



Broad Agency Announcement (BAA)

Detection of Surface and Near-Surface Drifting/Oscillating Mines

INTRODUCTION:

This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and 35.016, the Department of Defense Grants and Agreements Regulations (DoDGARS) 22.315(a), and DoD's Other Transactions Guide for Prototype Projects, USD(AT&L), OT Guide, 21 Dec 2000. A formal Request for Proposals (RFP), other solicitation, or additional information regarding this announcement will not be issued.

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

I GENERAL INFORMATION:

- 1. Agency Name** - Office of Naval Research
- 2. Research Opportunity Title** - Broad Agency Announcement (BAA) for Detection of Surface and Near-Surface Drifting/Oscillating Mines
- 3. Program Name** - Detection and Neutralization of Surface and Near-Surface Drifting/Oscillating Mines
- 4. Research Opportunity Number** - BAA 11-024
- 5. Response Date** -

White Papers: 7/18/2011
Full Proposals: 9/19/2011

- 6. Research Opportunity Description** -

The Office of Naval Research (ONR) is seeking white papers describing innovative technology solutions leading to wide-area detection, classification, localization and tracking of surface and near-surface drifting / oscillating mines and prediction of mine drift from direct environmental observations and ocean models to support tactical planning. Surface and near-surface drifting mines include: mines designed to drift on the ocean surface; mines designed to drift and oscillate near the ocean surface within a preset depth range; improvised explosive devices intentionally cast adrift to harass maritime traffic; and moored mines intentionally or unintentionally separated from a tether.

There are two distinct but strongly connected products that work together to enable effective planning and conduct of mine countermeasures (MCM) operations in drifting mine environments. They are: (1) Compact Modular Sensor / Processing Suite (CMSS), and; (2) Mine Drift Tactical Decision Aid (TDA). It is likely that mature hardware solutions already exist and that the required innovation will come from the optimization of a sensor suite, the development of real-time target recognition algorithms, and techniques to characterize the environment in real-time onboard the platform.

1. Compact Modular Sensor and Processing Suite (CMSS)

The Compact Modular Sensor and Processing Suite (CMSS) is a wide-area search, multi-mission, platform-independent sensor package to provide real-time detection, classification, and localization of surface and near-surface drifting / oscillating mines through the fusion of compact sensors, advanced algorithms, and real-time onboard processing technologies. The deliverable will be a sensor package with improved algorithms integrated with data processing for real-time detection, classification, localization, and tracking from a tactical unmanned airborne vehicle (TUAV). The classification must be onboard the TUAV in real-time to allow for immediate neutralization of the target by a separate system (not addressed in this BAA). The sensor suite must also provide in-situ information about the environment to be used with the Mine Drift TDA to predict drift trajectories. Possible sensors include, but are not limited to, Synthetic Aperture Radar (SAR), Real Aperture Radar (RAR), and Electro-Optic Sensors.

2. Mine Drift Prediction Tactical Decision Aid (TDA)

The Mine Drift Tactical Decision Aid (TDA) will enable MCM planning operations in areas threatened by near-surface drifting mines. It will: (1) predict drift trajectories using real-time environmental and target observations from CMSS, oceanographic model data, and other sources to provide intelligent preparation of the environment before operations commence and situational awareness during operations; (2) provide tools to allow optimal deployment of the CMSS for search and/or environmental information gathering; and (3) provide tools to generate a ship maneuver plan which minimizes risk of engaging drifting threats. The final product will be a set of modular software components integrated into the existing mine warfare command and control environment.

Tasks:

Offerors can choose to propose solutions that address the entire problem or select aspects of the problem that best match their experience and capabilities. To facilitate this, ONR has broken down the problem into separate tasks. Offerors choosing to propose a solution to the entire problem must provide a separate white paper for each task.

(1) Wide-Area Detection, Classification, Localization, and Tracking of Surface Drifting Mines

In this task, a test-bed with one or more sensors will be optimally configured and flight tested to demonstrate wide-area detection, classification, localization and tracking of surface drifting mines as well as the collection of data to be used to characterize the ocean environment. The emphasis is on targets that are on or close to the ocean surface but not submerged under the ocean surface enough to require the use of sensors designed to penetrate a substantial amount of water.

