



## **Electronics Technology**

### **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:**

**SPECIAL NOTICE:** 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. White Papers are not submitted via Grants.gov; instructions for White Papers are provided below in Section IV. 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.

Be advised that Grants.gov applicants have been experiencing system slowness and validation issues which may impact the time required to submit proposals. Due to a large increase in the volume of grant proposals received by the federal government, the Grants.gov portal is struggling to handle the number of proposals being submitted. In addition, after proposals are uploaded to Grants.gov, the applicant receives an e-mail indicating the proposal has been submitted and that Grants.gov will take up to two days to validate the proposal. Grants.gov may reject the proposal during the validation process. Therefore, applicants are strongly encouraged to submit their proposals electronically at least THREE days before the date and time proposals are due so that it will not be received late and be ineligible for award consideration. Early submission will allow an applicant time to submit its proposal to ONR through an alternative electronic method in the event the proposal is not accepted by Grants.gov. See the special notice on alternate submission under section IV.5 below in this BAA.

- 1. Agency Name - Office of Naval Research**
- 2. Research Opportunity Title - Electronics Technology**
- 3. Program Name - Electronics Discovery and Invention (D&I)**
- 4. Research Opportunity Number - 10-012**
- 5. Response Date –**

White Papers: 3/25/2010

## 6. Research Opportunity Description -

The Office of Naval Research (ONR 312) seeks highly innovative, game changing white papers for component technologies that aim to develop and demonstrate S&T (science and technologies) for future electromagnetic systems. The goal of the electronics applied research program is to develop and transition affordable, high performance electromagnetic technologies that will provide a decisive edge to the warfighter. The program encompasses applied research in digital, analog, microwave, millimeter wave and photonic technologies. The technologies proposed and their capabilities must clearly exceed those that are obtainable through Commercial-Off-the-Shelf (COTS) products in areas of performance including, but not limited to, power output, power efficiency, frequency, bandwidth (instantaneous and operating), linearity, dynamic range, agility, architecture enhancement, size and weight. All white papers must clearly show how and where the proposed effort diverges from current state of art and the impact if successful. The magnitude of the white paper's originality, innovation, and articulated potential for impact are all heavily weighted selection criteria. White papers should be proposed to address the main "Focus Area" or the "Areas of Additional Interest" as stated below.

6.1 Background: ONR 312 seeks to advance component technologies that enable the ability to simultaneously transmit and receive (STAR) over multiple octaves of carrier frequency through a common Radio Frequency (RF) aperture without time multiplexing. Future fielded STAR systems will consist of multiple subsystems and components, and be comprised of, for example: (A) a highly efficient (60%), low noise, high power (10's of watts) transmitter (TX) chain having the noise floor and all spurious signals at least 80 dB below the carrier, (B) a circulator and antenna; (C) a robust high dynamic range (20 dB above today's state of the art) receiver (RX) chain, tracking simultaneously potentially thousands of signals; and, (D) active cancelation and signal processing techniques that actively reduce the coupling between the TX and RX (15 dB beyond today's SOA) as an integral function of the set of components (A), (B) and (C). Proposed component solutions should be consistent with the ability to transmit and receive simultaneously multiple signals which are assumed to each range from continuous wave (CW) through 1 GHz in instantaneous bandwidth, arbitrarily located within the high frequency (HF) through at least C-band frequencies. Solutions that go to even higher frequencies are highly desirable. The stated goals for the transmitter chain including the efficiency, spurious response level, and the power metrics are assumed to be met simultaneously.

6.2 Focus Area: Component technologies toward simultaneous transmit and receive (STAR): Offerors shall propose innovative component technologies that will lead to STAR capabilities, for instance, technologies targeting significantly reduced cosite interference or better transmit/receive isolation. Offerors must clearly indicate where their proposed component technology will fit within the overall STAR architecture and how the proposed effort improves upon the current state of art, or provides a pathway toward meeting the metrics defined above. Offerors are not to propose an entire STAR system solution, but should propose the critically needed components and articulate how the components would contribute to future STAR system capabilities.

6.3 Additional areas of interest: ONR is also receptive to game-changing concepts in electronics technology areas that are outside the designated focus area but which can significantly impact the performance of Navy and Marine Corps electronic systems such as (but not limited to) the following:

6.3.1 Solid State Power Amplifiers: Provide for the development of solid state power amplifier technology for Navy all-weather radar, surveillance, reconnaissance, electronic attack, communications, and asymmetric warfare systems. Topics of interest include but are not restricted to the development of solid state devices and circuits using Wide Bandgap Group III-V material technologies to realize both high efficiency and high linearity broad band power amplifiers.

