

ONR BAA Announcement # 07-022



BROAD AGENCY ANNOUNCEMENT (BAA)

INTRODUCTION:

This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Department of Defense Grant and Agreement Regulations (DODGARS) 22.315. A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued. This announcement will remain open until 16:00 Eastern Time (ET) 19 Jun 2007.

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. The 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.

Awards will take the form of grants. Awards will be made effective FY08, i.e., 1 Oct 2007. Proposals submitted as a result of this announcement may fall under the purview of the Department of Defense Grant and Agreement Regulations (DODGARS).

I. GENERAL INFORMATION

1. Agency Name -

Office of Naval Research
One Liberty Center
875 N. Randolph Street, Suite 1425
Arlington, VA 22203-1995

2. Research Opportunity Title -

Secretary of the Navy/Chief of Naval Operations Chairs of Oceanographic Sciences

3. Program Name -

SECNAV/CNO Chairs of Oceanographic Sciences

4. Research Opportunity Number -

BAA 07-022

5. Response Date -

Proposals shall be submitted in accordance with the closing schedule provided below. This announcement will remain open until 19 Jun 2007, 16:00 ET.

6. Research Opportunity Description -

The Office of Naval Research (ONR) announces its program to recognize distinguished academic ocean scientists through the establishment of awards that are for research "Chairs". These awards stem from the recognition by the Secretary of the Navy (SECNAV) and the Chief of Naval Operations (CNO) that oceanography is a core Navy competency. Each award will provide four years of support for one Research Chair and at least two graduate students. Recipients of "Chair" awards will be internationally known leaders in their fields with collaborations across many science areas and sponsoring agencies. By supporting the collaborative research of distinguished scientists and students in this way, the Office of Naval Research intends to recognize today's academic leaders in Navy oceanography and encourage the development of tomorrow's leaders.

7. Point(s) of Contact -

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

Dr. Joan S. Cleveland
Deputy Division Director (Acting), Code 321B
Ocean Battlespace Sensing Science and Technology Department
Office of Naval Research
One Liberty Center
875 N. Randolph Street, Suite 1425
Arlington, VA 22203-1995
Telephone: (703)696-4532
Fax: (703)696-2007
E-mail: Joan_Cleveland@onr.navy.mil

Questions of a business nature shall be directed to the Contract specialist specified below:

Office of Naval Research
Attn: Hector Cevallos (CACI)
One Liberty Center
875 N. Randolph Street, Suite 1425
Arlington, VA 22203-1995

Telephone: (703) 588-2784
Fax: (703) 696-3365
E-mail: hector_cevallos@onr.navy.mil

8. Instrument Type(s) -

It is anticipated that awards will take the form of grants.

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

12.300

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

Basic and Applied Scientific Research (DOD)

11. Other Information -

This announcement is restricted to work related to basic and applied research and development not related to the development of a specific system or hardware procurement. Grants to be awarded 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 R&D support services.

II. AWARD INFORMATION

Awards will be effective at the beginning of FY08 (i.e., 01 Oct 2007). It is anticipated that two awards will be granted, each being four years in duration and funded at \$300,000.00 per year. Annually, up to \$250,000.00 of the funds may be used for Chair salary and related support in the liaison activities, together with his/her related research activities. The intention is that the remaining \$50,000.00 will be used solely for the direct support of at least two ONR/Institution Graduate Traineeships/Fellowships, including salaries, travel, equipment, and other direct costs relevant to the student's research in the oceanographic sciences. Requirements for ship time or other major research support for the Chair will be considered separately.

III. ELIGIBILITY INFORMATION

1. General

Participation is sought from U.S. Institutions of Higher Education, other than those that are federal government organizations, with doctoral degree granting programs that address oceanographic sciences encompassing the range of disciplines critical to the Navy's understanding of its operating environment. These disciplines include ocean acoustics, physical oceanography, coastal geosciences, marine meteorology, ocean optics and biology, ocean engineering, remote sensing, and marine mammals. A high-ranking senior official of the proposing institution will nominate an ocean scientist from that institution who is a recognized senior expert particularly capable of representing a broad range of the ocean sciences as demonstrated by factors described under the Chair Qualifications. Institutions may propose

more than one distinguished candidate; however, only one award can be active at any institution at any time.

2. Qualifications and Duties of the SECNAV/CNO Chair

The designated Chair must be a U.S. citizen with substantial and widely known research and education experience in the oceanographic sciences with relevance to areas of Navy interests. The Chair must have a current research and/or teaching position at a U.S. institution of higher education that confers doctoral degrees in the oceanographic sciences and must have demonstrated success in strong collaborations and interactions across the national and international community of both performers and sponsors. (An individual previously selected as a SECNAV/CNO Chair is not eligible for a new award but may be asked by ONR to retain an honorary title.)

