



Broad Agency Announcement 11-006

Electronic Warfare Technology

INTRODUCTION:

This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and 35.016 and the Department of Defense Grants and Agreements Regulations (DoDGARS) 22.315(a). A formal Request for Proposals (RFP), other solicitation, or additional information regarding this announcement will not be issued.

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

I. GENERAL INFORMATION

- 1. Agency Name** - Office of Naval Research
- 2. Research Opportunity Title** - Electronic Warfare Technology
- 3. Program Name** - Electronic Warfare Discovery and Invention (D&I)
- 4. Research Opportunity Number** - 11-006
- 5. Response Date** -

White Papers: 2/1/2011
Full Proposals: 5/3/2011

6. Research Opportunity Description -

The goal of Electronic Warfare (EW) is to control the Electro-Magnetic Spectrum (EMS) by exploiting, deceiving, or denying enemy use of the spectrum while ensuring its use by friendly forces. To that end, the Office of Naval Research's (ONR's) EW Discovery and Invention (D&I) program invests in Science and Technology (S&T) initiatives that will provide naval forces (including Navy and Marine Corps) with improved threat warning systems; Electronic warfare Support (ES); decoys and countermeasures against weapon tracking, and guidance systems; Electronic Attack (EA) against adversary Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance (C4ISR); and Electronic Protection (EP) of our own weapons and C4ISR from intentional and unintentional interference.

ONR 312 Electronic Warfare (312EW) seeks proposals for efforts that shall develop and demonstrate technologies for the next generation components and systems in electronic warfare. White papers and subsequent proposals should address technology developments in one or more of the following areas:

A. Wideband ES - Sensing/Processing

The objective is to develop and demonstrate the capability of ES systems to provide wideband (1-110 gigahertz (GHz)) spectral coverage and improve naval (Navy and Marine Corps) battlespace awareness, which includes continuously monitoring this critical portion of the EMS; quickly and accurately classifying emitters and emitter functions; precisely and rapidly locating platforms, people, things, and events; and conducting accurate long-term monitoring and tracking of hostile forces. Potential areas of investigation include:

1. Wideband cueing receiver concepts that provide continuous sensing across the entire 1-110 GHz spectral range, without spectral gaps or scanning that limits the probability of intercepting unknown or intermittent signals. Channelized receiver architectures are NOT desired, although it is permissible to partition the spectrum into a minimum number of overlapping frequency bands (goal of four or less) which can be read-out and processed in parallel. Receiver sensitivity and frequency measurement resolution should equal or exceed current state-of-the-art in channelized receivers across the entire 1-110 GHz band. It should be noted that 1 and 110 GHz are not hard limits on performance, and sensing technologies that can also extend lower in frequency (down to 100 megahertz (MHz) or lower) and higher in frequency (up to 300 GHz or higher) are of great interest. Also of special interest are innovative receiver technologies for real-time detection and isolation of weak radio frequency (RF) signals in the presence of strong interference (both inadvertent and intentional). Offerors must also directly describe how their approach compares to the current state-of-the-art.

2. Wideband critical receiver components that operate across the entire 1-110 GHz spectral range. Among the components desired are antennas (with greater than 20 dB gain across the full frequency band, conformal architectures, and multi-polarization sensitivity), low noise amplifiers (LNA's, with greater than 40 dB gain across the full frequency band), and tunable filters (with greater than 80 dB out-of-band rejection across the full frequency band), although other critical

receiver components will be considered if innovative concepts that extend state-of-the-art performance are proposed. It is desired that all components operate across the entire 1-110 GHz range, although it is permissible to partition the spectrum into a minimum number of overlapping frequency bands (goal of four or less). It should be noted that 1 and 110 GHz are not hard limits on performance, and component technologies that can also extend lower in frequency (down to 100 MHz or lower) and higher in frequency (up to 300 GHz or higher) are of great interest. Offerors must also directly describe how their approach compares to the current state-of-the-art.

3. Wideband adaptive RF signal processing methods and techniques. Among the signal processing methods and techniques desired are dynamic and real-time arbitrary signal detection and characterization (including both pulsed and continuous wave signals), adaptive and cognitive processing methods that encompass the entire sensing chain from detection to threat identification to tracking to cued response, and advanced target identification functionality including deterministic processing techniques to uniquely identify threat characteristics and intent. Also of special interest are innovative signal processing methods for real-time detection and isolation of weak RF signals in the presence of strong interference (both inadvertent and intentional). Offerors must also directly describe how their approach compares to the current state-of-the-art.

B. Wideband EA - Components/Techniques

The objective is to develop and demonstrate the capability of EA systems to provide wideband (1-110 GHz) spectral coverage and improve naval (Navy and Marine Corps) ability to limit or deny enemy access to the EMS; provide false or misleading information to enemy C4ISR and targeting systems; and damage or degrade enemy sensing capabilities. Potential areas of investigation include:

1. Wideband high power critical EA system components that operate across the entire 1-110 GHz spectral range. Among the components desired are EA transmit apertures capable of achieving 4-10 kilowatts (kW) or greater effective radiated power (ERP), power limiters, phase shifters, True Time Delay (TTD) driver amplifiers, isolators, circulators, multiplexers, and wideband component interconnects and circuits. It is desired that all components operate across the entire 1-110 GHz range, although it is permissible to partition the spectrum into a minimum number of overlapping frequency bands (goal of four or less). It should be noted that 1 and 110 GHz are not hard limits on performance, and EA system component technologies that can also extend lower in frequency (down to 100 MHz or lower) and higher in frequency (up to 300 GHz or higher) are of great interest. Also of interest are architectures for wideband EA transmitters that enable a software-programmable EA response, i.e., a software-defined EA capability. This architecture should permit real-time reconfiguration of EA waveform, modulation, duty cycle, polarization, and beam-forming. Offerors must also directly describe how their approach compares to the current state-of-the-art.

