



**BROAD AGENCY ANNOUNCEMENT (BAA)  
National Oceanographic Partnership Program (NOPP) and Interagency Committee  
on Ocean Science and Resource Management Integration (ICOSRMI)**

**INTRODUCTION:**

This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2), the Department of Defense Grants and Agreements Regulations (DoDGARS) 22.315(a) and 35.016, and DoD's Other Transaction Guide for Prototypes Projects, USD(AT&L), OT Guide, Jan 2001. 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**

**SPECIAL NOTICE** : All Grant Applications submitted under this BAA shall be submitted via the Grants.gov "APPLY" function. No other form of paper or electronic submission will be accepted unless the prospective grantee organization applies for and receives a waiver in accordance with Section IV, Application and Submission Information Paragraph 5 entitled 'Submission of Grant Proposals to Grants.gov' below.

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

Due to a large increase in the volume of grant proposals received by the federal government, the Grants.gov portal is struggling to handle the number of proposals being submitted. In addition, after proposals are uploaded to Grants.gov, the applicant receives an e-mail indicating the proposal has been submitted and that Grants.gov will take up to two days to validate the proposal. Grants.gov may reject the proposal during BAA 09-032 2 the validation process. Therefore, applicants are strongly encouraged to submit their proposals electronically at least THREE days before the date and time proposals are due so that it will not be received late and be ineligible for award consideration. Early submission will allow an applicant time to submit its proposal to ONR through an alternative electronic method in the event the proposal is not accepted by Grants.gov. See the special notice on alternate submission under the section IV.5 below in this BAA.

**1. Agency Name -**

Office of Naval Research

**2. Research Opportunity Title -**

National Oceanographic Partnership Program (NOPP) and Interagency Committee on Ocean Science and Resource Management Integration (ICOSRMI)

**3. Program Name – Not Applicable (N/A)**

**4. Research Opportunity Number - 09-037**

**5. Full Proposal Response Date - 23 November 2009**

**6. Research Opportunity Description -**

On behalf of the National Oceanographic Partnership Program (NOPP) and The President's Interagency Committee on Ocean Science and Resource Management Integration (ICOSRMI), the Office of Naval Research (ONR) solicits research proposals meeting the goal and purpose of the Partnership Program outlined in Title II, subtitle E, of Public Law 104-201. Any NOPP member agency may fund research in response to this solicitation.

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 26 June 2008. 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 or by industry. ATD is

funded through Budget Activity 3. In conformance with the USD(AT&L) guidance and National Security Decision Directive 189, ONR will place no restriction on the conduct or reporting of unclassified fundamental research, except as otherwise required by statute, regulation or Executive Order. 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. **ONR funding supporting this BAA is for applied research. Other NOPP agencies may have different sources of funds.**

Up to \$8 Million over four years may be available for this solicitation, subject to appropriation and final approval by the Interagency Working Group on Ocean Partnerships (IWG-OP) of the ICOSRMI. Breakout of topic investments may not equal total amount listed here due to the uncertainty associated with receiving funding.

Team efforts are required among at least two of the following three sectors:

- academia,
- industry (including Non-Governmental Organizations - NGOs), and
- government (including State and Local)

Foreign institutions are eligible to apply for support under this BAA.

Federally Funded Research and Development Centers (FFRDCs), Federal Laboratories and other Federal Entities may not be the Principal Investigators on proposals.

### **Topic 1. Improving Attachments of Electronic Data Loggers to Cetaceans**

Attaching instruments to individual marine mammals is the principal means of getting quantitative data about animal physiology and behavior, their use of the oceans, and how human activities affect these processes. The issue of the potential effects of anthropogenic sound on the behavior and physiology of marine mammals has been the stimulus for the development of a number of small, sensor-equipped and microcomputer-driven electronic tags. These tags have been providing sound producers, regulators, and the scientific community with valuable data on a variety of species for over 20 years, and have received a great deal of attention via targeted workshops, funding, and development efforts. Great strides are being made in capability – size, configuration, memory, and the number and type of sensors. However, keeping these loggers consistently and safely attached to animals for targeted time frames lags behind tag improvements and is the main technological constraint limiting further advances in this field. The 2009 report of the Joint Subcommittee on Ocean Science & Technology (JSOST) titled ‘Addressing the effects of human-generated sound on marine life: An integrated research plan for U.S. Federal Agencies’ identified improvement of tag attachments in several prioritized federal research action areas (<http://ocean.ceq.gov/about/jsost.html>).

In March 2009, the US Office of Naval Research organized an international workshop titled ‘*Cetacean Tag Attachment Design Workshop*’ that included researchers, veterinary

& morphology experts, industry representatives, regulators, and participating federal agencies. The goal of this workshop was to review and evaluate past, present, and future tag attachment & delivery designs, which will be available at the ONR website ([http://www.onr.navy.mil/sci\\_tech/32/322/marine\\_mammals\\_biology.asp](http://www.onr.navy.mil/sci_tech/32/322/marine_mammals_biology.asp)). Research needs were also identified that would maximize tag attachment duration and predictability while minimizing potentially adverse risks to the animal. One of the key conclusions was that to increase the reliability and consistency of tag attachment longevity, we need to better understand the causes of tag failure (rejection, loss) and tag success. The key issues in tag failure/success are understanding the relationships among swim speed, drag, structural tissue properties, and localized edema and wound healing. Also needed are better test methods of attachment prior to deployments.

