



## **BROAD AGENCY ANNOUNCEMENT (BAA) Real-Time Full Spectrum Cyber Science & Technology**

### **INTRODUCTION:**

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

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

**Hyperlinks have been embedded within this document and appear as underlined, blue-colored words in the midst of paragraphs. The reader may "jump" to the linked section within this document by "clicking" (CTRL + CLICK, or CLICK).**

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## **I. GENERAL INFORMATION**

### **A. Agency Name -**

Office of Naval Research,  
One Liberty Center  
875 N. Randolph Street  
Arlington, VA 22203-1995

### **B. Research Opportunity Title - Real-Time Full Spectrum Cyber Science & Technology**

**C. Program Name - Office of Naval Research Computer, Mathematics and Information Sciences Division Basic, Applied Research and Advanced Cyber Technology Development science and technology programs.**

**D. Research Opportunity Number - N00014-16-R-BA04**

### **E. Response Date -**

Industry Day:	17 Dec 2015
White Papers:	18 Jan 2016
Oral Presentations	on or about 17 March 2016
Full Proposals	18 April 2016

### **F. Research Opportunity Description -**

The Office of Naval Research (ONR) is interested in receiving proposals for real-time full spectrum cybersecurity Science and Technology (S&T) Projects which offer potential for advancement and improvement of Navy and Marine Corps operations. Readers should note that this is an announcement to declare ONR's broad role in competitive funding of meritorious research across a spectrum of science and engineering disciplines. A brief description of the ONR Program science and technology thrusts that ONR is pursuing is provided below.

The Office of Naval Research (ONR) is interested in receiving proposals addressing Full-Spectrum Cyber (FSC) science and technology for real-time cyber-resilient systems including current and legacy Industrial Control & Combat Systems (ICCS) with complex and evolving software. This BAA originates from the ever-growing need for comprehensive and novel methods for cybersecurity and resiliency of legacy and currently deployed information systems including real-time ICCS. The critical nature, real-time requirements, and physical effects of such systems impact

the health and safety of human lives and the critical systems. The availability of real-time security solutions is limited because such systems have not been the traditional focus of cybersecurity research and development. The objective of this BAA is to solicit solutions to enhance the cybersecurity, resiliency, integrity, and availability of real-time systems. This solicitation is broken up into three separate S&T cyber thrust areas of interest:

- Cyber-attack resilient and fault-tolerant communications
- Cyber-attack resilient and fault-tolerant systems
- Proactive-cyber shaping

### **Cyber-attack resilient and fault-tolerant communications**

The ONR is interested in proposals for developing new approaches for implementing real-time cyber resiliency. This section of the BAA is concerned with communication channels which must be robust against cyber disruptions affecting the communication's integrity and availability. ICCS are designed for survivability and availability of operations over a long lifecycle that may span multiple decades. Completely redesigning or replacing them is not a viable solution. Therefore, we are interested in cyber resiliency solutions for communication channels that can be retrofitted into legacy systems. Additionally, current control systems communicate across numerous interfaces, protocols, and physical channels that span from traditional IP networks to low-level system backplanes. Unlike traditional computer systems, allowing faults and exploitation of weaknesses with control systems is not acceptable, as it will pose a significant risk to the health and safety of human lives or result in serious damage to its environment. Traditional IP network cybersecurity proposals will be reviewed but are not the primary focus of this BAA. Proposed research should enhance the cybersecurity/robustness of a low-level communication channel or system backplane. A successful proposal at this level may require an understanding of non-standard or legacy backplane architecture and protocols. Proposals should concentrate on the detection and mitigation of malicious cyber events for assured operations and communication robustness in tactical and real-time communication channels that exist on manned and unmanned Naval platforms.

### **Cyber-attack resilient and fault-tolerant systems**

The ONR is interested in proposals for developing new approaches for implementing real-time cyber resiliency. This section of the BAA is concerned with real-time systems which must be resilient against naturally occurring faults and cyber disruptions affecting the operations of an individual controller. Computing components that comprise real-time control systems are expected to operate over a long lifecycle that may span multiple decades. As such, it is not practical to completely redesign or replace them. Therefore, we are interested in technologies to enhance real-time control system resiliency that can be retrofitted into legacy systems.

