



BROAD AGENCY ANNOUNCEMENT

INTRODUCTION:

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

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

I. GENERAL INFORMATION

1. Agency Name

Office of Naval Research
875 North Randolph Street - Suite 1425
Code 0312
Arlington, VA 22203-1995

2. Research Opportunity Title – Sub-10nm Nanoelectronic Fabrication Techniques

3. Program Name – Nanometer Scale Electron Devices and Sensors

4. Research Opportunity Number – BAA 08-022

5. Response Date –

White Papers: 24 July 2008 no later than 4 PM (1600 hours) Eastern Daylight Time

Full Proposals: 09 September 2008 no later than 4PM (1600 hours) Eastern Daylight Time

6. Research Opportunity Description -

The Office of Naval Research (ONR) is interested in receiving proposals that address the nanoelectronics fabrication challenge at or below 10nm spatial resolution.

The ONR nanometer scale electron devices and sensors (nanoelectronics for short) is a Discovery and Invention (D&I) program driven by the future needs of naval systems that require light weight, low power and high performance electronic components. The program is designed to address technical challenges in three different areas/levels: device and circuits level challenges, architectural challenges and fabrication challenges.

In this BAA, ONR Code 312 seeks white papers for research efforts aimed at addressing the nanofabrication challenge. In recent years, breakthrough performances in individual nanoscale devices, such as transistors made out of single wall carbon nanotubes and semiconductor nanowires, have been demonstrated. However, progress towards large scale integration of these devices into useful circuits has been slow, largely due to lack of an efficient and cost effective nanofabrication technique that provides sufficient resolution and reasonable throughput. Existing top-down techniques such as optical lithography fall far short in terms of spatial resolution, while high resolution techniques such as scanning probe microscopy are severely limited by throughput. This BAA seeks novel concepts and feasibility demonstration that has a strong potential to fill this critical technology gap. Of particular interest to ONR are various forms of bottom-up self-assembly, including guided/assisted self-assembly, techniques that are capable of assembling electronic materials (metals, semiconductors and insulators) into arbitrarily

shaped sub-10nm resolution patterns, while providing significant throughput enhancement over scanning probe microscopy based techniques.

7. Point(s) of Contact –

Questions of a *technical nature* should be submitted to:

Primary:

Dr. Chagaan Baatar
Program Officer
Electronics, Sensors, and Networks Research Division
Code 312
Office of Naval Research
875 North Randolph Street
Arlington, VA 22203-1995
Telephone Number: (703) 696-0483
E-mail Address: chagaan.baatar@navy.mil

Secondary:

Ms. Sheila Richardson
Office of Naval Research
Code 0312, Contractor Support
875 North Randolph Street – Suite 256A
Arlington, VA 22203-1995
Telephone Number (703) 696 0113

E-mail address: Sheila.richardson@navy.mil

Questions of a *business nature* should be submitted to:

Primary:

Lynn Christian
Contract Specialist
Code BD 0251
Office of Naval Research
875 North Randolph Street, Suite 1425
Arlington, VA 22203-1995
Telephone Number: (703) 696-1575
E-Mail: christl@onr.navy.mil or lynn.christian@navy.mil

Secondary:

Ms. Vera M. Carroll
Acquisition Branch Head
Contract and Grants Awards Management, Code 0251
Office of Naval Research
875 North Randolph Street, Suite 1425
Arlington VA, 22203-1995
E-mail: carrolv@onr.navy.mil or vera.carroll@navy.mil

8. Instrument Type(s) -

ONR will consider awarding both grants and contracts.

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

CFDA No.: 12.300

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

CFDA Title: DoD Basic and Applied Scientific Research

11. Other Information -

This announcement is restricted to basic and applied research. Contract and grant awards made under this BAA are for scientific study and experimentation directed towards advancing the state of the art and increasing knowledge or understanding.

II. AWARD INFORMATION

The Office of Naval Research (ONR) plans to issue multiple awards that represent the best value to the Government in accordance with the evaluation criteria. The Office of Naval Research is seeking participants for this program that are capable of supporting the goals described in this announcement. Offerors have the opportunity to be creative in the selection of the technical and management processes and approaches to address the areas of interest described above.

