

**ONR BAA Announcement #05-001**  
**Posted to FedBizOps and FedGrants on 08 September 2004**



## **BROAD AGENCY ANNOUNCEMENT (BAA)**

### **INTRODUCTION:**

This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and Department of Defense Grant and Agreement Regulations (DoDGARs) 22.315. A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued. This announcement will remain open for approximately one year from the date of publication or until replaced by a successor BAA. Proposals may be submitted any time during this period. This announcement replaces ONR BAA # 04-001, dated 10 September 2003.

The Office of Naval Research (ONR) will not issue paper copies of this announcement. The ONR reserves the right to select and fund for award all, some, or none of the proposals in response to this announcement. ONR provides no funding for direct reimbursement of proposal development costs. Technical and cost proposals (or any other material) submitted in response to this BAA will not be returned. It is the policy of ONR to treat all proposals as sensitive competitive information and to disclose their contents only for the purposes of evaluation. Awards may take the form of contracts, grants, cooperative agreements (CAs), or other transactions (OTs) for research or for prototypes. Therefore, proposals submitted as a result of this announcement may fall under the purview of the Federal Acquisition Regulations (FAR), the Department of Defense Grant and Agreement Regulations (DoDGARs), or DoD's Other Transaction Guide for Prototypes.

### **I. GENERAL INFORMATION**

#### **1. Agency Name/Address -**

Office of Naval Research  
Ballston Centre, Tower One (BCT-1)  
800 North Quincy Street  
Arlington, VA 22217-5660

**2. Research Opportunity Title –**

Long Range Navy and Marine Corps Science & Technology

**3. Program Name –**

N/A

**4. Research Opportunity Number –**

BAA 05-001

**5. Response Date –**

This announcement will remain open until 30 September 2005 or until replaced by a successor BAA. Proposals may be submitted any time during this period.

**6. Research Opportunity Description –**

The Office of Naval Research (ONR) is interested in receiving proposals for Long-Range Science and Technology (S&T) Projects which offer potential for advancement and improvement of Navy and Marine Corps operations. Readers should note that this is an announcement to declare ONR's broad role in competitive funding of meritorious research across a spectrum of science and engineering disciplines.

Prior to preparing proposals, potential offerors are strongly encouraged to contact the ONR technical point of contact (POC) whose program best matches the offeror's field of interest. For information on POC's, refer to ONR "Science and Technology Departments" as listed in the Science and Technology section of the ONR Home Page accessible through World Wide Web at <http://www.onr.navy.mil> and for ONR's International Agent ONR Global at <http://www.onrglobal.navy.mil>.

**7. Point(s) of Contact –**

Questions of a technical nature should be submitted to the ONR POC whose program best matches the offeror's field of interest as listed in the Science and Technology section of the ONR Home Page specified above. Through the ONR POC, prospective offerors will be connected to the cognizant ONR Program Officer.

**8. Instrument Type(s) –**

It is anticipated that awards may take the form of contracts, grants, cooperative agreements, and other transactions for prototypes, as appropriate.

## **9. Catalog of Federal Domestic Assistance (CFDA) Numbers –**

12.300

## **10. Catalog of Federal Domestic Assistance (CFDA) Titles –**

Basic and Applied Scientific Research (DoD)

## **11. Other Information –**

This announcement is restricted as follows:

Contracts: For projects involving acquisition of basic and applied research and that portion of development not related to the development of a specific system or hardware procurement. Projects may include scientific study and experimentation directed toward advancing the state-of-the-art or increasing knowledge or understanding. (FAR 35.016)

Grants & Cooperative Agreements : For basic, applied and advanced research projects. (DoDGARs 22.205 (a) (2))

**This announcement does not cover technical, engineering and other types of support services or systems specific development.**

## **II. AWARD INFORMATION**

The amount and period of performance of each selected proposal will vary depending on the research area and the technical approach to be pursued by the selected offeror.

## **III. ELIGIBILITY INFORMATION**

All responsible sources from academia and industry may submit proposals under this BAA. Historically Black Colleges and Universities (HBCUs) and Minority Institutions (MIs) are encouraged to submit proposals and join others in submitting proposals. However, no portion of this BAA will be set aside for HBCU and MI participation.

## **IV. APPLICATION AND SUBMISSION INFORMATION**

### **1. Application and Submission Process –**

Pre-proposals or “White Papers” are frequently desired by ONR Program Officers. Offerors should consult the cognizant ONR Program Officer regarding the desirability and manner of submission (hard copy or electronic) for any required White Papers.

