



Broad Agency Announcement Number 12-010

Electronics Technology

Table of Content

The following information presents the basic organization of this document as well as the location of significant information:

- I. General Information
 1. Agency Name
 2. Research Opportunity Title
 3. Program Name
 4. Research Opportunity Number
 5. Response Date
 6. Research Opportunity Description
 7. Point(s) of Contact
 8. Instrument Type(s)
 9. Catalog of Federal Domestic Assistance (CFDA) Number
 10. Catalog of Federal Domestic Assistance (CFDA) Titles
 11. Other Information
- II. Award Information
 1. Amount and Period of Performance
 2. Peer Review
 3. Production and Testing of Prototypes
- III. Eligibility Information
- IV. Application and Submission Information
 1. Application and Submission Process
 2. Content and Format of White Papers/Full Proposals
 - a. White Papers
 - b. Full Proposals
 - i. Instructions for Contracts
 3. Significant Dates and Times
 4. Submission of Late Proposals
- V. Evaluation Information
 1. Evaluation Criteria
 2. Small Business Participation
 3. Evaluation Panel
- VI. Award Administration Information

VII. Other Information

1. Government Property/Government Furnished Equipment (GFE) and Facilities
2. Security Classification
3. Use of Animals and Human Subjects in Research
4. Recombinant DNA
5. Use of Arms, Ammunition and Explosives
6. Department of Defense High Performance Computing Program
7. Organizational Conflicts of Interest
8. Project Meetings and Reviews
9. Executive Compensation and First-Tier Subcontract Reporting
10. Other Guidance, Instructions, and Information

INTRODUCTION:

This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and 35.016. 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** - Electronics Technology
- 3. Program Name** - Electronics Discovery and Invention (D&I)
- 4. Research Opportunity Number** - BAA 12-010
- 5. Response Date** -

White Papers: 3/29/2012
Full Proposals: 6/29/2012

6. Research Opportunity Description -

The Office of Naval Research (ONR) is interested in receiving proposals for efforts that will advance and demonstrate science and technology for the next generation electronics and devices under the following focus area:

Broadband, Agile, and Compact Radio Frequency (RF) Filtering, Front-end Analog Signal Processing and Antenna Technologies

Background

Advances in solid state and vacuum electronics technology, combined with growing spectral congestion, are encouraging exploitation of increasingly higher frequency bands and utilizing broader bandwidths for active sensors/imagers, high data rate terrestrial and satellite communications links, and electronic warfare (EW) receivers/transmitters. Many solid state device technologies have achieved significant advances in speed, output power, linearity, noise figure and maturity up through microwave frequencies and into the millimeter wave (MMW) regime that enable capabilities in high capacity communications, high resolution sensors, and wideband EW. While the technology advances have led to significant performance gains in front-end amplifier and mixer technologies, the RF signal conditioning technology has not seen similar progress. The need for improved agile spectral/spatial filtering and pre-digitization processing technologies that function over wide operational frequency ranges is the primary focus of this BAA.

Focus Area

The goal of this BAA is to stimulate innovative proposals that offer compelling advances in the radiation, reception, signal control, and processing of microwave and MMW signals for Navy C4ISR systems. Innovative solutions are sought in the areas of compact, broadband filters for wide frequency agile signal transmission and reception; wideband frequency channelizers and signal cancellation techniques for high dynamic range receivers; and electrically small antennas for directional transmission and reception. Components of particular interest will operate over multiple octaves (at least 2 octaves) between 100 KHz and 100 GHz, with high linearity and power handling. Full range tuning speeds and settling times of frequency agile devices should be in the microsecond or better range. Size, weight and power dissipated during operation should offer an order of magnitude improvement over conventional approaches, and in addition, proposed technology solutions must operate effectively in dense signal environments. Due to the fundamental trade space and broad range of performance parameters of interest, solutions which address many but not all of the aggressive component criteria will be considered.

