



## **FY11 Communications and Networking Discovery and Invention**

### **INTRODUCTION:**

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

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

### **I. GENERAL INFORMATION:**

**1. Agency Name** - Office of Naval Research

**2. Research Opportunity Title** - FY11 Communications and Networking Discovery and Invention (D&I)

**3. Program Name** - Communications and Networking Discovery and Invention (D&I)

**4. Research Opportunity Number** - 10-014

**5. Response Date** –

White Papers: 4/5/2010

Full Proposals: 6/30/2010

**6. Research Opportunity Description** -

Communications technology that can provide seamless, robust, connectivity is at the foundation of the Sea Power 21 and FORCEnet Vision "... to have the right information, at the right place, at the right time ...". The performance of Command and Control (C2) systems and decision making at all levels of command depend critically on reliable, interoperable, survivable, secure and timely communications and networking, and the availability of high capacity multimedia (voice, data, imagery) communication networks is fundamental to nearly all Department of Navy (DoN) missions.

The current evolution of naval war fighting from a platform-centric to a network-centric paradigm depends on successfully meeting the implied need for significantly enhanced communications and networking capabilities of C2, sensor and weapon systems. These systems are deployed on a variety of platforms and users, both manned and unmanned, operating under challenging battlefield conditions (lack of infrastructure, mobility, spectrum, interference, multipath, atmospheric, size/weight/power constraint, etc.) in different environments (space, terrestrial and undersea).

Goal: The goal of the Communications and Networking Program within the Office of Naval Research (ONR) Code 312 is to support the FORCEnet vision by developing measurable advances in technology that can directly enable and enhance end-to-end connectivity and quality-of-service for mission-critical information exchange among such widely dispersed naval, joint and coalition forces. The vision is to provide high throughput robust communications and networking to ensure all warfighters - from the operational command to the tactical edge - have access to information, knowledge, and decision-making necessary to perform their assigned tasks.

Objective and Areas of Interest: White papers for potential FY11 Exploratory Development/Applied Research (Budget category 6.2) projects are sought under the following focus areas:

1. Metamaterials and metastructures for phased arrays (UHF, C and X bands), electrically small antennas (VLF to VHF) and parabolic reflector dish beam shaping (relevant SATCOM bands);
2. Advanced low complexity blind beam forming and jammer nulling algorithms/techniques;
3. Low-intercept and anti-jam tactical data link waveforms/networks with high throughput, scalability and low latency;
4. Alternatives to traditional satellite communications and network architectures for on-demand reach back; and
5. Predictive algorithms, models and tools for inferential network, as well as communication link, monitoring (such as recognize electronic attack on communication systems, etc.).
6. Novel concepts for software-defined antenna technologies (multi-resonant over wide bandwidths etc.).

ONR is also receptive to highly innovative ideas in other general communications and networking areas that are not designated focus as above, but nonetheless important to Navy/Marine Corps, as determined under the synopsis section above.

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 or by industry. 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. As regards 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 Technical Point of Contact:

Dr. Santanu Das  
ONR Code 312 - Communications and Networking Science and Technology Program Officer  
Office of Naval Research  
875 North Randolph Street - Suite 1115  
Arlington, VA 22203-1995  
Email: [santanu.das@navy.mil](mailto:santanu.das@navy.mil)

Secondary Technical Point of Contact:

Ms. Sheila Richardson  
ONR Code 312 - Communications and Networking Science and Technology Program Officer  
Office of Naval Research  
875 North Randolph Street - Suite W1105D  
Arlington, VA 22203-1995  
Email: [sheila.richardson@navy.mil](mailto:sheila.richardson@navy.mil)

Questions of a business nature should be submitted to:

Primary Business Point of Contact:

Ms. Kenesha Hargrave  
Office of Naval Research  
875 North Randolph Street - Suite W1273  
Code 0251  
Arlington, VA 22203-1995  
Email: [kenehsa.y.hargrave@navy.mil](mailto:kenehsa.y.hargrave@navy.mil)

Secondary Business Point of Contact:

Vera M. Carroll  
Office of Naval Research  
875 North Randolph Street - Suite 1279  
Code: 251  
Arlington, VA 22203-1995  
Email: [vera.carroll@navy.mil](mailto:vera.carroll@navy.mil)

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 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>

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)

Any 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 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.

**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 –**

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 and grants 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):

<b>FY2011</b>	<b>FY2012</b>	<b>FY2013</b>	<b>FY2014</b>	<b>FY2015</b>	<b>Total</b>
<b>\$2,000</b>	<b>\$2,000</b>	<b>\$2,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$2000</b>

The Office of Naval Research (ONR) plans to award multiple technology development contracts (particularly cost plus fixed fee (CPFF) type contracts) and grants 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 research topics.

ONR anticipates an annual budget of approximately \$2,000,000 for this program. ONR plans to fund \$300,000 to \$500,000 per year per award using Applied Research funds (Budget Category 6.2). However, lower and higher cost proposals will be considered. The average funding level of past awards was approximately \$500,000 per year. The period of performance for projects may be from one to three years, with an estimated start date of 02 November 2010, subject to date of final award and availability of new fiscal year funds.