Traditionally, the components of real-time control systems have generally been designed to be tolerant of physical and random faults. In contrast, faults and other adverse behavior due to cyber exploits result in total system failure or corruption even under the protection of typical fault-tolerant mechanisms. This BAA solicits novel approaches to enhance fault-tolerance in real-time control systems so that a system is resilient to a cyber attack, allowing it to operate continuously while maintaining the integrity of its operations.

Due to their real-time nature, controllers often require that outputs are generated periodically and processed with regular frequency (sometimes referred to as the epoch). The cyber exploit resiliency mechanism needs to perform detection and recovery within a window of time such that the physical system remains stable without a control signal. Upon recovery, a controller's knowledge of the physical system state must also be restored. Control systems are typically engineered to withstand some loss of state, such that the loss does not impact the overall stability of the physical system. Any state information lost should be within the tolerable amount for maintaining physical system stability, which is application specific, and often a small multiple of the epoch. The recovery mechanism should be able to remove a malicious input and recover to a known good state within the acceptable limits of the physical system. Proposals should concentrate on the detection and mitigation for assured cybersecurity and resiliency of tactical and real-time controllers on manned and unmanned Naval platforms.

### **Proactive-Cyber Shaping**

Proactive-cyber shaping focuses on developing effective new approaches in cyber, information, and control systems to support tactical decision makers with agile and responsive battlespace shaping capabilities in a rapidly evolving cyberspace. Proactive-cyber shaping capabilities for real-time ICCS will provide an in-depth understanding of a system's cyber health and status, as well as inform the development of novel protocols, security mechanisms, secure computing platforms, modeling, and evaluation techniques for these ICCS. Producing FSC effects will encompass all necessary capabilities to assure access to, and integrity of, all information in the battlespace. Specific proposals should focus on tactical and real-time cyber capabilities for both manned and unmanned US Naval platforms. Desired technologies focus on real-time hardware and software, sensing, monitoring, analysis, and technical applications that protect the US Naval information enterprise. Research ideas are being sought after that build upon fundamental research in computer and information sciences for ensuring the integrity of the US Naval information enterprise including the protection of our ICCS. The cyberspace domain in which the US Naval Forces operate requires advances in cyber that enable our warfighters to remain persistently ahead of the adversary. Proposals are desired that aim to develop methods to assure access to cyberspace and the integrity of command and control, along with advancing research on the convergence of cyber and electromagnetic maneuver.

### **G. Point(s) of Contact -**

Point of Contact Name: Mr. Gary Toth  
Point of Contact Occupation Title: ONR Cyber S&T Team Lead  
Division Title: Computer, Mathematics & Information Sciences  
Division Code: 311  
Address: 875 N Randolph St., Suite 1425  
Arlington, VA 22203  
Email Address: [gary.toth@navy.mil](mailto:gary.toth@navy.mil)

Point of Contact Name: Dr. Ryan Craven  
Point of Contact Occupation Title: ONR Cyber Resiliency S& T Lead  
Division Title: Computer, Mathematics & Information Sciences  
Division Code: 311  
Address: 875 N Randolph St., Suite 1425  
Arlington, VA 22203  
Email Address: [ryan.craven@navy.mil](mailto:ryan.craven@navy.mil)

Point of Contact Name: Dr. Sukarno Mertoguno  
Point of Contact Occupation Title: ONR Cyber Discovery & Invention Program Manager  
Division Title: Computer, Mathematics & Information Sciences  
Division Code: 311  
Address: 875 N Randolph St., Suite 1425  
Arlington, VA 22203  
Email Address: [sukarno.mertoguno@navy.mil](mailto:sukarno.mertoguno@navy.mil)

Point of Contact Name: Mr. Christopher E. Fleming  
Point of Contact Occupation Title: USN Cybersecurity Engineer  
Division Title: Computer, Mathematics & Information Sciences  
Division Code: 311  
Address: 875 N Randolph St., Suite 1425  
Arlington, VA 22203  
Email Address: [chris.e.fleming@navy.mil](mailto:chris.e.fleming@navy.mil)

