

BROAD AGENCY ANNOUNCEMENT (BAA)
**National Oceanographic Partnership Program (NOPP) and Interagency Committee on
Ocean Science and Resource Management Integration (ICOSRMI)**

INTRODUCTION:

This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2), the Department of Defense Grants and Agreements Regulations (DoDGARS) 22.315(a) and 35.016 , and DoD's Other Transaction Guide for Prototypes Projects, USD(AT&L), OT Guide, Jan 2001. A formal Request for Proposals (RFP), other solicitation, or additional information regarding this announcement will not be issued.

The Office of Naval Research (ONR) will not issue paper copies of this announcement. The ONR reserves the right to 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 -

National Oceanographic Partnership Program (NOPP) and Interagency Committee on Ocean Science and Resource Management Integration (ICOSRMI)

3. Program Name – Not Applicable (N/A)

4. Research Opportunity Number 10-024

5. Full Proposal Response Date - 23-NOV-2010

6. Research Opportunity Description -

On behalf of the National Oceanographic Partnership Program (NOPP) and The President's Interagency Committee on Ocean Science and Resource Management Integration (ICOSRMI), the Office of Naval Research (ONR) solicits research proposals meeting the goal and purpose of the Partnership Program outlined in Title II, subtitle E, of Public Law 104-201. Any NOPP member agency may fund research in response to this solicitation.

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 24 May 2010. 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. **ONR funding supporting this BAA is for applied research. Other NOPP-contributing agencies may support other areas of research as described above.**

Background

Governmental agencies and industries that focus on marine environments need to optimally detect, locate and identify marine mammals during a variety of activities including marine geophysical surveys, naval exercises, and population assessment surveys. Of particular interest is achieving a capability for the detection, classification and localization (DCL) of marine mammals under circumstances where standard visual observation from ship-based marine mammal observers (MMOs) is ineffective, such as during night-time operations, periods of bad weather, with animals below the sea surface and/or beyond visual range. The 2009 report of the Joint Subcommittee on Ocean Science & Technology (JSOST) titled, "Addressing the effects of human-generated sound on marine life: An integrated research plan for U.S. Federal Agencies" identified the development of new technologies to detect, identify, locate and track marine mammals in order to increase the effectiveness of detection and mitigation as an item of highest research priority (<http://www.onr.navy.mil/en/Science-Technology/Departments/Code-32/All-Programs/Atmosphere-Research-322/Marine-Mammals-Biology.aspx>).

Mitigation requirements under Marine Mammal Protection Act (MMPA) and Endangered Species Act (ESA) provisions require the development of real-time (or near real-time) monitoring capability of marine mammals. Multiple agencies and groups have interest in the improvement of passive and active acoustic monitoring capability as a complement to standard

visual observations from ship-based platforms. Ideally, a ship operator would have a single tool to detect, classify and locate marine mammals within a certain operational area such as an exclusion zone. Unfortunately, operational areas within the marine environment are often complex and unique, especially when operations are not conducted in a standard or fixed location. For example, some marine geophysical surveys, which use towed seismic equipment to collect data for research on Earth systems, are driven by scientific questions and therefore are conducted in various locations around the world from deep-ocean to more shallow coastal environments. Some technologies may be more appropriate than others under certain environmental conditions, such as deep ocean water versus shallow coastal environments. Therefore, while a single technology for DCL would be ideal, due to the complexities of the marine environment and unique operations, different technologies, or combinations of technologies and methodologies forming a DCL “system” for different environments may be necessary. Ultimately, any technology or system developed needs to demonstrate, with a high level of confidence, the detection, localization, and range to marine mammals within a specified area.

Topic Description: Marine mammal detection and monitoring

Topic 1 Detection, Classification, and Localization Algorithms

Inherent to the use of passive acoustics for real-time (or near real-time) DCL is the need for the development and testing of fast, accurate and efficient algorithms for processing raw signals, and storing and transmitting processed information in such a manner (e.g., via sonograms) that overcomes limitations of current state-of-the-art technologies (e.g., memory, storage capacity, bandwidth for data transmission). Software and techniques developed, tested and proved effective must be made available to the public and operable using standard modern platforms of computation and display.

