



Science, Technology, Engineering & Mathematics (STEM) Education and Outreach for K-12 and Higher Education

Broad Agency Announcement 13-007

#### **INTRODUCTION:**

This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and 35.016, and the Department of Defense Grants and Agreements Regulations (DoDGARS) 22.315(a). A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued.

The Office of Naval Research (ONR) will not issue paper copies of this announcement. The ONR reserves the right to 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.

This BAA is intended for proposals related to educational programs and outreach projects in Science, Technology, Engineering, and Mathematics (STEM). Proposals that do not meet the criteria specified by this document will not be reviewed.

For Research and Development proposals related to basic research, applied research, or advanced technology development, refer to the Long Range ONR BAA 13-001, which can be found at ONR Broad Agency Announcement (BAA) Webpage- <http://www.onr.navy.mil/Contracts-Grants/Funding-Opportunities/Broad-Agency-Announcement.aspx>.

## Table of Content

**The following information presents the basic organization of this document as well as the location of significant information:**

- I. General Information
  - 1. Agency
  - 2. Funding Opportunity Title
  - 3. Program Name
  - 4. Funding Opportunity Number
  - 5. Response Date
  - 6. Funding Opportunity Description
  - 7. Points of Contact
  - 8. Instrument Type
  - 9. Catalog of Federal Domestic Assistance (CFDA) Number
  - 10. Catalog of Federal Domestic Assistance (CFDA) Titles
  - 11. Other Information
- II. Award Information
- III. Eligibility Information
- IV. Application and Submission Information
  - 1. Application and Submission Process
  - 2. Content and Format of White Papers/Full Proposals
    - a. White Papers
    - b. Full Proposals
      - i. Instructions for Contracts and Cooperative Agreements
      - ii. Instructions for Grants
  - 3. Significant Dates and Times
  - 4. Submission of Grant Proposals through Grants.gov
  - 5. Submission of White Papers and Full Proposals for Contracts and Cooperative Agreements
- V. Evaluation Information
  - 1. Evaluation Criteria
  - 2. Commitment to Small Business (for Contracts only)
  - 3. Options
  - 4. Evaluation Panel
- VI. Award Administration Information
- VII. Other Information
  - 1. Government Property/Government Furnished Equipment (GFE) and Facilities
  - 2. Security Classification
  - 3. Use of Animals and Human Subjects in Research
  - 4. Recombinant DNA
  - 5. Use of Arms, Ammunitions, and Explosives

6. Department of Defense High Performance Computing Program
7. Organizational Conflicts of Interest
8. Project Meetings and Reviews
9. Reporting Executive Compensation and First-Tier Subcontract Reporting
10. Military Recruiting on Campus
11. Combating Trafficking of Persons
12. Updates of Information regarding Responsibility Matters
13. Employment Eligibility Verification
14. Intellectual Property

## **I. GENERAL INFORMATION:**

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

**2. Funding Opportunity Title** – FY13 Broad Agency Announcement (BAA) for Navy and Marine Corps Science, Technology, Engineering & Mathematics (STEM) Education and Outreach for K-12 and Higher Education

**3. Program Name** – STEM for K-12 and Higher Education

**4. Broad Agency Number** – ONR BAA13-007

**5. Response Date** -

White papers and proposals will be accepted throughout the open period of BAA 13-007.

This announcement will remain open until 30 September 2013 or until replaced by a successor BAA, whichever first occurs. Proposals may be submitted any time during this period.

**6. Funding Opportunity Description** -

The Office of Naval Research (ONR) is interested in receiving proposals for developing innovative solutions that directly support the development and maintenance of a robust STEM workforce. Successful efforts will be targeted towards one or more of the following: K-12, Undergraduate, Graduate STEM education. The goal of any proposed effort should be to provide "game changing" solutions that will establish and maintain a diverse pipeline of U.S. citizens who are interested in participating in Naval STEM education programs and who ultimately will be interested in STEM careers. While not a formal requirement of the BAA, where applicable, programs are encouraged to consider focusing on bringing Naval STEM to under-represented populations (including women and minorities).

Proposers must clearly make the case that their proposed program is relevant to the Navy's STEM education and workforce priorities -- and therefore, could include Naval relevant content, active participation by Navy and Marine Corps personnel, Navy-centric solutions, exposure to Naval careers (both civilian and military), and/or collaborations with Navy Activities, Commands, or Laboratories. Efforts that emphasize developing and implementing new techniques, methodologies or technologies and making these available to large numbers of users/practitioners are highly encouraged. Efforts that focus on significantly scaling proven models and approaches and adding Naval relevant content and participation also are highly encouraged. Efforts that focus solely (or primarily) on localized instructional, educational or physical infrastructure improvement, continuation of existing efforts (either the Offeror's own or those currently or previously supported by ONR), the purchase of supplies and material, or providing salary and/or travel support are discouraged from applying to this BAA.

This BAA also separately requests proposals for the evaluation of current and future Naval STEM programs. This includes implementing methodologies and processes for data collection, analysis, and reporting, as well as methods for effectively evaluating programs and calculating return on investment for chosen programs.

#### Background

The U.S. Navy and Marine Corps currently enjoys an extraordinary level of technological superiority across the full spectrum of its missions. Maintaining this technological edge requires a dynamic portfolio of scientific research and technology development, a culture of innovation, and the capacity to draw upon diverse ideas and approaches. The Navy's STEM workforce is at the heart of this innovation process.