Accordingly, we seek to support the development and testing of tag attachment designs or 'features' of current tag attachments for each of three tag attachment types discussed in the ONR workshop: I) Penetrating body tag attachments (i.e. saddle packs with embedded anchors, embedded electronics), II) Penetrating dorsal fin/ridge attachments (i.e. barnacle tags, tags surgically attached to captured animals), and III) Non-penetrating attachments (i.e. suction-cups, and alternative designs). Each tag type is designed for a general attachment duration from hours (*Type III*) to weeks (*Type II - barnacle*), to months and even years (*Type II capture/surgically attached tags; Type I*). This BAA topic solicits proposals to address two fundamental questions about each tag type; 1) What are the causes of tag success and failure, and 2) What are the short- and long-term physical, physiological, and behavioral effects of each tag type on animals? These questions are the Sub-topics under Topic 1 and comprise the bulk of this BAA topic.

Individual efforts that are being proposed in response to this BAA may be linked with other projects that are being proposed, but these linkages must be clearly and explicitly identified within each linked proposal.

Investigators should make clear any special requirements (e.g., ship time, captive animal use) within the proposal.

Investigators proposing to these subtopics will be strongly encouraged to attend domestic (U.S. federal agency-specific) or international reviews, topic coordination meetings or workshops 1-2 times per year. Travel for these meetings should be budgeted as appropriate.

### **Sub-Topic 1a. Determining Causes of Tag Attachment Success and/or Failure**

The focus of this subtopic is to support the further development and testing of tag attachment designs or 'features' of current tag attachments that will maximize tag attachment longevity and consistency for each of three tag types. The goal of this subtopic is to investigate the causes of tag success and tag failure (rejection, loss) such that attachment duration and consistency can be optimized for each tag type with the least possible effect on the animal. This would include, but not be limited to, research topics with a focus on pre-deployment testing done on tag attachment - such as holding strength of attachment in carcass tissue or simulated material, structural properties of tissue,

biocompatibility of tag attachment materials, impact testing of projectile attachment devices, and hydrodynamics of tag attachment and payload. This may also include testing/optimization of delivery systems, including hand held versus cantilevered pole deployment, aerodynamics of projectile and tag attachment/data logger housing, pneumatic pressures of deployment device, ballistic laboratory testing, angle of impact, and deployment accuracy over various ranges.

Proposals can address individual or combinations of these research objectives and without prioritizing objectives include:

- Examine performance of current tag attachment designs by assessing holding power, anchoring performance and depth of Type I and II penetrating tags in carcasses (i.e. using imaging - CT scans and X-Ray).
- Evaluate retention systems or tag attachment anchors for Type I and II penetrating tags, including prong design, number, material, shape, flexibility, and deployment strategy.
- Investigate tissue structure as tag substrate for Type I and II attachments: what are the structures, variability, central tendencies of tissues (i.e., blubber thickness), strength, and biomechanical aspects of the substrate into which tags are implanted. Quantify the retention strength of the blubber, fascia, and muscle layers (body and dorsal fin) and variability among individuals, seasons, demographic group, and species.
- Develop new antennae design for Type I penetrating tag attachments to reduce vibration of embedded or exposed tag body (i.e., decoupling antenna and tag attachment body).
- Assess hydrodynamics of tags and all tag attachment types (I, II, III) initially using computer models, with possible transition to wind tunnel/ water flumes.
- Quantify delivery force for all tag attachment types (I, II, III) and correlate with attachment success and duration.
- Using captive animals to investigate reaction of skin (e.g., abrasion and sensitivity) to different materials and related issues (i.e., dead skin buildup).
- Investigate engineering/methods to maximize Type III suction cup attachments duration and consistency (i.e., suction cup type, material, size, number, configuration, flexibility, holding power, and sensitivity to temperature and pressure).

Funding for this sub-topic is envisioned up to \$600,000 per year over 3 years. It is expected that individual proposals will likely range from \$50,000 to \$250,000 per year. Therefore, it is expected that up to 2-4 awards will be issued.

### **Sub-Topic 1b. Case Studies to Determine the Short- and Long-term Physical, Physiological, and Behavioral Effects of Tags on Animals**

The focus of this subtopic is to support follow-up case studies to evaluate the potential near-term and long-term physical, physiological, and behavioral effects of each of the three tag attachment types on animals. The goal of this subtopic is to conduct testing of the effects of tag attachment designs on animals in captivity and/or wild populations with good follow-up capabilities. Many tagging studies target species or populations that may not be conducive to close follow-up to evaluate the effects of tag attachments (i.e.,

offshore, remote locations); therefore, case studies for each tag attachment design need to be developed to evaluate potential effects of tag attachments. These case studies will enable tag attachment designers to quantify and minimize potentially adverse risks to the animal from tagging activities, and enable safe deployments on more sensitive or remote species or populations. In this context, physical signs of tag effects will vary by tag attachment type, but may include overall skin condition (i.e., swelling, divots, pock marks, bumps, ulcerations, barnacles, and scarring) and coloring, skin sloughing, evidence of serious injury (any type), evidence of human impact (entanglement, vessel), and fin condition. In wild populations, signs of physical tag attachment effects may be obtained through longitudinal visual and/or photographic resighting of animals. Physiological effects of tag attachments may include, but not be limited, to localized wound healing or encapsulation, or increased drag (i.e., energetic consequences, changes in foraging efficiency). Behavioral responses may include, but not be limited to, any signs of avoidance of tagging area, sudden high-speed movement away from the tagging area, anomalously slow movements post-tagging, and aggressive behavior (i.e., tail slapping, lunging).

