

Computational Methods for Decision Making

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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:

A. Agency Name - Office of Naval Research

B. Research Opportunity Title - Computational Methods for Decision Making

C. Program Name - Computational Methods for Decision Making

D. Research Opportunity Number - 14-010

E. Response Date -

White Papers: 8/27/2014

Full Proposals: 10/9/2014

F. Research Opportunity Description -

The purpose of this applied research (6.2) topic is to identify, understand, and resolve key issues, develop and mature algorithms and methods; determine and demonstrate performance of algorithms, methods, techniques, and strategies for automated computational methods and information systems that support decision making. The algorithms, methods, techniques, and strategies must support autonomous information processing systems that can successfully and securely execute a variety of missions in complex environments while exploiting multiple sources of sensor and open domain data. The program will pursue a wide variety of approaches that enable automated systems to, within the context of a mission, automatically analyze multiple sources of data supporting interpretation of the data; combine data and generate interpretations from multiple data sources to provide understanding of the battle space, provide management of sensor and other resources to maintain and improve the battle space picture, and to enable and build high performance software systems that are defect free and trustworthy to implement these algorithms, methods, techniques, and strategies.

Background:

The development of automated decision systems provides a number of significant technical challenges

including processing, interpreting and developing decisions using diverse data sources, multiple modalities, unstructured data, and large volumes of data with varying latencies while compressing the time-line for arriving at a decision. Additional challenges occur when we consider that the computing hardware and software environment must protect the data, function correctly, while simultaneously providing security and trustworthiness. These issues will likely be exacerbated in practical implementations that are distributed and employ networks. The quality of the decisions developed by the system is dependent upon the quality of the underlying data and it's relation to the mission. The quality of the decisions is also impacted by the security of the data and the computing hardware that also impact the trustworthiness of the decision.

The processing and interpretation of data requires understanding of the context of the mission. The context of a mission enables a set of hypotheses, expressed as models, to provide a viewpoint that enables a system to determine data that is relevant and important to producing a picture of the battle space (situational awareness). Missions also provide a context in which the inherent uncertainty and imprecision of the data can be identified and understood with respect to subsequent processing steps involving data and inferences over the data. The presence of multiple data sources introduces additional technical issues associated with aligning the data prior to fusion, schemes for fusion, and assessing, understanding, and controlling the effects arising from incompleteness, imprecision, and contradiction in the data upon inferences and decisions.

A key issue for Naval Forces in developing situational awareness is to understand what is known, how well it is known, what is unknown and to provide strategies to determine new data that should be collected to maintain or improve situational awareness. In turn this requires capabilities to perform optimization of scarce resources in order to support a mission. If the process is to be automated and timely relative to a mission then algorithms must be implemented that can sense, interpret, reason and successfully act in an open world with uncertain, incomplete, imprecise, and contradictory data. These information processing systems should also be capable of autonomously validating their hypotheses and derived models, as well as autonomously developing new hypotheses and models as warranted. Achieving operational capabilities such as Persistent Pervasive Tactical Surveillance or Adaptive Tasking, Collection, Processing, Exploitation, and Dissemination could be straightforward if information processing systems were capable of understanding the information and quality of information that they need to produce and maintain a model of the world given its hypotheses and mission goals.

This applied research topic aims to develop knowledge and understanding of key technologies that will enable rapid, accurate decision making by autonomous processes in complex, time varying highly dynamic environments that are probed with heterogeneous sensors and supported by open source data. The applied research results should lead to understanding, computational theory, algorithms, techniques, strategies, and practical implementations providing security and trustworthiness that enable information processing systems and decision aids to adapt in an open, complex, and uncertain environment over an arbitrary set of missions.

The Office of Naval Research Computational Methods for Decision Making Applied Research Program is partitioned into four thrusts, Resource Optimization, Automated Image Understanding, Information Integration, and Cyber Security thrusts. Together these thrusts seek to develop new technological capabilities that support Naval Operations across a wide variety of missions. Each of these thrust areas is described below.

1) Resource Optimization

The objectives of the Resource Optimization thrust are the development and application of mathematically

rigorous techniques (e.g., mathematical optimization) that provide optimal or provably near-optimal solutions to resource-allocation problems. These techniques will serve as the basis of automated decision aids in support of naval planning and execution. Within the Resource Optimization there are currently two themes: Maritime Mission Planning; and Sensor Management and Allocation. Maritime Mission Planning seeks capabilities that improve power projection and achieve far better utilization of expensive Navy maritime assets. The Sensor Management and Allocation seeks to achieve an ability to optimally task and re-task large sensors networks based on current picture and sensor availability to understand the battle space and maintain dynamic persistent surveillance. For each theme, the goals are mathematical-optimization model and algorithm development that serve as the basis for decision aids.

2) Automated Image Understanding

The objective of the Automated Image Understanding thrust is to develop efficient computational methods based on principled approaches that advance the understanding of issues governing performance that are needed to support system engineering. Image understanding is a broad field that requires advances along many directions. Under this thrust, we plan to address the following issues: (a) developing principled methods for fusion of multiple imaging modalities based on the physics of image formation, leading to image enhancement and improved recognition capabilities; (b) methods for integrating images from multiple platforms for improved object recognition, scene modeling, and meaningful change detection; (c) developing methods for indexing images based on semantic content for storage and retrieval; (d) detection and tracking of objects on water or in urban areas and inferring the threat level they may pose; including real-time detection of partially occluded objects in urban clutter; (e) developing robust recognition methods that integrate low-level image processing with high-level knowledge, or generative and discriminative models. This will also require investigating best representations, or hybrids of representations, for description and recognition of objects and activities. Furthermore, we want to extend recent advances in reasoning with image/video that make recognition of objects and activities more robust. Domain knowledge plays a critically important role in reasoning; hence an additional area of applied research would be methods for building visual knowledge bases. This also involves investigation of suitable representations for high-level semantic knowledge, which may come in various forms including contextual information, background models, shape and appearance and behavior information, relationships among entities.

