



BROAD AGENCY ANNOUNCEMENT (BAA)

Navigation and Timekeeping Technology

INTRODUCTION:

This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and 35.016. A formal Request for Proposals (RFP), other solicitation, 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 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
- 2. Research Opportunity Title** - Navigation and Timekeeping Technology
- 3. Program Name** - Navigation and Timekeeping Technology
- 4. Research Opportunity Number** - 11-027
- 5. Response Date** -

White Papers: 11/17/2011
Full Proposals: 04/05/2012

6. Research Opportunity Description –

The Office of Naval Research (ONR) is interested in receiving white papers and full proposals for Navigation and Timekeeping Technology.

In concert with the guidance promulgated by the Office of the Assistant Secretary of Defense National Information Infrastructure (ASD - NII), concerning Navigation Warfare (NAVWAR), which deals with the mitigation of denial of Positioning, Navigation and Timing (PNT), this effort is concerned with the first two of the three elements: Electronic Protection (EP) and Electronic Support (ES). Please note that this effort does not address Electronic Attack (EA).

Precision navigation and timekeeping are essential for many modern naval and maritime systems, and it is essential that navigation and timekeeping services be made available to platforms and weapons at the highest level of accuracy and with the highest possible confidence at reasonable cost. Lack of precise navigation and timekeeping technologies may jeopardize the success of military operations. For example, the Global Positioning System (GPS) provides highly accurate position/time information at low cost and, due to this, GPS has become the technology of choice for many users. Unfortunately, the GPS signal is a low-power signal that is susceptible to interference. Therefore there is a need for (1) affordable approaches to make GPS more reliable/robust, and (2) methods of quantifying threats to GPS performance that may be termed "situational awareness" and (3) affordable and reliable precision navigation/timing alternatives to GPS.

In FY2013, the ONR Navigation and Timekeeping Technology Program seeks new and innovative navigation technologies that will provide more accurate, reliable, maintainable and affordable systems for Naval air, surface, subsurface, and ground platforms and forces. The following paragraphs list areas of concentration in this program.

I. GPS Anti-Jam Technology - The following are topics of interest:

- a. Adaptive polarization nuller;
- b. Cooperative threat geo-location algorithms for multiple-platforms, and networked platforms. May include combining remotely located GPS antennas for cooperative processing;
- c. GPS anti-tamper approaches;
- d. New GPS MUE/MGUE with Electronic Warfare (EW) situational awareness and electronic support measures (ESM). This effort may include GPS device/algorithms to fuse data from multiple sensors/multiple receivers;
- e. The ability to handle situations where the US may need to deny/degrade GPS use to a locale or to specific populations and otherwise friendly forces (signal fratricide);
- f. Military GPS receivers which incorporate methods of exploiting sensed physical environmental parameters of opportunity;
- g. Advanced GPS-Inertial Measurement Unit (IMU) integration algorithms;
- h. Multi-Global Navigation Satellite System (GNSS) (GPS, Galileo, etc.) military receivers; International collaboration with respect to MUE/MGUE;
- i. Coherent Signals in Space (SIS) Processing. Signal-in-space consists of clock corrections and orbit data broadcast by satellite. Performance is driven by the stability of a satellite's atomic clock, the fidelity of the clock, orbit estimation and prediction, and the update-frequency of the navigation message uploads;
- j. Consideration given to "two-signal" GPS navigation when navigating platform has independent, miniature atomic clock and accurate knowledge of its altitude. An independent miniature atomic clock will be provided as a GPF to the successful offerors; and
- k. Next generation GPS MUE/MGUE for anti-jam/anti-spoof, which handles larger numbers of desired and interference signals; and an updated resource management of multiple trackers and correlators. This effort may include algorithms to detect spoofing during acquisition, tracking, and navigation.