Proposals can address individual or combinations of these research objectives and without prioritizing objectives include:

- Investigate factors that inhibit or facilitate wound healing and encapsulation of Type I and II penetrating tag attachments (i.e., salt water egress, tag movement, penetration depth)
- Compare detailed health assessments of animals before/after tagging with Type I and II penetrating tag attachments, including weight, photographs, and collection of samples for toxicology studies (whole blood, serum, plasma, blubber biopsy).
- Evaluate efficacy of coatings (antibiotics, anti-inflammatories) and biocoatings (chitosan) in tag attachment types I and II in promoting wound healing and tag retention.
- Evaluate increased energetic requirements of animal due to increased drag for all tag designs (I, II, III) using computer simulations and captive animal experiments.
- Design physiology sensors (pH, temp, light) for the tip of Type I penetrating tag attachments to collect information about wound healing/condition and depth of tag penetration (myoglobin). Test effects of tissue necrosis under suction cups using captive animal experiments.
- Evaluate the effects of Type II surgically placed dorsal fin tags on thermoregulation and vascularity of the fin using remote sensing and thermal imaging in captive or dolphins tagged in rehabilitation, and pre/post tag application to dolphins in the field.

Funding for this sub-topic is envisioned up to \$300,000 per year over 3 years. It is expected that individual proposals will likely range from \$50,000 to \$250,000 per year. Therefore, it is expected that up to 2-4 awards will be issued.

## **Topic 2: Improvements in High-Resolution, Tide-Resolving Global Ocean Predictions**

### **Background**

Over the last decade, research projects organized under the Global Ocean Data Assimilation Experiment (GODAE) have demonstrated the feasibility and practicality of near real-time global ocean data assimilation and numerical modeling. Because of the significant improvements in both the observation and prediction systems, a variety of new scientific opportunities are now available. Previous NOPP projects have developed and implemented these ocean prediction systems and have provided critical feedback on necessary improvements to the observation, modeling, data assimilation, and data-delivery components of the overall effort.

As the predictive capabilities of the global models have matured, an emerging issue has been the problem of tides, internal tides, and internal waves. These features are often relevant to marine operations, yet they are usually not represented in the models used to make three-dimensional ocean forecasts. However, these features are regularly sampled by all components of the integrated global ocean observing system, from in situ to satellite remote sensing. This can create problems when trying to assimilate this data into ocean models that do not represent this higher-resolution variability.

Under separate funding, the necessary physics will be incorporated into the numerical ocean model, Hybrid Coordinate Ocean Model (HYCOM) to support the small-scale processes related to internal tides and internal waves when run at high-resolution. This work will involve significant new research into the representation of these features in global numerical ocean models. Additional scientific development will be needed, as outlined in the following topic.

### **Topic Description**

An improved capability to simulate and predict the global ocean at the temporal and spatial scales required to describe internal tides and internal waves is desired. Responders to this announcement should propose work in collaboration with the Naval Research Laboratory and Florida State University towards any of the following scientific goals:

- Improvements in the representation of baroclinic and barotropic tides in HYCOM
- New techniques for the assimilation of observed data into global and basin-scale tide-resolving models
- Exploration of the numerical issues involved in generating and propagating internal tides and waves (e.g., appropriate horizontal and vertical resolutions, bathymetry)
- Evaluation of the internal tide representation using in situ data from observational field programs
- Evaluation of the tide-resolving model's ability to provide useful boundary conditions to high resolution coastal models
- Improved representation of the shelf-deep ocean interactions that are relevant to the evolution of baroclinic and barotropic tides and internal waves

- Improved upper ocean physics, including the representation of the mixed layer/sonic layer depth related to tidal mixing
- Creation of an advisory panel of observational oceanographers, theoreticians, and process modelers to assess model performance and provide recommendations

One technical goal of this topic is, by the end of the collective efforts, to produce a data-assimilative, tide-resolving, high-resolution ocean prediction system that might begin the transition process to operational ocean prediction agencies. The NOPP-funded groups would collectively perform the background scientific research necessary to design and test such a model, including the data assimilation component. This transition goal might include a data-assimilative global HYCOM model including tides for the Naval Oceanographic Office (NAVO) running at a resolution of 1/25°, and for NOAA with a resolution of 1/12°.

The proposers funded under this topic should plan to participate in annual HYCOM model meetings, demonstrate relevance to the ongoing development of HYCOM, and provide annual reports and occasional status reports to the core HYCOM code development group at NRL.

**Target Funding:** Up to \$5M over four years may be available, distributed among multiple efforts, to further our predictive capabilities for the ocean environment.

## **7. Point(s) of Contact –**

Questions of a technical nature should be submitted to:

Dr. Manuel Fiadeiro  
 National Oceanographic Partnership Program  
 Office of Naval Research  
 One Liberty Center  
 ONR 322, Room 1061  
 875 N. Randolph St.  
 Arlington, VA 22203-1995  
 Email: manny.fiadeiro@navy.mil

Questions of a business nature should be submitted to:

Susan Marie Paolini  
 Contracting Officer  
 ONR 252  
 Office of Naval Research  
 One Liberty Center, Room W1272  
 875 N. Randolph St.  
 Arlington, VA 22203-1995  
 Email: susan.paolini@navy.mil



Note: All questions to the Technical Point of Contact (POC) shall be sent via e-mail with a copy to the designated Business POC. Questions submitted within 2 weeks prior to a deadline may or may not receive a response.

**8. Instrument Type(s) –**

It is anticipated that awards will be in the form of grants. However, the Government reserves the right to award cooperative agreements, contracts, or other assistance agreements to appropriate parties, should the situation warrant use of an instrument other than a grant. It is strongly preferred that one institution act as the lead institution for each project and that a single award be issued to the lead institution which would then issue sub-awards to the other non-Federal participants. Should a project include a request for funding to a Federal entity, funds to that entity will be provided through a separate Economy Act Order.

**9. Catalog of Federal Domestic Assistance (CFDA) Number -**

12.300

**10. Catalog of Federal Domestic Assistance (CFDA) Title -**

Basic and Applied Scientific Research

**11. Other Information -**

This announcement is restricted to 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 this BAA are for scientific study and experimentation directed towards advancing the state of the art and increasing knowledge or understanding.