To summarize these focus area interests, novel technical solutions to the following problem sets are sought:

- a) RF filtering approaches that best address the performance trades between size, quality factor, tuning range/speed, linearity and power handling capability for both receive and transmit;
- b) RF front-end signal processing and channelization approaches that dramatically extend the dynamic range of ultra-wideband receivers with little to no sensitivity degradation; and
- c) Wideband antenna technologies that fundamentally address the electromagnetic constraints related to size-gain-bandwidth.

Offerors are requested to address specific receiver and/or transmitter chain components but in each case must demonstrate how the effort will advance the current state of the art and discuss how the improvement will impact overall performance. Complete receiver or transmitter subsystems are not sought; however proposals that choose to address the overall system architecture should demonstrate how the proposed innovation will impact all the other functional blocks of the RF chain. It is understood that emerging electronic systems have an abundance of diverse requirements. Rather than tailoring this solicitation towards a specific requirement, the goal is to encourage component innovation and to advance performance significantly over the current state of the art.

Highly survivable RF front-end device approaches that minimize overall noise figure and maximize dynamic range will be shown special consideration. Offerors should discuss in depth and quantify specific outcomes of its proposed effort that will advance a capability such as interference immune receive, high dynamic range transmit, or high data rate reception for particular modulation and signaling schemes. Where applicable, performance improvements can be demonstrated by simulations based on government referenced architectures.

Additional areas of interest

While advances in solid state device frequency performance have enabled significant performance gains in amplifier technology (both high power amplifiers (HPAs) and low-noise amplifiers (LNAs)), challenges remain in the overall efficiency, linearity, power output and bandwidth tradeoffs that current device technologies can achieve. A continuing ONR

electronics interest area is to address current known device limitations in order to enable improvements in transmit/receive amplifier performance, especially related to device linearity and power density for millimeter-wave performance. In addition, ONR is receptive to other game-changing concepts in electronics technology areas that are outside the designated focus area but which can significantly impact the performance of Navy and Marine Corps electronic systems.

7. Point(s) of Contact -

Questions of a technical nature should be submitted to:

Primary Point of Contact:

Dr. Steve Pappert
ONR Code: 312
Electronics, Sensors, and Networks Research Division
Office of Naval Research
875 North Randolph Street - Suite 909
Arlington, VA 22203-1995
Email: stephen.pappert@navy.mil

Secondary Point of Contact:

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

Questions of a business nature should be submitted to:

Primary Point of Contact:

Kenesha Y. Hargrave
Contract Specialist
Office of Naval Research, BD 0251
875 North Randolph Street - Suite W1275A
Arlington, VA 22203
(703) 696-5345
E-mail: kenesha.y.hargrave@navy.mil

Secondary Point of Contact:

Vera M. Carroll
Acquisition Branch Head
Office of Naval Research BD0251
875 North Randolph Street - Suite 1279
Arlington, VA 22203-1995
E-mail: vera.carroll@navy.mil

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

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

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 POC and the Business POC stating that the entity would like to ask a CLASSIFIED question. DO NOT EMAIL ANY CLASSIFIED QUESTIONS. The Security POC will contact the entity and arrange for the CLASSIFIED question to be asked through a secure method of communication.

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

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

8. Instrument Type(s) - Contracts

Awards will be issued as Contracts. ONR reserves the right to award a different instrument type if deemed to be in the best interest of the Government.

Any contract awards resulting from this BAA will incorporate the most current FAR, DFARs, NMCARS and ONR clauses. Examples of model contracts can be found on the ONR website at the following link: <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/contracts-proposal/contract-model-awards.aspx>.

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

12.630

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

Basic and Applied Scientific Research

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. ATD is normally awarded under contracts and may require restrictions during the conduct of the research and DoD pre-publication review of research results due to subject matter sensitivity.

As regards the present BAA, the Research and Development efforts to be funded will consist of Applied Research. The funds available to support awards are Budget Category 6.2.

