



The U.S. Department of Navy
Office of Naval Research releases the:

Department of the Navy
Rapid Innovation Fund
Broad Agency Announcement

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Department of the Navy Rapid Innovation Fund

1.0 GENERAL INFORMATION

1.1 Introduction

This publication constitutes a Broad Agency Announcement (BAA) issued pursuant to Section 4201 of the National Defense Authorization Act for FY 2012, Public Law 112-81, and as contemplated in Federal Acquisition Regulation (FAR) Part 35.016 and 6.102(d)(2). This BAA is issued by Office of Naval Research on behalf of Department of Navy (DoN) organizations. 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. ONR reserves the right to fund all, some or none of the proposals in response to this announcement. 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.

1.2 Agency Name

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

1.3 Research Opportunity Title

Department of the Navy (DoN) Rapid Innovation Fund

1.4 Program Name -

N/A

1.5 Research Opportunity Number

ONRBAA12-014

1.6 Response Dates and Key Dates

Event	Date	Time
BAA is released	07/18/2012	
Website Opens for White Paper Submissions	08/1/2012	
Due Date for Questions	08/13/2012	3:00 p.m. EST
BAA Closes for White Papers	09/17/2012	3:00 p.m. EST
Full Proposals Due	30 days after invitation	
Notification of Selection for Awards	01/25/2013 – 04/25/2013 *	
Contract Awards	04/11/2013 – 07/10/2013 *	

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

The DoN Rapid Innovation Fund BAA is open for 60 days for Offerors to submit white papers. The final due date for white papers to be considered under this BAA is no later than 3:00 PM (EST) on Monday 17 September 2012. White papers are to be submitted electronically via the Internet only at the following website: www.navysbirprogram.com/NavyRIF. If an Offeror does not submit a white paper by the specified due date and time, it is not eligible to participate in the remaining Full Proposal submission process and is not eligible for funding. The anticipated due date for full proposals is 30 days after the invitation is issued. It is anticipated that final selections will be made within four to six weeks after full proposal submission. As soon as the final full proposal evaluation process is completed, firms selected for funding will be notified via e-mail.

1.7 Point(s) of Contact

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

Business Point of Contact:

Sean Palmer
Contracting Officer
Office of Naval Research
ONR Code: BD 254

Address: Office of Naval Research, 875 N. Randolph Street, Arlington VA 22203-1995

Email Address: sean.m.palmer@navy.mil

Questions of a security nature shall be submitted to:

Diana Pacheco
Industrial Security Specialist
Office of Naval Research
Security Department, Code 43

Address: Office of Naval Research, 875 N. Randolph Street, Arlington VA 22203-1995
Email Address: diana.pacheco@navy.mil

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

Bob Smith
Director, Technology Transition Initiatives
Office of Naval Research
ONR Code: 03TTX
Address: Office of Naval Research, 875 N. Randolph Street, Arlington VA 22203-1995
Email Address: robert.l.smith6@navy.mil

Alternatively, questions of a technical nature may be directed to one of the Naval Systems Command (SYSCOM) Points of Contacts, as specified below:

Naval Facilities Engineering Command (NAVFAC)
Philip Vitale
Deputy Director, Ocean Facilities Program Naval Facilities Engineering Command
Address: 1322 Patterson Avenue SE Suite 1000, Washington, DC 20374
Email Address: philip.vitale@navy.mil

Naval Supply Systems Command (NAVSUP)
Todd Groszer
NAVSUP Command Science Advisor
Address: 5450 Carlisle Pike, P.O. Box 2050, Mechanicsburg, PA 17055-0791
Email Address: Todd.groszer@navy.mil

U.S. Marine Corps (USMC) Systems Command
Dave Ungar
USMC CTO
Address: 2200 Lester Street, Quantico, VA 22134
Email Address: david.m.ungar@usmc.com

Naval Sea Systems Command (NAVSEA)
Steve Southard (NAVSEA Primary Point of Contact)
NAVSEA Chief Technology Office (CTO) Technology Transition Director
Address: EA05T (Bldg 197 2W-3000), 1333 Isaac Hull Ave. SE, Washington Navy Yard, 20376
Email Address: Steven.Southard@navy.mil

Naval Sea Systems Command (NAVSEA)
Jerome Dunn (NAVSEA Secondary Point of Contact)
NAVSEA CTO S&T Program Officer/Liaison

Address: EA05T (Bldg 197 2W-3000), 1333 Isaac Hull Ave. SE, Washington Navy Yard, 20376
Email Address: Jerome.Dunn@navy.mil

Naval Air Systems Command (NAVAIR)
Rebecca Ahne
Deputy Chief Technology Officer, Naval Air Systems Command (AIR-4.0T)
Address: 48150 Shaw Road, Bldg 2109, Patuxent River, MD 20670
Email Address: Rebecca.Ahne@navy.mil

Space and Naval Warfare Systems Command (SPAWAR)
Dr. Robert Parker
Chief Technology Officer (CTO)
Address: 4301 Pacific Highway, San Diego, CA 92110
Email Address: robert.parker@navy.mil

Note: All UNCLASSIFIED communications shall be submitted via e-mail. All questions of an UNCLASSIFIED nature to the Technical Point of Contract (POC) shall be sent via e-mail with a copy to the designated Business POC.

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 a 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.

Questions submitted within two 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.

1.8 Amendments

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

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

1.9 Instrument Type(s)

The type of funding instrument selected by the Government will be either a contract, cooperative agreement, or other transaction. If a contract is selected as the funding instrument, a firm fixed price contract, or a cost type contract in accordance with FAR Part 16, Contract Types will be used. If a cooperative agreement is selected, the award will be in accordance with DoD 3210.6-R, Department of

Defense Grant and Agreement Regulations. Other transactional authority will be in accordance with 10 U.S.C 2371. Awards may be made consistent with 10 U.S.C. 2358, 10 U.S.C. 2361, and 10 U.S.C. 2374(a). Contract type and funding arrangements are at the discretion of the Government.

