

ONR BAA Announcement # N00014-15-R-BA15



Sea Based Aviation Aircraft Science and Technology

INTRODUCTION:

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

The Office of Naval Research (ONR) will not issue paper copies of this announcement. The ONR reserves the right to 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 submitted under this BAA as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

This BAA is intended for proposals related to basic research and applied research and that part of development not related to the development of a specific system or hardware procurement. For Navy and Marine Corps Science, Technology, Engineering & Mathematics (STEM) programs, refer to ONR-FOA-15-0002, which may be found at the ONR BAA webpage <http://www.onr.navy.mil/Contracts-Grants/Funding-Opportunities/Broad-Agency-Announcements.aspx>.

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I. GENERAL INFORMATION:

A. Agency Name - Office of Naval Research

B. Research Opportunity Title - Sea Based Aviation Aircraft Science and Technology

C. Program Name - Sea Based Aviation Aircraft Science and Technology

D. Research Opportunity Number – 15-15

E. Response Date -

White Papers: 10 September 2015

Full Proposals: 19 November 2015

F. Research Opportunity Description -

The Office of Naval Research (ONR) is interested in receiving white papers and full proposals from selected Offerors for basic and applied research supporting Sea-Based Aviation (SBA) Science and Technology.

Projects should advance fundamental understanding and the state of the art and should align with and produce measurable progress towards the long range Science and Technology (S&T) goals that support SBA, as outlined below. Research projects should comprise either Basic or Applied Research only. Interaction and collaboration among Industry, Universities, and Government Labs is encouraged.

White papers and proposals should identify a technical baseline representative of the current State of the Art (SOA) and explain how the proposed research will advance the technology. Projects aimed at developing high-fidelity physics-based models should include validation of analytical methods using new or existing experimental data.

White Papers and Full Proposals are sought in the following Technology Focus Areas:

1. Unsteady Aerodynamics of Maneuvering Aircraft

The Navy seeks to develop physical and numerical modeling capabilities to support the development of advanced carrier-based fixed-wing aircraft. Such aircraft may feature unusual aerodynamic configurations (e.g. tail-less, lambda wing) and novel control effectors (wing flaps for direct lift control, active flow control) and will be required to recover to pitching and rolling decks in the presence of a turbulent superstructure airwake and unsteady, non-uniform ambient wind field, including gusts with significant spatial variation over the vehicle aerodynamic surfaces.

Computational Fluid Dynamics (CFD) is a natural choice for high-fidelity modeling of such cases. An effective capability would support modeling of sea-based take-off, approach and landing conditions in support of vehicle design; control law development; analytical determination of stability and control characteristics using methods that emulate flight test techniques; analytical assessment of departure

and other flight dynamic characteristics; high fidelity flight simulation models; and development of fast reduced order models.

The state of the art in computational unsteady aerodynamics for maneuvering vehicles lags capability for static cases due to challenges such as moving boundary conditions and deforming geometries; rapidly moving control surfaces, potentially with separated flow; multiple aerodynamically-coupled bodies; effective meshing of deforming and moving bodies; modeling of multi-scale turbulence and flow separation; and modeling of the ambient (environmental) flow field. Moreover, it is desired to enhance computational efficiency while improving fidelity to support more accurate and efficient real-time, pilot-in-the-loop flight simulation. Classic flight simulation aircraft modeling techniques treat the aerodynamic effects through inclusion of quasisteady dynamic derivative terms. These techniques typically fail to account for unsteady hysteresis effects. Innovative modeling concepts toward inclusion of a more complete unsteady aerodynamic representation are desired.

This technical area and others may advance the state of the art in computational aerodynamics and flight mechanics of maneuvering vehicles. Both high-fidelity and computationally-efficient reduced-order approaches are of interest. Offerors are also sought for innovative experimental efforts that may provide new fundamental insight and understanding of unsteady and nonlinear aerodynamic phenomena of complex configurations/conditions and provide canonical data to support assessments of analytical methods.

II. Coupled Aircraft / Ship Aerodynamics in Dynamic Interface (DI) Modeling and Simulation

Central to the Navy's efforts to develop fast, high-fidelity, modeling and simulation capabilities for shipboard launch and recovery of aircraft is the robust and efficient assessment of low speed aeromechanics. In addition, the interactional aerodynamics of aircraft and surface ships are of vital concern. While considerable progress has been made in this area, much remains to be understood regarding the importance and implementation of certain modeling and assessment aspects that may impact the tradeoff between fidelity and analysis time/cost. These include modeling of:

1. External aerodynamic influences such as ship motion and atmospheric boundary layer turbulence;
2. Assessment of the accuracy of unsteady turbulence modeling techniques such as LES/URANS including the impact on dynamic interface simulation results;
3. Innovative experiments for dynamic interface simulation "truth data" collection using modern Design of Experiments or other techniques including metric development with correlation to operational envelopes, pilot ratings, or other top level DI testing output;
4. Improved ship airwake integration for real time fixed wing aircraft simulations that accounts for non-uniform flow distribution across the aircraft aerodynamic surface and dynamic control surface effects; and
5. The effect of coupled aircraft / ship aerodynamics on deck-contact dynamics (bouncing, sliding, tipping and roll-over). Improved understanding in these areas would help guide future development of computational methods for dynamic interface modeling and simulation.

This research area is intended to improve the Navy's capabilities and lead to new fundamental understanding and knowledge of these aspects of dynamic interface modeling. Both analytical/computational projects and experiments efforts are invited. New analytical methods are sought, as well as careful assessment of existing techniques. Reduced order modeling methods are of interest as well. Experimental efforts will center ideally on canonical problems using simple geometries such as the SFS-2. The adequacy of SFS-2 for such studies is itself an open question and proposed efforts may address the question of whether a more detailed ship geometry would be of value. Offerors should frame their studies in the context of the coupled aeromechanics of the ship airwake/aircraft system. Individual proposals should focus on one of the five specific focus areas described above with discussion of tie-ins to the remaining focus areas as appropriate.

III. Advanced Handling Qualities for Rotary Wing Aircraft

A. Direct flight path control. Currently pilots control rotary wing aircraft (RWA) with cyclic, pedals and collective. These devices control aircraft pitch, roll, and yaw angular rates/attitude and thrust, which then lead indirectly to adjustment of the flight path vector (recognizing that there is sometimes a need for fuselage alignment independent of flight path vector). Control augmentation can reduce cross-axis coupling and provide control shaping and hold modes to assist the pilot, but RWA are still challenging to fly and require extensive training. This research area calls for white papers and proposals that will improve the Navy's capabilities and lead to new fundamental understanding and knowledge regarding:

1. An easy to learn and use flight control system for shipboard landing of a single main rotor helicopter (representative of an MH-60 type), with any necessary associated pilot's display symbology. Assume a variation of the current cyclic/collective cockpit setup will be used, and that a precision ship-relative navigation system, heads up display hardware and a fly-by-wire control system are available. Low pilot workload (e.g. Cooper-Harper Handling Qualities Rating of 2) is the objective for a shipboard landing on a pitching destroyer deck at night with no visible horizon.