The Department of the Navy (DoN) is concerned that the number of U.S. citizens who graduate with STEM degrees in disciplines vital to its future may not keep pace with future demand or the increased international competition for that same talent. Currently, only 15% of bachelor's degrees earned by U.S. citizens are in STEM fields. Of the students receiving STEM degrees, the number of women and underrepresented minorities does not reflect the demographics of our nation. Further, U.S. students rank 20th place in math and science as compared to students from other industrialized countries. These trends threaten not only America's economic security, they directly impact its ability to maintain and deploy a technologically superior force in defense of this nation.

At the same time that the DoN is facing these future workforce challenges, their current Science and Technology (S&T) workforce is aging. Nearly 65% of DoN science and engineering professionals are over the age of 40, and over 50% will be retirement eligible by 2020. According to a recent study done for Naval Sea Systems Command, 40% of their Naval architects and 30% of their Naval engineers will be retirement eligible by 2014. Reductions in the talent base supporting Naval-relevant technologies - such as, but not limited to, Naval engineering, computer science, and

ocean engineering - would have a significant impact on the DoN's engineering workforce. Further complicating these workforce challenges is the fact that for security reasons, the DoN must rely on U.S. citizens for classified technical work.

The DoN is committed to nurturing a world-class STEM workforce able to contribute to and support Naval innovation. In support of this commitment, STEM2Stern was launched in 2009 to create a centralized Navy and Marine Corps approach to STEM, ensure coordination on STEM across the Naval enterprise, and maximize the impact of Naval STEM investments. The key to ensuring that the Navy and Marine Corps maintains a world class STEM workforce lies in supporting STEM formal and informal education across a continuum of experiences from kindergarten through higher education. The purpose of the DoN's STEM program is to help ensure a strong Naval STEM workforce in the future. This will require new and innovative ideas that enable the Navy and Marine Corps to Inspire, Engage, Educate and ultimately Employ an effective STEM workforce. To ensure a base of STEM talent from which it can draw today and into the future, the DoN has established a portfolio of programs to excite, engage, and educate a wide range of students in STEM. Currently these efforts:

- Reach students in all 50 states
- Are concentrated largely around the Naval Activities, Commands, and Laboratories
- Include over 30 Naval organizations
- Engage more than 80,000 students
- Involve over 5,000 teachers
- Include over 2,000 Naval volunteers

In response to the increasing demand for top STEM talent worldwide and the anticipated retirements of Naval STEM professionals over the next ten years, the ONR - lead by the Navy's STEM Executive - is issuing this BAA. This BAA requests innovative ideas to broaden, extend and enhance the current STEM portfolio to:

- Inspire the next generation of scientists and engineers, including women and persons from populations currently under-represented in STEM;
- Engage students in STEM-related hands-on learning activities using Naval-relevant content in order to maintain their inspiration as they progress towards STEM degrees;
- Educate students to be well prepared for employment in STEM disciplines in the Navy or in supporting academic institutions or the Naval contractor community. This includes developing techniques and technologies to overcome barrier to STEM education that may preclude students from considering a STEM career.

In addition, this BAA request proposals for the evaluation of current and future Naval STEM programs through the utilization of already established STEM Output and Impact measures.

## Focus Areas

This BAA includes two focus areas:

- 1) STEM Education and Outreach programs aimed at Inspiring, Engaging, and Educating the next generation of scientists and engineers; and
- 2) Metrics and Evaluation to assess the effectiveness and impact of the DoN's STEM efforts.

Efforts proposed for the STEM Education and Outreach focus area must clearly demonstrate that they:

- Invest in either the development of innovative capabilities and educational tools OR in significantly scaling proven models and approaches.
- Will create meaningful content and participant experiences that meet Naval STEM goals and priorities, and that will expose participants to Naval STEM skills, content, careers, facilities and personnel (uniformed, civilian, active duty or retired).
- Have the ability to collect a set of program-specific measures of performance and measures of effectiveness. These measures are independent from the already established Output and Impact measures discussed elsewhere in this BAA.
- Create programs with significant 'STEM reach' - efforts that can be affordably scaled nationally for maximum impact, ultimately leading to self-sustaining and effective long-term programs..
- Contain a strategy for self-sufficiency, such that following the completion of ONR's investment, the effort will have a clear sustainability path and enduring capability.
- Are distinct from those types of efforts requested by ONR's Long Range BAA.

Additionally, all programs will be required to provide DoN-specified Output measures that demonstrate whether the program is operating successfully according to its intended purpose. All programs requesting more than \$200,000 annually will also be required to collect and provide a set of DoN-specified Impact Measures designed to show whether and how these programs are achieving their intended goals and changing the behavior of program participants. Existing Outcome and Impact metrics, and survey and other collection tools, will be provided to successful proposers.

Lastly, it is of vital importance to the DoN that each education and outreach focused proposal contains a strategy for self-sufficiency, such that following the completion of ONR's investment, the effort will have a clear sustainability path and enduring capability. This includes developing a plan for transitioning the funding burden for maintaining, sustaining and further developing the capability once the Navy funding is complete. This request is being made to ensure the long-term viability of the program and to ensure that Navy maximizes its return on investment.

Efforts proposed for the Metrics and Evaluation focus area must clearly demonstrate that they will:

- Develop a comprehensive approach for collecting and analyzing data for STEM Output and Impact measures that are relevant across a wide range of different projects.
- Utilize the foundational work already completed by the DoN including the development, testing and finalizing of appropriate metrics and survey tools.
- Incorporate the use of the STEM2Stern website ([www.stem2stern.org](http://www.stem2stern.org)), through its survey tools and database, for data collection.
- Develop a methodology for assessing return on investment for a subset of currently funded STEM projects.
- Provide proven approaches for conducting one formal Naval STEM program evaluation annually.

Specific evaluation criteria for this BAA are included in Section V.

