



ONR BAA Announcement # N00014-20-S-B003

BROAD AGENCY ANNOUNCEMENT (BAA)

Low Observable / No Collateral Damage Neutralization of Underwater Mines and Waterborne Improvised Explosive Devices

Amendment 0002 – September 3, 2020

The purpose of this amendment is to apply the following changes to this solicitation:

- **(p. BAA-5) Adjusted the Anticipated Schedule of Events table to reflect an extension to White Paper Due Date.**
- **(p. BAA-17) Updated the Submission Dates and Times to an extension to White Paper Due Date.**
- **(p. Appendix 1-9) Added the following clauses and provisions:**
 - **52.204-24 – Representation Regarding Certain Telecommunications and Video Surveillance Services or Equipment**
 - **52.204-25 – Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Supplies**
 - **52.204-26 – Covered Telecommunications Equipment or Services Representation**

All changes made by this amendment are denoted by red text.

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I. OVERVIEW OF THE RESEARCH OPPORTUNITY

This publication constitutes a Broad Agency Announcement (BAA) for awards by the Office of Naval Research (ONR) Contact and Grants Awards Management Division, ONR Code 25 (or otherwise approved by Code 25) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and 35.016 and the Office of the Under Secretary of Defense for Acquisition and Sustainment Other Transaction Guide version 1.0 dated November 2018. A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued.

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

Hyperlinks have been embedded within this document and appear as underlined, blue-colored words. The reader may “jump” to the linked section by clicking the hyperlink.

A. Required Overview Content

1. Federal Awarding Agency Name

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

2. Funding Opportunity Title – Low Observable / No Collateral Damage Neutralization of Underwater Mines and Waterborne Improvised Explosive Devices

3. Announcement Type – Initial Announcement

4. Funding Opportunity Number – N00014-14-20-S-B003

5. Catalog of Federal Domestic Assistance (CFDA) Numbers

12.300 - Department of Defense (DOD), Department of the Navy, Office of Chief
of Naval Research, Basic and Applied Scientific Research

6. **Key Dates (See also Section D.4)**

Anticipated Schedule of Events		
Event	Date	Time (Eastern Local Time)
White Papers Due Date	02 October 2020	1500
Notification of Initial Navy Evaluations of White Papers*	23 October 2020	
Full Proposals Due Date	04 December 2020	1500
Notification of Selection for Award *	28 December 2020	
Awards*	30 April 2021	
Kickoff Meeting*	28 May 2021	

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

7. **North American Industry Classification System (NAICS) code** – The NAICS code for contracts under this announcement is 541715 with a small business size standard of 1,000.
8. **Contracting Officer** – The Contracting Officer for this announcement is identified under Section II, subparagraph G.3.

II. DETAILED INFORMATION ABOUT THE RESEARCH OPPORTUNITY

The Office of Naval Research (ONR) is interested in receiving white papers and full proposals for development of advanced technologies for low-observable/no-collateral damage neutralization of underwater mines and waterborne improvised explosive devices (WBIEDs). This research opportunity description provides: A) Program information (motivation, goals, and background); B) An operational vignette to provide context for Offerors; and C) Three separate topic area descriptions with technical considerations for white papers and proposals. A separate white paper is requested for each topic.

A. Program Description

1. Program Information

Development of Advanced Technologies for Low Observable / No Collateral Damage Neutralization of Underwater Mines and Waterborne Improvised Explosive Devices (WBIEDs)

a. Motivation

The U.S. Navy's Expeditionary Mine Countermeasures (EXMCM) forces confront a wide range of hazardous and explosive threats like underwater mines and WBIEDs. ONR seeks to develop and demonstrate advanced

payloads that enable EXMCM forces to neutralize underwater mines and WBIEDs without causing them to function as designed, which would give away the element of surprise, or cause damage to underwater infrastructure. A diver or Remotely Operated Vehicle (ROV) will deliver these payloads. Technologies developed will transition to the existing Explosive Ordnance Disposal (EOD) Maritime Expeditionary Standoff Response (MESR) program of record, which will field underwater capabilities required to counter naval mines, WBIEDs and other unexploded explosive ordnance (UXO) threats in the undersea and littoral marine environments.

b. Goals

The goals are to develop diver or ROV deployed payloads that are minefield suitable and controlled from extended ranges to improve the ability of EXMCM forces to do the following:

1. Neutralize underwater mines and WBIEDs in a manner that does not cause them to detonate, which is an observable event and one that is likely to cause damage to nearby critical infrastructure. A diver or autonomous underwater vehicle (AUV) such as an ROV will deliver the neutralization device.
2. Inspect the mine or WBIED to determine location of internal components (i.e. battery, fuze, etc.). A diver or ROV/AUV will deliver the inspection device.
3. Communicate with the ROV over extended ranges (from over-the-horizon) including control over the ROV and remote initiation of neutralization payload.

c. Background

Navy EOD technicians and specialists are an integral part of the warfighting capability of the EXMCM force, enabling joint, naval and commercial maneuver in the maritime domain. Navy EOD technicians and specialists conduct missions at sea and in the littorals that include the detection and neutralization of a variety of explosive threats to facilitate friendly force maneuver in contested and benign environments. These missions are expeditionary and hazardous, therefore standoff distances, high reliability, size, weight and power (SWAP) are important considerations for fielded Underwater EOD capabilities, techniques and methods.

2. Low Observable and No Collateral Damage Neutralization Operational Vignette

- a. **Situation:** EXMCM forces are to conduct mine counter measures (MCM) operations to facilitate operational maneuver of an expeditionary force from sea to a land objective area in the next 96 hours. The battle space must be prepared in a

low-observable manner to avoid loss of surprise for the friendly maneuver force and to enable minimal response from the enemy force.

- i. **Enemy Order of Battle:** In preparation for potential attack, the enemy force has emplaced:
 - A small number of Very Shallow Water (VSW) (depth <40 feet sea water) mines and other obstacles and a small number ground and moored mines in Shallow Water (depth <300 feet sea water), in a challenging environment, where manned EXMCM diving and unmanned ROV operations are informed by precursory small AUV operations are among the viable tactical options;
 - A number of more sophisticated moored and bottom mines in mine lines (approximately 10 per square nautical mile) in deeper water (depth >300 feet sea water) portions of the sea lane approaches to the land objective area, presenting an extreme environment to EXMCM forces, where manned diving operations are more complex and less likely.
 - There is an oil de-bunkering station 1000 yards offshore with a buoyed mooring station, piping and shore connections and terminal that are part of the objective area.
- ii. **Friendly Forces:** An EXMCM Company will conduct the MCM mission from over the horizon and undetected by enemy forces.
- b. **Mission:** Friendly forces are tasked to plan, prepare for, and execute a surprise forcible entry operation to seize and hold the objective area and preserve for future use the oil de-bunkering and transfer capability at that location.
- c. **EXMCM Forces Execution:** Prepare the Battle Space, conduct MCM exploratory and clearance (neutralize the mines and WBIEDs without alerting enemy forces or damaging infrastructure) operations and remove threats.