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

1. Amount and Period of Performance-

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.

The Office of Naval Research (ONR) plans to award one (1) to three (3) contracts (particularly cost plus fixed fee (CPFF) type contracts) that represent the best value to the Government in accordance with the evaluation criteria. ONR is seeking participants for this program that are capable of supporting the goals described in this announcement.

ONR plans to fund \$300,000 to \$450,000 per year, per award, using Applied Research funds (Budget Activity 6.2). There may be more than one (1) performer for a particular focus area. However, lower and higher costs proposals will be considered. An Offeror may submit more than one (1) proposal if it wishes because of the several focus areas listed in the Research Opportunity Description section.

The average funding level of past awards was approximately \$300,000-\$500,000 per year. The period of performance for awards may be up to three (3) years. It is the offeror's responsibility to determine the performance period for its proposed research effort. Options will not be utilized.

2. Peer Reviews – N/A

3. Production and Testing of Prototypes –

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 (UARC) 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.

IV. APPLICATION AND SUBMISSION INFORMATION

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

White Paper Submissions

The due date for receipt of white papers is no later than 4:00 PM (EDT) on Thursday, 29 March 2012. White papers received after the published due date and time will not be considered for funding in FY 2013. Each white paper should state that it is submitted in response to this BAA.

The only acceptable method for submission of white papers is by email to the Primary Technical Point of Contact, Dr. Steve Pappert, at stephen.pappert@navy.mil. NOTE: White Papers sent by fax or hard copy delivery will not be considered.

Navy evaluations of the white papers will be issued via email notification on or about Tuesday, 17 April 2012. An expanded oral presentation will be subsequently requested from those Offerors whose proposed technologies have been identified as being of "particular value" to the Navy. However, any such request does not assure a subsequent award. Any offeror whose white paper was not identified as being of "particular value" to the Navy is ineligible to submit a full proposal under the BAA.

Oral Presentation

The purpose of the oral presentation is to better acquaint the Government with the offeror's proposal. Offerors whose white papers are selected for oral presentations will be invited via email to the unclassified oral presentation event which is planned for Thursday, 17 May 2012. A detailed format for the presentation will be provided in the email invitation. Each presentation will be no longer than twenty-five (25) minutes in duration. An additional five (5) minutes will be allowed for questions (if any) from the panel of government reviewers.

Navy evaluations of the oral presentations will be issued via email notification on or about Tuesday, 29 May 2012. A full proposal will be subsequently encouraged from those Offerors whose proposed technologies have been identified through the aforementioned email as still being of "particular value" to the Navy. Any Offeror whose oral presentation was not identified as being of "particular value" to the Navy is ineligible to submit a full proposal under this BAA.

Full Proposals

The due date for full proposals is no later than 4:00 PM (EDT) on Thursday, 29 June 2012. Full proposals received after the published due date and time will not be considered for funding. The only acceptable methods for submission of full proposals for contracts is via the United States Postal Service (USPS) with delivery confirmation, or via a commercial carrier

(FedEx and UPS) and addressed to the attention of Ms. Sheila Richardson at the address stated below:

Office of Naval Research
Attn: Ms. Sheila Richardson
ONR Department Code: 312
875 North Randolph Street – Suite W1105D
Arlington, VA 22203-1995
Phone: (703) 696-0113

NOTE: Full Proposals for Contracts (unless classified) must be submitted via United States Postal Service (USPS) or a commercial carrier (FedEx or United Parcel Service (UPS)). Full Proposals sent by fax or email will not be considered.

Notice of Navy selections based on the full proposal submissions will be issued via email on or about Friday, 20 July 2012.