2. A concept for using new control inceptor(s) that could replace the cyclic/collective/pedal, and allow direct flight path control in all directions, as well as necessary attitude control independent of flight path. This system should be highly intuitive and easy to learn, and useable for tasks from ship landing to high speed flight with minimum (if any) control strategy changes. Assume that a precision ship-relative navigation system, heads up display hardware and a fly by wire control system are available.

B. Rotary Wing Aircraft Adaptive Automated Control and Maximum Landing Envelope. This research area is to improve the Navy's capabilities and lead to new fundamental understanding and knowledge regarding a RWA automated control system that can precisely "perch" the RWA on a moving destroyer deck. Assume that a precision ship-relative navigation system is available. The RWA aircraft model should be representative of an MH-60 type aircraft. A turbulent airwake environment representative of a Navy destroyer must be included. The aircraft would use precise knowledge of the ship's state to fly to an accurate touchdown location, while simultaneously aligning its state with that of the ship, so that touchdown dynamics are optimized (e.g. dynamic rollover potential minimized, sink rate minimized, tail strike avoided, etc). The ship deck motion should be as high as possible while still achieving safe landing performance from the system. The objective is to reduce the time to land, and maximize the level of ship motion that can be accommodated, resulting in improved safety and increased operating envelopes.

IV. Fixed Wing Aerodynamics and Control for Carrier Landing

A. Fixed Wing unmanned air vehicles should be able to exploit automated carrier landing capability so that landing performance beyond the capability of current piloted F/A-18E/F and F-35C aircraft can be achieved. Potential benefits are: reduced sink rate at touchdown, reduction in approach speed by flying closer to stall, precise arresting wire engagement, and reduced altitude loss during waveoff by flying a reduced sink rate approach near the ship. In all these areas, nominal performance could be improved, as well as the scatter in off-nominal approaches due to environmental factors and system noise. This research area calls for white papers and proposals that will improve the Navy's capabilities and lead to new fundamental understanding and knowledge regarding:

1. Minimum stall margin required by [typical] Navy tactical type aircraft in automated approach and landing on an aircraft carrier. The objective is to reduce approach speed while maintaining adequate control and waveoff capability. Explore the tradeoff between reduced approach speed and ability to precisely control the flight path vector, including the ability to wave off the approach at any time. The aircraft model should be representative of F/A-18E/F and F-35C type aircraft with direct lift control in the landing configuration. Turbulent airwake representative of that experienced during carrier landing approach must be considered.

2. State optimizing flight control that can optimize the aircraft state relative to relevant constraints, boundaries, and objectives during approach and landing on a moving carrier deck. Explore all relevant variables, including environmental disturbances, headwind and crosswind, navigation system noise, deck motion, roll, pitch, and direct lift control power, and their effect on touchdown accuracy, sink rate at touchdown, safety margin over the ramp and waveoff altitude loss.

G. Point(s) of Contact -

Questions of a technical nature should be submitted to:

For Technology Focus Areas I and II:

Program Manager: Judah Milgram
Address: Office of Naval Research
875 North Randolph Street - Suite 1100
Arlington, VA 22203-1995
Code: ONR 351
Phone: 703-696-4406
Email: judah.milgram@navy.mil

For Technology Focus Areas III and IV:

Program Manager: John Kinzer
Address: Office of Naval Research
875 North Randolph Street-Suite 1100
Arlington, VA 22203-1995
Code: ONR 351
Phone: 703-696-7917
Email: john.kinzer@navy.mil

Questions of a Business nature, and suggestions for improvement, should be submitted to:

Primary Business Point of Contact:

Contract Specialist: Ana Isabel Lugaro
Address: Office of Naval Research
Code BD251
875 North Randolph Street- Suite 1279
Arlington, VA 22203-1995
Phone: 703-696-4511
Email: ana.lugaro@navy.mil

Secondary Business Point of Contact:

Acquisition Branch Head - Vera M. Carroll
Address: Office of Naval Research
875 North Randolph Street – Suite 1279
Code: BD251
Phone: 703-696-2610
Email: 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.

Comments or questions submitted should be concise and to the point, eliminating any unnecessary verbiage. In addition, the relevant part and paragraph of the Broad Agency Announcement (BAA) should be referenced.

Questions submitted within two (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.

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

Note: All UNCLASSIFIED communications shall be submitted via e-mail to the Technical Point of Contract (POC) with a copy to the designated Business POC.

CLASSIFIED questions shall be handled through the ONR Security POC. Specifically, any entity wanting to ask a CLASSIFIED question shall send an email to the ONR Security POC with 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.

H. Instrument Type(s) – Contracts and Grants

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

Any contract awards resulting from this BAA will incorporate the most current FAR, DFARS, NMCARS and ONR clauses.

Any assistance instrument awarded under this announcement will be governed by the award terms and conditions that conform to DoD's implementation of OMB circulars applicable to financial assistance. Terms and conditions of new awards made after December 26, 2014, may include revisions to reflect DoD implementation of new OMB guidance in 2 CFR Part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards."

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> . ONR Contract specific representations and certifications can be accessed on the following page of the ONR website: <http://www.onr.navy.mil/Contracts-Grants/Funding-Opportunities/Requests-for-Information.aspx>.

Examples of model grants can be found on the ONR website at the following link:
<http://www.onr.navy.mil/en/Contracts-Grants/submit-proposal/grants-proposal.aspx>.

I. Catalog of Federal Domestic Assistance (CFDA) Numbers - 12.300

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

Department of Defense (DoD) Basic & Applied Scientific Research

K. Other Information –

Work funded under a BAA may include basic research, applied research and some advanced technology development (ATD) research. 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 Activity 2 (Applied Research) and NOT performed on-campus at a university or b) funded by Budget Activity 3 (Advanced Technology Development) does not meet the definition of "contracted fundamental research." In conformance with the USD (AT&L) guidance and National Security Decision Directive 189, ONR will place no restriction on the conduct or reporting of unclassified "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.

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.