The data collected will be used for the development and evaluation of target recognition algorithms and characterization of the ocean environment. The data will be delivered in a Government specified format for distribution to performers working on the development of target recognition algorithms (Task 3) or characterization of the ocean environment (Task 4). The contractor(s) will participate in the flight test and data collection. The Government anticipates data collection to occur within 12 to 15 months after contract award.

(2) Detection, Classification, Localization, and Tracking of Near-Surface Drifting and/or Oscillating Mines

In this task, a test-bed with one or more sensors will be optimally configured and flight tested to demonstrate detection, classification, localization and tracking of near-surface drifting and oscillating mines as well as the collection of data to be used to characterize the ocean environment. The emphasis is on targets that are submerged below the ocean surface enough to require the use of sensors that can penetrate a substantial amount of water.

The data collected will be used for the development and evaluation of target recognition algorithms and characterization of the environment. The data will be delivered in a Government specified format for distribution to selected contractors working on target recognition algorithms (Task 3) or characterization of the environment (Task 4). The contractors will participate in the flight test and data collection. The Government anticipates data collection to occur within 15 to 24 months after contract award.

(3) Target Recognition Algorithm Development

This task will develop two sets of detection & classification algorithms; one set for surface mines (i.e., with a surface expression) and one for submerged mines (up to the working depths of the sensors). White papers may address only one or both of these algorithm sets. A single algorithm set addressing both surface and submerged mines is also acceptable. The data sets emerging from Task 1 and Task 2 will not be available immediately; therefore contractors are encouraged to use existing data sets containing relevant targets to begin the demonstration of proposed algorithms before newly collected data sets are made available. Offerors must have access to existing data sets or demonstrate the ability to acquire existing data sets. The sensor details will depend on Task 1 & Task 2, but sensing modalities may include synthetic aperture radar, passive electro-optic, and active electro-optic. Additional consideration should be given to exploiting information including but not limited to thermal, polarimetry, and multispectral. Algorithms should accept raw data and produce data products according to a Government specified format. They should be modular such that they can be demonstrated in both post-mission software architecture and deployed in an embedded, real-time, power constrained TUAV. The primary challenge in algorithm design for this application stems from the extreme variability in environmental conditions. Therefore, in order to be considered competitive, the white papers must provide enough information to demonstrate that the proposed algorithms have sufficient ability to adapt to these variations. Further, offerors are encouraged to consider the use of performance estimation models to both estimate/report expected and in situ performance as well as optimally adapt the detection and classification process to the particular environment encountered. The Government anticipates data sets to be available within 2 - 3 months after completion of each data collection flight test as described in Task 1, Task 2, and Task 4.

(4) Characterization of the Ocean Environment

In this task, a test-bed with one or more sensors will be optimally configured and flight tested to enable observation of environmental phenomena relevant to the Detection, Classification, Localization, and Tracking of surface drifting mines and near-surface drifting and oscillating mines. The observations should be suitable for determining directional surface gravity wave spectra, surface currents, and indicators of optical properties of the water column, at a minimum. It is expected that sensing approaches to Tasks 1 and Task 2 and data collected during those tasks may also be suitable for environmental characterization; however, additional sensors may be necessary or desired to collect the information needed to characterize the environment.

(5) Mine Drift Prediction Tactical Decision Aid (TDA)

This task will integrate environmental data generated in Task 1, Task 2, and Task 4 as well as other sources (which may include in situ drifting sensors, output from NAVO models, intelligence products, among others) to produce an optimal forecast of mine drift, dispersion and probability of detection. A hierarchy of oceanographic models should be considered to address data availability, since data available for assimilation into forecasting models may be abundant, sparse or non-existent. Mine drift forecasts will be integrated into a set of planning tools to enable preparation of the battlespace before operations and situational awareness during operations. At a minimum, TDA planning tools should provide the capability to plan efficacious deployment of CMSS, and the capability to plan ship maneuvers. The deliverable is a stand-alone software service compatible with MIW C2 (e.g., MEDAL-EA, EPMA and NSAM).

The Government anticipates integrating a final test bed configuration for the purpose of simultaneously collecting data with the sensors demonstrated in Task 1, Task 2, and Task 4.

Offerors should submit separate white papers for each task of interest. Offerors addressing two or more tasks may also submit a separate overview document describing synergies between tasks.