6.3.2 Supporting Technologies: Provide for the radiation, reception, signal control and processing of microwave (MW) and millimeter wave (MMW) power for Navy all-weather radar, surveillance,

reconnaissance, electronic attack (EA), communications, and asymmetric warfare systems. Innovative solutions are sought in the areas of band pass and extreme spur-free dynamic range analog-to-digital converters (ADCs); ultra high-efficiency, high power digital-to-analog converters (Power-DACs) based on distributed, noise shaping, and other techniques; extremely high speed logic and mixed signal devices; compact broadband isolators and circulators; frequency synthesizers; frequency channelizers; electrically small antennas; and agile and/or high power filters.

Work funded under a 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 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 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. As regards to the present BAA, the Research and Development efforts to be funded consist of applied research. The funds available to support awards are Budget Activity 2. Contracts and grants made under this BAA are for scientific study and experimentation directed towards advancing the state of the art and increasing knowledge or understanding.

## **7. Point(s) of Contact -**

Questions of a technical nature should be submitted to:

Primary Point of Contact:

Dr. Ingham A. Mack  
ONR Code: 312  
Electronics, Sensors, and Networks Research Division  
Office of Naval Research  
875 North Randolph Street - Suite 909  
Arlington, VA 22203-1995  
Email: [ingham.mack@navy.mil](mailto:ingham.mack@navy.mil)

Secondary Point of Contact:

Dr. Paul A. Maki  
ONR Code: 312  
Electronics, Sensors, and Networks Research Division  
Office of Naval Research  
875 North Randolph Street – Suite 907  
Arlington, VA 22203-1995  
Email: [paul.maki@navy.mil](mailto:paul.maki@navy.mil)

Questions of a business nature should be submitted to:

Primary Point of Contact:

Jennifer Williams  
ONR Code BD 0251  
Office of Naval Research  
875 North Randolph Street - Suite 1269A  
Arlington, VA 22203-1995  
Email: [jennifer.williams4@navy.mil](mailto:jennifer.williams4@navy.mil)

Secondary Point of Contact:

Vera M. Carroll  
ONR Code BD 0251  
Office of Naval Research - Suite 1279  
875 North Randolph Street  
Arlington, VA 22203-1995  
Email: [vera.carroll@navy.mil](mailto:vera.carroll@navy.mil)

Questions of a security nature should be submitted to:

Diana Pacheco  
Information Security Specialist  
Office of Naval Research  
Security Department, Code 43  
One Liberty Center  
875 N. Randolph Street  
Arlington, VA 22203-1995  
Email Address: [diana.pacheco@navy.mil](mailto:diana.pacheco@navy.mil)

**Note:** All UNCLASSIFIED communications shall be submitted via e-mail. All questions of an UNCLASSIFIED nature to the Technical Point of Contact (POC) shall be sent via e-mail with a copy to the designated Business POC.

CLASSIFIED questions shall be handled through the ONR Security POC. Specifically, any entity wanting to ask a CLASSIFIED question shall send an email to the ONR Security POC with a copy to both the Technical POC and the Business POC stating that the entity would like to ask a CLASSIFIED question. DO NOT EMAIL ANY CLASSIFIED QUESTIONS. The Security POC will contact the entity and arrange for the CLASSIFIED question to be asked through a secure method of communication.

Any questions regarding this solicitation must be provided to the Technical Point of Contact and Business Point of Contact listed in this solicitation. All questions shall be submitted in writing by electronic mail. Questions submitted within two (2) weeks prior to a deadline may not be answered, and the due date for submission of the white paper and/or full proposal will not be extended.

Answers to questions submitted in response to this BAA will be addressed in the form of an Amendment and will be posted to one or more of the following webpages:

- Federal Business Opportunities (FEDBIZOPPS) Webpage - <https://www.fbo.gov/>
- Grants.gov Webpage - <http://www.grants.gov/>
- ONR Broad Agency Announcement (BAA) Webpage - <http://www.onr.navy.mil/en/Contracts-Grants/Funding-Opportunities/Broad-Agency-Announcements.aspx>

## **8. Instrument Type(s) - Contracts and Grants**

Awards may take the form of Contracts and Grants as appropriate. ONR reserves the right to award a different instrument type if deemed to be in the best interest of the Government.

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

12.300

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

Basic & Applied Scientific Research

## 11. Other Information -

FAR Part 35 restricts the use of Broad Agency Announcements (BAAs), such as this, to the acquisition of basic and applied research and that portion of advanced technology development not related to the development of a specific system or hardware procurement. Contracts and grants and other assistance agreements made under BAAs are for scientific study and experimentation directed towards advancing the state of the art and 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 may vary depending on the research area and the technical approach to be pursued by the selected offeror.