As regards to the present BAA, the Research and Development efforts to be funded will consist of basic and applied research. The funds available to support awards are Budget Activity 1 and 2.

THIS ANNOUNCEMENT IS NOT FOR THE ACQUISITION OF TECHNICAL, ENGINEERING AND OTHER TYPES OF SUPPORT SERVICES.

II. AWARD INFORMATION

A. Funding Amount and Period of Performance-

ONR plans to fund multiple individual awards with nominal duration of two (2) year base period plus a one (1) year option. For planning purposes, the scope of 6.1 Basic Research efforts submitted under this BAA is expected to be equivalent to the scope of a single investigator grant. It is anticipated that the scope of 6.2 Applied Research efforts will be approximately one (1) to three (3) full-time equivalents per year. Although ONR expects the above described program plan to be executed, ONR reserves the right to make changes including the right to make no awards.

The Estimated Total Amount of Funding Available for this effort (\$K):

(\$Millions)	FY2016	FY2017	FY2018	FY2019	Total
Applied Research	2M	3M	4M	4M	13M
Basic Research	1M	1.5M	1.5M	1.5M	5.5M

B. Peer Reviews-

In the case of proposals funded as basic research, ONR may utilize peer reviewers from academia, industry, and Government agencies to assist in the periodic appraisal of performance under the awards, as outlined in ONR Instruction 3966.1. Such periodic program reviews monitor the cost, schedule and technical performance of funded basic research efforts. The reviews are used in part to determine which basic research projects will receive continued ONR funding. Peer reviewers who are not U.S. Government employees must sign nondisclosure agreements before receiving full or partial copies of proposals and reports submitted by the basic research performers. Offerors may include travel costs for the Principal Investigator (PI) to attend the peer review.

III. ELIGIBILITY INFORMATION

A. All responsible sources from academia and industry may submit proposals under this BAA. Inclusive of Small Business Concerns, Historically Underutilized Business Zone (HUBZone) Concerns, Service-Disabled Veteran-Owned Small Business (SDVOSB) Concerns, Small Disadvantaged Business (SDB) Concerns, Women-Owned Small Business (WOSB) Concerns, Veteran-Owned Small Business (VOSB) Concerns, and Historically Black Colleges and Universities (HBCUs) and Minority Institutions (MIs)

are all highly encouraged to submit proposals as prime contractors and as well as join others (e.g., subcontractors) in submitting proposals. However, no portion of this BAA will be set-aside for Small Businesses, HUBZones, SDVOSBs, SDBs, WOSBs, VOSBs or HBCU and MI participation, due to the desire to seek research ideas from all entities.

B. 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.

C. 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.

D. 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.

E. 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.

F. 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.

G. Cost sharing is not expected and will not be used as a factor during the merit review of any proposal hereunder. However, the Government may consider voluntary cost sharing if proposed.

IV. APPLICATION AND SUBMISSION INFORMATION

A. Application and Submission Process - White Papers and Full Proposals

Offerors may submit White Papers and Full Proposals for more than one (1) focus area. Each focus area should be submitted separately.

White Papers: White papers are required prior to submitting a Full Proposal. The due date for receipt of white papers is no later than 5:00 PM (Eastern Standard Time) on Thursday, 10 September 2015. White Papers shall be submitted by e-mail to Judah.milgram@navy.mil. Initial Navy evaluations of the white papers will be issued via e-mail notification on or about Thursday, 08 October 2015.

Full Proposals: The due date for receipt of Full Proposals is no later than 5:00 PM (Eastern Standard Time) on Thursday, 19 November 2015. Proposals exceeding the page limit may not be evaluated. Full Proposals shall be submitted be uploaded to the AMRDEC SAFE Site at <https://safe.amrdec.army.mil/safe/>. As soon as the final proposal evaluation process is completed, the

Offeror will be notified via e-mail of its selection or non-selection for an award. It is anticipated that final selections will be made on or about Thursday, 10 December 2015. .

B. 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 proposal is submitted and selected for award, the resultant contract will be unclassified. An "unclassified" Statement of Work (SOW) must accompany any classified proposal.

For both classified and unclassified proposals, a non-proprietary version of the Statement of Work must also be submitted. Do not put proprietary data or markings in or on the Statement of Work. For proposals containing data that the offeror does not want disclosed to the public for any purpose, or used by the Government except for evaluation purposes, the contractor shall mark the title page with the following legend:

"This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed--in whole or in part--for any purpose other than to evaluate the proposal. If, however, a contract is awarded to this offeror as a result of--or in connection with-- the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in this data if is obtained from another source without restriction. The data subject to this restriction are contained in (insert numbers or other identification of sheets)."

Also, mark each sheet of data that the offeror wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal."

Titles given to the White Papers/Full Proposals should be descriptive of the work they cover and should not be merely a copy of the title of this solicitation.

Unclassified White Paper/Full Proposal Instructions:

Unclassified White Papers and Full Proposals shall be submitted in accordance with this Section.

Special Instructions for Classified White Paper/Full 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 Judah Milgram, (judah.milgram@navy.mil), ONR Code 351 and marked in the following manner:
INNER ENVELOPE (stamped with the overall classification of the material)

Program Name: Sea Based Aviation Aircraft Science and Technology
Office of Naval Research
Attn: Judah Milgram
ONR Code: 351
875 North Randolph Street
Arlington, VA 22203-1995

All 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.

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: Five (5) pages (excluding cover page, resumes, bibliographies, and table of contents).
- Copies - One (1) electronic copy in Adobe Portable Document Format (PDF) or Word 2010 delivered via e-mail. Electronic (e-mail) submissions should be sent to the attention of the TPOC at: (judah.milgram@navy.mil). The subject line of the e-mail shall read "ONR-15-BAA-013 White Paper Submission." The white paper must be a Microsoft Word 2010 compatible, or PDF format attachment to the e-mail. There is an e-mail size limit of 5MB per e-mail.

NOTE: Do not send:

1. Hardcopies of White Papers (including Facsimiles) as only electronic submissions will be accepted and reviewed;
2. ZIP files; and
3. Password protected files.

In order to provide traceability and evidence of submission, Offerors may wish to use the "Delivery Receipt" option available from Microsoft Outlook and other email programs that will automatically generate a response when the subject email is delivered to the recipient's email system. Consult the User's Manual for your email software for further details on this feature.