White papers should propose solutions which are suitable for deployment from a tactical unmanned airborne vehicle (TUAV) flying at a minimum altitude of 3000 feet and at a minimum velocity of 75 knots. Target detection and classification shall be conducted in real-time onboard the TUAV to enable immediate neutralization of the target by a separate system. Proposed solutions must be able to demonstrate: (1) a high probability of detection, low number of false contacts, and classification onboard the platform to a level sufficient to classify the target with a high level of confidence; and (2) characterization of the environment in real-time onboard the platform. The technology solutions must be demonstrated at a technology readiness level (TRL) of 6.

After down-selecting white papers, full proposals may be requested from selected candidates. The maturity level of any hardware proposals addressing this BAA should be sufficient to support early Government supported testing. Testing will be over realistic target fields and will provide data sets to Task 3, and Task 5 performers. The ONR will require that all data sets collected be provided to the Government in a format suitable for distribution to additional performers to develop data handling and processing techniques, real-time algorithms and onboard classification techniques, and data fusion techniques.

7. Point(s) of Contact -

Questions of a technical nature with regards to the CMSS product should be submitted to:

Mr. Brian Almquist
ONR Code: 321
Ocean Engineering & Marine Systems (321OE), Rm. 1091
Office of Naval Research
Email Address: Brian.Almquist@navy.mil

Questions of a technical nature with regards to the Mine Drift Prediction TDA product should be submitted to:

Dr. Tom Drake
Littoral Geosciences and Optics Team, Code 322
Office of Naval Research
Email: Tom.Drake@navy.mil

Questions of a business nature should be submitted to:

Ms. Vanessa Seymour
ONR Code BD 252
Office of Naval Research
Email: Vanessa.Seymour@navy.mil

Any questions regarding this solicitation must be provided to the Technical Points of Contact and to the Business Point of Contact listed in this solicitation. All questions shall be submitted in writing by electronic mail.

Questions submitted within 2 weeks prior to a deadline may not be answered, and the due date for submission of the white paper and/or full proposal will not be extended, as appropriate.

Amendments will be posted to one or more of the following webpages:

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

Questions of a security nature should be submitted to:

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

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

8. Instrument Type(s) - Contracts, Grants, and other Assistance Agreements

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

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

12.630

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

Basic, Applied & Advanced Research in Science and Engineering

11. Other Information -

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. The research shall not be considered fundamental in those rare and exceptional circumstances where the applied research effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the contract or grant.

Pursuant to DoD policy, research performed under grants and contracts that are a) funded by Budget Category 6.2 (Applied Research) and NOT performed on-campus at a university or b) funded by Budget Category 6.3 (Advanced Research) does not meet the definition of "contracted fundamental research." In conformance with the USD(AT&L) guidance and National Security Decision Direction 189, ONR will place no restriction on the conduct or reporting of unclassified "contracted fundamental research," except as otherwise required by statute, regulation or Executive Order. For certain research projects, it may be possible that although the research being performed by the prime contractor is restricted research, a subcontractor may be conducting "contracted fundamental research." In those cases, it is the *prime contractor's responsibility* in the proposal to identify and describe the subcontracted unclassified research and include a statement confirming that the work has been scoped, negotiated, and determined to be fundamental research according to the prime contractor and research performer.

Normally, fundamental research is awarded under grants with universities and under contracts with industry. Non-fundamental research 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 this BAA, the research and development efforts to be funded will consist of applied research and advanced technology development. The funds available to support awards are Budget Activities 2 and 3.

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):

FY2012	FY2013	FY2014	FY2015	FY2016	Total
\$4300	\$6950	\$7800	\$7500	\$5950	\$32500

The Office of Naval Research plans to make two (2) to five (5) 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 twenty-four (24) months up to forty-eight (48) months. ONR anticipates a budget of approximately \$7,000,000 per year for the Detection and Neutralization of Surface and Near-Surface Drifting/Oscillating Mines program.

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.

In the case of funded proposals for the production and testing of prototypes, ONR may during the contract period add a contract line item or contract option for the provision of advanced component development or for the delivery of additional prototype units. However, such a contract addition shall be subject to the limitations contained in Section 819 of the National Defense Authorization Act for Fiscal Year 2010.

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.

University Affiliated Research Centers are eligible to submit proposals under this BAA unless precluded from doing so by their Department of Defense UARC contracts.