## 2. General Information for Content and Format of White Papers/Full Proposals -

The proposals submitted under this BAA are expected to be unclassified; however, confidential/classified proposals are permitted. Classified proposals must be submitted directly to the Technical Point of Contact. Contracts, cooperative agreements, or other transactions resulting from the submission of a classified proposal will be unclassified. An unclassified Statement of Work must accompany any classified proposal. Offerors are expected to appropriately mark each page of their submission that contains proprietary information.

*Alternatives to the format and content identified below may be appropriate depending on the scope and nature of the proposed effort. Coordinate any alternative proposal formats and contents relating to white papers and technical proposals (Volume 1 of the full proposal) with the cognizant ONR Program Officer. Alternative formats and content may be directed by the ONR Program Officer or may result from offerors' suggestions approved by the ONR Program Officer.*

### a. White Papers

#### White Paper Format

- Paper Size – 8.5 x 11 inch paper
- Margins – 1” inch
- Spacing – single or double-spaced
- Font – Times New Roman, 12 point
- Copies – one (1) original, appropriate number of hard copies as discussed with the cognizant program officer, and one electronic copy (if requested by the ONR Program Officer)

#### White Paper Content

- **Cover Page:** The Cover Page shall be labeled “WHITE PAPER,” and shall include the BAA number, proposed title, technical points of contact, with telephone number, facsimile number, and e-mail address.
- **Technical Concept:** A description of the technology innovation and technical risk areas.

#### *For Basic Research*

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

*For Applied Research and Advanced Technology Development*

- **Operational Naval Concept (where applicable):** A description of the project objectives, the concept of operation for the new capabilities to be delivered, and the expected operational performance improvements.
- **Operational Utility Assessment Plan (where applicable):** A plan for demonstrating and evaluating the operational effectiveness of the Offeror's proposed products or processes in field experiments and/or tests in a simulated environment.

**b. Full Proposals**

**Full Proposal Format – Volume 1 - Technical and Volume 2 - Cost Proposal**

- Paper Size – 8.5 x 11 inch paper
- Margins – 1” inch
- Spacing – single or double-spaced
- Font – Times New Roman, 12 point
- Discuss the number of page limit on Volume 1 with the cognizant program officer. There are no page limitations to Volume 2.
- Copies – one (1) original, appropriate number of hard copies as discussed with the cognizant program officer, and one electronic copy on a 3.5” Diskette or CD-ROM, (in Microsoft® Word or Excel 97 compatible or .PDF format).

**Full Proposal Content**

Volume 1: Technical Proposal

Each section of the Technical Proposal must start on a new page.

- **Cover Page:** This must include the words “Technical Proposal” and the following:
  - 1) BAA Number;
  - 2) Title of Proposal;
  - 3) Identity of prime Offeror and complete list of subcontractors, if applicable;
  - 4) Technical Contact (name, address, phone/fax, electronic mail address);
  - 5) Administrative/business contact (name, address, phone/fax, electronic mail address) and;
  - 6) Duration of Effort
- **Table of Contents:**
- **Technical Basis:** Identify the technical basis or theory supporting the proposed project to include a description of prior relevant work.

- **Statement of Work:** A Statement of Work (SOW) clearly detailing the scope and objectives of the effort and the technical approach. It is anticipated that the proposed SOW will be incorporated as an attachment to the resultant award instrument. To this end, such proposals must include a severable self-standing SOW without any proprietary restrictions, which can be made an attachment to the resultant contract or agreement. When options are contemplated, the SOW must clearly identify separate optional task areas. Similarly, the SOW must include a section which lists all proposed deliverables.

*For Basic Research*

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

*For Applied Research and Advanced Technology Development*

- **Operational Naval Concept (where applicable):** A description of the project objectives, the concept of operation for the new capabilities to be delivered, and the expected operational performance improvements.
- **Operational Utility Assessment Plan (where applicable):** A plan for demonstrating and evaluating the operational effectiveness of the Offeror's proposed products or processes in field experiments and/or tests in a simulated environment.
- **Project Schedule and Milestones:** A summary of the schedule of events and milestones.
- **Assertion of Data Rights:** Include a summary of any proprietary rights to pre-existing results, prototypes, or systems supporting and/or necessary for the use of the research, results, and/or prototype. Any rights made in other parts of the proposal that would impact the rights in this section must be cross-referenced. If there are proprietary rights, the Offeror must explain how these affect its ability to deliver subsystems and toolkits for integration. Additionally, offerors must explain how the program goals are achievable in light of these proprietary and/or restrictive limitations. If there are no claims of proprietary rights in pre-existing data, this section shall consist of a statement to that effect. Offerors are expected to mark each page of their proposal that contains proprietary information.
- **Deliverables:** A detailed description of the results and products to be delivered. The SOW should include a summary listing of these deliverables.