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

**II. AWARD INFORMATION**

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

1. Total Amount of Funding Available: Up to \$8M over four years, subject to appropriation and final approval by the Interagency Working Group on Ocean Partnerships (IWG-OP) of the ICOSRMI.
2. Anticipated Number of Awards: Up to 12. An Offeror may propose on more than one Topic.
3. Anticipated Award Types: Grants are anticipated. The Government reserves the right to award contracts or cooperative agreements and other transactions if appropriate.

4. Anticipated Range of Individual Award Amounts: from \$50,000 to \$250,000 per year (Topic 1), and approximately \$100K annually (Topic 2).

5. Anticipated Period of Performance for Awards: Up to 3 years (Topic 1); up to 4 years (Topic 2).

\*For the past two years Congress has placed limits on the percentage of facilities and administrative (F&A) costs that can be paid by the government using basic research (6.1) funds. Currently for FY09, F&A costs paid under contracts and grants for the performance of basic research may not exceed 35 percent. It is unknown at present whether a similar indirect cost restriction will apply to 6.1 funds in FY 2010 or thereafter.

### **III. ELIGIBILITY INFORMATION**

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

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

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

Teams are encouraged to 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.

Topics under this BAA are not expected to cover export controlled technologies.

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

### **Full Proposal Submission**

The due date for receipt of Full Proposals is 2:00 p.m. (Eastern Time) on Monday, 23 November 2009. It is anticipated that final selections for awards will be on or about Monday, 25 January, 2010. As soon as the final proposal evaluation process is completed, each Offeror will be notified by NOPP via email or letter of its selection or non-selection for an award.

### **2. Content and Format of Full Proposals –**

Full Proposals submitted under the BAA are expected to be unclassified; confidential/classified proposals will not be accepted.

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. The proposal shall include a severable, self-standing Statement of Work, which does not include any proprietary restrictions.

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

The proposal format and content identified below are applicable to the submission of proposals. As noted in Paragraph 5 below, proposals seeking grants or another form of assistance agreement are to be formatted as required by Standard Form 424 (R&R), which is available via the internet at <http://www.grants.gov/>.

### **b. FULL PROPOSALS**

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

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single or double-spaced
- Font – Times New Roman, 12 point
- Number of Pages - The Technical Volume (Vol. 1) shall not exceed more than 15 pages. The Cover page, Table of Contents, and severable statements of work for proposed Federal entities (if applicable), data rights assertions, other agencies, list of references and resumes are excluded from the page limitations. There are no page limitations to the Cost Proposal, Volume 2.
- Copies – Contracts may be submitted via hard copy directly to the Technical POC. In the case of contracts, one (1) original and one electronic copy on a CD-ROM (in Microsoft® Word or Excel 97 compatible or .PDF format) must be provided. If a grant is sought, the full proposal should be submitted electronically at <http://www.grants.gov/> as delineated below.

## **Full Proposal Content**

### Volume 1: Technical Proposal

- **Cover Page:** This should include the words “Technical Proposal” and the following:
  - 1) BAA number;
  - 2) Title of Proposal;
  - 3) Identity of prime Offeror and complete list of subcontractors, if applicable;
  - 4) Technical contact (name, address, phone/fax, electronic mail address)
  - 5) Administrative/business contact (name, address, phone/fax, electronic mail address) and;
  - 6) Duration of effort (differentiate basic effort and any proposed options)
  
- **Table of Contents:** An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.
  
- **Statement of Work:** A Statement of Work (SOW) clearly detailing the scope and objectives of the effort and the technical approach. It is anticipated that the proposed SOW will be incorporated as an attachment to the resultant award instrument. To this end, the proposals must include a severable, self-standing SOW, without any proprietary restrictions, which can be attached to the contract or agreement award. Include a detailed listing of the technical tasks/subtasks organized by year. Should a particular project include a funding request for the participation of a Federal entity, the proposal should include a separate SOW describing only that work which is to be performed by the Federal entity. A separate SOW should be included for each Federal entity requesting funding. SOWs related to the participation of Federal entities, if any, should be included as an appendix to the Technical Proposal. These appendices will not count against the page limitations set forth above.

Submission of the SOW without restrictive markings is your company’s affirmation that the SOW is non-proprietary and releasable in response to Freedom of Information Act (FOIA) requests.
  
- **Technical Approach and Justification:** The major portion of the proposal should consist of a clear description of the technical approach being proposed. This discussion should provide the technical foundation/justification for pursuing this particular approach/direction and why one could expect it to enable the objectives of the proposal to be met. Limit the number of pages for this section to 15 pages.
  
- **Project Schedule and Milestones:** A summary of the schedule of events and milestones:
  
- **Assertion of Data Rights and/or Rights in Computer Software:** For a contract award an Offeror may provide with its proposal assertions to restrict use, release or disclosure of data and/or computer software that will be provided in the course of

contract performance. The rules governing these assertions are prescribed in Defense Federal Acquisition Regulation Supplement (DFARS) clauses 252.227-7013, -7014 and -7017. These clauses may be accessed at the following web address:

<http://farsite.hill.af.mil/VFDFARA.HTM>

The Government may challenge assertions that are provided in improper format or that do not properly acknowledge earlier federal funding of related research by the Offeror.

If it is determined that data rights are not applicable, indicate no assertions are being made in the proposal submission.

- **Deliverables:** A detailed description of the results and products to be delivered inclusive of the time frame in which they will be delivered.
- **Management Approach:** A discussion of the overall approach to the management of this effort, including brief discussions of the total organization; use of personnel; project/function/subcontractor/subrecipient relationships; government research interfaces; and planning, scheduling and control practice. Identify which personnel and subcontractors/subrecipients (if any) will be involved. Include a description of the facilities that are required for the proposed effort with a description of any Government Furnished Equipment/Hardware/Software/Information required, by version and/or configuration.
- **Current and Pending Project and Proposal Submissions:** Offerors are required to provide information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing contracts, grants, and other assistance agreements. Offerors shall provide the following information of any related or complementary proposal submissions from whatever sources (e.g., ONR, Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations).