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

Some topics cover export controlled technologies. Research in these areas is limited to "U.S. persons" as defined in the International Traffic in Arms Regulations (ITAR) - 22 CFR § 1201.1 et seq.

The Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by Section 6202 of Public Law 110-252, requires that all agencies establish requirements for recipients reporting information on subawards and executive total compensation as codified in 2 CFR 170.110. Any company, non-profit agency or university that applies for financial assistance (either grants, cooperative agreements or other transaction agreements) as either a prime or sub-recipient under this BAA must provide information in their proposal that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR 170.220 and Appendix A. Entities are **exempt** from this requirement **UNLESS** in the preceding fiscal year, it received: a) 80 percent or more of its annual gross revenue in Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; b) \$25 million or more in annual gross revenue from Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; and c) the public does not have access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 or section 6104 of the Internal Revenue Code of 1986.

IV. APPLICATION AND SUBMISSION INFORMATION

1. Application and Submission Process - White Paper, Full Proposals

White Papers: The due date for white papers is no later than 3:00 PM (EDT) on Monday, July 18th, 2011. White papers are to be submitted as a pdf file only to the following upload website:

<http://onroutside.onr.navy.mil/ASPPProcessor/annual321oe/>

If an Offeror does not submit a white paper before the specified due date and time, it is not eligible to participate in the remaining Full Proposal submission process and is not eligible for funding. Each white paper should state that it is submitted in response to this BAA and cite the particular sub-section of the Research Opportunity Description that the white paper is primarily addressing.

The Future Naval Capabilities team will evaluate each white paper and indicate in its email response to the proposer whether a full proposal would appear to have a high or low probability of success if submitted. Submission of a full proposal will be either encouraged or discouraged; however, a full proposal may be submitted by a proposer, even if its white paper was not well received, and it will receive full consideration.

White Paper Evaluation/Notification: Navy evaluations of the white papers will be issued via email notification on or about 22 August 2011

Full Proposals: The due date and time for receipt of Full Proposals is no later than 19 September 2011, 3:00 p.m. Eastern Daylight Time. It is anticipated that final selections will be made within 6 weeks after full proposal submission. As soon as the final full proposal evaluation process is completed, PI's will be notified via email of their project's selection or non-selection for FY12 funding. Full proposals received after the published due date and time will not be considered for funding.

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

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

Unclassified Proposal Instructions:

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

Classified Proposal Instructions:

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

OUTSIDE ENVELOPE (no classification marking):

Office of Naval Research
Document Control Unit
ONR Code 43
875 North Randolph Street
Arlington, VA 22203-1995

The inner wrapper of the classified proposal should be addressed to the attention of Almquist, Brian (brian.almquist@navy.mil), ONR Code 32 and marked in the following manner:

INNER ENVELOPE (stamped with the overall classification of the material)
Program: Broad Agency Announcement (BAA) for Detection of Surface and Near-Surface Drifting/Oscillating Mines
Office of Naval Research
Attn: Almquist, Brian
ONR Code: 32
875 North Randolph Street
Arlington, VA 22203-1995

An 'unclassified' Statement of Work (SOW) must accompany any classified proposal.

Proposal submissions will be protected from unauthorized disclosure in accordance with FAR Subpart 15.207, applicable law, and DoD/DoN regulations. Offerors are expected to appropriately mark each page of their submission that contains proprietary information.

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
- Max. Number of Pages permitted: 7 pages (excluding cover page, resumes, bibliographies, and table of contents)

Copies - One (1) electronic copy in Adobe PDF or Word 2007 delivered via the following upload website: <http://onroutside.onr.navy.mil/ASPPProcessor/annual321oe/> **NOTE: 1) Do not send .ZIP files; 2) Do not send password protected files.**

White Paper Content

- **Cover Page:** The Cover Page shall be labeled "WHITE PAPER" and shall include the BAA number, proposal 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 should indicate whether the white paper is addressing the CMSS product (attn: Mr. Brian Almquist) or the TDA product (attn: Dr. Tom Drake).
- **Technical Concept:** A description of the technology innovation and technical risk areas.

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 Naval Concept: A description of the project objectives, the concept of operation for the new capabilities to be delivered, and the expected operational performance improvements. **Operational Utility Assessment Plan:** A plan for demonstrating and evaluating the operational effectiveness of the Offeror's proposed products or processes in field experiments and/or tests in a simulated environment.

