

ONR BAA Announcement # N00014-22-S-B003



**NATIONAL OCEANOGRAPHIC
PARTNERSHIP PROGRAM (NOPP) 2022
BROAD AGENCY ANNOUNCEMENT**

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I. OVERVIEW OF THE RESEARCH OPPORTUNITY

On behalf of the National Oceanographic Partnership Program (NOPP), the Office of Naval Research (ONR) solicits research proposals under this Broad Agency Announcement (BAA #N00014-22-S-B003). Congress established the NOPP via Title II, subtitle E, of Public Law 104-201 to promote the national goals of assuring national security, advancing economic development, protecting quality of life, and strengthening science education and communication by improving knowledge of the ocean. Over twenty agencies participate in the NOPP. They are identified on the NOPP website: www.nopp.org.

In this BAA, NOPP participants have identified two ocean research topics of mutual and emerging interest. Selected projects will be awarded and funded by individual agencies. All successful offerors will be notified, and the NOPP office will provide the 2022 NOPP project announcement on its website. Up to \$23 million over three (3) years may be available for awards under this solicitation, subject to appropriation, availability of funds, and final approval by the participating NOPP agencies. NOPP funding will be dependent on individual participating agency policies, procedures, and regulations. There will be no classified work funded under this announcement.

This document constitutes a Broad Agency Announcement (BAA) for awards as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and 35.016, the Department of Defense Grants and Agreements regulations (DoDGARS) 32 CFR 22.315(a), and the Office of the Under Secretary of Defense for Acquisition and Sustainment Other Transaction Guide version 1.0 dated November 2018.

ONR and the participating agencies reserve the right to fund all, some, or none of the proposals received under this BAA. The Government 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

National Oceanographic Partnership Program (NOPP) FY2022 Broad Agency
Announcement

#	BAA Topic Name	Letters of Intent Due Date	Full Proposal Due Date
1	A Global Multi-agency Experiment on Internal Wave Energy, Mixing and Interactions in the Ocean and Their Representation in Global Ocean Models and Operational Forecasts	Not Applicable	January 7, 2022
2	High Resolution Ocean Models for Coupled Earth System Prediction Across Space and Time Scales	Not Applicable	January 7, 2022

3. Announcement Type

Initial Announcement

4. Funding Opportunity Number

N00014-22-S-B003

5. Catalog of Federal Domestic Assistance (CFDA) Numbers

[12.300](#)

Title: 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 (MM/DD/ YEAR)	Time (Local Eastern Time)
Full Proposals Due Date	01/07/22	3pm
Notification of Selection for Award *	03/11/22	
Awards*	05/06/22	
Kickoff Meeting*	06/13/22	

**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 employees.

8. Contracting and Grants Officer - The Contracting Officer and Grants Officer for this announcement are identified under Section II, subparagraphs G.3 and G.4, respectively.

II. DETAILED INFORMATION ABOUT THE FUNDING OPPORTUNITY

A. Program Description

NOPP agencies have identified two ocean research topics of mutual and emerging interest. Appendix 1 provides the research program descriptions for each topic.

B. Federal Award Information

1. 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%20USD%20\(ATL\)%20memorandum%20dated%20May%202024%202010.pdf](https://www.acq.osd.mil/dpap/dars/pgi/docs/2012-D054%20Tab%20D%20USD%20(ATL)%20memorandum%20dated%20May%202024%202010.pdf)

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.

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.htm>, 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. 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. 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.

2. Funded Amount and Period of Performance- Up to \$23 million over three (3) years may be available for awards under this announcement, subject to availability of funds and final approval by the participating NOPP agencies. The table below provides guidance by topic. The breakout of topic investments may not equal the total amount listed below due to the uncertainty associated with the availability of funding. Actual award funding levels will be dependent on both the cost of the proposed research and individual agency and topic funding levels.

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. Individual awards may be fully funded for an entire performance period or incrementally funded, with continued funding dependent on funding availability, the assigned Program Officer’s assessment of work progress, and the

contract terms.

Topic Name	Anticipated # of Awards	Individual Award Amount Range per year	Total Performance Period (years)
A Global Multi-agency Experiment on Internal Wave Energy, Mixing and Interactions in the Ocean and Their Representation in Global Ocean Models and Operational	Modeling Focus: Up to 3 awards	250K-500K	3
A Global Multi-agency Experiment on Internal Wave Energy, Mixing and Interactions in the Ocean and Their Representation in Global Ocean Models and Operational	Field Work Focus: Up to 3 awards	500K-1500K	3
High Resolution Ocean Models for Coupled Earth System Prediction Across Space and Time Scales	Up to 3 awards	450K-600K	3

- 3. Instrument Type(s) -** It is anticipated that awards will be in the form of grants. However, NOPP participants reserve the right to award cooperative agreements, contracts, or other transaction agreements to appropriate parties, should the situation warrant use of an instrument other than a grant. When funding project participants that are Federal entities, agencies may fund these efforts separately (e.g, under the Economy Act) based on policies and procedures, responses to the announcement, and internal award administration.

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. Assistance Instruments
Any assistance instrument awarded under this announcement will be governed by the award terms and conditions that conform to DoD's

implementation of Office of Management and Budget (OMB) guidance applicable to financial assistance. The DoD Terms and Conditions are located at <https://www.onr.navy.mil/work-with-us/manage-your-award/manage-grant-award/grants-terms-conditions>

i. *Grant*: A legal instrument consistent with 31 U.S.C. 6304, is used to enter into a relationship:

- The principal purpose of which is to transfer a thing of value to the recipient to carry out a public purpose of support or stimulation authorized by a law or the United States, rather than to acquire property or services for the Federal Government's direct benefit or use.
- Substantial involvement is not expected between the Federal Government and the recipient when carrying out the activity contemplated by the grant.
- No fee or profit is allowed.

ii. *Cooperative Agreement*: A legal instrument which, consistent with 31 U.S.C 6305, is used to enter into the same kind of relationship as a grant, except:

- substantial involvement is expected between the Federal Government and the recipient when carrying out the activity contemplated by the cooperative agreement. No fee or profit is allowed. (For information on the substantial involvement ONR expects to have in cooperative agreements, prospective offerors should contact the Technical Point of Contact identified in the research area of interest.)

iii. *Technology Investment Agreement (TIA)*: An assistance instrument as described in 32 CFR Part 37. A TIA may be a cooperative agreement or an other transaction under 10 U.S.C. 2371 with provisions tailored for involving commercial firms or research involving commercial application. To the maximum extent practicable, TIAs shall provide for a 50/50 cost share between the Government and the applicant. No fee or profit is allowed on TIAs.

c. *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:

<http://www.acq.osd.mil/dpap/cpic/cp/10USC2371bOTs.html>.

- d. *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>

4. Model Contracts and Grants- The model contracts and grants at the links above are only provided as examples. In the event of any conflict between these examples and current FAR, DFARS, NMCARS, DoD, 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>.

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

C. Eligibility Information

1. Eligible Applicants

- a. Team efforts are required: 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 the NOPP. The teams must be comprised of members from at least two of the following three sectors:

- Academia,
- Industry (including Non-Governmental Organizations - NGOs), and
- Government (including Tribal, State and Local)

All businesses both small and large are encouraged to submit proposals and compete for funding consideration. However, no portion of this BAA will be set aside for Small Business or other socio-economic participation.

Foreign institutions are eligible to apply for support as a partner under this BAA. However, the National Science Foundation (NSF) rarely provides support to foreign organizations. For proposals to be funded by NSF, NSF will consider proposals for cooperative projects involving U.S. and foreign organizations, provided support is requested only for the U.S. portion of the collaborative effort.

b. All responsible sources from academia, industry and the research community worldwide 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.