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.

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

#### **1. Application and Submission Process - White Papers, Oral Presentations, Full Proposals**

##### White Papers:

The due date for white papers is no later than 4:00 PM Eastern Daylight Time (EDT) on Monday, April 5<sup>th</sup>, 2010. White papers are required prior to submitting full proposals. Each white paper should state that it is submitted in response to this BAA. White papers received after the published due date and time will not be considered for funding.

The only acceptable methods for submission of white papers are hard copy to the primary technical point of contact (Dr. Das) by the United States Postal Service (USPS) with delivery confirmation, or via a commercial carrier (FedEx, DHL, and UPS). **NOTE: White Papers sent by e-mail or fax will not be considered.** Delivery of materials by USPS, even when sent as Express Mail, may take up to a week or more due to current security procedures in place to ensure the safety of U.S. mail to DoD activities. Initial Navy evaluations of the white papers will be issued via e-mail notification on or about Friday, 16 April 2010. An expanded oral presentation will be subsequently requested from those Offerors whose proposed technologies have been identified through the aforementioned e-mail as being of "particular value" to the Navy. However, a positive e-mail response to the white paper from ONR does not assure a subsequent award. Offerors whose white papers are not judged to be of "particular value" to the Navy may not participate in an oral presentation or submit a final proposal under this BAA.

### Oral Presentation:

The purpose of the oral presentation is to better acquaint the Government with the Offeror's proposal, especially in its understanding of the technical approach and impact. Offerors whose white papers are selected for oral presentations will be invited by e-mail no less than ten (10) working days before the scheduled event. The oral presentations are tentatively scheduled for Thursday, 06 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.

Following oral presentations, Offerors will be notified by e-mail regarding the Navy's response to their oral presentations. Those Offerors whose technology is still considered as having "particular value" to the Navy will be encouraged to submit detailed technical and cost proposals. However, such encouragement after oral presentations does not assure a subsequent award. If the Offeror receives notification that its technology is not considered at this point as having "particular value" to the Navy, it cannot submit a full proposal. Evaluation of oral presentations and subsequent encouragement to submit full proposals will be completed on or about Friday, 04 June 2010.

### Full Proposal Submission:

The due date for receipt of Full Proposals is 4:00 p.m. Eastern Daylight Time (EDT) on Wednesday, 30 June 2010. The only acceptable method for submission of full proposals for contracts is hard copy to the technical point of contact (Dr. Das) by the United States Postal Service (USPS) with delivery confirmation, or via a commercial carrier (FedEx and UPS). 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.

ONR will select the efforts to be funded for FY11 start-up contingent upon the quality and completeness of the proposal and the level of available funding. It is anticipated that final selections will be made within thirty (30) days after proposal submission. As soon as the final proposal evaluation process is completed, the Offeror will be notified via e-mail of its project's selection or non-selection for FY11 funding. Proposals received after the published due date and time will not be considered for funding. Proposals exceeding the page limit may not be evaluated.

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

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

### Unclassified Proposal Instructions:

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

### Classified 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 Dr. Santanu Das ([santanu.das@navy.mil](mailto:santanu.das@navy.mil)), ONR Code 312 and marked in the following manner:

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

Program: FY11 Communications and Networking Discovery & Invention  
Office of Naval Research  
Attn: Dr. Santanu Das  
ONR Code: 312  
875 North Randolph Street – Suite 1115  
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: Six (6) pages (excluding cover page, resumes, bibliographies, and table of contents)
- Format - one (1) original, plus three (3) 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. There is considerable freedom to formulate the main body of the white paper (not to exceed five (5) pages) as the Offeror sees fit. Here is some general guidance on what may be included in the technical concept: a description of the project objectives, problem being solved, technical approach, what's new, relevance to Navy and the Marine Corps, the

concept of operation for the new capabilities to be delivered and the expected operational performance improvements, a plan for demonstrating and evaluating the operational effectiveness of the Offeror's product in laboratory or simulated environment including evaluation metrics, transition potential to Navy communications networks, proprietary aspects of the project and any assertions of data rights applicable to the results of this effort.

- **Cost Estimate:** Cost information is needed, although not at the level of detail as required with the full proposal. White paper submissions shall include a cost summary showing requested funding per year. The cost summary (not to exceed one (1) page) shall be segregated by both task and year (over the period of performance (i.e., 1, 2 or 3 years).

## **FULL PROPOSALS (CONTRACTS)**

### **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 twenty-eight (28) pages. The cover page, proposal checklist, table of contents, current and pending project and proposal submissions, 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 3 hard copies and one (1) electronic copy in MS Word and one (1) electronic copy in 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**

- **Cover Page:** This should include the words "Technical Proposal" and the following:
  1. BAA number 10-014;
  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);
  6. Proposed period of performance (awards will be made without options); and
  7. Signature of Authorized Representative.
- **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 5.

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 12.
  - **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.
  - **Operational Utility Assessment Plan:** A plan for demonstrating and evaluating the operational effectiveness of the Offeror's proposed products or processes in field experiments and/or tests in a simulated environment.
- **Project Schedule and Milestones:** A summary of the schedule of events and milestones. 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.