3) Information Integration

The objectives of the Information Integration thrust is to develop efficient, theoretically sound, and consistent algorithms for organization, fusion of high-dimensional data sources, interpretation of the fused product, determination of the value of data and information, and to investigate their application and potential to support naval applications. The Information Integration thrust is currently developing, maturing and assessing algorithms that organize high-dimensional datasets of interest to Naval Operations. Current efforts include applied research focused on image, video, structured database, social or complex networks, hyper-spectral, multispectral, acoustic, sensor array, and other structured datasets as well as assessing the potential value of missing information. Issues that are to be addressed under this thrust include (a) methods that lead to structuring unstructured datasets in an organized and meaningful way are desirable and should facilitate more efficient and accurate processing tasks including data matching or alignment, data merging, data search, outlier detection, learning and classification, query response, reasoning and decision making; (b) automated algorithms that fuse high-dimensional datasets that are comprised of uncertain, incomplete, imprecise, and contradictory data for the purpose of recognizing and classifying features, objects, entities, activities, patterns of interest, and relationships; (c) assess and understand the quality of the resulting fused battle space picture and its impact on decision making.

4) Cyber Security

The objective of the Cyber Security thrust is to develop a software development environment that enhances the robustness and security properties of the resulting codes, while minimizing penalties to code performance and overhead. Currently flaws in software are a major contributor to the vulnerability of cyber systems. Most if not all of these vulnerabilities originate from improper software implementations. Identified flaws that lead to improper implementations include, and are not limited to, buffer overflow, stack and heap overflow, dangling pointers, input data format violation, race conditions, etc.. Methods for software implementation still lead to these deficiencies. Significant investment has been made to address this issue through techniques that seek to provide formal or other forms of software verification. However, complementary efforts to verification, that lead to understanding of techniques that enhance the development and generation of robust secure code is under-explored. Alternatively automated methods that capture and utilize work flow, thought/design-decision, and documentation during software coding that also are aware of software implementation issues could address this need. Only rarely are all of the details for the implementation of software is specified in advance. Currently programmers make instantaneous detailed design decisions during software coding. These instantaneous decisions (and assumptions) have far reaching effects, and they are often forgotten and lost. A tool that captures and documents these design decisions (and hence assumptions) automatically as coding is in progress can significantly enhance maintainability, robustness, and security of codes. The availability these tools also provide an opportunity to provide feedback to programmers to improve the correctness of their product and enhance productivity and efficiency.

Objective:

The Office of Naval Research (ONR) is interested in receiving proposals that address specific interests in each theme. These interests are described below.

1) Resource Optimization:

To a large extent, current mathematical-optimization techniques used for Navy planning-and-execution problems operate in a centralized manner, meaning that the necessary information is imported to a centralized computing node at which a solution (or a sequence of solutions, in a dynamic environment) is determined. This approach is appropriate in many scenarios, and it has the advantage of producing high-quality solutions. In others scenarios, however, a de-centralized approach may be more appropriate. Consider, for example, the task of mission planning and execution for UAVs or UUVs, where communication bandwidth may be severely constrained and communication latencies may be detrimental. In such a case, it may be desirable to have a decision aide that is capable operating in a distributed or de-centralized manner. Specific research areas of interest include:

- a) Model and algorithmic development for de-centralized optimization for Navy planning and execution problems;
- b) Hybrid techniques - methods that can operate either in centralized or de-centralized mode depending on the available communications connectivity and mission requirements;
- c) Rigorous empirical and/or theoretical analysis of the "price of anarchy"; that is, a measure of how solution quality degrades in a de-centralized system versus a centralized system.

2) Automated Image Understanding

The development of principled methods and algorithms for image/video understanding as well as investigating their performance limits are the focus of this thrust. The algorithms and methods should perform in complex, realistic scenes that contain varieties of objects, activities, and events. Examples of complex, cluttered environments are urban, port/harbor, and riverine areas. Technical approaches should be general in nature, robust with respect to appearance variations, and computationally efficient. Current research areas of interest are:

- a) Representations for objects and actions that are optimized for recognition, inference, and scene understanding. These representations must be insensitive to nuisance factors such as scale, pose, and appearance, and in the case of actions insensitive to durations. Features and attributes that comprise these representations should be readily detectable, persistent, and efficient, and support techniques for fast matching.
- b) Integration of low-level image data and high-level knowledge for simultaneous segmentation, grouping, and recognition; developing efficient techniques for building visual knowledge bases that are portable and extensible, and identification of attributes and relations that should be included in knowledge bases; and methods for visual reasoning.
- c) Development of an adaptive and collaborative network of controllable imaging sensors (including EO/IR video and other modalities) for tracking and recognizing objects and activities, with potentially non-overlapping coverage that is able to resolve ambiguities due to gaps in the visual information, occlusions, and loss of tracks. Methods for the network to autonomously determine if additional information is needed for accurate recognition. In conjunction with the Resource Optimization thrust the network should also determine strategies for acquiring the needed information, and optimal allocation of imaging assets to track and recognize the most interesting objects/activities.

3) Information Integration:

The information integration effort is focusing effort in two directions. The first is the development, maturation, evaluation and understanding of methods and algorithms that provide a capability for automatic mapping of data from one modality to another modality. An example of the type of technologies that we seek to develop are ensonification where data from another domain is converted to acoustic data. Of particular interest for this Special Notice are methods for

- a) Automatic conversion of images/video to text, where the text provides a complete summary of the objects, relationships, activities, and events given a context.
- b) Automatic storyboarding in which a text document is converted to an appropriate sequence of images that convey the information content of the text.
- c) The development of metrics which address the precision and accuracy of the translation process, as well as metrics that describe the computational costs and complexity of the proposed algorithm.