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 full proposals in response to this BAA. As with FFRDCs, these types of federal organizations may team with other eligible sources from academia and industry that are submitting proposals under 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 (UARCs) are eligible to submit proposals under this BAA unless precluded from doing so by their Department of Defense UARC contract.

2. Cost Sharing or Matching - Cost sharing is not expected under contracts and grants 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. See section B. Federal Award

Information/3. Instrument Type(s)/c. Other Transaction Agreement (OTA) for Research for information on cost sharing for OTs awarded under 10 U.S.C. 2371 and 10 U.S.C. 2371b.

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.

- a. Grants.gov (www.grants.gov)
- b. Sam.gov - Contract Opportunities (<https://sam.gov/content/home>)
- c. 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**

Proposals submitted under this BAA are expected to be unclassified.

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."

Full Proposals: The due date for receipt of Full Proposals is 3:00 PM (EDT) on Friday, January 7th, 2022. It is anticipated that final selections will be made within 9 weeks after the full proposal deadline. 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 FY22 funding. Full proposals received after the published due date and time will not be considered for funding.

3. Unique Entity Identifier and System for Award Management (SAM) - All offerors submitting proposals or applications must:

- 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. Be registered in the SAM prior to submission;
- c. 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
- d. 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. Ship time Instructions for Full Proposals

Proposals requiring ship time will need to submit a University National Oceanographic Laboratory System (UNOLS) ship time request (STR) form with the

full proposal. Information about the ship time process for UNOLS ships is at the following link: <https://www.unols.org/>

For full proposals, follow the UNOLS process found at: https://strs.unols.org/Public/diu_login.aspx . Be sure to select NOPP as the sponsor agency, and add all other appropriate information.

All NOPP partners will use the UNOLS system to coordinate ship time including NOAA, ONR and NSF. If contemplating use of non-UNOLS ship, please contact the cognizant agency program officer or TPOC herein.

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

Submission of Late Proposals (Applicable 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. The contracting officer may accept the proposal if 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.

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 will promptly notify any offeror if its proposal, modification, or revision was received late and will inform the offeror whether its proposal, modification, or revision will be considered.

6. Other Submission Requirements:

See Appendix 2 for Instructions for Grants, Cooperative Agreements and TIAs and Appendix 3 for Instructions for Contracts and Other Transaction Agreements.

The NOPP is a partnership of sponsor agencies each with their own unique award processes. Once proposal recommendations are made, those proposals which will be funded by agencies other than by ONR (e.g., NSF, NOAA, NASA, +), will require proposal resubmission directly to that agency using their guidelines and requirements. This will be communicated to the proposer in their award letter with an agency POC identified. For instance, proposals which will be funded by NSF require entry into

FASTLANE, NSF's award management system. The PI will coordinate submission with the assigned NSF Program Director.

- a. Grant, Cooperative Agreement, and TIA Proposals shall be submitted through Grants.gov. (See Appendix 2.)
- b. Submission of Full Proposals for Contracts and Other Transaction Agreements (See Appendix 3)

Postdoctoral Mentoring Activities. Each proposal that requests funding to support postdoctoral researchers must include a one-page supplementary document describing the mentoring activities that will be provided for such individuals.

Each proposal must include a data management plan.

While proposal submissions are expected to be through grants.gov, which specifies required content, because the evaluation criteria are based on NSF criteria, proposers should review content guidance provided by NSF in their proposal content guide: https://www.nsf.gov/pubs/policydocs/pappg20_1/pappg_2.jsp#IIC2di . These sections provide descriptions of what is expected in a comprehensive proposal/project description, page limitations (15 pages), best practices (e.g., no URLs), a description of broader impacts, and, data management plan contents.

E. Application Review Information

1. Criteria

Proposals shall be evaluated under the following three principal selection criteria:

- a. The potential relationship of the proposed research and development to NOPP BAA topic objectives. Is the proposal well aligned with and responsive to a Topic described in this announcement? Proposals which are not well aligned or insufficiently responsive will not be reviewed and not be considered for funding.
- b. Intellectual Merit: The Intellectual Merit criterion encompasses the potential to advance knowledge; and
- c. Broader Impacts: The Broader Impacts criterion encompasses the potential to benefit society and contribute to the achievement of specific, desired societal outcomes.

When evaluating NOPP proposals, reviewers will consider what a proposer wants to do, whether the effort is aligned with a topic identified in the announcement, why a

proposer wants to undertake the effort, how a proposer plans to accomplish the effort, how a proposer will know whether it has succeeded in its effort, and what benefits could accrue if the project is successful. These issues apply both to the technical aspects of the proposal and the way in which the project may make broader contributions.

The following elements will be considered in the review of criteria b and c:

1. The potential for the proposed activity to:
 - a. Advance knowledge and understanding within its own field or across different fields (Intellectual Merit); and
 - b. Benefit society or advance desired societal outcomes (Broader Impacts).
2. The extent to which the proposed activities suggest and explore creative, original, or potentially transformative concepts.
3. Whether the plan for carrying out the proposed activities is well-reasoned, well-organized, and based on a sound rationale (including budget, resources and timeline). Further, whether the plan incorporates a mechanism to assess success.
4. How well qualified the individual, team, or organization is to conduct the proposed activities.
5. Whether there are adequate resources available to the PI (either at the home organization or through collaborations) to carry out the proposed activities.

2. Review and Selection Process

a. Evaluation

Cognizant program officers from NOPP participating agencies, a NOPP panel of subject matter experts, and other Government scientific staff will perform the evaluation of technical and cost proposals.

Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure in accordance with FAR 3.104-4 and 15.207. Cost proposals may also be analyzed by Government business professionals. Restrictive notices notwithstanding, one or more support contractors may be utilized as subject-matter-expert technical consultants. Similarly, support contractors may be utilized to support evaluation of cost proposals. 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.

Proposals will be initially evaluated by the NOPP participating agencies using the evaluation criteria. The NOPP office may be involved in the administration of the review of proposals, but will not participate in the evaluation. After NOPP participating agencies have conducted their evaluations, a panel consisting of NOPP participating agencies, a NOPP panel of subject matter experts, and other government scientific staff will conduct an evaluation of the proposals based on the evaluation criteria. After the panel evaluation, participating agencies will decide which proposals will be recommended for funding, and the lead funding agency or activity for each award will be determined. Actual award will be made by the lead agency or activity. ONR will make award for only those proposals for which it is the lead activity.

For each proposal recommended for award, the proposer will receive notification of its selection that will identify the program officer for the lead agency or activity. Subsequent to the initial recommendation letter, the agency or activity program officer may provide additional submission instructions to process the funding action. To meet agency or activity-specific requirements, PIs may be asked to modify objectives, work plans or budgets, or provide supplemental information.