1.10 Catalog of Federal Domestic Assistance (CFDA) Numbers

12.300

1.11 Catalog of Federal Domestic Assistance (CFDA) Titles

Department of Defense (DoD) Basic and Applied Scientific Research

1.12 Other Information

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

2.0 AWARD INFORMATION

Awards will be made based on the best full proposals that are determined to be most beneficial to the Government with appropriate consideration given to the evaluation factors, order of importance, and selection preferences. Awards will be made to the Offerors whose offer is determined to provide the “best value” to the Government based on the factors/preferences. This may not necessarily be the proposal offering the lowest cost/price or receiving the highest evaluated rating.

Offerors will be notified by the DoN Organization to which they submitted their response if their offer has been selected for award. Evaluation of white papers and proposals will be expedited, but no information on evaluation status will be available until the final selection is made. However, Contracting Officers may contact any and all qualified Offerors at any time. Notification of white paper and proposal selection is not an authorization to begin work. Offerors that submitted white papers that are not selected for award will not be notified.

Debriefings will not be provided after any government evaluation or selection decision.

Upon award of a funding instrument, the Offeror will be required to make certain legal commitments through acceptance of a contract, cooperative agreement, or other transaction that the DoN Contracting Organization deems is in the best interest of the government.

The amount of funding made available to this BAA will not exceed \$50 million and will depend on the quality of the proposals received. In addition, the Government reserves the right to request any additional, necessary documentation once it makes the award instrument determination. The Government may remove Offerors from award consideration should the parties fail to reach agreement on award terms, conditions and cost/price within a reasonable time, or if the Offeror fails to provide requested additional information in a timely manner.

Pursuant to the statutory requirement that Rapid Innovation Fund projects expedite the transition of innovative technology into acquisition programs, contracts issued using Rapid Innovation Funds may contain options for further research, testing, and low rate initial production (LRIP) to be funded by acquisition programs.

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 limitations contained in Section 819 of the National Defense Authorization Act for Fiscal Year 2010.

3.0 ELIGIBILITY

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.

Naval 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 submit either white papers or full proposals in response to this BAA.

University Affiliated Research Centers (UARCs) 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 the Government.

Some topics may 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.

For 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 33.110. 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 its proposal that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR 33.220. An entity is **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.

4.0 WHITE PAPER PREPARATION AND SUBMISSION INSTRUCTIONS

4.1 White Papers

White papers shall address one or more of the DoD Rapid Innovation Fund Thrust Areas or operational needs cited in Attachments 1, 2, or 3 of this announcement. Only unclassified white papers will be accepted. If an Offeror does not submit a white paper before the specified closing date and time in Section 1.6, the Offeror will not be eligible to submit a subsequent proposal. The Government’s decision to invite a full proposal will be based upon the evaluation results of the white paper submission. Offerors that do not receive invitations from the Government to submit a proposal are not eligible to submit proposals. White papers should focus on one operational need per paper. There is no limit on the number of white papers an Offeror may submit in response to this BAA.

4.2 White Paper Format

The white paper is limited to six pages within a single file Portable Document Format (PDF) plus a one-page Quad Chart (see Attachment 4). The white paper cover sheet is included in the six page limit. Pages submitted in excess of the white paper page limit will not be read or evaluated.

- Electronic format - PDF

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch (including Header and Footer)
- Header- Times New Roman, 12 point
- Footer- Times New Roman, 12 point
- Spacing – single-spaced
- Font – Times New Roman, 12 point

NOTE: 1) Do not send hardcopies of White Papers (including facsimiles) as only electronic submissions will be accepted and reviewed; 2) Do not attach .ZIP files; 3) Do not attach password protected files; 4) Perform a virus check before uploading the technical concept file. If a virus is detected, it may cause rejection of the proposal. The technical proposal should be a single file, including Gantt or other work plan charts and attachments/enclosures. Do not lock or encrypt the file you upload.

4.3 White Paper Content

Create a single PDF file that includes a Cover Sheet and Technical Concept/Project Description.

4.3.1 Cover Sheet (1 Page – (PDF File))

The cover sheet shall be labeled DoN Rapid Innovation Fund WHITE PAPER, and shall include the BAA number, firm name, CAGE code, DUNS number, proposed project title, related Small Business Innovative Research (SBIR) Topic number (if applicable), Internal Research and Development (IR&D) project identification (if applicable), amount of Rapid Innovation Fund funds requested, offeror’s administrative and technical point of contacts (name/phone and fax numbers/email), SYSCOM and Program Executive Office (PEO) that your project is targeted towards (if known), operational need (primary DoD Rapid Innovation Fund Thrust Area, Naval Operational Challenge Area, and/or Naval SYSCOM Special Interest Area, if known), Target DoN Acquisition Category (ACAT) I – IV program or other DoN acquisition program (if known), and the names of and contact information for up to two DoN acquisition community personnel familiar with or supportive of this project. Your cover sheet must also include the following statement: “(Firm Name) hereby affirms that the Project proposed herein has not been proposed to any other FY12 DoD-sponsored Rapid Innovation Fund Broad Agency Announcement.” Your cover sheet will count as the first page of your White Paper. Do not include classified information in any section of your white paper.

4.3.2 Technical Concept and Project Description (5 Pages – (PDF File))

Begin your technical proposal on page 2 (as the Cover Sheet is page 1) and put your firm name, short project title, and your firm’s proposal number in the header of each page of this section. A page count will be provided in this section, page numbering format is undefined recommend centered and within the footer. (The header and footer information may be included in the one inch margins.) Include the following information in not more than 5 pages not including cover page and Quad Chart.