White Paper Content

- **Cover Page:** The Cover Page shall be labeled "WHITE PAPER", and shall include the BAA number ONR-15-BAA-013, 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.
- **White Paper Technical Content:** A description of the technology innovation and technical risk areas. The paper should include the (1) Point of contact information for the Principal Investigator; (2) Relevance of the proposed effort to the appropriate research area(s) as described in Section II; (3) Technical baseline, objective of the proposed effort, and expected advancement in the technology; (4) Technical approach that will be pursued to meet the objective; and (5) A summary of recent relevant research and/or technical breakthroughs.
- **Rough Order of Magnitude (ROM):** A funding plan showing requested funding per fiscal year.
- **Other Requirements:** Resumes and references shall be included as appropriate following the 5 page Technical Content section.

b. FULL PROPOSALS

i. INSTRUCTIONS FOR CONTRACTS (Does not include Grants)

Proposal Package:

The following five (5) documents with attachments comprise a complete proposal package:

- (1) Proposal Checklist (pdf)
- (2) Technical Proposal Template (Word)
- (3) Cost Proposal Spreadsheet (Excel)
- (4) Adequacy Checklist for Pre Award Audit (SF 1408) (as applicable)
- (5) Stand-alone non-proprietary Statement of Work (SOW) in Word Format

NOTE: The electronic file name for all documents submitted under this BAA must not exceed sixty-eight (68) characters in length, including the file name extension.

Items 1 – 5 above are located at: <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/contracts-proposal/>. All have instructions imbedded into them that will assist in completing the documents. Also, both the Proposal Checklist and the Cost Proposal Spreadsheet require completion of cost-related information. Please note that attachments can be incorporated into the Proposal Checklist.

Offerors responding to this BAA must submit a separate list of all technical data or computer software that will be furnished to the Government with other than unlimited rights. The Government will assume unlimited rights if offerors fail to identify any intellectual property restrictions in their proposals. Include in this section all proprietary claims to results, prototypes, and/or deliverables. If no restrictions are intended, then the offeror should state "NONE."

For proposals below the simplified acquisition threshold (less than or equal to \$150K), the Technical Proposal Template and Proposal Checklist documents, and the Cost Proposal Spreadsheet are required. In addition, if a purchase order will be awarded, the effort will be fixed price. Purchase orders can also contain options, as long as the total amount of the base and all options does not exceed \$150K.

The format requirements for any attachments 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

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 an appropriate number of hard copies as discussed with the cognizant Program Officer of their proposal package. The electronic copy should be submitted in a secure, pdf-compatible format, except for the electronic file of the Cost Proposal Spreadsheet which must be submitted in a Microsoft Excel 2007 compatible format and the Statement of Work Template which must be submitted in Microsoft Word 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. Should an Offeror amend its proposal, the amended proposal should be submitted following the same hard and electronic copy guidance applicable to the original proposal.

Any proposed options that are identified in the Technical Proposal Template or Proposal Checklist documents, but are not fully priced out in the Cost Proposal Spreadsheet, will not be included in any resulting contract, cooperative agreement, or other transaction. If options are proposed, they **must** be separately priced and separate spreadsheets should be provided for the base period and each option. 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.

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.

Fixed Fees on ONR Contracts: The Government Objective is set in accordance with the DFARS 215.404-71. See the below table for range and normal values:

Contract Risk Factor	Contract Type	Assigned Value (Normal range)	Normal Value
Technical (1)		3% - 7% (2)	5%
Management/Cost Control (1)		3% - 7% (2)	5%
Contract Type Risk	Firm Fixed Price	2% - 6% (3)	3% - 5% (4)
Contract Type Risk	Cost Plus Fixed Fee	0% - 1% (2)	0.5%

1. Assign a weight (percentage) to each element according to its input to the total performance risk. The total of the two weights equal 100%.
2. Assign a weighting score relative to the Risk Factor.
3. Depends on the specific Contract Type (With/without financing, performance-based payments, and/or progress payments).
4. Depends on the specific Contract Type.

Technology Incentive (TI) is rarely utilized at ONR, because the contracts issued by ONR typically are not eligible for TI (See DFARS 215.404-71-2(c)(2)). Any consideration of TI requires strong and convincing justification in the proposal, which are then subject to negotiation and determination of a fair and reasonable fee, within the context of the specific award.

Typically the range of fee is 5% to 7.5% on an ONR awarded contract.

For submission instructions, see sub-section F. [Submission of White Papers and Full Proposals for Contracts, Cooperative Agreements, and Other Transaction Agreements.](#)

For submission instructions, see sub-section F. Submission of White Papers and Full Proposals for Contracts.

ii. INSTRUCTIONS FOR GRANTS

The following information must be completed as follows in the SF 424 located on <http://www.grants.gov> to ensure that the application is directed to the correct individual for review:

- **Block 4a, Federal Identifier** - Enter the previous ONR award number, or N00014 if the application is not a renewal or expansion of an existing award;
- **Block 4b, Agency Routing Number** - Enter the three (3) digit Program Office Code and the Program Officer's name, last name first, in brackets (e.g., 331 [Smith, John]).
 - Where the Program Office Code only has two digits, add a "0" directly after the Code (e.g., Code 30 would be entered as 300)
 - Use Code 600 for ONRG).

Applicants who fail to provide a Program Officer code identifier may receive a notice that their proposal is rejected.

To attach the technical proposal in Grants.gov, download the application package
Click on "Research and Related Other Project Information"
Click on "Move form to Submission List"
Click on "Open Form"

You will see a new PDF document titled "Research & Related Other Project Information" Block 7 is the Project Summary/Abstract -> click on "Add attachment" and attach the project summary/abstract. (You will not be able to type in the box, therefore, save the file you want to attach as Project Summary or Abstract). Abstracts of all funded research projects will be posted on a TBD website. Do not include proprietary or confidential information. Use only characters available on a standard QWERTY keyboard. Spell out all Greek letters, other non-English letters and symbols. Graphics are not allowed and there is a 500 character limit.

Block 8 is the Project Narrative -> click on Add attachment and attach the technical proposal. (Save the file as Volume I- Technical Proposal since you will not be able to type in the box).

Full Proposal Format - Volume 1 - Technical Proposal 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 (Vol. 1) is limited to no more than thirty (30) 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.

NOTE: The electronic file name for all documents submitted under this BAA must not exceed 68 characters in length, including the file name extension.

Volume 1: Technical Proposal

- **Cover Page:** This should include the words "Technical Proposal" and the following:
 - BAA number ONR-15-BAA-013;
 - Title of Proposal;
 - Identity of prime Offeror and complete list of subawards, if applicable;
 - Technical contact (name, address, phone/fax, electronic mail address)
 - Administrative/business contact (name, address, phone/fax, electronic mail address) and;
 - Proposed period of performance (identify both the base period and any options, if included);
 - 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 would expect it to enable the objectives of the proposal to be met.

