



LONG RANGE BROAD AGENCY ANNOUNCEMENT (BAA) FOR NAVY AND MARINE CORP SCIENCE AND TECHNOLOGY

INTRODUCTION:

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

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

This announcement will remain open for approximately one (1) year from the date of publication or until replaced by a successor BAA. Proposals may be submitted at any time during this period. This announcement replaces ONR BAA #06-001, dated 01 September 2005.

I. GENERAL INFORMATION

1. Agency Name -

Office of Naval Research

2. Research Opportunity Title -

Long Range Broad Agency Announcement (BAA) for Navy and Marine Corps Science & Technology

3. Program Name –

Not Applicable (N/A)

4. Research Opportunity Number -

BAA 07-001

5. Response Date -

This announcement will remain open until 30 September 2007 or until replaced by a successor BAA. Proposals may be submitted at any time during this period.

6. Research Opportunity Description -

The Office of Naval Research (ONR) is interested in receiving proposals for Long-Range Science and Technology (S&T) Projects which offer potential for advancement and improvement of Navy and Marine Corps operations. Readers should note that this is an announcement to declare ONR's broad role in competitive funding of meritorious research across a spectrum of science and engineering disciplines.

Prior to preparing proposals, potential offerors are strongly encouraged to contact the ONR point of contact (POC) whose program best matches the offeror's field of interest. For information on POCs, refer to the ONR "Science and Technology Departments" as listed in the Science and Technology section of the ONR Home Page accessible through the World Wide Web at <http://www.onr.navy.mil/> and for ONR's International Agent located on the ONR Global Homepage at <http://www.onrglobal.navy.mil/>.

7. Point(s) of Contact –

Questions of a technical nature should be submitted to the ONR POC whose program best matches the offeror's field of interest as listed in the Science and Technology section of the ONR Home Page specified above. Through the ONR POC, prospective offerors will be connected to the cognizant ONR Program Officer.

8. Instrument Type(s) -

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

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

12.300

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

Department of Defense (DoD) Basic and Applied Scientific Research

11. Other Information -

This announcement is restricted to work relating to basic and applied research and that portion of advanced technology development not related to a specific system or hardware procurement. Contracts, grants and other awards made under this BAA are for scientific study and experimentation directed towards advancing the state-of-the art or increasing knowledge or understanding.

THIS ANNOUNCEMENT DOES NOT COVER TECHNICAL, ENGINEERING AND OTHER TYPES OF SUPPORT SERVICES.

II. AWARD INFORMATION

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

III. ELIGIBILITY INFORMATION

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

Federally Funded Research & Development Centers (FFRDCs), including Department of Energy National Laboratories, are not eligible to bid on 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.

IV. APPLICATION AND SUBMISSION INFORMATION

1. Application and Submission Process -

Pre-proposals or “White Papers” are frequently desired by ONR Program Officers. Offerors should consult the cognizant ONR Program Officer regarding the desirability of “White Paper” submissions.

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

The proposals submitted under this BAA are expected to be unclassified. However, confidential/classified proposals are permitted. All Proposal submissions will be

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

Classified proposals must be submitted directly to the Technical Point of Contact (TPOC). Contracts, cooperative agreements, or other transaction agreements resulting from the submission of a classified proposal will be 'unclassified.' An 'unclassified' Statement of Work (SOW) must accompany any classified proposal.

Alternatives to the format and content identified below may be appropriate depending on the scope and nature of the proposed effort. Coordinate any alternative proposal formats and contents relating to white papers and technical proposals (Volume 1 of the full proposal) with the cognizant ONR Program Officer. Alternative formats and content may be directed by the ONR Program Officer or may result from Offerors' suggestions approved by the ONR Program Officer.

a. WHITE PAPERS

White Paper Format

- Paper Size – 8.5 x 11 inch paper
- Margins – 1” inch
- Spacing – single or double-spaced
- Font – Times New Roman, 12 point
- Copies – one (1) original, appropriate number of hard copies as discussed with the cognizant Program Officer, and one electronic copy on a CD-ROM (in Microsoft® Word or Excel 97 compatible or .PDF format).

White Paper Content

- **Cover Page:** The Cover Page shall be labeled “WHITE PAPER” and shall include the BAA number, proposed title, technical points of contact, telephone number, facsimile number, and e-mail address.
- **Technical Concept:** A description of the technology innovation and technical risk areas.

For Basic Research

- **Future Naval Relevance (where applicable):** A description of potential Naval relevance and contributions of the effort to the agency's specific mission.