The period of performance of the awards will range from 18 months to two years. ONR anticipates a budget of approximately \$3,500,000 for the Discovery and Invention (D&I) Program for the total award period. ONR plans to fund \$500,000 to \$1,000,000 lump-sum award. However, lower and higher cost proposals will be considered. The period of performance for projects may be from 18 months to two years, with an estimated start date of 1 September 2008, subject to date of final award and the availability of funds.

III. ELIGIBILITY INFORMATION

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

Federally Funded Research & Development Centers (FFRDCs), including Department of Energy National Laboratories, are not eligible to receive awards under this BAA. However, teaming arrangements between FFRDCs and eligible principal bidders are allowed so long as they are permitted under the sponsoring agreement between the Government and the specific FFRDC.

Navy laboratories and warfare centers as well as other Department of Defense and civilian agency laboratories are also not eligible to receive awards under this BAA and should not directly submit either white papers or full proposals in response to this BAA. If any such organization is interested in one or more of the programs described herein, the organization should contact an appropriate ONR POC to discuss its area of interest. The various scientific divisions of ONR are identified at <http://www.onr.navy.mil/>. As with FFRDCs, these types of federal organizations may team with other responsible sources from academia and industry that are submitting proposals under this BAA.

Teams are encouraged to submit proposals in any and all areas. However, Offerors must be willing to cooperate and exchange software, data and other information in an integrated program with other contractors, as well as with system integrators, selected by ONR.

Some topics cover export controlled technologies. Research in these areas is limited to "U.S. persons" as defined in the International Traffic in Arms Regulations (ITAR) - 22 CFR § 1201.1 et seq.

IV. APPLICATION AND SUBMISSION INFORMATION

1. Application and Submission Process -

The Application and Submission Process consists of white papers and full proposals. If an Offeror does not submit a white paper before the due date and time, it is not eligible to participate in the remaining Full Proposal submission process. White papers must be submitted via e-mail directly to the Technical Point of Contact (TPOC) identified in paragraph number 7 above. Full proposals may be submitted electronically via grants.gov if a grant award is sought. Full proposals must be submitted hard copy via United States Postal Service (USPS) or a commercial carrier if a contract award is sought.

Each white paper should state that it is submitted in response to this announcement (BAA 08-022). Each white paper will be evaluated by the government to determine whether the technology advancement proposed appears to be of particular value to the Department of the Navy. The submitters of white papers judged to be of "particular value" to the Navy

will be so identified in the initial response provided by ONR and encouraged to submit full proposals. The submitter of any white paper not judged by the ONR reviewers as being of "particular value" to the Navy may still submit a full proposal by the date and time specified in the BAA, but the initial Navy response provided is a useful indicator of likely future funding under this solicitation.

White Papers and Full Proposals submitted under the BAA are expected to be unclassified; however, confidential/classified proposals are permitted. If a classified proposal is submitted, the resultant contract will be unclassified.

Unclassified proposals shall be submitted directly to the Technical Point of Contract (TPOC). An 'unclassified' Statement of Work (SOW) must accompany any classified proposal.

Classified full proposals shall be submitted directly to the attention of ONR's Document Control Unit at the following address:

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

The inner wrapper of the classified proposal should be addressed to the attention of the TPOC.

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. The proposal shall include a severable, self-standing Statement of Work, which contains only unclassified information and does not include any proprietary restrictions.

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."

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

The proposal format and content identified below are applicable to the submission of proposals for contracts and grants. As noted below, proposals selecting grant awards are to be formatted as required by Standard Form 424 (R&R), which is available via the internet at <http://www.grants.gov/>.

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
- Number of Pages – No more than 3 single-sided pages, including technical section and rough order of magnitude (ROM) cost estimate, but excluding cover page and resumes. White papers exceeding the page limit may not be evaluated.
- Copies – one (1) electronic copy in (Microsoft® Word or Excel 2003 compatible or .PDF format) submitted by E-mail.