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 of a **business** nature, and suggestions for improvement, should be submitted to:

Point of Contact Name: Ms. Angela Morin  
Point of Contact Occupation Title: Contract Specialist  
Division Title: C4ISR AND SEA  
WARFARE CONTRACTS BRANCH  
Division Code: ONR252  
Address: 875 N Randolph St., Suite 1425  
Arlington, VA 22203  
Email Address: [angela.morin@navy.mil](mailto:angela.morin@navy.mil)

Questions of a **technical** nature should be submitted to:

Point of Contact Name: Mr. Christopher Fleming  
Point of Contact Occupation Title: Cybersecurity Engineer  
Division Title: Computer, Mathematics & Information Sciences  
Division Code: 311  
Address: 875 N Randolph St., Suite 1425  
Arlington, VA 22203  
Email Address: [chris.e.fleming@navy.mil](mailto:chris.e.fleming@navy.mil)

Questions of a Security nature should be submitted to:

Torri Powell  
Industrial Security Specialist  
Office of Naval Research  
Security Department, Code 43  
One Liberty Center  
875 North Randolph St.  
Arlington, VA 22203-1995  
Email Address: [torri.powell@navy.mil](mailto:torri.powell@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 a copy to both the Technical POC and the Business POC stating that the entity would like to ask a CLASSIFIED question. DO NOT EMAIL ANY CLASSIFIED QUESTIONS. The Security POC will contact the entity and arrange for the CLASSIFIED question to be asked through a secure method of communication.

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

Amendments to this BAA will be posted to one or more of the following web pages:

- 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>

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

Awards may take the form of contracts and grants.

For information on the substantial involvement ONR expects to have in cooperative agreements, prospective offerors should contact the Technical Point of Contact identified in Part I, Section G, of this BAA.

Any contract award 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/en/Contracts-Grants/submit-proposal/contracts-proposal.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/model-grant.aspx>.

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

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

Department of Defense (DOD) Basic and Applied Scientific Research

## **K. Other Information -**

Work funded under a BAA may include basic research, applied research and some advanced technology development 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. Non-fundamental research is normally awarded under contracts and may require restrictions during the conduct of the research and DoD pre-publication review of such research results due to subject matter sensitivity. Potential Offerors should consult with the appropriate ONR Technical POCs to determine whether the proposed effort would constitute basic research, applied research or advanced research.

FAR Part 35 restricts the use of Broad Agency Announcements (BAAs), such as this, to the acquisition of basic and applied research and that portion of advanced technology development not related to the development of a specific system or hardware procurement. Contracts and grants and other assistance agreements made under BAAs are for scientific study and experimentation directed towards advancing the state of the art and increasing knowledge or understanding.

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

## **II. AWARD INFORMATION**

### **A. Funded Amount and Period of Performance-**

The Office of Naval Research is anticipating multiple awards ranging from \$500,000-\$1,500,000/year for a period of 12-36 months. The following table provides an estimate of the anticipated funding planned for this effort. The funded amount and period of performance of each proposal selected for award may vary depending on the research area and the technical approach to be pursued by the offeror selected.

	FY17	FY18	FY19	FY20
Funding (\$K)	6000	8000	8000	8000

### **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.

### **C. Production and Testing of Prototypes-**

In the case of funded proposals for the production and testing of prototypes, ONR may modify the contract to add a contract line item or contract option for the provision of advanced component development or for the delivery of additional prototype units. However, such a contract addition shall be subject to the limitations contained in Section 819 of the National Defense Authorization Act (NDAA) for Fiscal Year 2010, as modified in Section 811 of the NDAA for Fiscal Year 2015.