For Basic Research:

- **Future Naval Relevance (where applicable):** A description of potential Naval relevance and contributions of the effort to the agency's specific mission.

For Applied Research:

- **Operational Naval Concept (where applicable):** 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 (where applicable):** 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 reports that are typically required under a research effort:

- Technical and Financial Progress Reports
- Final Report

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

- **Management Approach:** Identify which personnel and subcontractors/subrecipients (if any) will be involved. Include a description of the facilities that are required for the proposed effort, along with a description of any Government Furnished Equipment/Hardware/ Software/Information required, by version and/or configuration.
- **Current and Pending Project and Proposal Submissions:** Offerors are required to provide information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing contracts, grants, and other assistance agreements. Offerors shall provide the following information of any related or complementary proposal submissions from whatever sources (e.g., ONR, Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations).

The information must be provided for all proposals already submitted or submitted concurrently to

other possible sponsors, including ONR. Concurrent submission of a proposal to other organizations will not prejudice its review by ONR:

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

- **Qualifications:** A discussion of the qualifications of the proposed Principal Investigator and any other key personnel. Include resumes or curricula vitae for the Principal Investigator, other key personnel and consultants. The resumes/curricula vitae shall be attached to the proposal.

VOLUME 2: Cost Proposal

The offeror must use the Grants.gov forms (including the Standard Form (SF) Research and Related (R&R) Budget Form) from the application package template associated with the BAA on the Grants.gov web site located at <http://www.grants.gov/>. If options are proposed, the cost proposal must provide the pricing information for the option periods; failure to include the proposed costs for the option periods will result in the options not being included in the award. Assume that performance will start no earlier than three (3) months after the date the cost proposal is submitted. A separate Adobe .pdf document should be included in the application that provides appropriate justification and/or supporting documentation for each element of cost proposed.

Part 1: The itemized budget must include the following

- Direct Labor – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates. Provide escalation rates for out years.
- Administrative and Clerical Labor – Salaries of administrative and clerical staff are normally indirect costs (and included in an indirect cost rate). Direct charging of these costs may be appropriate when a major project requires an extensive amount of administrative or clerical support significantly greater than normal and routine levels of support. Budgets proposing direct charging of administrative or clerical salaries must be supported with a budget justification which adequately describes the major project and the administrative and/or clerical work to be performed.
- Fringe Benefits and Indirect Costs (F&A, Overhead, G&A, etc.) – The proposal must 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 must include the following for each trip: the purpose of the trip, origin and destination if known, approximate duration, the number of travelers, and the estimated cost per trip must be justified based on the organizations historical average cost per trip or other reasonable basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principals. Offerors may include travel costs for the Principal Investigator to attend the peer reviews described in Section II of this BAA.
- Subawards/Subcontracts – Provide a description of the work to be performed by the subrecipient/subcontractor. For each subaward, a detailed cost proposal is required to be submitted by the subrecipient(s). A proposal and supporting documentation must be received and reviewed before the Government can complete its cost analysis of the proposal and enter negotiations. ONR's preferred method of receiving subcontract information is for this information to be included with the Prime's proposal. However, a subcontractor's cost proposal can be provided in a sealed envelope with the recipient's cost proposal or via e-mail directly to the Program Officer 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. Fee/profit guidance for subawards/subcontracts may be found [here](#).
- 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, 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 are 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, laptops, office equipment) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.
- Other Direct Costs – Provide an itemized list of all other proposed other direct costs such as Graduate Assistant tuition, laboratory fees, report and publication costs, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).

NOTE: If the grant proposal is for a conference, workshop or symposium:

1. ONR will not sponsor ONR, Navy, or DoD driven event. Provide a list of other sponsors and the requested amounts to be funded by all sponsors.
2. The funds provided by ONR may be used to pay for food or beverages as a direct cost only in exceptional circumstances. The funds will not be used for food or beverages unless
 - a. the grant proposal contains a request for such funding that is fully supported factually in accordance with the cost principles of the relevant OMB Circular, and
 - b. the grants officer determines that the funding is a reasonable, allocable, allowable expense under the relevant cost principles.

- **Fee/Profit** – Fee/profit is unallowable under assistance agreements at either the prime or subaward level but may be permitted on 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.

C. Significant Dates and Times

Event	Date	Time
White Paper Due Date	Thursday, 10 September 2015 *	5:00 PM Eastern Standard Time (EST)
Notification of White Paper Evaluation*	Thursday, 08 October 2015 *	
Full Proposal Due Date	Thursday, 19 November 2015 *	5:00 PM Eastern Standard Time (EST)
Notification of Selection of Full Proposals*	Thursday, 10 December 2015	
Awards*	Thursday, 13 August 2016 *	

*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.

D. Submission of Late Proposals -

The Government reserves the right to not review proposals after the “Full Proposal Due Date” stated under Section C above.

E. Submission of Grant Proposals through Grants.gov

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>.

White Papers should not be submitted through the Grants.gov Apply process, but rather should be sent directly to ONR. White Papers 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 System for Award Management (SAM), 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 SAM registration process. Applicants who are not registered with SAM.gov 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 (1-606-545-5035 for foreign applicants) 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 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. It is extremely important that the AOR watch for and save each of the 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. This confirmation page is a record of the time and date stamp that is used to determine whether the proposal was submitted.

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). After an institution submits an application, Grants.gov generates a submission receipt via email and also sets the application status to "Received." This receipt verifies the Application has been successfully delivered to the Grants.gov system. Next, Grants.gov verifies the submission is valid by ensuring it does not contain viruses, the opportunity is still open, and the applicant login and applicant DUNS number match. If the submission is valid, Grants.gov generates a submission validation receipt via email and sets the application status to "Validated." If the application is not validated, the application status is set to "Rejected." The system sends a rejection email notification to the institution, and the institution must resubmit the application package. Applicants can track the status of their application by logging in to Grants.gov.

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.

F. Address for the Submission of White Papers and Full Proposals for Contracts

Full Proposals for Contracts shall be sent to the Office of Naval Research and uploaded via the AMRDEC SAFE Site at <https://safe.amrdec.army.mil/safe/>. The point of contact (POC) information for this BAA is as follows:

Primary POC	Secondary POC
Office of Naval Research Attn: Judah Milgram ONR Department Code: 351 875 North Randolph Street – Suite 1100 Arlington, VA 22203-1995	Office of Naval Research Attn: John Kinzer ONR Department Code: 30 875 North Randolph Street – Suite1100 Arlington, VA 22203-1995

Electronic submissions of White Papers (for Contracts), shall be submitted via e-mail directly to the Program Officer at Judah.milgram@navy.mil. There is an e-mail size limit of 5MB per e-mail.

