

ONR BAA Announcement # 05-009**BROAD AGENCY ANNOUNCEMENT (BAA)****INTRODUCTION:**

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

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

I. GENERAL INFORMATION**1. Agency Name -**

Office of Naval Research,
Ballston Center, Tower One
800 N. Quincy Street
Arlington, VA 22217-5660

2. Research Opportunity Title -

National Oceanographic Partnership Program (NOPP)

3. Program Name -

N/A

4. Research Opportunity Number -

ONR BAA 05-009

5. Response Date -

Full Proposals: 31 March 2005, 4:00PM (Washington D.C. Local Time)

6. Research Opportunity Description -

On behalf of the National Oceanographic Partnership Program (NOPP), 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.

Up to \$6M over three years may be available for this solicitation, subject to appropriation and final approval by the National Ocean Research Leadership Council (NORLC).

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)

Background:

Topic Areas of long-term investment by NOPP are predicated on two NOPP strategic niches: (a) the benefits of partnering on common needs, and (b) sharing the responsibility for those items that might otherwise get left undone but which are needed by all.

Topic 1: IOOS

Implement a sustained and integrated ocean observing system (IOOS) for U.S. global and coastal interests. Provide coastal and global ocean data and products for decision-makers, researchers, and for operational/practical purposes, in general support of the four NOPP Strategic Objectives

Topic 2: Education and Outreach

Increase student and public awareness, knowledge, and understanding of the oceans. Raise the consciousness of the general public and governmental decision-makers to the importance of wise stewardship of the ocean and the coastal zone, through the support of science education and communication.

Topic 3: Infrastructure

Modernize the nation's oceanographic infrastructure (excluding construction). Provide access to state-of-the-art tools, training, and facilities for effective and efficient utilization by national ocean programs, in support of the four NOPP Objectives.

Topic 4: Collaboration

Collaborate to strengthen U.S. interagency initiatives in research and their connections to operations. Ensure multi-agency efforts where such collaboration enhances efficiency or effectiveness, and/or reduces costs, in support of the four NOPP Objectives.

- **Not all NOPP solicitations will seek proposals in all four investment areas.**
- **This FY05 announcement seeks only proposals for new projects under:**

Topic 4: Collaboration

- **Subsequent announcements may call for proposals under any of the NOPP topics, including renewals of existing efforts. Renewal/expansion proposals for existing NOPP projects are not being solicited at this time.**

Topic 4: Collaboration

**4A: Assessment of Global Ocean Data Assimilation Experiment (GODAE)
Boundary Conditions for Coastal Ocean Predictions**

In this solicitation, NOPP seeks proposals for activities that assess the usefulness of products generated by GODAE, when used in conjunction with satellite observations of the coastal ocean, in predicting the coastal ocean environment. Information on the GODAE project and products can be found at the GODAE home page (<http://www.usgodae.org>).

The primary focus for this effort will be to determine the impact of open ocean boundary conditions provided by the GODAE global and basin models on the numerical solutions of coastal ocean models. An assessment of the current capability of numerical models to simulate and predict the coastal environment using only forcing at the boundaries and assimilation of satellite observations is desired. Priority will be given to groups which have both ongoing coastal modeling activities and observational capabilities already in place. Coastal Ocean Observing Systems (COOSs) that are currently funded to observe and model a coastal area are encouraged to respond. Proposals should address the impact of GODAE boundary conditions and satellite remote sensing observations on the accuracy of predictions of the coastal ocean (for both hindcasts and forecasts), with validation provided via the existing *in situ* observational systems. Sensitivity studies that compare the impact of various techniques for forcing regional models at the open boundaries are encouraged. Additionally, proposals that include methods to determine

those *in situ* coastal observations that might eventually be the most useful to future assimilation systems are desired.

To accomplish these tasks it may be necessary to investigate sources of variability in the coastal zone by examining the impacts of boundary conditions, initial conditions, and local ocean physics on the predictability of the coastal environment. As the importance of local dynamics may vary in different coastal systems due to dissimilar geometry, bathymetry, and forcing, funded proposals may be chosen such that coasts in different geographical regions can be explored.