3. Topic Area Descriptions

a. Topic 1: Low observable and no collateral damage neutralization

ONR is seeking proposals to develop novel approaches for neutralization of naval mines, WBIEDs and UXO in the underwater domain.

The following are technical considerations.

- i. Solutions should be compatible with the MK-66 Firing Device Base Coupler (FDBC). This BAA does not ask for new fusing solutions.
- ii. Solutions capable of reliable and effective neutralization offering a high probability of successfully rendering inoperative the threat's ability to function as designed, thus preventing high-order detonation. Interruption of functions or separation of essential components span a range of explosives laden threats in

the undersea domain. Possible methods include, but are not limited to: (a) penetration of ferrous and non-ferrous case materials with wall thicknesses varying from 1/8” up to 3/8” (edge thickness); (b) separation of explosive firing trains, disruption of internal components such as power sources, mechanical and/or electronic arming components; and (c) separation of bulk explosive material.

- iii. Novel attack technologies, methods, techniques or concepts are encouraged including both single sortie-single shot neutralization and single sortie-multiple shot neutralization concepts for simultaneous neutralization of mine-lines or multiple UXO clusters. A description of the methodology used to characterize and validate effectiveness should be included in the proposed development effort.
- iv. Innovative placement and attachment concepts for neutralizer payloads that enable ROVs (delivery platforms) to perform task and remain at lateral standoff distances of up to 10 meters away from influence actuated targets. Solutions that minimize static and induced magnetic signature and broadband acoustic emissions are required for components that touch or are very close to the target. The ROV will be equipped with manipulators with human-like capability to position the charge. This BAA does not request new manipulator concepts.
- v. Characterization of magnetic and acoustic influence signatures during operation will be required for prototypes transitioning beyond proof of concept, and accordingly, early design/development efforts should strongly consider influence signature attributes.
- vi. Design and interoperability of neutralizer payload attributes must be suitable for human scale and man deployable operation to enable high mobility, rapid deployment concepts integral to Navy Expeditionary EOD forces.

b. Topic 2: Diagnostic sensors

ONR is seeking proposals to develop novel approaches to determine the location of internal components of naval mines, WBIEDs and UXO in the underwater domain.

The following are technical considerations.

- i. The solution should enable minimally invasive inspection of the threat to confirm the arrangement of internal components (e.g. spatial arrangement of electronics, power supplies, firing train and explosive compartments).
- ii. The solution should provide operators information needed to assess function of devices to determine best means of neutralization. Characterization of magnetic and acoustic signatures will be required for all proposed solutions.
- iii. The sensor should be able to identify the presence and spatial layout of internal

components internal to ferrous and non-ferrous case materials with potential wall thicknesses up to 0.25”.

- iv. The result should be a three-dimensional layout of the internal components.

c. Topic 3: Cyber secure, high bandwidth communications and standoff command and control (SC-2) capabilities for undersea robotic platforms

ONR is seeking proposals to develop novel approaches to enable long-range command and control of unmanned systems for neutralization of naval mines, WBIEDs and UXO in the underwater domain. This includes command initiated remote firing capability integrated into the neutralization product (Topic1) that enables SC-2. All communications and computer capabilities must be able to achieve US Navy Cyber security requirements.

The following are technical considerations for command and control actuation and low observable communications.

- i. Command actuation technologies must be reliable and secure to enable operators beyond the horizon to initiate neutralization payloads and other electrically actuated subsystems. Although acoustic firing command and control systems are in use today, improved systems or alternative modalities (e.g. RF/acoustic, magneto-induction, etc.) capable of being adapted for expeditionary SWaP form factors and hardened through encryption are also of interest. Solutions must be highly reliable, and must possess secure, encrypted, and unique code protocols to enable positive control and initiation of electro-explosive firing systems with no chance of actuation by other human and/or environmental noise emissions. Compliance with explosives safety criteria as approved via the Weapons Systems Explosive Safety Review Board (WSESRB) will be a key requirement.
- ii. Communication technologies must enable secure command and control of ROVs (and relay subsystems) with little to no surface expression.

B. Federal Award Information

1. **Eligibility for Competition** – Proposals for supplementation of existing projects are eligible to compete with applications for new Federal awards under this BAA.
2. **Contracted Fundamental 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.

The memorandum can be found at:

[https://www.acq.osd.mil/dpap/dars/pgi/docs/2012-D054%20Tab%20D%20OUSD%20\(ATL\)%20memorandum%20dated%20May%202010](https://www.acq.osd.mil/dpap/dars/pgi/docs/2012-D054%20Tab%20D%20OUSD%20(ATL)%20memorandum%20dated%20May%202010)

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 RDT&E 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) or Budget Activity 4 (Advanced Component Development and Prototypes) does not meet the definition of “contracted fundamental research.” In conformance with the USD (AT&L) guidance and National Security Decision Directive 189 found at <https://fas.org/irp/offdocs/nsdd/nsdd-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 fundamental or non-fundamental research.

3. Funded Amount and Period of Performance

Total Amount of Funding Available: \$19M over 2 years

Anticipated Number of Awards: 3 - 4

Anticipated Range of Individual Award Amounts: \$3-5M per year

Previous Year(s) Average Individual Award Amounts: N/A

Anticipated Period of Performance: 24-30 months

4. **Instrument Type(s)** – Awards may take the form of contracts and other transaction agreements, as appropriate.