Estimated Total Amount of Funding Available (\$K):

FY2011	FY2012	FY2013	FY2014	FY2015	Total
\$1000	\$1000	\$1000	\$0	\$0	\$3000

This BAA will only address funding opportunities for the Fiscal Year (FY) 2011 Electronics Discovery and Invention (D&I) Program.

The Office of Naval Research plans to make three (3) to four (4) 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 typically ranges from twelve (12) months to three (3) years. There will be no options. ONR anticipates a budget of approximately \$1,000,000 per year for the D&I Program. No funding under this BAA is anticipated in FY2011 for the Exploitation and Deployment (E&D) or Innovative Naval Prototype (INP) Programs. ONR plans to fund individual awards of \$200,000 to \$450,000 per year using Applied Research funds (Budget Activity 6.2). However, lower and higher cost proposals will be considered. The average funding level of past awards was approximately \$200,000 - \$500,000 per year.

ONR has funded related technology development under numerous programs. If Offerors are enhancing work performed under other ONR or DoD projects, they must clearly identify the point of departure and what existing work will be brought forward and what new work will be performed under this BAA. The award(s) will be made for the full performance period requested. Options will not be utilized.

## 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.

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. (See Section VII, Other Information)

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

##### **1. Application and Submission Process - White Paper, Oral Presentation, Full Proposals**

###### White Papers:

The due date for white papers is no later than 2:00 PM (EDT) on Thursday, 25 March 2010. White papers received after the published due date will not be considered for funding in FY 2011. Each white paper should state that it is submitted in response to this BAA.

The only acceptable methods for submission of white papers is via the United States Postal Service (USPS) with delivery confirmation, via a commercial carrier (FedEx and UPS) or hand delivered to the attention of Ms. Sheila Richardson (Primary) or Dr. Ingham Mack (secondary) at the address provided later in this BAA. NOTE: White Papers sent by fax or e-mail will not be considered.

Navy evaluations of the white papers will be issued via e-mail notification on or about 16 April 2010. An expanded oral presentation will be subsequently requested from those Offerors whose proposed technologies have been identified as being of "particular value" to the Navy. However, any such request does not assure a subsequent award. Any offeror whose white paper was not identified as being of "particular value" to the Navy is ineligible to submit a full proposal under the BAA.

###### Oral Presentation:

The purpose of the Oral Presentation is to better acquaint the Government with the offeror's proposal. Offerors whose white papers are selected for oral presentations will be invited via e-mail to the unclassified oral presentation event which is planned for Thursday, 13 May 2010. A detailed format for the presentation will be provided in the e-mail invitation. Each presentation will be no longer than twenty-five (25) minutes in duration. An additional five (5) minutes will be allowed for questions (if any) from the panel of government reviewers.

Navy evaluations of the oral presentations will be issued via e-mail notification on or about Friday, 28 May 2010. A full proposal will be subsequently encouraged from those offerors whose proposed technologies have been identified through the aforementioned e-mail. Any offeror whose oral presentation was not identified as being of "particular value" to the Navy is ineligible to submit a full proposal under the BAA.

Full Proposal Submission:

The due date for full proposals is no later than 2:00 PM (EDT) on Thursday, 18 June 2010. Full proposals received after the published due date will not be considered for funding in FY 2011.

The only acceptable methods for submission of full proposals for contracts is via the United States Postal Service (USPS) with delivery confirmation, via a commercial carrier (FedEx and UPS) or hand delivered to the attention of Ms. Sheila Richardson (Primary) or Dr. Ingham Mack (secondary) at the address provided later in this BAA. The method for submission of grant proposals is electronically through the grants.gov web site as described below in Section IV.5. NOTE: Full Proposals sent by email or fax will not be considered. Delivery of materials by USPS, even when sent as Express Mail, may take a week or more due to current security procedures in place to ensure the safety of U.S. mail to DoD activities.

Notice of Navy selections based on the full proposal submissions will be issued via e-mail on or about Friday, 02 July 2010.

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

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

Unclassified White Paper and Full Proposal Instructions:

Unclassified White Papers and Full Proposals shall be submitted in accordance with Section IV. Application and Submission Information.

Although classified White Papers and Full Proposals are not expected, if the technology warrants that a classified White Paper or Full Proposal be submitted, offerors must follow the instructions noted below.

Classified White Paper and Full Proposal Instructions:

Classified White Papers and Full Proposals shall be submitted directly to the attention of ONR's Document Control Unit at the following address:

OUTSIDE ENVELOPE (no classification marking):  
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 Bob Hintz ([robert.hintz@navy.mil](mailto:robert.hintz@navy.mil)), ONR Code 312 and marked in the following manner:

INNER ENVELOPE (stamped with the overall classification of the material)

Program: Electronics Discovery and Invention (D&I)  
Office of Naval Research  
Attn: Ingham A.. Mack  
ONR Code: 312  
875 North Randolph Street

Arlington, VA 22203-1995

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 full 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. As noted in Paragraph 5 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/>.