Proposals must include a mechanism through which appropriate feedback will be provided to developers of the GODAE system concerning the suitability of GODAE products in addressing the needs of coastal ocean models and forecasts. Collaborations between coastal ocean modelers and the large-scale GODAE modelers are strongly encouraged.

Up to \$6M will be available over a three year period to support efforts under Topic 4A. The government anticipates supporting up to five (5) regionally-distributed three-year projects, at a level of approximately \$400K per year.

7. Point(s) of Contact -

Questions of a technical nature shall be directed to the cognizant Technical Point of Contact, as specified below:

Science and Technology Point of Contact:

Dr. Scott Harper
 Physical Oceanography Program
 OAS Processes and Prediction S&T Division
 ONR 322
 Office of Naval Research
 Ballston Center Tower One, Room 407-1
 800 N. Quincy St.
 Arlington, VA 22217-5660
 Tel: 703-696-4721
 Fax: 703-696-3390, ATTN: NOPP BAA
 Email: harpers@onr.navy.mil

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

Business Point of Contact:

Ms. Ellen Simonoff
 Senior Contracting Specialist

Placement Two Branch
ONR 252
Office of Naval Research
Ballston Center Tower One, Room 720
800 N. Quincy St.
Arlington, VA 22217-5660
Tel: (703) 696-0157
Fax: (703) 696-0993, ATTN: NOPP BAA
Email: simonoe@onr.navy.mil

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 transaction agreements to appropriate parties, should the situation warrant use of an instrument other than a grant. It is preferred that one institution act as the lead institution for each project and that a single award be issued to the lead institution who 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) Numbers -

12.300

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

DOD Basic and Applied Scientific Research

11. Other Information -

N/A

II. AWARD INFORMATION

*Total Amount of Funding Available: Up to \$6.0 M over three years, subject to appropriation(s) and final approval by the National Ocean Research Leadership Council (NORLC).

*Anticipated Number of Awards: up to 5

*Anticipated Award Types: Grants are anticipated.

*Anticipated Range of Individual Award Amounts: approximately \$400K annually

*Previous Year(s) Average Individual Award Amounts: N/A

*Anticipated Period of Performance for Awards: 3 years

III. ELIGIBILITY INFORMATION

This solicitation is open to all responsible sources.

Historically Black Colleges and Universities and Minority Institutions, as determined by the Secretary of Education to meet requirements of 34 CFR Section 608.2 and 10 U.S.C. Paragraph 2323(a)(1)(C), are particularly encouraged to participate.

IV. APPLICATION AND SUBMISSION INFORMATION

1. Application and Submission Process -

Proposals must be submitted electronically by 4:00 p.m. Washington Local Time on 31 March 2005; see details below. One institution should act as the lead institution for each project and submit the proposal covering all participants.

2. Content and Format of Full Proposals -

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

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 Proposal (Volume 1) is limited to no more than 15 pages. The cover page, table of contents, severable statements of work for proposed Federal entities (if applicable), list of references and resumes are excluded from the page limitations. Full Proposals exceeding the page limit specified for Volume 1 may not be evaluated. The Cost Proposal (Volume 2) has no page limitation.
- Copies –one electronic copy in .PDF format, submitted by the primary offeror/lead institution (including all supporting documents from all partners and subcontractors), as described below.

Full Proposal Content

VOLUME 1: TECHNICAL PROPOSAL should be one document including efforts proposed by all participants on the project.

- **Cover Page:** This should include the words “Technical Proposal” and the following:
 - 1) BAA number;
 - 2) Title of Proposal;
 - 3) Identity of prime Offeror/Lead Institution and complete list of proposed project participants;
 - 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 options)
 - 7) Signatures of Principal Investigator and required institutional official(s)

- **Table of Contents**

- **Project Summary/Abstract**

- **Statement of Work:** A Statement of Work (SOW) clearly detailing the scope and objectives of the effort and the technical approach. 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.

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

- **Assertion of Data Rights:** Offerors asserting Data Rights should do so in accordance with DFARS 252.227-7013 Rights in Technical Data – Noncommercial Items (NOV 1995). Offerors should include a summary of any proprietary rights to pre-existing results, prototypes, or systems supporting and/or necessary for the use of the research, results, and/or prototype. Any data rights asserted in other parts of the proposal that would impact the rights in this section must be cross-referenced. If there are proprietary rights, the Offeror must explain how these affect its ability to deliver research data, subsystems and toolkits for integration. Additionally, Offerors must explain how the program goals are achievable in light of these

proprietary limitations. If there are no claims of proprietary rights in pre-existing data, this section shall consist of a statement to that effect.