2. Wideband EA techniques (waveforms) and techniques generators that operate across the entire 1-110 GHz spectral range. Techniques generators that utilize an advanced Digital RF Memory (DRFM)-based architecture are of particular interest. The DRFM must support a large instantaneous bandwidth (greater than 2 GHz), large dynamic range (greater than 65 dB), and

simultaneously process multiple simultaneous threat signals (greater than 4) at varying power levels. Concepts that make use of a single DRFM chain are of particular interest, although concepts using multiple DRFMs (for spectrum partitioning, for instance) would also be of interest. It should be noted that 1 and 110 GHz are not hard limits on performance, and concepts that can also extend lower in frequency (down to 100 MHz or lower) and higher in frequency (up to 300 GHz or higher) are of great interest. The EA techniques that are of primary interest are those that preserve complex waveform characteristics (such as coherence and phase coding). These EA techniques are not the saturated high power methods associated with older traditional EA. Signal power, frequency, phase, polarization, modulation, and coding must be reproduced and controlled precisely to effectively deceive modern RF systems. This requires approaches which emphasize power linearity and signal fidelity, and can be controlled dynamically and adaptively to mimic the information content of modern RF signals. Also of particular interest are techniques that can generate multi-aspect false targets with realistic signature profiles (spatial, temporal, polarization, Doppler, etc.) sufficient to fool modern radar signal processing over extended periods (minutes to hours) of interrogation and scrutiny. Offerors must also directly describe how their approach compares to the current state-of-the-art.

3. Transmit-to-receive isolation technologies and techniques, relevant to the spectral range of 1 to 110 GHz, that support close location of EA and ES systems on space constrained platforms. The goal is to allow for simultaneous operation of closely located EA transmitters and ES receivers without the need for blanking or look-through scheduling, with isolation levels that are 20 dB (threshold) to 30 dB (goal) higher than the system electronic gain. The desired level of isolation can be obtained using any combination of active and/or passive means. Both component level and system level developments in this area are of interest. These technologies and techniques should be software controllable where appropriate for maximum flexibility, and applicable for use in onboard platforms such as ships and/or offboard platforms such as active decoys. It should be noted that 1 and 110 GHz are not hard limits on performance, and isolation approaches that can also extend lower in frequency (down to 100 MHz or lower) and higher in frequency (up to 300 GHz or higher) are of great interest. Also of interest is development of multi-function waveforms that facilitate enhanced ES/EA isolation. Offerors must also directly describe how their approach compares to the current state-of-the-art.

C. Millimeter Wave (mmW) High Power Transmitters

The objective is to improve the capability of naval (Navy and Marine Corps) EA systems to deny or deceive sensors or weapons guidance systems operating in the millimeter wave (mmW) bands of the EMS. While ONR has on-going interest in wideband EA transmitter systems which operate across the breadth of the mmW spectrum, this section of the current solicitation is limited to the 18-45 GHz frequency range. Transmitter systems (consisting of power amplifier(s), matching network, and radiating element) capable of achieving 4-10 kW or greater ERP for small decoy applications or capable of being combined to achieve 100 kW or greater ERP for large platform applications across the entire 18-45 GHz frequency range are desired. Technology solutions are permitted using vacuum components, solid-state components, or combinations of both. Proposed system concepts should include a detailed end-to-end system analysis, with such considerations as input power needs, power distribution, cooling, component placement, isolation, aperture architecture, and beam-forming. The delivered system should demonstrate the

ability to project the requested ERP across the full 18-45 GHz spectral band against a far-field target in a controlled and sustained beam and be able to transmit linear and phase controlled jamming waveforms capable of preserving complex signal content and coding. Offerors must also directly describe how their approach compares to the current state-of-the-art.

D. Innovative EW Concepts

The objective is to explore truly innovative concepts in the EW areas of ES, EA, or EP which could fundamentally change the way naval (Navy and Marine Corps) forces conduct EW operations. (Note that this sub-section should only be cited by proposals that do not fall within any of the other sub-sections of this Research Opportunity Description.)

Proposals should focus on innovative solutions involving emerging, cutting-edge technologies. Solutions that use Commercial Off-The-Shelf (COTS) or other traditional technologies are less desirable, unless the application of these technologies is truly innovative in approach. Likewise, proposals that seek primarily to demonstrate the military application of existing technology or techniques, in either a laboratory or field environment, are discouraged unless a truly significant technological advance can be achieved through this demonstration. Finally, proposals that are contingent upon ONR providing government furnished equipment, instrumentation, test facilities, or threat hardware and information for exploitation are NOT acceptable.

Work funded under a BAA may include basic research, applied research and some advanced technology development (ATD). With regard to any restrictions on the conduct or outcome of work funded under this BAA, ONR will follow the guidance on and definition of "contracted fundamental research" as provided in the Under Secretary of Defense (Acquisition, Technology and Logistics) Memorandum of 24 May 2010. As defined therein the definition of "contracted fundamental research", in a DoD contractual context, includes [research performed under] grants and contracts that are (a) funded by Research, Development, Test, and Evaluation Budget Activity 1 (Basic Research), whether performed by universities or industry or (b) funded by Budget Activity 2 (Applied Research) and performed on campus at a university. The research shall not be considered fundamental in those rare and exceptional circumstances where the applied research effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the contract or grant.

Pursuant to DoD policy, research performed under grants and contracts that are a) funded by Budget Category 6.2 (Applied Research) and NOT performed on-campus at a university or b) funded by Budget Category 6.3 (Advanced Research) does not meet the definition of "contracted fundamental research." In conformance with the USD(AT&L) guidance and National Security Decision Direction 189, ONR will place no restriction on the conduct or reporting of unclassified "contracted fundamental research," except as otherwise required by statute, regulation or Executive Order. For certain research projects, it may be possible that although the research being performed by the prime contractor is restricted research, a subcontractor may be conducting "contracted fundamental research." In those cases, it is the ***prime contractor's responsibility*** in the proposal to identify and describe the subcontracted unclassified research and

include a statement confirming that the work has been scoped, negotiated, and determined to be fundamental research according to the prime contractor and research performer.

