



BROAD AGENCY ANNOUNCEMENT (BAA)

ELECTRONICS TECHNOLOGY

INTRODUCTION

This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and 35.016. A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued.

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

I. GENERAL INFORMATION

- 1. Agency Name** - Office of Naval Research
One Liberty Center
875 N. Randolph Street
Arlington, VA 22203-1995
- 2. Research Opportunity Title** - Electronics Technology
- 3. Program Name** - Electronics Discovery and Invention (D&I)
- 4. Research Opportunity Number** - 11-009

5. Response Date -

White Papers: 07-APR-2011

Full Proposals: 30-JUN-2011

6. Research Opportunity Description -

The Office of Naval Research (ONR) is interested in receiving proposals for efforts that will advance and demonstrate science and technology for next generation electronics and devices under the following focus area:

Low Noise, Interference-Tolerant W-Band Receiver Component and Chain Development

Background

Advances in device technology, combined with growing spectral congestion, are encouraging exploitation of increasingly higher frequency bands for active sensors/imagers and high data rate terrestrial and satellite communications links. Current solid state device technologies such as Gallium Nitride (GaN)-based HEMTs have achieved significant advances in transmit output power at W-Band (75-110 GHz), which serves as an enabling capability for high data rate communication, active sensors, and for anticipated Navy Electronic Warfare (EW) requirements. Recent advances in solid state device frequency performance will similarly enable significant performance gains in low-noise amplifiers (LNA's) and W-band receivers.

Focus Area

The goal of this BAA is to stimulate innovative proposals that offer compelling advances in receiver technology for W-band. Offerors may propose to address specific receiver chain components but in each case must demonstrate how the effort will advance the current state of the art, and discuss how the improvement will impact overall receiver performance. Complete receiver subsystems are not sought; however proposals that choose to address an overall system concept should demonstrate innovation in each individual block of the receiver chain. Emerging requirements for W-band receiver technology represent a diversity of required performance capabilities. Rather than tailoring this solicitation towards a specific requirement, the goal is to advance performance significantly over the current state of the art and encourage component innovation. The frequency band of interest is 75-110 GHz with a minimum instantaneous bandwidth of 4 GHz. Preferred solutions will be operable over the entire frequency band of interest. Highly survivable RF electronics approaches that minimize overall noise figure and maximize dynamic range will be shown special consideration. The offeror should discuss in depth and quantify specific outcomes of its proposed effort that will advance a capability such as interference immune receive or high data rate reception for particular modulation and signaling schemes. Where applicable, performance improvements can be demonstrated by simulations based on government referenced architectures.

The scope of the focus area includes components required for transmit and receive functionality. Though W-band transmit amplifiers are not part of the focus area, they are included below as an area of interest.

Additional areas of interest: ONR is also receptive to game-changing concepts in electronics technology areas that are outside the designated focus area but which can significantly impact the performance of Navy and Marine Corps electronic systems such as (but not limited to) the following:

Solid State Power Amplifiers: Provide for the development of solid state power amplifier technology for Navy all-weather radar, surveillance, reconnaissance, electronic attack, communications, and asymmetric warfare systems. Topics of interest include but are not restricted to the development of solid state devices and circuits using Wide Bandgap Group III-V material technologies to realize both high efficiency and high linearity broad band power amplifiers.

Supporting Technologies: Provide for the radiation, reception, signal control and processing of microwave (MW) and millimeter wave (MMW) power for Navy all-weather radar, surveillance, reconnaissance, electronic attack (EA), communications, and asymmetric warfare systems. Innovative solutions are sought in the areas of band pass and extreme spur-free dynamic range analog-to-digital converters (ADCs); ultra high-efficiency, high power digital-to-analog converters (Power-DACs) based on distributed, noise shaping, and other techniques; extremely high speed logic and mixed signal devices; compact broadband isolators and circulators; frequency synthesizers; frequency channelizers; electrically small antennas; and agile and/or high power filters.