II. Precision Time and Time Transfer Technology - The following are topics of interest:

- a. Applications of ONR-developed tactical grade atomic clocks to various sensor systems (radars, sonars, communications systems, cryptos, navigation devices, etc.) to perform multi-static remote sensing and to provide an extended period of operations possible with low clock power consumption; the atomic clocks will be Government Furnished Equipment (GFE) item;
- b. The development of a time-scaling/steering approach for the U.S. Naval Observatory (USNO) master clocks;
- c. The development of a time-scaling approach for multiple tactical atomic clocks aboard ships and other platforms; and
- d. A combination of a small atomic clock with short term (24 hours) stability of 10^{-12} aided by Rubidium (Rb) atomic clock with long-term stability (100 days) to achieve overall stability of 10^{-12} .

III. Non-GPS Navigation Technology - The following are topics of interest:

- a. Small, portable quantum physics-based gravimeter/accelerometer for underwater navigation application;
- b. Bathymetric underwater navigation device by Sound Navigation and Ranging (sonar) and Light Detection and Ranging (lidar); and
- c. Precise navigation in littoral sub-surface and surface navigation using various sensors such as sonar, radar and lidar.

7. Point(s) of Contact –

Questions of a technical nature should be submitted to:

Primary Point of Contact:

Dr. John C. Kim

Program Officer

Electronics, Sensors, and Network Research

Code 312

875 North Randolph Street, Suite 1119

Arlington, VA 22203-1995

Email Address: john.c.kim1@navy.mil

Secondary Point of Contact:

Ms. Sheila Richardson

Program Analyst

Electronics, Sensors, and Network Research

Code 312

875 North Randolph Street – Suite W1105D

Arlington, VA 22203-1995

E-mail Address: sheila.richardson@navy.mil

Questions of a business nature should be submitted to:

Primary Point of Contact

Mr. Casey W. Ross, Contract Specialist

875 North Randolph Street, Suite 1272C

Arlington, VA 22203-1995

Code: BD251

Phone: (703) 696-7826

Email: casey.w.ross@navy.mil

Secondary Point of Contact

Ms. Vera M. Carroll, Acquisition Branch Head

875 North Randolph Street, Suite 1279

Arlington, VA 22203-1995

Code: BD251

Phone: (703) 696-2610

Email: vera.carroll@navy.mil

Any questions regarding this solicitation must be provided to the Technical Point of Contact and Business Point of Contact listed in this solicitation. All questions shall be submitted in writing by electronic mail.

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 webpages:

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

Questions of a security nature should be submitted to:

Ms. Diana Pacheco

Industrial Security Specialist

Office of Naval Research

Security Department, Code 43

One Liberty Center

875 N. Randolph Street

Arlington, VA 22203-1995

Email Address: diana.pacheco@navy.mil

Any CLASSIFIED questions shall be handled through the ONR Security POC. Specifically, any entity wanting to ask a CLASSIFIED question shall send an email to the ONR Security POC with copy to both the Technical POC and the Business POC stating that the entity would like to ask a CLASSIFIED question. DO NOT EMAIL ANY CLASSIFIED QUESTIONS. The Security POC will contact the entity and arrange for the CLASSIFIED question to be asked through a secure method of communication.

8. Instrument Type(s) - Contracts

Awards will be issued as Contracts. ONR reserves the right to award a different instrument type if deemed to be in the best interest of the Government.

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

N/A

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

N/A

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.

As regards to the present BAA, the Research and Development efforts to be funded will consist of applied research and advanced technology development. The funds available to support awards are Budget Activities 2 and 3.

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

The amount and period of performance of each selected proposal may vary depending on the research area and the technical approach to be pursued by the selected offeror.