The Chair will:

- Utilize this title in all official publications and functions while the award is active.
- Develop scientific collaborations with other Navy and Marine Corps activities.
- Participate in ONR Ocean Battlespace Sensing S&T Department Reviews.
- Help to identify promising new S&T opportunities in oceanographic sciences.
- Participate in the synthesis of recently completed ONR initiatives.

Research relevant to the oceanographic science interests of the Office of Naval Research is described in the Ocean Battlespace Sensing Department Science and Technology section of the ONR homepage accessed on the World Wide Web site, http://www.onr.navy.mil/sci_tech/32/ or may be obtained by mail from

Office of Naval Research
Code 32
Attn: FY2008 Chairs Info
One Liberty Center, Suite 1425
875 N. Randolph Street
Arlington, VA 22203-1995

3. Qualifications and Responsibilities of the Institution

The general level of institutional salary support to researchers and faculty in the oceanography or equivalent department(s) must be documented to assess the institutional commitment to oceanographic sciences areas. The level of commitment to the nominated Chair will also be assessed. Strong institutional support for the candidate is essential. The support can be of several forms: The Nominee's academic year salary, release time from administrative responsibilities, purchase of equipment, support for the nominee's graduate students, special access to facilities, waiver of indirect costs, etc. (as in Young Investigator Proposals and Traineeships).

The institution's master's and doctoral curricula in the ocean sciences will be considered for breadth and Naval relevance as will the quality of previous and current ocean science graduate students and/or postdoctoral fellows, as evidenced by statistical and narrative information.

The adequacy and availability of facilities to support ocean science research will be considered along with the interdisciplinary nature of oceanographic education and research at the proposing institution. The institution will also provide a supporting letter of recommendation for each nomination (submitted as part of the full proposal).

IV. APPLICATION AND SUBMISSION INFORMATION

1. Application and Submission Process -

The deadline for receipt of proposals is 16:00 ET, 19 Jun 2007. Proposals received after this time and date will not be considered for award under this BAA. After the proposal evaluation process is completed, the proposed Principal Investigator will be notified via email or U.S. mail whether or not the proposal has been recommended for an award.

2. Content and Format of Full Proposals -

The proposals submitted under this BAA should be for the conduct of unclassified basic and applied research. The Proposal submissions will be protected from unauthorized disclosure in accordance with applicable law and DoD/DoN regulations. Offerors are expected to appropriately mark each page of their submission that contains proprietary information.

Full Proposals shall be submitted to ONR through Grants.gov or by hard copy as delineated below.

Full Proposal Format and Content

- Paper Size – 8.5 x 11 inch paper
- Margins – 1” inch
- Spacing – single or double-spaced
- Font – Times New Roman, 12 point
- Number of Pages – Volume 1 is limited to no more than 20 pages. There are no page limitations to Volume 2. The cover page, table of contents, and resumes are excluded from the page limitations. Full Proposals exceeding the page limit may not be evaluated.
- Copies – one (1) original, three (3) copies and one electronic copy on a CD-ROM, (in Microsoft® Word or Excel 97 compatible or .PDF format) or may be submitted electronically at <http://www.grants.gov/>.

Technical Content—Volume 1:

A detailed technical proposal is not required but an overview of the research expected to be performed should be provided. The proposal should primarily describe the qualifications of the scientist (awardees to be named the SECNAV/CNO Chair), the qualifications of the institution, and the oceanographic sciences area(s) in which the Chair will collaborate with operational Navy activities as well as other Office of Naval Research and/or Naval Research Laboratory investigators. The proposal should also identify the proposed graduate students or describe a plan for their selection.

a. Prepared by the SECNAV/CNO Chair Candidate

- 1) Narrative of experience and success in the ocean sciences including a list of national and international liaison activities.
- 2) A table with names of all previous students and postdocs, areas in which they were trained, year graduated or completed postdoc, and subsequent career patterns.
- 3) A brief description of current and planned research in oceanographic science, especially in areas relevant to Navy/ONR interests.
- 4) A description of current or proposed coordination with Navy activities and/or collaborations with other Navy/ONR investigators.
- 5) A description of the technical areas to be investigated by the Chair and the facilities available for performing the proposed research.
- 6) A pertinent biography including refereed articles, awards, at-sea experience, past liaison with Navy activities or other agencies and similarly relevant information (not included in page limit).
- 7) The types and levels of present and pending support from other sources for the research area in which the Chair will work (not included in page limit).