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

- 1) Title of Proposal and Summary;
- 2) Source and amount of funding (annual direct costs; provide contract and/or grant numbers for current contracts/grants);
- 3) Percentage effort devoted to each project;
- 4) Identity of prime Offeror and complete list of subcontractors, if applicable;
- 5) Technical contact (name, address, phone/fax, electronic mail address)
- 6) Administrative/business contact (name, address, phone/fax, electronic mail address);
- 7) Duration of effort (differentiate basic effort);
- 8) The proposed project and all other projects or activities requiring a

portion of time of the PI 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 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.
- **Other Agencies:** Include the name(s) of any other agencies to which the proposal has also been submitted.
- **List of References:** Provide source of each reference cited in the proposal. No specific format required.
- **Ship Use:** Requirements for ship time must be specifically included in the proposal, which should clearly specify the size and type of vessels proposed for use. Ships of opportunity are encouraged. Offeror should include ship time requests on the University National Oceanographic Laboratory System (UNOLS) on-line request form available at: <http://www.gso.uri.edu/unols/ship/shiptime.html>.

## **VOLUME 2: Cost Proposal**

### **INSTRUCTIONS FOR CONTRACTS**

Although not required and provided for informational purposes only, adhering to the instructions delineated below may expedite contract or assistance award placement. Detailed instructions, entitled “Instructions for Preparing Cost Proposals for Contracts and Agreements”, including a sample template for preparing costs proposals for contracts and agreements, may be found at ONR’s website listed under the ‘Acquisition Department – Contracts & Grants Submitting a Proposal’ link at: [http://www.onr.navy.mil/02/how\\_to.asp](http://www.onr.navy.mil/02/how_to.asp)

The Cost Proposal shall consist of a cover page and two parts, Part 1 will provide a detailed cost breakdown of all costs by cost category by calendar or Government fiscal year, and Part 2 will provide a cost breakdown by task/sub-task corresponding to the task numbers in the proposed Statement of Work. Options must be separately priced.

Projects which include participation by a Federal entity should include a separate budget detailing the Federal entity’s proposed costs in the full partnership proposal. Federal entities will be funded separately via an Economy Act Order.

- **Ship Use:** Costs for use of ships must be included in the proposal budget.
- **Table of Partners and Costs:** The cost proposal should lead with a table summarizing by fiscal year and for each academic institution, business, not-for-profit agency, and government agency requesting funds: the Principal Investigator(s), the name of the institution and its nature, and funds requested for each fiscal year of the proposed effort. Information is required in the following example format:

**TABLE OF PARTNERSHIPS:**

<b>Principal Investigator(s)*</b>	<b>Institution*</b>	<b>FY10 funds Requested</b>	<b>FY11 funds Requested</b>	<b>FY12 funds Requested</b>	<i>... Additional years as required</i>
R. Johnson (lead PI)	Random University (Academic)	\$125,314	\$127,216	\$131,614	
J. Jones & S. Smith	Vandaley Industries (Business)	\$110,615	\$37,212	\$64,312	
L. Simmons	The Ocean Mammal Conservancy (Non-profit)	\$25,000	\$25,000	\$0	
T. Ritter	DEQ of Texas (State Gov)	\$10,000	\$10,000	\$10,000	
OTHER THAN FEDERAL GOVERNMENT SUBTOTAL:	_____	\$260,929	\$189,428	\$195,926	
T. Wilson	NOAA Laboratory for Oceans (Government)	\$57,612	\$61,214	\$50,000	
FEDERAL GOVERNMENT PARTICIPANT TOTAL:	_____	\$57,612	\$61,214	\$50,000	
PROJECT TOTAL:	_____	\$318,541	\$250,642	\$245,926	

\*Participant names are fictitious and are used simply for illustrative purposes.

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

- BAA number
- Title of Proposal
- Identity of prime Offeror and complete list of subcontractors, if applicable
- Technical contact (name, address, phone/fax, electronic mail address)
- Administrative/business contact (name, address, phone/fax, electronic mail address) and
- Duration of effort (separately identify basic effort and any proposed options)

**Part 1:** Detailed breakdown of all costs by cost category by calendar or Government fiscal year:

- Direct Labor – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates. Provide escalation rates for out years;
- Indirect Costs – Fringe Benefits, Overhead, G&A, COM, etc. and their applicable allocation bases. 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.
- Subcontracts – A cost proposal as detailed as the Offeror’s cost proposal will be required to be submitted by the subcontractor. The subcontractor’s cost proposal can be provided in a sealed envelope with the Offeror’s cost proposal or may be sent directly to the Government. Subcontractor proposals must be received and reviewed prior to contract award. The prime contractor should perform and provide a cost/price analysis of each subcontractor’s cost proposal.\*  
 \***Note:** DoD Federal Acquisition Regulation provision 252.215-7003 (48 CFR §252.215-7003) is incorporated into this solicitation by reference. The offeror is to exclude excessive pass-through charges from subcontractors. The offeror must identify in its proposal the percentage of effort it intends to perform and the percentage to be performed by each of its proposed subcontractors. If more than 70 percent of the total effort will be formed through subcontractors, the offeror must include the additional information required by the above-cited clause.
- 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 cost, and a copy of the consultant’s proposed statement of work if it is not already separately identified in the prime contractor’s proposal.
- Materials & Supplies – Provide an itemized list of all proposed materials and supplies including quantities, unit prices, proposed vendors (if known), and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).



