

## ONR BAA Announcement # 10-015



### **BROAD AGENCY ANNOUNCEMENT (BAA)**

#### **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) and 35.106. A formal Request for Proposals (RFP), solicitation, and/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 select for award all, some or none of the proposals in response to 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,  
One Liberty Center  
875 N. Randolph Street  
Arlington, VA 22203-1995

##### **2. Research Opportunity Title -**

Broad Agency Announcement (BAA) for Joint Service Explosive Ordnance Disposal (JSEOD)

### **3. Program Name -**

Joint Service Explosive Ordnance Disposal (JSEOD) Applied Research Program

### **4. Research Opportunity Number -**

BAA 10-015

### **5. Response Date -**

White Papers Due: 23 APR 2010 3:00 p.m. EDT

Full Proposal Due: 09 JUL 2010 3:00 p.m. EDT

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

The Office of Naval Research (ONR) is interested in receiving white papers for Joint Service Explosive Ordnance Disposal Applied Research Science and Technology (S&T) Projects which offer potential for advancement and improvement of EOD operations.

ONR has a need to develop and demonstrate technologies to detect/locate, access, diagnose/identify, and render safe/neutralize Improvised Explosive Devices (IEDs) and unexploded ordnance (UXO) to support the Explosive Ordnance Disposal (EOD) mission.

The EOD mission is to render safe ordnance, including conventional and unconventional, improvised, chemical, biological, and nuclear IEDs and Weapons of Mass Destruction (WMD). It includes land and underwater location, identification, render-safe, and recovery (or disposal) of foreign and domestic ordnance. EOD conducts demolition of hazardous munitions, pyrotechnics, and retrograde explosives using detonation and burning techniques. The EOD mission is unique from the role of other forces, such as combat engineers that support movement of US and allied forces.

An IED is a device placed in an improvised manner incorporating destructive, lethal, noxious, pyrotechnic, or incendiary chemicals to destroy, incapacitate, harass, or distract. It can include military stores, but normally is devised from non-military components.

White papers/full proposals for exploratory development are sought in the following areas:

#### **1) IED Detection and Location**

This area focuses on technologies that can detect and/or locate the presence of an improvised explosive device during EOD operations. This may include buried, obscure and/or items out in the open. An IED may contain multiple elements, including explosives or other energetic materials, the case/housing, RF components, fragmenting materials, etc. constructed from military-grade and/or commercial/household items. It

may also include person-borne, suspect packages or objects, and vehicle-borne threats. Specific topics include, but are not limited, to the following areas:

**RF/Electronics Component Detection and Location:** This effort focuses on detecting and providing real-time location of obscured electronic or RF components or devices of interest via a hand held or man-portable capability. The threat could be close-up as in a suspect package or at stand-off distances in the case of roadside bombs (Explosively Formed Projectiles (EFPs), underbelly attacks, buried caches).

## **2) IED and Surface Munition Diagnose and Identification**

This area focuses on the identification of ordnance and IEDs or IED components, and the materials used in the manufacture of them, including toxic industrial chemicals (TIC), toxic industrial materials (TIM), or Chemical Warfare Agents (CWA). Potential targets can include thick cased munitions, such as artillery shells. Specific topics include, but are not limited to, the following areas:

- a. **Radiation/Biological/Chemical Detection/Identification:** This effort focuses on improving technologies used in the detection and location of IEDs. Once the detection and location of an IED is confirmed, the EOD technician must diagnose the type and condition of the item. This technology would allow that function to happen as required. Hand held technologies will be emphasized.
- b. **Identification of Concealed Organic/Inorganic Materials:** This effort focuses on man portable systems that can distinguish between concealed inorganic or organic materials used in IEDs. Potential radiography systems should have portable pulsed x-ray units of 300 kVp or less.
- c. **Dual Manipulator Control for EOD Robotics:** This effort focuses on novel hardware and command and control techniques for future robotic platforms that will include options for dual manipulators. Existing platforms and controls, including tele-operated and autonomous control techniques, are designed for single manipulator systems. Dual control capabilities that address simultaneous grasping and required force control levels, system portability for use in dismounted operations, and improved visual awareness can benefit the EOD robotics mission.
- d. **Physics Based Robot Training Simulator:** This effort is focused on the development of modeling and simulation technologies to enable EOD robot training simulation and to enable evaluation of new robot capabilities within a simulated environment. Specific capabilities required include running in real time on commercially available laptops, providing realistic training simulation (including accurate simulation over various terrains and environmental conditions) for unmanned ground vehicles up to 1,000 lbs, using open architecture to allow for easy modification for new platforms and capabilities,