The following provides brief descriptions of potential instrument types:

- a. **Procurement Contract**: A legal instrument, consistent with 31 U.S.C. 6303, which reflects a relationship between the Federal Government and another entity/contractor when the principal purpose of the instrument is to acquire property or services for the direct benefit or use of the Federal Government.
 - b. **Other Transaction Agreement (OTA) for Research**: A legal instrument, consistent with 10 U.S.C. 2371, which may be used for basic, applied, and advanced research projects. To the maximum extent practicable, an OTA for research shall provide for a 50/50 cost share between the Government and the performer. The effort covered under an OTA shall not be duplicative of effort being conducted under an existing DoD program. Please refer to the Office of the Under Secretary of Defense for Acquisition and Sustainment Other Transaction Guide version 1.0 dated November, 2018 for additional information. This document, along with other OTA resources, may be accessed at the following link: <https://www.acq.osd.mil/dpap/sitemap.html>
 - c. **Other Transaction Agreement (OTA) for Prototype**: A legal instrument, consistent with 10 U.S.C. 2371b, which may be used for prototype projects directly relevant to enhancing the mission effectiveness of military personnel and the supporting platforms, systems, components, or materials proposed to be acquired or developed by the Department of Defense, or for improvement of platforms, systems, components, or materials in use by the armed forces. The effort covered under an OTA shall not be duplicative of effort being conducted under an existing DoD program. Please refer to the DoD “Other Transactions Guide” dated November 2018, for additional information. This document, along with other OTA resources, may be accessed at the following link: <http://www.acq.osd.mil/dpap/cpic/cp/10USC2371bOTs.html>
5. **Model Contracts** – The model contracts at the links above are only provided as examples. In the event of any conflict between these examples and current FAR, DFARS, NMCARS, or ONR clauses, current FAR, DFARS, NMCARS, or ONR clauses will govern.

The model contracts at the links above are only provided as examples. In the event of any conflict between these examples and current FAR, DFARS, NMCARS, or ONR clauses, current FAR, DFARS, NMCARS, or ONR clauses will govern.

Examples of model contracts can be found on the ONR website at the following link: <https://www.onr.navy.mil/work-with-us/how-to-apply/submit-contract-proposal>.

C. Eligibility Information

1. **Eligible Applicants** – All responsible sources from academia, industry and the research community 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 HBCUs/MIs, small businesses or other socio-economic participation. All businesses, both small and large, are encouraged to submit proposals and compete for funding consideration.

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.

Navy laboratories, military universities and warfare centers as well as other Department of Defense and civilian agency laboratories are also not eligible to receive awards under this BAA and should not directly submit either white papers or full proposals in response to this BAA. If any such organization is interested in one or more of the programs described herein, the organization should contact an appropriate ONR Technical POC to discuss its area of interest.

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

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.

2. **Cost Sharing or Matching** – 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.

D. Application and Submission Information

1. **Address to Request (Access) Application Package** – This BAA may be accessed from the sites below. Amendments, if any, to this BAA will be posted to these websites when they occur. Interested parties are encouraged to periodically check these websites for updates and amendments.

Beta.Sam.gov – Contract Opportunities: www.beta.sam.gov

ONR website: <https://www.onr.navy.mil/work-with-us/funding-opportunities>

2. Content and Form of Application Submission

a. General Information

All 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.

Titles given to the submissions should be descriptive of the work they cover and not be merely a copy of the title of this announcement.

b. Security Classification

White Papers and 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.

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 Technical POC, ONR Code 32 and marked in the following manner:

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

Program Name: “Low observable/no collateral damage neutralization of underwater mines and waterborne improvised explosive devices”

Office of Naval Research
ATTN: Brian Almquist
ONR Code: 32

875 North Randolph Street
Arlington, VA 22203-1995

c. Non-Proprietary Statement of Work

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

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

Each sheet of data that the Offeror wishes to restrict must be marked 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.”

d. White Paper Requirements

i. Unclassified 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– 5 pages excluding cover page.
- A separate white paper is requested for each topic

ii. White Paper Submissions

ONR is utilizing FedConnect for the submission of white papers. FedConnect is a web portal that bridges the gap between government agencies and performers to streamline the process of doing business with the government. Through this portal, performers will be able to review opportunities and submit white papers. To access FedConnect go to <https://www.fedconnect.net/FedConnect/default.htm>.

For additional assistance regarding FedConnect, see Section D.7 in Appendix I.

1. How to Register for FedConnect

A FedConnect how to guide can be found at https://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnect_Ready_Set_Go.pdf.

- a. *Obtain a DUNS Number*: All entities submitting a proposal, must have a Data Universal Numbering System (DUNS) number from Dun & Bradstreet (D&B). Proposers must enter the DUNS number in the data entry field labeled "Company DUNS". If you do not have a DUNS number, one can be obtained at <http://fedgov.dnb.com/webform>.
- b. *Register with SAM*: In addition to having a DUNS number, organizations applying online through Grants.gov must register with the System for Award Management (SAM). All organizations must register with SAM in order to apply online. If you have not registered in SAM, go to <https://www.sam.gov/SAM/>.

If you are the first person in your organization to register in FedConnect, your SAM Marketing Partner ID (SAM MPIN) will also be required. It is the number that is set up by your organization as part of the registration in SAM.gov.

- c. *Create a FedConnect Account*: The next step in the registration process is to create an account with FedConnect.

A FedConnect how to guide can be found at https://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnect_Ready_Set_Go.pdf

2. FedConnect Assistance

If you need assistance, the FedConnect Support Team is standing by to assist you.

Email: support@fedconnect.net

Phone: 1-800-899-6665

Hours: Monday – Friday, 8 a.m. to 8 p.m. EDT. Closed on Federal holidays.

- iii. White Paper Content – White papers shall include the following:

- Cover Page (**MANDATORY**): The Cover Page can be found at <https://www.onr.navy.mil/work-with-us/how-to-apply/submit-contract-proposal> for contract submissions.

FedConnect will not accept a white paper unless the Cover Sheet is included.

The Program Officer's information is a required field on the cover sheet. The Program Officer can be found in Section G., Federal Awarding Agency Contacts.

- Technical Concept: A description of the technology innovation and technical risk areas.
 - Future Naval Relevance: A description of potential Naval relevance and contributions of the effort to the agency's specific mission.
 - Operational Naval Concept: A description of the project objectives, the concept of operation for the new capabilities to be delivered, and the expected operational performance improvements.
 - Operational Utility Assessment Plan: A plan for demonstrating and evaluating the operational effectiveness of the Offeror's proposed products or processes in field experiments and/or tests in a simulated environment.
 - Rough Order of Magnitude (ROM) cost estimate
- e. **Full Proposals**: See Appendix 1 for instructions for Contracts and Other Transaction Agreements.