White Paper Content

- **Cover Page:** The Cover Page shall be labeled “WHITE PAPER” and shall include the BAA number (08-022), 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.
- **Rough Order of Magnitude (ROM) Cost Estimate:** A summary of costs segregated by each task and cost category. This section should also include a table with all costs summarized in thousands of dollars for FY08 funding.
- **Future Naval Relevance:** A description of potential Naval relevance and contributions of the effort to the agency’s specific mission.

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
- Number of pages – Volume 1 is limited to no more than 30 pages. Volume 2 has no page limit. The cover page, table of contents, and resumes are excluded from the page limitations.

- Copies – one (1) original, two (2) additional hard copies and one electronic copy on a CD-ROM (Microsoft® Word or Excel 2003 compatible or .PDF format). If a grant is sought, the full proposal may be submitted electronically at <http://www.grants.gov/>.

Full Proposal Content

Volume 1: Technical Proposal

- **Cover Page:** This should include the words “Technical Proposal” and the following:
 - 1) BAA number (BAA 08-022);
 - 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.
- **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, the 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.
- **Technical Approach and Justification:** The major portion of the proposal should consist of a clear description of the technical approach being proposed. This discussion should provide the technical foundation / justification for pursuing this particular approach / direction and why one could expect it to enable the objectives of the proposal to be met.
- **Future Naval Relevance:** A description of potential Naval relevance and contributions of the effort to the agency’s specific mission.
- **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

Federal 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/VFDFARA.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 they 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 form is optional. The words “Cost Proposal” should appear on the cover page in addition to the following information:

- BAA number (08-022)
- 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 – Contract Costs: Detailed breakdown of all costs by cost category by Government fiscal year:

- Direct Labor – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates;
- Indirect Costs – Fringe Benefits, Overhead, G&A, Cost of Money, 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 obtained from the subcontractor prior to Award*;
- 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 will be presented on SF 424(R&R) as discussed under Paragraph 5 below;
- Options – the Base Period of Performance and Option Periods must be priced at the submission of the proposal. Any proposal containing unpriced options will not be included in the contract;
- Fee/Profit (“CONTRACT PROPOSALS ONLY”)

* Note: DoD Federal Acquisition Regulation provision 252.215-7003 (48 CFR 252.215-7003) is incorporated into this solicitation by reference. The Offeror is to exclude excessive pass-through charges from subcontractors. The Offeror must identify in its proposal the percentage of effort it intends to perform and the percentage to be performed by each of its proposed subcontractors. If more than 70 percent of the total effort will be performed through subcontracts, the offeror must include the additional information required by the above-cited clause.

OR

Part 1 – Grant Recipient : If Grantee submits a Grant Cost/Budget Proposal via hardcopy in accordance with the Grants.gov format, the following information is provided as Cost/Budget proposal guidance. Detailed breakdown of all costs by cost category by calendar or Government fiscal year. The Cost Proposal/Budget should contain a detailed cost breakdown that includes:

- Direct Labor - Labor category with associate hours and unburdened labor rate;
- Graduate Assistant Tuition – Basis of estimate for Graduate Assistant Tuition;
- Indirect Costs – Fringe benefits, overhead, G&A, etc...;
- Equipment – Acquired equipment should be itemized with its associated cost along with the basis of estimate, i.e., quotes, invoices, catalog pricing;
- Laboratory Costs – Basis of estimate for Laboratory Costs, inclusive of an itemized list along with basis of estimate, i.e., quotes, invoices, catalog pricing;
- Report and Publication Costs – Basis of estimate for Report and Publication Costs;
- Recipient Share – i.e., Cost sharing
- Travel – Travel stating number of trips, destinations, duration, per diem, auto rental, privately owned vehicle (POV), etc...;
- Subrecipients – A cost budget proposal as detailed as the Recipient’s cost proposal will be required to be submitted by the Subrecipient. The Subrecipient’s cost budget proposal can be provided in a sealed envelope with the Recipient’s cost budget proposal or will be obtained from the Subrecipient prior to Grant award;
- Consultants – Consultant agreements or other document which verifies the proposed loaded daily/hourly rate;
- Materials – Materials itemized with cost along with the basis of estimate;
- Conferences – if during the research effort, and Recipient requires a conference in support of the project, there should be a statement within the Recipient’s cost budget proposal submission stating “the funds provided by ONR will not be used for food or beverages.”