### 3) **Surface Munition Render Safe/ Neutralization**

This area focuses on new information/capabilities that can be used to neutralize conventional munitions or enhance systems that currently perform the tasks. Specific topics include, but are not limited, to the following areas:

- a. **Lightweight Recoil Elimination Technology**: This effort focuses on innovative, lightweight technologies to mitigate the recoil associated with traditional EOD propellant driven disrupters when used in conjunction with robots. Existing technologies either utilize dampening mechanisms (shock absorbers, friction slides) that add significant mass to the system, or use “countershot” concepts, that launch a mass in the opposite direction. These technologies pose an additional burden to the operator and create a danger zone behind the tool.
- b. **Standoff Disrupter Technology**: This effort focuses on extending the standoff distance at which EOD disrupters can be emplaced and fired while performing a successful render safe procedure. Existing systems require close-in positioning to accurately and effectively perform a render safe procedure. Technologies that improve aiming and accuracy of existing disrupters will be emphasized.

### 4) **Buried Munition Diagnosis and Identification**

This area focuses on technologies to provide identification and diagnostics of subsurface munitions. In instances where a buried munition had been detected but not yet uncovered, additional information is needed about the type and condition of the target to determine the next course of action.

### 5) **IED Access**

This area focuses on technologies to access IEDs to gain greater knowledge regarding their physical composition or content. Specific topics include, but are not limited to, the following areas:

**Portable 3D Imaging**: With the advent of 3-D printer technology (i.e. - stereolithography), there is the potential for EOD technicians to conduct a rapid CT scan of a recovered device, the data from which could then be used to exploit or generate replicates of the original device. Additionally, CT technology could potentially be used in a manner similar to how an x-ray system is used today in order to create a 3-D model for use by EOD technicians in the field. This effort would focus on exploring the potential uses of smaller, more portable CT systems and conversion of acquired data for input into 3-D printer technologies.

## **6) Buried Munition Render Safe/ Neutralization**

This area focuses on technologies to provide a capability to render safe or neutralize buried targets. Traditional disruption technologies usually require clear access to the munition. For buried targets, this requires removal of materials, such as earth, increasing time-on-target and increasing the risk to the EOD technician. Technologies that can perform render safe or neutralization “in situ” can simplify the process.

## **7) Buried Munition Detection and Location**

This area focuses on the identification of subsurface munitions and materials. Specific topics include, but are not limited, to the following:

**Detection of Non-metallic Buried Material:** Certain munitions feature minimal metal content and components. This limits the detection by existing EOD equipment that uses magnetic fields for detection. Other technologies may be limited by soil content or moisture. Alternate or enhanced man portable technologies that can improve detection probability over existing capabilities can reduce risk and time required for EOD search operations.

## **8) Underwater Munition Diagnosis and Identification**

This area focuses on technologies to provide novel identification and diagnostics tools to assist EOD in positively identifying and classifying underwater UXO. Existing techniques rely on external shape, size, and markings. In underwater environments, these traits can be significantly degraded or hidden. Other technologies that can be used to positively identify internal contents, including fillers (explosive or explosive chemical compounds), fuzing types, and fuzing status would significantly reduce false alarms and minimize risk to EOD divers. Technologies that can be remotely operated or employed via unmanned vehicles will be emphasized.

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 [research performed under] grants and contracts that are (a) funded by Research, Development, Test, and Evaluation Budget Activity 1 (Basic Research), whether performed by universities or industry or (b) funded by Budget Activity 2 (Applied Research) and performed on campus at a university 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 to the present BAA, the Research and Development efforts to be funded will consist of Applied Research. The funds available to support awards are Budget Activity 2.

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

Questions of a technical nature shall be directed to the cognizant Technical Point of Contact, as specified below:

Science and Technology Primary Point of Contact:

Mr. Brian Almquist  
ONR Code: 321  
Ocean Engineering & Marine Systems (321OE), Rm. 1091  
Office of Naval Research  
875 North Randolph Street  
Arlington, VA 22203-1995  
Email Address: [Brian.Almquist@navy.mil](mailto:Brian.Almquist@navy.mil)

Questions of a business nature shall be directed to the cognizant Contract Specialist, as specified below:

Primary Business Point of Contact:

Sarah Malene  
ONR Code BD 0252  
Office of Naval Research  
875 North Randolph Street,  
Arlington, VA 22203  
Email: [Sarah.Malene@navy.mil](mailto:Sarah.Malene@navy.mil)

Secondary Business Point of Contact:

Frank Kennedy  
ONR Code BD 0252  
Office of Naval Research  
875 North Randolph Street,  
Arlington, VA 22203  
Email: [Kennedf@onr.navy.mil](mailto:Kennedf@onr.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 North Randolph St.  
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 Contract (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.