(1) **Project Description/Executive Summary** (300 words or less)

(2) **Technical Approach**

2.1 Operational Need – Describe your proposed technology’s contribution to one or more DoD Rapid Innovation Fund Thrust Areas, Naval Operational Challenge Areas, Naval SYSCOM Special Interest Areas, or an acquisition program need. (125 words or less)

2.2 Project Goals – Describe how your proposed project addresses each of the applicable DoN Rapid Innovation Fund program goals. (300 words or less)

- (a) **Enhances Military Capability** – Describe how your proposed project significantly increases or improves the Department’s military capabilities in relationship to the identified DoD Rapid Innovation Fund Thrust Areas, Naval Operational Challenge Areas, Naval SYSCOM Special Interest Areas, or DoN Acquisition program.
- (b) **Accelerates Military Development Capability** – Describe how your proposed project accelerates the development and ability to deploy military capabilities required for use by the Department of the Navy.
- (c) **Acquisition Development Cost Reduction** – Describe how your proposed project reduces the acquisition development and total ownership costs of the identified DoN acquisition program.
- (d) **Fielded Systems Sustainment Cost Reduction** – Describe how your proposed project reduces the sustainment costs of the identified fielded system or acquisition program.

2.3 Technical Capability – Describe how your proposed technical approach is innovative, feasible, achievable, complete, and supported by a proposed technical team that has the expertise and experience to accomplish the proposed tasks. (150 words or less)

(3) **Project/Management Approach** - Describe your overall project plan including major project tasks, duration, technology readiness level (TRL), and task costs (Rapid Innovation Fund and matching) using a Gantt chart or similar master planning tool. Focus on the proposed Rapid Innovation Fund project, but include funding and efforts required to fully transition the project into a DoN acquisition program or otherwise transition the technology into field use. Describe any access to government equipment, facilities, or subject matter expertise that will be required.

(4) **Transition Plan** – Describe how the proposed project will be supported during the Rapid Innovation Fund effort and during the post- Rapid Innovation Fund period to transition by the DoN program office, prime systems integrator, or both. Describe how the TRL will mature and what will be required of the organizations supporting the transition of this technology. Describe key transition milestones such as military testing and certification required. The information provided should include details such as the name of the organization and points of contact information for personnel involved in the transition process. (125 words or less)

(5) **Cost Effectiveness**

2.1 Cost Realism – Describe the methods used to ensure that the proposed costs are realistic for the technical approach proposed. (125 words or less)

2.2 Cost Matching – Describe the matching funds, if any, to be provided as a part of the project including the timing, source, amount, and planned use of the funds. Describe funding dependencies, if any or known, such as a firm commitment from a government organization, Tier 1 or 2 Industry Partner and/or Internal Research and Development that may be critical to the completion of a task. (125 words or less)

4.3.3 Quad Chart (1 Page – (PDF File)):

Use the PowerPoint template provided by the Government as Separate Attachment #4. Alternatively, use the template below. The quad chart shall be only 1 page. Submit it separately from the white paper in PDF. The unclassified quad chart shall include the following information:

Heading: Project title, Company Name	
<p>Upper Left Quadrant:</p> <p style="text-align: center;">Insert Pictures of Item and/or High-Level Operational Graphic</p>	<p>Upper Right Quadrant:</p> <p><u>Technology Description</u></p> <ul style="list-style-type: none"> • BRIEF and to the point • Few bullets in non-technical/plain English • Technology Readiness Level (TRL); at beginning and end of Rapid Innovation Fund development <p><u>The “So What”</u></p>

	<ul style="list-style-type: none"> • Cite primary operational need from Attachment 1, 2, or 3 • Specific Outcome benefitting the War fighter • Name the targeted acquisition program and organizational owner, e.g., NAVAIR / Airborne Electronic Attack and EA-6B Program Office (PMA-234)
<p>Lower Left Quadrant:</p> <p><u>Project Objective and Scope:</u></p> <p><u>Key Deliverables:</u></p> <ul style="list-style-type: none"> • Data (specific) • Hardware (specific) • Software (specific) • Other <p><u>Key Subcontractors</u></p> <p><u>Registered with Central Contractor Registration?</u> (Yes/No)</p> <p><u>Cognizant DCAA Office:</u> Name of branch office</p> <p><u>Related SBIR or Other Government Contract #/#s (if applicable):</u></p>	<p><u>Proposed Funding:</u> \$ _____</p> <p><u>Notional Project Schedule Milestones:</u></p> <p>(Can be a simplified Gantt Chart)</p>
<p style="text-align: center;">Page #</p> <p style="text-align: center;">(Required handling instructions)</p>	

Company Trademarks or government command logos, shall only be used in the upper left corner and should not distract or impair the readability of the required content of the Quad Chart.

Do not include classified information in any section of your white paper.

4.4 Submission of White Papers

The white paper and quad chart shall be prepared outside of the DoN Rapid Innovation Fund submission website and then uploaded to the submission site [www.navysbirprogram.com/NavyRIF]. The decision to request a proposal will be based upon the white paper submission. Ensure your white paper and quad chart adequately describe the proposed approach and resulting contributions.

The white papers and quad charts submitted under this BAA are required to be unclassified. Confidential/classified white papers and quad charts are not permitted. Hard copies of white papers and quad charts WILL NOT BE CONSIDERED.

4.5 White Paper Evaluation and Notification

DoN evaluations of the white papers will be issued via email notification using the timeline stated in Section 1.6, Response Dates and Key Dates. Any Offeror whose white paper technology is assessed as “not of particular value” to the DoN is ineligible to submit a full proposal under this BAA.

4.6 Submission of Late Proposals (White Papers)

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.