The second emphasis area for the Information Integration thrust focuses upon the development, maturation, evaluation, and understanding of algorithms that address the value of missing and conflicting information with respect to informing models of the world that support decision making in autonomous, manned, and hybrid decision making processes. For the purposes of this Special Notice, proposers may assume that all data sources have been aligned, however methods that can relax the assumption of aligned data or automatically align data sets are preferred. Of particular interest to ONR are methods that enable the use of

unstructured data in conjunction with sensor data and methods that can determine which information should be collected. Specifically ONR seeks to improve the automated performance of systems that

a) Ingest unstructured data, including text and relationships that are often expressed as text or graphs, and provide structured data that enable further analysis and integration of this data with sensor data. ONR is not interested in methods that are based upon key word search or on the development of ontologies or relationships within an ontology.

b) Develop, assess, and understand algorithms that enable an automated system to infer the values of missing data. ONR is interested in automated methods that for a single modality, or multiple modalities, enable missing data to be inferred with minimal assumptions.

c) Develop, assess, and understand algorithms and methods that define the value of acquiring new data. These methods should also determine appropriate data that should be collected to support the formation of an operational battle space picture that can be used to support decision-making or mission focused autonomy. In creating a strategy for data collection it is desirable that the algorithms and methods provide implementable strategies that can resolve contradiction arising from integrating information derived from uncertain, incomplete, and imprecise data.

d) Similar to c) above ONR is interested in sensor systems in which the use of an outer metric associated with a system function (detection, track, object recognition,...) is used to adapt the parameters of the data processing and information integration algorithms. This capability will require the system to adapt itself based upon an estimate of the achievable performance of the system. In turn this will require additional capabilities that determine when the underlying data support the existing model or when the underlying data is incompatible with the model and a new model is hypothesized, instantiated, validated, and verified.

4) Cyber Security

Develop and demonstrate tools and an environment that lead to the generation of robust and secure codes. The development environment and tools should support codes at both the system (or operating system) level, as well as at the software application level.

a) Automated generation of secure and robust codes from high-level description (designentry) of function that leads to software this is both readable and efficient.

b) Methods that automatically capture and utilize work flow, thought/design-decision, and documentation during software coding that lead to functioning code that meets performance and security requirements

c) Methods for late stage software customization and software compilation which allows for ease of late stage customization of the resulting binary, without overly compromising intellectual property aspect of binary code, for widely used and existing programming languages.

d) Software and/or hardware based programmable program execution monitoring infrastructure for real-time application.

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.

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.

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.

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

G. Point(s) of Contact -

Questions of a technical nature should be submitted to:

Primary Point of Contact

Program Manager Name: Carey Schwartz
Address: 875 North Randolph Street, Suite 1123
Code: 311
Phone: 703-696-7824
Email: carey.schwartz@navy.mil

Secondary Point of Contact

Program Manager Name: Kim McCormick
Address: 875 North Randolph Street, Suite 1120
Code: 311
Phone: 703-696-8528
Email: kim.mccormick@navy.mil

Questions of a Business nature, and suggestions for improvement, should be submitted to:

Primary Point of Contact

Name: Kenesha Y. Hargrave, Contract Specialist
Address: 875 North Randolph Street, Suite 1273
Code: BD 252
Phone: 703-696-5345
Email: kenesha.y.hargrave@navy.mil

Secondary Point of Contact

Name: Sue Paolini, BD252 Branch Head
Address: 875 North Randolph Street, Suite W1270
Code: BD 252
Phone: 703-696-0554
Email: susan.paolini@navy.mil

Any questions regarding this solicitation must be provided to the Technical Point of Contact and Business Point of Contact listed in this solicitation. All questions shall be submitted in writing by electronic mail.

Comments or questions submitted should be concise and to the point, eliminating any unnecessary verbiage. In addition, the relevant part and paragraph of the Broad Agency Announcement (BAA) should be referenced.

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

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

- 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>

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 to the Technical Point of Contract (POC) 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 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.

H. 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.

Any contract awards resulting from this BAA will incorporate the most current FAR, DFARS, NMCARS and ONR clauses.

Examples of model contracts can be found on the ONR website at the following link:
<http://www.onr.navy.mil/Contracts-Grants/submit-proposal/contracts-proposal/contract-model-awards.aspx>.
ONR Contract specific representations and certifications can be accessed on the following page of the ONR website: <http://www.onr.navy.mil/Contracts-Grants/Funding-Opportunities/Requests-for-Information.aspx>.

Examples of model grants can be found on the ONR website at the following link:
<http://www.onr.navy.mil/en/Contracts-Grants/submit-proposal/grants-proposal/model-grant.aspx>.

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

12.300

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

Applied Scientific Research

K. Other Information -

II. AWARD INFORMATION

A. Amount and Period of Performance-

ONR plans to make one or more awards per topic as described in the Research Opportunity Description. An offeror may propose on more than one Topic. ONR may fund multiple awards as required to complete each topic. There may be more than one performer per Topic with individual awards with a value of \$250,000 per year, using research funds. However, lower and higher cost proposals will be considered. The anticipated period of performance for projects may be from one(1) to three (3) years.

B. Production and Testing of Prototypes-

In the case of funded proposals for the production and testing of prototypes, ONR may during the contract period add a contract line item or contract option for the provision of advanced component development or for the delivery of additional prototype units. However, such a contract addition shall be subject to the limitations contained in Section 819 of the National Defense Authorization Act for Fiscal Year 2010.

III. ELIGIBILITY INFORMATION

All responsible sources from academia and industry may submit proposals under this BAA. Inclusive of Small Business Concerns, Historically Underutilized Business Zone (HUBZone) Concerns, Service-Disabled Veteran-Owned Small Business (SDVOSB) Concerns, Small Disadvantaged Business (SDB) Concerns, Women-Owned Small Business (WOSB) Concerns, Veteran-Owned Small Business (VOSB) Concerns, and Historically Black Colleges and Universities (HBCUs) and Minority Institutions (MIs) are all highly encouraged to submit proposals as prime contractors and as well as join others (e.g., subcontractors) in submitting proposals. However, no portion of this BAA will be set-aside for Small Businesses, HUBZones, SDVOSBs, SDBs, WOSBs, VOSBs or HBCU and MI participation, due to the desire to seek research ideas from all entities.

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.

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

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 Regulations (ITAR) - 22 CFR § 1201.1 et seq. There is no requirement for cost-sharing.

IV. APPLICATION AND SUBMISSION INFORMATION

A. Application and Submission Process - White Paper, Full Proposals

Whitepapers are required for all offerors seeking funding. Each white paper will be evaluated by the Government to determine whether the technology advancement proposed appears to be of particular value to the Department of the Navy. Initial Government evaluations and feedback will be issued via e-mail notification from the Technical Point of Contact. The initial white paper appraisal is intended to give entities a sense of whether their concepts are likely to be funded.

White papers should not exceed 4 single-sided pages, exclusive of cover page and resume of principal investigator, and should be in 12-point Times New Roman font with margins not less than one inch.