b. Prepared by the Institution

- 1) Nomination Letter: A supporting letter for each Chair proposal from the appropriate university official (Department Chairperson, Dean, Director or higher). This letter should address the achievements of the nominee and why this award is particularly suited to the skills, accomplishments, interactions and potential of the candidate. The nomination letter should be submitted along with the technical proposal prepared by the Institution.
- 2) Narrative description with tabular presentation of the number of ocean science graduate students, their discipline interests, and placement of graduated students in the last three years.
- 2) Specific plans for cost sharing including such items as waiver or reduced indirect costs, matching funds or equipment
- 3) Extent of institutional commitment to education and research in the ocean sciences.
- 4) Indicators of quality for the graduate oceanographic science curricula.
- 5) Indicators of the stature of the oceanographic science faculty.
- 6) Identification (or plans for evaluation and selection) of ONR/Institution graduate students.

Cost Proposal Content and Format—Volume 2:

The Cost Proposal shall consist of a detailed breakdown of all proposed costs for each year of support requested. 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 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 words “Cost Proposal” should appear on the cover page in addition to the following information:

- BAA number.
- Title of Proposal.
- Identity of prime Recipient and complete list of Sub-Recipients, if applicable.
- Technical contact (name, address, phone/fax, electronic mail address).
- Administrative/business contact (name, address, phone/fax, electronic mail address).
- Duration of effort.

Detailed breakdown of all costs: by cost category, by calendar or Government’s fiscal year that covers the four years:

- Direct Labor – Individual labor category or person, with associated labor hours and unburdened direct labor rates.
- Indirect Costs – Fringe Benefits, Overhead, G&A, etc. (Must show base amount and rate).
- Travel – Number of trips, destination, duration, etc.
- 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 Recipient's procurement method to be used (competition, engineering estimate, market survey, etc.).
- Indirect Costs - particularly any proposed items of equipment or facilities. Facilities and administration expenses for educational institutions are set forth in Section F of OMB Circular A-21 since those costs incurred for common or joint objectives cannot be readily identified by a particular project.

3. 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 Code 32 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. Applicants who fail to provide a Department Code identifier may receive notification that their proposal submission has been rejected.

Registration Requirements for Grants.Gov: 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/assets/OrganizationRegCheck.doc> to guide you through the process. Designate an E-Business Point of Contact (EBiz POC) and obtain a special password called 'MPIN' at http://www.grants.gov/applicants/register_your_organization.jsp. 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.

Download PureEdge Viewer: 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.

Questions about Grants.Gov: 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.

4. Submission of Grant Proposals by Mail

The offeror must use the Grants.gov forms from the application package template associated with the BAA on the Grants.gov website even if hardcopy submission is preferred. Full proposals should be delivered to the following address:

Office of Naval Research
Attn: Hector Cevallos (CACI) OLC W12471
ONR Department Code 252
875 North Randolph Street
Arlington, VA 22203-1995

NOTE: Due to changes in security procedures since September 11, 2001, the time required for hard-copy written materials to be received at the Office of Naval Research has increased. Thus it is recommended that any hard-copy proposal be mailed several days before the deadline established in the solicitation so that it will not be received late and thus be ineligible for award consideration. **Please also note full proposal sent by fax or e-mail will not be considered.**

5. Significant Dates and Times -

EVENT	DATE (MM/DD/YEAR)	TIME (EASTERN TIME)
Questions Submission Due Date	22 May 2007	4:00 p.m. EDT
Full Proposal Due Date	19 Jun 2007	4:00 p.m. EDT
Notification of Selection for Award	20 Aug 2007 *	
Anticipated Award Date(s)	01 Oct 2007 *	

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

6. Submission of Late Proposals –

Any hard copy proposal, modification, or revision that is received at the designated Government office after the exact time specified for receipt of proposals is “late” and will not be considered.

Any proposal submitted through ‘Grants.gov’ where the time and date for submission is after the deadline for the proposal submission will be late and will not be evaluated unless the ‘Grants.gov’ website was not operational on the due date and was unable to receive the proposal submission. If this occurs, the time specified for the receipt of the proposals through Grants.gov will be extended to the same time of day specified in this BAA on the first workday on which the ‘Grants.gov’ website is operational.