Normally, fundamental research is awarded under grants with universities and under contracts with industry. ATD is normally awarded under contracts and may require restrictions during the conduct of the research and DoD pre-publication review of research results due to subject matter sensitivity. As regards to the present BAA, the Research and Development efforts to be funded will consist of Applied Research. The funds available to support awards are Budget Activity 2.

7. Point(s) of Contact -

Questions of a technical nature should be submitted to:

Primary:

Dr. Peter Craig
ONR Code: 312 Electronic Warfare
Electronics, Sensors, and Network Research Division
Office of Naval Research
875 North Randolph Street, Suite 1112
Arlington, VA 22203-1995
Email: peter.craig@navy.mil

Secondary:

Mr. David Tremper
ONR Code: 312 Electronic Warfare
Electronics, Sensors, and Network Research Division
Office of Naval Research
875 North Randolph Street, Suite 1125
Arlington, VA 22203-1995
Email: david.tremper@navy.mil

Questions of a business nature should be submitted to:

Primary:

Lynn Christian
ONR Code BD 0251
Office of Naval Research
875 North Randolph Street, Suite W1275
Arlington, VA 22203-1995
Email: Lynn.Christian@navy.mil

Secondary:

Vera M. Carroll
ONR Code BD 0251
Office of Naval Research
875 North Randolph Street, Suite 1279

Arlington, VA 22203-1995
Email: vera.carroll@navy.mil

Questions of a security nature should be submitted to:

Diana Pacheco
Industrial Security Specialist
Office of Naval Research
Security Department, Code 43
One Liberty Center
875 N. Randolph Street
Arlington, VA 22203-1995
Email Address: diana.pacheco@navy.mil

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

CLASSIFIED questions shall be handled through the ONR Security POC. Specifically, any entity wanting to ask a CLASSIFIED question shall send an email to the ONR Security POC with a copy to both the Technical POC and the Business POC stating that the entity would like to ask a CLASSIFIED question. DO NOT EMAIL ANY CLASSIFIED QUESTIONS. The Security POC will contact the entity and arrange for the CLASSIFIED question to be asked through a secure method of communication.

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

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

- Federal Business Opportunities (FEDBIZOPPS) Webpage – <https://www.fbo.gov/>
- Grants.gov Webpage – <http://www.grants.gov/>
- ONR Broad Agency Announcement (BAA) Webpage – <http://www.onr.navy.mil/en/Contracts-Grants/Funding-Opportunities/Broad-Agency-Announcements.aspx>

8. Instrument Type(s) - Contracts and Grants

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

9. Catalog of Federal Domestic Assistance (CFDA) Numbers -

12.300

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

DoD Basic and Applied Scientific Research

11. Other Information –

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

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

II. AWARD INFORMATION

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

ONR plans to issue multiple awards that represent the best value to the Government in accordance with the evaluation criteria stated in Section V. entitled "Evaluation Information". Offerors have the opportunity to be creative in the selection of the technical and management processes and approaches to address the areas of interest described above.

The period of performance of the awards will range from twelve (12) to thirty six (36) months. ONR plans to fund individual awards of \$500,000.00 to \$1,500,000.00 per year using D&I (Budget Category 6.2) funds. However, lower and higher cost efforts will be considered. The period of performance for projects may be from one (1) to three (3) years with an estimated start date of 3 January 2012, subject to date of final award and availability of new fiscal year funds. Some portion of this budget may fund research requests in this program area received from Government entities outside of this BAA.

ONR has funded related technology development under numerous programs. If Offerors are enhancing work performed under other ONR or DoD projects, they must clearly identify the point of departure and what existing work will be brought forward and what new work will be performed under this BAA.

The award(s) will be made for the full performance period requested. Options will not be utilized.

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.

Federally Funded research & Development Centers (FFRDCs), including Department of Energy National Laboratories, are not eligible to receive awards under this BAA. However, teaming arrangements between FFRDCs and eligible principal bidders are allowed so long as they are permitted under the sponsoring agreement between the Government and the specific FFRDC.

Navy laboratories and warfare centers as well as other Department of Defense and civilian agency laboratories are also not eligible to receive awards under this BAA and should not directly submit either white papers or full proposals in response to this BAA. If any such organization is interested in one or more of the programs described herein, the organization should contact an appropriate ONR POC to discuss its area of interest. The various scientific divisions of ONR are identified at <http://www.onr.navy.mil/>. As with FFRDCs, these types of federal organizations may team with other responsible sources from academia and industry that are submitting proposals under this BAA.

Teams are also encouraged and may submit proposals in any and all areas. However, Offerors must be willing to cooperate and exchange software, data and other information in an integrated program with other contractors, as well as with system integrators, selected by ONR.

Some topics cover export controlled technologies. Research in these areas is limited to “U.S. persons” as defined in the International Traffic in Arms Regulation (ITAR) – 22 CFR § 1201.1 et seq. (See Section VII, Other Information)

For Grant, Cooperative Agreement and Other Transaction Agreement applications:

The Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by Section 6202 of Public Law 110-252, requires that all agencies establish requirements for recipients reporting information on subawards and executive total compensation as codified in 2 CFR 170.110. Any company, non-profit agency or university that applies for financial assistance (either grants, cooperative agreements or other transaction agreements) as either a prime or sub-recipient under this BAA must provide information in their proposal that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR 170.220 and Appendix A. Entities are **exempt** from this requirement **UNLESS** in the preceding fiscal year, it received: a) 80 percent or more of its annual gross revenue in Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; b) \$25 million or more in annual gross revenue from Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; and c) the public does not have access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 or section 6104 of the Internal Revenue Code of 1986.