- **Other Requirements:** Quad Chart - A quad chart will be included in the white paper. (See attachment).

b. FULL PROPOSALS

INSTRUCTIONS FOR CONTRACTS, COOPERATIVE AGREEMENTS AND OTHER TRANSACTION AGREEMENTS (Does not include Grants)

NOTE: Submission instructions for BAAs issued after FY2010 have changed significantly from previous requirements. Potential Offerors are advised to carefully read and follow the instructions below. The new format and requirements have been developed to streamline and ease both the submission and review of proposals. Both the Template and the Spreadsheet have instructions imbedded into them that will assist in completing the documents. Also, both the Template and the Spreadsheet require completion of cost-related information – both documents must be fully completed to constitute a valid proposal.

All proposals must use ONR's Technical and Cost Proposal Template and Cost Proposal Spreadsheet. The Template can be found by following this link: <http://www.onr.navy.mil/Contract-Grants/submit-proposal/contracts-proposal/cost-proposal.aspx>. Please note that all the attachments listed in Section III.8 of the Template can be incorporated into the Template file for submission.

The Cost Proposal Spreadsheet can be found by following this link: <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/contracts-proposal/cost-proposal.aspx>. Click on the "proposal spreadsheet" link and save a copy of the spreadsheet. Instructions for completion have been embedded into the spreadsheet. Any proposed options that are identified in the Technical and Cost Proposal Template, but are not fully priced out in the Cost Proposal Spreadsheet, 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 proposed subcontracts or interorganizational transfers over \$150,000, Offerors must provide a separate fully completed Cost Proposal Spreadsheet in support of the proposed costs. This spreadsheet, 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. Offerors should also familiarize themselves with the new subcontract reporting requirements set forth in Federal Acquisition Regulation (FAR) clause 52.204-10, Reporting Executive Compensation and First-Tier Subcontract Awards. From October 1, 2010 through February 28, 2011, any newly awarded subcontract must be reported if the prime contract award amount is \$550,000 or more. Starting March 1, 2011, any newly awarded subcontract must be reported if the prime contract award amount was \$25,000 or more. The pertinent requirements can be found in Section VII, Other Information, of this document.

Offerors should submit one (1) electronic copy on CD-ROM. Offerors shall follow the Technical and Cost Proposal Template. The electronic Technical and Cost Proposal should be submitted in a secure, pdf compatible format, save for the electronic file for the Cost Proposal Spreadsheet which should be submitted in a Microsoft Excel 2007 compatible format. All attachments should be submitted in a secure, pdf compatible format.

The secure pdf compatible format is intended to prevent unauthorized editing of the proposal prior to any award. A password should not be required for opening the proposal document, but the Government must have the ability to print and copy text, images, and other content. Offerors may also submit their Technical and Cost Proposal in an electronic file that allows for revision (preferably in Microsoft Word) to facilitate the communication of potential revisions. Should an Offeror amend its Technical and Cost Proposal package, the amended proposal should be submitted following the same hard and electronic copy guidance applicable to the original proposal.

The electronic submission of the Excel spreadsheet should be in a "useable condition" to aid the Government with its evaluation. The term "useable condition" indicates that the spreadsheet should visibly include and separately identify within each appropriate cell any and all inputs, formulas, calculations, etc. The Offeror should not provide "value only spreadsheets" similar to a hard copy.

.INSTRUCTIONS FOR GRANTS

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

Please note that Volume I, Technical Proposal should be submitted as an attachment to the SF 424 rather than being inserted into Block 8, Project Narrative. Block 8 should be completed with a statement that Volume 1 is attached. To attach the Technical Proposal, open the Attachment Form in the Optional Documents box of the application package, scroll down to the Attachment page, and follow the instructions. The file should be titled "Volume I - Technical Proposal."

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 17 pages. Limitations within sections of the proposal, if any, are indicated in the individual descriptions shown below. The cover page, 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.

Full Proposal Content

Volume 1: Technical Proposal

- **Cover Page:** This should include the words "Technical Proposal" and the following:
 1. BAA number BAA 11-024;
 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);
 7. Signature of Authorized Representative.
- **Table of Contents:** An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.
- **Technical Approach and Justification:** The major portion of the proposal should consist of a clear description of the technical approach being proposed. This discussion should provide the technical foundation / justification for pursuing this particular approach / direction and why one could expect it to enable the objectives of the proposal to be met. Limit the number of pages for this section to 15.
 - **Operational Naval Concept:** A description of the project objectives, the concept of operation for the new capabilities to be delivered, and the expected operational performance improvements.
 - **Operational Utility Assessment Plan:** A plan for demonstrating and evaluating the operational effectiveness of the Offeror's proposed products or processes in field experiments and/or tests in a simulated environment.