3. Unique Entity Identifier and System for Award Management (SAM)

All Offerors submitting proposals or applications must:

- a. Be registered in the SAM prior to submission;
- b. 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
- c. Provide its DUNS number in each application or proposal it submits to the agency.

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

4. Submission Dates and Times – See Section A.6 above, “Key Dates” for information.

Unclassified White Papers: The due date for white papers is no later than 3:00 PM Local Eastern Time on **Friday, 02 October 2020**. Unclassified White papers are to be submitted through FedConnect (see white paper section for additional information). 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. A separate white paper is requested for each topic.

Unclassified White Paper Evaluation/Notification: Navy evaluations of the white papers will be issued via email notification on or about **Friday, 23 October 2020**.

Full Proposals: The due date for receipt of Full Proposals is 3:00 PM (EDT) on **Friday, 04 December 2020**. It is anticipated that final selections will be made within two to three 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 FY21 funding. Full proposals received after the published due date and time will not be considered for funding in FY21.

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

Any white paper, 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:

- i. 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
- ii. 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
- iii. It was the only proposal received.

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

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

If an emergency or unanticipated event interrupts normal Government processes so that proposals cannot be received at the Government office designated for receipt of proposals by the exact time specified in the announcement, and urgent Government requirements preclude amendment of the announcement closing date, the time specified for receipt of proposals will be deemed to be extended to the same time of day specified in the announcement on the first work day on which normal Government processes resume.

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

5. **Intergovernmental Review** – RESERVED
6. **Funding Restrictions** – RESERVED
7. **Other Submission Requirements** – See Appendix 1 for Instructions for Contracts and Other Transaction Agreements.

E. Application Review Information

1. **Criteria** – Awards under this BAA will be made in accordance with FAR 35.016(e). The primary basis for selecting proposals for acceptance will be technical merit, importance to agency programs, and fund availability. To the extent appropriate, cost realism and reasonableness will also be considered when selecting proposals. ONR reserves the right to request and require any additional information and documentation after it makes the type of award instrument determination. ONR reserves the right to remove Offerors from award consideration when the parties fail to reach agreement on award terms, conditions, and cost/price within a reasonable time, or when the Offeror fails to timely provide requested or required additional information.

Offerors' white papers and full proposals will be evaluated against the following criteria:

Criteria 1: Overall scientific and technical merits of the proposal and responsiveness to the topic, i.e., the degree of innovation, soundness of technical concept, Offeror's awareness of the state of the art and understanding of the scope of the problem, significance and originality of the technical approach and effort needed to address/solve the problem, and anticipated scientific impact within the field. The following areas will also be considered: (A) the Offeror's capabilities,

related experience, facilities, techniques or unique combinations of these which are integral factors for achieving the proposal objectives, and (B) the qualifications, capabilities and experience of the proposed Principal Investigator (PI), team leader and key personnel who are critical to achieving the proposal objectives.

Criteria 2: Potential Naval relevance and contribution to the ONR and Department of Navy mission.

Criteria 3: Potential to achieve topic goals by using EOD approved interfaces and components.

Criteria 4: The availability of funds. *(Not applicable to white papers.)*

Criteria 1, 2, 3 and 4 are equally important.

In addition, ONR highly encourages partnering among industry and academia and industry and Government with a view toward speeding the incorporation of new science and technology into fielded systems. Proposals that utilize industry-academic or industry-Government partnering which enhances the development of novel S&T advances, although not mandatory, are desired and will receive favorable consideration.

2. Review and Selection Process

- a. **Evaluation** – Proposals will not be evaluated against each other since they are not submitted in accordance with a common work statement.

The ultimate recommendation for award of proposals is made by ONR's scientific/technical community. Recommended proposals will then be forwarded to the ONR Contracts and 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 stated above and has been sent to the Contracting Department to conduct cost analysis, determine the Offeror's responsibility, to confirm whether funds are available, and to take other relevant steps necessary prior to making an award. When applicable, certain Offerors may be required to demonstrate compliance/the ability to comply with enhanced cybersecurity requirements prior to award. Refer to Appendix 1 Section F, Federal Award Administration Information, Part 2, Administrative and National Policy Requirements, paragraph (9) of this BAA for information.

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

The Office of Naval Research is strongly committed to providing meaningful prime and subcontracting opportunities for small businesses, small

disadvantaged businesses (SDBs), woman-owned small businesses (WOSBs), historically underutilized business zone (HUB Zone) 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: <https://www.dla.mil/SmallBusiness/PTAP/> or <http://www.aptac-us.org/new/>.

- i. 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 19.704, FAR 52.219-9 and as supplemented by DFARS 252.219-7003.

NOTE: Small businesses are exempt from this requirement to submit a subcontracting plan.

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 or Individual 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 an 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: <https://business.defense.gov/>. 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.

- ii. 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/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/resources:

- 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)
- U.S. Small Business Administration (SBA) Subcontracting Opportunities Directory
- U.S. SBA Subnet

In accordance with FAR 5.206, the following entities may transmit a notice to the Government wide Point of Entry (GPE) at <https://www.beta.sam.gov/> to seek competition for subcontracts, to increase participation by qualified small businesses, VOSBs, SDVOSBs, HUBZones, SDBs, and WOSBs, and to meet established subcontracting plan goals:

- a. A contractor awarded a contract exceeding \$250,000 that is likely to result in the award of any subcontracts;
- b. A subcontractor or supplier, at any tier, under a contract exceeding \$250,000, which has a subcontracting opportunity

exceeding \$15,000.

The notices must describe:

- The business opportunity;
- Any prequalification requirements; and
- Where to obtain technical data needed to respond to the requirement.

In addition, another example of a place in which prime contractors may post solicitations or sources sought notices for small business is the U.S. SBA SUB-Net: https://eweb.sba.gov/gls/dsp_sbabanner.cfm. The SUB-Net database provides a listing of subcontracting solicitations and opportunities posted by large prime contractors and other non-federal organizations.

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 performance. The Government reserves the right to exercise options at time of award.

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 the ONR Non-Disclosure Agreement (NDA) for Contractor Support prior to receipt of any proposal submissions. This NDA includes third-party beneficiary language giving the submitter of proprietary information a right of direct action against the contractor employee and/or his/her employer in the event that the NDA is violated.

3. Recipient Qualifications – See Appendix 1 for Instructions for Contracts.

F. Federal Award Administration Information

1. Federal Award Notices

All applicants will receive a notification email advising if their proposal has been selected or not selected for award.