IV. APPLICATION AND SUBMISSION INFORMATION

1. Application and Submission Process – Pre-Proposal Conference/Industry Day, White Paper, Oral Presentation, and Full Proposals

Pre-Proposal Conference/Industry Day: The ONR EW D&I Program will conduct an unclassified briefing for potential Offerors on Thursday, 6 January 2011 in Arlington VA. The purpose of the meeting will be to provide potential Offerors with a better understanding of the scope of the ONR EW program and objectives of this BAA. The briefing will be held at 10:00 AM Eastern Standard Time (EST) with check-in beginning at 9:00 AM (EST). All attendees are required to pre-register by sending a notification of planned attendance via email to 312_EC@onr.navy.mil by 3:00 PM (EST) on Monday, 3 January 2011. The message must include the following information: name of attendee(s), title(s), organization, department or company division, phone, fax, and email address. Pre-registration by email is mandatory; **WALK-IN REGISTRATION WILL NOT BE PERMITTED**. If requested attendance exceeds capacity, it may be necessary to limit attendance, and organizations will be so notified. ONR will reply via email on or before Tuesday, 4 January 2011 to those parties who plan on attending the briefing with the specific location in the Arlington, VA area where the briefing will be conducted, directions, schedule, and any other appropriate information. Those not able to attend this briefing should consult the web page <http://www.onr.navy.mil/02/BAA/> after Tuesday, 11 January 2011 to see briefing slides and answers to questions submitted during the conference.

White Papers: The due date for white papers is no later than 3:00 PM (EST) on Tuesday, 1 February 2011. White papers are to be submitted as a pdf file via electronic mail (email) only to 312_EC@onr.navy.mil. If an Offeror does not submit a white paper before the specified due date and time, it is not eligible to participate in the remaining Full Proposal submission process and is not eligible for Fiscal Year (FY) 2012 funding. (In order to provide traceability and evidence of submission, Offerors may wish to use the "Delivery Receipt" option available from Microsoft Outlook and other email programs that will automatically generate a response when the subject email is delivered to the recipient's email system. Consult the User's Manual for your email software for further details on this feature.) Each white paper should state that it is submitted in response to this BAA and cite the particular sub-section of the Research Opportunity Description that the white paper is primarily addressing.

White Paper Evaluation/Notification: Navy evaluations of the white papers will be issued via email notification on or about Friday, 18 February 2011. An expanded oral presentation will be subsequently requested from those Offerors whose proposed technologies have been identified as being of "particular value" to the Navy. However, any such request does not assure a subsequent award. Any Offeror whose white paper technology was not identified as being of "particular value" to the Navy is ineligible to make an oral presentation or to submit a full proposal under this BAA.

Oral Presentations: ONR requests that Principal Investigators (PIs) provide expanded presentations of their selected white papers. The purpose of the oral presentation is to provide additional information and address how the proposed technology will affect military applications. The requested oral presentations will coincide with the annual ONR EW S&T

Review, currently scheduled for 15-17 March 2011. The time, location, and briefing format of the oral presentations, if requested, will be provided at a later date via email notification.

Oral Presentation Evaluation/Notification: Navy evaluations of the oral presentations will be issued via email notification on or about Friday, 25 March 2011. A full proposal will be subsequently encouraged from those Offerors whose proposed technologies have been identified through the aforementioned email as still being of "particular value" to the Navy. Any Offeror whose oral presentation was not identified as being of "particular value" to the Navy is ineligible to submit a full proposal under this BAA.

Full Proposals: The due date for receipt of Full Proposals is 3:00 PM (EDT) on Tuesday, 3 May 2011. It is anticipated that final selections will be made within four (4) weeks after full proposal submission. As soon as the final full proposal evaluation process is completed, PI's will be notified via email of their project's selection or non-selection for FY12 funding. Full proposals received after the published due date and time will not be considered for funding in FY12.

NOTE: Full Proposals for Contracts (unless classified) must be submitted via United States Postal Service or a commercial carrier. Offerors may also hand-deliver their proposals to The Office of Naval Research provided they pre-arrange a time and date prior to the closing of the solicitation with Dr. Peter Craig at peter.craig@navy.mil or Mr. David Tremper at david.tremper@navy.mil. Full Proposals sent by fax or email will not be considered. Full Proposals for Grants must be submitted via the Grants.Gov web site located at <http://www.grants.gov/>.

2. Content and Format of White Papers/Full Proposals -

The White Papers and Full Proposals submitted under the BAA are expected to be unclassified. However, confidential/classified responses are permitted. If a classified proposal is submitted, the resultant contract will be unclassified.

Classified Proposal Instructions:

Classified White Papers and Full Proposals shall be submitted directly to the attention of ONR's Document Control Unit at the following address:

OUTSIDE ENVELOPE (no classification marking):

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

The inner wrapper of the classified proposal should be addressed to the attention of Dr. Peter Craig (peter.craig@navy.mil), ONR Code 312 and marked in the following manner:

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

Program: Electronic Warfare Technology
Office of Naval Research
Attn: Dr. Peter Craig
ONR Code: 312
875 North Randolph Street
Suite 1112
Arlington, VA 22203-1995

An 'unclassified' Statement of Work (SOW) must accompany any classified proposal.

Proposal submissions will be protected from unauthorized disclosure in accordance with FAR Subpart 15.207, applicable law, and DoD/DoN regulations. Offerors are expected to appropriately mark each page of their submission that contains proprietary information.

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

a. **WHITE PAPERS**

White Paper Format

- Paper Size - 8.5 x 11 inch paper
- Margins - 1 inch
- Spacing - single spaced
- Font - Times New Roman, 12 point
- Max. Number of Pages permitted: 4 pages (excluding cover page, resumes, bibliographies, and table of contents)
- Format - One (1) electronic copy in Adobe PDF delivered via email.

NOTE: 1) Do not send hardcopies of White Papers (including facsimiles) as only electronic submissions will be accepted and reviewed; 2) Do not send .ZIP files; 3) Do not send password protected files.

White Paper Content

- **Cover Page:** The Cover Page shall be labeled "WHITE PAPER"; and shall include the BAA number, proposed title, Offeror's administrative and technical points of contact, with telephone numbers, facsimile numbers, and Internet address, and shall be signed by an authorized officer.
- **Technical Concept:** A description of the technology innovation and technical risk areas.