V. EVALUATION INFORMATION

A. Evaluation Criteria –

Awards under this BAA will be made to proposers on the basis of the evaluation criteria listed below, and program balance to provide overall value to the Government. The Government reserves the right to request any additional, necessary documentation once it makes the award instrument determination. The Government reserves the right to remove proposers from award consideration should the parties fail to reach agreement on award terms, conditions, and cost/price within a reasonable time, or the proposer fails to timely provide requested additional information.

In accordance with FAR 35.016(e), the primary basis for selecting proposals for acceptance shall be technical, importance to agency programs, and fund availability. Cost realism and reasonableness shall also be considered to the extent appropriate. Therefore, the following criteria will be used for evaluation.

- 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 objects, and
- 5) The realism of the proposed costs and availability of funds.

Criteria 1 through 4 are significantly more important than Criterion 5, and Criteria 1 through 4 are of equal value.

The ultimate recommendation for award of proposals is made by ONR's scientific/technical community. Recommended proposals will be forwarded to the ONR Contracts and Grant Awards Management office. 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 to take other relevant steps necessary prior to commencing negotiations with the offeror.

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.

B. Commitment to Small Business - (For Contract Awards Only)

The Office of Naval Research is strongly committed to providing meaningful subcontracting opportunities for small businesses, small disadvantaged businesses (SDBs), woman-owned small businesses (WOSBs), historically underutilized business zone (HUBZone) small businesses, veteran-owned small business (VOSBs), service disabled veteran-owned small businesses (SDVOSBs), historically

black colleges and universities, and minority institutions, and other concerns subject to socioeconomic considerations through its awards.

Businesses unfamiliar with doing business with the government and require assistance may contact the state-specific Department of Defense (DoD) Procurement Technical Assistance Center (PTAC). DoD PTACs serve as a resource for businesses pursuing and performing under contracts with DoD, other federal agencies, state and local governments and with government prime contractors. Assistance provided by the PTACs is usually free of charge. PTAC support includes registration in systems such as SAM, identification of contract opportunities, understanding requirements and preparing and submitting proposals. The PTACs have a presence in each state, Puerto and Guam. To locate a local PTAC visit:

<http://www.dla.mil/SmallBusiness/Pages/ProcurementTechnicalAssistanceCenters.aspx> or
<http://www.aptac-us.org/new/> .

1.) Subcontracting Plan - For proposed awards to be made as contracts that exceed \$650,000, large businesses and non-profits (including educational institutions) shall provide a Subcontracting Plan (hereafter known as the 'Plan') that contains all elements required by FAR Subpart 19.704, FAR 52.219-9 and as supplemented by DFARS 252.219-7003.

NOTE: Small businesses are exempt from this requirement.

The Plan must be submitted as an attachment to the "Proposal Checklist" and will not be included in the page count. If a company has a Master Subcontracting Plan, as described in FAR 19.701 or a Comprehensive Subcontracting Plan, as described in DFARS 219.702, a copy of the Plan shall also be submitted as an attachment to the "Proposal Checklist".

Plans will be reviewed for adequacy, ensuring that the required information, goals, and assurances are included. FAR 19.702 require the apparently successful offeror to submit an acceptable Plan. If the apparently successful offeror fails to negotiate a Plan acceptable to the contracting officer within the time limit prescribed by the contracting officer, the offeror will be ineligible for award. Offerors shall propose a plan that ensures small businesses (inclusive of SDBs, WOSBs, HUBZone, VOSBs and SDVOSBs, etc...) will have the maximum practicable opportunity to participate in contract performance consistent with its efficient performance.

As a baseline, offerors shall to the best extent possible propose realistic goals to ensure small business participation in accordance with the current or most recent fiscal year subcontracting goals found on the DoD Office of Small Business Program website at: <http://www.acq.osd.mil/osbp/>. If proposed goals are below the statutory requirements, then the offeror shall include in the Plan a viable written explanation as to why small businesses are unable to be utilized and what attempts were taken to ensure that small business were given the opportunity to participate in the effort to the maximum extent practicable.

2.) Small Business Participation Statement –

If subcontracting opportunities exist, all prime Offerors shall submit a Small Business Participation Statement regardless of size in accordance with DFARS 215.304 when receiving a contract for more than the simplified acquisition threshold (i.e., \$150,000). All offerors shall provide a statement of the

extent of the offeror's commitment in providing meaningful subcontracting opportunities for small businesses and other concerns subject to socioeconomic considerations through its awards and must agree that small businesses, VOSBs, SDVOSBs, HUBZones, SDBs, and WOSBs concerns will have to the maximum practicable opportunity to participate in contract performance consistent with its efficient performance.

This assertion will be reviewed to ensure that it supports this policy by providing meaningful subcontracting opportunities. The statement should be submitted as a part of the proposal package and will not be included in the page count.

3.) Subcontracting Resources -

Subcontracting to a prime contractor can be a good way to participate in the contracting process. The following is a list of potential resources that may assist in locating potential subcontracting partners/opportunities:

- *Companies Participating in DoD Subcontracting Program Report
- *DAU Small Business Community of Practice (SB COP)
- *DefenseLink ≥ \$6.5M Award Notices
- *DoD OSBP Prime Contractors and Subcontractors with Subcontracting Plans
- *Dynamic Small Business Search
- *Electronic Subcontracting Reporting System (eSRS)
- *Federal Business Opportunities (FEDBIZOPPS)
- *Navy SBIR/STTR Search – Website or Brochure
- *DoD Procurement Technical Assistance Centers (PTAC)
- *Small Business Administration (SBA) Subcontracting Opportunities Directory
- *SBA Subnet

For a description and associated websites visit the ONR Office of Small Business webpage at: <http://www.onr.navy.mil/Contracts-Grants/small-business.aspx>.

For example, in accordance with FAR Subpart 5.206, entities may transmit a notice to a Government Point of Entry (GPE) to seek competition for subcontracts and to increase participation by qualified HUBZone small business, small, small disadvantaged business, women-owned small business, veteran-owned small business and service-disabled veteran- owned small business concerns is encouraged, and to meet established subcontracting plan goal as follows:

(a) A contractor awarded a contract exceeding \$150,000 that is likely to result in the award of any subcontracts;

(b) A subcontractor or supplier, at any tier, under a contract exceeding \$150,000, that has a subcontracting opportunity exceeding \$15,000.