5.0 PROPOSAL PREPARATION AND SUBMISSION INSTRUCTIONS

5.1 Proposals

Offerors that receive a request to submit proposals shall provide sufficient information to persuade the Government that the proposed project represents an innovative approach to accelerating the transition of defense-related technologies. The DoN Component Contracting Officer requesting the proposal has the right to deviate from the proposal format and content described below. Deviations from the information provided in this announcement will be detailed in the proposal invitation letter. Only unclassified proposals will be accepted. Instructions for the preparation of full proposals will be included in the invitation letter requesting the proposal. The format provided in the invitation for Full Proposal submission is the authoritative source and takes precedence over the format and content provided in this announcement. Failure to fully comply with the proposal instructions may result in the proposal not being considered for contract award.

The anticipated invitation to submit a Full Proposal will be issued via email notification in accordance with the timeline in Section 1.6, Response Dates and Key Dates. The due date for receipt of Full Proposals is 3:00 PM (EDT) 30 days after invitation. Full proposals received after the published due date and time may not be considered for funding.

5.2 Proposal Format

The Full Proposal will include Four sections; Cover Sheet, Technical Proposal, Cost or Price Proposal, and Performance Work Statement (PWS). The Technical Proposal is limited to 25 pages. The Cover Sheet, Cost or Price Proposal, and PWS are not included in the technical section page limit. The Cover Sheet is limited to 1 page. The Cost or Price proposal does not have a page limit. The PWS is limited to 12 pages. There shall be no cost/price information in the technical proposal and no technical information in the Cost or Price Proposal. Pages submitted in excess of the technical proposal and/or PWS page limit will not be read or evaluated.

- Electronic format - Portable Document Format (.pdf)
- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch (will include Header and Footer)
- Header- Times New Roman, 12 point
- Footer- Times New Roman, 12 point
- Spacing – single-spaced
- Font – Times New Roman, 12 point

5.3 Proposal Content

Create a single file in Portable Document Format (PDF) that includes the following four sections in the order described below: Cover Sheet, Technical Proposal, Cost or Price Proposal, and Performance Work Statement.

5.3.1 Cover Sheet (1 Page – (PDF File))

The cover sheet shall be labeled DoN Rapid Innovation Fund Full Proposal and shall include the BAA number, firm name, CAGE code, DUNS number, proposed project title, SBIR Topic number (if applicable), IR&D project identification (if applicable), amount of Rapid Innovation Fund funds requested, Offeror’s administrative and technical points of contact (name/phone and fax numbers/email), SYSCOM and PEO that your project is targeted towards, operational need (DoD Rapid Innovation Fund Thrust Area, Naval Operational Challenge Area, and/or Naval SYSCOM Special Interest Area), target ACAT I – IV program or other acquisition program, if known, and the names of and contact information for up to two DoN acquisition community personnel familiar with or supportive of this project

5.3.2 Technical Proposal (25 Pages – (PDF file))

The technical proposal shall be prepared outside of the DoN Rapid Innovation Fund submission website. The technical proposal shall include the following sub-sections in the order given below:

(1) Contribution to the Need: Provide a project overview and description of benefits, as described below:

1.1 Project Overview: A brief statement describing the specific technology and/or product being proposed and how the technology and/or product will work.

1.2 Benefits: Describe how and to what degree the technical approach is relevant to an operational need or needs identified in this announcement, including how the approach:

- Enhances the military capability, or
- Accelerates the development of military capability, or
- Reduces the development costs, or
- Reduces the sustainment costs of fielding systems.

1.3 Transition Strategy: Describe how the technology and/or product will transition into the DoN acquisition program, including insertion events into military systems or programs. Note accreditations, tests, and/or certifications required to prove that it works and is acceptable to be transitioned into the operational Naval Forces, including requirements from agencies other than the DoN (e.g., National Security Agency certification), if necessary and known. Describe the seminal transition event (e.g., test or certification) that signifies the technology is ready to be acquired by the DoN. Indicate the beginning and ending TRL. Provide evidence to support the initial TRL.

(2) Technical Approach: Describe how the proposed technical approach is innovative, feasible, achievable, complete, and supported by a technical team that has the expertise and experience to accomplish the proposed tasks.

2.1 Objectives and Scope: Describe the specific objectives of what the project will achieve and any logical boundaries.

2.2 Work Plan: Provide an explicit, detailed description of tasks to be completed and deliverables.

2.3 Key Personnel: Describe the qualifications of the team and identify key personnel who will be involved in the effort including information directly related to education and experience. Identify any foreign citizens you expect to be involved as a direct employee, subcontractor, or consultant. Key personnel resumes shall be provided in an attachment to the proposal and will not count toward the page limitations.

2.4 Facilities/Equipment: Describe available instrumentation and physical facilities necessary to carry out the proposed effort. If access to government-owned facilities or equipment is required, describe the contract mechanism that will be used to access them.

2.5 Related Work: Describe significant activities and/or previous work directly related to the proposed effort, including SBIR/STTR contracts and IR&D projects.

(3) Schedule: Describe how the proposed schedule is achievable for the proposed technical approach. Transition to military systems or programs is expected within 24 months of award.

3.1 Milestones & Deliverables: Show major activities/milestones and deliverables anticipated by date, including research and development, testing, integration, transition milestones including the seminal transition event, and/or acquisition elements, as applicable.

3.2 Metrics/Measures of Success: Discuss what measurement criteria will be established to measure progress against stated objectives.