The cover page should be labeled "White Paper for ONR 2013 Research Opportunity: Computational Methods for Decision Making and include the following information: title of the proposed effort, technical point of contact, telephone number, fax numbers, and e-mail address.

The 4-page body of the white paper should include the following information:

- (1) Principal Investigator;
- (2) Relevance of the proposed effort to the research areas described in Section II;
- (3) Technical objective of the proposed effort;
- (4) Technical approach that will be pursued to meet the objective;
- (5) A summary of recent relevant technical breakthroughs; and
- (6) A funding plan showing requested funding per fiscal year.

A resume of the principal investigator, not to exceed 1 page, should also be included after the 4-page body of the white paper.

White papers should be submitted electronically to the program technical points of contact, Dr. Carey Schwartz, (carey.schwartz@navy.mil). Files exceeding 10MB in size should not be emailed, but instead

transmitted via a file transfer service, for example AMRDEC Safesite, <https://safe.amrde.army.mil>, or mailed on DCROM or DVD. White papers shall be in Adobe PDF format (preferred) or in Microsoft Word format compatible with MS Office 2007.

To ensure full, timely consideration for funding, white papers should be submitted no later than August 27, 2014. White papers received after that date will be considered as time and availability of funding permit.

The planned date for completing the review of white papers is 17 September 2014.

Full proposals should be submitted under ONRBAA 14-010 by 09 October 2014. Full Proposals received after that date will be considered as time and availability of funding permit.

ONR plans to fund eight (8) to ten (10) individual awards with a value of \$250,000 per year, using research funds. However, lower and higher cost proposals will be considered.

The period of performance for projects may be from one (1) to three (3) years.

Although ONR expects the above described program plan to be executed, ONR reserve the right to make changes.

Funding decisions should be made by 22 October 2014. Selected projects will have an estimated award date of 01 May 2015.

Proposals should not exceed 25 single-sided pages, exclusive of cover page and resume of principal investigator, and should be in 12-point Times New Roman font with margins not less than one inch and should be in accordance with the proposal format and content defined in ONR BAA 14-01.

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

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. .

Unclassified Proposal Instructions:

Unclassified White Papers and Full Proposals shall be submitted in accordance with Section IV. Application and Submission Information.

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
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 Carey Schwartz (carey.schwartz@navy.mil), ONR Code 311 and marked in the following manner:

INNER ENVELOPE (stamped with the overall classification of the material)
Program: Computational Methods for Decision Making
Office of Naval Research
Attn: Carey Schwartz
ONR Code: 311
875 North 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.

STATEMENT OF WORK

An 'unclassified' SOW must accompany any classified proposal.

For both classified and unclassified proposals, a non-proprietary version of the SOW must also be submitted

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.

Alternatives to the format and content identified below may be appropriate depending on the scope and nature of the proposed effort. Coordinate any alternative proposal formats and contents relating to white papers and technical proposals (Volume 1 of the full proposal) with the cognizant ONR Program Officer, who is listed in Section I.7. Alternative formats and content may be directed by the ONR Program Officer or may result from Offerors' suggestions approved by the ONR Program Officer.

a. WHITE PAPERS

White Paper Format

- Paper Size - 8.5 x 11 inch paper
- Margins - 1 inch
- Spacing - single spaced
- Font - Times New Roman, 12 point
- Max. Number of Pages permitted: 4 pages (excluding cover page, resumes, bibliographies, and table of contents)
- Copies - One (1) electronic copy in Adobe PDF or Word 2007 delivered via email. Electronic (email) submissions should be sent to the attention of the TPOC at: (Email Address of the TPOC, e.g. jane.doe@navy.mil). The subject line of the email shall read "ONR BAA 14-010 White Paper Submission." The white paper must be a Microsoft Word 2007 compatible, or PDF format attachment to the email. There is an email size limit of 5MB per 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.**

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.

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.
- **White Paper Technical Content:** A description of the technology innovation and technical risk areas.
 - (1) Principal Investigator;
 - (2) Relevance of the proposed effort to the research areas described in Section II;
 - (3) Technical objective of the proposed effort;
 - (4) Technical approach that will be pursued to meet the objective;
 - (5) A summary of recent relevant technical breakthroughs; and
 - (6) A funding plan showing requested funding per fiscal year.
- **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.
- **Other Requirements:** Rough Order of Magnitude (ROM) (where applicable).

b. FULL PROPOSALS

i. INSTRUCTIONS FOR CONTRACTS, COOPERATIVE AGREEMENTS AND OTHER TRANSACTION AGREEMENTS (Does not include Grants)

NOTE: Submission instructions for BAAs issued after FY 2010 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 the review of proposals.

Proposal Package: The following four documents with attachments comprise a complete proposal package:

- (1) *Technical Proposal Template (pdf)*
- (2) *Technical Content (word)*
- (3) *Cost Proposal Spreadsheet (excel)*
- (4) *Adequacy Checklist for Pre Award Audit (SF 1408) (as applicable)*

These documents can be found at: <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/contracts-proposal/cost-proposal.aspx>. All have instructions imbedded into them that will assist in completing the documents. Also, both the Technical Proposal Template and the Cost Proposal Spreadsheet require completion of cost-related information. Please note that attachments can be incorporated into the Technical Proposal Template for submission.

For proposals below the simplified acquisition threshold (less than or equal to \$150K), the Technical Proposal Template and Technical Content documents, and Cost Proposal Spreadsheet are required. In addition, if a purchase order will be awarded, the effort will be fixed price. Purchase orders can also contain options, if authorized under the BAA, as long as the total amount of the base and all options does not exceed \$150k.

Intellectual Property: Offerors responding to this BAA must submit a separate list of all technical data or computer software that will be furnished to the Government with other than unlimited rights. The Government will assume unlimited rights if offerors fail to identify any intellectual property restrictions in their proposals. Include in this section all proprietary claims to results, prototypes, and/or deliverables. If no restrictions are intended, then the offeror should state "NONE."