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 shall be directed to the cognizant Technical Point of Contact, as specified below:

Primary Point of Contact:

Dr. Paul A. Maki

ONR Code: 312

Electronics, Sensors, and Networks Research Division

Office of Naval Research

875 North Randolph Street - Suite 907

Arlington, VA 22203-1995

Email: paul.maki@navy.mil

Secondary Point of Contact:

Dr. Deborah Van Vechten

ONR Code: 312

Electronics, Sensors, and Networks Research Division

Office of Naval Research

875 North Randolph Street - Suite 907

Arlington, VA 22203-1995

Email: deborah.vanvechten@navy.mil

Questions of a business nature shall be directed to the cognizant Contract Specialist, as specified below:

Primary Point of Contact:

Casey W. Ross

Contract Specialist

Office of Naval Research, BD 0251

875 N. Randolph Street – Suite W1272C

Arlington, VA 22203
(703) 696-7826
e-mail: casey.w.ross@navy.mil

Secondary Point of Contact:

Vera M. Carroll
Acquisition Branch Head
Office of Naval Research BD0251
875 North Randolph Street – Suite 1279
Arlington, VA 22203-1995
E-mail: vera.carroll@navy.mil

Questions of a security nature should be submitted to:

Diana Pacheco
Information Security Specialist
Office of Naval Research
Security Department, Code 43
One Liberty Center
875 North Randolph St.
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

Awards will take the form of contracts.

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 -

N/A

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

N/A

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

Anticipated Number of Awards: One (1) to three (3) awards as described in the Research

Opportunity Description: An Offeror may submit more than one proposal if it wishes because of the several topics of interest listed in the Research Opportunity Description.

Anticipated Range of Individual Award Amounts: Awards will be made in the range of \$250K - \$500K per year, per contract. There may be more than one (1) performer for a particular topic of interest.

Anticipated Period of Performance: The performance period is up to three (3) years. It is the offeror's responsibility to determine the performance period for their proposed research effort.

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.

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

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)

IV. APPLICATION AND SUBMISSION INFORMATION

1. Application and Submission Process -

White Papers: The due date for white papers is no later than 4:00 PM (EDT) on Thursday, 7 April 2011. White papers received after the published due date will not be considered for funding in FY 2012. Each white paper should state that it is submitted in response to this BAA. *The only acceptable methods for submission of white papers is via the United States Postal Service (USPS) with delivery confirmation, via a commercial carrier (FedEx and UPS) to the attention of Dr. Paul A. Maki or Ms. Sheila Richardson at the address provided later in this BAA. NOTE: White Papers sent by fax or email will not be considered.* Navy evaluations of the white papers will be issued via email notification on or about 29 April 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 was not identified as being of "particular value" to the Navy is ineligible to submit a full proposal under the BAA.

Oral Presentation: The purpose of the oral presentation is to better acquaint the Government with the offeror's proposal. Offerors whose white papers are selected for oral presentations will be invited via email to the unclassified oral presentation event which is planned for Thursday, 19 May 2011. A detailed format for the presentation will be provided in the email invitation. Each presentation will be no longer than twenty-five (25) minutes in duration. An additional five (5) minutes will be allowed for questions (if any) from the panel of government reviewers

Full Proposals: The due date for full proposals is no later than 4:00 PM (EDT) on Thursday, 30 June 2011. Full proposals received after the published due date will not be considered for funding. *The only acceptable methods for submission of full proposals for contracts is via the United States Postal Service (USPS) with delivery confirmation, via a commercial carrier (FedEx and UPS) to the attention of Dr. Paul A. Maki or Ms. Sheila Richardson at the address provided later in this BAA.*

NOTE: Full Proposals sent by email or fax will not be considered. Delivery of materials by USPS, even when sent as Express Mail, may take a week or more due to current security procedures in place to ensure the safety of U.S. mail to DoD activities.

Notice of Navy selections based on the full proposal submissions will be issued via email on or about Thursday, 14 July 2011.

2. 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. Contracts or other instruments resulting from a classified proposal will be unclassified.

Classified Proposal Instructions:

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

OUTSIDE ENVELOPE (no classification marking):

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

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

“Program:
Office of Naval Research
Attn: Dr. Paul A. Maki
ONR Code 312

875 N. Randolph Street
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
- Maximum Number of Pages Permitted: Eight (8) pages (excluding cover page, resumes, bibliographies, and table of contents)
- Format - one (1) original, plus 5 hard copies and one (1) electronic copy in Adobe PDF format on CD-ROM.

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 addresses, and shall be signed by an authorized officer.
- **Technical Concept** – A description of the technology innovation and technical risk areas organized as follows:
 1. Technical objective
 2. Technical approach
 3. Deliverables
 4. Recent technical breakthroughs that will reduce risk
 5. Innovation, relevance, and transition potential to Navy and the Marine Corps systems
 6. Expected operational performance improvements
 7. Proprietary aspects of the project and any assertions of data rights applicable to the results of this effort
 8. Cost and schedule section must include a summary of costs segregated by each task.

