



**BAA TITLE**

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**Research in Prevention and Treatment of Noise-Induced Hearing Loss (NIHL)**

**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 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.

**I. GENERAL INFORMATION**

**1. Agency Name -**

Office of Naval Research

**2. Research Opportunity Title –**

Research in Prevention and Treatment of Noise-Induced Hearing Loss (NIHL)

**3. Program Name –**

Noise-Induced Hearing Loss (NIHL)

**4. Research Opportunity Number –**

BAA-09-006

## **5. Response Dates –**

Consideration for FY 2009 program funding:

Proposals: 20 February 2009

Consideration for FY10 program funding:

White Papers: 02 March 2009

Proposals: 01 June 2009

## **6. Research Opportunity Description -**

The Biomedical and Biological Division of the Warfighter Performance Department at the Office of Naval Research (Code 342) is soliciting white papers (pre-proposals) and proposals in the following topic areas within the NIHL Program.

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.

Noise-induced hearing loss (NIHL) and tinnitus are currently the largest areas of compensation by the VA, and both greatly affect our service members. Hearing deficits have a deleterious impact on operational readiness and service member quality of life. The field of hearing preservation and restoration covers a broad area of research topics. Research proposals in the following areas are requested:

1. Capability to preserve and restore hearing.
  - a. Studies of hair cell regeneration. This may include stimulation of endogenous cells for replacement of lost cells, or transplantation of stem and/or progenitor cells. Endogenous stimulation may include genetic, neurotrophic, pharmacologic, or other approaches. Stem cell research may include adult or embryonic stem cells. (Note: If the offeror anticipates

that the use of embryonic stem cells may be needed to perform the proposed research, it must provide adequate information to demonstrate compliance [or a plan of compliance] with applicable executive orders, statutes, regulations, and other guidance on use of pluripotent stem cells. This is expected to include information about how the stem cells to be used in the proposed research were derived.)

- b. Prevention and/or treatment of hair cell loss. This may include pharmacologic approaches, prevention of apoptosis, manipulation of signaling systems, enzyme and/or antioxidant treatment/mimicry, etc., and the development of novel cochlear implant technology.
2. Capability to identify individual/population susceptibility to noise-induced hearing loss
  - a. Studies on genetics/biomarkers. This may include assessing the variations in DNA sequencing to elucidate genotype single nucleotide polymorphisms that are correlated to NIHL, studies on inheritable traits as risk factors, or other biomarker/biometric approaches.
  - b. Development and validation of assessment tools. This may include studies on the use of otoacoustic emissions, pre-existing hearing loss, or other reliable methods/factors that can rapidly assess susceptibility.
3. Development of tools and methodologies that rapidly assess changes in hearing thresholds and recommend the most effective individual mitigation/treatment strategies.
4. Advanced training tools for the audiologist and service member that demonstrate hearing loss and tinnitus, and that promote the correct use of hearing protection.
5. Surgical and nonsurgical approaches to the treatment of combat-related middle and inner ear trauma, including reconstruction, replacement, or augmentation of hearing structures.

## 7. Point(s) of Contact –

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

Name: LCDR Matthew Swiergosz, MSC USN

Address: One Liberty Center  
875 North Randolph Street  
Arlington, VA. 22203-1995

Code: 342

Email: matthew.swiergosz@navy.mil

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

Name: Mike Evonick

Address: One Liberty Center  
875 North Randolph Street  
Arlington, VA. 22203-1995

Code: 25

Email: michael.evonick@navy.mil

### **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 -**

Basic and Applied Scientific Research

### **11. Other Information -**

This announcement is restricted to basic and applied research and that portion of advanced technology development not related to the development of 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 and increasing knowledge or understanding.

## **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. The anticipated period of performance is three (3) years, with the possibility of expansion/extension as a function of performance and the availability of funds.