The period of performance of the awards typically ranges from one (1) to three (3) years. There will be no option periods. ONR anticipates a budget of \$3,000,000 per year for this program. ONR plans to fund up to \$500,000 per year per award using Exploratory Development Funds (Budget Category 6.2) and Advanced Technology Funds (Budget Category 6.3). However, lower and higher cost proposals will be considered. The average funding level of past awards was approximately \$400,000 per year. The period of performance for projects may be from one (1) to three (3) years, with an estimated start date on or before 1 October 2012, subject to date of final award and availability of new fiscal year funds. ONR has funded related technology development under numerous programs. Proposals that build on current or previous DoD work are encouraged. If offerors are enhancing work performed under other ONR or DoD projects, they must clearly identify the point of departure and what existing work will be brought forward and what new work will be performed under this BAA.

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.

University Affiliated Research Centers are eligible to submit proposals under this BAA unless precluded from doing so by their Department of Defense UARC contracts.

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 Regulations (ITAR) - 22 CFR § 1201.1 et seq.

IV. APPLICATION AND SUBMISSION INFORMATION

1. Application and Submission Process - White Paper, Oral Presentation, and Full Proposals

White Paper Submissions

The due date for white papers is no later than 2:00 PM Eastern Standard Time (EST) on **17 November 2011**. Each white paper should state that it is submitted in response to this BAA. White papers shall be submitted via the United States Postal Service (USPS) with delivery confirmation or via a commercial carrier (e.g., FedEx or United Parcel Service (UPS)). The white paper must be submitted in a Microsoft Word or .pdf format provided on a CD-ROM. White papers submitted as hard copy and sent by FAX, e-mail, or hand delivery will NOT be accepted. White papers shall be submitted to the Secondary Technical Point of Contact listed in Section I. paragraph number 7 of this BAA. Navy evaluations of the white papers will be issued via e-mail notification on or about **19 January 2012**.

Oral Presentations

Those White Papers that have been identified as being of "particular value" will be the subject of a follow-on Oral Presentation on or about **06 February 2012**. This aspect of the selection process will be accomplished in a telephone conference call that will be preceded with a prepared viewgraph presentation provided to the ONR Program Officer, Dr. John C. Kim. A detailed format for the viewgraph presentation will be provided in the e-mail invitation. Offerors whose white papers are selected for Oral Presentation will be notified by e-mail not less than one (1) week prior to the commencement of the oral presentation event. After oral presentations, those successful offerors, whose technology is still considered as having "particular value" to the Navy, will be encouraged to submit a full proposal (detailed technical and cost proposals). However, such encouragement, after Oral Presentations, does not assure a subsequent award.

Any offeror may request to be scheduled for an oral presentation and may submit a full proposal even if its white paper was not identified as being of "particular value". However, the Navy's initial evaluation of the white papers and subsequent evaluation of oral presentations should give proposers some indication of whether a later full proposal would likely result in an award. Full proposals will not be considered under this BAA unless a white paper was received before the white paper due date specified above.

Full Proposal Submission

The due date for receipt of Full Proposals is 2:00 PM. Eastern Daylight Time (EDT) on **05 April 2012**. The only acceptable methods for submission of full proposals are via the United States Postal Service (USPS) with delivery confirmation or via a commercial carrier (e.g., FedEx or United Parcel Service (UPS)). An electronic copy of the full proposal in Microsoft Word format or .pdf format must be provided on a CD-ROM that is sent with the hard copies of the full proposal as outlined in the BAA. Full proposals sent by FAX, e-mail or hand carried will NOT be accepted. Full proposals shall be submitted to the Technical Point of Contact listed in Section I. paragraph number 7 of this BAA. It is anticipated that final selections will be made within twenty (20) days after proposal submission. As soon as the final proposal evaluation process is completed, each offeror will be notified via email from the Program Officer of its selection or nonselection for an award. Proposals exceeding the proposed page limit may not be evaluated.

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

White Papers and Full Proposals submitted under the BAA are expected to be unclassified.

Unclassified Proposal Instructions:

Unclassified White Papers and Full Proposals shall be submitted in accordance with Section IV.

Application and Submission Information.