The notices must describe—

(a) The business opportunity;

(b) Any prequalification requirements; and

(c) Where to obtain technical data needed to respond to the requirement.

An example of a GPE is the SBA SUB-Net which is a place in which prime contractors may post

solicitations or sources sought notices for small business. The SUB-Net database provides a listing of subcontracting solicitations and opportunities posted by large prime contractors and other non-federal agencies.

C. Options -

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.

D. 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

- A. North American Industry Classification System (NAICS) code – The NAICS code for this announcement is “541712” with a small business size standard of “500 employees”.
- B. System for Award Management (SAM): All Offerors submitting proposals or applications must:
- 1) be registered in the SAM prior to submission;
 - 2) maintain an active SAM registration with current information at all times during which it has an active Federal award or an application under consideration by any agency; and
 - 3) provide its DUNS number in each application or proposal it submits to the agency.

The System for Award Management (SAM) is a FREE WEBSITE that consolidates the capabilities you used to find in CCR/FedReg, ORCA, and EPLS. Future phases of SAM will add the capabilities of other systems used in Federal procurement and awards processes.

SAM may be accessed at <https://www.sam.gov/portal/public/SAM/>

NOTE TO FORMER CCR REGISTRANTS: If you had an active record in CCR, you have an active record in SAM. You do not need to do anything in SAM at this time, unless a change in your business circumstances requires a change in SAM in order for you to be paid or to receive an award. SAM will send notifications to the registered user via email 60, 30, and 15 days prior to expiration of the record. You can search for registered entities in SAM by typing the DUNS

number or business name into the search box.

C. Access to your Grant and Contract Award

All Office of Naval Research (ONR) award/modification documents are available via the Department of Defense (DoD) Electronic Document Access System (EDA) within the WideArea WorkFlow e-Business Suite (<https://wawf.eb.mil/>).

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 <https://wawf.eb.mil/> following the steps below:

1. Click "Accept"
2. Click "Register" (top right)
3. Click "Agree"
4. In the "What type of user are you?" drop down, select "Vendor"
5. Select the systems you would like to access (iRAPT at a minimum)
6. Complete the User Profile and follow the site instructions

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

To access awards after your registration has been approved, log into <https://wawf.eb.mil/>, select "EDA", select either EDA location, Select "Contracts", select your search preference, enter the Contract Number (or, if applicable, enter the Grant Number in the Contract Number field), and select "View".

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

VII. OTHER INFORMATION

A. Applies to Grant applications only:

- i. Federal Funding Accountability and Transparency Act of 2006:

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 33.110. 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 its proposal that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR 33.220. An entity is **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.

ii. Military Recruiting on Campus (DoDGARS Part 22.520):

This applies to domestic U. S. colleges and universities. Appropriate language from 32 CFR 22.520, Campus access for military recruiting and Reserve Officer Training Corps (ROTC), will be incorporated in all university grant awards.

iii. Certification regarding Restrictions on Lobbying:

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](https://www.grants.gov) (complete Block 17). The following certification applies likewise to each Cooperative Agreement and normal OTA applicant seeking federal assistance funds exceeding \$100,000:

- (1) No Federal appropriated funds have been paid or will be paid by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed

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

iv. Representation Regarding an Unpaid Delinquent Tax Liability or a Felony Conviction Under any Federal Law - DOD Appropriations:

All grant applicants are required to complete the "Representation on Tax Delinquency and Felony Conviction" found at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal.aspx> by checking the "I agree" box in block 17 and attaching the representation to block 18. of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

- (1) The applicant represents that it is ___ is not ___ a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in timely manner pursuant to an agreement with the authority responsible for collecting the tax liability
- (2) The applicant represents that it is ___ is not ___ a corporation that was convicted of a felony criminal violation under any Federal law within the preceding 24 months.
NOTE: If an applicant responds in the affirmative to either of the above representations, the applicant is ineligible to receive an award unless the agency suspension and debarment official (SDO) has considered suspension or debarment and determined that further action is not required to protect the Government's interests. The applicant therefore should provide information about its tax liability or conviction to the agency's SDO as soon as it can do so, to facilitate completion of the required consideration before award decisions are made.

v. Representation Regarding the Prohibition on Using FY15 Funds with Entities that Require Certain Internal Confidentiality Agreements

Agreement with the representation below will be affirmed by checking the "I agree" box in block 17 of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

By submission of its proposal or application, the applicant represents that it does not require any of its employees, contractors, or subrecipients seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting those employees, contractors, subrecipients from lawfully reporting that waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

Note that: (1) the basis for this representation is a prohibition in section 743 of the

Financial Services and General Government Appropriations Act, 2015, Pub. L. 113-235) on provision of funds through grants and cooperative agreements to entities with certain internal confidentiality agreements or statements; and 92) section 743 states that it does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

C. Applies to Contracts only:

- i. Government Property/Government Furnished Equipment (GFE) and Facilities:
Government research facilities and operational military units are available and should be considered as potential government-furnished equipment/facilities. These facilities and resources are of high value and some are in constant demand by multiple programs. It is unlikely that all facilities would be used for any one specific program. The use of these facilities and resources will be negotiated as the program unfolds. Offerors should indicate in the Proposal Checklist, Section II, Blocks 8 and 9, which of these facilities are critical for the project's success.
- ii. Use of Arms, Ammunition and Explosives:

Safety

The Offeror is required to be in compliance with DoD manual 4145.26-M, *DoD Contractor's Safety Manual for Ammunition and Explosives* if ammunitions and/or explosives are to be utilized under the proposed research effort. (See DFARS 223.370-5 and DFARS 252.223-7002).

If ammunitions and/or explosives (A&E) are to be utilized under the proposed research effort, the Government requires a preaward safety survey in accordance with DFARS PGI 223.370-4(C)(iv) entitled *Preaward survey*. The Offeror is solely responsible for contacting the cognizant DCMA office and obtaining a required preaward safety survey before proposal submission. The Offeror should include required preaward safety surveys with proposal submissions.

If the Offeror proposes that the Government provide Government-furnished A&E containing any nitrocellulose-based propellants and/or nitrate ester-based materials (such as nitroglycerin) or other similar A&E with a tendency to become chemically unstable over time, then NMCARS 5252.223-9000 will also apply to a resulting contract award. (See NMCARS 5223.370-5).