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>

## **8. Instrument Type(s) -**

Awards may take the form of contracts and grants.

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

12.300

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

Department of Defense (DOD) Applied Scientific Research

## **11. Other Information -**

FAR Part 35 restricts the use of the 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	Total
(\$2000)	(\$2000)	(\$2000)	(\$6000)

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 up to thirty-six (36) months. ONR anticipates a budget of approximately \$2,000,000 per year for this program.

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.

**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 Regulation (ITAR) – 22 CFR § 1201.1 et seq. (See Section VII, Other Information)

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

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

Prospective awardees are encouraged to submit white papers to minimize the labor and cost associated with the production of detailed full proposals that have very little chance of being selected for funding. Each white paper should state that it is submitted in response to this BAA announcement. Each white paper will be evaluated by the government to determine whether the technology advancement proposed appears to be of particular value to the Department of the Navy. The submitters of White Papers judged to be of “particular value” to the Navy will be so identified in the initial responses provided by ONR and encouraged to submit Full Proposals. The submitter of any White Paper not judged by the ONR reviewers as being of “particular value” to the Navy may still submit a full proposal by the date and time specified in the BAA, but the initial Navy response provided is a useful indicator of likely future project funding under this BAA.

Note: Each white paper may address only one of the areas discussed under the Research Opportunity Description section listed above.

Unclassified white papers are due to the drop site listed above and classified white papers are due via CD by 3:00 p.m. (EDT) on 23 April 2010. It is anticipated that the evaluation of the white papers will be completed and disseminated to offerors by 21 May 2010. Full proposals will be due 09 July 2010.

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

The Proposals submitted under this BAA are expected to be unclassified. However, confidential/classified proposals are permitted. Contracts or other instruments resulting from a classified proposal will be unclassified.

### Classified Proposal Instructions:

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

OUTSIDE ENVELOPE (no classification marking):

“Office of Naval Research  
Attn: Document Control Unit  
ONR Code 43  
875 N. Randolph St.  
Arlington, VA 22203-1995”

The inner wrapper of the classified White Paper and/or Full Proposal should be addressed to the attention of Brian Almquist, ONR Code 321OE and marked in the following manner:

Program: Joint Service Explosive Ordnance Disposal (JSEOD) Applied Research Program  
Office of Naval Research  
Attn: ONR Program Officer Name  
ONR Code: ONR Program Officer Code  
875 N. Randolph St.  
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.

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.

### **a. 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
- Number of Pages – No more than seven (7) single-sided pages (excluding cover page and resumes). White Papers exceeding the page limit may not be evaluated.
- Copies – Unclassified submissions are to be sent through the drop site:

<http://www.onr.navy.mil/Science-Technology/Departments/Code-32/All-Programs/Ocean-Systems-321/Ocean-Engineering-Marine-Systems/Ocean-Engineering-Document-Upload.aspx>.

Classified submissions are to be sent via CD.

Note: The subject line shall read “ONR BAA 10-015 White Paper Submission.” The white paper must be a Microsoft Word 97 or .PDF Format. No hardcopies will be accepted.

**NOTE: White papers sent by FACSIMILE will NOT be considered.**

### **White Paper Content**

- Cover Page – The Cover Page shall be labeled “WHITE PAPER”, and shall include the BAA number, proposed title, Offeror’s administrative and technical points of contact, with telephone numbers, facsimile numbers, and Internet addresses, and shall be signed by an authorized officer. The cover page will not count towards the seven (7) page limit.
- Technical Section – The Technical section shall state which areas and topics are being addressed and shall consist of clear descriptions of objectives, technical issues and risks which must be resolved to accomplish objectives, approach to resolving these issues, particular prior experience of offeror in the targeted technology area, and a clear description of and schedule for demonstration of the significant aspects of the concept.
- Operational EOD 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.
- Management Section - The Management portion shall include key personnel (include curriculum vitae), experience, facilities and a plan of action with milestones. One-page curriculum vitae for the principal investigator and key

personnel should be submitted. The vitae pages will not count towards the seven (7) page limit.