Applicants whose proposals are recommended for award may be contacted by a Contract Specialist to discuss additional information required for award. This may include representations and certifications, revised budgets or budget explanations, certificate of current cost or pricing data, subcontracting plan for small businesses, and/or other information as applicable to the proposed award.

The notification e-mail must not be regarded as an authorization to commit or expend funds. The Government is not obligated to provide any funding until a Government Contracting Officer signs the award document.

Only, the award document signed by the Contracting Officer is the official go-ahead to commence the research project.

Office of Naval Research (ONR) award/modification documents are only available via the Department of Defense (DoD) Electronic Document Access System (EDA) within the Procurement Integrated Enterprise Environment (PIEE) (<https://wawf.eb.mil/>).

2. Administrative and National Policy Requirements

a. Applicable to All Awards

i. Export Control:

Offerors should be aware of recent changes in export control laws. Offerors are responsible for ensuring compliance with all U.S. export control laws and regulations, including the International Traffic in Arms Regulation (ITAR)(22 CFR Parts 120 - 130) and Export Administration Regulation (EAR) (15 CFR Parts 730 – 774), as applicable. In some cases, developmental items funded by the Department of Defense are now included on the United States Munition List (USML) (22 CFR Part 121) and are therefore subject to ITAR jurisdiction. In other cases, items that were previously included on the USML have been moved to the EAR Commerce Control List (CCL). Offerors should address in their proposals whether ITAR or EAR restrictions apply to the work they are proposing to perform for ONR. The ITAR and EAR are available online at <http://www.ecfr.gov/cgi-bin/ECFR?page=browse>. Additional information regarding the President's Export Control Reform Initiative can be found at <https://export.gov/ecr/index.asp>.

Offerors must comply with all U.S. export control laws and regulations, including the ITAR and EAR, in the performance of any award or agreement resulting from this BAA. Offerors shall be responsible for obtaining any required licenses or other approvals, or license exemptions or exceptions if applicable, for exports of hardware, technical data, and software (including deemed exports), or for the provision of technical assistance.

ii. 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. The Proposal Checklist can be found at the following link:

<https://www.onr.navy.mil/work-with-us/how-to-apply/submit-contract-proposal>

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 award, and FAR 52.204-2 - Security Requirements will be incorporated into the contract.

iii. Requirements Concerning Live Organisms:

1. Use of Animals:

The DoD policies and requirements for the use of animals in DoD-supported research are described in the version of DoD Instruction 3216.01, Use of Animals in DoD Conducted and Supported Research and Training and SECNAVINST 3900.38C, The Care and Use of Laboratory Animals in DOD Programs that is current at the time of award. If animals are to be utilized in the research effort proposed, the Offeror must submit a Full Appendix or Abbreviated Appendix (see Guidance link below) with supporting documentation (such as copies of Institutional Animal Care and Use Committee (IACUC) Approval, IACUC Approved Protocol, and most recent United States Department of Agriculture (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: <https://www.onr.navy.mil/About-ONR/compliance-protections/Research-Protections/animal-use>

2. Use of Human Subjects in Research:

- a. Offerors must protect the rights and welfare of individuals who participate as human subjects in research awarded pursuant to this BAA and must comply with the requirements of the Common Rule at 32 CFR part 219 (the DOD implementation of 45 CFR part 46) and applicable provisions of DoD Instruction 3216.02, Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research (2011) or its replacement, the DON implementation of the human research protection program contained in SECNAVINST 3900.39E (or its replacement), 10 USC

980 “Limitation on Use of Humans as Experimental Subjects,” and when applicable, Food and Drug Administration (FDA) and other federal and state law and regulations.

- b. For proposals containing activities that include or may include “research involving human subjects” as defined in DoDI 3216.02, prior to award, the Offeror must submit documentation of:
 - i. Approval from an Institutional Review Board (IRB) (IRB-approved research protocol, IRB- approved informed consent document, and other material they considered); proof of completed human research training (e.g., training certificate for the principal investigator, and institutional verification that the principal investigator, co-investigators and research support personnel have received appropriate training to be considered qualified to execute the research); and the Offeror’s Department of Health and Human Services (DHHS)-issued Federal Wide Assurance (FWA#), including notifications of any suspensions or terminations to the FWA,
 - ii. Any claimed exemption under 32 CFR 219.104), including the category of exemption, supporting documentation considered by the Offeror’s institution in making the determination (e.g., protocol, data collection tools, advertisements, etc.). The documentation shall include a short rationale supporting the exemption determination. This documentation should be signed by the IRB Chair or IRB vice Chair, designated IRB administrator or official of the Offeror’s human research protection program.
 - iii. Any determinations that the proposal does not contain activities that constitute research involving human subjects or contains only activities that are deemed not to be research under 32 CFR 219.102(1), including supporting documentation considered by the Offeror’s institution in making the determination. This documentation should be issued by the IRB Chair or IRB vice Chair, designated IRB administrator or official of the Offeror’s human research protection program.
- c. Documentation must be submitted to the ONR Human Research Protection Official (HRPO), by way of the ONR Program Officer. The HRPO retains final judgment on whether the documentation satisfies the use of human subjects in research requirements. 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 research monitor and a written summary of the monitors' duties, authorities, and responsibilities as approved by the IRB. For assistance with submission of human subject research related documentation, contact the ONR Human Research Protection Official (HRPO) at (703) 696-4046.

- d. Contracts, orders, or modifications will include a statement indicating successful completion of the HRPO review. Research involving human subjects must not be commenced under any contract award or modification or any subcontract or modification until awardee receives notification from the Contracting or Grants Officer that the HRPO has approved the assurance as appropriate for the research under the award or modification and that the HRPO has reviewed the protocol and accepted the IRB approval or determination for compliance with Federal, DoD and DON research protection requirements. The Government will not reimburse or otherwise pay for work performed in violation of this requirement. See, DFARS 252.235-7004. Guidance:
<http://www.onr.navy.mil/About-ONR/compliance-protections/Research-Protections/Human-Subject-Research.aspx>
- iv. Biosafety and Biosecurity Requirements – Offerors must comply with applicable provisions of DOD 6055.18-M, change 2, Safety Standards for Microbiological and Biomedical Laboratories, including ensuring compliance with standards meeting at least the minimum applicable requirements of the current edition of Centers for Disease Control and Prevention, “Biosafety in Microbiological and Biomedical Laboratories (BMBL),” and National Institutes of Health, “The NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules (NIH Guidelines).”
- v. Research Involving Recombinant or Synthetic Nucleic Acid Molecules – Offerors must not begin performance of research within the scope of “The NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules (NIH Guidelines)” until receiving notice from the Contracting Officer that ONR has reviewed and accepted the Offeror’s documentation. In order for ONR to accomplish that review, an Offeror must provide the Contracting Officer, generally as part of an original proposal prior to award, sufficient documentation to enable the review, including:
 - a. A written statement that the Offeror is in compliance with NIH Guidelines. This statement should be made by an official of the institution other than the Principal Investigator and should be on university or company letterhead.