Classified Proposal Instructions:

Classified White Papers and Full Proposals shall be submitted directly to the attention of ONR's Document Control Unit at the following address:

OUTSIDE ENVELOPE (no classification marking):

Office of Naval Research
Document Control Unit
ONR Code 43
875 North Randolph Street
Arlington, VA 22203-1995

The inner wrapper of the classified proposal should be addressed to the attention of Dr. John Kim, (john.c.kim1@navy.mil), ONR Code 312 and marked in the following manner:

INNER ENVELOPE (stamped with the overall classification of the material)

Program: Autonomous Persistent Tactical Surveillance
Office of Naval Research
Attn: Dr. John Kim
ONR Code: 312
875 North Randolph Street – Suite 1126
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
- Max. Number of Pages permitted: 10 pages (excluding cover page, resumes, bibliographies, and table of contents)
- Copies - one (1) original, plus (4) hard copies and one (1) electronic copy in Adobe PDF or Word 2007 format on CD-ROM.

White Paper Content

- **Cover Page:** The Cover Page shall be labeled "WHITE PAPER" and shall include the

BAA number, proposed title, technical points of contact, telephone number, facsimile number, e-mail address and the total Rough Order of Magnitude (ROM) cost.

- **Technical Concept:** A description of the technology innovation and technical risk areas. The offeror shall provide a description of the technology innovation in one of the following three thrust areas, i.e., GPS AJ, Precision Time and Non-GPS Navigation, and provide discussion on technical risk areas in terms of schedule and technology.
- **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.
- **Programmatic Section:** A one (1) page programmatic section that includes milestones and a timetable.
- **Resumes:** A single page (each) summary resume (including previous relevant experience and pertinent publications) for the Principal Investigator (PI) and other key personnel.
- **Deliverables:** A one (1) page list of proposed deliverables for the effort.
- **Cost:** A one (1) page summary of costs segregated by tasks.

b. FULL PROPOSALS

INSTRUCTIONS FOR CONTRACTS (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/Contract-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.

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 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, 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. 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 two (2) hard copies and one (1) electronic copy on 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, save 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.

3. Significant Dates and Times -

Event	Date	Time
White Paper Due Date	11/17/2011	2:00 PM Eastern Standard Time
Notification of White Paper Evaluation*	01/19/2012	
Oral Presentations*	02/06/2012	
Notification of Oral Presentation Evaluation*	03/01/2012	
Full Proposal Due Date	04/05/2011	2:00 PM Eastern Daylight Time
Notification of Award Selections*	06/11/2012	
Awards*	10/31/2012	

**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 –

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. Address for the Submission of White Papers and Full Proposals-

Hard copies of White Papers and Full Proposals for Contracts should be sent to the Office of Naval Research at the following address:

Office of Naval Research
Attn: Ms. Shelia Richardson
ONR Department Code 312
875 North Randolph Street – Room W1105D
Arlington, VA 22203-1995

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:

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

Overall, the technical factors 1- 4 above are significantly more important than the cost factor, with the technical factors all being of equal value. 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.

2. Commitment to Small Business –

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

Awards made as contracts to small businesses at any value or to other than small businesses that are less than \$650,000, a 'statement of commitment to small business' will be evaluated to ensure that it supports this policy.

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 to be made as contracts to other than small businesses, the socio-economic merits of each proposal will be evaluated based on the extent the offeror's commitment in providing meaningful subcontracting opportunities for small businesses, small disadvantaged businesses, women-owned small businesses, historically underutilized zone (HUBZone) small businesses, veteran-owned small businesses, service-disabled veteran-owned small businesses, and other concerns subject to socioeconomic considerations through its awards

3. 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. 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.

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 proposal.

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 in the Technical and Cost Proposal Template.

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 AALAC 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 documentation, 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. 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

RESERVED

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 Government 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 the 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.

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.fsrs.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.fsr.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.

9. Disclosure of Information

Awards made under this BAA will contain DFARS Clause 252.204-7000 entitled “Disclosure of Information”.