- Cost Section - The Cost portion shall include a cost estimate on a yearly basis partitioned by major tasks of the effort being proposed in the following categories: Direct Labor, Indirect Costs, Travel, Subcontracts/Interorganizational Transfers, Consultant, Material & Supplies, Contractor Acquired Equipment or Facilities, Other Direct Costs, and Fee/Profit.

## **b. FULL PROPOSALS**

### **INSTRUCTIONS FOR CONTRACT, COOPERATIVE AGREEMENTS AND OTHER TRANSACTION AGREEMENTS (Does not include Grants)**

#### **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 – Volume 1 is limited to no more than twenty-four (24) pages. Limitations within sections of the proposal, if any, are indicated in the individual descriptions shown below. The cover page, proposal checklist, table of contents, resumes and current and pending project and proposal submissions information are excluded from the page limitations. Full Proposals exceeding the page limit may not be evaluated. There are no page limitations to Volume 2.
- Copies – Unclassified submissions are to be sent through the drop site:

<http://www.onr.navy.mil/Science-Technology/Departments/Code-32/All-Programs/Ocean-Systems-321/Ocean-Engineering-Marine-Systems/Ocean-Engineering-Document-Upload.aspx>.

Classified submissions are to be sent via CD.

Note: The subject line shall read “ONR BAA 10-015 Full Proposal Submission.” The full proposal must be a Microsoft Word 97 or .PDF Format. No hardcopies will be accepted.

#### **Full Proposal Content**

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

- **Cover Page:**  
(Not included in page limitations)  
This should include the words “Technical Proposal” and the following:

- 1) BAA number;
- 2) Title of Proposal;
- 3) Identity of prime Offeror and complete list of subcontractors, if applicable;
- 4) Technical contact (name, address, phone/fax, electronic mail address)
- 5) Administrative/business contact (name, address, phone/fax, electronic mail address) and;
- 6) Proposed period of performance (identify both the base period and any options, if included).
- 7) Signature of Authorized Representative.

- **Proposal Checklist:**

(Not included in page limitations)

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:**

(Not included in page limitations)

An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.

- **Statement of Work:**

(Five (5) Page Limit)

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 by referencing into, or as an attachment to, the resultant award instrument. To this end, such 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 and a section which lists all proposed deliverables. When options are contemplated, the SOW must clearly identify separate optional tasks.

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:**

(NOT TO EXCEED Nine (9) Page Limit)

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.

- **Operational EOD 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:**  
(One (1) page limit)  
A summary of the schedule of events and milestones.

**Assertion of Data Rights:**

(One (1) page limit)

For a contract award an Offeror may provide with its proposal, assertions to restrict use, release or disclosure of data and/or computer software that will be provided in the course of contract performance. The rules governing these assertions are prescribed in Defense Federal Acquisition Regulation Supplement (DFARS) clauses 252.227-7013, .7014, and -7017. These clauses may be accessed at the following web address:

<http://farsite.hill.af.mil;VFDFARA.HTM>

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

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

**Deliverables/Reports:** (Not included in page limitations) 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

- **Management Approach:**

(Eight (8) Page Limit)

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 relationships; government research interfaces; and planning, scheduling and control practice. Identify which personnel and subcontractors (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.

- **Current and Pending Project and Proposal Submissions:**

(Not included in page limitations)

Offerors are required to provide information on all current and pending support for ongoing projects and proposal, including subsequent funding in the case of continuing contracts, grants, and other assistance agreements. Offerors shall provide the following information of any related or complementary 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:**  
(Not included in page limitations)  
A discussion of the qualifications of the proposed Principal Investigator and any other key personnel. Include resumes or full curricula vitae for the Principal Investigator and other key personnel and consultants. The resumes and/or curricula vitae shall be attached to the proposal and will not count toward the page limitations.

## **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 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.

Options: Any proposed options that are identified in either Volume 1 or 2, but are not fully priced out, will not be included in any resulting contract or other transaction. If proposing options, they must be separately priced and separate spreadsheets should be provided for the base period and each option period.

For pricing purposes, assume that performance will start no earlier than six (6) months after submission of the proposal.