NOTE: The default data policy in NOPP is full, open, and immediate disclosure of all data taken under NOPP sponsorship. Waivers and exceptions should be requested in the proposal and may be granted by the cognizant Program Officer.

- **Management Approach:** A discussion of the overall approach to the management of this effort, including brief discussions of the total organization, use of personnel; project/function/subcontractor relationships; government research interfaces; and planning, scheduling and control practice. Identify which personnel and subcontractors (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.
- **List of References:** Provide source of each reference cited in the proposal. No specific format required
- **Curriculum Vitae:** Resumes or CV's of no more than two pages should be included for the Principal Investigator and each major co-investigator
- **Ship Use** Funding estimates for any ship-time must be specifically included in the proposal, and the budget should include full ship costs and clearly specify the size and type of vessels proposed for use. Ships of opportunity are encouraged. Proposers should include ship time requests on either the former NSF Form 831 (Ship time Request Form) or preferably 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 (one document including a summary budget for the entire project and individual budgets for all participants)

The Cost Proposal shall consist of a cover page, table listing partners and funds requested by partner and year, and certification pages. Cost information should be organized into two parts. Part 1 will provide a detailed cost breakdown of all costs by cost category by calendar or Gov't 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.

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.

- **Cover Page:** 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)
 - Signatures of Principal Investigator and required institutional officials
- **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:

Principal Investigator(s)*	Institution*	FY05 funds Requested	FY06 funds Requested	FY07 funds Requested	<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 (Federal	\$57,612	\$61,214	\$50,000	

	Government)				
FEDERAL GOVERNMENT PARTICIPANT TOTAL:	-----	\$57,612	\$61,214	\$50,000	
<i>PROJECT TOTAL</i>	-----	<i>\$318,541</i>	<i>\$250,642</i>	<i>\$245,926</i>	

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

- **Certification package** : Proposals should be accompanied by a completed certification package which can be accessed on the ONR Home Page at Contracts & Grants (http://www.onr.navy.mil/02/rep_cert.asp). Offerors should use the certification for grant proposals and proposals for cooperative agreements or other transaction agreements (other than for prototypes). The certification package is entitled "Certifications for Grants and Agreements. "

Certification Packages from the primary offeror must be signed by an authorized institutional official and included in the .PDF file containing the Cost Proposal.

Part 1: Detailed breakdown of all costs by cost category by calendar or Gov't fiscal year:

- Direct Labor – Individual labor category or person, with associated labor hours and unburdened direct labor rates
- Indirect Costs – Fringe Benefits, Overhead, G&A, COM, etc. (Must show base amount and rate)
- Travel – Number of trips, destination, duration, etc.
- Subcontract – A cost proposal as detailed as the Offeror’s cost proposal will be required to be submitted by the subcontractor. The subcontractor’s cost proposal can be provided in a sealed envelope with the Offeror’s cost proposal or will be requested from the subcontractor at a later date
- Consultant – Provide consultant agreement or other document which verifies the proposed loaded daily/hourly rate
- Materials should be specifically itemized with costs or estimated costs. An explanation of any estimating factors, including their derivation and application, shall be provided. Include a brief description of the Offeror's procurement method to be used (Competition, engineering estimate, market survey, etc.)
- Other Directs Costs, particularly any proposed items of equipment or facilities. Equipment and facilities generally must be furnished by the contractor/recipient. (Justifications must be provided when Government funding for such items is sought). Include a brief description of the Offeror's procurement method to be used (Competition, engineering estimate, market survey, etc.).

Part 2 : Cost breakdown by task/sub-task using the same task numbers in the Statement of Work.