- b. Evidence demonstrating that the proposed research protocol has been approved by an Institutional Biosafety Committee (IBC); and a copy of the Department of Health and Human Services (DHHS) Letter of Approval of the IBC, or the most recent letter from DHHS stating the IBC is in compliance with the NIH Guidelines.
- vi. Institutional Dual Use Research of Concern – As of September 24, 2015, all institutions and United States Government (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>.
- vii. 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 <https://www.hpc.mil/>.
- viii. Project Review Meetings and Program Review Meetings – Individual Project Review Meetings between the ONR sponsor and the performer may be held as necessary. Project Review Meetings typically last approximately one day. Typically, there are 2 in-person Project Review Meetings each year. Additional Project Review Meetings are likely, but these will be accomplished by video telephone conferences, telephone conferences, or web-based collaboration tools.

In addition to Project Review Meetings, Program Review Meetings may be held to provide a forum for reviews of the latest results from individual project experiments and any other incremental project progress towards major demonstrations. Program Review Meetings are generally held once per year and last two to three days.

For cost estimating purposes, Offerors should assume 40% of the review meetings will be at or near ONR, Arlington VA, and 60% will be held at other government or non-government facilities within the continental United States.

The Government sometimes finds it advantageous to hold Program Review Meetings at a performer's facility. Offerors interested in hosting such

meetings should include an estimated cost and the following language in their proposals, which become part of any award (note: if a contract is awarded, use of the facility will be included as an option):

[Name of entity] offers the use of its facilities for an ONR Program Review Meeting to discuss the status of programs related to the subject of this proposal. Such meetings may include attendees representing multiple research efforts. The meetings will discuss only “contracted fundamental research” as provided in the Under Secretary of Defense (Acquisition, Technology and Logistics) Memorandum of 24 May 2010, the results of which are open to the public. No fee will be charged Program Review Meeting attendees. [Name of entity] understands it will not be asked to host a Performance Review Meeting more than once per year, if at all.

Offerors are not required to include the foregoing term in their proposals, and whether they do or not will not affect their selection for award.

The foregoing does not apply to international Offerors submitting proposals to ONR Global. International Offerors should contact the cognizant ONR Global Science Director specializing in your field, or located in your region for guidance prior to submitting a proposal.

3. **Reporting** – See Appendix 1 for reporting requirements for Contracts and Other Transactions.

G. Federal Awarding Agency Contacts

1. Communications:

- a. All UNCLASSIFIED communications shall be submitted via e-mail to the Technical Point of Contract (POC) with a copy to the designated Business POC, as designated below.
- b. CLASSIFIED questions shall be handled through the ONR Security POC. Specifically, any entity wanting to ask a CLASSIFIED question shall send an UNCLASSIFIED 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.
- c. Comments or questions submitted should be concise and to the point, eliminating any unnecessary verbiage. In addition, the relevant part and paragraph of the Broad Agency Announcement (BAA) should be referenced. Questions submitted within 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.

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

Point of Contact Name: Brian Almquist
Point of Contact Occupation Title: Program Officer
Division Title: Ocean Battlespace and Expeditionary Access
Division Code: 32
Address: One Liberty Center, 875 N. Randolph Street, Arlington, VA 22203-1995
Email Address: brian.almquist@navy.mil

3. **Questions of a Business nature, regarding Contract proposal submissions, or suggestions for improvement**, should be submitted to:

Matthew Murray
Contracting Officer
Office of Naval Research
ONR Code 252
One Liberty Center
875 N. Randolph Street
Arlington, VA 22203-1995
Email Address: matthew.murray1@navy.mil

4. **Questions of a Security nature** should be submitted to:

Yezabeth Cuevas
Industrial Security Specialist
Office of Naval Research
Security Department, Code 54
One Liberty Center
875 North Randolph St.
Arlington, VA 22203-1995
Email Address: Yezabeth.cuevas2@navy.mil

H. Other Information – RESERVED

APPENDIX 1- REQUIREMENTS APPLICABLE TO CONTRACTS AND OTHER TRANSACTION AGREEMENTS

D. Application and Submission Information

2. Content and Format of Application Submission

e. Full Proposals:

Proposal Package:

The following seven documents with attachments comprise a complete proposal package:

1. Cover page (*pdf format*)
2. Proposal Checklist (*pdf format*)
3. Technical Proposal Template (*Word format*)
4. Cost Proposal Template (*Excel format*)
5. DCAA Preward Survey of Prospective Contractor Accounting System Checklist (*to be submitted by contractors without an approved accounting system*)
6. Statement of Work (SOW) (*Word format*)
7. ONR Contract Specific Representations and Certifications (*pdf format*)

Items 1 – 6 above are located at: <https://www.onr.navy.mil/work-with-us/how-to-apply/submit-contract-proposal>. All have instructions imbedded into them that will assist in completing the documents. Also, both the Proposal Checklist and the Cost Proposal Template require completion of cost-related information. Please note that attachments can be incorporated into the Proposal Checklist.

For item 7, above, ONR contract specific representations and certifications are located at <https://www.onr.navy.mil/work-with-us/how-to-apply/submit-contract-proposal>.

FedConnect will not accept a proposal package unless the Cover Sheet is included.

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

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 with the proposal checklist. The Government will assume unlimited rights if Offerors fail to identify any intellectual property restrictions in their proposals. Include

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 \$250K), the Technical Proposal Template and Proposal Checklist documents, and the Cost Proposal Spreadsheet are required. Purchase orders can also contain options, as long as the total amount of the base and all options does not exceed \$250K.

For proposed subcontracts or inter-organizational transfers over \$250K, 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 with the prime’s proposal. If the subcontract information is proprietary, it can be submitted via e-mail to the Program Officer listed on the Cover Page. 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.