NOTE: For this BAA, educational and outreach programs may include, but are not limited to, content that encompasses: Life, earth and physical sciences, Naval engineering, computer science, (including an emphasis on cyber security and information systems), ocean engineering, and materials sciences and processes as they relate to areas of import to the DoN.

White papers and invited proposals should address only one of the two focus areas. For Focus Area 1, white papers and invited proposals may address a subset of the objectives/scope/desired outcomes listed below. For Focus Area 2, white papers and invited proposals must address the objectives/scope/desired outcomes in their entirety.

### **Focus Area 1: STEM Education and Outreach**

#### Objectives:

To raise the awareness and importance of STEM from the earliest age across a broad and diverse population, inspiring the pursuit of STEM careers. To engage with students by offering a variety of learning opportunities and mentoring experiences, which encourage them on the path to pursue their education in STEM disciplines ultimately leading to STEM careers. To develop educational capabilities and content that will build a strong STEM talent pool at all levels, with Naval-relevant knowledge and skills.

#### Scope:

This Focus Area primarily targets students, parents and/or teachers by:

- a) Developing and disseminating information and activities designed to increase their understanding of the relevance of STEM to the Navy and spark long-term interest and education in STEM careers;

- b) Targeting students who might otherwise abandon their STEM interests;
- c) Providing an effective means of delivering STEM educational content to students at the higher education level in order to reduce their attrition rates from STEM programs; and,
- d) Delivering STEM educational content to students across the K-12 continuum to increase their STEM proficiency.

Desired Outcomes (include):

1. Improved student, parent and teacher interest in STEM, as measured by pre- and post-surveys;
2. Increased student interest and confidence in STEM, along with the successful completion of STEM curriculum, as measured by pre- and post-surveys;
3. Launch of programs for students in urban, rural and other underserved areas using Naval themes, content, and/or personnel;
4. Expansion of experiential learning opportunities that leverage the expertise of scientists and engineers, particularly DoN Scientists and Engineers;
5. Exposure of STEM teachers and educators to Naval relevant content and career information, tied to curriculum goals through teacher training and development programs; and
6. Development of bridging mechanisms that keep students engaged from earliest contact through graduation and allow for a continuum of experiences and opportunities.

Requirements/Deliverables:

Products from this effort may be either computer-based, 'app' - based, web-based or hands-on.

**Focus Area 2: Metrics and Evaluation**

Objective:

To develop, validate and implement a comprehensive approach for measuring the effectiveness and impact the programs within the Naval STEM portfolio.

Scope:

This Focus Area is meant to provide leaders, internal and external to DoN, with the data and independent analysis necessary to demonstrate the impact of Naval STEM investments. The characteristics of Naval STEM programs vary widely, making it difficult to present a "common view" on the impact that each has on the DoN's STEM goals. While all Naval STEM programs will collect project-specific metrics, Focus Area 2 will adopt an holistic approach for measuring the impact of multiple projects, and enable comparisons across Naval STEM programs, through the Department's STEM website, [www.STEM2stern.org](http://www.STEM2stern.org). This includes developing and validating a process for collecting and analyzing a suite of DoN-developed Outcome and Impact metrics that are applicable across all STEM projects; providing a return on investment assessment for a subset of projects in the Navy's overall STEM portfolio; and, establishing and implementing techniques and methodologies for one

formal program evaluation each year.

Outcomes:

Proposers to this Focus Area must present an effective strategy and methodology, grounded in the appropriate scientific and research literature, for:

1. Establishing Consistent Data Collection, Analysis, and Reporting methodologies: Building on existing work performed by the DoN, the Performer(s) will develop and/or refine as needed processes for collecting, analyzing and reporting on a suite of Outcome and Impact metrics that can be collected online and that are broadly applicable to the wide range of Navy STEM programs. As required, the performer will enhance the already developed metrics suite such that it maximizes participants' response rates and ensures that the data collected is organized and ready for analysis. The performer will develop and implement a data analysis plan appropriate for a range of analytic options that supports answering a range of research questions, and that can create actionable reports.
  
2. Performing Return on Investment (ROI) Analyses: The performer will develop, validate and implement ROI metrics and related analyses methodologies and capabilities for a subset of the Navy's STEM portfolio, focusing on those programs with the greatest strategic value and highest investment levels. The ROI methodology should be maximized for greatest possible application to the largest number of projects at the lowest cost. Specific programs will be identified, and coordinated with the ONR, as part of Government Furnished Information (GFI).
  
3. Conducting Effectiveness Evaluations: One program from the Navy's STEM portfolio will be selected for formal evaluation annually. Specific programs will be identified, and coordinated with the ONR, as part of GFI. The performer will be responsible for conducting these annual program evaluations. Performer should describe and support its evaluation approach, including proposed program questions, program methodologies, document review, and types of surveys, site visits, data analysis and structure of outcomes.

Requirements/Deliverables:

The Performer(s) must have expertise in STEM education program evaluation and data collection and analysis, especially in education evaluation methods such as: surveys, small focus group discussions, silent observation site visits, mentor observation of attitudinal shifts, etc. The Performer(s) will be prepared to make periodic recommendations for adjustments to programs (such as funding distribution and administrative processes) based on metrics collected. The Performer(s) will assist in developing tailored program evaluation plans. The Performer(s) will ensure that their proposed measurement and evaluation techniques and methodologies are based on validated scientific and technical approaches. If necessary, the performer(s) will first provide a theoretical framework that will serve as the basis for subsequent measurement and evaluation efforts.