ONR anticipates that multiple awards will result from this BAA. The typical award will likely be in the range of \$250K to \$500K per year, but awards outside this range are also possible. For white papers that propose efforts that are considered of particular value to the Navy but either exceed available budgets or contain certain tasks or applications that aren't desired by the Navy, ONR may suggest a full proposal with reduced effort to fit within expected available budgets or an effort that refocuses the tasks or application of the technology to maximize the benefit to the Navy.

## **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 also encouraged and may 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.

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

##### **1. Application and Submission Process -**

Pre-proposals or “White Papers” are desired by the ONR Technical POC for all offerors seeking FY 2010 initial funding. White Papers are not sought for FY 2009 awards since that funding must be obligated on a more expedited basis. Potential offerors must determine whether to incur the time and expense needed to submit a full proposal early in 2009 or whether to take a more measured approach and first get the Navy’s feedback based upon submission of a shorter white paper document.

Initial Government evaluations of the White Papers for FY 2010 program funding will be issued via e-mail notification on or about 01 April 2009. Detailed Technical and Cost proposals will be subsequently encouraged from those Offerors whose proposed technologies have been identified through the above referenced e-mail as being of “particular value” to the Government. However, any such encouragement does not assure a subsequent award. Technical and Cost Proposals may also be submitted by any Offeror whose White Paper was not identified as being of particular value to the Government. But the initial White Paper appraisal is intended to give companies a sense of whether their concepts are likely to be funded under this BAA.

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

White Papers and Full Proposals submitted under the BAA are expected to be unclassified.

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 and other transaction agreements. As noted in Paragraph 5 below, proposals seeking grant and cooperative agreement awards 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 electronic copy to the ONR Technical POC submitted by e-mail with attachment (in Microsoft® Word or Excel 2003 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.
- **Future Naval Relevance:** A description of potential Naval relevance and contributions of the effort to the agency’s specific mission.
- **Costs:** Rough Order of Magnitude (ROM) cost estimate segregated by task

**b. FULL PROPOSALS**

**Full Proposal Format – Volume 1 - Technical**

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single or double-spaced
- Font – Times New Roman, 12 point
- There are no page limitations to Volume 1 or 2.
- Copies – one (1) original paper copy and one electronic copy on a CD-ROM (in Microsoft® Word or Excel 2003 compatible or .PDF format). If a grant or cooperative agreement is sought, the full proposal shall be submitted electronically on Standard Form 424 (R&R) at <http://www.grants.gov/> as delineated below. Contract and other transaction agreement proposals shall 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. The SOW shall also include a section on the future naval relevance of the research: 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/VDFDARA.HTM>

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

- **Deliverables:** A detailed description of the results and products to be delivered inclusive of the timeframe in which 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 PROPOSALS FOR CONTRACT AND OTHER TRANSACTION AGREEMENTS**

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 contractor fiscal

year, and Part 2 will provide a cost breakdown by task/sub-task and government fiscal year corresponding to the task numbers in the proposed Statement of Work. Options must be separately priced.

The detailed cost breakdown required in Part 1 below must be provided in the format provided in the spreadsheet file found with this solicitation at FedBizOpps or at the link: <http://www.onr.navy.mil/02/baa/docs/09-006CostProposalFormat.xls>. (Note this does not apply to grant proposals submitted through Grants.gov) This spreadsheet format is also required for subcontractors. This spreadsheet should be appropriately modified to include any of the Offeror's indirect rates not mentioned above and otherwise be consistent with the Offeror's cost accounting system. The electronic submission of this Excel spreadsheet shall be in a "useable condition" to aid the Government with its evaluation. The term "useable condition" indicates that the spreadsheet shall visibly include and separately identify, with notation or color, within each appropriate cell, any and all inputs, formulas, calculations, links, etc. The Offeror shall in no way provide "value only spreadsheets" liken to that of a hard copy. The Offeror shall submit with its cost proposal supporting information for each aforementioned cost element consistent with Offeror's cost accounting system. The Offeror shall provide exhibits as necessary to substantiate the cost elements.