### **III. ELIGIBILITY INFORMATION**

- A.** All responsible sources from academia and industry may submit proposals under this BAA. Historically Black Colleges and Universities (HBCUs) and Minority Institutions (MIs) are encouraged to submit proposals and join others in submitting proposals. However, no portion of this BAA will be set aside for HBCU and MI participation, due to the impracticality of reserving discrete or severable items of this research for exclusive competition among such 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 Offerors are allowed so long as such arrangements 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 Gary Toth, Ryan Craven or Sukarno Mertoguno to discuss its area of interest. 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 (UARCs) are eligible to submit proposals under this BAA unless precluded from doing so by their Department of Defense UARC contract.
- 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.** Offerors should be aware of recent changes in export control laws. Offerors are responsible for ensuring compliance with all International Traffic in Arms Regulation (ITAR)(22 CFR §120 *et. seq.*) requirements, as applicable. In some cases, developmental items funded by the Department of Defense are now included on the United States Munition List (USML) and are therefore subject to ITAR jurisdiction. Offerors should address in their proposals whether

ITAR restrictions apply or do not apply, such as in the case when research products would have both civil and military application, to the work they are proposing to perform for ONR. The USML is available online at <http://www.ecfr.gov/cgi-bin/text-idx?node=pt22.1.121>. Additional information regarding the President's Export Control Reform Initiative can be found at <http://export.gov/ecr/index.asp>.

- 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**

##### **Section IV: Table of Contents**

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\* Click on the above hyperlinks to navigate directly to your desired section

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

Pre-proposal Conference/Industry Day: The ONR Real-Time Full Spectrum Cyber S&T Program will conduct an unclassified briefing for potential Offerors on December 17, 2015 at The Westin Crystal City hotel in Arlington, VA. The purpose of the meeting will be to provide potential Offerors with a better understanding of the scope of the Program and objectives of this BAA. The briefing will be held from 09:00 AM to 12:00 PM Eastern Standard Time (EST), with check-in from 08:00-09:00 AM (EST). All attendees are required to pre-register through the following website: <https://www.onlineregistrationcenter.com/register/222/page1.asp?m=4269&c=143> by close of business on December 15, 2015 (Website will be open for pre-registration on or within 3 business days of 11/19/2015). Pre-registration through the provided website is mandatory; WALK-IN REGISTRATION WILL NOT BE PERMITTED. If requested attendance exceeds capacity, it may be necessary to limit attendance, and organizations will be so notified. ONR will reply via email on or before December 16, 2015 to those parties who plan on attending the briefing with the specific location where the briefing will be conducted, directions, schedule, and any other appropriate information. Those not able to attend this briefing should consult the web page <http://www.onr.navy.mil/02/BAA> after Monday, December 28, 2015 to see briefing slides and answers to questions submitted during the conference.

White Papers and Full Proposals are required for submission under this BAA.

White Papers: The due date for white papers is no later than 3:00 PM (EST) on 18 January 2016. White papers are to be submitted as a pdf file via electronic mail (email) only to Mr. Fleming and the subject line must address the specific cyber S&T thrust that the proposed effort is addressing. Please email the proposal to Mr. Fleming, Code 311, [chris.e.fleming@navy.mil](mailto:chris.e.fleming@navy.mil). If an Offeror does not submit a white paper before the specified due date and time, it is not eligible to participate in the remaining Full Proposal submission process and is not eligible for funding. Each white paper should state that it is submitted in response to this BAA and cite the particular sub-section of the Research Opportunity Description that the white paper is primarily addressing.

White Paper Evaluation/Notification: Navy evaluations of the white papers will be issued via email notification on or about February 22, 2016. An expanded oral presentation will be subsequently requested from those Offerors whose proposed technologies have been identified as being of “particular value” to the Navy. However, any such request does not assure a subsequent award. Any Offeror whose white paper technology was not identified as being of “particular value” to the Navy is ineligible to make an oral presentation or to submit a full proposal under this BAA.

Oral Presentations: ONR requests that Principal Investigators (PIs) provide expanded presentations of their selected white papers. The purpose of the oral presentation is to provide additional information and address how the proposed technology will affect military applications. The time, location, and briefing format of the oral presentations, if requested, will be provided at a later date via email notification.

Oral Presentation Evaluation/Notification: Navy evaluations of the oral presentations will be issued via email notification on or about March 25, 2016. A full proposal will be subsequently encouraged from those Offerors whose proposed technologies have been identified through the aforementioned email as still being of “particular value” to the Navy. Any Offeror whose oral presentation was not identified as being of “particular value” to the Navy is ineligible to submit a full proposal under this BAA.