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 --

SCHEDULE OF EVENTS		
Event	Date	Time (Eastern Daylight)
White Paper Due Date	24 July 2008	(1600 hours) 4:00 PM
Notification of Selection: White Papers *	08 August 2008	N/A
Full Proposal Due Date	09 September 2008	(1600 hours) 4:00 PM
Notification of Selection: Full Proposals *	15 September 2008	N/A
Contract Awards *	15 December 2008	N/A

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

4. Submission of Late Proposals --

Any proposal, modification, or revision that is received at the designated Government office after the exact time specified for receipt of proposals is "late" and will not be considered unless it is received before award is made, the contracting officer determines that accepting the late proposal would not unduly delay the acquisition and:

- If it was transmitted through an electronic commerce method authorized by the announcement, it was received at the initial point of entry to the Government infrastructure not later than 5:00 P.M. one working day prior to the date specified for receipt of proposals; **or**
- There is acceptable evidence to establish that it was received at the Government installation designated for receipt of proposals and was under the Government's control prior to the time set for receipt of proposals; **or**
- It was the only proposal received.

However, a late modification of an otherwise timely and successful proposal that makes its terms more favorable to the Government will be considered at any time it is received and may be accepted.

Acceptable evidence to establish the time or receipt at the Government installation includes the time/date stamp of that installation on the proposal wrapper, other documentary evidence of receipt maintained by the installation, or oral testimony or statements of Government personnel.

If an emergency or unanticipated event interrupts normal Government processes so that proposals cannot be received at the Government office designated for receipt of proposals by the exact time specified in the announcement, and urgent Government

requirements preclude amendment of the announcement closing date, the time specified for receipt of proposals will be deemed to be extended to the same time of day specified in the announcement on the first work day on which normal Government processes resume.

The contracting officer must promptly notify any offeror if its proposal, modifications, or revision was received late and must inform the offeror whether its proposal will be considered.

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.

THE FOLLOWING LANGUAGE IS NOT APPLICABLE TO PROPOSALS FOR CONTRACTS

5. Submission of Grant Proposals to Grants.gov

Grant Proposals may be submitted through Grants.gov or by hard copy directly to ONR. Regardless of whether Grants.gov or hardcopy submission is used, 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 ONR Department Code 312 in Block 4 entitled, "Federal Identifier" of the Standard Form (SF) 424 R&R. Applicants who fail to provide a Department Code identifier (Code 312) will receive notification that their proposal submission has been rejected. However, White Papers should not be submitted through the Grants.gov application process but rather e-mailed directly to ONR.

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 (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.

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select "Apply for Grants", and then select "Download

Application Package". Enter the CFDA for ONR as found on page four of this announcement) (ONR – 12.300) and the funding opportunity number, designated as “research opportunity number” on page two of this announcement (08-022). NOTE: You will not be able to download the Application Package unless you have installed PureEdge Viewer 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: (<http://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.

Content and Form of Application – SF 424 (R&R)

You must complete the mandatory forms and any applicable optional forms in accordance with the instructions on the forms and the additional instructions below. The mandatory form for this BAA is the SF 424 (R&R), the optional form for this BAA is the SF-LLL Disclosure of Lobbying Activities form.

Mandatory Form SF 424 (R&R)

Complete this mandatory form first to populate data in other forms. Complete all the required fields in accordance with the pop-up instructions on the form. To activate the instructions, turn on the “Help Mode” (icon with the pointer and question mark at the top of the form). The list of certifications and assurances referenced in Field 18 can be found on the ONR Home Page at Contracts and Grants. The certification package for grants is entitled, “Certifications for Grants and Agreements.” The completion of the fields is self-explanatory.

The entire proposal package including the technical and cost proposal should be scanned into a single pdf file and attached to the SF 424 (R&R) Form at Field number 20 entitled “Pre-Application”

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. It is extremely important that the AOR watch for and save each of the 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 for the submission.

Number 2 – The applicant will receive an e-mail indicating that the proposal has been validated by Grants.gov within a few hours of submission. (This means that all of the required fields have been completed.)