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

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

Unclassified Proposal Instructions:

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

Classified Proposal Instructions:

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

OUTSIDE ENVELOPE (no classification marking):
Office of Naval Research
Document Control Unit
ONR Code 43
875 North Randolph Street
Arlington, VA 22203-1995

The inner wrapper of the classified proposal should be addressed to the attention of Pappert, Stephen (pappers@onr.navy.mil), ONR Code 312 and marked in the following manner:

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

Program: Electronics Technology
Office of Naval Research
Attn: Pappert, Stephen
ONR Code: 312
875 North Randolph Street
Arlington, VA 22203-1995

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

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

***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: eight (8) pages (excluding cover page, resumes, bibliographies, and table of contents)
- Copies - one (1) original, plus (4) hard copies and one (1) electronic copy in Adobe PDF or Word 2007 format on CD-ROM.

NOTE: (1) Do not send .ZIP files and (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 12-010, proposed title, Offeror's administrative and technical points of contact, with telephone numbers, facsimile numbers, and Internet addresses, and shall be signed by an authorized officer.
- **Technical Concept:** A description of the technology innovation and technical risk areas. This section should also provide the relevance to the BAA research opportunity description. This section should be organized as follows:
 1. Technical objective
 2. Technical approach
 3. Recent technical breakthroughs that will reduce risk
 4. Innovation, relevance, and transition potential to Navy and the Marine Corps systems
 5. Expected operational performance improvements
 6. Proprietary aspects of the project and any assertions of data rights applicable to the results of this effort
- **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.
- **Programmatic Section:** A programmatic section that includes milestones and

a timetable.

- **Resumes:** A single page (each) summary resume (including previous relevant experience and pertinent publications) for the Project Manager and/or Principal Investigator.
- **Deliverables:** A list of proposed deliverables for the effort.
- **Cost:** A summary of costs segregated by tasks per fiscal year, as well as the total funding requested. The cost summary (not to exceed one (1) page) shall be segregated by both task and year (over the period of performance (i.e., 1, 2 or 3 years)).

b. FULL PROPOSALS

i. INSTRUCTIONS FOR CONTRACTS

NOTE: Submission instructions for BAAs issued after FY 2010 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 the review of proposals.

All proposals must include the following three (3) documents:

- (1) Technical Proposal Template (pdf)
- (2) Technical Content (word)
- (3) Cost Proposal Spreadsheet (excel)

The documents can be found at: <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/contracts-proposal/cost-proposal.aspx>

All 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. Please note that all the attachments listed can be incorporated into the Technical proposal template for submission.

The format requirements for any attachments to the Technical and Cost Proposal Template are as follows:

- Paper Size- 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing- single or double spaced
- Font- Times New Roman, 12 point

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. In addition to providing

summary by period of performance (base and any options), the Contractor is also responsible for providing a breakdown of cost for each task identified in the Statement of Work. The sum of all costs by task worksheets MUST equal the total cost summary.

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 submit one (1) original, plus two (2) hard copies and one (1) electronic copy on CD-ROM. The documents 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 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 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.

3. Significant Dates and Times –

Event	Date	Time
White Paper Due Date	3/29/2012	4:00 PM Eastern Daylight Time
Notification of White Paper Evaluation*	4/17/2012	
Oral Presentations*	5/23/2012	
Notification of Oral Presentation Evaluation*	5/29/2012	
Full Proposal Due Date	6/29/2012	4:00 PM Eastern Daylight Time
Notification of Selection: Full Proposals*	7/20/2012	
Awards*	1/6/2013	

**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:

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

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

Acceptable evidence to establish the time or receipt at the Government installation includes the time/date stamp of that installation on the proposal wrapper, other documentary evidence of receipt maintained by the installation, or oral testimony or statements of Government personnel. If an emergency or unanticipated event interrupts normal Government processes so that proposals cannot be received at the Government office designated for receipt of proposals by the exact time specified in the announcement, and urgent Government requirements preclude amendment of the announcement closing date, the time specified for receipt of proposals will be deemed to be 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.