The proposal should include a statement that the company has (or has not) done business with the Government before. If the company has done business with the Government before, the statement should include the date that the accounting system was determined to be adequate. If this will be the company's first Government contract, please download the Defense Contract Audit Agency's (DCAA) "Information for Contractors" pamphlet, which can be found at [www.dcaa.mil](http://www.dcaa.mil) and become familiar with the Federal Acquisition Regulation (FAR) Part 31.205 to ensure that a successful accounting system review can be completed prior to contract award.

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 offeror's fiscal year and Part 2 will provide a cost breakdown by task/sub-task corresponding to the task numbers in the proposed Statement of Work.

**Cover Page:**

(Not included in page limitations)

The use of the SF 1411 is optional. The words "Cost Proposal" should appear on the cover page in addition to the following information:

- BAA number
- Title of Proposal
- Identity of prime Offeror and complete list of subcontractors, if applicable
- Technical contact (name, address, phone/fax, electronic mail address)
- Administrative/business contact (name, address, phone/fax, electronic mail address)
- Proposed period of performance (identify both the base period and any proposed options)

**Part 1:**

(Not included in page limitations)

Detailed breakdown of all costs by cost category by calendar or Contractor fiscal year:

- Direct Labor – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates. Provide escalation rates for out years.
- Indirect Costs – Fringe Benefits, Overhead, G&A, COM, etc. and their applicable allocation bases. If composite rates are used, provide the calculations used in deriving the composite rates.
- Travel – The proposed travel cost should include the following for each trip: the purpose of the trip, origin and destination 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

**\*Note:** Federal Acquisition Regulation provision 52.215-22 (is incorporated into this solicitation by reference. The offeror is to exclude excessive pass-through charges from subcontractors. The offeror must identify in its proposal the percentage of effort it intends to perform and the percentage to be performed by each of its proposed subcontractors. If more than 70 percent of the total effort will be performed through subcontractors, the offeror must include the additional information required by the above-cited clause.

- Consultant – 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 ear 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

- 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:**

(Not included in page limitations)

Cost breakdown by Government fiscal year and task/sub-task corresponding to the same task breakdown in the proposed Statement of Work. When options are contemplated, options must be separately identified and priced by task/sub-task.

**INSTRUCTIONS FOR GRANTS (Does not include contracts)**

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 N00014; Block 4b, Agency Routing Number: Enter the three (3) digit Program Office Code (i.e., 321) and the Program Officer’s name, last name first, in brackets (i.e., [Almquist, Brian]).

**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 – Volume 1 is limited to no more than seventeen (17) pages. Limitations within sections of the proposal, if any, are indicated in the individual descriptions shown below. The cover page, proposal checklist, table of contents, resumes and current and pending project and proposal submissions

information are excluded from the page limitations. Full Proposals exceeding the page limit may not be evaluated. There are no page limitations to Volume 2.

- Copies – the full proposal should be submitted electronically at <http://www.grants.gov/> as delineated in paragraph 5 below.

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

- **Cover Page:** This should include the words “Technical Proposal” and the following:

- 1) BAA number 10-015;
- 2) Title of Proposal;
- 3) Identity of prime Offeror and complete list of proposed subawards, 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) Proposed period of performance (identify both the base period and any options, if included).

- **Table of Contents:**

(Not included in page limitations)

An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.

- **Proposal Checklist:**

(Not included in page limitations)

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.

### **Technical Approach and Justification:**

(Nine (9) page limit)

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.

- **Operational EOD 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:**

(Not included in page limitations)

A summary of the schedule of events and milestones:

- **Reports:**

(Not included in page limitations)

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

Technical and Financial Progress Reports

Final Report

**Grants and other agreements do not include the delivery of software, prototypes, and other hardware deliverables.**

- **Management Approach:**

(Eight (8) page limit)

Identify which personnel and subcontractors/subrecipients (if any) will be involved. Include a description of the facilities that are required for the proposed effort, along with a description of any Government Furnished Equipment/Hardware/Software/Information required, by version and/or configuration.

- **Current and Pending Project and Proposal Submissions:**

(Not included in page limitations)

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 or complementary 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) Period of performance (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:**

(Not included in page limitations)

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 Principal Investigators and consultants. The resumes and curricula vitae shall be attached to the proposal and will not count toward the page limitations.

**Volume 2: Cost Proposal**

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 (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 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.
- 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

- 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).  
NOTE: If the grant proposal is for a conference, workshop, or symposium, the proposal should include the following statement: “The funds provided by ONR will not be used for food or beverages.”
- 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. When options are contemplated, options must be separately identified and priced by task/subtask.