All documents except the Cost Proposal Spreadsheet and Statement of Work Template must be submitted in a secure, pdf-compatible format. The Cost Proposal Spreadsheet must be submitted in a Microsoft Excel compatible format and the Statement of Work Template must be submitted in Microsoft Word format. All attachments to any required proposal documents must 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. Should an Offeror amend its proposal, the amended proposal should be submitted following the same guidance applicable to the original proposal.

Any proposed options that are identified in the Technical Proposal Template or Proposal Checklist document, but are not fully priced out in the Cost Proposal Spreadsheet, will not be included in any resulting contract or other transaction agreement. 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 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.

7. Other Submission Requirements

ONR is utilizing FedConnect for the submission of full proposals for contracts and other transaction agreements. FedConnect is a web portal that bridges the gap between government agencies and performers to streamline the process of doing business with the government. Through this portal, performers will be able to review opportunities and submit proposals. To access FedConnect go to <https://www.fedconnect.net/FedConnect/default.htm>.

a. How to Register for FedConnect

A FedConnect how to guide can be found at:

https://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnect_Ready_Set_Go.pdf.

- i. Obtain a DUNS Number: All entities submitting a proposal, must have a Data Universal Numbering System (DUNS) number from Dun & Bradstreet (D&B). Proposers must enter the DUNS number in the data entry field labeled "Company DUNS". If you do not have a DUNS number, one can be obtained

at <http://fedgov.dnb.com/webform>.

- ii. **Register with SAM:** In addition to having a DUNS number, organizations applying online through Grants.gov must register with the System for Award Management (SAM). All organizations must register with SAM in order to apply online. If you have not registered in SAM, go to <https://www.sam.gov/SAM/>.

If you are the first person in your organization to register in FedConnect, your SAM Marketing Partner ID (SAM MPIN) will also be required. It is the number that is set up by your organization as part of the registration in SAM.gov.

- iii. **Create a FedConnect Account:** The next step in the registration process is to create an account with FedConnect.

b. FedConnect Assistance

If you need assistance, the FedConnect Support Team is standing by to assist you.

Email: support@fedconnect.net

Phone: 1-800-899-6665

Hours: Monday – Friday, 8 a.m. to 8 p.m. EDT. Closed on Federal holidays.

E. Application Review Information

3. Recipient Qualifications

a. Contract Proposals

- i. Contracts shall be awarded to responsible prospective contractors only. See FAR 9.104-1 for a listing of the general standards against which an applicant will be assessed to determine responsibility. Applicants are requested to provide information with proposal submission to assist the Contracting Officer's evaluation of responsibility.
- ii. FAPIIS (Federal Awardee Performance and Integrity Information System) will be checked prior to making an award. The web address is:
<https://www.fapiis.gov/fapiis/index.action>

The applicant representing the entity may comment in this system on any information about the entity that a federal government official entered. The information in FAPIIS will be used in making a judgment about the entity's integrity, business ethics, and record of performance under Federal awards that may affect the official's determination that the applicant is qualified to receive an award.

F. Federal Award Administration Information

2. Administrative and National Policy Requirements

b. **Applies to Contracts (and may be applicable, as required, to Other Transaction Agreements):**

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 dated April 17 2012, *Physical Security of Sensitive Conventional Arms, Ammunition and Explosives*, Enclosure 2, paragraph 2.a.)

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 dated April 17 2012, Enclosure 5, paragraph 2.a.

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 dated April 17 2012, Enclosure 9, paragraph 9.

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. Disclosure. An Offeror shall state in its proposal whether it is aware of any information bearing on the existence of any actual or potential organizational conflict of interest (OCI) as defined in FAR 2.101 and as further discussed in FAR Subpart 9.5 as to itself and any proposed subcontractors, partners, consultants or other affiliates. Offerors performing systems engineering and technical assistance (SETA) for ONR are considered to have an OCI that may not be susceptible to mitigation. See ONR's Statement of Policy on OCIs, which can be found at the following address: <http://www.onr.navy.mil/en/About-ONR/compliance-protections/Organizational-Conflicts-Interest.aspx>

The nondisclosure or misrepresentation of an interest creating an OCI may result in the disqualification of an Offeror for award, or if such

nondisclosure or misrepresentation is discovered after award, the Government may terminate the contract for default, recommend that the contractor be disqualified from subsequent related contracts, or be subject to such other remedial actions as may be permitted or provided by law (see 18 U.S.C. § 1001 and 31 U.S.C. § 3802(a)(2)). Therefore, Offerors should interpret the requirements of this section broadly.

An Offeror who does not provide support services to ONR or concludes no actual or potential OCI exists shall include the following statement in its proposal: “I [NAME] as an authorized negotiator on behalf of [NAME OF OFFEROR] certify that **NO** actual or potential organizational conflict of interest (OCI) exists under [BAA NUMBER]. I understand that the failure to disclose the existence of actual or potential OCI shall result in the Offeror not being considered for award.”

An Offeror who does provide support services to ONR or is aware circumstances exist that may result in the appearance that it may have an unfair competitive advantage shall submit the following with its proposal:

- a. The name of the entity the Offeror, its subcontractors, partners, consultants or affiliates supports.
- b. The number of the contract, subcontract, or agreement that creates the actual or potential OCI. If ONR did not award the contract or agreement, provide a copy of the document. If ONR awarded the contract, provide the name of the technical point of contact.
- c. A description of the actual or potential OCI. The statement must describe in a concise manner all relevant facts concerning any past, present or currently planned interest (financial, contractual, organizational, or otherwise) relating to the work to be performed hereunder and bearing on whether the Offeror has a possible organizational conflict of interest with respect to (1) impartial, technically sound, and unbiased assessments, recommendations, or evaluations, or (2) being given an unfair competitive advantage. If relevant, Offerors shall address the personal conflicts of their employees.
- d. A Mitigation Plan. Offerors should refer to FAR Subpart 9.5 for policies and procedures for avoiding, neutralizing, or mitigating organizational conflicts of interest.
- e. A concluding statement as follows: “I [NAME] as an authorized negotiator on behalf of [NAME OF OFFEROR] certify that I have, to the best of my knowledge and belief, disclosed all actual or potential

organizational conflicts of interest (OCI) under [BAA NUMBER]. I understand that the failure to disclose the existence of an actual or potential OCI shall result in the Offeror not being considered for award.”

