DoD High Performance Computing Program (HPCMP) furnishes the DoD S & T and DT & E communities with use-access to very powerful high performance computing systems. Awardees of ONR contracts, grants, and assistance instruments may be eligible to use HPCMP assets in support of their funded activities if ONR Program Officer approval is obtained and if security/screening requirements are favorably completed. Additional information and an application may be found at <http://www.hpcmo.hpc.mil/>.

6. Organizational Conflicts of Interest

All Offerors and proposed subcontractors must affirm whether they are providing scientific, engineering, and technical assistance (SETA) or similar support to any ONR technical office(s) through an active contract or subcontract. All affirmations must state which office(s) the offeror supports and identify the prime contract numbers. Affirmations shall be furnished at the time of proposal submission. All facts relevant to the existence or potential existence of organizational conflicts of interest (FAR 9.5) must be disclosed. The disclosure shall include a description of the action the offeror has taken or proposes to take to avoid, neutralize, or mitigate such conflict. In accordance with FAR 9.503 and without prior approval, a contractor cannot simultaneously be a SETA and a research and development performer. Proposals that fail to fully disclose potential conflicts of interests or do not have acceptable plans to mitigate identified conflicts will be rejected without technical evaluation and withdrawn from further consideration for award. If a prospective offeror believes that any conflict of interest exists or may exist (whether organizational or otherwise), the offeror should promptly raise the issue with ONR by sending his/her contact information and a summary of the potential conflict by e-mail to the Business Point of Contact in Section I, item 7 above, before time and effort are expended in preparing a proposal and mitigation plan. If, in the sole opinion of the Contracting Officer after full consideration of the circumstances, any conflict situation cannot be effectively avoided or mitigated, the proposal may be rejected without technical evaluation and withdrawn from further consideration for award under this BAA.

7. Project Meetings and Reviews

Individual program reviews between the ONR sponsor and the performer may be held as necessary. Program status reviews may also be held to provide a forum for reviews of the latest results from experiments and any other incremental progress towards major demonstrations. These meetings will be held at various sites throughout the country. For costing purposes, offerors should assume that 40% of these meetings will be at or near ONR, Arlington, VA and 60% at other contractor or government facilities. Interim meetings are likely, but these will be accomplished via video telephone conferences, telephone conferences, or via web-based collaboration tools. Proposers should budget for four 2 day meetings with the program sponsor each year and participation in at least one technical evaluation each year.

8. Executive Compensation and First-Tier Subcontract Reporting

Section 2(d) of the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. No. 109-282), as amended by section 6202 of the Government Funding Transparency Act of 2008 (Pub. L. 110-252), requires the Contractor to report information on subcontract awards. The law

requires all reported information be made public, therefore, the Contractor is responsible for notifying its subcontractors that the required information will be made public.

Unless otherwise directed by the Contracting Officer, by the end of the month following the month of award of a first-tier subcontract with a value of \$25,000 or more, (and any modifications to these subcontracts that change previously reported data), the Contractor shall report the following information at <http://www.fsrc.gov> for each first-tier subcontract:

- (a) Unique identifier (DUNS Number) for the subcontractor receiving the award and for the subcontractor's parent company, if the subcontractor has one.
- (b) Name of the subcontractor.
- (c) Amount of the subcontract award.
- (d) Date of the subcontract award.
- (e) A description of the products or services (including construction) being provided under the subcontract, including the overall purpose and expected outcomes or results of the subcontract.
- (f) Subcontract number (the subcontract number assigned by the Contractor).
- (g) Subcontractor's physical address including street address, city, state, and country. Also include the nine-digit zip code and congressional district.
- (h) Subcontractor's primary performance location including street address, city, state, and country. Also include the nine-digit zip code and congressional district.
- (i) The prime contract number, and order number if applicable.
- (j) Awarding agency name and code.
- (k) Funding agency name and code.
- (l) Government contracting office code.
- (m) Treasury account symbol (TAS) as reported in FPDS.
- (n) The applicable North American Industry Classification System (NAICS) code.

By the end of the month following the month of a contract award, and annually thereafter, the Contractor shall report the names and total compensation of each of the five most highly compensated executives for the Contractor's preceding completed fiscal year at <http://www.ccr.gov>, if –

- (a) In the Contractor's preceding fiscal year, the Contractor received –

(i) 80 percent or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and

(ii) \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and

(b) 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>).

Unless otherwise directed by the Contracting Officer, by the end of the month following the month of a first-tier subcontract with a value of \$25,000 or more, and annually thereafter, the Contractor shall report the names and total compensation of each of the five most highly compensated executives for each first-tier subcontractor for the subcontractor's preceding completed fiscal year at <http://www.frs.gov>, if –

(a) In the subcontractor's preceding fiscal year, the subcontractor received –

(i) 80 percent or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and

(ii) \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and

(b) 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>).

If the Contractor in the previous tax year had gross income, from all sources, under \$300,000, the Contractor is exempt from the requirement to report subcontractor awards. Likewise, if a subcontractor in the previous tax year had gross income from all sources under \$300,000, the Contractor does not need to report awards to that subcontractor.