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

Reports:

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

- Technical and Financial Progress Reports
- Presentation Materials
- Final Report

Grants 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 proposal submissions from whatever sources (e.g., ONR, Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations).

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

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

Qualifications: A discussion of the qualifications of the proposed Principal Investigator and any other key personnel. Include resumes for the Principal Investigator and other key personnel and full curricula vitae for 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

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 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 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. Fee/profit is not allowable on any subawards made through assistance agreements. Fee is allowable on subcontract awards.
- 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).
Options - The Base Period of Performance and Option Periods must be priced at the submission of the proposal. Unpriced options will not be included in any resulting award or agreement.

- Fee/Profit - Fee/profit is unallowable under assistance agreements at either the prime or subaward level but may be permitted on any subcontracts issued by the prime awardee.

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 -

Event	Date	Time
White Paper Due Date	7/18/2011	3:00 PM Eastern Daylight Time
Notification of White Paper Evaluation*	8/22/2011	
Full Proposal Due Date	9/19/2011	3:00 PM Eastern Daylight Time
Notification of Selection: Full Proposals*	11/7/2011	
Awards*	3/7/2012	

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

NOTE: Due to changes in security procedures since September 11, 2001, the time required for hard-copy written materials to be received at the Office of Naval Research has increased. Materials submitted through the U.S. Postal Service, for example, may take seven days or more to be received, even when sent by Express Mail. Thus any hard-copy proposal should be submitted long enough before the deadline established in the solicitation so that it will not be received late and thus be ineligible for award consideration.

4. Submission of Late Proposals -

Any proposal, modification, or revision that is received at the designated Government office after the exact time specified for receipt of proposals is "late" and will not be considered unless it is received before award is made, the contracting officer determines that accepting the late proposal would not unduly delay the acquisition and:

- If it was transmitted through an electronic commerce method authorized by the announcement, it was received at the initial point of entry to the Government infrastructure not later than 5:00 P.M. one working day prior to the date specified for receipt of proposals; or
- There is acceptable evidence to establish that it was received at the Government installation designated for receipt of proposals and was under the Government's control prior to the time set for receipt of proposals; or
- It was the only proposal received.

However, a late modification of an otherwise timely and successful proposal that makes its terms more favorable to the Government will be considered at any time it is received and may be accepted.

Acceptable evidence to establish the time or receipt at the Government installation includes the time/date stamp of that installation on the proposal wrapper, other documentary evidence of receipt maintained by the installation, or oral testimony or statements of Government personnel.

If an emergency or unanticipated event interrupts normal Government processes so that proposals cannot be received at the Government office designated for receipt of proposals by the exact time specified in the

announcement, and urgent Government requirements preclude amendment of the announcement closing date, the time specified for receipt of proposals will be deemed to be extended to the same time of day specified in the announcement on the first work day on which normal Government processes resume.

The contracting officer must promptly notify any offeror if its proposal, modifications, or revision was received late and must inform the offeror whether its proposal will be considered.

5. Submission of Grant Proposals through Grants.gov

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

Grant proposals shall be submitted through Grants.Gov using the Grants.gov forms from the application package template associated with the BAA on the Grants.Gov website. 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 ONR Department code [32] and the Program Officer's name [Brian Almquist]. 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 are under the Submit Proposals section of the website at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-gov.aspx>

As stated in Section IV. 2, White Papers should not be submitted through the Grants.gov Apply process but rather should be sent directly to ONR. White paper submissions should be e-mailed directly to the Technical Point of Contact. White Paper format requirements are found in Section IV, item 2a above.

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, there are several one-time actions that must be completed in order to submit an application through Grants.gov. These include obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the Central Contract Registry (CCR), registering with the credential provider, and registering with Grants.gov. See www.grants.gov, specifically 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.

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.

Applicants who have registered with Grants.gov are urged to submit their proposals electronically at least three days before the date and time that proposals are due so that they will not be received late and be ineligible for award consideration.