## **WHITE PAPERS**

### **White Paper Format**

- Paper Size - 8.5 x 11 inch paper
- Margins - 1 inch
- Spacing - single spaced
- Font - Times New Roman, 12 point
- Max. Number of Pages permitted: seven (7) pages (excluding cover page, resumes, bibliographies, and table of contents)
- Format - one (1) original, plus five (5) hard copies and one (1) electronic copy in Adobe PDF format on CD-ROM

### **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. The technical section must address the following:
  1. Technical objective
  2. Technical approach
  3. Deliverables
  4. Recent technical breakthroughs that will reduce risk
  5. Innovation, relevance, and transition potential to Navy and the Marine Corps systems
  6. Expected operational performance improvements
  7. Proprietary aspects of the project and any assertions of data rights applicable to the results of this effort
  8. Cost and schedule section must include a summary of costs segregated by each task with a statement made under each task; and a summary of costs segregated by cost category and should include a table with all costs summarized in thousands of dollars (by government fiscal year) as shown in the following example:

FY 2011	FY 2012	FY 2013	Total
\$100K	\$100K	\$100K	\$300K

9. Curriculum Vitae (CV) of the primary investigator and any co-investigators; and past



performance on similar programs. This section must not exceed one (1) page - resumes not included in page count.

- **Operational Naval Concept:** A description of the project objectives, the concept of operation for the new capabilities to be delivered, and the expected operational performance improvements.

## **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-spaced
- Font - Times New Roman, 12 point
- Number of Pages - The Technical Volume (Vol. 1) shall not exceed more than 30 pages. The cover page, proposal checklist, table of contents, personnel resumes, and bibliographies shall not be included in the page limit. Full Proposals exceeding the page limit may not be evaluated. There are no page limitations to the Cost Proposal, Volume 2.
- Format - one (1) original plus 5 hard copies and one (1) electronic copy in MS Word and Adobe PDF (2 files total) on CD-ROM. If a grant is sought, the full proposal shall be submitted electronically on Standard Form 424 (R&R) at <http://www.grants.gov/> as delineated below.

## **Full Proposal Content**

### **Volume 1: Technical Proposal (Contracts)**

- **Cover Page:** This should include the words "Technical Proposal" and the following:
  1. BAA number 10-012;
  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.
- **Proposal Checklist:** To assist Offerors in the development and submission of their proposals in response to this BAA, a Proposal Checklist for Contracts, Grants, Cooperative Agreements and Other Transactions has been uploaded as an attachment. Offerors should print and complete the checklist to ensure that all required actions have been taken and information included prior to proposal submission. Inclusion of the completed checklist as the first page of your Volume I, Technical Proposal, will assist in proposal evaluation and may shorten the time it takes to make an award.
- **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. Limit the number of pages for this section to 4.

Submission of the SOW without restrictive markings is your company's affirmation that the SOW is non-proprietary and releasable in response to Freedom of Information Act (FOIA) requests.

- **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. Limit the number of pages for this section to 8.
  - **Operational Naval Concept:** A description of the project objectives, the concept of operation for the new capabilities to be delivered, and the expected operational performance improvements.
- **Project Schedule and Milestones:** A summary of the schedule of events and milestones. Limit the number of pages for this section to 1.
- **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/VDFARA.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. Limit the number of pages for this section to 1.

If it is determined that data rights are not applicable, indicate no assertions are being made in the proposal submission.

- **Deliverables/Reports:** The following are sample deliverables that are typically required under a research effort:

- Detailed Technical Data
- Technical and Financial Progress Reports
- Presentation Materials
- Other Documentation or Reports, as required
- 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. Include the timeframe in which they will be delivered. Limit the number of pages for this section to 1.

- **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. Limit the number of pages for this section to 5.
- **Current and Pending Project and Proposal Submissions:** Offerors are required to provide information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing contracts, grants, and other assistance agreements. Offerors shall provide the following information on any related proposal submissions to funding sources (e.g., ONR, Federal, State, local or foreign government agencies, public or private

foundations, industrial or other commercial organizations).