## 7. Point(s) of Contact -

Questions of a technical nature should be submitted to:

CDR Joseph Cohn  
Deputy Director of Research, STEM  
Code 03R  
Office of Naval Research  
875 North Randolph Street  
Arlington VA 22203-1995  
Joseph.Cohn@navy.mil

William Ellis  
Director, Naval HBCU/MI Program Office  
Program Manager, Naval STEM Education and Outreach Programs  
Code 03R  
Office of Naval Research  
875 North Randolph Street  
Arlington VA 22203-1995  
William.H.Ellis@navy.mil

Questions of a business nature should be submitted to:

Elizabeth Ford  
Grants Management Specialist  
Code BD025  
Office of Naval Research  
875 North Randolph Street  
Arlington VA 22203-1995  
Elizabeth.Ford@navy.mil

Comments or questions should be concise and to the point, eliminating any unnecessary verbiage. In addition, the relevant part and paragraph of the BAA should be referenced. All questions shall be submitted in writing by email to the POC listed above.

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

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

## **8. Instrument Type(s)**

Awards will take the form of Grants, Contracts or Cooperative Agreements. However, ONR reserves the right to award a different instrument type if deemed to be in the best interest of the Government.

Any contract awards resulting from this BAA will incorporate the most current FAR, DFARs, NMCARS and ONR clauses. Examples of model contracts can be found on the ONR website at the following link: <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/contracts-proposal/contract-model-awards.aspx>

Any grant awards resulting from this BAA will incorporate the most current terms and conditions. Examples of model grants can be found on the ONR website at the following link: <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/model-grant.aspx>.

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

12.330

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

Science, Technology, Engineering & Mathematics' (STEM) for K-12 and Higher Education - Navy

## **11. Other Information -**

This BAA is intended for proposals related to educational programs and outreach projects in Science, Technology, Engineering, and Mathematics (STEM).

## **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 ONR plans to make multiple awards under this BAA, which represent the best value to the Government in accordance with the evaluation criteria contained in Section V, Evaluation Criteria of BAA 13-007.

Offerors are encouraged to be creative in the selection of the technical and management processes and approaches to address the areas of interest described above. The programs should take into consideration the greatest and broadest impact possible.

The period of performance of the awards will typically range from twelve (12) months to thirty-six (36) months. ONR anticipates a budget of approximately \$3 million for the STEM FY13 BAA. ONR plans to fund individual awards in the range

of \$25,000 up to \$200,000 per year. However, cost proposals for larger amounts will be considered when appropriate.

Due to the time required for reviewing and commenting on the white paper and subsequently invited to submit a full proposal, and taking into time required for funding award, performers selected for award should anticipate that funds may not be available until well into FY13.

### **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, due to the impracticality of reserving discrete or severable items of this opportunity for exclusive competition among the entities.

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 (DoD) 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 the program described herein, the organization should contact the appropriate ONR Technical POC to discuss its area of interest. 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 (UARC) are eligible to submit proposals under this BAA unless precluded from doing so by their DoD UARC contracts.

#### **For Grants and Cooperative 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 or cooperative agreements) as either a prime or sub-recipient under this BAA must provide information in their proposal that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR 33.220 and Appendix A. Entities are **exempt** from this requirement **UNLESS** in the

preceding fiscal year, it received: a) 80 percent or more of its annual gross revenue in Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; b) \$25 million or more in annual gross revenue from Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; and c) the public does not have access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 or section 6104 of the Internal Revenue Code of 1986.

#### **IV. APPLICATION AND SUBMISSION INFORMATION**

##### **1. Application and Submission Process - White Paper, Full Proposals**

ONLY PROPOSALS INVITED FOLLOWING REVIEW OF CORRESPONDING WHITE PAPERS WILL BE CONSIDERED FOR REVIEW. NO PROPOSALS WILL BE FUNDED IN THE ABSENCE OF A CORRESPONDING WHITE PAPER. PROPOSERS WISHING TO SUBMIT MORE THAN ONE IDEA OR TO MORE THAN ONE FOCUS AREA MUST SUBMIT A SEPARATE WHITE PAPER FOR EACH.

White papers will be accepted through the period of this BAA subject to "response dates" information presented in Section I.5 above. White papers are to be submitted as a PDF or Word file via email only to Mr. Jamie Price at jamie.price1.ctr@navy.mil. If an Offeror does not submit a white paper, it is not eligible to participate in the remaining Full Proposal submission process and is not eligible for funding. Each white paper should state that it is submitted in response to this BAA and cite the particular Focus Area that the white paper is primarily addressing. A separate white paper is required for submission for each idea and to each Focus Area. Note that ONR will not provide an automatic reply that a submission has been received.

##### **White Paper Evaluation/Notification:**

Navy evaluations of the white papers will be issued via email notification approximately 60 days following submission. The initial evaluation of the white papers will give Offerors an indication of whether a Full Proposal would likely result in an award and will include sufficient detail to count as formal feedback to Offerors. Detailed technical and cost proposals will be subsequently encouraged from those Offerors whose proposed projects have been identified through the above-referenced email as being of "particular value" to the DoD. However, any such encouragement does not assure a subsequent award.

##### **Full Proposals:**

Full proposals will be due 45 days following white paper evaluation notification per submission guidance provided below. Evaluations of full proposals will be issued approximately 60 days following submission. Offerors will be notified via email of their project's selection or non-selection for FY13 funding. Full proposals received

more than 45 days following white paper evaluation notification may not be considered for funding in FY13. Full proposal evaluation notification will include sufficient detail to count as formal feedback to Offerors.

NOTE: White papers submitted within 90 days of the end of Fiscal Year 2013 (30 Sept 2013) may not be reviewed in time to be part of the FY 13 awards. Specific guidance will be provided to those Offerors submitting white papers within this time frame.

## **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:

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: **7 pages** (excluding cover page, resumes, bibliographies, and table of contents)
- Copies - One (1) electronic copy in Adobe PDF or Word 2007 (or earlier) delivered via email. Electronic (email) submissions should be sent to the attention of Mr. Jamie Price, Jamie.Price1.ctr@navy.mil. The subject line of the email shall read "ONR BAA 13-007 White Paper Submission."

