



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) and 35.016, and DoD's Other Transaction Guide for Prototypes Projects, USD(AT&L), OT Guide, Jan 2001. 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.

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 #08-001 dated 05 September 2007.

I. GENERAL INFORMATION

SPECIAL NOTICE 1: All Grant Applications submitted under this BAA shall be submitted via the Grants.Gov "APPLY" function. No other form of paper or electronic submission will be accepted unless the prospective grantee organization applies for and receives a waiver in accordance with Section IV, Application and Submission Information, Paragraph 5 entitled 'Submission of Grant Proposals to Grants.gov' below.

SPECIAL NOTICE 2: All attachments to grant applications submitted through Grants.Gov must be in Adobe Portable Document Format. Proposals with attachments submitted in word processing, spreadsheet, or any format other than Adobe Portable Document Format will not be considered for award. The grant Application Package

Template to be used for submission of grant applications through Grants.Gov is based on the PureEdge Forms software. It is anticipated that this BAA will be amended before the end of 2008 to require the use of an Adobe Forms Package in place of the PureEdge Application Package Template. Once this amendment is issue, prospective grantees must download the new Adobe Application Package in order to be able to submit Grant Applications through Grants.Gov.

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 09-001

5. Response Date -

This announcement will remain open until 30 September 2009 or until replaced by a successor BAA, whichever first occurs. 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/>.

Work funded under this BAA may include basic research, applied research and some advanced technology development (ATD). With regard to any restrictions on the conduct or outcome of work funded under this BAA, ONR will follow the guidance on and definition of "contracted fundamental research" as provided in the Under Secretary of Defense (Acquisition, Technology and Logistics) Memorandum of 26 June 2008. As defined therein; the definition of "contracted fundamental research", in a DoD contractual context, includes [research performed under] grants and contracts that are (a) funded by Research, Development, Test, and Evaluation Budget Activity 1 (Basic Research), whether performed by universities or industry or (b) funded by Budget Activity 2 (Applied Research) and performed on-campus at a university. ATD is funded through Budget Activity 3. In conformance with the USD(AT&L) guidance and National Security Decision Directive 189, ONR will place no restriction on the conduct or reporting of unclassified fundamental research, except as otherwise required by statute, regulation or Executive Order. Normally, fundamental research is awarded under grants with universities and under contracts with industry. ATD is normally awarded under contracts and may require restrictions during the conduct of the research and DoD pre-publication review of research results due to subject matter sensitivity. Potential offerors should consult with the appropriate ONR POCs to determine whether the proposed effort would constitute basic research, applied research or ATD.

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 IS NOT FOR THE ACQUISITION OF 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 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 § 120.1 et seq. (See Section VII, Other Information)

IV. APPLICATION AND SUBMISSION INFORMATION

1. Application and Submission Process -

“White Papers” are frequently desired by ONR Program Officers. Offerors should consult the cognizant ONR Program Officer regarding the desirability of “White Paper” submissions. The various scientific divisions of ONR are identified at <http://onr.navy.mil>

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

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).

Classified 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. An ‘unclassified’ Statement of Work (SOW) must accompany any classified proposal.

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.

The proposal format and content identified below are applicable to the submission of proposals for contracts other assistance agreements. As noted in Paragraph 5 below, proposals seeking grants and cooperative agreements are to be formatted as required by Standard Form 424 (R&R), which is available via the internet at <http://www.grants.gov/>.

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, an 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 limit on the number of pages for Volume I with the cognizant Program Officer. There are no page limitations to Volume 2.
- Copies – one (1) original, an 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 or cooperative agreement is sought, the full proposal shall be submitted electronically on a Standard Form 424 (R&R) at <http://www.grants.gov/> as delineated below. Contracts and any other type of assistance agreements may be submitted via hard copy directly to the cognizant Program Officer.

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, 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.

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 (Contract Proposals Only):** 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/VDFDARA.HTM>
- **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

INSTRUCTIONS FOR CONTRACTS AND OTHER TRANSACTIONS AGREEMENTS

Although not required and provided for informational purposes only, adhering to the instructions delineated below may expedite contract or assistance award placement. 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

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.

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 categories or persons, with associated labor hours and unburdened direct labor rates. Provide escalation rates for out years;
- **Indirect Costs** – Fringe Benefits, Overhead, G&A, COM, etc. and their applicable allocation bases. If composite rates are used, provide the calculations used in deriving the composite rates.
- **Travel** – Provide a breakout of travel costs including the purpose and number of trips, origin and destinations(s), duration, travelers per trip, and the airfare, hotel, per diem, car rental costs, etc. for each trip.
- **Subcontracts** – A cost proposal as detailed as the Offeror’s cost proposal will be required to be submitted by the subcontractor. The subcontractor’s cost proposal can be provided in a sealed envelope with the Offeror’s cost proposal or may be sent directly to the Government. Subcontractor proposals must be received and reviewed prior to contract award. The

prime contractor should perform and provide a cost/price analysis of each subcontractor's cost proposal.*

***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 formed through subcontractors, the offeror must include the additional information required by the above-cited clause.