Proposal Receipt Notices:

After a full proposal is submitted through Grants.gov, the Authorized Organization Representative (AOR) will receive a series of three e-mails. You will know that your proposal has reached ONR when the AOR receives e-mail Number 3. You will need the Submission Receipt Number (e-mail Number 1) to track a submission. The three e-mails are:

Number 1 - The applicant will receive a confirmation page upon completing the submission to Grants.gov.

Number 2 - The applicant will receive an e-mail indicating that the proposal has been validated by Grants.gov within two days of submission (this means that all of the required fields have been completed).

Number 3 - The third notice is an acknowledgement of receipt in e-mail form from ONR within ten days from the proposal due date, if applicable. The e-mail is sent to the authorized representative for the institution. The e-mail for proposals notes that the proposal has been received and provides the assigned tracking number.

6. Address for the Submission of White Papers and Full Proposals for Contracts, Cooperative Agreements, and Other Transaction Agreements.

Hard copies of Full Proposals for Contracts, Cooperative Agreements, and Other Transaction Agreements should be sent to the Office of Naval Research at the following address:

Office of Naval Research
Attn: Almquist, Brian
ONR Code: 32
875 North Randolph Street
Arlington, VA 22203-1995

V. EVALUATION INFORMATION

1. Evaluation Criteria -

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

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

Overall, the technical factors 1 - 4 above are significantly more important than the cost factor, with the technical factors all being of equal value. The degree of importance of cost will increase with the degree of equality of the proposals in relation to the other factors on which selection is to be based, or when the cost is so significantly high as to diminish the value of the proposal's technical superiority to the Government.

The Office of Naval Research is strongly committed to providing meaningful subcontracting opportunities for small businesses, small disadvantaged businesses, woman-owned small businesses, HUBZone small businesses, veteran-owned small business, service disabled veteran-owned small businesses, historically black colleges and universities, and minority institutions through its awards.

For proposed awards to be made as contracts (that exceed \$650,000) to other than small businesses, the Offeror is required to submit a Small Business Subcontracting Plan in accordance with FAR 52.219-9. As such, Subcontracting Plans will be evaluated to ensure that submissions are compliant with FAR Subpart 19.7.

For proposed awards made as contracts to small businesses at any value or to other than Small Businesses that are less than \$650,000, the Offeror shall provide a statement which demonstrates how it intends to provide meaningful subcontracting opportunities to support this policy.

Industry-Academia Partnering - ONR highly encourages partnering among industry and academia with a view toward speeding the incorporation of new science and technology into fielded systems. Proposals that utilize industry-academic partnering which enhances the development of novel S&T advances will be given favorable consideration.

Industry-Government Partnering - ONR highly encourages partnering among industry and Government with a view toward speeding the incorporation of new science and technology into fielded systems. Proposals that utilize industry-Government partnering which enhances the development of novel S&T advances will be given favorable consideration

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 the period of 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. However, proposal selection and award decisions are solely the responsibility of Government personnel. Each support contractor's employee having access to technical and cost proposals submitted in response to this BAA will be required to sign a non-disclosure statement prior to receipt of any proposal submissions.

VI. AWARD ADMINISTRATION INFORMATION

1. Administrative Requirements -

- The North American Industry Classification System (NAICS) code - The NAICS code for this announcement is "541712" with a small business size standard of "500 employees".

- Central Contractor Registration: All Offerors submitting proposals or applications must:
 - (a) be registered in the Central Contractor Registration (CCR) prior to submission;
 - (b) maintain an active CCR registration with current information at all times during which it has an active Federal award or an application under consideration by any agency; and
 - (c) provide its DUNS number in each application or proposal it submits to the agency.

NOTE: Central Contractor Registry (CCR), Subcontracting Plan requirements and Certification requirements are all set forth in the ONR Technical and Cost Proposal Template for those submitting contract proposals.

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

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 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 likewise applies to each cooperative agreement and normal OTA applicant seeking federal assistance funds exceeding \$100,000:

CERTIFICATION REGARDING LOBBYING ACTIVITIES

(1) No Federal appropriated funds have been paid or will be paid by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The applicant shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including sub contracts, sub grants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients shall certify and disclose accordingly.