The format requirements for any attachments are as follows:

- Paper Size- 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing- single or double spaced
- Font- Times New Roman, 12 point

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 submit one (1) original, plus 1 hard copy and one (1) electronic copy on CD-ROM as discussed with the cognizant Program Officer, of their proposal package. The electronic copy should be submitted in a secure, pdf-compatible format, except for the electronic file for the Cost Proposal Spreadsheet which should be submitted in a Microsoft Excel 2007 compatible format. All attachments should be submitted in a secure, pdf-compatible format.

The secure pdf-compatible format is intended to prevent unauthorized editing of the proposal prior to any award. A password should not be required for opening the proposal document, but the Government must have the ability to print and copy text, images, and other content. Offerors may also submit their Technical Proposal Template and Content in an electronic file that allows for revision (preferably in Microsoft Word) to facilitate the communication of potential revisions. Should an Offeror amend its proposal, the amended proposal should be submitted following the same hard and electronic copy guidance applicable to the original proposal.

Any proposed options that are identified in the Technical Proposal Template or Technical Content documents, but are not fully priced out in the Cost Proposal Spreadsheet, will not be included in any resulting contract, cooperative agreement, or other transaction. If proposing options, they **must** be separately priced and separate spreadsheets should be provided for the base period and each option. In addition to providing summary by period of performance (base and any options), the Contractor is also responsible for providing a breakdown of cost for each task identified in the Statement of Work. The sum of all costs by task worksheets **MUST** equal the total cost summary.

The electronic submission of the Excel spreadsheet should be in a "useable condition" to aid the Government with its evaluation. The term "useable condition" indicates that the spreadsheet should visibly include and separately identify within each appropriate cell any and all inputs, formulas, calculations, etc. The Offeror should not provide "value only spreadsheets" similar to a hard copy.

Fixed Fees on ONR Contracts: The Government Objective is set in accordance with the DFARS 215.404-71. See the below table for range and normal values:

Contract Risk Factor	Contract Type	Assigned Value (Normal range)	Normal Value
Technical (1)		3% - 7% (2)	5%
Management/Cost Control (1)		3% - 7% (2)	5%
Contract Type Risk	Firm Fixed Price	2% - 6% (3)	3% - 5% (4)
Contract Type Risk	Cost Plus Fixed Fee	0% - 1% (2)	0.5%

1. Assign a weight (percentage) to each element according to its input to the total performance risk. The total of the two weights equal

- 100 percent.
2. Assign a weighting score relative to the Risk Factor.
3. Depends on the specific Contract Type (With/without financing, performance-based payments, and/or progress payments).
4. Depends on the specific Contract Type.

Technology Incentive (TI) is rarely utilized at ONR, because the contracts issued by ONR typically are not eligible for TI (See DFARS 215.404-71-2(c)(2)). Any consideration of TI requires strong and convincing justification in the proposal, which are then subject to negotiation and determination of a fair and reasonable fee, within the context of the specific award. Typically the range of fee is 5% to 7.5% on an ONR awarded contract.

For submission instructions, see sub-section F. Submission of White Papers and Full Proposals for Contracts, Cooperative Agreements, and Other Transaction Agreements.

ii. INSTRUCTIONS FOR GRANTS

The following information must be completed as follows in the SF 424 located on <http://www.grants.gov/> 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 and the Program Officer's name, last name first, in brackets (i.e., [Shifler, David])**. Applicants who fail to provide a Program Officer code identifier may receive a notice that their proposal is rejected.

To attach the technical proposal in Grants.gov, download the application package

Click on "Research and Related Other Project Information"

Click on "Move form to Submission List"

Click on "Open Form"

You will see a new PDF document titled "Research & Related Other Project Information"

Block 7 is the Project Summary/Abstract -> click on "Add attachment" and attach the project summary/abstract. (You will not be able to type in the box, therefore, save the file you want to attach as Project Summary or Abstract).

Block 8 is the Project Narrative -> click on Add attachment and attach the technical proposal. (Save the file as Volume I- Technical Proposal since you will not be able to type in the box).

Full Proposal Format - Volume 1 - Technical Proposal 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 (Vol. 1) is limited to no more than 25 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 14-010;
 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);
 7. Signature of Authorized Representative.
- **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 would expect it to enable the objectives of the proposal to be met.
 - **Future Naval Relevance:** A description of potential Naval relevance and contributions of the effort to the agency's specific mission.
 - **Operational Naval Concept:** A description of the project objectives, the concept of operation for the new capabilities to be delivered, and the expected operational performance improvements.
 - **Operational Utility Assessment Plan:** A plan for demonstrating and evaluating the operational effectiveness of the Offeror's proposed products or processes in field experiments and/or tests in a simulated environment.
- **Project Schedule and Milestones:** A summary of the schedule of events and milestones.
- **Reports:**

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

- Technical and Financial Progress Reports
- Presentation Materials
- Final Report

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

- **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 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 subawards, if applicable;
 - 5) Technical contact (name, address, phone/fax, electronic mail address)
 - 6) Administrative/business contact (name, address, phone/fax, electronic mail address);
 - 7) Duration of effort (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 for the Principal Investigator and other key personnel and full curricula vitae for Principal Investigators and consultants. The resumes and curricula vitae shall be attached to the proposal and will not count toward the page limitations.

VOLUME 2: Cost Proposal

The offeror must use the Grants.gov forms (including the Standard Form (SF) Research and Related (R&R) Budget Form) from the application package template associated with the BAA on the Grants.gov web Site located at <http://www.grants.gov/>. If options are proposed, the cost proposal must provide the pricing information for the option periods; 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 4 months after the date the cost proposal is submitted. 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. Offerors may include travel costs for the Principal Investigator to attend the peer reviews described in Section II of this BAA.
- Subawards/subcontracts Subawards/subcontracts - Provide a description of the work to be performed by the subrecipient/subcontractor. For each subaward, a detailed cost proposal is required to be submitted by the subrecipient(s). A proposal and supporting documentation must be received and reviewed before the Government can complete its cost analysis of the proposal and enter negotiations. ONR's preferred method of receiving subcontract information is for this information to be included with the Prime's proposal. However, a subcontractor's cost proposal can be provided in a sealed envelope with the recipient's cost proposal or via e-mail directly to the Program Officer at the same time the prime proposal is submitted. The e-mail should identify the proposal title, the prime Offeror and that the attached proposal is a subcontract. See bullet below regarding Fee/profit guidance for subawards/subcontracts.
- Consultants - Provide a breakdown of the consultant's hours, the hourly rate proposed, any other proposed consultant costs, a copy of the signed Consulting Agreement or other documentation supporting the proposed consultant rate/cost, and a copy of the consultant's proposed statement of work if it is not already separately identified in the prime contractor's proposal.
- Materials & Supplies - Provide an itemized list of all proposed materials and supplies including quantities, unit prices, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).
- Recipient Acquired Equipment or Facilities - Equipment and/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 are limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, laptops, office equipment) should not be requested unless they

will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.