**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 – Contract Costs (See web link to required format for Part 1 above)**

Detailed breakdown of all costs by cost category by calendar or contractor 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 – The proposed travel cost should include the following for each trip: the purpose of the trip, origin and destination, the duration, the number of travelers, and the estimated cost per trip must be justified based on the organizations historical average cost per trip or other reasonable basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principals.

- 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.

### 3. Significant Dates and Times –

This announcement will remain open until 1 June 2009 (see Section I.5). Proposals may be submitted any time during this period.

<b>Anticipated Schedule of Events</b>		
<b>EVENT</b>	<b>DATE</b>	<b>TIME (EASTERN TIME)</b>
FY09 Proposals Due Date	20 February 2009	5:00 pm
Notification of Selection for FY09 Award*	06 April 2009	N.A.
FY10 White Paper Due Date	02 March 2009	5:00 pm
Notification of Initial Navy Evaluations of FY10 White Papers*	01 April 2009	N.A.
FY10 Proposals Due Date	01 June 2009	5:00pm
Notification of Selection for FY10 Award*	01 July 2009	N.A.

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

**NOTE: Due to changes in security procedures since 11 September 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 additional days before the deadline established in the solicitation so that it will not be received late and thus be ineligible for award consideration.**

### 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.

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

Detailed instructions entitled “Grants.Gov Electronic Application and Submission Information” on how to submit a Grant or Cooperative Agreement proposal through Grants.gov are under the Acquisition Department — Submitting a Proposal section of the website at

[http://www.onr.navy.mil/02/docs/FY09\\_GrantsGovApp\\_and\\_Submission\\_Information.pdf](http://www.onr.navy.mil/02/docs/FY09_GrantsGovApp_and_Submission_Information.pdf).

Grant and cooperative agreement proposals shall be submitted through [Grants.gov](http://www.Grants.gov) using the mandatory Grants.gov form(s) from the application package template associated with the BAA on the Grants.gov website. The use of the optional forms from the application package template associated with the BAA is highly encouraged. 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 “ONR 342 – Swiergosz” in Block 4 (Federal Identifier) of the SF 424 R&R to ensure that it is properly routed to the correct Program Office. By completing Blocks 18 and 19 the Applicant will also be providing the certification on lobbying required by 32 CFR Part 28. Refer to Section VI, ‘Award Administration Information’ entitled “Certifications” for further information.

White Papers (pre-proposals) should not be submitted through the Grants.gov Apply process but rather should be sent directly to ONR. White paper submissions should be emailed directly to the appropriate ONR Program Officer.

For electronic submission of grant and cooperative agreement full proposals, there are several one-time actions that must be completed in order to submit an application through

Grants.gov. These include obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the Central Contract Registry (CCR), registering with the credential provider, and registering with Grants.gov. See [www.grants.gov](http://www.grants.gov), specifically [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted).

Use the Grants.gov Organization Registration Checklist at [http://www.grants.gov/applicants/register\\_your\\_organization.jsp](http://www.grants.gov/applicants/register_your_organization.jsp) which will provide guidance through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called 'MPIN' are important steps in the 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](http://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](mailto:support@grants.gov).

## **6. Address for the Submission of White Papers and Hard Copy Full Proposals**

All white papers should be emailed to the Technical Point of Contract at the email address: [matthew.swiergosz@navy.mil](mailto:matthew.swiergosz@navy.mil).

The submission of full proposals for grant and cooperative agreements is described in Section IV.5 above.

Hard copies of 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: LCDR Swiergosz, MSC USN  
ONR Department Code: 342  
875 North Randolph Street  
Arlington, VA 22203-1995

## **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 significantly 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, nonprofit organizations, and universities, 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. 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](http://www.onr.navy.mil/02/rep_cert.asp). This certification requirement is also applicable for other transaction agreement 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](http://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](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 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. 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](mailto: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](mailto: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.

### **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. 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.