Topic 2 Active Acoustic Monitoring

Active Acoustic Monitoring (AAM) uses broadcast sound to actively detect the presence of marine mammals and other animals, but unlike passive acoustic monitoring (PAM), nonvocalizing marine mammals are detectable with AAM. A key parameter that needs development when assessing the performance of active sonar for the detection of marine mammals is the frequency-dependent ratio between the intensity of sound that strikes the target and that returning to the sonar system known as the target strength; little information has been published on the target strengths of marine mammals to date. Further, the development of multiple frequency bands may be required to differentiate species. The addition of sound to the ocean using AAM has presented environmental and regulatory problems; however, systems may be developed that are more accurate with less noise output similar to the fish finders that are ubiquitous on many ocean-going vessels.

Topic 3 Database Services & Computational Capacity

Large datasets generated by state-of-the-art passive acoustic monitoring devices present several major challenges that require the development of 1) database services for the research community and collaborators whether they are engineers, biologists, or resource managers, and 2) computational capacity for timely data processing and display. Metadata associated with acoustic databases is highly variable and may not lend itself well to traditional relational

database technology. New database approaches are needed that will enable users to query against known human or machine-generated annotations (detections, classifications) of existing data, add new annotation sets including detailed information on how they were created, export data products to external visualization services, and interface with existing external analytical tool sets. All data products should be able to be summarized in publicly accessible metadata repositories such as OBIS-SEAMAP (<http://seamap.env.duke.edu/>). Further, to address the increasingly rapid processing needs of the acoustic monitoring community there is a need to develop community access, which may include a user interface, to high performance computing centers (HPC), such as the Open Science Grid (OSG). HPC centers can provide computing facilities that integrate distributed and shared computing resources with low-threshold access to more computing resources than researchers could afford individually. HPC interface may be incorporated into existing visualization and/or analytical tool sets. Demonstration of HPC capability should address need for sustainability of access by acoustic community.

Topic 4 Novel Use of Existing Technologies

Proposals may include novel uses of existing (or minor adjustments/enhancements of existing) hardware and software technologies to achieve the goal of real-time detection, classification, and localization of marine mammals in habitats that may not otherwise have been surveyed or monitored with conventional approaches. Any equipment used will need to be able to be approved for use under applicable federal regulations such as the MMPA and ESA. If necessary, equipment will need to be routinely transported (or mounted) and function on a variety of vessels including but not limited to University-National Oceanographic Laboratory System (UNOLS) research vessels (e.g., *Marcus G. Langseth* - see below for related informational links). Ultimately, any marine mammal survey and/or monitoring data collected via new methodologies should be compatible with and be entered into publicly accessible marine mammal databases.

Investigators should make clear any special requirements (e.g., ship time (including a UNOLS Shiptime Request Form if appropriate), captive animal use) within their proposal. Prior to issuance of awards for recommended proposals, investigators may have to submit the following documents if experiments or field work involves the use of animals: 1) signed U.S. Department of Defense (DoD) Animal Use Protocol (DOD agencies only), 2) proposing organization's Institutional Animal Care and Use Committee (IACUC) approval, 3) documentation that the facility is AAALAC (Association for Assessment and Accreditation of Laboratory Animal Care)-approved or has NIH Animal Use Assurance if captive animal facilities are proposed, and 4) copies of NMFS Fisheries scientific research permit if applicable (US Researchers), or 5) United Kingdom and/or Society for Marine Mammalogy animal care guidelines for proposals submitted from Performers in countries with no guidelines of their own. Additionally, if necessary for field work/testing, investigators will need to apply for an Incidental Harassment Authorization under the MMPA and will need to work with the funding agency for a Section 7 consultation under the ESA.

Investigators proposing to this topic will be strongly encouraged to attend domestic (U.S. federal agency-specific) or international reviews, topic coordination meetings or workshops 1- 2 times per year. Travel for these meetings should be budgeted as appropriate. Proposals can address individual or combination of research objectives involving the development of real-time (or near real-time) passive and active acoustic monitoring capability, including the 1) development of

DCL algorithms; 2) investigation of target strength of marine mammals using AAM systems and consider the development of multiple frequency bands to differentiate species; 3) development of database services and computational capacity for analyzing passive acoustic data; 4) novel uses of existing technologies to achieve DCL in habitats currently unexplored or monitored.