Full Proposals: The due date for receipt of Full Proposals is 3:00 PM (EDT) on April 18, 2016. It is anticipated that final selections will be made within four weeks after full proposal submission. As soon as the final full proposal evaluation process is completed, PI’s will be notified via email of their project’s selection or non-selection for FY17 funding. Full proposals received after the published due date and time will not be considered for funding in FY17.

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

White Papers and Full Proposals submitted under this BAA are expected to be unclassified; however, classified proposals 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 it 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.”

1. Unclassified Proposal Instructions:

Unclassified proposals shall be submitted in accordance with this Section.

2. Special Instructions for Classified White Papers and Proposal:

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

**OUTSIDE ENVELOPE  
(no classification marking):**

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

The inner wrapper of the classified White Paper and/or Full Proposal should be addressed to the attention of the cognizant TPOC, ONR Code XX and marked in the following manner:

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

“Program Name:  
Office of Naval Research  
ATTN: ONR Program Officer Name  
ONR Code: ONR Program Officer Code  
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.

### STATEMENT OF WORK (SOW)

An ‘unclassified’ SOW must accompany any classified proposal.

For both classified and unclassified proposals, a non-proprietary version of the SOW must also be submitted.

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

### **a. WHITE PAPERS**

#### **White Paper Format**

- Paper Size: 8.5 x 11 inch paper
- Margins: 1 inch
- Spacing: single-spaced
- Font: Times New Roman, 12 point
- Page limit: 4–5 pages

#### **White Paper Submission**

Electronic (email) submissions should be sent to the attention of Mr. Christopher Fleming at: [chris.e.fleming@navy.mil](mailto:chris.e.fleming@navy.mil). The subject line of the email shall read:

“N00014-16-R-BA04 White Paper Submission” and specific thrust area the white paper addresses. The white paper must be a Microsoft Word 2007 compatible, or PDF format attachment to the email. There is an email size limit of 5MB per email.

**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.**

#### **White Paper Content**

- **Cover Page:** The Cover Page shall be labeled “WHITE PAPER” and shall include the BAA Number N00014-16-R-BA04, proposed title, specific technical thrust area the effort addresses, technical points of contact, telephone number, facsimile number, and e-mail address.

- **Technical Concept**: A description of the technology innovation and technical risk areas.
- **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.
- **Rough Order of Magnitude (ROM)**

## **b. FULL PROPOSALS**

### **i. INSTRUCTIONS FOR CONTRACTS (Does not include Grants)**

Proposal Package:

*The following five 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 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/cost-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 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 3 hard copies, as well as an electronic copy, 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 proposing options, 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 Part IV, Section F. [Submission of Full Proposals for Contracts](#).

## ii. INSTRUCTIONS FOR GRANTS (Does not include contracts)

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).
- **Block 4c, Previous Grants.gov Tracking ID** – Enter the Grants.gov tracking number of the previous proposal submission if this submission is for a Changed/Corrected Application; otherwise, leave blank.

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 word 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
- Discuss the limit on the number of pages for Volume I with the cognizant Program Officer. There are no page limitations to the Cost Proposal, Volume 2.
- 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:
  - 1) BAA Number: N00014-16-R-BA04;
  - 2) Title of Proposal;
  - 3) Identity of prime Offeror and complete list of subawards, if applicable;
  - 4) Technical contact (name, address, phone/fax, electronic mail address)
  - 5) Administrative/business contact (name, address, phone/fax, electronic mail address) and;
  - 6) Proposed period of performance (identify both the base period and any options, if included).
- **Table of Contents:** 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.

*Include for Basic Research, if it applies.*

- **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 and Advanced Technology Development, if it applies.*

- **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 requests funds for a conference, workshop or symposium:*

1. *ONR (including ONRG) will not sponsor an ONR, Navy, or DoD event. Provide a list of other sponsors and the requested amounts to be funded by all sponsors.*
  2. *The funds provided by ONR (including ONRG) may be used to pay for food or beverages as a direct cost only in exceptional circumstances. The funds shall 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.*
  3. *Specify in your proposal how the event and related outcomes will directly and programmatically relate to the US Naval or Marine Corps Science & Technology Plan and identify specific focus areas that will be addressed. The proposal must provide the technical and scientific objectives of the program or event and clearly state the desired outcomes (e.g. conference proceedings, journal articles, algorithms, tools, additional research, etc.).*
- **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.