- Consultants – Provide a breakdown of the consultant's hours, the hourly rate proposed, any other proposed consultant costs, a copy of the signed Consulting Agreement or other documentation supporting the proposed consultant cost, and a copy of the consultant's proposed statement of work if it is not already separately identified in the prime contractor's proposal.
- Materials & Supplies – Provide an itemized list of all proposed materials and supplies including quantities, unit prices, proposed vendors (if known), and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).
- Contractor Acquired Equipment or Facilities – Equipment and/or facilities are normally furnished by the Contractor. If acquisition of equipment and/or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all equipment and/or facilities costs and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).
- Other Direct Costs – Provide an itemized list of all other proposed other direct costs and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).
- 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) – Profit or fee is not allowed on direct costs for facilities or in cost-sharing contracts.

Note: Indicate if you have an approved Purchasing/Estimating System and/or describe the process used to determine the basis of reasonableness (e.g., competition, market research, best value analysis) for subcontractors, consultants, materials, supplies, equipment/facilities, and other direct costs.

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.

INSTRUCTIONS FOR GRANTS AND COOPERATIVE AGREEMENTS

The offeror must use the Grants.Gov forms from the application package template associated with the BAA on the Grants.Gov web site located at <http://www.grants.gov/>. Elements of the budget should include:

- Direct Labor – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates or percentage of effort or total man-years. Provide escalation rates for out years. Justify in Field K
- Indirect Costs – Fringe Benefits, Overhead, F&A, G&A etc. and their applicable allocation bases. If composite rates are used, provide the calculations used in deriving the composite rates. Justify in Field K
- Travel – Provide a breakout of travel costs including the purpose and number of trips, origin and destinations(s), duration, travelers per trip, and the airfare, hotel, per diem, car rental costs, etc. for each trip. Or a basis for estimate, i.e., based on previous efforts, based on past experience, etc. Justify in Field K.
- Subawards - Cost proposal as detailed as the recipient's cost proposal will be required to be submitted by the subrecipient. The subawardee's or subrecipient's cost proposal can be provided in a sealed envelope with the recipient's cost proposal or may be sent directly to the Government. Subawardee proposals must be received and reviewed prior to award.
- Consultants – Provide a breakdown of the consultant's hours, the hourly rate proposed, any other proposed consultant costs and a copy of the consultant's proposed statement of work if it is not already separately identified in the prime recipient's proposal. Strong justification must be provided, and consultants are to be used only under exceptional circumstances where no equivalent expertise can be found at a participating university. Justify in Field K.
- Materials & Supplies – Provide an itemized list of all proposed materials and supplies including quantities, unit prices, proposed vendors (if known), and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). Justify in Field K.
- Recipient Acquired Equipment or Facilities – Equipment and/or facilities are normally furnished by the Recipient. If acquisition of equipment and/or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all equipment and/or facilities costs and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). For computer/laptop purchases include a statement indicating the computer/laptop will be integrated into the program or used as an integral part of the research effort. Justify in Field K.
- Other Direct Costs – Provide an itemized list of all other proposed other direct costs such as Graduate Assistant tuition, laboratory fees, report and publication costs, and the basis for the estimates (e.g., quotes, prior purchases, catalog price lists). Justify in Field K.
NOTE: If the grant proposal is for a conference, workshop, or symposium, the

proposal should include the following statement: “The funds provided by ONR will not be used for food or beverages.”

- 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 award.
- Fee/Profit - Fee/profit is unallowable.

3. Significant Dates and Times –

This announcement will remain open until 30 September 2009 or until replaced by a successor BAA, whichever first occurs. Proposals may be submitted any time during this period.

4. Submission of Late Proposals –

Not applicable (N/A)

5. Submission of Grant and Cooperative Agreement Proposals through Grants.gov (NOT APPLICABLE TO PROPOSALS FOR CONTRACTS AND OTHER ASSISTANCE AGREEMENTS)

Detailed instructions entitled “Grants.Gov Electronic Application and Submission Information” on how to submit a grant or cooperative agreement 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

Grant and cooperative agreement proposals shall be submitted through [Grants.gov](http://www.Grants.gov) using the [Grants.gov](http://www.Grants.gov) forms from the application package template associated with the BAA on the [Grants.gov](http://www.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. Enter the Department Code that best relates to your proposal in Block 4 to ensure that it is properly routed to the correct Program Office. Only one Department Code may be selected. 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. If there is a specific ONR Program Officer to whom you wish to direct the proposal, enter the Department Code followed by the Program Officer’s name. Applicants who fail to provide a Department Code identifier may receive notification that their proposal submission has been rejected.