V. EVALUATION INFORMATION

1. Evaluation Criteria -

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

1. Overall scientific and technical merits of the proposal;
2. Potential Naval relevance and contributions of the effort to the agency's specific mission;

3. The offeror's capabilities, related experience, facilities, techniques or unique combinations of these which are integral factors for achieving the proposal objectives;
4. The qualifications, capabilities and experience of the proposed Principal Investigator (PI), team leader and key personnel who are critical in achieving the proposal objectives
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 ultimate recommendation for award of proposals is made by ONR's scientific/technical community. Recommended proposals will be forwarded to the contracts department will perform costs analysis prior to any ensuing negotiations. Any notification received from ONR that indicates that the Offeror's full proposal has been recommended, does not ultimately guarantee an award will be made. This notice indicates that the proposal has been selected in accordance with the evaluation criteria above and has been sent to the contracting department to conduct cost analysis, determine the offeror's responsibility, and any take any other relevant steps necessary prior to commencing negotiations with the offeror.

2. Small Business Participation -

1) Subcontracting Plan - Each large business offeror shall provide a Small Business Subcontracting Plan that contains all elements required by FAR 52.219-9, as supplemented by DFARS 252.219-7003. ***This plan will not be evaluated as part of the formal source selection process.*** However, failure to submit the plan shall make the Offeror ineligible for contract award.

Offerors will be required to propose a plan that contains total subcontracted dollars for overall small business participation in accordance with the statutory goals found on the Small Business Administration website at: <http://www.sba.gov/content/small-business-goaling>

2) Statement of Commitment to Small Business – All offerors shall provide a statement on the extent the offeror's commitment in providing meaningful subcontracting opportunities for small businesses, small disadvantaged businesses, women-owned small businesses, historically underutilized zone (HUBZone) small businesses, veteran-owned small businesses, service-disabled veteran-owned small businesses, and other concerns subject to socioeconomic considerations through its awards.

3. 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.
- Access to your Contract Award

Hard copies of award/modification documents will no longer be mailed to Offerors. All Office of Naval Research (ONR) award/modification documents will be available via the Department of Defense (DoD) Electronic Document Access System (EDA).

EDA

Effective 01 October 2011, EDA is a web-based system that provides secure online access, storage, and retrieval of awards and modifications to DoD employees and vendors.

If you do not currently have access to EDA, you may complete a self-registration request as a "Vendor" via <http://eda.ogden.disa.mil> following the steps below:

Click "New User Registration" (from the left Menu) Click "Begin VENDOR User Registration Process" Click "EDA Registration Form" under Username/Password (enter the appropriate data) Complete & Submit Registration form

Allow five (5) business days for your registration to be processed. EDA will notify you by email when your account is approved.

Registration questions may be directed to the EDA help desk toll free at 1-866-618-5988, Commercial at 801-605-7095, or via email at cscassig@csd.disa.mil (Subject: EDA Assistance).

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.

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 Proposal Template, Section II, Blocks 8 and 9, 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 in Section II, Block 11 of the Technical Proposal Template.

If it is determined that access to classified information will be required during the performance of an award, a Department of Defense (DD) Form 254 will be attached to the contract; and FAR 52.204-2 - Security Requirements will be incorporated into the contract.

3. Use of Animals and Human Subjects in Research RESERVED

4. Recombinant DNA RESERVED

5. Use of Arms, Ammunition and Explosives RESERVED

6. 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/>.

7. 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 will be rejected without technical evaluation and withdrawn from further consideration for award. Additional ONR OCI guidance can be found at <http://www.onr.navy.mil/About-ONR/compliance-protections/Organizational-Conflicts-Interest.aspx>. 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 Contracting Officer after full consideration of the circumstances, any conflict situation cannot be effectively avoided, the proposal may be rejected without technical evaluation and withdrawn from further consideration for award under this BAA.

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.

9. Executive Compensation and First-Tier Subcontract Reporting

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.fsrc.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/excomp.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.fsrs.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.

10. Other Guidance, Instructions, and Information

None.