For more information on UNOLS vessels see: <http://www.unols.org/info/vessels.htm>, and for R/V Langseth see: <http://www.ldeo.columbia.edu/res/fac/oma/langseth/index.html>

7. Point(s) of Contact –

Questions of a technical nature should be submitted to:

Dr. Michael Weise
National Oceanographic Partnership Program
Office of Naval Research
One Liberty Center
ONR 322, Room 1061
875 N. Randolph St.
Arlington, VA 22203-1995
Email: michael.j.weise@navy.mil

Questions of a business nature should be submitted to:

Frank Kennedy
Contract Specialist, ONR 252
Office of Naval Research
One Liberty Center, Room W1269B
875 N. Randolph St.
Arlington, VA 22203-1995
Email: frank.j.kennedy@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.

Questions submitted within 2 weeks prior to a deadline may not be answered, and the due date for submission of the 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) –

It is anticipated that awards will be in the form of grants. However, the Government reserves the right to award cooperative agreements, contracts, or other transaction agreements to appropriate parties, should the situation warrant use of an instrument other than a grant. It is strongly preferred that one institution act as the lead institution for each project and that a single award be issued to the lead institution which would then issue sub-awards to the other non-Federal participants. Should a project include a request for funding to a Federal entity, funds to that entity will be provided separately.

9. Catalog of Federal Domestic Assistance (CFDA) Number -

12.300

10. Catalog of Federal Domestic Assistance (CFDA) Title -

Basic and 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 this BAA 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 will vary depending on the research area and the technical approach to be pursued by the selected offeror.

1. Total Amount of Funding Available: Approximately \$1.25M (or more) per year over three years, subject to appropriation and final approval by the Interagency Working Group on Ocean Partnerships (IWG-OP) of the ICOSRMI. A breakout of topic investments may not equal total amount listed here due to the uncertainty associated with receiving funding.
2. Anticipated Number of Awards: 4-12. An Offeror may propose on more than one Topic.

3. Anticipated Award Types: Grants are anticipated. The Government reserves the right to award contracts or cooperative agreements and other transactions if appropriate.
4. Anticipated Range of Individual Award Amounts: from \$100,000 to \$350,000 per year.
5. Anticipated Period of Performance for Awards: 1 to 3 years

For ONR Awards, Fiscal Year 2010 basic research appropriations are subject to the reimbursement limit on indirect costs set forth in Section 8101 of the Department of Defense Appropriations Act, 2010 (P.L. 111-118). Indirect costs for basic research subject to the restriction cannot exceed 35% of the total funds provided. It is unknown at present whether a similar indirect cost restriction will apply to 6.1 funds in FY 2011 or thereafter

III. ELIGIBILITY INFORMATION

Team efforts are required among at least two of the following three sectors:

- academia,
- industry (including Non-Governmental Organizations - NGOs), and
- government (including State and Local)

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. Federally Funded Research and Development Centers (FFRDCs), Federal Laboratories and other Federal Entities may not be the Principal Investigators on proposals

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.

Foreign institutions are eligible to apply for support as a partner under this BAA. However, the National Science Foundation (NSF) rarely provides support to foreign organizations. For proposals to be funded by NSF, NSF will consider proposals for cooperative projects involving U.S. and foreign organizations, provided support is requested only for the U.S. portion of the collaborative effort.

Teams are encouraged to submit proposals in any and all areas. However, Offerors must be willing to cooperate and exchange software, data and other information in an integrated program with other contractors, as well as with system integrators, selected by ONR.

Topics under this BAA are not expected to cover export controlled technologies.

IV. APPLICATION AND SUBMISSION INFORMATION

1. Full Proposal Application and Submission Process (White Papers will not be required)

The due date for receipt of Full Proposals is 2:00 p.m. (Eastern [Daylight or Standard] Time) on 23-NOV-2010. It is anticipated that final selections for awards will be on or about 25-JAN-2011. As soon as the final proposal evaluation process is completed, each Offeror will be notified by NOPP via email or letter of its selection or non-selection for an award.

2. Content and Format of Full Proposals –

Full Proposals submitted under the BAA are expected to be unclassified; confidential/classified proposals will not be accepted.

Proposal submissions will be protected from unauthorized disclosure in accordance with FAR Subpart 15.207, applicable law, and DoD/DoN regulations. Offerors are expected to appropriately mark each page of their submission that contains proprietary information. The proposal shall include a severable, self-standing Statement of Work, which does not include any proprietary restrictions.

IMPORTANT NOTE: Titles given to the Full Proposals should be descriptive of the work they cover and not be merely a copy of the title of this announcement.