2. OCI Mitigation Plan Contents. At a minimum, a Mitigation Plan shall:
 - a. Provide organizational charts showing the Offeror’s (and, as appropriate, those of its subcontractors, partners, consultants, and affiliates) structure as it relates to performance under the contract awarded under this BAA and all contracts and agreements relevant to the OCI, highlighting those elements that create the actual or apparent OCI.
 - b. Demonstrate how the elements that create the actual or apparent OCI will be isolated from the resources that will perform work under the contract awarded under this BAA.
 - c. Provide information showing whether the organizational elements that will perform work under the contract awarded under this BAA will be geographically or physically separated from the elements that create the actual or apparent OCI.
 - d. For each contract or agreement relevant to the OCI, describe the process for reassigning personnel, including those belonging to subcontractors, partners, consultants, and affiliates, from one organization to another. Include restrictions that apply.
 - e. For each contract or agreement relevant to the OCI, describe any controls, including nondisclosure agreements, that are exercised over the future employment of departing employees as it relates to the OCI.
 - f. For each contract or agreement relevant to the OCI, describe any OCI training the employees are offered or required to attend, along with the timing (before or after starting work on a government contract), frequency, length, and content of such training.
 - g. Provide evidence of facts and circumstances that the Offeror asserts mitigate or address the concerns related to the actual or potential OCI.
3. Review. The Contracting Officer will review an Offeror’s certifications, statements, and OCI Mitigation Plan (if applicable) submitted and may require additional relevant information from an Offeror. All such information and any other relevant information will be used by the Contracting Officer to determine whether an award to the Offeror may create an OCI. If found to exist, the Government may: (1) impose appropriate conditions which avoid such conflict, (2) disqualify the

Offeror, (3) determine that it is otherwise in the best interest of the Government to award a contract to the Offeror and include appropriate conditions mitigating such conflict in the award, or (4) seek a waiver. If the Contracting Officer determines that an actual or significant potential conflict of interest exists that cannot reasonably be avoided, neutralized or mitigated, the Offeror will be ineligible for award. If accepted, the Mitigation Plan shall become part of the contract.

An Offeror who has refused to disclose the information or make the certification required by this BAA concerning an actual or potential OCI shall be disqualified from consideration for award.

- vi. FAR / DFARS Provisions/Clauses: For purposes of illustration and not of limitation, the following provisions and clauses may be applicable to ONR contracts:

#	Provision/Clause
52.204-7	System for Award Management
52.204-13	System for Award Management Maintenance
52.204-16	Commercial and Government Entity Code Reporting
52.204-24	Representation Regarding Certain Telecommunications and Video Surveillance Services or Equipment
52.204-25	Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Supplies
52.204-26	Covered Telecommunications Equipment or Services Representation
52.215-16	Facilities Capital Cost of Money
52.215-20	Requirements for certified cost and pricing data and data other than certified cost and pricing data
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
52.217-9	Option to Extend the term of the Contract
52.222-24	Preaward On-Site Equal Opportunity Compliance Evaluation (Applies if exceeds \$10M)
52.226-2	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
252.204-7008	Compliance with Safeguarding Covered Defense Information Controls (DEC 2015)
252.204-7012	Safeguarding Covered Defense Information and Cyber Incident Reporting (DEC 2019)
252.204-7018	Prohibition on the Acquisition of Covered Defense Telecommunications Equipment or Services
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
252.225-7974	Representation Regarding Business Operations with the Maduro Regime (Deviation 2020-O0005)

1. Combating Trafficking in Persons: FAR Clause 52.222-50 will be incorporated in all awards.
2. 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

3. Updates of Information regarding Responsibility Matters: FAR clause 52.209-9, Updates of Publicly Available Information Regarding Responsibility Matters, will be included in all contracts valued at \$550,000 where the contractor has current active Federal contracts and grants with total value greater than \$10,000,000.

vii. Certificate of Current Cost or Pricing Data Requirement

Even though the BAA is a competitive procedure, all proposals submitted under this BAA that meet the TINA threshold are subject to certified cost and pricing data.

In accordance with OUSD Memorandum, Subject: "Reducing Acquisition Lead Time by Eliminating Inefficiencies Associated with Cost or Pricing Data Submissions After Price Agreement ('Sweep Data)," dated 07 June 2018, if an action is subject to the Truth in Negotiations Act, Offerors are required to execute the Certificate of Current Cost or Pricing Data as soon as practicable, but no later than five business days after the date of price agreement. Any cost or pricing data submitted after price agreement shall be reviewed and dispositioned after award of the contract action, pursuant to FAR 15.407-1, to establish whether it is rendered that the certified cost or pricing data submitted up to the point of price agreement was defective, and to determine whether the Government is entitled to a price adjustment in accordance with FAR 52.215-10 or FAR 52.215-11.

viii. Advanced Development of Initial or Additional Prototypes

ONR may initially award a contract under this BAA that may contain a contract line item or contract option for the provision of advanced component development, prototype, or initial production of technology developed under the contract or for the delivery of initial or additional items if the item or prototype thereof is created as the result of work performed under the contract. However, such a contract shall be subject to the limitations contained in 10 USC 2302e (Section 861 of the National Defense Authorization Act (NDAA) for Fiscal Year 2018).

ix. Enhanced Security Controls on Select Defense Industrial Base Partner Networks

In accordance with NMCARs 5204.73 "Safeguarding Covered Defense Information and Cyber Incident Reporting" and NMCARs Annex 16, certain performers may be required to implement enhanced cyber security controls to unclassified networks housing controlled unclassified information (CUI).

Such controls are in addition to the requirements of DFARS clause 252.204-7012, and may be required if the Chief of Naval Research (CNR) determines that enhanced controls are warranted by the risk to a critical program or technology. Offerors are strongly encouraged to review these requirements carefully, and to consult with the cognizant Program Officer to determine whether these requirements will apply to a particular effort. Prior to award, affected Offerors may be asked to provide their System Security Plan (SSP) or other documentation demonstrating compliance/ the ability to comply with these DFARS and NMCARs requirements. ONR will not formally approve SSPs prior to award. If the government determines that an Offeror may be unable to adequately protect CUI in accordance with these requirements

during contract or agreement performance, the government may decline to make an award to that Offeror. All affected performers will be required to provide an SSP for government review and approval within thirty (30) days of contract award.

c. **Applies to Other Transaction Agreements (OTAs) only:**

- i. In accordance with 10 USC 2731b(f), ONR may award a follow-on production contract or OTA for any OTA awarded under this BAA if: (1) the participant(s) in the OTA successfully completed the entire prototype project provided for in that OTA, as modified, and (2) the OTA provides for the award of a follow-on production contract or OTA to the participant(s).