### 3. Significant Dates and Times -

<b>Anticipated Schedule of Events</b>		
<b>Event</b>	<b>Date (MM/DD/YEAR)</b>	<b>Time (Local Eastern Time)</b>
White Papers Due Date	23 APR 2010	3:00 p.m.
White Paper Selection./Notification *	21 MAY 2010	3:00 p.m.
Full Proposal Due	09 JUL 2010	3:00 p.m.
Final Proposal Selection/Notification *	06 AUG 2010	3:00 p.m.
Award *	09 JAN 2011	

**\* 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 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 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 (Applicable to White Papers and Full 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

- (a) 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
- (b) 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
- (c) 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 extend 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 enter N00014; Block 4b, Agency

Routing Number, enter the three (3) digit Program Office Code (i.e., 321) and, if known, the Program Officer's name, last name first, in brackets (i.e., [Almquist, Brian]). Applicants who fail to provide a Department code identifier may receive a notice that their proposal will be rejected.

Detailed instructions entitled "Grants.gov Electronic Application and Submission Information" on how to submit a grant proposal through Grants.gov may be found at the ONR website listed under the 'Acquisition Department – Contracts & Grants Submitting a Proposal' link at: <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-gov.aspx>.

White papers should not be submitted through the Grants.gov Apply process. See Section IV, item 2a above, for White paper submission.

By completing Block 17, 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, several one-time actions must be completed in order to submit an application through Grants.gov. These include obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the Central Contract Registration (CCR), registering with the credential provider, and registering with Grants.gov. See <http://www.grants.gov>, specifically <http://www.grants.gov/GetStarted>.

Use the Grants.gov organization Registration Checklist at [http://www.grants.gov/applicants/register\\_your\\_organization.jsp](http://www.grants.gov/applicants/register_your_organization.jsp) which will provide guidance through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called "MPIN" are important steps in the CCR registration process. Applicants who are not registered with CCR and Grant.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 requirement, 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](http://www.grants.gov) must be in Adobe Portable Document Format (i.e., .pdf files). Proposals with attachments submitted in word processing, spreadsheet, or any format other than Adobe Portable Document Format will not be considered for award.

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 who have registered with Grants.gov are urged 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. Such early submission will allow a proposer time to submit its proposal to ONR through an alternative electronic method in the event the proposal is not validated (i.e., accepted) by Grants.gov after two days. See the special notice on alternate submission below.

### 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 not less than 30 calendar days prior to the closing date for receipt of Full Proposals. Such request should be submitted by the Electronic Business Point of Contact listed in the CCR for the organization and should contain the Organization/Individual’s name, address, telephone number, and email address. The request should state the reason for the request in sufficient detail so a decision can be made. The Waiver Request should be submitted to the ONR Acquisition Department point of contact or Grants Officer listed in the BAA. Such request can be sent by registered mail or email. The “postmark” stamp on the envelope of the time annotated on the email will be used to determine timeliness of the request. A decision and response will be issued within 14 calendar days of receipt of the request by ONR. Foreign Grantees who are not registered in CCR may request a waiver on that basis since CCR registration is integral to the [Grants.gov](http://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 e-mail validated your proposal submission, call Grants.gov (1-800-518-4726) to obtain a case ticket number. An e-mail 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: (ONRBAAXX-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 e-mail will be sent to the address provided. If you do not receive an e-mail confirmation, your file has not been

properly received. You should immediately contact the business point of contact listed in the BAA or the ONR Grants BAA Administrator.

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

All Unclassified White Papers and Full Proposals (Contracts) are to be submitted through the drop site:

<http://www.onr.navy.mil/Science-Technology/Departments/Code-32/All-Programs/Ocean-Systems-321/Ocean-Engineering-Marine-Systems/Ocean-Engineering-Document-Upload.aspx>.

All Classified White papers and Full Proposals (Contracts) are to be submitted via CD. For Classified Proposal instructions, please refer to “Content and Format of White Papers/Full Proposals” under Section IV Application and Submission Information.