That a proposal has been recommended for award does not ultimately guarantee an award will be made. The notice indicates that the proposal has been selected in accordance with the evaluation criteria stated. Awards made by non-DoD agencies are subject to the regulations governing awards in those agencies.” All awards are subject to review by individual agency contracting departments for such matters as cost analysis, determination of an offeror's responsibility, and confirmation of fund availability, as well as consideration of other relevant steps necessary for making an award. When applicable, certain offerors may be required to demonstrate compliance with or the ability to comply with enhanced cybersecurity requirements prior to award. Refer to Appendix 2, 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- Subcontracting Plan (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:

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

i. Subcontracting Plan - For proposed contract awards exceeding \$750,000, 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:

*DAU Small Business Community of Practice (SB COP)

<https://www.dau.edu/cop/sb/Pages/Default.aspx>

*DefenseLink \geq \$7.5M Award Notices <https://www.defense.gov/Newsroom/Contracts/>

*DoD OSBP Prime Contractors and Subcontractors with Subcontracting Plans

<https://business.defense.gov/Acquisition/Subcontracting/>

*Dynamic Small Business Search http://web.sba.gov/pro-net/search/dsp_dsbs.cfm

* Contracting Opportunities in www.sam.gov

*Navy SBIR/STTR Search – Website or Brochure <https://www.navysbir.com>

*DoD Procurement Technical Assistance Centers (PTAC)

<https://www.dla.mil/SmallBusiness/PTAP>

*U.S. SBA Subnet https://eweb1.sba.gov/subnet/client/dsp_Landing.cfm

*USAspending.gov

In accordance with FAR 5.206, the following entities may transmit a notice to the Government wide Point of Entry (GPE) at <https://sam.gov/content/home> 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:

(1). An entity awarded a contract exceeding the simplified acquisition threshold that is likely to result in the award of any subcontracts;

(2). A subcontractor or supplier, at any tier, under a contract exceeding the simplified acquisition threshold, which 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.

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. **Non Disclosure Agreements**

Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure in accordance with FAR 3.104-4 and 15.207. Support contractorps required to have 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 his/her employer in the event that the NDA is violated.

3. Recipient Qualifications

- a. Applicable to Grants, Cooperative Agreements and TIAs (See Appendix 2.)
- b. Applicable to Contracts and Other Transaction Agreements (See Appendix 3.)

F. Federal Award Administration Information

1. **Federal Award Notices**

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

Applicants whose proposals are recommended for award may be contacted by a Contract or Grant 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 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 or Grants Officer, as applicable, signs the award document.

Only an award document signed by the Contracting Officer or Grants 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://piee.eb.mil/piee-landing/>).

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.

ONR does not provide access to classified material under grants or cooperative agreements.

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 current version of DoD Instruction 3216.01, Use of Animals in DoD Conducted and Supported Research and Training and its implementing instruction, DHA-MSR 6025.02, “The Care And Use Of Animals In DoD Research, Development, Test, And Evaluation (RDT&E) Or Training Programs,” the version of which 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) 696-4318. 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-Conducted and -Supported Research (April 15, 2020, the DON implementation of the human research protection program contained in SECNAVINST 3900.39E Change 1, (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, documentation showing the IRB considered the scientific merit of the research and other material considered by the IRB); 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 FWA suspensions or terminations.

(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. For assistance with submission of human subject research related documentation, contact the ONR Human Research Protection Official (HRPO) at (703) 696-4318.

(d) Contracts, orders, or grant awards and any subawards 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 grant subaward 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 the current version of DODM 6055.18, 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 (rDNA) 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 or Grants 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 or Grants Officer, generally as part of an original proposal prior to award, sufficient documentation to enable the review, including:

(1) 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.

(2) Evidence demonstrating that the proposed research protocol has been approved (or determined exempt from the NIH Guidelines) 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. For assistance with requirements involving countries outside the United States, please contact the ONR HRPO at (703) 696-4318.

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 NOPP sponsors and the performer may be held as necessary. Project Review Meetings typically last approximately one day. Project Review Meetings will be accomplished by any of the following means, from in-person, to 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 that the reviews will be a combination of virtual and in person, at or near ONR, Arlington VA.

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.

3. **Reporting:**

See Appendix 2 for reporting requirements for Grants, Cooperative Agreements and TIAs.

See Appendix 3 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. 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: Reginald Beach
Point of Contact Occupation Title: NOPP Program Office Team Division Title: 32
Division Code: 322
Address: 875 N. Randolph St., Arlington 22203
Email Address: noppbaa.fct@navy.mil

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

Point of Contact Name: John Lewers, Contract Specialist.
Office of Naval Research
ONR Code 252
One Liberty Center
875 N. Randolph Street
Arlington, VA 22203-1995

Email Address: john.lewers@navy.mil

4. **Questions regarding Grants proposal submissions** should be submitted to:

Veronica Lacey, Grants Officer
Office of Naval Research
ONR Code 253
One Liberty Center
875 N. Randolph Street
Arlington, VA 22203-1995
Email Address: veronica.lacey@navy.mil

5. **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: ONR.NCR.BD043.list.Security-Division@navy.mil ; Attn: Ms. Yezabeth Cuevas

H. Other Information –

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

APPENDIX 1 - RESEARCH TOPIC DESCRIPTIONS

Topic 1. A Global Multi-agency Experiment on Internal Wave Energy, Mixing and Interactions in the Ocean and Their Representation in Global Ocean Models and Operational Forecasts

Global circulation models have advanced to a point where they can now be run operationally at a high enough resolution to produce internal tides and other energetic internal waves. Generated at abrupt topography like seamounts, canyons or continental slopes, these internal waves travel thousands of miles, with surface signatures that are discernible by conventional satellite altimetry via fluctuations of sea surface height over most of the global oceans. Extension of satellite ocean altimeter records into their fourth decade with improved accuracy permits observation of an ever wider range of wave frequencies, and thus warrants revisiting current detection and mapping techniques to resolve multi-constituent, multi-modal waves. Interactions with and scattering of these waves by other features like eddies can hamper detection, which will be a rich topic of study with the next generation of swath altimeters. When these waves impinge on basin boundaries, they can dramatically change the background conditions on continental shelves, which is a challenge for observational and predictive capabilities. For large-scale oceanography, these waves provide a pathway to bring turbulent energy to depth and could potentially reconcile observations and theory by providing the “missing mixing” in the deep ocean. Given the shared interests of many of the agencies, a large-scale effort is envisioned to improve both the understanding and modeling of internal wave energy and its consequences for the open and coastal ocean. This activity will combine field campaigns, global modeling efforts, and focused studies for process understanding. It is anticipated that different components may coordinate at different levels, from very tightly to very loosely, and will have staggered start dates evolving over sequential funding opportunities. For example, field campaigns focused on generation and modeling of basin-wide propagation may be started first, creating a foundation which can be leveraged in subsequent proposals focusing on other facets of the problem such as beams impinging on the coast or interacting with mesoscale features. The initiative is expected to last about ten years, contingent on availability of funds and national priorities.

Background

Advances in modeling and computational resources are now making it possible to run global models at high enough resolution to forecast internal waves and other small-scale phenomena. For example, HYCOM is routinely run at 1/25 degree horizontal resolution and 41 vertical layers, ECCO (Estimating Circulation and Climate of the Ocean) and SWOT simulator provide ocean state estimates that resolve ocean turbulence at 2-km spatial scales globally, and MOM6 has been run at 1/12 degree horizontal resolution with 41 vertical layers. Inclusion of barotropic tides in such simulations leads to baroclinic internal tides and internal gravity waves (IGWs), and

their subsequent propagation and dissipation. The simulation of these phenomena in global and regional models is relatively recent and requires additional investigation and verification, to determine how skillful the models are in the generation and subsequent evolution of the internal waves, and to quantify uncertainties and improve model skill where possible.