- **Other Direct Costs** - Provide an itemized list of all other proposed other direct costs such as Graduate Assistant tuition, laboratory fees, report and publication costs, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).

NOTE: If the grant proposal is for a conference, workshop or symposium:

1. *ONR will not sponsor ONR, Navy, or DoD driven event. Provide a list of other sponsors and the requested amounts to be funded by all sponsors.*
 2. *The funds provided by ONR may be used to pay for food or beverages as a direct cost only in exceptional circumstances. The funds will not be used for food or beverages unless*
 - a. *the grant proposal contains a request for such funding that is fully supported factually in accordance with the cost principles of the relevant OMB Circular, and*
 - b. *the grants officer determines that the funding is a reasonable, allocable, allowable expense under the relevant cost principles.*
- **Options** - The Base Period of Performance and Option Periods must be priced at the submission of the proposal. Unpriced options will not be included in any resulting award or agreement.
 - **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.

C. Significant Dates and Times -

Event	Date	Time
White Paper Due Date	08/27/2014	2:00 PM Eastern Standard Time
Notification of White Paper Evaluation*	09/17/2014	
Full Proposal Due Date	10/09/2014	2:00 PM Eastern Standard Time
Notification of Selection: Full Proposals*	10/22/2014	
Awards*	05/01/2015	

**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.

D. Submission of Late 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.

E. Submission of Grant Proposals through Grants.gov

Detailed instructions entitled "Grants.Gov Electronic Application and Submission Information" on how to submit a Grant proposal through Grants.gov are under the Submit Proposals section of the website at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-gov.aspx>

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, there are several one-time actions that 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 System for Award Management (SAM), registering with the credential provider, and registering with Grants.gov. See <http://www.grants.gov/>, specifically 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 SAM registration process. Applicants who are not registered with SAM.gov and Grants.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 requirements, how an application form works, or the submittal process **must** be directed to Grants.gov at 1-800-518-4726 (1-606-545-5035 for foreign applicants) or <mailto:%20support@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 they 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. It is extremely important that the AOR watch for and save each of the 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. This confirmation page is a record of the time and date stamp that is used to determine whether the proposal was submitted.

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). After an institution submits an application, Grants.gov generates a submission receipt via email and also sets the application status to "Received." This receipt verifies the Application has been successfully delivered to the Grants.gov system. Next, Grants.gov verifies the submission is valid by ensuring it does not contain viruses, the opportunity is still open, and the applicant login and applicant DUNS number match. If the submission is valid, Grants.gov generates a submission validation receipt via email and sets the application status to "Validated." If the application is not validated, the application status is set to "Rejected." The system sends a rejection email notification to the institution, and the institution must resubmit the application package. Applicants can track the status of their application by logging in to Grants.gov.

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.

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

White Papers must be emailed to Carey Schwartz at the following email address: carey.schwartz@navy.mil. Hard Copies of the Full Proposal and the DVD or CD-ROM of the Full Proposal should be sent to the Office of Naval Research as indicated below. All supporting documentation should be submitted with the DVD or CD-ROM of the Full Proposal.

Primary Contact	Secondary Contact
Office of Naval Research Attn: Carey Schwartz ONR Department Code: 311 875 North Randolph Street Arlington, VA 22203-1995	Office of Naval Research Attn: Kim McCormick ONR Department Code: 311 875 North Randolph Street Arlington, VA 22203-1995

V. EVALUATION INFORMATION

A. Evaluation Criteria -

Awards under this BAA will be made to proposers on the basis of the evaluation criteria listed below, and program balance to provide overall value to the Government. The Government reserves the right to request any additional, necessary documentation once it makes the award instrument determination. The Government reserves the right to remove proposers from award consideration should the parties fail to reach agreement on award terms, conditions, and cost/price within a reasonable time, or the proposer fails to timely provide requested additional information. Evaluations will be conducted using the following evaluation criteria:

1. Overall scientific and technical merits of the proposal;
2. The qualifications, capabilities and experience of the proposed Principal Investigator (PI), team leader and key personnel who are critical in achieving the proposal objectives;
3. The offeror's capabilities, related experience, facilities, techniques or unique combinations of these which are integral factors for achieving the proposal objectives;
4. Potential Naval relevance and contributions of the effort to the agency's specific mission and
5. The realism of the proposed costs and availability of funds.

Criteria 1 - 4 above are significantly more important than Criteria5, and Criteria 1 through 4 are of equal value. The primary bases for selecting proposals for acceptance shall be technical, importance to agency programs and fund availability. Cost realism and reasonableness shall also be considered to the extent appropriate.

Industry-Government Partnering - ONR highly encourages partnering among industry and Government with a view toward speeding the incorporation of new science and technology into fielded systems. Proposals that

utilize industry-Government partnering which enhances the development of novel S&T advances will be given favorable consideration

The ultimate recommendation for award of proposals is made by ONR's scientific/technical community. Recommended proposals will be forwarded to the ONR contracts department. Any notification received from ONR that indicates that the Offeror's full proposal has been recommended, does not ultimately guarantee an award will be made. This notice indicates that the proposal has been selected in accordance with the evaluation criteria above and has been sent to the contracting department to conduct cost analysis, determine the offeror's responsibility, and take other relevant steps necessary prior to commencing negotiations with the offeror.

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

The Office of Naval Research is strongly committed to providing meaningful subcontracting opportunities for small businesses, small disadvantaged businesses (SDBs), woman-owned small businesses (WOSBs), historically underutilized business zone (HUBZone) small businesses, veteran-owned small business (VOSBs), service disabled veteran-owned small businesses (SDVOSBs), historically black colleges and universities, and minority institutions, and other concerns subject to socioeconomic considerations through its awards.