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

Grants and Cooperative Agreements not through Grants.gov:

Proposers seeking grants or cooperative agreements who have received Grants.gov waiver approval for awards greater than \$100,000 shall complete and submit electronic representations and certifications at the Contracts and Grants Section of the ONR Home Page at <http://www.onr.navy.mil/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 submitting proposals for contracts, cooperative agreements and Other Transaction Agreements should indicate in the Technical and Cost Proposal Template, Section II, Blocks 8 and 9, which of these facilities are critical for the project's success. Offerors submitting proposals for grants should address the need for government-furnished facilities in their technical proposal.

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 by completing Section II, Block 11, DD 254 - Security Classification Specification in the technical and cost proposal template.

3. Use of Animals and Human Subjects in Research (RESERVED)

4. Recombinant DNA (RESERVED)

5. Department of Defense High Performance Computing Program

The DoD High Performance Computing Program (HPCMP) furnishes the DoD S&T and RDT&E communities with use-access to very powerful high performance computing systems. Awardees of ONR contracts, grants, and assistance instruments may be eligible to use HPCMP assets in support of their funded activities if ONR Program Officer approval is obtained and if security/screening requirements are favorably completed. Additional information and an application may be found at <http://www.hpcmo.hpc.mil/>.

6. Organizational Conflicts of Interest

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

7. Project Meetings and Reviews

Individual program reviews between the ONR sponsor and the performer may be held as necessary. Program status reviews may also be held to provide a forum for reviews of the latest results from experiments and any other incremental progress towards the major demonstrations. These meetings will be held at various sites throughout the country. For costing purposes, offerors should assume that 40% of these meetings will be at or near 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. Executive Compensation and First-Tier Subcontract Reporting (APPLIES ONLY TO CONTRACTS)

Section 2(d) of the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. No. 109-282), as amended by section 6202 of the Government Funding Transparency Act of 2008 (Pub. L. 110-252), requires the Contractor to report information on subcontract awards. The law requires all reported information be made public, therefore, the Contractor is responsible for notifying its subcontractors that the required information will be made public.

Unless otherwise directed by the Contracting Officer, by the end of the month following the month of award of a first-tier subcontract with a value of \$25,000 or more, (and any modifications to these subcontracts that change previously reported data), the Contractor shall report the following information at <http://www.ftrs.gov> for each first-tier subcontract:

- (a) Unique identifier (DUNS Number) for the subcontractor receiving the award and for the subcontractor's parent company, if the subcontractor has one.

- (b) Name of the subcontractor.

- (c) Amount of the subcontract award.

- (d) Date of the subcontract award.

- (e) A description of the products or services (including construction) being provided under the subcontract, including the overall purpose and expected outcomes or results of the subcontract.

- (f) Subcontract number (the subcontract number assigned by the Contractor).

- (g) Subcontractor's physical address including street address, city, state, and country. Also include the nine-digit zip code and congressional district.

- (h) Subcontractor's primary performance location including street address, city, state, and country. Also include the nine-digit zip code and congressional district.
- (i) The prime contract number, and order number if applicable.
- (j) Awarding agency name and code.
- (k) Funding agency name and code.
- (l) Government contracting office code.
- (m) Treasury account symbol (TAS) as reported in FPDS.
- (n) The applicable North American Industry Classification System (NAICS) code.

By the end of the month following the month of a contract award, and annually thereafter, the Contractor shall report the names and total compensation of each of the five most highly compensated executives for the Contractor's preceding completed fiscal year at <http://www.ccr.gov>, if -

- (a) In the Contractor's preceding fiscal year, the Contractor received -
 - (i) 80 percent or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and
 - (ii) \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and
- (b) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C.

78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

Unless otherwise directed by the Contracting Officer, by the end of the month following the month of a first-tier subcontract with a value of \$25,000 or more, and annually thereafter, the Contractor shall report the names and total compensation of each of the five most highly compensated executives for each first-tier subcontractor for the subcontractor's preceding completed fiscal year at <http://www.fsr.gov>, if -

- (a) In the subcontractor's preceding fiscal year, the subcontractor received -
 - (i) 80 percent or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and
 - (ii) \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and
- (b) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

If the Contractor in the previous tax year had gross income, from all sources, under \$300,000, the Contractor is exempt from the requirement to report subcontractor awards. Likewise, if a subcontractor in the previous tax year had gross income from all sources under \$300,000, the Contractor does not need to report awards to that subcontractor.

9. Other Guidance, Instructions, and Information

None