**NOTE: 1) Do not send .ZIP files; 2) Do not send password protected files.**

In order to provide traceability and evidence of submission, Offerors may wish to use the "Delivery Receipt" option available from

Microsoft Outlook and other email programs that will automatically generate a response when the subject email is delivered to the recipient's email system. Consult the User's Manual for your email software for further details on this feature.

### **White Paper Content**

- **Cover Page:** The Cover Page shall be labeled "**WHITE PAPER**", and shall include the BAA number, proposed title, Offeror's administrative and technical points of contact, with telephone numbers, facsimile numbers, and Internet addresses, and shall be signed by an authorized officer.
  
- **Technical Concept:** A description of the technology innovation and technical risk areas.
  - **Technical Concept (6 page limit)** - A description of the proposed effort and how it advances the ONR's STEM mission. Description must include a discussion of the new capability being proposed, indicating how it will result in new technologies, principles, methodologies or approaches for developing and maintaining a robust STEM workforce. Description must also include a discussion of the metrics used to determine impact and or success of the effort. The specific page breakout is:
    - One page summary of the proposed effort;
    - Two page technical rationale and approach, which contains arguments to substantiate claims made in the summary and is consistent with the summary of the deliverables and the summary of the schedule and milestones for the proposed effort;
    - One-half page summary of the deliverables associated with the proposed effort;
    - One-half page summary of the schedule and milestones for the proposed effort;
    - One page listing of key personnel, past performance, or corporate qualifications in executing programs of similar size and scope, along with the approximate percentage of time to be expended by each person during each funded year; and
    - One page concise summary of the qualifications of key personnel
  - **Cost Information (1 page limit)** - A Cost Summary is needed, although not at the level of detail as required with the full proposal. White paper submissions shall include a cost summary showing requested funding per year. The cost summary shall be segregated by both task and year (over the period of performance (i.e., 1, 2 or 3 years)).
  
- **Future Naval Relevance (1 page limit):** A description of potential

Naval relevance and contributions of the effort to the agency's specific mission.

**b. FULL PROPOSALS**

**i. INSTRUCTIONS FOR CONTRACTS AND COOPERATIVE AGREEMENTS** (See Section IV. 2. b.ii. below for grant instructions)

NOTE: Submission instructions for BAAs issued after FY 2010 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 the review of proposals.

Proposal Package: The following three documents with attachments comprise a complete proposal package:

- (1) Technical Proposal Template (PDF)
- (2) Technical Content (Word)
- (3) Cost Proposal Spreadsheet (Excel)

These documents can be found at: <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/contracts-proposal/cost-proposal.aspx>

All 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. Please note that all the attachments listed can be incorporated into the Technical Proposal Template for submission.

The format requirements for any attachments are as follows:

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single or double spaced
- Font – Times New Roman, 12 point

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. If proposing options, they **must** be separately priced and separate spreadsheets should be provided for the base period and each option period. In addition to providing summary by period of performance (base and any options), the Contractor is also responsible for providing a breakdown of cost for each task identified in the Statement of Work. The sum of all costs by task

worksheets MUST equal the total cost summary.

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". The pertinent requirements can be found in Section VII, Other Information, of this document.

Offerors should submit one (1) electronic copy via email to Mr. Jamie Price at [Jamie.Price1.ctr@navy.mil](mailto:Jamie.Price1.ctr@navy.mil) . The electronic copy should be submitted in a secure, PDF-compatible format, except 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 Proposal in an electronic file that allows for revision (preferable 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 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.

**ii. INSTRUCTIONS FOR GRANTS (See Section IV, 2.b.i above for contracts and cooperative agreements)**

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

application that provides appropriate justification and/or supporting documentation for each element of cost proposed.

The following information must be completed as follows in the SF 424 to ensure that the application is directed to the correct individual for review: Block 4a, Federal Identifier: Enter the previous ONR award number, or N00014 if the application is not a renewal or expansion of an existing award; Block 4b, Agency Routing Number: Enter the three (3) digit Program Office Code [03R] and the Program Officer's name, last name first, in brackets [Cohn, Joseph]. Applicants who fail to provide a Department code identifier may receive a notice that their proposal will be rejected.

Please note that Volume 1, Technical Proposal should be submitted as an attachment to the SF 424 rather than being inserted into Block 8, Project Narrative. Block 8 should be completed with a statement that Volume 1 is attached.

To attach the technical proposal in Grants.gov, download the application package:  
-Click on "Research and Related Other Project Information"  
-Click on "Move form to Submission List"  
-Click on "Open Form"

You will see a new PDF document titled "Research & Related Other Project Information." Block 7 is the Project Summary/Abstract.

-Click on "Add attachment" and attach the project summary/abstract. (You will not be able to type in the box, therefore, save the file you want to attach as Project Summary or Abstract).

Block 8 is the Project Narrative.

-Click on "Add attachment" and attach the technical proposal.

(Save the file as Volume I- Technical Proposal since you will not be able to type in the box).

### **Full Proposal Format - Volume 1 - Technical Proposal and Volume 2 - Cost Proposal**

- Paper Size - 8.5 x 11 inch paper
- Margins - 1 inch
- Spacing - single-spaced
- Font - Times New Roman, 12 point
- Number of Pages - Volume (Vol. 1) is limited to no more than **20 pages**. Limitations within sections of the proposal, if any, are indicated in the individual descriptions shown below. The cover page, table of contents, resumes and current and pending project and proposal submissions

information are excluded from the page limitations. Full Proposals exceeding the page limit may not be evaluated. There are no page limitations to Volume 2.