The information must be provided for all proposals already submitted or submitted concurrently to other possible sponsors, including ONR. Concurrent submission of a proposal to other organizations will not prejudice its review by ONR:

- 1) Title of Proposal and Summary;
  - 2) Source and amount of funding (annual direct costs; provide contract and/or grant numbers for current contracts/grants);
  - 3) Percentage effort devoted to each project;
  - 4) Identity of prime Offeror and complete list of subcontractors, if applicable;
  - 5) Technical contact (name, address, phone/fax, electronic mail address)
  - 6) Administrative/business contact (name, address, phone/fax, electronic mail address);
  - 7) Duration of effort (differentiate basic effort);
  - 8) The proposed project and all other projects or activities requiring a portion of time of the Principal Investigator and other senior personnel must be included, even if they receive no salary support from the project(s);
  - 9) The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months or labor hours per year to be devoted to the project, regardless of source of support; and
  - 10) State how projects are related to the proposed effort and indicate degree of overlap.
- Limit the number of pages for this section to 5.

- **Qualifications:** A discussion of the qualifications of the proposed Principal Investigator and any other key personnel. Include resumes for the Principal Investigator and other key personnel and full curricula vitae for consultants. The resumes and curricula vitae shall be attached to the proposal and will not count toward the page limitations. Limit the number of pages for this section to 4.
- **Other Requirements:** Executive Summary: Summarize the technology you are proposing and the expected improvements to the Navy. Limit the number of pages for this section to 1.

## **VOLUME 2: Cost Proposal (Contracts)**

The following information is provided to assist contractors in preparing and submitting an adequate and compliant cost proposal. The purpose of the submission of other than cost or pricing data is to enable Government personnel to perform cost or price analysis and ultimately negotiate a fair and reasonable cost. Offerors are reminded that the responsibility for providing adequate supporting data and attachments lies solely with the offeror. Further, the offeror must also bear the burden of proof in establishing reasonableness of proposed costs; therefore, it is in the contractor's best interest to submit a fully supportable and well-prepared cost proposal. The basis and rationale for all proposed costs should be provided as part of the proposal so that Government personnel can place reliance on the information as current, complete and accurate. Further, FAR 15.403-4 sets forth those circumstances in which offerors are required to submit certified cost or pricing data.

Although not required and provided for informational purposes only, using the cost proposal format spreadsheet (spreadsheet.xls) that is an attachment to this document and the accompanying instructions (spreadsheetinstructions.doc) as the basis of the cost proposal may **significantly decrease** the time required to review and award proposals submitted in response to this announcement.

For pricing purposes, assume that performance will start no earlier than six (6) months after submission of the 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 Government fiscal year and task/sub-task corresponding to the task numbers in the proposed Statement of Work.

**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 10-012
- 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

**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 – The proposed travel cost should include the following for each trip: the purpose of the trip, origin and destination if known, approximate 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/Interorganizational Transfers – A cost proposal as detailed as the Offeror's cost proposal will be required to be submitted by all proposed subcontractors and for all interorganizational transfers. For subcontracts or interorganizational transfers over \$100,000, the subcontract proposal, along with supporting documentation, must be provided either in a sealed envelope with the prime's proposal or via email directly to both the Program Officer and the Business Point of Contact at the same time the prime proposal is submitted. The e-mail should identify the proposal title, the prime Offeror and that the attached proposal is a subcontract, and should include a description of the effort to be performed by the subcontractor. A proposal and supporting documentation must be received and reviewed before the Government can complete its cost analysis of the proposal and enter negotiations. The prime contractor should perform and provide a cost/price analysis of each subcontractor's cost proposal.\* Offerors are required to obtain competition to the maximum extent practicable when selecting subcontractors or interorganizational transfers; if the offeror has obtained competitive quotes, copies should be provided. If the Offeror has selected other than the low bid for inclusion in their proposal or intends to award the subcontract/interorganizational transfer on a sole-source basis, the offeror should provide rationale for their decision. Certified cost or pricing data may be required for subcontractor proposals over \$650,000.

**Note:** Federal Acquisition Regulation (FAR) provisions 52.215-22 and 52.215-23 are 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 total cost of the work to be performed by the offeror and the total cost of the work to be performed by each subcontractor. If more than 70 percent of the total cost of the work will be performed by subcontractors, the offeror must include the additional information required by the above-cited clauses.

- 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 rate/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 for each year including quantities, unit prices, proposed vendors (if known), and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). If the total cost for materials and supplies exceeds \$100,000 per year, then select a sample of the items proposed and provide catalog price lists/quotes/prior purchase orders to support the price for the items in the sample. All items with a unit price over \$10,000, regardless of the total cost for materials and supplies, must be supported with a copy of catalog price lists/quotes/prior purchase orders.
- 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 including: 1) a very specific description of any equipment/hardware that it needs to acquire to perform the work, 2) whether or not each particular piece of equipment/hardware will be included as part of a deliverable item under the resulting award, and 3) the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). The 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 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.
- 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).
- 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.