For submission instructions, see Part IV, Section E: [Submission of Grant Proposals through Grants.gov](#).

### **C. Significant Dates and Times -**

This announcement will remain open for 12 months, or until replaced by a successor BAA, whichever occurs first. The majority of awards are anticipated to be accomplished through the white paper, oral presentation, and proposal review process discussed above. However, the Government may accept and evaluate additional proposals after evaluation and award of proposals received on the proposal due date subject to availability of funds.

<b>Anticipated Schedule of Events *</b>		
<b>Event</b>	<b>Date (MM/DD/YEAR)</b>	<b>Time (Local Eastern Time)</b>
Pre-Proposal Conference/Industry Day	12/17/2015	8 AM-12 PM
White Papers Due Date	01/18/2016	3 PM
Notification of Initial Navy Evaluations of White Papers*	02/22/2016	
Oral Presentation of White Papers*	03/17/2016	
Notification of Navy Evaluations of Oral Presentations*	03/25/2016	
Full Proposals Due Date	04/18/2016	3 PM
Notification of Selection for Award *	05/15/2016	
Contract Awards*	12/15/2016	
Kickoff Meeting*	01/07/2017	

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

**D. Submission of Late Proposals (Applicable to White Papers and Full Proposals)**

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

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

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

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

If an emergency or unanticipated event interrupts normal Government processes so that proposals cannot be received at the Government office designated for receipt of proposals by the exact time specified in the announcement, and urgent Government requirements preclude amendment of the announcement closing

date, the time specified for receipt of proposals will be deemed to be extend to the same time of day specified in the announcement on the first work day on which normal Government processes resume.

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

**E. Submission of Grant Proposals through Grants.gov**

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

Detailed instructions entitled “Grants.Gov Electronic Application and Submission Information” on how to submit a Grant proposal through Grants.gov are under the Contracts and Grants — Submitting Proposals section of the ONR website at: <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-gov>.

White Papers must not be submitted through the Grants.gov application process. White paper submissions should be e-mailed directly to the appropriate ONR Program Officer/Program Manager. White paper format requirements are found in Part IV, Section B.(a) above.

For electronic submission of full proposals for grants, 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 System for Award Management (SAM), registering with the credential provider, and registering with Grants.gov. See <http://www.grants.gov>.

Use the Grants.gov Organization Registration Checklist at: <http://www.grants.gov/web/grants/applicants/organization-registration.html> which will provide guidance through the process. Designating an E-Business Point of Contact (E-Biz 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](mailto:support@grants.gov).

**Special Notices Relative to Grant Applications to be submitted through Grants.Gov:**

All attachments to grant applications submitted through Grants.Gov must be in Adobe Portable Document Format. Proposals with attachments submitted in word processing, spreadsheet, or any format other than Adobe Portable Document Format will not be considered for award.



## 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 acknowledgment 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. Submission of Full Proposals for Contracts.**

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

Office of Naval Research  
Attn: Gary Toth  
ONR Department Code: 311  
875 North Randolph Street, Suite 1425  
Arlington, VA 22203-1995

## **V. EVALUATION INFORMATION**

### **A. Evaluation Criteria –**

Awards under this BAA will be made to Offerors 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 Offerors from award consideration should the parties fail to reach agreement on award terms, conditions, and cost/price within a reasonable time, or the Offeror 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. Non-proprietary solutions, or full unlimited data rights, will be given favorable consideration.
- 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. Criteria 1 and 2 are of equal importance, and when combined, are significantly more important than Criteria 3 or 4. Criteria 3 and 4 are of equal importance.

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.

## **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 that 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 Rico and Guam. To locate a local PTAC visit: <http://www.dla.mil/HQ/SmallBusiness/PTAP> or <http://www.ptac-us.org/new/>.

#### 1) Subcontracting Plan –

For proposed contract awards exceeding \$700,000, 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 requires the apparent successful offeror to submit an acceptable Plan. If the apparent 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) will have the maximum practicable opportunity to participate in contract performance consistent with 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 the maximum practicable opportunity to participate in contract performance consistent with 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 an attachment to the "Proposal Checklist" 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  $\geq$  \$7.0 M 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>.