- Copies - the full proposal should be submitted electronically at <http://www.grants.gov> as delineated in paragraph 5 below.

### **Volume 1: Technical Proposal**

- **Cover Page:** This should include the words "Technical Proposal" and the following:
  1. BAA number 13-007;
  2. Title of Proposal;
  3. Identity of prime Offeror and complete list of subawards, if applicable;
  4. Technical contact (name, address, phone/fax, electronic mail address);
  5. Administrative/business contact (name, address, phone/fax, electronic mail address) and;
  6. Proposed period of performance (identify both the base period and any options, if included);
  7. Signature of Authorized Representative.
- **Table of Contents:** An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.
- **Technical Approach and Justification:** The proposal should consist of a clear description of the technical approach being proposed and its potential Naval or defense relevance and contribution to the agency's specific education and science and engineering workforce. Discuss scientific and technical merits and its potential to achieve the educational objectives of the program, including the extent to which the proposed effort would enhance current capabilities. Identify metrics used to determine impact and or success of the program and the methodology for obtaining and validating the metrics. Identify proposed outreach initiative for increasing and maintaining the educational pipeline and the potential of the proposed program to educate future scientists and engineers in STEM disciplines critical to the defense mission. Discuss increased or enhanced opportunities to disseminate information on Navy or defense programs and careers. Discuss impact of the initiatives toward improving science and engineering education in the United States. Discuss potential and extent to which the proposed program engages Naval or defense laboratories as active participants in program execution. Limit the number of pages for this section to 13.
- **Project Schedule and Milestones:** A summary of the schedule of events and milestones. Limit the number of pages for this section to 2.
- **Reports:** The following are sample reports that are typically required under a

grant:

- Technical and Financial Progress Reports
- Presentation Materials
- Final Report

**Management Approach:** A discussion of the overall approach to the management of this effort, including brief discussions of the total organization; use of personnel; project/function/subcontractor/subrecipient relationships; government research interfaces; and planning, scheduling and control practice. Identify which personnel and subcontractors/subrecipients (if any) will be involved. Include a description of the facilities that are required for the proposed effort with a description of any Government Furnished Equipment/Hardware/Software/Information required, by version and/or configuration. Limit the number of pages for this section to 4.

- **Current and Pending Project and Proposal Submissions:** Offerors are required to provide information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing contracts, grants, and other assistance agreements. Offerors shall provide the following information of any related proposal submissions from whatever sources (e.g., ONR, Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations).

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

- 1) Title of Proposal and Summary;
- 2) Source and amount of funding (annual direct costs; provide contract and/or grant numbers for current contracts/grants);
- 3) Percentage effort devoted to each project;
- 4) Identity of prime Offeror and complete list of subawards, if applicable;
- 5) Technical contact (name, address, phone/fax, electronic mail address)
- 6) Administrative/business contact (name, address, phone/fax, electronic mail address);
- 7) Duration of effort (differentiate basic effort);
- 8) The proposed project and all other projects or activities requiring a portion of time of the Principal Investigator and other senior personnel must be included, even if they receive no salary support from the project(s);
- 9) The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months or labor hours per year to be devoted to the project, regardless of source of support; and

10) State how projects are related to the proposed effort and indicate degree of overlap.

- **Qualifications:** A discussion of the qualifications of the proposed Principal Investigator and any other key personnel. Include resumes for the Principal Investigator and other key personnel and full curricula vitae for Principal Investigators and consultants. The resumes and curricula vitae shall be attached to the proposal and will not count toward the page limitations. Limit the number of pages for this section to 2.

## **VOLUME 2: Cost Proposal**

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

**Part 1:** The itemized budget must include the following

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

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

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

the composite rates.

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

direct costs such as Graduate Assistant tuition, laboratory fees, report and publication costs, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).

- Food and Beverage – In general, federal funds are not to be used for the provision of food or beverages at a conference, workshop or symposium and the proposal should include the following statement: **“The funds provided by ONR will not be used for food or beverages.”** Any proposer seeking funds for a conference, workshop or symposium grant who wishes to include a food or beverage element must explain in detail within the proposal why provision of these items would qualify as a necessary and allowable expense under the relevant OMB cost principles. **NOTE:** The proposer should clarify whether its proposal should still be considered for funding if its request for food and beverage costs is not acceptable by ONR.
- Options - The Base Period of Performance and Option Periods must be priced at the submission of the proposal. Unpriced options will not be included in any resulting award or agreement.
- Fee/Profit - Fee/profit is **unallowable** under grants at either the prime or subaward level but may be permitted on any subcontracts issued by the prime awardee.

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

### **3. Significant Dates and Times –**

White papers and proposals will be accepted throughout the open period of BAA 13-007.

This announcement will remain open until 30 September 2013 or until replaced by a successor BAA, whichever first occurs. Proposals may be submitted any time during this period.

### **4. Submission of Grant Proposals through Grants.gov**

(NOT APPLICABLE TO PROPOSALS FOR CONTRACTS AND COOPERATIVE AGREEMENTS)

Detailed instructions entitled "Grants.Gov Electronic Application and Submission Information" on how to submit a Grant proposal through Grants.gov are under the Submit Proposals section of the website at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-gov.aspx>

White Papers **may not** be submitted through the Grants.gov Apply process, but rather should be sent directly to ONR. White Papers should be e-mailed directly to Mr. Jamie Price at [Jamie.Price1.ctr@navy.mil](mailto:Jamie.Price1.ctr@navy.mil). White Paper format requirements are found in Section IV, item 2a above.

By completing Block 17 of the SF 424 R&R, the Grant Applicant is providing the certification on lobbying required by 32 CFR Part 28. Refer to Section VI, "Award Administration Information" entitled "Certifications" for further information.