1. Project Manager and/or Principal Investigator
2. Relevance to BAA Research Opportunity Description and specific sub-section(s) being addressed

3. Technical objective
4. Technical approach
5. Deliverables
6. Recent technical breakthroughs that will reduce risk
7. Funding plan showing requested funding per fiscal year, as well as the total funding request

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

b. FULL PROPOSALS

INSTRUCTIONS FOR CONTRACT, COOPERATIVE AGREEMENTS AND OTHER TRANSACTION AGREEMENTS (Does not include Grants)

NOTE: Submission instructions for BAAs issued after FY2010 have changed significantly from previous requirements. Potential Offerors are advised to carefully read and follow the instructions below. The new format and requirements have been developed to streamline and ease both the submission and review of proposals. Both the Template and the Spreadsheet have instructions imbedded into them that will assist in completing the documents. Also, both the Template and the Spreadsheet require completion of cost-related information – both documents must be fully completed to constitute a valid proposal.

All proposals must use ONR's Technical and Cost Proposal Template and Cost Proposal Spreadsheet. The Template can be found by following this link: <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/contracts-proposal/~media/Files/Contracts%20and%20Grants%20-%20Code%20002/Technical-Cost-Proposal-Template-2010final.ashx>. Please note that all the attachments listed in Section III.8 of the Template can be incorporated into the Template file for submission.

The Cost Proposal Spreadsheet can be found by following this link:

<http://www.onr.navy.mil/Contracts-Grants/submit-proposal/contracts-proposal/cost-proposal.aspx>. Click on the “proposal spreadsheet” link and save a copy of the spreadsheet. Instructions for completion have been embedded into the spreadsheet. Any proposed options that are identified in the Technical and Cost Proposal Template, but are not fully priced out in the Cost Proposal Spreadsheet will not be included in any resulting contract or other transaction. If proposing options, they **must** be separately priced and separate spreadsheets should be provided for the base period and each option period.

For proposed subcontracts or interorganizational transfers over \$150,000, Offerors must provide a separate fully completed Cost Proposal Spreadsheet in support of the proposed costs. This

spreadsheet, along with supporting documentation, must be provided either in a sealed envelope with the prime's proposal or via e-mail directly to both the Program Officer and the Business Point of Contact at the same time the prime proposal is submitted. The e-mail should identify the proposal title, the prime Offeror and that the attached proposal is a subcontract, and should include a description of the effort to be performed by the subcontractor. Offerors should also familiarize themselves with the new subcontract reporting requirements set forth in Federal Acquisition Regulation (FAR) clause 52.204-10, Reporting Executive Compensation and First-Tier Subcontract Awards. From October 1, 2010 through February 28, 2011, any newly awarded subcontract must be reported if the prime contract award amount is \$550,000 or more. Starting March 1, 2011, any newly awarded subcontract must be reported if the prime contract award amount was \$25,000 or more. The pertinent requirements can be found in Section VII, Other Information, of this document.

Offerors should submit (1) original, 2 hard copies, and one electronic copy on a DVD (in Microsoft® Word or Excel 2007 compatible format). The electronic submission of this Excel spreadsheet shall be in a "useable condition" to aid the Government with its evaluation. The term "useable condition" indicates that the spreadsheet shall visibly include and separately identify within each appropriate cell, any and all inputs, formulas, calculations, etc. The Offeror shall in no way provide "value only spreadsheets" liken to that of a hard copy.

INSTRUCTIONS FOR GRANTS (Does not include contracts, cooperative agreements and other transaction agreements)

The following information must be completed as follows in the SF 424 to ensure that the application is directed to the correct individual for review: Block 4a, Federal Identifier: Enter the previous ONR award number, or N00014 if the application is not a renewal or expansion of an existing award; Block 4b, Agency Routing Number: Enter the three (3) digit Program Office Code (i.e., 312) and the Program Officer's name, last name first, in brackets (i.e., Craig, Peter). Applicants who fail to provide a Department code identifier may receive a notice that their proposal will be rejected.

Please note that Volume I, Technical Proposal should be submitted as an attachment to the SF 424 rather than being inserted into Block 7, Project Narrative. Block 7 should be completed with a statement that Volume 1 is attached. To attach the Technical Proposal, open the Attachment Form in the Optional Documents box of the application package, scroll down to the Attachment page, and follow the instructions. The file should be titled "Volume I – Technical Proposal."

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

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single-spaced
- Font – Times New Roman, 12 point
- Number of Pages – Volume 1 is limited to no more than fifteen (15) pages. Limitations within sections of the proposal, if any, are indicated in the individual descriptions shown

below. The cover page, table of contents, resumes and current and pending project and proposal submissions information are excluded from the page limitations. Full Proposals exceeding the page limit may not be evaluated. There are no page limitations to Volume 2.

- Copies – the full proposal should be submitted electronically at <http://www.grants.gov/> as delineated in paragraph 5 below.

Volume 1: Technical Proposal

- **Cover Page:** This should include the words “Technical Proposal” and the following:

- 1) BAA number 11-006;
- 2) Title of Proposal;
- 3) Identity of prime Offeror and complete list of subawards, if applicable;
- 4) Technical contact (name, address, phone/fax, electronic mail address)
- 5) Administrative/business contact (name, address, phone/fax, electronic mail address) and;
- 6) Proposed period of performance (identify both the base period and any options, if included).

- **Table of Contents:** An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.

Technical Approach and Justification: The major portion of the proposal should consist of a clear description of the technical approach being proposed. This discussion should provide the technical foundation/justification for pursuing this particular approach/direction and why one could expect it to enable the objectives of the proposal to be met. Offerors should limit the number of pages for this section to 15 pages.

- **Operational Naval Concept (where applicable):** A description of the project objectives, the concept of operation for the new capabilities to be delivered, and the expected operational performance improvements.