- **Deliverables/Reports:** A detailed list of reports and any proposed hardware, software or prototypes, inclusive of the timeframe in which they will be delivered.

The following are sample 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. 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 of any related proposal submissions from whatever 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.

- **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 3.

## **VOLUME 2: Cost Proposal**

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 (2) 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 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 10-014
- 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
- Proposed period of performance (Awards will be made without options).

**Part 1** - Detailed breakdown of all costs by cost category by calendar or Government fiscal year:

- Direct Labor - Individual labor categories or persons, with associated labor hours and unburdened direct labor rates. Provide escalation rates for out years.
- Indirect Costs - Fringe Benefits, Overhead, G&A, COM, etc. and their applicable allocation bases. If composite rates are used, provide the calculations used in deriving the composite rates.
- Travel - 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 organization's 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 principles.
- 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 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, 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 its proposal or intends to award the subcontract/interorganizational transfer on a sole-source basis, the offeror should provide rationale for its 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 allow ability 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 Directs 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 Government fiscal year and task/sub-task corresponding to the same task breakdown in the proposed Statement of Work.

### **Full 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 twenty-seven (27) 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.

## **Full Proposal Content**

### **Volume 1: Technical Proposal**

- **Cover Page:** This should include the words "Technical Proposal" and the following:
  1. BAA number 10-014;
  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);
  6. Proposed period of performance (awards will be made without options); and
  7. Signature of Authorized Representative.
- **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. The proposal checklist is not included in the page count.
- **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. Limit the number of pages for this section to 12.
  - **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.
  - **Operational Utility Assessment Plan:** A plan for demonstrating and evaluating the operational effectiveness of the Offeror's proposed products or processes in field experiments and/or tests in a simulated environment.
- **Project Schedule and Milestones:** A summary of the schedule of events and milestones. Limit the number of pages for this section to 1.
- **Reports:**

The following are sample data deliverables that are typically required under a research effort:

  - Technical and Financial Progress Reports
  - Final Report

**Grants do not include the delivery of software, prototypes, or 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 of any related proposal submissions from whatever 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.

- **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 3.

## **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 –**

<b>Event</b>	<b>Date</b>	<b>Time</b>
White Paper Due Date	4/5/2010	4:00 PM Eastern Daylight Time Zone
Notification of White Paper Evaluation*	4/16/2010	
Oral Presentations*	5/6/2010	
Notification of Oral Presentation Evaluation*	6/4/2010	
Full Proposal Due Date	6/30/2010	4:00 PM Eastern Daylight Time Zone
Notification of Selection: Full Proposals*	7/30/2010	
Awards*	10/29/2010	

*\*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/aspprocessor/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 for Contracts.**

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

Primary Contact	Secondary Contact
Office of Naval Research Attn: Dr. Santanu Das - Suite W1115 ONR Department Code: 312 875 North Randolph Street Arlington, VA 22203-1995 Telephone: (703) 588-1036	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

**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 (i.e., the degree of innovation, soundness of

- technical concept, Offeror's awareness of the state of the art and understanding of the scope of the problem, technical approach and effort needed to address/solve the problem, and anticipated scientific impact (fundamental contribution to the field of Communications and Networking));
2. Potential Naval relevance, technology transition potential, and contributions of the effort to the agency's specific mission;
  3. The qualifications, capabilities and experience of the proposed Principal Investigator (PI) and key personnel who are critical in achieving the proposal objectives; and
  4. The realism of the proposed costs and availability of funds.

These submissions will be selected through a technical/scientific/cost decision process with technical and scientific considerations being significantly more important than cost. Criteria are listed in descending order of priority.

Due to the 6.2 Discovery and Invention (applied research) nature of the program, the offeror needs to pay special attention to the first criterion. That is, the offeror must adequately address the technical issues and approach, going to technical depth where needed to show what's new and novel, clearly and unambiguously, with associated risks/payoffs. Transition potential means a clear path exists how and when the technology is able to move from the "Discovery and Invention" phase to the "Enabling and Maturing" phase in a 'vertically integrated' sense, for subsequent acquisition by the fleet and use by the warfighter. (Note the "Enabling and Maturing" phase is NOT part of this BAA.)

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 technical superiority to the Government. Any sub-criteria listed under a particular criterion are of equal importance to each other.

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 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.bpn.gov/ccr/default.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 are available and should be considered as potential government-furnished equipment/facilities. These facilities and resources are of high value and some are in constant demand by multiple programs. It is unlikely that all facilities would be used for any one specific program. The use of these facilities and resources will be negotiated as the program unfolds. Offerors should explain as part of their proposals which of these facilities are critical for the project's success.

### **2. Security Classification**

In order to facilitate intra-program collaboration and technology transfer, the Government will attempt to enable technology developers to work at the unclassified level to the maximum extent possible. If access to classified material will be required at any point during performance, the Offeror must clearly identify such need prominently in its proposal. 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 located 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.

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

Reserved.