**NOTE: PROPOSALS SENT BY FAX, HARD COPY OR E-MAIL WILL NOT BE CONSIDERED. NO HAND DELIVERIES.**

## **V. EVALUATION INFORMATION**

### **1. Evaluation Criteria –**

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

- 1) Overall scientific and technical merits of the proposal;
- 2) Potential Naval relevance and contributions of the effort to the agency’s specific mission;
- 3) The offeror’s capabilities, related experience, facilities, techniques or unique combinations of these which are integral factors for achieving the proposal objectives;
- 4) The qualifications, capabilities and experience of the proposed Principal Investigator (PI), team leader and key personnel who are critical in achieving the proposal objectives; and
- 5) The realism of the proposed costs and availability of funds.

Overall, the technical factors (1-4 above) are significantly more important than the cost factor (5), 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.

The Government will evaluate options for award purposes by adding the total cost for all options to the total cost for the basic requirement. Evaluation of options will not obligate the Government to exercise the options during contract performance.

## **2. Evaluation Panel -**

Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure in accordance with FAR 3.104-4 and 15.207. The cognizant Program Officer and other Government scientific experts will perform the evaluation of technical proposals. Restrictive notices notwithstanding, one or more support contractors may be utilized as subject-matter-expert technical consultants. Similarly, support contractors may be utilized to evaluate cost proposals. However, proposal selection and award decisions are solely the responsibility of Government personnel. Each support contractor's employee having access to technical and cost proposals submitted in response to this BAA will be required to sign a non-disclosure statement prior to receipt of any proposal submissions

## **VI. AWARD ADMINISTRATION INFORMATION**

### **1. Administrative Requirements –**

- The North American Industry Classification System (NAICS) code – The North American Industry Classification System (NAICS) code for this announcement is “541712” with a small business size standard of “500 employees”.
- CCR - Successful Offerors not already registered in the Central Contractor Registry (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 a Small Business Subcontracting Plan in accordance with FAR 52.219-9 prior to award.
- Certifications – Proposals for contracts and assistance agreements should be accompanied by a completed certification package.

### Contracts Proposals:

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/contractsproposal.aspx>

### Grant Proposals:

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](http://Grants.gov) (complete Blocks 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 subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

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

### Grants not through Grants.gov

Proposers seeking grants who have received Grants.gov waiver approval for awards greater than \$100,000 shall complete and submit electronic representations and certifications at the Contracts and Grants Section of the ONR Home Page at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/contracts-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 done under a grant does not require access to classified material.

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

If animals are to be utilized in the research effort proposed, the Offeror must complete a DoD Animal Use Protocol with supporting documentation (copies of AAALAC accreditation and/or NIH assurance, IACUC approval, research literature database searches, and the two most recent USDA inspection reports) prior to award. For assistance with submission of animal research related documents, contact the ONR Animal Use Administrator at (703) 696-4046.

Similarly, for any proposal for research involving human subjects, the Offeror must submit or indicate an intention to submit prior to award: documentation of approval from an Institutional Review Board (IRB); IRB-approved research protocol; IRB-approved informed consent form; proof of completed human research training (e.g., training certificate or institutional verification of training); an application for a DoD-Navy Addendum to the Offeror's DHHS-issued Federal wide Assurance (FWA) or the Offeror's DoD-Navy Addendum. In the event that an exemption criterion under 32 CFR.219.101 (b) is claimed, provide documentation of the determination by the Institutional Review Board (IRB) Chair, IRB vice Chair, designated IRB administrator or official of the human research protection program including the category of exemption

and short rationale statement. This documentation must be submitted to the ONR Human Research Protection Official (HRPO), by way of the ONR Program Officer. Information about assurance applications and forms can be obtained by contacting [ONR\\_343\\_contact@navy.mil](mailto:ONR_343_contact@navy.mil). If the research is determined by the IRB to be greater than minimal risk, the Offeror also must provide the name and contact information for the independent medical monitor. For assistance with submission of human subject research related documentation, contact the ONR Human Research Protection Official at (703) 696-4046.

For contracts and orders, the award and execution of the contract, order, or modification to an existing contract or order serves as notification from the Contracting Officer to the Contractor that the HRPO has approved the assurance as appropriate for the research under the Statement of Work and also that the HRPO has reviewed the protocol and accepted the IRB approval or exemption determination for compliance with the DoD Component policies. See, DFARS 252.235-7004.

#### **4. RESERVED**

#### **5. Department of Defense High Performance Computing Program**

The DoD High Performance Computing Program (HPCMP) furnishes the DoD S & T and DT & 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 ONR, Arlington, VA and 60% at other contractor or government facilities. Interim meetings are likely, but these will be accomplished via video telephone conferences, telephone conferences, or via web-based collaboration tools.

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

None