- **Operational Utility Assessment Plan (where applicable):** A plan for demonstrating and evaluating the operational effectiveness of the Offeror’s proposed products or processes in field experiments and/or tests in a simulated environment.

- **Project Schedule and Milestones:** A summary of the schedule of events and milestones:

- **Reports:**

The following are sample data deliverables that are typically required under a research effort:

- Technical and Financial Progress Reports
- Final Report

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

• **Management Approach:** Identify which personnel and subcontractors/subrecipients (if any) will be involved. Include a description of the facilities that are required for the proposed effort, along with a description of any Government Furnished Equipment/Hardware/Software/Information required, by version and/or configuration.

• **Current and Pending Project and Proposal Submissions:** Offerors are required to provide information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing contracts, grants, and other assistance agreements. Offerors shall provide the following information of any related or complementary proposal submissions from whatever sources (e.g., ONR, Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations).

The information must be provided for all proposals already submitted or submitted concurrently to other possible sponsors, including ONR. Concurrent submission of a proposal to other organizations will not prejudice its review by ONR:

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

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

Volume 2: Cost Proposal

The offeror must use the Grants.gov forms from the application package template associated with the BAA on the Grants.gov web site located at <http://www.grants.gov/>. If options are proposed, the cost proposal must provide the pricing information for the option periods; failure to include the proposed costs for the option periods will result in the options not being included in the award. Assume that performance will start no earlier than January 1, 2012. A separate Adobe .pdf document should be included in the application that provides appropriate justification and/or supporting documentation for each element of cost proposed.

Part 1: The itemized budget must include the following

- **Direct Labor** – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates. Provide escalation rates for out years.

Administrative and clerical labor – Salaries of administrative and clerical staff are normally indirect costs (and included in an indirect cost rate). Direct charging of these costs may be appropriate when a major project requires an extensive amount of administrative or clerical support significantly greater than normal and routine levels of support. Budgets proposing direct charging of administrative or clerical salaries must be supported with a budget justification which adequately describes the major project and the administrative and/or clerical work to be performed.

- **Fringe Benefits and Indirect Costs** (i.e., 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 should include the following for each trip: the purpose of the trip, origin and destination if known, approximate duration, the number of travelers, and the estimated cost per trip must be justified based on the organizations historical average cost per trip or other reasonable basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principals.
- **Subawards** – Provide a description of the work to be performed by the subrecipients. For each subaward, a detailed cost proposal is required to be submitted by the subrecipient(s). The subawardee's or subrecipient's cost proposal can be provided in a sealed envelope with the recipient's cost proposal or via e-mail directly to both the Program Officer and the business point of contact at the same time the prime proposal is submitted. The e-mail should

identify the proposal title, the prime Offeror and that the attached proposal is a subcontract. A proposal and supporting documentation must be received and reviewed before the Government can complete its cost analysis of the proposal and enter negotiations. Fee/profit is not allowable on any subawards made through assistance agreements. Fee is allowable on subcontract awards.

- 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, proposed vendors (if known), and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).
- Recipient Acquired Equipment or Facilities – Equipment and/or facilities are normally furnished by the Recipient. If acquisition of equipment and/or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all equipment and/or facilities costs and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). Allowable items normally would be 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, office equipment and furnishings, etc.) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.
- Other Direct Costs – Provide an itemized list of all other proposed other direct costs such as Graduate Assistant tuition, laboratory fees, report and publication costs, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).
NOTE: If the grant proposal is for a conference, workshop, or symposium, the proposal should include the following statement: “The funds provided by ONR will not be used for food or beverages.”
- Fee/Profit – Fee/profit is unallowable under assistance agreements at either the prime or subaward level but may be permitted on any subcontracts issued by the prime awardee.

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

3. Significant Dates and Times -

Event	Date	Time
White Paper Due Date	2/1/2011	3:00 PM Eastern Standard Time
Notification of White Paper Evaluation*	2/18/2011	
Oral Presentations*	3/16/2011	
Notification of Oral Presentation Evaluation*	3/25/2011	
Full Proposal Due Date	5/3/2011	3:00 PM Eastern Daylight Time
Notification of Selection: Full Proposals*	6/1/2011	
Awards*	1/3/2012	

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

NOTE: Due to changes in security procedures since September 11, 2001, the time required for hard-copy written materials to be received at the Office of Naval Research has increased. Materials submitted through the U.S. Postal Service, for example, may take seven days or more to be received, even when sent by Express Mail. Thus any hard-copy proposal should be submitted long enough before the deadline established in the solicitation so that it will not be received late and thus be ineligible for award consideration.

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

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

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

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

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

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

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

5. Submission of Grant Proposals through Grants.gov

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

Detailed instructions entitled “Grants.gov Electronic Application and Submission Information” on how to submit a grant proposal through Grants.gov may be found at the ONR website listed under the ‘Acquisition Department – Contracts & Grants Submitting a Proposal’ link at: <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-gov.aspx>.

As stated in Section IV.2, White Papers should not be submitted through the Grants.gov Apply process, but rather should be sent directly to ONR. White Papers should be e-mailed directly to the Technical Point of Contact. White Paper format requirements are found in Section IV, item 2a above.

By completing Block 17, the Grant Applicant is providing the certification on lobbying required by 32 CFR Part 28. Refer to Section VI, “Award Administration Information” entitled “Certifications” for further information.

For electronic submission of grant full proposals, several one-time actions must be completed in order to submit an application through Grants.gov. These include obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the Central Contract Registration (CCR), registering with the credential provider, and registering with Grants.gov. See <http://www.grants.gov>, specifically <http://www.grants.gov/GetStarted>.

Use the Grants.gov organization Registration Checklist at http://www.grants.gov/applicants/register_your_organization.jsp which will provide guidance through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called “MPIN” are important steps in the CCR registration process. Applicants who are not registered with CCR and Grant.gov should allow at least 21 days to complete these requirements. The process should be started as soon as possible. Any questions relating to the

registration process, system requirement, how an application form works, or the submittal process **must** be directed to Grants.gov at 1-800-518-4726 or support@grants.gov.