For electronic submission of grant full proposals, there are several one-time actions that must be completed in order to submit an application through Grants.gov. These include obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the System Award Management (SAM), registering with the credential provider, and registering with Grants.gov. See [www.grants.gov](http://www.grants.gov), specifically [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted).

Use the Grants.gov Organization Registration Checklist at [http://www.grants.gov/applicants/register\\_your\\_organization.jsp](http://www.grants.gov/applicants/register_your_organization.jsp) which will provide guidance through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called 'MPIN' are important steps in the SAM registration process. Applicants who are not registered with SAM and Grants.gov should allow at least 21 days to complete these requirements. The process should be started as soon as possible. Any questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 (1-606-545-5035 for foreign applicants) or [support@grants.gov](mailto:support@grants.gov).

### **Special Notices Relative to Grant Applications to be submitted through Grants.Gov:**

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

#### Proposal Receipt Notices:

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

Number 1 - The applicant will receive a confirmation page upon completing the submission to Grants.gov. This confirmation page is a record of the time and date

stamp that is used to determine whether the proposal was submitted.

Number 2 - The applicant will receive an e-mail indicating that the proposal has been validated by Grants.gov within two days of submission (this means that all of the required fields have been completed). After an institution submits an application, Grants.gov generates a submission receipt via email and also sets the application status to "Received." This receipt verifies the Application has been successfully delivered to the Grants.gov system. Next, Grants.gov verifies the submission is valid by ensuring it does not contain viruses, the opportunity is still open, and the applicant login and applicant DUNS number match. If the submission is valid, Grants.gov generates a submission validation receipt via email and sets the application status to "Validated." If the application is not validated, the application status is set to "Rejected." The system sends a rejection email notification to the institution, and the institution must resubmit the application package. Applicants can track the status of their application by logging in to Grants.gov.

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

### **5. Submission of White Papers and Full Proposals for Contracts and Cooperative Agreements**

Full Proposals for Contracts and Cooperative Agreements can be sent to the Office of Naval Research at the following address:

Office of Naval Research  
Attn: Mr. Jamie Price  
ONR Department Code: 03R  
875 North Randolph Street  
Arlington, VA 22203-1995

Electronic submissions of White Papers (for Contracts, Grants and Cooperative Agreements), if requested, can be submitted via email directly to Mr. Jamie Price at [Jamie.Price1.ctr@navy.mil](mailto:Jamie.Price1.ctr@navy.mil).

## **V. EVALUATION INFORMATION**

### **1. Evaluation Criteria -**

Awards under this BAA will be made to proposers on the basis of the evaluation criteria listed below, and program balance to provide overall value to the Government. The Government reserves the right to request any additional, necessary documentation once it makes the award instrument determination. The Government reserves the right to remove Proposers from award consideration should

the parties fail to reach agreement on award terms, conditions, and cost/price within a reasonable time, or the proposer fails to timely provide requested additional information. Evaluations will be conducted using the following evaluation criteria. Criteria 1 through Criteria 5 are significantly more important than Criteria 6, and Criteria 1 through Criteria 5 are of equal value.

1. Degree of innovation and novelty presented by the proposed effort;
2. Naval / Defense relevance, impact and contributions of the effort to ONR's mission to advance STEM education and improve the future STEM workforce;
3. The offeror's capabilities, related experience, facilities, techniques or unique combinations of these which are integral factors for achieving the proposal objectives;
4. The qualifications, capabilities and experience of the proposed Principal Investigator (PI), team leader and key personnel who are critical in achieving the proposal objectives;
5. Contribution to overall Navy STEM portfolio and STEM priorities, with opportunities to increase student pipeline and expand nationally. "STEM reach", impact, self-sufficiency and related factors as discussed in Section I.6 are of critical importance;
6. The realism of the proposed costs and availability of funds.

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

The ultimate recommendation for award of proposals is made by ONR's scientific/technical community. Recommended proposals forwarded to the Contracts Department will perform costs analysis prior to any ensuing negotiations. Any notification received from ONR that indicates that the Offeror's full proposal has been recommended, does not ultimately guarantee an award will be made. This notice indicates that the proposal has been selected in accordance with the evaluation criteria above and has been sent to the Contracting Department to conduct cost analysis, determine the Offeror's responsibility, and take any other relevant steps necessary prior to commencing negotiations with the Offeror.

## **2. Commitment to Small Business (For Contract Awards Only)**

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

to socioeconomic considerations through its awards.

a.) Subcontracting Plan - For proposed awards to be made as contracts that exceed \$650,000, large businesses and non-profits (including educational institutions) shall provide a Subcontracting Plan that contains all elements required by FAR 52.219-9, as supplemented by DFARS 252.219-7003. Small businesses are exempt from this requirement.

The Subcontracting Plan should be submitted as an attachment to the “Technical Proposal Template” and will not be included in the page count. If a company has a Master Subcontracting Plan, as described in FAR 19.701 or a Comprehensive Subcontracting Plan, as described in DFARS 219.702, a copy of the plan shall also be submitted as an attachment to the “Technical Proposal Template.”

Plans will be reviewed for adequacy, ensuring that the required information, goals, and assurances are included. Zero Percent (0%) goals, zero dollars (\$0), or not applicable (N/A) are unacceptable. If a subcontracting plan is not submitted with the proposal package or the negotiation of an acceptable subcontracting plan is required, there could be a delay in the issuance of an award. In addition, in accordance with FAR 52.219-9, failure to submit and negotiate a subcontracting plan may make an Offeror ineligible for contract award.