In accordance with FAR Subpart 5.206, the following entities may transmit a notice to a Government Point of Entry (GPE) to seek competition for subcontracts, to increase participation by qualified small businesses, VOSBs, SDVOSBs, HUBZones, SDBs, and WOSBs, 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 contract or grant 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**

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

- A. North American Industry Classification System (NAICS) code – The NAICS code for this announcement is 541712 with a small business size standard of 500. (*Applies to contracts only.*)
- 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

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

Unless otherwise specified by the Offeror, notifications for the posting of award and modification documents to EDA will be directed to both the Technical Point of Contact and the Business Point of Contact identified in the Offeror's proposal.

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](mailto:disa.ogden.esd.mbx.cscassig@mail.mil).

## **VII. OTHER INFORMATION**

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\* Click on the above hyperlinks to navigate directly to your desired section

#### **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 Part 170. 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 Part 170 Appendix A. Entities are required to meet reporting requirements unless an exception or exemption applies. Please refer to 2 CFR Part 170, including Appendix A, for a detailed explanation of the requirements, exceptions, and exemptions.

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 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, or 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, as applicable, the bases for this representation are the prohibition(s) as follow:

- a. Section 743 of the Financial Services and General Government Appropriation Act, 2015 (Division E of the Consolidated and Further Continuing Appropriations Act, 2015, Pub. L. 113-235)
- b. Section 101(a) of the Continuing Appropriation Act, 2016 (Pub. L. 114-53) and any subsequent FY2016 appropriations act that extends to FY2016 the same restrictions as are contained in section 743 of Division E, title VII of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub L. 113-235)
- c. Any successor provision of law on making funds available through grants and cooperative agreements to entities with certain internal confidentiality agreements or statements

The prohibitions stated above do 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.

- vi. Applicants for grants, cooperative agreements, or other transaction agreements as applicable are required to comply with 2 CFR 215.42, Codes of Conduct, to prevent real or apparent conflicts of interest in the award and administration of any contracts supported by federal funds. This provision will be incorporated into all assistance instruments awarded under this BAA.

**B. 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 Defense Contract Management Agency (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 or 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 proposed 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 (E-verify):

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. Conflicts of Interest:

(1) Organizational Conflicts of Interest. All Offerors and proposed subcontractors must affirm whether they are, or are not, providing scientific, engineering, and technical assistance (SETA) or similar support to any ONR technical office(s) through an active contract or subcontract. (For the purposes of this BAA, SETA is defined as work that provides analysis and engineering services in a consulting capacity as opposed to performing research and development.) 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. Offerors and proposed subcontractors must disclose all facts relevant to the existence or potential existence of organizational conflicts of interest (FAR 9.5). 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-protections/Organizational-Conflicts-Interest>.

(2) Personal Conflicts of Interest. All Offerors and proposed subcontractors must report whether any covered employees are performing acquisition functions closely associated with inherently governmental functions for ONR, as defined in FAR 3.11. Offerors must include which ONR office(s) those covered employees support and identify the prime contract numbers. This information must be furnished at the time of proposal submission. Offerors and proposed subcontractors must disclose all facts relevant to the existence or potential existence of any personal conflicts of interest involving covered employees and describe any actions taken to avoid, neutralize, or mitigate any such conflicts. Proposals that fail to fully disclose potential personal conflicts of interests will be rejected and withdrawn from further consideration for award.

(3) 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. 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
252.219-7000	Advancing Small Business Growth

vii. Combating Trafficking in Persons:

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

viii. 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

ix. 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 will include a statement indicating successful

completion of HRPO's review 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. Institutional Dual Use Research of Concern:

As of September 24, 2015, all institutions and USG funding agencies subject to the [United States Government Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern](#) must comply with all the requirements listed therein. If your research proposal directly involves certain biological agents or toxins, contact the cognizant Technical Point of Contact. U.S. Government Science, Safety, Security (S3) guidance may be found at <http://www.phe.gov/s3/dualuse>.

v. 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/>.

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.**