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

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 15 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 – one (1) original, and one electronic copy on a CD-ROM or DVD, (in Microsoft® Word or Excel 97 compatible or .PDF format).

Full Proposal Content

Volume 1: Technical Proposal

- **Cover Page:** This should include the words “Technical Proposal” and the following:
 - 1) BAA number;
 - 2) Title of Proposal;
 - 3) Identity of prime Offeror and complete list of subcontractors, if applicable;
 - 4) Technical contact (name, address, phone/fax, electronic mail address)
 - 5) Administrative/business contact (name, address, phone/fax, electronic mail address) and;
 - 6) Proposed period of performance (identify both the base period and any options, if included).
 - 7) Signature of the 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, 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:** 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.
- **Project Schedule and Milestones:** A summary of the schedule of events and milestones.

Assertion of Data Rights: 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: 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:** 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:** 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:** 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 for 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 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.

DoD's Procurement Technical Assistance Centers (PTACs) provide a wide range of services including assistance with developing a cost-accounting system as well as preparing for an audit. The Defense Logistics Agency (DLA) administers the DoD Procurement Technical Assistance Program (PTAP). Procurement Technical Assistance Centers are located in basically every state of the union and provide assistance to businesses seeking to successfully compete in federal, state and local government contracting. A listing of PTACs by state may be accessed at: <http://www.dla.mil/db/procurem.htm>.

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: 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: 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 and that the attached proposal is a subcontract, and should include a description of the effort to be performed by the subcontractor. A proposal and supporting documentation must be received and reviewed before the Government can complete its cost analysis of the proposal and enter negotiations. The prime contractor should perform and provide a cost/price analysis of each subcontractor’s cost proposal.* Offerors are required to obtain competition to the maximum extent practicable when selecting subcontractors or interorganizational transfers; if the offeror has obtained competitive quotes, copies should be provided. If the Offeror has selected other than the low bid for inclusion in their proposal or intends to award the subcontract/interorganizational transfer on a sole-source basis, the offeror should provide rationale for their decision. Certified cost or pricing data may be required for subcontractor proposals over \$650,000.

***Note:** Federal Acquisition Regulation 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 purchases, catalog price lists). The description should identify the component, nomenclature, and configuration of the equipment/hardware that it proposes to purchase for this effort. The purchase on a direct reimbursement basis of equipment that is not included in a deliverable item will be evaluated for allowability on a case-by-case basis. Maximum use of Government integration, test, and experiment facilities is encouraged in each of the Offeror’s proposals.
- Other 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. When options are contemplated, options must be separately identified and priced by task/sub-task.

INSTRUCTIONS FOR GRANTS (Does not include contracts, cooperative agreements and other transaction agreements)

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

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., 332) and the Program Officer's name, last name first, in brackets (i.e., [Weise, Michael]).

Full Proposal Format – Volume 1 - Technical and Volume 2 - Cost Proposal

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single or double-spaced
- Font – Times New Roman, 12 point
- Number of Pages - The Technical Volume (Vol. 1) shall not exceed more than 15 pages. 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 the Cost Proposal, Volume 2.
- Copies –The full proposal should 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 10-024;
 - 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).
- **Table of Contents:** An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.

• **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.

• **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 15 pages.

• **Project Schedule and Milestones:** A summary of the schedule of events and milestones:

• **Reports:**

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:** 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.

• **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 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 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 full curricula vitae for the Principal Investigator, consultants, and other key personnel. The curricula vitae shall be attached to the proposal and will not count toward the page limitations.

• **Ship Use:** Requirements for ship time must be specifically included in the proposal, which should clearly specify the size and type of vessels proposed for use. Ships of opportunity are encouraged. Offeror should include ship time requests on the University National Oceanographic Laboratory System (UNOLS) on-line request form available at: <http://www.gso.uri.edu/unols/ship/shiptime.html>.

VOLUME 2: Cost Proposal

The offeror must use the Grants.gov forms from the application package template associated with the BAA on 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).
NOTE: If the grant proposal is for a conference, workshop, or symposium, the proposal should include the following statement: “Government funding will not be used for food or beverages.”
- Fee/Profit – Fee/profit is unallowable.

Projects which include participation by a Federal entity should include a separate budget detailing the Federal entity’s proposed costs in the full partnership proposal. Federal entities will be funded separately via an Economy Act Order.

• Ship Use: Costs for use of ships must be included in the proposal budget.