White Papers should not be submitted through the Grants.govApply process but rather should be sent directly to ONR. White paper submissions should be either mailed, faxed, or emailed directly to the appropriate ONR Program Officer/Program Manager.

By completing Blocks 18 and 19 the Grant Applicant is providing the certification on lobbying required by 32 CFR Part 28. Refer to Section VI, 'Award Administration Information' entitled "Certifications" for further information.

For electronic submission of grant and cooperative agreement full proposals, several one-time actions must be completed in order to submit an application through Grants.gov. These include obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the Central Contract Registration (CCR), registering with the credential provider, and registering 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. The process should 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 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.

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

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

The grant Application Package Template to be used for submission of grant applications through Grants.Gov is based on the PureEdge Forms software. It is anticipated that this BAA will be amended before the end of 2008 to require the use of an Adobe Forms Package in place of the PureEdge Application Package Template. Once this amendment is issue, prospective grantees must download the new Adobe Application Package in order to be able to submit Grant Applications through Grants.Gov.

Process to Obtain a Waiver from the Use of Grants.Gov for Submission of Full Grant Proposals: If a prospective grantee is unable to comply with the requirement to use Grants.Gov "APPLY" for submission of a grant application under this BAA or finds it would be an excessive burden to comply with this requirement, a waiver request may be submitted not less than 30 calendar days prior to the closing date for receipt of Full Proposals. Such request should be submitted by the Electronic Business Point of Contact listed in the CCR for the organization and should contain the Organization/Individual's

name, address, telephone number, and email address. The request should state the reason for the request in sufficient detail so a decision can be made. The Waiver Request should be submitted to the ONR Acquisition Department point of contact or Grants Officer listed in the BAA. Such request can be sent by registered mail or email. The “postmark” stamp on the envelope or the time annotated on the email will be used to determine timeliness of the request. A decision and response will be issued within 14 calendar days of receipt of the request by ONR. Foreign Grantees who are not registered in CCR may request a waiver on that basis since CCR registration is integral to the Grants.Gov application process.

6. Address for the Submission of Hard Copy White Papers and Full Proposals for Contracts and Other Assistance Agreements.

Hard copies of White Papers (Contracts, Grants, Cooperative Agreements and Other Transaction Agreements) and Full Proposals for Contracts and Other Transaction Agreements 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.

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 the 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>.

- 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.

- Certifications – Proposals for contracts and assistance agreements should be accompanied by a completed certification package.

Contracts and Other Transaction Agreement Proposals:

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 certification requirement is also applicable for other transaction proposals involving prototypes (Section 845 agreements).

Grants and Cooperative Agreements:

Grant and Cooperative Agreement awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. Grant applicants shall provide this certification by electronic submission of SF424 (R&R) as a part of the electronic proposal submitted via Grants.gov (complete 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.

Grants and Cooperative Agreements not through Grants.gov:

Proposers seeking grants or cooperative agreements who have received Grants.gov waiver approval for awards greater than \$100,000 shall complete and submit electronic representations and certifications at the Contracts and Grants Section of the ONR Home Page at http://www.onr.navy.mil/02/rep_cert.asp.

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 items.

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 AALAC accreditation and/or NIH assurance, IACUC approval, research literature database searches, and the two most recent USDA inspection reports) prior to award. For assistance with submission of animal research related documentation, contact the ONR Animal/Human Use Administrator at (703) 696-4046.

Similarly, for any proposal for research involving human subjects the Offeror must submit prior to award: documentation of approval from an Institutional Review Board (IRB); IRB-approved research protocol; IRB-approved informed consent form; proof of completed human research training (e.g., training certificate or institutional verification of training); an application for a DoD Navy Addendum to the Offeror's DHHS-issued Federalwide Assurance (FWA) or the Offeror's DoD Navy Addendum number. In the event that an exemption criterion under 32 CFR.219.101(b) is claimed, provide documentation of the determination by the Institutional Review Board (IRB) Chair, IRB Vice Chair, designated IRB administrator or official of the human research protection program. Information about assurance applications and forms can be obtained by contacting ONR_343_contact@navy.mil. If the research is determined by the IRB to be greater than minimal risk, the Offeror also must provide the name and contact information for the independent medical monitor. [Note: for research involving human subjects that is greater than minimal risk, administrative procedures to protect human subjects from medical expenses (not otherwise provided or reimbursed) that are the direct result of participation in a research project must be addressed. Additional supporting documentation may be requested. For additional information on this topic, email ONR_343_contact@navy.mil.] For assistance with submission of human subject research related documentation, contact the ONR Animal/Human Use Administrator at (703) 696-4046.

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 RDT & E communities with use-access to very powerful high performance computing systems. Awardees of ONR contracts, grants, and other 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/>.

6. Protection of Proprietary and Sensitive Information

The parties acknowledge that, during performance of the contract, grant, or other assistance 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.

7. 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.