V. EVALUATION INFORMATION

1. Selection Criteria –

Proposals will be selected based on the following Technical Factors:

1. Demonstrated experience and status of the Chair nominee, especially with regard to scientific and mentoring achievement as well as breadth of collaborative activities across the scientific community and the various sponsoring agencies.
2. Relevance of research goals to Navy and Marine Corps needs for the scientific and technical areas in which the Chair will perform
3. Plans for maintaining and/or developing interactions with relevant portions of Navy and Marine Corps
4. Commitment(s) by the institution to oceanographic science faculty in general and to the Chair and graduate students in particular.
5. Adequacy of facilities and other resources available to support the proposed oceanographic research
6. Curricula, performance, and stature of the institution, especially with regard to quality of the oceanographic science faculty and recent graduate students
7. Cost will be evaluated with respect to the realism and reasonableness of the offeror’s individual cost elements to the proposed effort and the anticipated award values described in section II, entitled, “Award Information” of this solicitation.

The Offeror’s technical capability (as measured by the Technical Factors) is significantly more important than the Cost Factor. In regards to the stated Technical Factors, Technical Factor 1 is of the greatest weight; Technical Factors 2, 3 and 4 are equally weighted; Technical Factors 5 and 6 are equally weighted and each is of less value than any of the Technical Factors 1 through 4.

Although Cost is significantly less important than all of the Technical Factors combined, it will not be ignored. The degree of its importance will increase with the degree of equality on proposals submitted 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 technical superiority to the Government.

Proposals submitted under this BAA will be protected from unauthorized disclosure in accordance with FAR 3.104-5 and 15.207.

VI. AWARD ADMINISTRATION INFORMATION

1. Administrative Requirements –

- 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. Information on CCR registration is available at <http://www.onr.navy.mil/02/ccr.htm>.
- Certifications – For grant proposals, the certification package is entitled, Certification for Grants and Agreements. Grant awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. Grant Applicants may provide this certification in one of three (3) ways:
 - 1) By signing and submitting the Standard form (SF) 424(R&R), as part of a hard copy proposal submission (complete Blocks 18 and 19) proposers are providing the certification required by 32 CFR Part 28; or
 - 2) By electronic submission of SF424 (R&R) as a part of a n electronic proposal submitted via Grants.gov (complete Blocks 18 and 19); or
 - 3) By hard copy submissions of the full text lobbying certification found at http://www.onr.navy.mil/02/rep_cert.asp

2. Reporting -

The SECNAV/CNO Chair will submit an annual report in the format provided by the ONR Ocean Battlespace Sensing Science and Technology (S&T) Department for inclusion in the annual ONR Ocean Battlespace Sensing S&T Department reports CD.

VII. OTHER INFORMATION

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

Each Offeror must provide a very specific description of any equipment/hardware that it needs to acquire to perform the work. Also, this description should identify the component, nomenclature, and configuration of the equipment/hardware that it proposes to purchase for this

effort. Maximum use of Government integration, test, and experimental 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 which of these facilities they recommend.

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 their proposal.

If developers use unclassified data in their deliveries and demonstrations regarding a potential classified project, they should use methods and conventions consistent with those used in classified environments. Such conventions will permit the various subsystems and the final system to be more adaptable in accommodating classified data in the transition system.

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 see <http://www.onr.navy.mil/02/howto.htm> for further information.

4. 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/>

5. Protection of Proprietary and Sensitive Information

The parties acknowledge that, during performance of the grant instrument resulting from this BAA, the Grantee may require access to certain proprietary and confidential information (whether in its original or derived form) submitted to or produced by the Government. Such

information includes, but is not limited to, business practices, proposals, designs, mission or operation concepts, sketches, management policies, cost and operating expense, technical data and trade secrets, proposed Navy budgetary information, and acquisition planning or acquisition actions, obtained either directly or indirectly as a result of the effort performed on behalf of ONR. The Grantee shall take appropriate steps not only to safeguard such information, but also to prevent disclosure of such information to any party other than the Government. The Grantee agrees to indoctrinate institutional/company personnel who will have access to or custody of the information concerning the nature of the confidential terms under which the Government received such information and shall stress that the information shall not be disclosed to any other party or to personnel who do not need to know the contents thereof for the performance of the agreement. Grantee personnel shall also be informed that they shall not engage in any other action, venture, or employment wherein this information will be used for any purpose by any other party.

6. Submission of Questions

Any questions regarding this solicitation must be provided to the Science and Technology Point of Contact and/or Business Point of Contact listed in this solicitation. Questions must be submitted by 4:00 p.m. EDT on 22 May 2007. Questions submitted after this date and time may not be answered and the due date for submission of proposals will not be extended.