3. Significant Dates and Times -

Anticipated Schedule of Events		
Event	Date (MM/DD/YEAR)	Time (Washington DC Local Time)
Full Proposals Due Date	03/31/2005	4:00 p.m.
Notification of Selection for Award	06/01/2005 *	
Award (start date)	07/01/2005 *	

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

4. Submission of Late Proposals –

Electronic submission of proposals is required, as described below. 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 ALL of the following criteria are met: it is received before selection of awards is made, the contracting officer determines that accepting the late proposal would not unduly delay the acquisition, and it was the only proposal received. Proposers should note the above carefully. The rule for declining "late" proposals must, by law, be strictly enforced.

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.

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

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

5. Address for the Submission of Full Proposals –

Because of potential delays and/or damage in mailing or shipment of hard copy submissions, electronic submissions of Full Proposals are required. Electronic submissions of full proposals must be in PDF format. No more than two files (Technical and Cost Proposal documents, containing all information described above) can be submitted as part of any single partnership proposal. Offerors are strongly encouraged to name the file(s) in a manner that identifies it by lead PI, PI's institution, and Topic to which proposal is submitted. Example file names are:

Johnson.RandomUniversity.Tech-proposal.NOPP-Topic-4A.pdf
 Johnson.RandomUniversity.Cost-proposal.NOPP-Topic-4A.pdf

Electronic proposal submissions must be directed to the National Oceanographic Partnership Program no later than 4:00 pm Washington D.C. Local Time on 31 March 2005 via secure web-based file transfer at <http://onroutside.onr.navy.mil/aspprocessor/nopp322>.

V. EVALUATION INFORMATION

1. Evaluation Criteria –

Evaluations of the proposals will be performed using the following selection criteria listed in the descending order of importance:

- Relevance of the proposed research to NOPP objectives;
- Overall scientific and technical merits of the proposal;
- Level of support of critical research objectives or operational goals such as data accessibility, education and communication;
- Quality of proposed partnerships including the degree of broad participation within the oceanographic community and demonstration of significant partnering among at least two of the following parties: (i) academia, (ii) industry (or not-for-profit organization), and (iii) government (federal, state, local) and extent resources are shared among partners;
- The offeror's capabilities, related experience, and facilities or unique combinations of these that are critical to the proposal objectives;
- The partnership members' long-term commitment to the proposed objectives;
- The qualifications and experience of the proposed principal investigator and key personnel;

2. Evaluation Panel -

All proposals will be subject to mail and/or panel review by peers, which may include non-governmental reviewers under non-disclosure agreements. All reviewers will adhere to confidentiality and conflict of interest standards. A synopsis of the NOPP review process can be found at <http://www.nopp.org/>.

The final distribution of awards will depend on quality of proposals, programmatic balance, NOPP priorities and availability of funds.

VI. AWARD ADMINISTRATION INFORMATION

1. Administrative Requirements –

- CCR - Successful Offerors not already registered in the Central Contractor Registry (CCR) will be required to register in CCR prior to award of any grant, contract, cooperative agreement, or other transaction agreement. Information on CCR registration is available at <http://www.onr.navy.mil/02/ccr.htm>.
- Certifications – Proposals should be accompanied by a completed certification package as described in Section IV.2

2. Annual Reporting -

All funded NOPP efforts must submit an Annual Report for use in the mandatory annual Spring NOPP Report to Congress. The NOPP Program Office will call for these each winter.

VII. OTHER INFORMATION

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

Offerors should provide all necessary facilities required to complete the proposed project. However, should an offeror request that the government furnish property the offeror must provide a very specific description of any equipment/hardware that it needs to acquire to perform the work. 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 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.

2. Use of Animals and Human Subjects in Research

If animals are to be utilized in the research effort proposed, the Offeror must complete a DoD Animal Use Protocol with supporting documentation (copies of AAALAC accreditation and /or NIH assurance, IACUC approval, research literature database searches, and the two most recent USDA inspection reports) prior to award. Similarly, for any proposal that involves the experimental use of human subjects, the Offeror must obtain approval from the Offeror's committee for protection of human subjects (normally referred to as an Institutional Review Board, (IRB)). The Offeror must also provide NIH (OHRP/DHHS) documentation of a Federal Wide Assurance that covers the proposed human subjects study. If the Offeror does not have a Federal Wide Assurance, a DoD Single Project Assurance for that work must be completed prior to award. Please see <http://www.onr.navy.mil/02/howto.htm> for further information.

3. Department of Defense High Performance Computing Program

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