- Contractor Acquired Equipment or Facilities – Equipment and/or facilities are normally furnished by the Contractor. 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).
- Other Direct Costs – Provide an itemized list of all other proposed other direct costs and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).
- 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 contract or agreement.
- Fee/Profit (Contract Proposals Only) – Profit or fee is not allowed on direct costs for facilities or in cost-sharing contracts.

Note: Indicate if you have an approved Purchasing/Estimating System and/or describe the process used to determine the basis of reasonableness (e.g., competition, market research, best value analysis) for subcontractors, consultants, materials, supplies, equipment/facilities, and other direct costs.

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

## **INSTRUCTIONS FOR GRANTS AND OTHER ASSISTANCE AGREEMENTS**

The offeror must use the Grants.Gov forms from the application package template associated with the BAA on the Grants.Gov web site located at <http://www.grants.gov/> . The SF24 (R&R) is mandatory. Documents listed as "Optional" are recommended, as they expedite the award process. Elements of the budget should include:

- Direct Labor – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates or percentage of effort or total man-years. Provide escalation rates for out years. Justify in Field K of the "Research and Related Budget" document.
- Indirect Costs – Fringe Benefits, Overhead, F&A, G&A etc. and their applicable allocation bases. If composite rates are used, provide the calculations used in deriving the composite rates. Justify in Field K
- Travel –Justify in Field K.
- Subawards - Cost proposal as detailed as the recipient's cost proposal will be required to be submitted by the subrecipient. The subawardee's or subrecipient's cost proposal can be provided in a sealed envelope with the recipient's cost proposal or may be sent directly to the Government. Subawardee proposals must be received and reviewed prior to award.
- Consultants – Provide a breakdown of the consultant's hours, the hourly rate proposed, any other proposed consultant costs and a copy of the

consultant’s proposed statement of work if it is not already separately identified in the prime recipient’s proposal. Strong justification must be provided, and consultants are to be used only under exceptional circumstances where no equivalent expertise can be found at a participating university. Justify in Field K.

- **Materials & Supplies** – Provide an itemized list of all proposed materials and supplies including quantities, unit prices, proposed vendors (if known), and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). Justify in Field K.
  - **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). For computer/laptop purchases include a statement indicating the computer/laptop will be integrated into the program or used as an integral part of the research effort. Justify in Field K.
  - **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 estimates (e.g., quotes, prior purchases, catalog price lists). Justify in Field K.
- NOTE:** If the grant proposal is for a conference, workshop, or symposium, the proposal should include the following statement: “The funds provided by ONR will not be used for food or beverages.”
- **Options** – The Base Period of Performance and Option Periods must be priced at the submission of the proposal. Any proposal containing unpriced options will not be included in the award.
  - **Fee/Profit** - Fee/profit is unallowable.
  -

**Table of Partners and Costs:** The cost proposal should lead with a table summarizing by fiscal year and for each academic institution, business, not-for-profit agency, and government agency requesting funds: the Principal Investigator(s), the name of the institution and its nature, and funds requested for each fiscal year of the proposed effort. Information is required in the following example format:

**TABLE OF PARTNERSHIPS:**

<b>Principal Investigator(s)*</b>	<b>Institution*</b>	<b>FY10 funds Requested</b>	<b>FY11 funds Requested</b>	<b>FY12 funds Requested</b>	<i>... Additional years as required</i>
R. Johnson (lead PI)	Random University (Academic)	\$125,314	\$127,216	\$131,614	
J. Jones & S. Smith	Vandaley Industries (Business)	\$110,615	\$37,212	\$64,312	
L. Simmons	The Ocean	\$25,000	\$25,000	\$0	

	Mammal Conservancy (Non-profit)				
T. Ritter	DEQ of Texas (State Gov)	\$10,000	\$10,000	\$10,000	
OTHER THAN FEDERAL GOVERNMENT SUBTOTAL:	_____	\$260,929	\$189,428	\$195,926	
T. Wilson	NOAA Laboratory for Oceans (Government)	\$57,612	\$61,214	\$50,000	
FEDERAL GOVERNMENT PARTICIPANT TOTAL:	_____	\$57,612	\$61,214	\$50,000	
PROJECT TOTAL:	_____	\$318,541	\$250,642	\$245,926	

\*Participant names are fictitious and are used simply for illustrative purposes.

### 3. Significant Dates and Times –

Anticipated Schedule of Events		
Event	Date (MM/DD/YEAR)	Time (Washington DC Local Time)
Deadline for Receipt of Questions	15 days before Due Date	2:00 p.m.
Full Proposals Due Date	23 November 2009	2:00 p.m.
Notification of Selection for Award	25 January 2010	
Award (start date)	4 months after receipt by Contracting Division	

**\*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 it is recommended that any hard-copy proposal be mailed **long enough before the deadline** established in the solicitation so that it will not be received late and thus be ineligible for award consideration.

#### **4. Submission of Late Proposals –**

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:

- 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
- 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
- It was the only proposal received.

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

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

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

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

#### **5. Submission of Grant and Cooperative Agreement Proposals through Grants.gov**

Detailed instructions entitled “Grants.Gov Electronic Application and Submission Information” on how to submit a Grant or Cooperative Agreement proposal through Grants.gov are under the Acquisition Department — Submitting a Proposal section of the website at [http://www.onr.navy.mil/02/docs/FY09\\_GrantsGovApp\\_and\\_Submission\\_Information.pdf](http://www.onr.navy.mil/02/docs/FY09_GrantsGovApp_and_Submission_Information.pdf).