### **Volume 1: Technical Proposal (Grants)**

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/>. The following information must be completed as follows in the SF 424 to ensure that the application is directed to the correct individual for review: Block 4a, Federal Identifier: Enter the previous ONR award number, or N00014 if the application is not a renewal or expansion of an existing award; Block 4b, Agency Routing Number, Enter the three (3) digit Program Office Code (i.e., 331) and the Program Officer's name, last name first, in brackets (i.e., [Shifler, David]).

### **Full Proposal Format - Volume 1 - Technical and Volume 2 - Cost Proposal**

- Paper Size - 8.5 x 11 inch paper
- Margins - 1 inch
- Spacing - single-spaced
- Font - Times New Roman, 12 point
- Number of Pages - The Technical Volume (Vol. 1) shall not exceed more than 30 pages. The cover page, proposal checklist, table of contents, personnel resumes, and bibliographies shall not be included in the page limit. Full Proposals exceeding the page limit may not be evaluated. There are no page limitations to the Cost Proposal, Volume 2.
- The full proposal shall be submitted electronically at <http://www.grants.gov/> as delineated below.

## **Volume 1: Technical Proposal**

- **Cover Page:** This should include the words "Technical Proposal" and the following:
  1. BAA Number 10-012;
  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
- **Proposal Checklist:** To assist Offerors in the development and submission of their proposals in response to this BAA, a Proposal Checklist for Contracts, Grants, Cooperative Agreements and Other Transactions has been uploaded as an attachment. Offerors should print and complete the checklist to ensure that all required actions have been taken and information included prior to proposal submission. Inclusion of the completed checklist as the first page of your Volume I, Technical Proposal, will assist in proposal evaluation and may shorten the time it takes to make an award.
- **Table of Contents:** An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.
- **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. Include in this section:
  - **Operational Naval Concept:** A description of the project objectives, the concept of operation for the new capabilities to be delivered, and the expected operational performance improvements.

Limit the number of pages for this section to 13.

- **Project Schedule and Milestones:** A summary of the schedule of events and milestones. Limit the number of pages for this section to 1.
- **Reports:** The following are sample reports that are typically required under a research effort:
  - Technical and Financial Progress Reports
  - Presentation Materials
  - Other Documentation or Reports, as required
  - Final Report

Additional data deliverables may be proposed and finalized during negotiations. Grants do not include the delivery of software, prototypes, and other hardware deliverables. Limit the number of pages for this section to 1.

- **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. Limit the number of pages for this section to 5.

- **Current and Pending Project and Proposal Submissions:** Offerors are required to provide information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing contracts, grants, and other assistance agreements. Offerors shall provide the following information on any related proposal submissions to funding sources (e.g., ONR, Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations).

The information must be provided for all proposals already submitted or submitted concurrently to other possible sponsors, including ONR. Concurrent submission of a proposal to other organizations will not prejudice its review by ONR:

- 1) Title of Proposal and Summary;
- 2) Source and amount of funding (annual direct costs; provide contract and/or grant numbers for current contracts/grants);
- 3) Percentage effort devoted to each project;
- 4) Identity of prime Offeror and complete list of subcontractors, if applicable;
- 5) Technical contact (name, address, phone/fax, electronic mail address)
- 6) Administrative/business contact (name, address, phone/fax, electronic mail address);
- 7) Duration of effort (differentiate basic effort);
- 8) The proposed project and all other projects or activities requiring a portion of time of the Principal Investigator and other senior personnel must be included, even if they receive no salary support from the project(s);
- 9) The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months or labor hours per year to be devoted to the project, regardless of source of support; and
- 10) State how projects are related to the proposed effort and indicate degree of overlap.

Limit the number of pages for this section to 5.

- **Qualifications:** A discussion of the qualifications of the proposed Principal Investigator and any other key personnel. Include resumes for the Principal Investigator and other key personnel and full curricula vitae for consultants. The resumes and curricula vitae shall be attached to the proposal and will not count toward the page limitations. Limit the number of pages for this section to 4.
- **Other Requirements:** Executive Summary: Summarize the technology you are proposing and the expected improvements to the Navy. Limit the number of pages for this section to 1.

## **VOLUME 2: Budget**

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/>. If options are proposed, the cost proposal must provide the pricing information for the option periods; failure to include the proposed costs for the option periods will result in the options not being included in the award. Assume that performance will start no earlier than three (3) months after the date the cost proposal is submitted. A separate Adobe .pdf document should be included in the application that provides appropriate justification and/or supporting documentation for each element of cost proposed.

**Part 1:** The itemized budget must include the following:

- **Direct Labor** – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates. Provide escalation rates for out years.