In order to test the realism of the new-generation models, high-resolution observations are needed. For sea surface height, high-resolution data will be provided by the upcoming NASA/CNES SWOT (Surface Water and Ocean Topography). During SWOT initial calibration and validation phase, the satellite will be in a fast, one-day repeated orbit, providing unprecedented daily measurements of sea surface height. Multiple field campaigns are already being organized to take advantage of this unique opportunity to explore fast-moving, small-scale ocean features and their role in the Earth system. Proposers are encouraged to leverage such ongoing and future field experiments to assess the validity of proposed observational, modeling and theoretical approaches. Initial field campaigns may be designed to augment or complement such existing efforts so as to attain the objectives outlined here. Completely independent efforts may also be proposed but they should be justified in relation to the existing research landscape. This activity is expected to be sustained over a nominally decadal period. Our models, observational capabilities and other funded efforts will all evolve in that time. Multiple proposal cycles are anticipated to keep this initiative optimally aligned with changing research needs.

Proposers are encouraged to investigate new and innovative methods of ocean state estimation and coupled model initialization using data from ongoing and future instrumentation and field experiments. Any proposals concerning data assimilation are encouraged to use current standards and provide a justification for the choices made.

Research Questions:

The overarching goals of this effort are to:

- a) understand the generation, propagation, and dissipation mechanisms for oceanic internal gravity waves;
- b) enable seamless, skillful modeling/forecasts of oceanic flows, including the propagation of internal wave energy between the deep ocean and the shore.
- c) understand and improve modeling of the generation of IW energy by atmospheric forcing such as extreme storms.
- d) identify uncertainties and errors in internal wave fields in data assimilation and process modeling

Advanced understanding of key processes is anticipated as a major focus. Observational programs need to be formulated and conducted to cover these vast ranges, globally. Arrays of field instrumentation, remote sensing and modeling might address the following research questions, among others:

I. How do the observed internal waves compare with the global model predictions in terms of intensity, variability and modal structure?

How well are the observed internal waves being assimilated into global model predictions? Are they identified as internal waves, or excluded as erroneous data?

II. How accurately are generation mechanisms captured by global models?

What are the primary processes by which internal waves dissipate, how do they vary at multiple scales, and what are the implications for ocean mixing?

III. How accurately are processes such as dissipation, scattering and nonlinear interactions modelled, so as to yield realistic estimates of propagation and arrival of coherent and incoherent energy?

How do internal waves interact with the ocean circulation, across multiple scales, to either modify or be altered by ocean currents?

How do mixed-layer processes interact with internal waves and with ocean circulation? How do internal wave processes impact mixed layer structure and properties?

IV. For typical coastal sites, what fraction of the energy is remote versus locally generated? How is it broken down by frequency bands, stationary vs. non-stationary etc.?

This NOPP topic is not interested in funding the development of new models, new observing platforms, new sensors, or new systems. It seeks to evaluate existing global ocean models with proven, high technology readiness level observing methods, both in situ and remote sensing, to develop and reach quantifiable improvements (theoretical, numerical, and data assimilation) in global ocean models and forecasts. Significant new understanding of key processes is anticipated as a means to reach those improvements. All data sets and model products will be made available to the community promptly (e.g., within the 6-month of collection for field campaigns), preferably at different levels of processing and aggregation (akin to Level 1,2,3 with satellite data) to encourage reuse for applications that require different levels of detail or sophistication. At any point during the initiative, investigators are encouraged to consider the already funded elements and propose activities that leverage and expand them in ways they can argue are best for the overarching goals. As a result, the initiative is expected to evolve over its life span around the central elements of large-scale modeling and their scrutiny with observations.

The amount and period of performance of each recommended or selected proposal will vary depending on the research area topic and the technical approach to be pursued by the selected or recommended offeror. The table in II.B.2 provides guidance by topic. Award funding levels will be dependent on both the cost of the proposed research and individual agency/topic funding levels. Each individual award may be fully funded for the entire performance period or incrementally funded with a base of one -year (subject to funding availability, government Program Officer recommendation based on award progress and funding agency award terms).

Annual solicitations are planned with the possibility of new topics based on an assessment of existing needs, capabilities, and priorities.

AWARD INFORMATION

Target funding:

Up to \$18M total over three years may be available under this topic, distributed among multiple efforts. Partnerships are required, and proposals must include performers from at least two categories (academia, government, industry).

Milestones and reporting criteria:

Funding offices will require annual reports, with an annual workshop to share results among the funded groups and other stakeholders/interested parties.

Topic 2: High Resolution Ocean Models for Coupled Earth System Prediction Across Space and Time Scales

Background

Over the past two decades, significant progress has been made in the development of fully coupled Earth System Models to advance environmental prediction capabilities across multiple time scales. Improvements in these Earth System Models rely not only on the details of the coupling between the individual components (ocean, atmosphere, ice, and land), but also on the fidelity of the numerical models themselves, which is often a function of the spatial resolution. Of particular difficulty is the development of component models that adequately represent those earth system processes relevant to coupled phenomenon that operate at both short (“weather”) and long (“climate”) time scales. Previous research sponsored under the NOPP has helped to develop various numerical ocean models that have been incorporated into Earth System Modeling frameworks, but improvements are still needed to adequately span the spatiotemporal scales required for so-called “seamless prediction”.

Multiple federal agencies have a need for improved ocean models capable of supporting their missions, whether that is providing forecasts on time scales of hours to days or for years to decades. The spatial scales required range from the submesoscale up to the global ocean, and must include interactions with the atmosphere, cryosphere, and lithosphere, including the seafloor, coastline, and land hydrology. Adequate representation of these interfacial processes relies on the ability to simulate a wide variety of physical processes and energy transport phenomena in the ocean, and our present operational ocean models still exhibit problems in adequately predicting the behavior of ocean features on multiple time scales, such as the Gulf of Mexico Loop Current and eddies, the position and dynamics of the Gulf Stream, density overflows, and the Atlantic Meridional Overturning Circulation. Disentangling the root causes of these shortcomings is difficult, as many of them involve the coupling with other ESM components as well as issues related to the initialization of the ocean models with observed data.

Topic Description

Under this topic, federal agencies would like to support research to further the ability of numerical ocean models to represent critical ocean phenomena in Earth System Models that will improve predictions of critical features on all time scales. Research goals of this topic include:

- Exploration of the representation of unresolved processes by advanced subgrid scale (SGS) closure schemes.
- Exploration of methods to objectively represent uncertainty in ocean models using combinations of ensemble and stochastic methods.

- Exploration of approaches enabling regional ocean prediction involving consistent two-way nested modeling capabilities for improved predictability of high-impact phenomena (tropical cyclones, coastal zone characterization, Arctic sea ice, atmospheric rivers, etc.)
- Improvement of parameterizations of upper ocean mixing, air-sea fluxes, and other model unresolved physics related to processes that occur near the air-sea interface.
- Exploration or development of ocean data assimilation approaches, including coupled data assimilation, the incorporation of AI/ML, and other methods, that improve the ability to predict ocean features and other critical phenomena, particularly in regions with wide disparities in observation density.

Model improvements in these areas should directly impact the ability of operational ocean models, in both “stand alone” configurations as well as components of ESMs, to simulate the evolution of ocean features for improved forecasting at multiple spatiotemporal scales, refine mesoscale and submesoscale modeling capabilities, and improve the ability of global ocean models to provide boundary conditions for regional-scale models.

This topic is not explicitly intended to support the development of new models or modeling frameworks, but rather seeks to improve existing global ocean models and leverage significant new understanding of key processes as a means to reach those improvements. Investigators are encouraged to consider other funded efforts, whether supported under the NOPP or other agency funding, and propose activities that leverage and expand them to achieve the overarching goals of this topic concerning multi-scale modeling and process representation improvement.

Award Information

Target funding:

Up to \$5M total over three years may be available under this topic, distributed among multiple efforts, to further our predictive capabilities of the ocean environment. Partnerships are required, and proposals must include performers from at least two categories (academia, government, industry).