For Applied Research and Advanced Technology Development

- **Operational Naval Concept (where applicable):** A description of the project objectives, the concept of operation for the new capabilities to be delivered, and the expected operational performance improvements.
- **Operational Utility Assessment Plan (where applicable):** A plan for demonstrating and evaluating the operational effectiveness of the Offeror's proposed products or processes in field experiments and/or tests in a simulated environment.

b. FULL PROPOSALS

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

- Paper Size – 8.5 x 11 inch paper
- Margins – 1” inch
- Spacing – single or double-spaced
- Font – Times New Roman, 12 point
- Discuss the number of pages limit on Volume I with the cognizant Program Officer. There are no page limitations to Volume 2.
- Copies – one (1) original, appropriate number of hard copies as discussed with the cognizant Program Officer, and one electronic copy on a CD-ROM (in Microsoft® Word or Excel 97 compatible or .PDF format). If a grant is sought, the full proposal may be submitted electronically at <http://www.grants.gov/> as delineated below.

Full Proposal Content

Volume 1: Technical Proposal

- **Cover Page:** This should include the words “Technical Proposal” and the following:
 - 1) BAA number;
 - 2) Title of Proposal;
 - 3) Identity of prime Offeror and complete list of subcontractors, 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) Duration of effort (differentiate basic effort and any proposed options)
- **Table of Contents:** An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.
- **Statement of Work:** A Statement of Work (SOW) clearly detailing the scope and objectives of the effort and the technical approach. It is anticipated that the proposed

SOW will be incorporated as an attachment to the resultant award instrument. To this end, such proposals must include a severable self-standing SOW without any proprietary restrictions, which can be attached to the contract or agreement award. Include a detailed listing of the technical tasks/subtasks organized by year.

For Basic Research

- **Future Naval Relevance (where applicable):** A description of potential Naval relevance and contributions of the effort to the agency's specific mission.

For Applied Research and Advanced Technology Development

- **Operational Naval Concept (where applicable):** A description of the project objectives, the concept of operation for the new capabilities to be delivered, and the expected operational performance improvements.
 - **Operational Utility Assessment Plan (where applicable):** A plan for demonstrating and evaluating the operational effectiveness of the Offeror's proposed products or processes in field experiments and/or tests in a simulated environment.
- **Project Schedule and Milestones:** A summary of the schedule of events and milestones.
- **Assertion of Data Rights and/or Rights in Computer Software:** For a contract award an Offeror may provide with its proposal assertions to restrict use, release or disclosure of data and/or computer software that will be provided in the course of contract performance. The rules governing these assertions are prescribed in Defense Acquisition Regulation Supplement (DFARS) clauses 252.227-7013, -7014 and -7017. These clauses may be accessed at the following web address:

<http://farsite.hill.af.mil/VDFDARA.HTM>

The Government may challenge assertions that are provided in improper format or that do not properly acknowledge earlier federal funding of related research by the Offeror.

- **Deliverables:** A detailed description of the results and products to be delivered inclusive of the timeframe in which it will be delivered.
- **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.

- **Other Agencies:** Include the name(s) of any other agencies to which the proposal has also been submitted.

VOLUME 2: Cost Proposal

The Cost Proposal shall consist of a cover page and two parts, Part 1 will provide a detailed cost breakdown of all costs by cost category by calendar or Government fiscal year, and Part 2 will provide a cost breakdown by task/sub-task corresponding to the task numbers in the proposed Statement of Work. Options must be separately priced.

Although not required and provided for informational purposes only, detailed instructions, entitled “Instructions for Preparing Cost Proposals for Contracts and Agreements”, including a sample template for preparing costs proposals for contracts and agreements may be found at ONR’s website listed under the ‘Acquisition Department – Contracts & Grants Submitting a Proposal’ link at: http://www.onr.navy.mil/02/how_to.asp

Cover Page: The use of the SF 1411 is optional. The words “Cost Proposal” should appear on the cover page in addition to the following information:

- BAA number
- Title of Proposal
- Identity of prime Offeror and complete list of subcontractors, if applicable
- Technical contact (name, address, phone/fax, electronic mail address)
- Administrative/business contact (name, address, phone/fax, electronic mail address) and
- Duration of effort (separately identify basic effort and any proposed options)

Part 1: Detailed breakdown of all costs by cost category by calendar or Government fiscal year:

- Direct Labor – Individual labor category or person, with associated labor hours and unburdened direct labor rates;
- Indirect Costs – Fringe Benefits, Overhead, G&A, COM, etc. (Must show base amount and rate);
- Proposed Contractor-Acquired Equipment - such as computer hardware for proposed research projects should be specifically itemized with costs or estimated costs. An explanation of any estimating factors, including their derivation and application, shall be provided. Where possible, indicate purchasing method (competition, price comparison, market review, etc...);
- Travel – Number of trips, destination, duration, etc.;
- Subcontract – A cost proposal as detailed as the Offeror’s cost proposal will be required to be submitted by the subcontractor. The subcontractor’s or

subrecipient's cost proposal can be provided in a sealed envelope with the Offeror's cost proposal or will be requested from the subcontractor at a later date;