Offerors shall propose a plan that ensures small businesses (inclusive of SDBs, WOSBs, HUBZone, VOSBs and SDVOSBs, etc...) will have the maximum practicable opportunity to participate in contract performance consistent with its efficient performance.

As a baseline, Offerors shall to the best extent possible propose realistic goals to ensure small business participation in accordance with the current fiscal year subcontracting goals found on the Department of Defense Office of Small Business Program website at: <http://www.acq.osd.mil/osbp/>. If proposed goals are below the statutory requirements, then the Offeror should provide a viable written explanation incorporated into their plan as to why small businesses are unable to be utilized and what attempts have been taken to ensure that small business were given the opportunity to participate in the effort to the maximum extent practicable.

b.) Small Business Participation Statement – If subcontracting opportunities exist, all prime Offerors shall submit a Small Business Participation Statement regardless of size in accordance with DFARS 215.304 when receiving a contract for more than the simplified acquisition threshold (i.e., \$150,000). All Offerors shall provide a statement of the extent of the Offeror’s commitment in providing meaningful subcontracting opportunities for small businesses and other concerns subject to socioeconomic consideration through its awards and must agree that small businesses, VOSBs, SDVOSBs, HUBZones, SDBs, and WOSBs concerns will have to the maximum practicable opportunity to participate in contract performance consistent with its efficient performance.

NOTE: Small Business Offerors may meet the requirement using work they perform themselves.

This assertion will be reviewed to ensure that it supports this policy by providing meaningful subcontracting opportunities. The statement should be submitted as a part of the proposal package and will not be included in the page count.

### **3. Options**

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

### **4. Evaluation Panel -**

Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure. 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 –**

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

The System for Award Management (SAM) is a free web site that consolidates the capabilities you used to find in CCR/FedReg, ORCA, and EPLS. Future phases of

SAM will add the capabilities of other systems used in Federal procurement and awards processes.

SAM may be accessed at <http://www.sam.gov/portal/public/SAM/>

- Access to your Grant, Cooperative Agreement, and Contract Award

Hard copies of award/modification documents will no longer be mailed to Offerors. All Office of Naval Research (ONR) award/modification documents will be available via the Department of Defense (DoD) Electronic Document Access System (EDA).

### **EDA**

Effective 01 October 2011, EDA is a web-based system that provides secure online access, storage, and retrieval of awards and modifications to DoD employees and vendors.

If you do not currently have access to EDA, you may complete a self-registration request as a "Vendor" via <http://eda.ogden.disa.mil> following the steps below:

Click "New User Registration" (from the left Menu)  
Click "Begin VENDOR User Registration Process"  
Click "EDA Registration Form" under Username/Password (enter the appropriate data)  
Complete & Submit Registration form

Allow five (5) business days for your registration to be processed. EDA will notify you by email when your account is approved.

Registration questions may be directed to the EDA help desk toll free at 1-866-618-5988, Commercial at 801-605-7095, or via email at [cscassig@csd.disa.mil](mailto:cscassig@csd.disa.mil) (Subject: EDA Assistance)

### Grant and Cooperative Agreement 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](http://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 sub awards at all tiers (including sub contracts, sub grants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients 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.

## **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 should indicate in the Technical Proposal Template, Section II, Blocks 8 and 9, which of these facilities are critical for the project's success.

### **2. Security Classification**

RESERVED

### **3. Use of Animals and Human Subjects in Research**

RESERVED

### **4. Recombinant DNA**

RESERVED

### **5. Use of Arms, Ammunition and Explosives**

RESERVED

### **6. Department of Defense High Performance Computing Program**

RESERVED

### **7. Organizational Conflicts of Interest (OCI)**

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 will be rejected without technical evaluation and withdrawn from further consideration for award. Additional ONR OCI guidance can be found at <http://www.onr.navy.mil/About-ONR/compliance-protections/Organizational-Conflicts-Interest.aspx>. 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, the proposal may be rejected without technical evaluation and withdrawn from further consideration for award under this BAA.

### **8. 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.

### **9. Executive Compensation and First-Tier Subcontract Reporting**

The FAR clause 52.204-10, "Reporting Executive Compensation and First-Tier Subcontract Awards," will be used in all procurement contracts valued at \$25,000 or more. A similar award term will be used in all grants and cooperative agreements.

### **10. Military Recruiting on Campus (APPLIES ONLY TO GRANTS)**

Military Recruiting on Campus (DoDGARS Part 22.520) applies to domestic U.S. colleges and universities. Appropriate language from 32CFR22.520 Campus access for military recruiting and Reserve Officer Training Corps (ROTC) will be incorporated in all university grant awards.

### **11. Combating Trafficking in Persons**

Appropriate language from FAR Clause 52.222-50 will be incorporated in all contract awards.

### **12. Updates of Information regarding Responsibility Matters**

FAR clause 52.209-9, Updates of Publicly Available Information Regarding Responsibility Matter, will be included in all contracts valued at \$500,000 where the contractor has current active federal contracts and grants with total value greater than \$10,000,000.

### **13. Employment Eligibility Verification**

As per FAR 22.1802, recipients of FAR-based procurement contracts must enroll as Federal Contractors in E-verify and use E-verify to verify employment eligibility of all employees assigned to the award. All resultant contracts from this solicitation will include FAR 52.222-54, "Employment Eligibility Verification." This clause will not be included in grants and cooperative agreements.

### **14. Intellectual Property**

Offerors responding to this BAA must submit a separate list of all technical data or

computer software that will be furnished to the Government with other than unlimited rights. The Government will assume unlimited rights if Offerors fail to identify any intellectual property restrictions in their proposals. Include in this section all proprietary claims to results, prototypes, and/or deliverables. If no restrictions are intended, then the Offeror should state "NONE."