Milestones and reporting criteria:

Funding offices will require annual reports, with an annual workshop to share results among the funded groups and other stakeholders/interested parties.

APPENDIX 2 – REQUIREMENTS APPLICABLE TO GRANTS, TIAS AND COOPERATIVE AGREEMENTS

A. Application and Submission Information - Full Grant Proposals

1. Content and Format of Application Submission

(a). Full Proposals:

Prospective offerors must complete the mandatory forms in accordance with the instructions provided on the forms and the additional instructions below. Files that are attached to the forms must be in Adobe Portable Document Format (.PDF); must not contain macros, and must not be password protected. If an attachment is not in PDF format, contains macros, or is password protected, the attachment will not pass ONR's automated acceptance check, will be rejected, and will need to be resubmitted. A resubmission must be marked "New" in block 2, "Type of Application," of the SF 424.

Full Proposal Format

- Spacing – Single-spaced
- Font – Times New Roman, not smaller than 12 point
- Page Limit – 15 Pages

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

Mandatory SF-424 Research and Related (R&R) Family Forms

The mandatory forms are found at <https://www.grants.gov/web/grants/forms.html>.

(1) SF-424 (R& R)

The SF-424 (R&R) form must be used as the cover page for all proposals. Complete all required fields in accordance with the "pop-up" instructions on the form and the following instructions for specific fields. Please complete the SF-424 first, as some fields on the SF-424 are used to auto-populate fields on other forms. Guidance:
<https://www.grants.gov/web/grants/forms/r-r-family.html>.

The completion of most fields is self-explanatory with the exception of the following special instructions:

- Field 3 - Date Received by State: Leave Blank
- Field 4a - Federal Identifier: For new proposals, enter N00014. If the application is a renewal or expansion of an existing award, enter the ONR award number. Note: There is a space

between the code and the first bracket and between the comma and the First Name. There is no space between the first bracket and the last name.

- Field 4b - Agency Routing Number: Enter the three (3) digit Program Office Code and the Program Officer's name, last name first, in brackets (i.e., 322 [Beach, Reginald]).

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

- Field 4c - Previous Grants.gov Tracking ID: If this submission is for a Changed/Corrected Application, enter the Grants.gov tracking number of the previous proposal submission; otherwise, leave blank.

- Field 5 – Application Information: Email address entered by the grantee on the SF424 application to create the EDA notification profile. ONR recommends that organizations provide a global business address.

- Field 7 - Type of Applicant. Complete as indicated: If the organization is a Minority Institution, select "Other" and under "Other (Specify)" note that the institution is a Minority Institution (MI).

- Field 9 - Name of Federal Agency: List the Office of Naval Research as the reviewing agency. This field is pre-populated in Grants.gov.

- Field 14 – Project Director/Principal Investigator: Email address entered by the grantee on the SF424 application to create the EDA notification profile

- Field 16 - Is Application Subject to Review by State Executive Order 12372 Process? Choose "No". Check "Program is Not Covered by Executive Order 12372."

- Field 17 – Certification: All awards require some form of certifications of compliance with national policy requirements. By checking "I Agree" on the SF 424 (R&R) block 17 you agree to abide by the following statement: "By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. code, Title 218, Section 1001).

- Field 19 – Authorized Representative: Email address entered by the grantee on the SF424 application to create the EDA notification profile.

(2) PROJECT/ABSTRACT

The project summary/abstract must identify the research problem and objectives, technical approaches, anticipated outcome of the research, if successful. 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 one page or 4,000-character including spaces limit whichever is less.

Do not include proprietary or confidential information. The project summary/ abstract must be marked by the applicant as “Approved for Public Release”. Abstracts of all funded research projects will be posted on the public DTIC website: <https://dodgrantawards.dtic.mil/grants>

(3) RESEARCH AND RELATED OTHER PROJECT INFORMATION

- Fields 1 and 1a - Human Subject Use: Each proposal must address human subject involvement in the research by completing Fields 1 and 1a of the R&R Other Project Information form. For proposals containing activities that include or may include “research involving human subjects” as defined in DoDI 3216.02, prior to award, the Applicant must submit the required documentation under “Use of Human Subjects in Research” (Section F).
- Fields 2 and 2a – Vertebrae Animal Use: Each proposal must address animal use protocols by addressing Fields 2 and 2a of the R&R Other Project Information form. If animals are to be utilized in the research effort proposed, the Applicant must submit the documents described under “Use of Animals” (Section F).
- Fields 4a through 4d - Environmental Compliance: Address these fields and briefly indicate whether the intended research will result in environmental impacts outside the laboratory, and how the applicant will ensure compliance with environmental statutes and regulations.

Federal agencies making grant or cooperative agreement awards and recipients of such awards must comply with all applicable environmental planning and regulatory compliance requirements. The National Environmental Policy Act of 1969 (NEPA), 42 U.S.C. § 4321 *et seq.*, for example, requires that agencies consider the environmental impact of “major Federal actions” prior to any final agency decision. With respect to those awards which constitute “major Federal actions,” as defined in 40 CFR 1508.18, federal agencies may be required to comply with NEPA and prepare environmental planning documentation such as an environmental impact statement (EIS), even if the agency does no more than provide grant funds to the recipient. Most field research funded by ONR, however, constitute activities covered by a NEPA categorical exclusion that do not require preparation of further environmental planning documentation. This is particularly true with regard to basic and applied scientific research conducted entirely within the confines of a laboratory, if the research complies with all other applicable safety, environmental and natural resource conservation laws. Questions regarding NEPA or other environmental planning or regulatory compliance issues should be referred to the technical point of contact.

- Field 7 – Project Summary/Abstract: Leave Field 7 blank; complete Form SF424, Project Abstract. If an error message occurs when leaving Block 7 blank, upload the Project

Abstract.

- **Field 8 – Project Narrative:** Describe clearly the research, including the objective and approach to be performed, keeping in mind the evaluation criteria. Attach the entire proposal narrative to R&R Other Project Information form in Field 8. To attach a Project Narrative in Field 8 click on “Add Attachment” and attach the technical proposal as a single PDF file. (Save the file as “Technical Proposal,” as typing in the box is prohibited).

The technical proposal must describe the research in sections as described below:

- **Cover Page:** This must include the words “Technical Proposal” and the following:
 - (a) BAA Number: N00014-22-S-B003
 - (b) Title of Proposal;
 - (c) Identity of prime Offeror and complete list of sub awards, if applicable;
 - (d) Technical contact (name, address, phone/fax, electronic mail address)
 - (e) Administrative/business contact (name, address, phone/fax, electronic mail address) and;
 - (f) 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.** Describe the scientific or technical concepts that will be investigated, providing the complete research plan. Describe what is innovative about the proposed approach. Describe the proposed approach compared to alternate approaches other researchers in this field have taken. Given a successful completion, describe the results, new knowledge, or insights.
 - **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:
 - Annual Technical and Financial Progress Report
 - Final Report

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

- **Management Approach.** Describe the overall management approach and provide

rationale for participation of key team members. Describe the planned relationships with any subawardees or collaborators. If appropriate, briefly describe anticipated schedule.

- **Principal Investigator 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.

- **Responsibility:** Offerors must provide the following information to ONR in order to assist in ONR's evaluation of the offeror's responsibility:
 - Describe how you have adequate resources or the ability to obtain such resources as required to complete the activities proposed.
 - Describe how you have the ability to comply with the grant conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
 - Describe your performance history; specifically, your record in managing Federal awards and the extent to which any previously awarded amounts will be expended prior to future awards.
 - Describe your record of integrity and business ethics.
 - Describe qualifications and eligibility to receive an award under applicable laws and regulations.
 - Describe your organization, experience, accounting, and operational controls and technical skills, or the ability to obtain them (including as appropriate such elements as property control systems, quality assurance measures, and safety programs applicable to the efforts to be performed).