Grant and cooperative agreement proposals shall be submitted through [Grants.gov](http://Grants.gov) using the mandatory Grants.gov form(s) from the application package template associated with the

BAA on the Grants.gov website. The use of the optional forms from the application package template associated with the BAA is highly encouraged. To be considered for award, applicants must include the ONR Department Code “322” in Block 4 entitled ‘Federal Identifier’ of the Standard Form (SF) 424 R&R.

By completing Blocks 18 and 19 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 and cooperative agreement 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 Central Contract Registry (CCR), registering with the credential provider, and registering with Grants.gov. See [www.grants.gov](http://www.grants.gov), specifically [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted).

Use the Grants.gov Organization Registration Checklist at [http://www.grants.gov/applicants/register\\_your\\_organization.jsp](http://www.grants.gov/applicants/register_your_organization.jsp) which will provide guidance through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called ‘MPIN’ are important steps in the CCR registration process. Applicants who are not registered with CCR and 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 or [support@grants.gov](mailto:support@grants.gov).

Process to Obtain a Waiver from the Use of Grants.Gov for Submission of Full Grant Proposals: If a prospective grantee is unable to comply with the requirement to use Grants.Gov “APPLY” for submission of a grant or cooperative agreement application under this BAA or finds it would be an excessive burden to comply with this requirement, a waiver request may be submitted not less than 30 calendar days prior to the closing date for receipt of Full Proposals. Such request should be submitted by the Electronic Business Point of Contact listed in the CCR for the organization and should contain the Organization/Individual’s name, address, telephone number, and email address. The request should state the reason for the request in sufficient detail so a decision can be made. The Waiver Request should be submitted to the ONR Acquisition Department point of contact or Grants Officer listed in the BAA. Such request can be sent by registered mail or email. The “postmark” stamp on the envelope or the time annotated on the email will be used to determine timeliness of the request. A decision and response will be issued within 14 calendar days of receipt of the request by ONR. Foreign Grantees who are not registered in CCR may request a waiver on that basis since CCR registration is integral to the Grants.Gov application process

#### Special Notice on Alternate Submission

The following alternative to submitting proposals to the Grants.gov website is provided for use under this BAA. Proposals using the alternative submission process will be accepted only if Grants.gov is not accepting the proposal and the offeror has called the Grants.gov helpline and received a case ticket number. If Grants.gov has not within two days by return e-mail validated your proposal submission, call Grants.gov (1-800-518-

4726) to obtain a case ticket number. An email from Grants.gov indicating rejection of the grant proposal will not be accepted in place of a Grants.gov case ticket number.

a. Upload the proposal using the form on the following website:

<http://onroutside.onr.navy.mil/aspprocessor/BAAPE/>.

b. Use this form to upload your grant proposal directly to the Office of Naval Research. All fields in the form are required to be completed, including the assigned Grants.gov case ticket number. Your completed package should also include a signed, scanned proposal cover sheet with the signature of your authorized organizational representative as part of the 'Attachments Form'.

Submit one file per proposal in PDF format. **DO NOT submit any parts of the proposal separately. Technical proposals, endorsements, etc. should be on the Grants.gov ATTACHMENTS form.**

c. Use the naming convention below for all uploaded proposals.

\*Convention: (ONRBAA09-XXX\_Topic\_LeadPI\_University.pdf)

\*Example: ONRBAA09-012\_NOPP\_MSMITH\_UNIVRESEARCH.PDF

d. Once a document has been submitted, a "Thank You" page will appear and an e-mail will be sent to the address provided. If you do not receive an e-mail confirmation, your file has not been properly received. You should immediately contact the business point of contact listed in the BAA or the ONR Grants BAA Administrator.

## **6. Address for the Submission of Full Proposals for Contracts**

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

Office of Naval Research  
Attn: Dr. Manuel Fiadeiro  
ONR Department Code 322  
875 North Randolph Street  
Arlington, VA 22203-1995

A list describing each of the ONR Department Codes can be found at <http://www.onr.navy.mil/> on the right side of the screen.

## **V. EVALUATION INFORMATION**

### **1. Evaluation Criteria –**

Award decisions will be based on a competitive selection of proposals resulting from a scientific and cost review. Evaluations will be conducted using the following evaluation criteria:

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

Overall, the Technical Factors (Factors 1 – 4 above) are more important than the Cost Factor (Factor 5), with the Technical Factors all being of equal value.

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

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

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

### **2. Evaluation Panel -**

Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure in accordance with FAR 3.104-4 and 15.207. The cognizant Program Officer and other Government scientific experts will perform the evaluation of technical proposals. Cost proposals will be evaluated by Government business professionals. Restrictive notices notwithstanding, one or more support contractors may be utilized as subject-matter-expert technical consultants. Similarly, support contractors may be utilized to evaluate cost proposals. However, proposal selection and award

decisions are solely the responsibility of Government personnel. Each support contractor's employee having access to technical and cost proposals submitted in response to this BAA will be required to sign a non-disclosure statement prior to receipt of any proposal submissions.

## **VI. AWARD ADMINISTRATION INFORMATION**

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

- The North American Industry Classification System (NAICS) code – The North American Industry Classification System (NAICS) code for this announcement is “541712” with a small business size standard of “500 employees”.
- Central Contractor Registry (CCR) - Successful Offerors not already registered in the CCR will be required to register in CCR prior to award of any grant, contract, cooperative agreement, or other transaction agreement. Information on CCR registration is available at <http://www.onr.navy.mil/02/ccr.htm>.
- Subcontracting Plans - Successful contract proposals that exceed \$550,000, submitted by all but small business concerns, will be required to submit prior to award a Small Business Subcontracting Plan in accordance with FAR 52.219-9.
- Certifications – Proposals for contracts and assistance agreements should be accompanied by a completed certification package.