3.3 Risks: Describe anticipated risks and risk mitigation plans.

5.3.3 Cost or Price Proposal (no page limit – (PDF file))

The cost or price proposal shall be prepared outside of the DoN Rapid Innovation Fund submission. The cost/price proposal shall include a detailed breakdown of all costs by category. If a proposal is selected for award, the Offeror shall be prepared to submit further documentation to its DoN Contracting Officer to substantiate costs. For more information about cost proposals and accounting standards, see the Defense Contract Audit Agency (DCAA) publication called “Information for Contractors” available at www.dcaa.mil. The following cost areas shall be included, if applicable:

- (1) **Direct Labor:** Individual labor category or person, with associated labor hours and unburdened direct labor rates.
- (2) **Indirect Costs:** Fringe Benefits, Overhead, G&A, etc.
- (3) **Travel:** Destination, number of trips, number of days per trip, departure and arrival destinations, number of people, etc.
- (4) **Subcontractor and Consultants:** All subcontractor costs and consultant costs must be detailed at the same level as prime contractor costs in regards to labor, travel, equipment, etc. Provide detailed substantiation of subcontractor costs in your cost proposal. Provide consultant agreement or other document that verifies the proposed daily/hourly rate.
- (5) **Other Direct Costs (ODCs):** ODCs shall be itemized with costs or estimated costs.
- (6) **Government Costs:** Estimate of costs the government partner(s) will incur during the 24 month Rapid Innovation Fund project (e.g., equipment, facilities, personnel).

5.3.4 Performance Work Statement (PWS) (12 Pages – (PDF file))

A PWS shall be submitted that clearly details the scope and objectives of the effort, the tasks to be completed, the technical approach, and the deliverables. It is anticipated that the proposed PWS will be incorporated as an attachment to the resultant award instrument. To this end, such proposals must include a PWS without any proprietary restrictions.

5.4 Submission of Proposals

The full proposals submitted under this BAA are required to be unclassified. Confidential/classified proposal papers are not permitted.

NOTE: 1) Do not send hardcopies of Full Proposal (including facsimiles) as only electronic submissions will be accepted and reviewed; 2) Do not attach .ZIP files; 3) Do not attach password protected files; 4) Perform a virus check before uploading the file. If a virus is detected, it may cause rejection of the proposal. The white paper should be a single file, including Gantt or other work plan charts and attachments/enclosures. Do not lock or encrypt the file you upload.

Hard copies of White Papers and Full Proposals WILL NOT BE CONSIDERED.

5.5 Submission of Late Proposals (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.

5.6 Commitment to Small Business

The DoN 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 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.

5.7 Proposal Evaluation and Notification

It is anticipated that final selections will be made within four to six weeks after full proposal submission. As soon as the final Full Proposal evaluation process is completed, offers will be notified via email of their project's selection or non-selection for funding. The Government reserves the right to request any additional, necessary documentation once it makes the award instrument determination. Offerors may be removed from award consideration should the parties fail to reach agreement on award terms, conditions and cost/price within a reasonable time, or if the Offeror fails to timely provide requested additional information.

6.0 OPPORTUNITY DESCRIPTION AND EVALUATION INFORMATION

This BAA is primarily for the validation and transition of technologies developed by small businesses (less than 500 employees) including those developed under the SBIR program and IR&D that directly support DoN needs and programs. IR&D is defined in Federal Acquisition Regulation (FAR) 31.205-18(a).

The R&D efforts to be funded under this BAA will consist primarily of Advanced Component Development and Prototypes, and the funds available to support awards are Budget Activity 4. The proposed DoN Rapid Innovation Fund effort must advance the technology by validating and demonstrating the capability in a realistic environment. Technology maturity will be identified to assess technical risks for candidate proposals in direct support of major defense acquisition programs, programs of record, or the next phase of research and development. For purposes of this BAA, DoN seeks a TRL between 6 and 7 at project initiation. In circumstances of exceptional technical merit, proposals with a lower TRL rating will be considered for award.

Work funded under a BAA **may also** include basic research, applied research and some advanced research. 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 Activity 6.2 (Applied Research) and NOT performed on-campus at a university or b) funded by Budget Activity 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. Non-fundamental research is normally awarded under contracts and may require restrictions during the conduct of the research and DoD pre-publication review of such research results due to subject matter sensitivity. Potential Offerors should consult with the appropriate ONR POCs to determine whether the proposed effort would constitute basic research, applied research or advanced research.

FAR Part 35 restricts the use of 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.

Those selected for award may receive up to \$3M in Rapid Innovation Fund funding; developmental efforts can be completed within 24 months; preference will be shown for technologies that can be available to the operational Naval Forces within 12 months of Rapid Innovation Fund project completion. Funds available for awards are \$50 million, contingent upon acceptable proposals. The Government may provide additional funds, but there is no commitment by the Government that the total amount of awards will exceed \$50 million.

The goal of the DoN Rapid Innovation Fund is to transition innovative technologies that resolve operational challenges or other critical national security needs into DoN acquisition programs. Technologies of general interest to the DoD include technologies that pertain to the DoD Rapid Innovation Fund Thrust Areas described in **Attachment 1**. Additional proposals of interest will include those able to clearly identify and define how the proposed technology satisfies a Naval Operational Challenge Area (see **Attachment 2**) or Naval SYSCOM Special Interest Area (see **Attachment 3**). In order to be considered, technologies proposed must show a clear transition path into a DoN acquisition program or as a fielded DoN prototype system.

The following evaluation criteria are RIF-specific and will be applied:

- Projects address innovative technology that resolve operational challenges or other critical national security needs and have a demonstration path into a defense acquisition program, including, but not limited to, capabilities that:
 - Accelerate or enhance a military capability;
 - Reduce the development, acquisition, sustainment, or lifecycle costs of defense acquisition programs or fielded systems;
 - Reduce technical risk;
 - Improve the timeliness and thoroughness of test and evaluation outcomes.
- Projects can be completed within 24 months from award; and
- Total project cost does not exceed \$3 million.