- **Facilities & Equipment.** Describe facilities available for performing the proposed research and any additional facilities or equipment the organization proposes to acquire at its own expense. Indicate government-owned facilities or equipment already possessed that will be used. Justify the need for each equipment item. (Additional facilities and equipment will not be provided unless the research cannot be completed by any other practical means.)

(4) RESEARCH & RELATED BUDGET

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.

A separate Adobe .pdf document should be included in the application that provides appropriate justification and supporting documentation for each element of cost proposed. This document shall be attached under Section K. "Budget Justification" of the Research and Related Budget form. Click "Add Attachment" to attach.

(a) Part 1: The itemized budget should include the following. All costs should be rounded to the nearest dollar.

- 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 clerical work to be performed.

- Fringe Benefits and Indirect Costs (Facilities and Administration (F&A), Overhead, G&A, etc.) – The proposal should show the rates and calculation of the costs for each rate category. If the rates have been approved/negotiated by a Government agency, provide a copy of the memorandum/agreement. If the rates have not been approved/negotiated, provide sufficient detail to enable a determination of allowability, allocability and reasonableness of the allocation bases, and how the rates are calculated. Additional information may be requested, if needed. If composite rates are used, provide the calculations used in deriving the composite rates.

- Travel – The proposed travel cost 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, which must be justified based on the organization's historical average cost per trip or other reasonable basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principles. 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 any 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.

- 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 facilities are normally furnished by the Recipient. If acquisition of equipment or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all equipment and 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).

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

**(5) RESEARCH AND RELATED SENIOR/KEY PERSON PROFILE
(EXPANDED)**

To evaluate compliance with Title IX of the Education Amendments of 1972 (20 U.S.C. A§ 1681 Et. Seq.), the Department of Defense is collecting certain demographic and career information to be able to assess the success rates of women who are proposed for key roles in applications in STEM disciplines. In addition, the National Defense Authorization Act (NDAA) for FY 2019, Section 1286, directs the Secretary of Defense to protect intellectual property, controlled information, key personnel, and information about critical technologies relevant to national security and limit undue influence, including foreign talent programs by countries that desire to exploit United States technology within the DoD research, science and technology, and innovation enterprise.

The R&R Senior/Key Person Profile (Expanded) form will be used to collect the following information for all senior/key personnel, including Project Director/Principal Investigator and Co-Project Director/Co-Principal Investigator, whether or not the individual's efforts under the project are to be funded by the DoD:

- Degree Type and Degree Year fields as the source for career information.
- A list of all current projects the individual is working on, in addition to any future support the individual has applied to receive, regardless of the source.
- Title and objectives of the other research projects.
- The percentage per year to be devoted to the other projects.
- The total amount of support the individual is receiving in connection to each of the other research projects or will receive if other proposals are awarded.
- Name and address of the agencies and other parties supporting the other research projects
- Period of performance for the other research projects.

Additional senior/key persons can be added by selecting the “Next Person” button. Note that, although applications without these fields completed may pass Grants.gov edit checks, if ONR receives an application without the required information, ONR may determine that the application is incomplete and may cause it to be returned without further review. DoD reserves the right to request further details from the applicant before making a final determination on funding the effort. If the bio-sketch field requires an attachment, upload the resumes.

(6) RESEARCH AND RELATED PERSONAL DATA

This form will be used by ONR as the source of demographic information, such as gender, race, ethnicity, and disability information for the Project Director/Principal Investigator and all other persons identified as Co-Project Director(s)/Co-Principal Investigator(s). Each application must include this form with the name fields of the Project Director/Principal Investigator and any Co-Project Director(s)/Co-Principal Investigator(s) completed; however, provision of the demographic information in the form is voluntary. If completing the form for multiple individuals, each Co-Director/Co-Principal Investigator can be added by selecting the “Next Person” button. The demographic information may be accessible to the reviewer, but will not be considered in the evaluation. Applicants who do not wish to provide some or all of the information should check or select the “Do not wish to provide” option.

(7) Other Submission Requirements

Grants.gov Application Submission and Receipt Procedures

This section provides the application submission and receipt instructions for the Office of Naval Research (ONR) program applications. Please read the following instructions carefully and completely.

1. Electronic Delivery

ONR is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. ONR encourages applicants to submit their applications online through Grants.gov.

2. How to Register for Grants.gov

a. *Instructions:* Read the instructions below about registering to apply for ONR funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

The registration process can take up to four weeks to complete. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required application submission deadlines.

If individual applicants are eligible to apply for this grant funding opportunity, refer to: <https://www.grants.gov/web/grants/applicants/registration.html>

Organization applicants can find complete instructions here: <https://www.grants.gov/web/grants/applicants/organization-registration.html>

1) *Obtain a DUNS Number:* All entities applying for funding, including renewal funding, must have a Data Universal Numbering System (DUNS) number from Dun & Bradstreet (D&B). Applicants must enter the DUNS number in the data entry field labeled "Organizational DUNS" on the SF-424 form.

For more detailed instructions for obtaining a DUNS number, refer to: <https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

2) *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. Registrations in SAM now includes the acceptance of Certifications and Assurances. Entities creating new registrations and existing entities completing their annual registration renewals will be required to review financial assistance representations and certification before their registration can be activated.

Failure to register with SAM will prevent your organization from applying through Grants.gov.

For more detailed instructions for registering with SAM, refer to:

<https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>

The Federal Assistance Certifications Report is an attestation that the entity will abide by the requirements of the various laws and regulations and the supplemental at F.2.iv; therefore, as applicable, you are still required to submit any documentation, including the SF LLL Disclosure of Lobby Activities (if applicable), and disclosure of any unpaid delinquent tax liability or a felony conviction under any Federal law.

3) *Create a Grants.gov Account:* The next step in the registration process is to create an account with Grants.gov. Applicants must know their organization's DUNS number to complete this process. Completing this process automatically triggers an email request for applicant roles to the organization's E-Business Point of Contact (EBiz POC) for review. The EBiz POC is a representative from your organization who is the contact listed for SAM. To apply for grants on behalf of your organization, you will need the Authorized Organizational Representative (AOR) role.

For more detailed instructions about creating a profile on Grants.gov, refer to:

<https://www.grants.gov/web/grants/applicants/registration.html>

4) *Authorize Grants.gov Roles:* After creating an account on Grants.gov, the EBiz POC receives an email notifying them of your registration and request for roles. The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the AOR role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been approved as an AOR.

For more detailed instructions about creating a profile on Grants.gov, refer to:

<https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html>

5) *Track Role Status:* To track your role request, refer to:

<https://www.grants.gov/web/grants/applicants/registration/track-role-status.html>

b. *Electronic Signature:* When applications are submitted through Grants.gov, the name of the organization's AOR that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC **must** authorize individuals who are able to make legally binding commitments on behalf of the organization as an AOR; **this step is often missed and it is crucial for valid and timely submissions.**

3. How to Submit an Application to the Office of Naval Research via 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.

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different webforms within an application. For each funding opportunity announcement (FOA), you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to:

<https://www.grants.gov/web/grants/applicants/apply-for-grants.html>

1) *Create a Workspace*: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.