- Consultant – Provide consultant agreement or other document which verifies the proposed loaded daily/hourly rate;
- Materials - should be specifically itemized with costs or estimated costs. An explanation of any estimating factors, including their derivation and application, shall be provided. Include a brief description of the Offeror's procurement method to be used (Competition, engineering estimate, market survey, etc.);
- Other Directs Costs - particularly any proposed items of equipment or facilities. Equipment and facilities generally must be furnished by the contractor/recipient. (Justifications must be provided when Government funding for such items is sought). Include a brief description of the Offeror's procurement method to be used (Competition, engineering estimate, market survey, etc.);
- Grant Specific Costs – Costs not normally associated with contracts, such as Graduate Assistant tuition, laboratory fees, report and publication costs and;
- Fee/Profit (contract proposals only)

Part 2 : Cost breakdown by 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 –

This announcement will remain open until 30 September 2007 or until replaced by a successor BAA. Proposals may be submitted any time during this period.

4. Submission of Late Proposals –

Not applicable (N/A)

5. Submission of Grant Proposals to Grants.gov

Grant proposals may be submitted through Grants.gov or by hard copy. Regardless of whether Grants.gov is used or “hardcopy” submission, the offeror must use the Grants.gov forms from the application package template associated with the BAA on the Grants.gov website. To be considered for award, applicants must include the ONR Department Code in Block 4 entitled ‘Federal Identifier’ of the Standard Form (SF) 424 R&R. **Please be sure to enter the Department Code that best relates to your proposal in Block 4 (Federal Identifier) of the SF 424 R&R to ensure that it is properly routed to the correct Program Office. Only one Department Code may be selected.** Please choose at the sub-Department level wherever possible (i.e., for parent ONR Code 30, you should select at the 301, 302 or 303 level if possible). A list of the Department Codes can be found at <http://www.onr.navy.mil/> on the right side of the

screen. For those Applicants who fail to provide a Department Code identifier will receive notification that their proposal submission has been rejected. However, it should be noted that “white papers” should not be submitted through Grants.govApply process; the only acceptable media will be hard copy. White papers may be submitted in hard copy (either electronically or paper) directly to the cognizant ONR Science and Technology Department. White paper submissions may be either mailed, faxed, or emailed directly to the appropriate ONR Program Officer/Program Manager.

For electronic submission, there are several one-time actions that must be completed in order to submit an application through Grants.gov (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the Central Contract Registry (CCR), register with the credential provider, and register with Grants.gov). See www.grants.gov, specifically www.grants.gov/GetStarted.

Use the Grants.gov Organization Registration Checklist at http://www.grants.gov/applicants/register_your_organization.jsp which will provide guidance through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called ‘MPIN’ are important steps in the CCR registration process. Applicants who are not registered with CCR and Grants.gov should allow at least 21 days to complete these requirements. It is suggested that the process be started as soon as possible. Additionally, in order to download the application package, applicants will need to install PureEdgeViewer. This small, free program will allow applicants to access, complete and submit applications electronically and securely. For a free version of the software, visit the following website: www.grants.gov/DownloadViewer. Any questions that may arise 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 or support@grants.gov.

Detailed instructions entitled “Grants.Gov Electronic Application and Submission Information” on how to submit a Grant proposal through Grants.gov may be found at the ONR website listed under the ‘Acquisition Department – Contracts & Grants Submitting a Proposal’ link at: http://www.onr.navy.mil/02/how_to.asp

6. Address for the Submission of Hard Copy White Papers and Full Proposals for Contracts and Grants

Hard copies of white papers and full proposals for Contracts and Grants should be sent to the Office of Naval Research at the following address:

Office of Naval Research Attn*: _____ ONR Department Code**: _____ 875 North Randolph Street Arlington, VA 22203-1995

**Cognizant ONR Program Officer/Point of Contact (POC)*
***Cognizant ONR POC's Code*

A list describing each of the ONR Department Codes can be found at <http://www.onr.navy.mil/> on the right side of the screen.

NOTE: FULL PROPOSALS SENT BY FAX OR E-MAIL WILL NOT BE CONSIDERED UNLESS APPROVED IN ADVANCE BY THE COGNIZANT ONR PROGRAM OFFICER.

V. EVALUATION INFORMATION

1. Evaluation Criteria –

Award decisions will be based on a competitive selection of proposals resulting from a scientific review. Evaluations will be conducted using the following evaluation criteria:

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

For proposed awards to be made as contracts to large businesses, the socio-economic merits of each proposal will be evaluated based on the extent of the Offeror's commitment in providing meaningful subcontracting opportunities for small businesses, small disadvantaged businesses, woman-owned small businesses, HUBZone small businesses, veteran-owned small businesses, service disabled veteran-owned small businesses, historically black colleges and universities, and minority institutions.