Administrative and clerical labor – Salaries of administrative and clerical staff are normally indirect costs (and included in an indirect cost rate). Direct charging of these costs may be

appropriate when a major project requires an extensive amount of administrative or clerical support significantly greater than normal and routine levels of support. Budgets proposing direct charging of administrative or clerical salaries must be supported with a budget justification which adequately describes the major project and the administrative and/or clerical work to be performed.

- Fringe Benefits and Indirect Costs (i.e., F&A, Overhead, G&A, etc) – The proposal should show the rates and calculation of the costs for each rate category. If the rates have been approved/negotiated by a Government agency, provide a copy of the memorandum/agreement. If the rates have not been approved/negotiated, provide sufficient detail to enable a determination of allowability, allocability and reasonableness of the allocation bases, and how the rates are calculated. Additional information may be requested, if needed. 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 if known, approximate 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.
- Subawards – Provide a description of the work to be performed by the subrecipients. For each subaward, a detailed cost proposal is required to be submitted by the subrecipient(s). Fee/profit is unallowable. The subawardee's or subrecipient's cost proposal can be provided in a sealed envelope with the recipient's cost proposal or via e-mail directly to both the Program Officer and the business point of contact at the same time the prime proposal is submitted. The e-mail should identify the proposal title, the prime Offeror and that the attached proposal is a subcontract. A proposal and supporting documentation must be received and reviewed before the Government can complete its cost analysis of the proposal and enter negotiations.
- 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 rate/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).
- 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). Allowable items normally would be limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, office equipment and furnishings, etc.) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.
- 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 estimate (e.g., quotes, prior purchases, catalog price lists).
- Fee/Profit – Fee/profit is unallowable under grants.

**Part 2:** Cost breakdown by Government fiscal year and task/sub-task corresponding to the same task breakdown in the proposed Statement of Work.



### 3. Significant Dates and Times –

Event	Date	Time
White Paper Due Date	3/25/2010	2:00 PM Eastern Daylight Time (EDT)
Notification of White Paper Evaluation*	4/16/2010	
Oral Presentations*	5/13/2010	
Notification of Oral Presentation Evaluation*	5/28/2010	
Full Proposal Due Date	6/18/2010	2:00 PM Eastern Daylight Time (EDT)
Notification of Selection: Full Proposals*	7/2/2010	
Awards*	12/15/2010	

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

**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. Materials submitted through the U.S. Postal Service, for example, may take seven days or more to be received, even when sent by Express Mail. Thus any hard-copy proposal should be submitted long enough 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 Proposals through Grants.gov

(NOT APPLICABLE TO PROPOSALS FOR CONTRACTS)

The offeror must use the Grants.gov forms from the application package template associated with the BAA on the Grants.gov web site. To be considered for award, Applicants must fill out Block 4 of the SF 424 R&R as follows: Block 4a, Federal Identifier, for new awards, enter N00014; if the application is a renewal or expansion of an existing award, enter the previous ONR award number; Block 4b, Agency Routing Number, Enter the three (3) digit Program Office Code (i.e., 331) and, if known, the Program Officer's name, last name first, in brackets (i.e., [Shifler, David]). Applicants who fail to provide a Department code identifier may receive a notice that their proposal will be rejected. Offerors should plan to submit grants.gov applications early in order to receive and respond to notification or rejection e-mails from grants.gov prior to the due date of full proposals.

Detailed instructions entitled "Grants.Gov Electronic Application and Submission Information" on how to submit a Grant 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)

White Papers should not be submitted through the Grants.gov Apply process but rather should be sent hard copy directly to ONR as explained earlier in this BAA.

By completing Block 17 of the SF 424 R&R 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 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 (E-Biz 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. 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).

#### **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. Proposals with attachments submitted in word processing, spreadsheet, or any format other than Adobe Portable Document Format will not be considered for award.

#### **Special Notice for Waiver:**

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. 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 listed in Section I, Item 7 above. Such

request can be sent by registered mail or email. 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.

Special Notice on Alternate Submission:

The following alternative to submitting proposals to the Grants.gov website is provided for use under this BAA. Proposals using the alternative submission process will be accepted only if Grants.gov is not accepting the proposal and the offeror has called the Grants.gov helpline and received a case ticket number. If Grants.gov has not within two days by return email validated your proposal submission, call Grants.gov (1-800-518-4726) to obtain a case ticket number. An email from Grants.gov indicating rejection of the grant proposal will not be accepted in place of a Grants.gov case ticket number.

a. Upload the proposal using the form on the following website:

<http://onroutside.onr.navy.mil/asprocessor/BAAPE/>

b. Use this form to upload your grant proposal directly to the Office of Naval Research. All fields in the form are required to be completed, including the assigned Grants.gov case ticket number. Your completed package should also include a signed, scanned proposal cover sheet with the signature of your authorized organizational representative as part of the 'Attachments Form'. Submit one file per proposal in PDF format. DO NOT submit any parts of the proposal separately. Technical proposals, endorsements, etc. should be on the Grants.gov ATTACHMENTS form.

c. Use the naming convention below for all uploaded proposals.