Special Notices Relative to Grant Applications to be Submitted Through Grants.gov

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

Applicants who have registered with Grants.gov are urged to submit their proposals electronically *at least* three days before the date and time that proposals are due so that it will not be received late and be ineligible for award consideration.

Proposal Receipt Notices:

After a full proposal is submitted through Grants.gov, the Authorized Organization Representative (AOR) will receive a series of three e-mails. You will know that your proposal has reached ONR when the AOR receives e-mail Number 3. You will need the Submission Receipt Number (e-mail Number 1) to track a submission. The three e-mails are:

Number 1 – The applicant will receive a confirmation page upon completing the submission to Grants.gov.

Number 2 – The applicant will receive an e-mail indicating that the proposal has been validated by Grants.gov within two days of submission (this means that all of the required fields have been completed).

Number 3 – The third notice is an acknowledgement of receipt in e-mail form from ONR within ten days from the proposal due date, if applicable. The e-mail is sent to the authorized representative for the institution. The e-mail for proposals notes that the proposal has been received and provides the assigned tracking number.

6. Address for the Submission of Full Proposals for Contracts

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

Primary Contact	Secondary Contact
Office of Naval Research Attn: Dr. Peter Craig	Office of Naval Research Attn: Mr. David Tremper

ONR Department Code 312 875 North Randolph Street Suite 1112 Arlington, VA 22203-1995	ONR Department Code 312 875 North Randolph Street Suite 1125 Arlington, VA 22203-1995
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V. EVALUATION INFORMATION

1. Evaluation Criteria -

Award decisions will be based on a competitive selection of proposals resulting from a scientific and cost review. Evaluations will be conducted using the following evaluation criteria. The four technical factors are of equal value. The sub-elements under each factor will be considered in evaluating the factor but will not be separately scored:

1. Overall scientific and technical merits of the proposal
 - a. Degree of innovation
 - b. Soundness of technical concept
 - c. Awareness of the state of the art and understanding of the scope of the problem and the technical effort needed to address it
 - d. Successful achievement of goals will significantly reduce technical risk to a subsequent development effort;
2. Naval relevance, transition potential and anticipated contributions of the proposed technology to Electronic Warfare operations
 - a. Technology addresses a Naval critical need
 - b. Naval program or initiative depends on the technology
 - c. Potential transition effort identified
 - d. Part of a joint service technology effort;
3. Program structure and execution plan
 - a. Level of technical risk appropriate for applied research
 - b. Clear statements of objectives, applicability to BAA, anticipated end state, and deliverables
 - c. Concise schedule with clearly identified milestones to objectively measure progress
 - d. Timing is right (e.g. addresses current or future capability need, leverages recent S&T breakthrough or emerging COTS technology, constructive relationship with other on-going work, etc.);
4. The qualifications, capabilities and experience of the proposed Principal Investigator (PI), team leader and key personnel who are critical in achieving the proposal objectives
 - a. Offeror's experience in relevant efforts with similar resources
 - b. Ability to manage the proposed effort
 - c. Offeror's overall capabilities, facilities, techniques or unique combinations of these which are integral factors for achieving the proposal objectives;
5. The realism of the proposed costs and availability of funds.

Overall, the technical factors 1 - 4 above are significantly more important than the cost factor, with the technical factors all being of equal value. The degree of importance of cost will increase

with the degree of equality of the proposals in relation to the other factors on which selection is to be based, or when the cost is so significantly high as to diminish the value of the proposal's technical superiority to the Government.

The Office of Naval Research is strongly committed to providing meaningful subcontracting opportunities for small businesses, small disadvantaged businesses, woman-owned small businesses, HUBZone small businesses, veteran-owned small business, service disabled veteran-owned small businesses, historically black colleges and universities, and minority institutions through its awards. For proposed awards to be made as contracts (that exceed \$650,000) to other than small businesses, the Offeror is required to submit a Small Business Subcontracting Plan in accordance with FAR 52.219-9. For proposed awards made as contracts to small businesses at any value or to other than Small Businesses that are less than \$650,000, the Offeror shall provide a statement which demonstrates how they intend to provide meaningful subcontracting opportunities to support this policy.

2. Evaluation Panel –

Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure in accordance with FAR 3.104-4 and 15.207. The cognizant Program Officer and other Government scientific experts will perform the evaluation of technical proposals. Restrictive notices notwithstanding, one or more support contractors may be utilized as subject-matter-expert technical consultants. However, proposal selection and award decisions are solely the responsibility of Government personnel. Each support contractor's employee having access to technical and cost proposals submitted in response to this BAA will be required to sign a non-disclosure statement prior to receipt of any proposal submissions.

VI. AWARD ADMINISTRATION INFORMATION

1. Administrative Requirements -

- The North American Industry Classification System (NAICS) code - The NAICS code for this announcement is "541712" with a small business size standard of "500 employees".
- Central Contractor Registration (CCR) - All Offerors submitting proposals or applications must:
 - (a) be registered in the Central Contractor Registration (CCR) (<http://www.bpn.gov/ccr/default.aspx>) prior to submission;
 - (b) maintain an active CCR registration with current information at all times during which it has an active Federal award or an application under consideration by any agency; and
 - (c) provide its DUNS number in each application or proposal it submits to the agency.

Subcontracting Plans: shall be submitted by all but small business concerns for proposals that exceed \$650,000 in accordance with FAR Part 19 and clause 52.291-9.

NOTE: Central Contractor Registry (CCR), Subcontracting Plan requirements and Certification requirements are all set forth in the ONR Technical and Cost Proposal Template.