• Table of Partners and Costs: The cost proposal should lead with a table summarizing by fiscal year and for each academic institution, business, not-for-profit agency, and government agency requesting funds: the Principal Investigator(s), the name of the institution and its nature, and funds requested for each fiscal year of the proposed effort. Information is required in the following example format:

TABLE OF PARTNERSHIPS:

Principal Investigator(s)*	Institution*	FY10 funds Requested	FY11 funds Requested	FY12 funds Requested	<i>... Additional years as required</i>
R. Johnson (lead PI)	Random University (Academic)	\$125,314	\$127,216	\$131,614	
J. Jones & S. Smith	Vandaley Industries (Business)	\$110,615	\$37,212	\$64,312	
L. Simmons	The Ocean	\$25,000	\$25,000	\$0	

	Mammal Conservancy (Non-profit)				
T. Ritter	DEQ of Texas (State Gov)	\$10,000	\$10,000	\$10,000	
OTHER THAN FEDERAL GOVERNMENT SUBTOTAL:	_____	\$260,929	\$189,428	\$195,926	
T. Wilson	NOAA Laboratory for Oceans (Government)	\$57,612	\$61,214	\$50,000	
FEDERAL GOVERNMENT PARTICIPANT TOTAL:	_____	\$57,612	\$61,214	\$50,000	
PROJECT TOTAL:	_____	\$318,541	\$250,642	\$245,926	

*Participant names are fictitious and are used simply for illustrative purposes.

Part 2 : Cost breakdown by task/sub-task corresponding to the same task breakdown in the proposed Statement of Work. When options are contemplated, options must be separately identified and priced by task/subtask.

3. Significant Dates and Times

Anticipated Schedule of Events		
Event	Date (MM/DD/YEAR)	Time (Washington DC Local Time)
Deadline for Receipt of Questions	9 NOV 2010	2:00 p.m.
Full Proposals Due Date	23 November 2010	2:00 p.m.
Notification of Selection for Award*	25 January 2011	
Award (start date)*	3 months after receipt by Contracting and Grants Division	

***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 it is recommended that any hard-copy

proposal be mailed 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 and Cooperative Agreement Proposals through Grants.gov

(NOT APPLICABLE TO PROPOSALS FOR CONTRACTS, COOPERATIVE AGREEMENTS, AND OTHER TRANSACTION AGREEMENTS)

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>.

Grant and cooperative agreement proposals shall be submitted through Grants.gov using the mandatory Grants.gov form(s) from the application package template associated with the BAA on the Grants.gov website. The use of the optional forms from the application package template associated with the BAA is highly encouraged. To be considered for award, applicants must include the ONR Department Code “322” in Block 4 entitled ‘Federal Identifier’ of the Standard Form (SF) 424 R&R.

By completing Blocks 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 and cooperative agreement full proposals, there are several one-time actions that must be completed in order to submit an application through Grants.gov. These include obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the Central Contract Registry (CCR), registering with the credential provider, and registering with Grants.gov. See <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 which will provide guidance through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called ‘MPIN’ are important steps in the CCR registration process. Applicants who are not registered with CCR and Grants.gov should allow at least 21 days to complete these requirements. The process should be started as soon as possible. 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.

6. Address for the Submission of Full Proposals for Contracts

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

Office of Naval Research
Attn: Dr. Michael Weise
Suite 1068
ONR Department Code 322
875 North Randolph Street
Arlington, VA 22203-1995

V. EVALUATION INFORMATION

1. Evaluation Criteria –

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

- 1) Overall scientific and technical merits of the proposal. [Note: Merit review criteria specific to evaluation of proposals for National Science Foundation funding are provided in Appendix 1 for review and use in preparation of proposals under this BAA. Submitters who want their proposals considered by non-NSF agencies as well as NSF must ensure that Evaluation Criterion 1 is addressed both in the general language of the criterion above and in the more specific language of Appendix 1.];
- 2) Potential relevance and contributions of the effort to the agency's specific mission;
- 3) The offeror's capabilities, related experience, facilities, techniques or unique combinations of these which are integral factors for achieving the proposal objectives;
- 4) The qualifications, capabilities and experience of the proposed Principal Investigator (PI), team leader and key personnel who are critical in achieving the proposal objects; and
- 5) The realism of the proposed costs and availability of funds.

Overall, the Technical Factors (Factors 1 – 4 above) are significantly more important than the Cost Factor (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.