- **Management Approach:** A discussion of the overall approach to the management of this effort, including brief discussions of the total organization; use of personnel; project/function/subcontractor relationships; government research interfaces; and planning, scheduling and control practice.
- **Key Performers:** Identify which personnel and subcontractors (if any) will be involved. Submit resumes/curriculum vitae for the key personnel identified.
- **Facilities:** Include a description of the facilities that are required for the proposed effort with a description of any requested Government Furnished Items (equipment, hardware, software, information, etc.).
- **Other Agencies:** Include the name(s) of any other agencies to which the proposal has also been submitted.

## **VOLUME 2: Cost Proposal**

The Cost Proposal shall consist of a cover page and two parts described in detail below.

**Cover Page:** The words “Cost Proposal” should appear on the cover page in addition to the following information (the use of the SF 1411 is optional):

- BAA Number (ONR BAA 05-001);
- Title of Proposal;
- Identity of prime Offeror and complete list of subcontractors/sub-recipients, if applicable;
- Technical Contact (name, address, phone/fax, electronic mail address);
- Administrative/business contact (name, address, phone/fax, electronic mail address);
- Duration of Effort (differentiate basic effort from any proposed options);
- Summary statement of proposed costs and;
- Cognizant DCAA and DCMA point of contact, address, phone/fax, and electronic mail address (if readily available)

**Part 1:** Detailed breakdown of all costs by cost category by offerors fiscal year (when options are contemplated, options must be separately identified and priced by calendar/fiscal year):

- Direct Labor – Individual labor category or person, with associated labor hours and unburdened direct labor rates;
- Indirect Costs – Fringe Benefits, Overhead, G&A, COM, etc. (must show base amount and rate);
- Proposed contractor acquired equipment such as computer hardware for proposed research projects should be specifically itemized with costs or estimated costs. An explanation of any estimating factors, including their derivation and application, shall

be provided. Where possible, indicate purchasing method (competition, price comparison, market review, etc.);

- Travel – Number of trips, destinations, duration, etc;
- Subcontracts – A cost proposal as detailed as the Offeror’s cost proposal will be required to be submitted by the subcontractor. The subcontractor’s cost proposal can be provided in a sealed envelope with the Offeror’s cost proposal or will be requested from the subcontractor at a later date;
- Consultant – Provide consultant agreement or other document which verifies the proposed loaded daily/hourly rate;
- Materials – Specifically itemized by cost. An explanation of any estimating factors, including their derivation and application, shall be provided. Where possible, indicate purchasing method (competition, price comparison, market review, etc.);
- Other Directs Costs;
- Grant specific costs – Costs not normally associated with contracts, such as Graduate Assistant tuition, laboratory fees, report and publication costs and;
- Fee/Profit including fee percentage.

**Part 2** : Cost breakdown by task/sub-task corresponding to the same task breakdown in the proposed Statement of Work. When options are contemplated, options must be separately identified and priced by task/sub-task as well.

**3. Significant Dates and Times -**

This announcement will remain open until 30 September 2005 or until replaced by a successor BAA. Proposals may be submitted any time during this period.

**4. Submission of Late Proposals –**

N/A

**5. Address for the Submission of White Papers, if applicable, and Full Proposals –**

Office of Naval Research Attn*: _____ ONR Code**: _____ 800 North Quincy Street Arlington, VA 22217-5660  <i>*Cognizant ONR Program Officer/Point of Contact</i> <i>**Cognizant ONR POC's Code/Building #/Room #</i>
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NOTE: FULL PROPOSALS SENT BY FAX OR E-MAIL WILL NOT BE CONSIDERED.

## **V. EVALUATION INFORMATION**

### **1. Evaluation Criteria –**

Award decisions will be based on a competitive selection of proposals resulting from a scientific review. Evaluations will be conducted using the following evaluation criteria: (1) overall scientific and technical merits of the proposal; (2) potential naval relevance and contributions of the effort to the agency's specific mission; (3) the offeror's capabilities, related experience, facilities, techniques or unique combinations of these which are integral factors for achieving the proposal objectives; (4) the qualifications, capabilities and experience of the proposed Principal Investigator, team leader and key personnel who are critical in achieving the proposal objectives; and (5) the realism of the proposed cost and availability of funds.

For proposed awards to be made as contracts to large businesses, the socio-economic merits of each proposal will be evaluated based on the extent of the Offeror's commitment in providing meaningful subcontracting opportunities for small businesses, HUBZone small businesses, small disadvantaged businesses, woman-owned small businesses, veteran-owned small businesses, service disabled veteran-owned small businesses, historically black colleges and universities, and minority institutions.