2) *Complete a Workspace*: Add participants to the workspace, complete all the required forms, and check for errors before submission.

a. *Adobe Reader*: If you decide not to apply by filling out web forms you can download individual PDF forms in Workspace so that they will appear similar to other Standard or ONR forms. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at:

<https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

b. *Mandatory Fields in Forms*: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.

c. *Complete SF-424 Fields First*: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS number. To trigger this feature, an applicant must complete the SF-424 information first. Once it is completed, the information will transfer to the other forms.

3) *Submit a Workspace*: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.

4) *Track a Workspace*: After successfully submitting a workspace package, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the package. The number will be listed on the Confirmation page that is generated after submission.

For additional training resources, including video tutorials, refer to:
<https://www.grants.gov/web/grants/applicants/applicant-training.html>

Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. (Foreign applicants should contact 1-606-545-5035.) For questions related to the specific grant opportunity, contact the number listed in the application package of the grant you are applying for.

If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a number. The Support Center ticket number will assist ONR with tracking your issue and understanding background information on the issue.

4. Timely Receipt Requirements and Proof of Timely Submission

a. Online Submission.

All applications must be received by **3pm** Eastern time on the due date established in this announcement. Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time stamp is generated within the system when the application is successfully received by Grants.gov. The applicant AOR will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. Applicant AORs will also receive the official date/time stamp and Grants.gov Tracking number in an email serving as proof of their timely submission.

When the Office of Naval Research successfully retrieves the application from Grants.gov, and acknowledges the download of submissions, Grants.gov will provide an electronic acknowledgment of receipt of the application to the email address of the applicant with the AOR role. Again, proof of timely submission shall be the official date and time that Grants.gov receives your application. Applications received by Grants.gov after the established due date for the program will be considered late and will not be considered for funding the Office of Naval Research.

Applicants using slow internet, such as dial-up connections, should be aware that transmission can take some time before Grants.gov receives your application. Again, Grants.gov will provide either an error or a successfully received transmission in the form of an email sent to the applicant with the AOR role. The Grants.gov Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. Please be patient and give the system time to process the application.

B. Application Review Information

1. Recipient Qualifications

- a. *Recipient Qualifications:* The Grants Officer is responsible for

determining a recipient's qualification prior to award. In general, a Grants Officer will award grant, cooperative agreements, or TIAs only to qualified recipients that meet the standards at 32 CFR 22.415. To be qualified, a potential recipient must:

- (1) Have the management capability and adequate financial and technical resources, given those that would be made available through the grant or cooperative agreement, to execute the program of activities envisioned under the grant or cooperative agreement;
- (2) Have a satisfactory record of executing such programs or activities (if a prior recipient of an award);
- (3) Have a satisfactory record of integrity and business ethics; and
- (4) Be otherwise qualified and eligible to receive a grant or cooperative agreement under applicable laws and regulations.

Applicants are requested to provide information with proposal submissions to assist the Grants Officer's evaluation of recipient qualification.

b. *FAPIS*: In accordance with Office of Management and Budget (OMB) guidance in parts 180 and 200 of Title 2, CFR, it is DoD policy that DoD Components must report and use integrity and performance information in the Federal Awardee Performance and Integrity Information System (FAPIS), or any successor system designated by OMB, concerning grants, cooperative agreements, and TIA's as follows:

If the total Federal share will be greater than the simplified acquisition threshold on a Federal award under a notice of funding opportunity (see 2 CFR 200.88 Simplified Acquisition Threshold):

- (1) The Federal awarding agency, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, will review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIS) (see 41 U.S.C. 2313);
- (2) An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM;
- (3) The Federal awarding agency will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 2 CFR 200.205 Federal awarding agency review of risk posed by applicants.

C. Federal Award Administration Information

1. Administrative and National Policy Requirements

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 and expanded by the Digital Accountability and Transparency Act of 2014 (Public Law 113-101), 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 TIAs) 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. Certification regarding Restrictions on Lobbying:

Grants, cooperative agreement awards, and TIA awards greater than \$100,000 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 <https://www.grants.gov/> (complete Block 17). The following certification applies likewise to each cooperative agreement and TIA 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 31 U.S.C. 1352. 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.

- iii. Certification Regarding the Prohibition on Using Funds with Entities that Require Certain Internal Confidentiality Agreements (Grant Information Circular (GIC) 19-02 November 2019) (Supplement to SF424 (R&R), block 17, Financial Assistance Certifications and Representations)

By checking “I Agree” on the SF 424 (R&R) block 17 you agree to abide by the following statement: “By signing this application, I certify (1) to the statements contained in the list certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. code, Title 218, Section 1001).

The certification reads as follows:

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

- iv. Code of Conduct:

Applicants for assistance are required to comply with 2 CFR 200.318(c), Code of Conduct, to prevent real or apparent conflicts of interest in the award and administration of any contracts supported by federal funds. This requirement will be incorporated into all assistance instruments awarded under this BAA.

- v. Peer Review

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 3966.1A. Such periodic peer reviews monitor the quality 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. Peer reviews may consider information derived from individual project or program review meetings (see BAA Section F.2.a.viii for further guidance).

vi. Section 889 of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2019 (Public Law 115-232) prohibits the head of an executive agency from obligating or expending loan or grant funds to procure or obtain, extend, or renew a contract to procure or obtain, or enter into a contract (or extend or renew a contract) to procure or obtain the equipment, services, or systems prohibited systems as identified in section 889 of the NDAA for FY 2019.

(a) In accordance with 2 CFR 200.216 and 200.471, all awards that are issued on or after August 13, 2020, recipients and subrecipients are prohibited from obligating or expending loan or grant funds to:

(1) Procure or obtain;

(2) Extend or renew a contract to procure or obtain; or

(3) Enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115-232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).

(i) For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).

(ii) Telecommunications or video surveillance services provided by such entities or using such equipment.

(iii) Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country.

(b) In implementing the prohibition under Public Law 115-232, section 889, subsection (f), paragraph (1), heads of executive agencies administering loan, grant, or subsidy programs shall prioritize available funding and technical support to assist affected businesses, institutions and

organizations as is reasonably necessary for those affected entities to transition from covered communications equipment and services, to procure replacement equipment and services, and to ensure that communications service to users and customers is sustained.

(c) See Public Law 115-232, section 889 for additional information.

COVERED FOREIGN COUNTRY means the People's Republic of China.

2. Reporting

i. If the Federal share of any Federal award may total more than \$500,000 over the period of performance, the post award reporting requirements, Award Term and Condition for Recipient Integrity and Performance Matters (2 CFR Part 200 Appendix XII), is applicable as follows:

A. Reporting of Matters Related to Recipient Integrity and Performance

1. General Reporting Requirement. If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under 41 U.S.C. 2313. All information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

2. Proceedings About Which You Must Report. Submit the information required about each proceeding that:

- a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;
- b. Reached its final disposition during the most recent five-year period; and
- c. Is one of the following:
 - (i) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;
 - (ii) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;

(iii) An administrative proceeding, as defined in paragraph 5. of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000; or

(iv) Any other criminal, civil, or administrative proceeding if:

(i) It could have led to an outcome described in paragraph 2.c. (1), (2), or (3) of this award term and condition;

(ii) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and

(iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

3. Reporting Procedures. Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under Federal procurement contracts that you were awarded.

4. Reporting Frequency. During any period of time when you are subject to the requirement in paragraph 1 of this award term and condition, you must report proceedings information through SAM for the most recent five-year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have Federal contract, grant, and cooperative agreement awards with a cumulative total value greater than \$10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

5. Definitions. For purposes of this award term and condition:

a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.

b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

c. Total value of currently active grants, cooperative agreements, and procurement contracts includes—

(i) Only the Federal share of the funding under any Federal award with a recipient cost share or match; and

(ii) The value of all expected funding increments under a Federal award and options, even if not yet exercised.

ii. Post Award Report Requirements

The post award reporting requirements can be found under the relevant ONR Addendum to the DoD R&D General Terms and Conditions and ONR Programmatic Requirements located at the following link: <https://www.onr.navy.mil/work-with-us/manage-your-award/manage-grant-award/grants-terms-conditions>.