- 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.

b. FULL PROPOSALS

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/cost-proposal.aspx>. 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 email directly to both the Program Officer and the Business Point of Contact at the same time the prime proposal is submitted. The email 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 one (1) original, two (2) hard copies, and one (1) electronic copy on a CD-ROM with the Technical and Cost Proposal Template submitted in a pdf format and the file for the Cost Proposal Spreadsheet submitted as a Microsoft Excel 2007 compatible format, and any attachments submitted in either in Microsoft Office or pdf compatible format. In regards to the pdf format, a password should not be required for the opening of the pdf document. The ability to print and copy text, images, and other content must be allowed, only the editing should be restricted. 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.

3. Significant Dates and Times -

Anticipated Schedule of Events		
Event	Date (MM-DD-YEAR)	Time (Local Eastern Time)
White Papers Due Date	07-APR-2011	4:00 PM Eastern Daylight Time
Notification of Navy Evaluations of White Papers*	29-APR-2011	
Oral Presentation of White Papers	19-MAY-2011	
Notification of Navy Evaluations of Oral Presentations*	02-JUN-2011	
Full Proposals Due Date	30-JUN-2011	4:00 PM Eastern Daylight Time
Notification of Selection for Award*	14-JUL-2011	
Contract Awards*	06-JAN-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 extend to the same time of day specified in the announcement on the first work day on which normal Government processes resume.

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

5. Address for the Submission of White Papers and Full Proposals for Contracts.

Hard copies of White Papers and Full Proposals for Contracts should be sent to either Dr. Paul A. Maki or Ms. Sheila Richardson at the Office of Naval Research at the following address:

Office of Naval Research Attn: Dr. Paul A. Maki ONR Department Code: 312 Room W1105D 875 North Randolph Street Arlington, VA 22203-1995	Office of Naval Research Attn: Ms. Sheila Richardson ONR Department Code: 312 Room 907 875 North Randolph Street Arlington, VA 22203-1995
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NOTE: PROPOSALS SENT BY FAX OR EMAIL 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 and cost review. Evaluations will be conducted using the following evaluation criteria. Criteria 1 through 4 are significantly more important than Criterion 5, and Criteria 1 through 4 are of equal value.

- 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 (PI), team leader and key personnel who are critical in achieving the proposal objectives; and
- 5) The realism of the proposed costs and availability of funds.

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 it intends to provide meaningful subcontracting opportunities to support this policy.

The Government will evaluate options for award purposes by adding the total cost for all options to the total cost for the basic requirement. Evaluation of options will not obligate the Government to exercise the options during contract performance.

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 –

- 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: All Offerors submitting proposals or applications must:
 - (a) be registered in the Central Contractor Registration (CCR) 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.

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

If animals are to be utilized in the research effort proposed, the Offeror must complete a 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) prior to award. For assistance with submission of animal research related documents, contact the ONR Animal Use Administrator at (703) 696-4046.

Similarly, for any proposal for research involving human subjects, the Offeror must submit or indicate an intention to submit prior to award: documentation of approval from an Institutional Review Board (IRB); IRB-approved research protocol; IRB-approved informed consent form; proof of completed human research training (e.g., training certificate or institutional verification of training); an application for a DoD-Navy Addendum to the Offeror's DHHS-issued Federal wide Assurance (FWA) or the Offeror's DoD-Navy Addendum. In the event that an exemption criterion under 32 CFR.219.101 (b) is claimed, provide documentation of the determination by the Institutional Review Board (IRB) Chair, IRB vice Chair, designated IRB administrator or official of the human research protection program including the category of exemption and short rationale statement. This documentation must be submitted to the ONR Human Research Protection Official (HRPO), by way of the ONR Program Officer. Information about assurance applications and forms can be obtained by contacting ONR_343_contact@navy.mil. If the research is determined by the IRB to be greater than minimal risk, the Offeror also must provide the name and contact information for the independent medical monitor. For assistance with submission of human subject research related documentation, contact the ONR Human Research Protection Official at (703) 696-4046.

For contracts and orders, the award and execution of the contract, order, or modification to an existing contract or order serves as notification from the Contracting Officer to the Contractor that the HRPO has approved the assurance as appropriate for the research under the Statement of Work and also that the HRPO has reviewed the protocol and accepted the IRB approval or exemption determination for compliance with the DoD Component policies. See, DFARS 252.235-7004.

4. Recombinant DNA

RESERVED

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. 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.fsr.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.fsr.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/execomp.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.