### **2. Industry-Academia Partnering –**

ONR highly encourages partnering among industry and academia with a view to speeding the transition of new technology into fielded systems. Proposals that utilize industry-academia partnering which enhance the development of novel Science and Technology advances will be given favorable consideration.

### **3. Evaluation Panel –**

Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure in accordance with FAR 3.104-5 & 15.207, applicable law and regulation. The cognizant program officer and other Government scientific experts will perform the evaluation of technical proposals. Cost proposals will be evaluated 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 evaluate 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.

## **VI. AWARD ADMINISTRATION INFORMATION**

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

- The North American Industry Classification System (NAICS) code – The North American Industry Classification System (NAICS) code for this announcement is 541710 with a small business size standard of 500 employees.
- CCR - Successful offerors not already registered in the Central Contractor Registry (CCR) will be required to register in CCR prior to award of any grant, contract, cooperative agreement, or other transaction agreement. Information on CCR registration is available at <http://www.ccr.gov> or by calling 1-888-227-2423.
- Certifications – Proposals should be accompanied by a completed certification package which can be accessed on the ONR Home Page at Contracts & Grants. For grant proposals and proposals for cooperative agreements or other transaction agreements (other than for prototypes), the certification package is entitled, “Certifications for Grants and Agreements.” For contract proposals and for other transaction proposals involving prototypes (Section 845 agreements), the certification package is entitled, “Representations and Certifications for Contracts”.
- Subcontracting Plans - Successful contract proposals that exceed \$500,000, submitted by all but small business concerns, will be required to submit a Small Business Subcontracting Plan in accordance with FAR 52.219-9, prior to award.

## **2. Reporting –**

The following is a sample of deliverables that could be required under a typical research effort:

- Technical and Financial Progress Reports
- Presentation Material
- Other Documents or Reports
- Final Report

However, please note that specific deliverables (that may include software and hardware deliverables) may be proposed by each offeror to be finalized during negotiations.

## **VII. OTHER INFORMATION**

### **1. Government Property/Government Furnished Equipment (GFE) and Facilities**

Each proposer must provide a very specific description of any equipment/hardware that it needs to acquire to perform the work. This description should indicate whether or not each particular piece of equipment/hardware will be included as part of a deliverable item under the resulting award. Also, this description should identify the component, nomenclature, and configuration of the equipment/hardware that it proposes to purchase for this effort. It is the Government’s desire to have the contractors’ purchase the equipment/hardware for deliverable items under their contract. The purchase on a direct reimbursement basis of special test equipment or other

equipment that is not included in a deliverable item will be evaluated for allowability on a case-by-case basis. Maximum use of Government integration, test, and experiment facilities is encouraged in each of the Offeror's proposals.

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 explain which of these facilities they recommend.

## **2. Security Classification**

In order to facilitate intra-program collaboration and technology transfer, the Government will attempt to enable technology developers to work at the unclassified level to the maximum extent possible. If access to classified material will be required at any point during performance, the offeror must clearly identify such need prominently in their proposal.

If developers use unclassified data in their deliveries and demonstrations regarding a potential classified project, they should use methods and conventions consistent with those used in classified environments. Such conventions will permit the various subsystems and the final system to be more adaptable in accommodating classified data in the transition system.

## **3. Use of Animals and Human Subjects in Research**

If animals are to be utilized in the research effort proposed, the Offeror must be aware that a completed DoD Animal Use Protocol with supporting documentation (copies of AAALAC accreditation and/or NIH assurance, IACUC approval, research literature database searches, and the two most recent USDA inspection reports) requires a DoD veterinarian review/approval prior to award. Similarly, for any proposal that involves the experimental use of human subjects, the Offeror must obtain approval from the Offeror's committee for protection of human subjects (normally referred to as an Institutional Review Board, (IRB)). The Offeror must also provide documentation of a Multiple Project Assurance or a Federal Wide Assurance along with informed consent forms covering the proposed human subjects study. If the Offeror does not have a Federal Wide Assurance, a DoD Single Project Assurance for that work must be completed prior to award. Please contact the ONR Animal/Human Use Administrator at (703) 696-4046 for further information.

## **4. Recombinant DNA**

Proposal which call for experiments using recombinant DNA must include documentation of compliance with DHHS recombinant DNA regulations, approval of the Institutional Biosafety Committee (IBC), and copies of the DHHS Approval of the IBC letter. Please contact the ONR rDNA Use Administrator at (703) 696-4046 for further information.

## **5. Department of Defense High Performance Computing Program**

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

## **6. Export Controlled Technology**

Potential offerors under this announcement are reminded of the Export Administration Regulations, the International Traffic in Arms Regulations, and DoD regulations restricting the release of critical technologies, including technical data, to foreign nationals.