#### Contracts:

For contracts, in accordance with FAR 4.1201, prospective contractors shall complete and submit electronic annual representations and certifications at <http://orca.bpn.gov>. In addition to completing the Online Representations and Certifications Application (ORCA), proposals must be accompanied with a completed DFARS and contract specific representations and certifications. These "DFARS and Contract Specific Representations and Certifications", i.e., Section K, may be accessed under the Contracts and Grants Section of the ONR Home Page at [http://www.onr.navy.mil/02/rep\\_cert.asp](http://www.onr.navy.mil/02/rep_cert.asp).

#### Grants and Other Assistance Agreements:

Grant and Other Assistance Agreement awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. Grant applicants shall provide this certification by electronic submission of SF424 (R&R) as a part of the electronic proposal submitted via [Grants.gov](http://Grants.gov) (complete Blocks 18 and 19); The following certification applies to each applicant seeking federal assistance funds exceeding \$100,000:

### **CERTIFICATION REGARDING LOBBYING ACTIVITIES**

(1) No Federal appropriated funds have been paid or will be paid by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an



employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

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

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

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

Grants and Other Assistance Agreements not through Grants.gov:

Proposers seeking grants or cooperative agreements who have received Grants.gov waiver approval for awards greater than \$100,000 shall complete and submit electronic representations and certifications at the Contracts and Grants Section of the ONR Home Page at [http://www.onr.navy.mil/02/rep\\_cert.asp](http://www.onr.navy.mil/02/rep_cert.asp) .

**2. Reporting -**

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

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

Additional data deliverables may be proposed and finalized during negotiations. Research performed under contracts may also include the delivery of software, prototypes, and other hardware deliverables.

**VII. OTHER INFORMATION**

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

Each proposer must provide a very specific description of any equipment/hardware that it

needs to acquire to perform the work. This description should indicate whether or not each particular piece of equipment/hardware will be included as part of a deliverable item under the resulting award. Also, this description should identify the component, nomenclature, and configuration of the equipment/hardware that it proposes to purchase for this effort. The purchase on a direct reimbursement basis of special test equipment or other equipment that is not included in a deliverable item will be evaluated for allowability on a case-by-case basis. Maximum use of Government integration, test, and experiment facilities is encouraged in each of the Offeror's proposals.

Government research facilities and operational military units are available and should be considered as potential government-furnished equipment/facilities. These facilities and resources are of high value and some are in constant demand by multiple programs. It is unlikely that all facilities would be used for any one specific program. The use of these facilities and resources will be negotiated as the program unfolds. Offerors should explain as part of their proposals which of these facilities are critical for the project's success.

## **2. Security Classification**

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

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

If animals are to be utilized in the research effort proposed, the Offeror must complete a DoD Animal Use Protocol with supporting documentation (copies of 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.

**NOPP Specific Requirements:** In addition to the requirements above, and prior to issuance of awards for recommended proposals, investigators must submit the following documents if experiments or field work involves the use of animals: 1) documentation that facility is AAALAC-approved or has NIH Animal Use Assurance if captive animal facilities are proposed, and 2) copies of NMFS Fisheries scientific research permit if applicable (US Researchers), or 3) United Kingdom and/or Society for Marine Mammalogy animal care guidelines for proposals submitted from Performers in countries with no guidelines of their own.

Similarly, for any proposal for research involving human subjects, the Offeror must submit or indicate an intention to submit prior to award: documentation of approval from an Institutional Review Board (IRB); IRB-approved research protocol; IRB-approved informed consent form; proof of completed human research training (e.g., training

certificate or institutional verification of training); an application for a DoD-Navy Addendum to the Offeror's DHHS-issued Federal wide Assurance (FWA) or the Offeror's DoD-Navy Addendum. In the event that an exemption criterion under 32 CFR.219.101 (b) is claimed, provide documentation of the determination by the Institutional Review Board (IRB) Chair, IRB vice Chair, designated IRB administrator or official of the human research protection program including the category of exemption and short rationale statement. This documentation must be submitted to the ONR Human Research Protection Official (HRPO), by way of the ONR Program Officer. Information about assurance applications and forms can be obtained by contacting ONR\_343\_contact@navy.mil. If the research is determined by the IRB to be greater than minimal risk, the Offeror also must provide the name and contact information for the independent medical monitor. For assistance with submission of human subject research related documentation, contact the ONR Human Research Protection Official at (703) 696-4046.

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

#### **4. Recombinant DNA - RESERVED**

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

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

#### **6. Protection of Proprietary and Sensitive Information**

The parties acknowledge that, during performance of the contract, grant, or other assistance agreement resulting from this BAA, the recipient may require access to certain proprietary and confidential information (whether in its original or derived form) submitted to or produced by the Government. Such information includes, but is not limited to, business practices, proposals, designs, mission or operation concepts, sketches, management policies, cost and operating expense, technical data and trade secrets, proposed Navy budgetary information, and acquisition planning or acquisition actions, obtained either directly or indirectly as a result of the effort performed on behalf of ONR. The recipient shall take appropriate steps not only to safeguard such information, but also to prevent disclosure of such information to any party other than the Government. The recipient agrees to indoctrinate company personnel who will have access to or custody of

the information concerning the nature of the confidential terms under which the Government received such information and shall stress that the information shall not be disclosed to any other party or to recipient personnel who do not need to know the contents thereof for the performance of the contract/agreement. Recipient personnel shall also be informed that they shall not engage in any other action, venture, or employment wherein this information will be used for any purpose by any other party.

## **7. Project Meetings and Reviews**

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

## **8. Submission of Questions**

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

Questions regarding **full proposals** must be submitted by 2:00 P.M. Eastern Time on **Friday, 6 November 2009**. Questions after this date and time may not be answered, and the due date for submission of the proposals will not be extended.

Answers to questions submitted in response to this BAA will be addressed in the form of an Amendment and 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/02/baa/>