For businesses unfamiliar with doing business with the government and require assistance may contact the state-specific Department of Defense (DoD) Procurement Technical Assistance Center (PTAC). DoD PTACs serve as a resource for businesses pursuing and performing under contracts with DoD, other federal agencies, state and local governments and with government prime contractors. Assistance provided by the PTACs is usually free of charge. PTAC support includes registration in systems such as SAM, identification of contract opportunities, understanding requirements and preparing and submitting proposals. The PTACs have a presence in each state, Puerto and Guam. To locate a local PTAC visit:

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

1) Subcontracting Plan - For proposed awards to be made as contracts that exceed \$650,000, large businesses and non-profits (including educational institutions) shall provide a Subcontracting Plan (hereafter known as the 'Plan') that contains all elements required by FAR Subpart 19.704, FAR 52.219-9 and as supplemented by DFARS 252.219-7003.

NOTE: Small businesses are exempt from this requirement.

The Plan should be submitted as an attachment to the "Technical Proposal Template" and will not be included in the page count. If a company has a Master Subcontracting Plan, as described in FAR 19.701 or a Comprehensive Subcontracting Plan, as described in DFARS 219.702, a copy of the Plan shall also be submitted as an attachment to the "Technical Proposal Template".

Plans will be reviewed for adequacy, ensuring that the required information, goals, and assurances are included. FAR 19.702 require the apparently successful offeror to submit an acceptable Plan. If the apparently successful offeror fails to negotiate a Plan acceptable to the contracting officer within the time limit prescribed by the contracting officer, the offeror will be ineligible for award.

Offerors shall propose a plan that ensures small businesses (inclusive of SDBs, WOSBs, HUBZone, VOSBs and SDVOSBs, etc...) will have the maximum practicable opportunity to participate in contract performance consistent with its efficient performance.

As a baseline, offerors shall to the best extent possible propose realistic goals to ensure small business participation in accordance with the current or most recent fiscal year subcontracting goals found on the DoD Office of Small Business Program website at: <http://www.acq.osd.mil/osbp/>. If proposed goals are below the statutory requirements, then the offeror shall included in the Plan a viable written explanation as to why small businesses are unable to be utilized and what attempts were taken to ensure that small business were given the opportunity to participate in the effort to the maximum extent practicable.

2) Small Business Participation Statement –

If subcontracting opportunities exist, all prime Offerors shall submit a Small Business Participation Statement regardless of size in accordance with DFARS 215.304 when receiving a contract for more than the simplified acquisition threshold (i.e., \$150,000). All offerors shall provide a statement of the extent of the offeror's commitment in providing meaningful subcontracting opportunities for small businesses and other concerns subject to socioeconomic considerations through its awards and must agree that small businesses, VOSBs, SDVOSBs, HUBZones, SDBs, and WOSBs concerns will have to the maximum practicable opportunity to participate in contract performance consistent with its efficient performance.

This assertion will be reviewed to ensure that it supports this policy by providing meaningful subcontracting opportunities. The statement should be submitted as a part of the proposal package and will not be included in the page count.

3) Subcontracting Resources -

Subcontracting to a prime contractor can be a good way to participate in the contracting process. The following is a list of potential resources that may assist in locating potential subcontracting partners/opportunities:

- Companies Participating in DoD Subcontracting Program Report
- DAU Small Business Community of Practice (SB COP)
- DefenseLink = \$6.5M Award Notices
- DoD OSBP Prime Contractors and Subcontractors with Subcontracting Plans
- Dynamic Small Business Search
- Electronic Subcontracting Reporting System (eSRS)
- Federal Business Opportunities (FEDBIZOPPS)
- Navy SBIR/STTR Search – Website or Brochure
- DoD Procurement Technical Assistance Centers (PTAC)
- Small Business Administration (SBA) Subcontracting Opportunities Directory
- SBA Subnet

For a description and associated websites visit the ONR Office of Small Business webpage at:

<http://www.onr.navy.mil/Contracts-Grants/small-business.aspx>.

For example, in accordance with FAR Subpart 5.206, entities may transmit a notice to a Government Point of Entry (GPE) to seek competition for subcontracts and to increase participation by qualified HUBZone small business, small, small disadvantaged business, women-owned small business, veteran-owned small business and service-disabled veteran-owned small business concerns is encouraged, and to meet established subcontracting plan goal as follows:

- (a) A contractor awarded a contract exceeding \$150,000 that is likely to result in the award of any subcontracts;
- (b) A subcontractor or supplier, at any tier, under a contract exceeding \$150,000, that has a subcontracting opportunity exceeding \$15,000.

The notices must describe-

- (a) The business opportunity;
- (b) Any prequalification requirements; and
- (c) Where to obtain technical data needed to respond to the requirement.

An example of a GPE is the SBA SUB-Net which is a place in which prime contractors may post solicitations or sources sought notices for small business. The SUB-Net database provides a listing of subcontracting solicitations and opportunities posted by large prime contractors and other non-federal agencies.

C. Options -

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

D. Evaluation Panel -

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

VI. AWARD ADMINISTRATION INFORMATION

- A. North American Industry Classification System (NAICS) code - The NAICS code for this announcement is "541712" with a small business size standard of "500 employees".
- B. System for Award Management (SAM): All Offerors submitting proposals or applications must:
 - a. be registered in the SAM prior to submission;
 - b. maintain an active SAM registration with current information at all times during which it has an active Federal award or an application under consideration by any agency; and
 - c. provide its DUNS number in each application or proposal it submits to the agency.

The System for Award Management (SAM) is a FREE WEBSITE that consolidates the capabilities you used to find in CCR/FedReg, ORCA, and EPLS. Future phases of SAM will add the capabilities of other systems used in Federal procurement and awards processes.

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

C. Access to your Grant, Cooperative Agreement, Other Transaction and Contract Award

Effective 01 October 2011, hard copies of award/modification documents are no longer be mailed to Offerors. All Office of Naval Research (ONR) award/modification documents will be available via the Department of Defense (DoD) Electronic Document Access System (EDA).

EDA is a web-based system that provides secure online access, storage, and retrieval of awards and modifications to DoD employees and vendors.