The following selection preferences, listed in order of priority, will be used:

- (1) Small business projects, including those developed by SBIR Phase II or IR&D suppliers that accelerate the deployment of military capability to resolve operational challenges characterized by DOD RIF Thrust Areas, Naval Operational Challenge Areas, and/or Naval SYSCOM Special Interest Areas (as listed in Attachments 1 – 3).
- (2) Small business projects, including those developed by SBIR Phase II or IR&D suppliers that show a clear transition path to fielding the technology into existing ACAT I–IA, II, III, IV and other defense acquisition programs.
- (3) Projects from other than small businesses that accelerate the deployment of military capability to resolve operational challenges characterized by DOD RIF Thrust Areas, Naval Operational Challenge Areas, and/or Naval SYSCOM Special Interest Areas (as listed in Attachments 1 – 3).
- (4) Projects from other than small businesses that show a clear transition path to fielding the technology into existing ACAT I–IA, II, III, IV and other defense acquisition programs.

6.1 Evaluation Criteria (White Papers and Full Proposals)

Award decisions will be based on a competitive evaluation of proposals resulting from a technical and cost review. Evaluations will be conducted using the following evaluation criteria. Criterion 1 (inclusive of its three sub factors) is significantly more important than Criteria 2 or 3, which are of equal value. The first three Criteria are significantly more important than Criterion 4. Within Criterion 1, Criterion 1a is more important than 1b, which is significantly more important than 1c.

- (1) Technical Approach including:
 - a. Operational Need - how the Project is relevant to the identified DOD Rapid Innovation Fund Thrust Areas (see Attachment 1), Naval Operational Challenge Areas (see Attachment 2), Naval SYSCOM Special Interest Areas (see

- Attachment 3), and/or acquisition program identified in the white paper/proposal;
- b. Project Goals - the degree to which it reduces the development, sustainment, or demilitarization costs of fielded systems or acquisition programs; and
 - c. Technical Capability - including the innovation, feasibility, achievability, and completeness of the technical approach and the expertise and experience of the proposed technical team.
- (2) Project/Management Approach - including how the Project will be executed and completed within 24 months after contract award, how the technology readiness level will be matured and validated, the strategy to field the technology within 12 months after project completion, and how the team, including subcontractors/consultants, will be managed.
 - (3) Transition Plan – the strategy and probability for the transition of this effort into an acquisition program or DoN fielded prototype to include level of support, knowledge of the steps and factors that would be required to achieve successful transition, availability of transition funds if needed during the Rapid Innovation Fund pilot project and validity of an insertion funding commitment at the conclusion of the Rapid Innovation Fund pilot project.
 - (4) Cost Effectiveness - including how the project’s cost are reasonable and realistic, and the ability to complete the total project for not more than \$3 million in Rapid Innovation Fund funding; or the ability to obtain cost matching if required to complete the project or transition it to fielded use.

6.2 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 DoN Rapid Innovation Fund Program Manager and/or other Government subject matter 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 and/or administrative support. 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.

7.0 AWARD ADMINISTRATION INFORMATION

7.1 North American Industry Classification System (NAICS) code

The NAICS code for this announcement is 541712 with a small business size standard of 500 employees.

7.2 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.

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 (complete Block 17). The following certification applies likewise to each cooperating 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.

8.0 OTHER INFORMATION

8.1 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 should indicate in the Technical and Cost Proposal, which of these facilities are critical for the project's success.

8.2 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.

8.3 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. 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.

8.4 Recombinant DNA

Proposals which call for experiments using recombinant DNA must include documentation of compliance with Department of Human and Health Services (DHHS) recombinant DNA regulations, approval of the Institutional Biosafety Committee (IBC), and copies of the DHHS Approval of the IBC letter.

8.5 Department of Defense High Performance Computing Program

The DoD High Performance Computing Program (HPCMP) furnishes the DoD S & T and RDT & E communities with use-access to very powerful high performance computing systems. Awardees may be eligible to use HPCMP assets in support of their funded activities if Program Office 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/>.

8.6 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 DoN 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 by sending his/her contact information and a summary of the potential conflict by e-mail to the Business Point of Contact identified in the proposal invitation letter, 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.

8.7 Executive Compensation and First-Tier Subcontract Reporting (Applies only to Contracts)

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/excomp.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.fsrs.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.

Attachment 1: DoD Rapid Innovation Fund Thrust Areas

Defense research and development Rapid Innovation Fund Program science and technology thrust areas:

- **Enhancing Energy Security and Independence.** For technologies that will improve energy efficiency, enhance energy security, and reduce the Department's dependence on fossil fuels through advances in traditional and alternative energy storage, power systems, renewable energy production and more energy efficient ground, air, and naval systems. Examples of capabilities include: sensors, communications and software needed to collect energy consumption information at point of use across the deployed force (e.g., fuel consumption measurement systems for vehicles), platforms, and various devices in contingency bases; technologies that reduce the size and weight of thermal management systems on-board vehicles and platforms; modeling and simulation technologies that examine the effect of energy demand and improvements on operations and integrate power and thermal systems on-board vehicles and platforms; hybrid energy storage, with high energy and power density power systems for autonomous air, ground, and undersea systems; and energy capture and conversion technologies for low power sensors, electronics, micro-autonomous systems.
- **Developing Advanced Materials.** For investment in a broad range of materials technologies, both organic and inorganic, that can provide enhanced performance in extreme environments; enhanced strength and reduced weight for the spectrum of applications from aerospace to lighter Warfighter loads; enhanced survivability of ground, air, and naval systems; and tailored physical, optical, and electromagnetic properties for a wide variety of the challenging and environments and unique properties demanded of military systems. Such materials could include advanced metals and alloys, advanced composites and hybrid materials, engineered nanomaterials, and alternatives for critical and strategic materials. Investments can address new techniques for manufacturing and processing of materials, including advancements in forming, joining, and shaping. Examples of other capabilities include: methods that enable accelerated discovery, development, performance prediction and certification of materials and systems; development of viable, environmentally benign alternative technologies to extract ore, reduce metal from the ore, or to recover critical elements from scrap and waste; predictive tools for affordable and efficient structural health management and of military assets; materials supporting both structure and propulsion in space access applications; and materials that improve the performance and fuel efficiency of air-breathing engines. Investments can further address materials and processes research directed toward extending the life of components in defense service, in accelerating insertion of novel or newly tailored materials, or in decreasing sustainment costs of defense systems.
- **Improving Manufacturing Technology and the Industrial Base.** For increased investment in advanced and innovative manufacturing technologies across the spectrum of applications to significantly compress design to production time cycles, reduce cost, minimize waste and energy consumption, and improve producibility as well as product quality and reliability. Based on coordination with the Office of the Deputy Assistant Secretary of Defense for Manufacturing and