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 performance.

At the conclusion of the review process, the Program Officer from the agency or activity that will recommend funding of successful proposals will notify lead proposers for those projects recommended for support, and may recommend revisions in the proposed work and budget. Any proposals selected for funding by NSF will be required to be resubmitted to NSF's FastLane system. Final awards will be issued by the agency responsible for a specific project after receipt and processing of any specific documents required by the agency. Investigators may be asked to modify objectives, work plans or budgets, and provide supplemental information required by the agency prior to the award. Awards will be approved, monitored, and closed out in accordance with the issuing agency's award terms and conditions. When a decision has been made (whether an award or declination), verbatim anonymous copies of reviews and summaries of review panel deliberations, if any, will be made available to the proposer.

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”.
- 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 <https://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 –

Contracts and Section 845 Other Transaction Agreement 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 DFARS and contract specific representations and certifications. These "DFARS and Contract Specific Representations and Certifications", i.e., Section K, may be accessed under the Contracts and Grants Section of the ONR Home Page at <http://www.onr.navy.mil/en/Contracts-Grants/submit-proposal/~media/DEBFC3AD40D54FCBA3312A380D3795A7.ashx>. This certification requirement is also applicable for Other Transaction Agreement proposals involving prototypes (Section 845 agreements).

Grants, Cooperative Agreements and Normal Other Transaction Agreements (OTAs):

Grant and Cooperative Agreement awards greater than \$100,000, as well as OTAs not under Section 845, require a certification of compliance with a national policy mandate concerning lobbying. Grant, Cooperative Agreement and OTA applicants shall provide this certification by electronic submission of SF424 (R&R) as a part of the electronic proposal submitted via 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 subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

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

Grants and Other Assistance Agreements not through Grants.gov:

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

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

NOPP Specific Requirements: In addition to the requirements above, and prior to issuance of awards for recommended proposals, investigators must submit the following documents if experiments or field work involves the use of animals: 1) documentation that facility is AAALAC-approved or has NIH Animal Use Assurance if captive animal facilities are proposed, and 2) copies of NMFS Fisheries scientific research permit if applicable (US Researchers), or 3) United Kingdom and/or Society for Marine Mammalogy animal care guidelines for proposals submitted from Performers in countries with no guidelines of their own.

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. 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. 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 other assistance instruments may be eligible to use HPCMP assets in support of their funded activities if ONR Program Officer approval is obtained and if security/screening requirements are favorably completed. Additional information and an application may be found at <http://www.hpcmo.hpc.mil/>.

6. 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. Protection of Proprietary and Sensitive Information - RESERVED

8. 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.

APPENDIX 1: NATIONAL SCIENCE FOUNDATION CRITERIA

National Science Foundation merit review criteria associated with Factor 1 (Overall Scientific and Technical Merits of the Proposal) are listed below. Following each criterion are potential considerations that the reviewer may employ in the evaluation. These are suggestions and not all will apply to any given proposal. Each reviewer will be asked to address only those that are relevant to the proposal and for which he/she is qualified to make judgments.

Criterion 1: What is the intellectual merit of the proposed activity?

How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of prior work.) To what extent does the proposed activity suggest and explore creative, original, or potentially transformative concepts? How well conceived and organized is the proposed activity? Is there sufficient access to resources?

Criterion 2: What are the broader impacts of the proposed activity?

How well does the activity advance discovery and understanding while promoting teaching, training, and learning? How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)? To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships? Will the results be disseminated broadly to enhance scientific and technological understanding? What may be the benefits of the proposed activity to society?

Additional information about broader impacts can be found at:

<http://www.nsf.gov/pubs/gpg/broaderimpacts.pdf>

Postdoctoral Mentoring Activities

Each proposal that requests funding to support postdoctoral researchers must include a description of the mentoring activities that will be provided for such individuals. Mentoring activities provided to postdoctoral researchers supported on the project, as described in a one-page supplementary document, will be evaluated under the Broader Impacts criterion.

PIs should address the following elements in their proposal to provide reviewers with the information necessary to respond fully to the above-described merit review criteria.

Integration of Research and Education

One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and students, and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learning perspectives.

Integrating Diversity into NSF Programs, Projects, and Activities

Broadening opportunities and enabling the participation of all citizens -- women and men, underrepresented minorities, and persons with disabilities -- are essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.