APPENDIX 3- REQUIREMENTS APPLICABLE TO CONTRACTS AND OTHER TRANSACTION AGREEMENTS

A. Application and Submission Information

1. Content and Format of Application Submission

(a) 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 Peward 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 deliverables, as applicable. 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.

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		3% - 7%	5%
Management/ Cost Control		3% - 7%	5%
Contract Type Risk	Firm Fixed Price	2% - 6%	3% - 5%
Contract Type Risk	Cost Plus Fixed Fee	0% - 1%	0.5%

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.

B. Other Submission Requirements

i. Offerors shall utilize 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>.

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.

1) *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>.

2) *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.

3) *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.

FedConnect Frequently Asked Questions can be found on the ONR website at <https://www.onr.navy.mil/work-with-us/how-to-apply/frequently-asked-questions>.

Do not use the Message Center within FedConnect to submit questions, please email the POCs identified in Section G., Federal Awarding Agency Contacts.

C. Application Review Information

1. 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.

D. Federal Award Administration Information

1. Administrative and National Policy Requirements

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

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

(2) 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 ammunition 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, 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.

(3) 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.

(4) 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."

(5) Conflicts of Interest:

(a) 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:

(i) The name of the entity the offeror, its subcontractors, partners, consultants or affiliates supports.

(ii) 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.

(iii) 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.

(iv) A Mitigation Plan. Offerors should refer to FAR Subpart 9.5 for policies and procedures for avoiding, neutralizing, or mitigating organizational conflicts of interest.

(v) 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."

(b) OCI Mitigation Plan Contents. At a minimum, a Mitigation Plan shall:

(i) 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.

(ii) 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.

(iii) 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.

(iv) 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.

(v) 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.

(vi) 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.

(vii) Provide evidence of facts and circumstances that the offeror asserts mitigate or address the concerns related to the actual or potential OCI.

(c) 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.

(6) 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
52.204-24	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
52.204-16	Commercial and Government Entity Code Reporting
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 2015)
252.204-7018	Prohibition on the Acquisition of Covered Defense Telecommunications Equipment or Services
252.204-7019	Notice of NIST SP 800-171 DoD Assessment Requirements
252.204-7020	NIST SP 800-171 DoD Assessment Requirements
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)

- (a) Combating Trafficking in Persons: FAR Clause 52.222-50 will be incorporated in all awards.
- (b) 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
- (c) 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.

(7) 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.

(8) 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).

(9) Enhanced Security Controls on Select Defense Industrial Base Partner Networks

In accordance with NMCARs 5204.7303 "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.

ii. Applies to Other Transaction Agreements (OTAs) only:

(1) 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).

(2) REPRESENTATION REGARDING CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT (OCT 2020)

(a) *Definitions.* As used in this provision—*Backhaul, covered telecommunications equipment or services, critical technology, interconnection arrangements, reasonable inquiry, roaming, and substantial or essential component* have the meanings provided in the clause 52.204–25, Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment.

(b) *Prohibition.*

(1) Section 889(a)(1)(A) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Pub. L. 115–232) prohibits the head of an executive agency on or after August 13, 2019, from procuring or obtaining, or extending or renewing a contract to procure or obtain, any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. Nothing in the prohibition shall be construed to—

(i) Prohibit the head of an executive agency from procuring with an entity to provide a service that connects to the facilities of a third-party, such as backhaul, roaming, or interconnection arrangements; or

(ii) Cover telecommunications equipment that cannot route or redirect user data traffic or cannot permit visibility into any user data or packets that such equipment transmits or otherwise handles.

(2) Section 889(a)(1)(B) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Pub. L. 115–232) prohibits the head of an executive agency on or after August 13, 2020, from entering into a contract or extending or renewing a contract with an entity that uses any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. This prohibition applies to the use of covered telecommunications equipment or services, regardless of whether that use is in performance of work under a Federal contract. Nothing in the prohibition shall be construed to—

(i) Prohibit the head of an executive agency from procuring with an entity to provide a service that connects to the facilities of a third-party, such as backhaul, roaming, or interconnection arrangements; or

(ii) Cover telecommunications equipment that cannot route or redirect user data traffic or cannot permit visibility into any user data or packets that such equipment transmits or otherwise handles.

(c) *Procedures.* The Offeror shall review the list of excluded parties in the System for Award Management (SAM) (<https://www.sam.gov>) for entities excluded from receiving federal awards for “covered telecommunications equipment or services.”

(d) *Representations.* The Offeror represents that—

(1) It will, will not provide covered telecommunications equipment or services to the

Government in the performance of any contract, subcontract or other contractual instrument resulting from this solicitation. The Offeror shall provide the additional disclosure information required at paragraph (e)(1) of this section if the Offeror responds “will” in paragraph (d)(1) of this section; and

(2) After conducting a reasonable inquiry, for purposes of this representation, the Offeror

represents that— It does, does not use covered telecommunications equipment or services, or use any equipment, system, or service that uses covered telecommunications equipment or services. The Offeror shall provide the additional disclosure information required at paragraph (e)(2) of this section if the Offeror responds “does” in paragraph (d)(2) of this section.

(e) *Disclosures.* (1) Disclosure for the representation in paragraph (d)(1) of this provision. If the Offeror has responded “will” in the representation in paragraph (d)(1) of this provision, the Offeror shall provide the following information as part of the offer:

(i) For covered equipment—

(A) The entity that produced the covered telecommunications equipment (include entity name, unique entity identifier, CAGE code, and whether the entity was the original equipment manufacturer (OEM) or a distributor, if known);

(B) A description of all covered telecommunications equipment offered (include brand; model number, such as OEM number, manufacturer part number, or wholesaler number; and item description, as applicable); and

(C) Explanation of the proposed use of covered telecommunications equipment and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (b)(1) of this provision.

(ii) For covered services—

- (A) If the service is related to item maintenance: A description of all covered telecommunications services offered (include on the item being maintained: Brand; model number, such as OEM number, manufacturer part number, or wholesaler number; and item description, as applicable); or
- (B) If not associated with maintenance, the Product Service Code (PSC) of the service being provided; and explanation of the proposed use of covered telecommunications services and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (b)(1) of this provision.

(2) Disclosure for the representation in paragraph (d)(2) of this provision. If the Offeror has responded “does” in the representation in paragraph (d)(2) of this provision, the Offeror shall provide the following information as part of the offer:

(i) For covered equipment—

- (A) The entity that produced the covered telecommunications equipment (include entity name, unique entity identifier, CAGE code, and whether the entity was the OEM or a distributor, if known);
- (B) A description of all covered telecommunications equipment offered (include brand; model number, such as OEM number, manufacturer part number, or wholesaler number; and item description, as applicable); and
- (C) Explanation of the proposed use of covered telecommunications equipment and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (b)(2) of this provision.

(ii) For covered services—

- (A) If the service is related to item maintenance: A description of all covered telecommunications services offered (include on the item being maintained: Brand; model number, such as OEM number, manufacturer part number, or wholesaler number; and item description, as applicable); or
- (B) If not associated with maintenance, the PSC of the service being provided; and explanation of the proposed use of covered telecommunications services and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (b)(2) of this provision.