Industrial Base Policy, needed manufacturing technology advances include: advanced joining techniques (e.g., composite bonding, friction stir welding, and laser welding) for shipbuilding, aviation and combat vehicle programs; flexible automation and advanced robotics to improve the yield of critical parts; techniques for ballistic survivability that satisfies performance, cost, and weight goals for both Soldier and weapon system armor; additive manufacturing to fabricate parts in a layer-by-layer fashion directly from a digital design; manufacturing for portable power such as fuel cells; and secure network applications that provide for secure protocol transfer, integrated data sharing, and protection of intellectual property.

- **Advancing Microelectronics.** Increased investment in the development of resilient advanced microprocessors, application-specific integrated circuits, field programmable gate arrays, printed circuit boards, photonics devices, and other related electronics components for the next generation of military and intelligence systems.

Attachment 2: Naval Operational Challenge Areas

- Improvised Explosive Device (IED) detection improvements.
- Ambush and sniper detection and protection enhancements including armor.
- Intelligence, Surveillance, and Reconnaissance (ISR) enhancements for miniature, small and full-sized unmanned air vehicles.
- Information dominance as a warfighting domain, including operations in anti-access, communications-denied field environments.
- Network security (and operations) in communications-degraded or denied environments.
- High frequency and other satellites security from cyber attacks and intrusions.
- Anti-corrosion for aluminum, composites and other advanced materials, including intersections of these materials in warfighting platforms.
- Continuous non-destruction evaluation of critical platform components and sub-systems.
- Advanced radar enhancements for surface operations.
- Integrated air and missile defense enhancements.
- Human social and cultural behavior training and operational tools.
- Automated testing and retesting to ensure software and middleware integrity throughout the provider enterprise.
- Improved thermal management in key subsystems and systems of high-performing platforms.
- Littoral battlespace security management improvements in communications and anti-mine operations.
- Power generation and storage improvements for miniature and small unmanned underwater vehicles, aligned with safety and endurance requirements.
- Power generation and storage improvements for expeditionary field operations.
- Energy efficiency improvements in warfighter components and installations.
- Land-based mine detection and removal improvements.
- Anti-missile systems for detection, avoidance and destruction.
- Renewable Energy: Lightweight, cost-effective and efficient, man-portable and man-wearable capabilities to harvest energy from the sun, battlefield waste, vehicles, and personnel. Technologies must be embarkable aboard naval shipping and transportable aboard ground and air assault transportation.
- Expeditionary Energy Storage: Lightweight, high energy density and high energy volume approaches to store harvested energy (e.g. on individuals, vehicles, fixed sites, weapon systems, etc...).
- Expeditionary Water Production and Cooling: Robust, lightweight technologies that enable man-portable water harvesting and purification by dismounted individuals and mounted small units (rifle company and below).
- Efficient Electronics: Innovative approaches that decrease the electric demand of existing and future command, control, communications, intelligence, surveillance, reconnaissance and weapon systems.

Attachment 3: Naval SYSCOM Special Interest Areas

SPAWAR (Prioritized List)

1. **Cyber Awareness and Command and Control (C2):** Situational awareness of significant incidents/events within the cyber domain such that leaders and operators can recognize, understand, decide and act appropriately. Develop technologies to exercise operational command and control over the full spectrum of cyberspace operations.
2. **Ultra High Frequency (UHF) Satellite Communications (SATCOM) End-to-End Capabilities:** Provide technologies that extend Global Information Grid (GIG) capabilities to UHF SATCOM users.
3. **Tasking, Collection, Processing, Exploitation and Dissemination (TCPED):** TCPED enhancements to handle projected increases in ISR and C2 data generated by emerging Naval platforms, unmanned systems and sensors.
4. **Automated Control Solutions:** End-to-end automated/centralized control, monitoring, management and reporting of Command, Control, Communications, Computers, Collaboration, and Intelligence (C5I) systems including Radio Frequency (RF) (to include spectrum management), networks, servers and applications where end-to-end includes both shipboard and ship-shore.
5. **Electronic Protection techniques:** Address co-site interference and Electronic Attack (EA) effects on mobile systems. Electronic Protection techniques may include antenna electronics (AE) or software based approaches. Solutions that will be considered can include hardware applications or software only. Electronic Protection techniques that maintain interoperability or that do not require significant changes to the current waveform are preferred.
6. **Geolocation:** Provide geolocation algorithms, and hardware improvements that support improved geolocation for constrained SWAP systems that are networked via wireless RF.
7. **Naval Nano-satellite Technologies:**
 - Drastically reduce the size, weight and power of payloads that have traditionally performed Naval space missions on much larger satellites. Traditional Naval space missions include narrowband communications, astrometry, ocean sensing, and maritime domain awareness. Other missions of Naval interest will also be considered. Smaller, more cost effective satellites will enable DoN to continue vital space missions despite limited resources.
 - Increase the manufacturability of existing nano-satellite technologies to enable rapid development of large numbers of spacecraft at lower cost.
8. **Position Navigation and Timing:** Assured access to Positioning, Navigation and Timing (PNT) services to support combat systems, weapons, sensors, and Command, Control, Communications, Computers, & Intelligence (C4I) systems. Develop distributed system approaches to position navigation and timing (PNT) that can promulgate PNT across a tactical network in a contested and denied environment to support communication, blue force tracking, and Electronic Protection (EP) capabilities.
9. **Cloud Solutions:** Implementation of scalable cloud solutions (data, analytics, computing) in a distributed, disconnected, interrupted and low-bandwidth environment. Develop solutions to securely allow cross-domain access from low-side to high-side data cloud resources.
10. **UHF SATCOM Resiliency:**

- Space Situational Awareness to better understand the impact of the space and man-made environment on UHF SATCOM;
- Electromagnetic Interference monitoring, characterization, and filtering; and
- Other technologies that increase the resiliency of UHF SATCOM systems.