Grants, Cooperative Agreements and Normal Other Transaction Agreements (OTAs)
Certification Requirements:

Grant and Cooperative Agreement awards greater than \$100,000, as well as OTAs not under Section 845, require a certification of compliance with a national policy mandate concerning lobbying. Grant, Cooperative Agreement and OTA applicants shall provide this certification by electronic submission of SF424 (R&R) as a part of the electronic proposal submitted via [Grants.gov](https://www.grants.gov) (complete Block 17). The following certification applies to each applicant seeking federal assistance funds exceeding \$100,000:

CERTIFICATION REGARDING LOBBYING ACTIVITIES

(1) No Federal appropriated funds have been paid or will be paid by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

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

Grants not through Grants.gov

Proposers seeking grants who have received Grants.gov waiver approval for awards greater than \$100,000 shall complete and submit electronic representations and certifications at the Contracts

and Grants Section of the ONR Home Page at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/~/.media/BDBA1ACF9F534C10BE2A9C9AD9AA7F12.ashx>.

VII. OTHER INFORMATION

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 submitting proposals for contracts, cooperative agreements and Other Transaction Agreements should indicate in the Technical and Cost Proposal Template, Section II, Blocks 8 and 9, which of these facilities are critical for the project's success. Offerors submitting proposals for grants should address the need for government-furnished facilities in their technical proposal.

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 by completing Section II, Block 11, DD 254 – Security Classification Specification.

3. Use of Animals and Human Subjects in Research

Reserved

4. Recombinant DNA

Reserved

5. Department of Defense High Performance Computing Program

Reserved

6. Organizational Conflicts of Interest

All Offerors and proposed subcontractors must affirm whether they are providing scientific, engineering, and technical assistance (SETA) or similar support to any ONR technical office(s) through an active contract or subcontract. All affirmations must state which office(s) the offeror supports and identify the prime contract numbers. Affirmations shall be furnished at the time of proposal submission. All facts relevant to the existence or potential existence of organizational conflicts of interest (FAR 9.5) must be disclosed. The disclosure shall include a description of

the action the offeror has taken or proposes to take to avoid, neutralize, or mitigate such conflict. In accordance with FAR 9.503 and without prior approval, a contractor cannot simultaneously be a SETA and a research and development performer. Proposals that fail to fully disclose potential conflicts of interests or do not have acceptable plans to mitigate identified conflicts will be rejected without technical evaluation and withdrawn from further consideration for award. If a prospective offeror believes that any conflict of interest exists or may exist (whether organizational or otherwise), the offeror should promptly raise the issue with ONR by sending his/her contact information and a summary of the potential conflict by e-mail to the Business Point of Contact in Section I, item 7 above, before time and effort are expended in preparing a proposal and mitigation plan. If, in the sole opinion of the Contracting Officer after full consideration of the circumstances, any conflict situation cannot be effectively avoided or mitigated, the proposal may be rejected without technical evaluation and withdrawn from further consideration for award under this BAA.

7. Project Meetings and Reviews

Individual program reviews between the ONR sponsor and the performer may be held as necessary. Program status reviews may also be held to provide a forum for reviews of the latest results from experiments and any other incremental progress towards the major demonstrations. These meetings will be held at various sites throughout the country. For costing purposes, offerors should assume that 40% of these meetings will be at or near ONR, Arlington, VA and 60% at other contractor or government facilities. Interim meetings are likely, but these will be accomplished via video telephone conferences, telephone conferences, or via web-based collaboration tools.

8. Executive Compensation and First-Tier Subcontract Reporting

Section 2(d) of the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. No. 109-282), as amended by section 6202 of the Government Funding Transparency Act of 2008 (Pub. L. 110-252), requires the Contractor to report information on subcontract awards. The law requires all reported information be made public, therefore, the Contractor is responsible for notifying its subcontractors that the required information will be made public.

Unless otherwise directed by the Contracting Officer, by the end of the month following the month of award of a first-tier subcontract with a value of \$25,000 or more, (and any modifications to these subcontracts that change previously reported data), the Contractor shall report the following information at <http://www.fsrs.gov> for each first-tier subcontract:

- (a) Unique identifier (DUNS Number) for the subcontractor receiving the award and for the subcontractor's parent company, if the subcontractor has one.
- (b) Name of the subcontractor.
- (c) Amount of the subcontract award.
- (d) Date of the subcontract award.
- (e) A description of the products or services (including construction) being provided under

the subcontract, including the overall purpose and expected outcomes or results of the subcontract.

- (f) Subcontract number (the subcontract number assigned by the Contractor).
- (g) Subcontractor's physical address including street address, city, state, and country. Also include the nine-digit zip code and congressional district.
- (h) Subcontractor's primary performance location including street address, city, state, and country. Also include the nine-digit zip code and congressional district.
- (i) The prime contract number, and order number if applicable.
- (j) Awarding agency name and code.
- (k) Funding agency name and code.
- (l) Government contracting office code.
- (m) Treasury account symbol (TAS) as reported in FPDS.
- (n) The applicable North American Industry Classification System (NAICS) code.

By the end of the month following the month of a contract award, and annually thereafter, the Contractor shall report the names and total compensation of each of the five most highly compensated executives for the Contractor's preceding completed fiscal year at <http://www.ccr.gov>, if –

- (a) In the Contractor's preceding fiscal year, the Contractor received –
 - (i) 80 percent or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and
 - (ii) \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and
- (b) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>).

Unless otherwise directed by the Contracting Officer, by the end of the month following the month of a first-tier subcontract with a value of \$25,000 or more, and annually thereafter, the Contractor shall report the names and total compensation of each of the five most highly compensated

executives for each first-tier subcontractor for the subcontractor's preceding completed fiscal year at <http://www.fsrs.gov>, if –

- (a) In the subcontractor's preceding fiscal year, the subcontractor received –
 - (i) 80 percent or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and
 - (ii) \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and
- (b) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/excomp.htm>).

If the Contractor in the previous tax year had gross income, from all sources, under \$300,000, the Contractor is exempt from the requirement to report subcontractor awards. Likewise, if a subcontractor in the previous tax year had gross income from all sources under \$300,000, the Contractor does not need to report awards to that subcontractor.