If options are applicable to the requirement, the Government may evaluate options utilizing any one of the following methodologies:

- (1) Evaluation Exclusive of Options – The Government may evaluate offerors for award purposes by including only the cost for the basic requirement, i.e., options may not be included in the evaluation for award purposes; or
- (2) Evaluation of Options Exercised at Time of Contract Award – Except when determined not be in the Government's best interests, the Government may evaluate the total cost for the basic requirement together with any option(s) to be exercised at the time of award ; or

(3) Evaluation of Options – Except when it is determined not to be in the Government’s best interests, the Government will evaluate for award purposes by adding the total cost for all options to the total cost for the basic requirement.

The evaluation of options will not obligate the Government to exercise the options at anytime during contract performance.

2. Evaluation Panel -

Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure in accordance with FAR 3.104-5 and 15.207. The cognizant Program Officer and other Government scientific experts will perform the evaluation of technical proposals. Cost proposals will be evaluated by Government business professionals. Restrictive notices notwithstanding, one or more support contractors may be utilized as subject-matter-expert technical consultants. Similarly, support contractors may be utilized to evaluate cost proposals. However, proposal selection and award decisions are solely the responsibility of Government personnel. Each support contractor’s employee having access to technical and cost proposals submitted in response to this BAA will be required to sign a non-disclosure statement prior to receipt of any proposal submissions.

VI. AWARD ADMINISTRATION INFORMATION

1. Administrative Requirements –

- The North American Industry Classification System (NAICS) code – The North American Industry Classification System (NAICS) code for this announcement is “541710” with a small business size standard of “500 employees”.
- CCR - Successful Offerors not already registered in the Central Contractor Registry (CCR) will be required to register in CCR prior to award of any grant, contract, cooperative agreement, or other transaction agreement. Information on CCR registration is available at <http://www.onr.navy.mil/02/ccr.htm>.
- Certifications – Proposals for contracts and assistance agreements should be accompanied by a completed certification package which can be accessed on the ONR Home Page at Contracts & Grants located at http://www.onr.navy.mil/02/rep_cert.asp.

For contracts, in accordance with FAR 4.1201, prospective contractors shall complete electronic annual representations and certifications at <http://orca.bpn.gov>. The Online Representations and Certifications Application (ORCA) must be supplemented by DFARS and contract specific representations and certifications found at http://www.onr.navy.mil/02/rep_cert.asp. This requirement is also applicable for other transaction proposals involving prototypes (Section 845 agreements).

For grant proposals and proposals for cooperative agreements or other transaction

agreements (other than for prototypes), the certification package is entitled, "[Certifications for Grants and Agreements](#). "

- Subcontracting Plans - Successful 'contract' proposals that exceed \$500,000, submitted by all but small business concerns, will be required to submit prior to award a Small Business Subcontracting Plan in accordance with FAR 52.219-9.

2. Reporting -

The following are samples of data deliverables that are typically required under a research effort:

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

Additional data deliverables may be proposed and finalized during negotiations. Research performed under contracts may also include the delivery of software, prototypes, and other hardware deliverables.

VII. OTHER INFORMATION

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

Each proposer must provide a very specific description of any equipment/hardware that it needs to acquire to perform the work. This description should indicate whether or not each particular piece of equipment/hardware will be included as part of a deliverable item under the resulting award. Also, this description should identify the component, nomenclature, and configuration of the equipment/hardware that it proposes to purchase for this effort. The purchase on a direct reimbursement basis of special test equipment or other equipment that is not included in a deliverable item will be evaluated for allowability on a case-by-case basis. Maximum use of Government integration, test, and experiment facilities is encouraged in each of the Offeror's proposals.

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 explain as part of their proposals which of these facilities are critical for the project's success..

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 prominently in its proposal.

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. Similarly, for any proposal that involves the experimental use of human subjects, the Offeror must obtain approval from the Offeror's committee for protection of human subjects (normally referred to as an Institutional Review Board, (IRB)). The Offeror must also provide NIH (OHRP/DHHS) documentation of a Federal Wide Assurance that covers the proposed human subjects study. If the Offeror does not have a Federal Wide Assurance, a DoD Single Project Assurance for that work must be completed prior to award. Please contact the ONR Animal/Human Use Administrator at (703) 696-4046 or please refer to http://www.onr.navy.mil/sci_tech/ahd_usage.asp for further information.

4. Recombinant DNA

Proposal 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.

5. Department of Defense High Performance Computing Program

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