USMC System Command

- Technologies that reduce the weight of USMC equipment. This area is similar to DoD Rapid Innovation Fund Thrust Area "Developing Advanced Materials" but is not limited to advanced materials such as multi-purpose equipment.
- Cost reduction technologies such as training/simulation alternatives that effectively and efficiently provide readiness.
- Technologies that improve USMC operations in a satellite-denied environment (includes GPS and SATCOM denial).

NAVSEA

- **Reducing Production Cost:** Improved materials, tools, and processes for reducing recurring production costs. Reducing shipbuilding, manufacturing, and material costs, improving performance, and improving the service life through innovative ideas will reduce this growing cost driver for the Navy and Marine Corps.
- **Reducing Operating and Maintenance Costs:** Technologies and innovations to reduce operating and maintenance costs and extend the life-cycle of components and systems.
- **Reducing Non-Recurring Engineering Costs:** All elements of non-recurring engineering in design. The Navy and Marine Corps are evolving with each increment of ship, submarine, and autonomous vehicle design. Rapidly evolving threats and corresponding rapidly evolving missions require timely, affordable systems solutions, which can be inserted in construction and modernization.
- **Improving Performance and Capability:** Evolving threats require technologies that enhance warfighting capabilities, improve operator effectiveness, and increase safety.
- **Special Operations and Unique Services:** Improvements in expeditionary forces equipment, tactics, and training are key to achieving success in our national security missions. Improving efficiency and safety for divers, Navy Special Warfare (NSW), Underwater (UW) and Joint Service (JS) Explosive Ordnance Disposal (EOD), Anti-Terrorism Afloat (ATA), and Joint Counter Radio Controlled Explosive Device Electronic Warfare (JCREW) will all benefit from innovation related to expeditionary tools.
- **Improving Safety:** The Navy's Safety Program is dedicated to enhancing readiness while ensuring every Navy and Marine Corps workplace, both ashore and afloat, is as free from hazards as possible. This challenge will be met only by designing and building systems that control such established safety and occupational health hazards as noise, vibration, falls, electric shock, and chemical contamination.

NAVSUP

- **Product Lifecycle Management (PLM) Capability for Shipboard Technical Data:** Systems that can present tech data in one cohesive manner similar to a PLM capability to provide sailors access to technical data for weapons systems, Hull, Mechanical & Electrical (HM&E) systems, technical manuals, etc...

- **Energy Management Techniques:** Capabilities that focus on 1) energy and resource conservation, 2) increased energy efficiency of new and existing systems and facilities, and 3) increased use of alternative energy products. As such, technologies are needed that increase recycling, improve electronics stewardship, increase energy usage awareness (e.g., electricity metering), assist in lifetime energy cost evaluations of contracts, promote “green” behavior, improve efficiency and performance of alternative energy sources, analyze and identify personnel and building energy reduction initiatives, and reduce overall petroleum dependency in all aspects of DoD logistics.
- **Customer Relationship Management (CRM):** Automated, mobile CRM tools that enable customer service personnel to quickly provide onsite tracking and immediate recording of customer support requests, minimize data recording errors, and improve overall data quality. This includes access to Mobile Computing Devices (MCDs) with real-time access logistics information and CRM system data. Technology that allows standard email to be read by automated systems without the need for manual intervention and processes customer request inputs directly into a CRM system via an automated interface is also needed. Additionally, the capability to single-up Call Centers or Helplines would allow achievement of minimal staffing goals, reduce costs, and improve customer satisfaction in a Distance Support environment.
- **Accuracy & Automated Processing of Ordnance Requisitions:** Technologies that enable the automatic processing of ammunition requirements in the Ordnance Information System (OIS). Technology is required to remove virtually all human intervention from converting a demand signal into a cogent customer requirement. Artificial intelligence at the “point of sale” will be required to produce the perfect order.
- **Quality of Life (QOL) Services Modernization & Cost Reduction:** Capabilities are needed in areas such as enhanced data integration of subsistence, retail, postal, laundry, vending, barbershop, household goods and disbursing/Navy Cash to: 1) improve services; 2) offer additional desired features (such as those which would improve supporting information systems, security, health, etc.); and 3) reduce total ownership costs.
- **Shipboard Supply Workload:** Capability to consolidate stock control functions that are currently performed afloat in Navy Enterprise Resource Planning (ERP) ashore to allow the NAVSUP enterprise to realize its logistics IT vision of operational forces only performing receipt, stow, issue, expend and inventory tasks.
- **Clothing Protection for the War Fighter:** Enhanced uniforms/clothing including thermal/flame protection, protective footwear and environmental and physical protection.
- **Readiness through Logistics Solutions:** Supply chain improvements that support logistics efficiency and Fleet readiness, including the areas of manufacture, storage, delivery, use, maintenance, and disposal.

Attachment 4: Quad Chart (Separate PDF Attachment)

WHITE PAPER TEMPLATE QUAD CHART FORMAT

(limit to 1 page)

**SEE SEPARATE
POWER POINT ATTACHMENT**

Recommend creation as PowerPoint.

Save and submit as PDF.