Number 3 – The third notice is an acknowledgment of receipt in e-mail form from the designated agency within ten days from the proposal due date. 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. Hard copy submissions will receive only e-mail number 3.

Procedures for Submission of grants Full Proposals

If submitting a grants full proposal by hard copy as opposed to formally through grants.gov, please complete the Grants.gov Form 424 (R&R) as described above, print the complete proposal package (including technical and cost proposals as described above) and submit it to the address identified in paragraph 6 below.

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

Hard copies of full proposals for contracts and grants should be sent to the Office of Naval Research at the following address:

*Office of Naval Research
Attn: Dr. Chagaan Baatar
ONR Department Code:312
875 North Randolph Street
Arlington, VA 22203-1995

****Important Notes –***

If the Offeror chooses to use the United States Postal Service (USPS), it needs to use the Official address. Offerors should be aware that they need to allow up to an extra five (5) business days because USPS mail is sent to a central location for special processing before it is delivered to ONR. WhitePapers/Full Proposals may also be delivered by commercial carriers who have access beyond the lobby of the building for delivery directly to the identified room. White Papers/Full Proposals sent by FAX, E-MAIL or HAND CARRIED by an individual without access beyond the lobby WILL NOT BE ACCEPTED.

V. EVALUATION INFORMATION

1. Evaluation Criteria –

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

- 1) Overall scientific and technical merits of the proposal;
- 2) 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.

Overall, the technical factors (1 – 4 above) are more important than the cost factor, with the technical factors all being of equal value. The degree of importance of cost will increase with the degree of equality of the proposals in relation to the other factors on which selection is to be based, or when the cost is so significantly high as to diminish the value of the proposal's technical superiority to the Government.

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.

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 contract performance.

2. Evaluation Panel -

Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure in accordance with FAR 3.104-4 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 “541712” with a small business size standard of “500 employees”.
- Central Contractor Registry (CCR) - Successful Offerors not already registered in the 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 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.

Contracts:

For contracts, in accordance with FAR 4.1201, prospective contractors shall complete and submit electronic annual representations and certifications at <http://orca.bpn.gov>. In addition to completing the Online Representations and Certifications Application (ORCA), proposals must be accompanied with a completed DFARS and contract specific representations and certifications. These "DFARS and Contract Specific Representations and Certifications", i.e., Section K, may be accessed under the Contracts and Grants Section of the ONR Home Page at http://www.onr.navy.mil/02/rep_cert.asp. This requirement is also applicable for other transaction proposals involving prototypes (Section 845 agreements).

Assistance Agreements:

For grant proposals, the certification package is entitled Certifications for Grants and Agreements

Grant awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. Grant and other assistance applicants will provide this certification by signing and submitting the Standard Form (SF) 424 (R&R) as a part of a hard copy grant proposal submission (complete Blocks 18 and 19).

The following certification applies to each applicant seeking federal assistance funds exceeding \$100,000:

CERTIFICATION REGARDING LOBBYING ACTIVITIES

(1) No Federal appropriated funds have been paid or will be paid by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S.C. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

- Subcontracting Plans - Successful contract proposals that exceed \$550,000, 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. Recombinant DNA

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

4. Department of Defense High Performance Computing Program

The DoD High Performance Computing Program (HPCMP) furnishes the DoD S & T and RDT & E communities with use-access to very powerful high performance computing systems. Awardees 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 contract or grant agreement resulting from this BAA, the recipient 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 recipient 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 recipient agrees to indoctrinate 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 recipient personnel who do not need to know the contents thereof for the performance of the contract/agreement. Recipient 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. 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.

7. 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. All questions shall be submitted in writing by electronic mail.

Questions regarding **white papers** must be submitted by 2:00 P.M. Eastern Daylight Time on **11 July 2008**. Questions after this date and time may not be answered, and the due date for submission of the white papers will not be extended.

Questions regarding **full proposals** must be submitted by 2:00 P.M. Eastern Daylight Time on **25 August 2008**. Questions after this date and time may not be answered, and the due date for submission of the proposals will not be extended.