If you do not currently have access to EDA, complete a self-registration request as a "Vendor" via <http://eda.ogden.disa.mil/> following the steps below:

Click "New User Registration" (from the left Menu)
Click "Begin VENDOR User Registration Process"
Click "EDA Registration Form" under Username/Password (enter the appropriate data)
Complete & Submit Registration form

Allow five (5) business days for your registration to be processed. EDA will notify you by email when your account is approved.

Registration questions may be directed to the EDA help desk toll free at 1-866-618-5988, Commercial at 801-605-7095, or via email at cscassig@csd.disa.mil (Subject: EDA Assistance)

VII. OTHER INFORMATION

- A. **Applies to Grant, Cooperative Agreement and Other Transaction Agreement applications only:**
 - i. Federal Funding Accountability and Transparency Act of 2006:

The Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by Section 6202 of Public Law 110-252, requires that all agencies establish requirements for recipients reporting information on subawards and executive total compensation as codified in 2 CFR 33.110. 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 33.220 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.

ii. Military Recruiting On Campus (DoDGARS Part 22.520)

This applies to domestic U. S. colleges and universities. Appropriate language from 32CFR22.520 Campus access for military recruiting and Reserve Officer Training Corps (ROTC) will be incorporated in all university grant awards.

iii. Certification regarding Restrictions on Lobbying :

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, applicants shall provide this certification by electronic submission of SF424 (R&R) as a part of the electronic proposal submitted via Grants.gov (complete Block 17). The following certification applies likewise to each cooperating agreement and normal OTA applicant seeking federal assistance funds exceeding \$100,000:

1. No Federal appropriated funds have been paid or will be paid by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 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.

iv. Representation Regarding an Unpaid Delinquent Tax Liability or a Felony Conviction Under any Federal Law - DOD Appropriations:

All grant applicants are required to complete the "Representation on Tax Delinquency and Felony Conviction" found at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal.aspx> by checking the "I agree" box in block 17 and attaching the representation to block 18. of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

1. The applicant represents that it is ___ is not ___ a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in timely manner pursuant to an agreement with the authority responsible for collecting the tax liability
2. The applicant represents that it is ___ is not ___ a corporation that was convicted of a felony criminal violation under any Federal law within the preceding 24 months.

NOTE: If an applicant responds in the affirmative to either of the above representations, the applicant is ineligible to receive an award unless the agency suspension and debarment official (SDO) has considered suspension or debarment and determined that further action is not required to protect the Government's interests. The applicant therefore should provide information about its tax liability or conviction to the agency's SDO as soon as it can do so, to facilitate completion of the required consideration before award decisions are made.

B. Applies to Contracts only:

i. Government Property/Government Furnished Equipment (GFE) and Facilities

RESERVED

ii. Use of Arms, Ammunition and Explosives:

RESERVED

iii. System for Award Management (SAM):

FAR 52.204-7 System for Award Management and FAR 52.204-13 System for Award Management Maintenance are incorporated into this BAA, and FAR 52.204-13 will be incorporated in all awards.

iv. Employment Eligibility Verification:

As per FAR 22.1802, recipients of FAR-based procurement contracts must enroll as Federal Contractors in E-verify and use E-verify to verify employment eligibility of all employees assigned to the award. All resultant contracts from this solicitation will include FAR 52.222-54, "Employment Eligibility Verification."

v. FAR / DFARS Clauses:

The following are examples of clauses that may be incorporated into an ONR contract:

#	Clause
52.204-7	System for Award Management
52.215-16	Facilities Capital Cost of Money
52.215-22	Limitations on Pass Through Charges - Identification of Subcontract Effort
52.216-1	Type of Contract
52.216-27	Single or Multiple Awards
52.217-4	Evaluation of Options Exercised at time of Contract Award
52.217-5	Evaluation of Options
52.222-24	Preaward On-Site Equal Opportunity Compliance Evaluation (Applies if exceeds \$10M)
25.226-2	Historically Black College or University and Minority Institution Representation
52.230-7	Proposal Disclosure - Cost Accounting Practice Changes
52.232-15	Progress Payments not included
52.233-2	Service of Protest
52.252-1	Solicitation Provisions Incorporated by Reference
52.252-3	Alterations in Solicitation
52.252-5	Authorized Deviations in Provisions
252.203-7005	Representation Relating to Compensation of Former DoD Officials
252.204-7004	Alternate A, System for Award Management
252.215-7003	Requirements for Submission of Data Other than Certified Cost or Pricing Data - Canadian Commercial Corporation

vi. Combating Trafficking in Persons

Appropriate language from FAR Clause 52.222-50 will be incorporated in all awards.

vii. Updates of Information regarding Responsibility Matters

FAR clause 52.209-9, Updates of Publicly Available Information Regarding Responsibility Matter, will be included in all contracts valued at \$500,000 where the contractor has current active Federal contracts and grants with total value greater than \$10,000,000.

C. Applies to all:

i. 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. Normally, work done under a grant does not require access to classified material. If it is determined that access to classified information will be required during the performance of an award, a Department of Defense (DD) Form 254 will be attached to the contract; and FAR 52.204-2 - Security Requirements will be incorporated into the contract. The Offeror must clearly identify such need by completing Section II, Block 11, DD 254 – Security Classification Specification, of the Technical Proposal Template.

If it is determined that access to classified information will be required during the performance of an award, a Department of Defense (DD) Form 254 will be attached to the contract; and FAR 52.204-2 – Security Requirements will be incorporated into the contract.

ONR does not provide access to classified material under grants.

ii. 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 AALAC 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 documentation, 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.

iii. Recombinant DNA

RESERVED

iv. Department of Defense High Performance Computing Program

The DoD High Performance Computing Program (HPCMP) furnishes the DoD S&T and RDT&E communities with use-access to very powerful high performance computing systems. Awardees of ONR contracts, grants, and 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/>.

v. 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. Additional ONR OCI guidance can be found at <http://www.onr.navy.mil/About-ONR/compliance-protections/Organizational-Conflicts-Interest.aspx>. 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 Government after full consideration of the circumstances, any conflict situation cannot be effectively avoided, the proposal may be rejected without technical evaluation and withdrawn from further consideration for award under this BAA.

vi. 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.

D. Other Guidance, Instructions, and Information

None