Security

If arms, ammunition and explosives (AA&E) are to be utilized under the proposed research effort, the Government requires a preaward security survey. The Offeror is solely responsible for contacting the cognizant DCMA office and obtaining a required preaward security survey before proposal submission. The Offeror should include a required preaward security survey with proposal submission. (See DoD manual

5100.76-M, *Physical Security of Sensitive Conventional Arms, Ammunition and Explosives*, paragraph C1.3.1.4)

If AA&E are to be utilized under the proposed research effort, the Government may require the Contractor to have perimeter fencing around the place of performance in accordance with DoD 5100.76-M, Appendix 2.

If AA&E are to be utilized under the research effort, the Offeror is required to provide a written copy of the Offeror’s AA&E accountability procedures in accordance with DoD 5100.76-M. If the Offeror is required to provide written AA&E accountability procedures, the Offeror should provide the respective procedures with its proposal submission. See DoD 5100.76-M Appendix 2.12.

iii. System for Award Management (SAM):

FAR 52.204-7 System for Award Management and FAR 52.204-13 System for Award Management Maintenance are incorporated into this BAA, and FAR 52.204-13 will be incorporated in all awards.

iv. Employment Eligibility Verification:

As per FAR 22.1802, recipients of FAR-based procurement contracts must enroll as Federal Contractors in E-verify and use E-verify to verify employment eligibility of all employees assigned to the award. All resultant contracts from this solicitation will include FAR 52.222-54, “Employment Eligibility Verification.”

v. FAR / DFARS Provisions:

For purposes of illustration and not of limitation, the following provisions may be applicable to ONR contracts:

#	Provision
52.204-7	System for Award Management
52.215-16	Facilities Capital Cost of Money
52.215-22	Limitations on Pass Through Charges - Identification of Subcontract Effort
52.216-1	Type of Contract
52.216-27	Single or Multiple Awards
52.217-4	Evaluation of Options Exercised at time of Contract Award
52.217-5	Evaluation of Options
52.222-24	Preaward On-Site Equal Opportunity Compliance Evaluation (Applies if exceeds \$10M)
25.226-2	Historically Black College or University and Minority Institution Representation
52.230-7	Proposal Disclosure - Cost Accounting Practice Changes

52.232-15	Progress Payments not included
52.233-2	Service of Protest
52.252-1	Solicitation Provisions Incorporated by Reference
52.252-3	Alterations in Solicitation
52.252-5	Authorized Deviations in Provisions
252.203-7005	Representation Relating to Compensation of Former DoD Officials
252.204-7004	Alternate A, System for Award Management
252.215-7003	Requirements for Submission of Data Other than Certified Cost or Pricing Data - Canadian Commercial Corporation

vi. Combating Trafficking in Persons:

Appropriate language from FAR Clause 52.222-50 will be incorporated in all awards.

vii. Certification Regarding Trafficking in Persons Compliance Plan:

Prior to award of a contract, for the portion of the contract that is for supplies, other than commercially available off-the-shelf items, to be acquired outside the United States, or services to be performed outside the United States, and which has an estimated value that exceeds \$500,000, the contractor shall submit the certificate as specified in paragraph (c) of 52.222-56, Certification Regarding Trafficking in Persons Compliance Plan.

viii. Updates of Information regarding Responsibility Matters:

FAR clause 52.209-9, Updates of Publicly Available Information Regarding Responsibility Matter, will be included in all contracts valued at \$500,000 where the contractor has current active Federal contracts and grants with total value greater than \$10,000,000.

C. Applies to Contracts and Grants:

i. 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 Proposal Checklist.

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.

ONR does not provide access to classified material under grants.

ii. Use of Animals and Human Subjects in Research:

If animals are to be utilized in the research effort proposed, the Offeror must submit prior to award a Full Appendix or Abbreviated Appendix with supporting documentation (copies of IACUC Approval, IACUC Approved Protocol, and most recent USDA Inspection Report) prior to award. For assistance with submission of animal research related documentation, contact the ONR Animal Use Administrator at (703) 696-4046. Guidance:

<http://www.onr.navy.mil/en/About-ONR/compliance-protections/Research-Protections/Animal-Recombinant-DNA.aspx>

Use of Human Subjects in Research:

Similarly, for any proposal for research involving human subjects, the Offeror must submit prior to award: documentation of approval from an Institutional Review Board (IRB); IRB-approved research protocol; IRB-approved informed consent form; proof of completed human research training (e.g., training certificate or institutional verification of training); an application for a DoD- Navy Addendum to the Offeror's DHHS-issued Federal wide Assurance (FWA) or the Offeror's DoD-Navy Addendum. In the event that an exemption criterion under 32 CFR 219 101(b) is claimed, provide documentation of the determination by the Institutional Review Board (IRB) Chair, IRB vice Chair, designated IRB administrator or official of the human research protection program including the category of exemption and short rationale statement. Determinations that the activity is not research involving human subjects must also be provided. This documentation must be submitted to the ONR Human Research Protection Official (HRPO), by way of the ONR Program Officer. Information about assurance applications and forms can be obtained by contacting ONR_343_contact@navy.mil. If the research is determined by the IRB to be greater than minimal risk, the Offeror also must provide the name and contact information for the independent medical monitor. For assistance with submission of human subject research related documentation, contact the ONR Human Research Protection Official at (703) 696-4046.

For contracts and orders, the award and execution of the contract, order, or modification to an existing contract or order serves as notification from the Contracting Officer to the Contractor that the HRPO has approved the assurance as appropriate for the research under the Statement of Work and also that the HRPO has reviewed the protocol and accepted the IRB approval or exemption determination for compliance with the DoD Component policies. See, DFARS 252.235-7004. Guidance: <http://www.onr.navy.mil/About-ONR/compliance-protections/Research-Protections/Human-Subject-Research.aspx>.

iii. Recombinant DNA:

Proposals which call for experiments using recombinant DNA must include documentation of compliance with Department of Health and Human Services (DHHS) recombinant DNA regulations, approval of the Institutional Biosafety Committee (IBC), and copies of the DHHS Approval of the IBC letter.

iv. Department of Defense High Performance Computing Program:

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

v. 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. Unless a waiver is granted under FAR 9.503, 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-protectations/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.

vi. 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. (This statement does not apply to international offerors submitting proposals to ONRG. International offerors should contact the cognizant ONRG Administrative Director (AD) for guidance prior to submitting a proposal.) Interim meetings are likely, but these will be accomplished via video telephone conferences, telephone conferences, or via web-based collaboration tools.

vii. Reporting Executive Compensation and First-Tier Subcontract Awards:

The FAR clause 52.204-10, "Reporting Executive Compensation and First-Tier Subcontract Awards," will be used in all procurement contracts valued at \$25,000 or more. **A similar award term will be used in all grants and cooperative agreements.**