\*Convention: (ONRBAA09-XXX\_Topic\_LeadPI\_University.pdf)

\*Example: ONRBAA09-012\_NOPP\_MSMITH\_UNIVRESEARCH.PDF

d. Once a document has been submitted, a "Thank You" page will appear and an email will be sent to the address provided. If you do not receive an email confirmation, your file has not been properly received. You should immediately contact the business point of contact listed in the BAA.

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

Hard copies of White Papers for Contracts and Grants should be sent to the Office of Naval Research at the following address:

<b>Primary Contact</b>	<b>Secondary Contact</b>
Office of Naval Research Attn: Ms. Sheila Richardson Suite W1105D ONR Department Code: 312 875 North Randolph Street Arlington, VA 22203-1995 Telephone: (703) 696-0113	Office of Naval Research Attn: Dr. Ingham Mack Suite 909 ONR Department Code: 312 875 North Randolph Street Arlington, VA 22203-1995 Telephone: (703) 696-4825

Hard copies of Full Proposals for Contracts should be sent to the Office of Naval Research at the same address. Full Proposals for grants must be submitted through Grants.gov.

**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

- a. Degree of innovation
- b. Soundness of the technical concept
- c. Offeror's awareness of the state of the art and understanding of the scope of the problem, technical risk, and the technical effort needed to address the problem.
2. Naval relevance, transition potential and anticipated contributions of the proposed technology.
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 objectives.
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 other than small 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.

## **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/Contracts-Grants/submit-proposal/proposal-credentials.aspx>
- 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

For contracts, in accordance with FAR 4.1201, prospective contractors shall complete and submit

electronic annual representations and certifications at <https://orca.bpn.gov>. In addition to completing the Online Representations and Certifications Application (ORCA), proposals must be accompanied with a completed ONR contract specific representations and certifications. These "ONR 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/Contracts-Grants/submit-proposal/contracts-proposal.aspx>.

## Grants

Grant 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](https://www.grants.gov) (complete Block 17). 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 sub awards at all tiers (including sub contracts, sub grants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients 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 not through Grants.gov:

Proposers seeking grants who have received [Grants.gov](https://www.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/Contracts-Grants/submit-proposal/grants-proposal.aspx>

## **VII. OTHER INFORMATION**

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

Government research facilities and operational military units may be 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. Normally, work under a grant does not require access to classified material.

Normally, work under a grant does not require access to classified material.

## **3. Use of Animals and Human Subjects in Research**

Reserved.

## **4. Recombinant DNA**

Reserved.

## **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 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. Organizational Conflicts of Interest**

All Offerors and proposed subcontractors must affirm whether they are providing scientific, engineering, and technical assistance (SETA) or similar support to any ONR technical office(s) through an active contract or subcontract. All affirmations must state which office(s) the offeror supports and identify the prime contract numbers. Affirmations shall be furnished at the time of proposal submission. All facts relevant to the existence or potential existence of organizational conflicts of interest (FAR 9.5) must be disclosed. The disclosure shall include a description of the action the offeror has taken or proposes to take to avoid, neutralize, or mitigate such conflict. In accordance with FAR 9.503 and without prior approval, a contractor cannot simultaneously be a SETA and a research and development performer. Proposals that fail to fully disclose potential conflicts of interests or do not have acceptable plans to mitigate identified conflicts will be rejected without technical evaluation and withdrawn from further consideration for award. If a prospective offeror believes that any conflict of interest exists or may exist (whether organizational or otherwise), the offeror should promptly raise the issue with ONR by sending his/her contact information and a summary of the potential conflict by e-mail to the Business Point of Contact in Section I, item 7 above, before time and effort are expended in preparing a proposal and mitigation plan. If, in the sole opinion of the Government after full consideration of the circumstances, any conflict situation cannot be effectively avoided or mitigated, the proposal may be rejected without technical evaluation and withdrawn from further consideration for award under this BAA.

## **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 the Office of Naval Research in 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.

At a minimum, the Offeror should plan to present a progress briefing annually (during each government fiscal year that the project receives funding) at the ONR Electronics Gathering held each spring in the Arlington, VA area.

#### **8. Other Guidance, Instructions, and Information**

Reserved.