

*****Special Notice*****

Effective April 27, 2012: White Papers and other submissions are suspended indefinitely under this BAA. White Papers should not be submitted during this suspension.

Reason for suspension: Lack of available funds. The suspension will be lifted if funds become available.

APPLICATION AND SUBMISSION INFORMATION

1. Application and Submission Process -

White Papers: Organizations are strongly encouraged to explore NAVMEDRSCHDEVCTR-Frederick interest by submitting a preliminary research proposal (White Paper). White Papers may be submitted at any time describing a specific idea or project that pertains to any of the research areas of interest outlined in the BAA. Brochures or other descriptions of general organizational or individual capabilities will not be accepted as a White Paper. The White Paper format is provided in the next section under “a. White Papers.” NAVMEDRSCHDEVCTR-Frederick scientists or outside experts will evaluate White Papers for scientific merit and programmatic/military relevance. The White Papers meeting preliminary qualifications may be invited to submit full proposals. Usually, the Principal Investigator (PI) should receive a decision letter or e-mail regarding the White Paper within 60 - 90 days of submission.

PLEASE NOTE: Individuals requesting to speak to NAVMEDRSCHDEVCTR-Frederick personnel about whether there is interest in a specific research idea will be directed to submit a White Paper.

Full Proposals: **Only** upon invitation should offerors submit Full Proposals. Proposals should be submitted within 90 days after being requested.

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

White Papers and Full Proposals submitted under the BAA are expected to be unclassified.

a. WHITE PAPERS

Interested offerors shall submit a Cover Page and White Paper. The initial submission is limited to a 1-page cover, and a White Paper **not to exceed five (5) pages**, as discussed below. If submissions exceed these limitations, only those pages previously defined will be reviewed.

Combine all files and forms into a single searchable PDF file before submitting.

Cover Page Information: The Cover Page shall be labeled “WHITE PAPER” and shall include the BAA number N62645-BAA-12-1, proposed title, technical points of contact, telephone

number, facsimile number, and e-mail address. **The cover page does not count toward the page limitation.**

White Paper:

Format

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing –single-spaced
- Font – Times New Roman, 12 point
- Copies – All submissions shall be sent electronically (email) to the NMLC Grant’s Officer, at NMLC-Research@med.navy.mil. The subject line of the email shall read “N62645-BAA-12-1 White Paper Submission”. The white paper must be a single PDF file attachment to the email.

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

Information

1. The white paper should focus on the technical discussion of the offeror’s objective, technical background, scientific approach, level of effort, and the nature and extent of the anticipated results. The white paper shall explicitly identify the area of interest and objective in which the paper is presented. Additionally, the white paper should include the following core elements:

- a. Brief discussion on how the proposed effort aligns with mission objectives as follows:

For Basic Research

- Future Naval Relevance (where applicable): A description of potential Naval relevance and contributions of the effort to the agency’s specific mission.

For Applied Research and Advanced Technology Development

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

- b. A High-level Gantt chart showing an overview of the proposed activities and timelines.
- c. An Overview of offeror’s capabilities and experience (past and current) as they relate to the proposed effort.

2. Brief cost estimate revealing all the component parts of the proposal. Do not include company-sensitive indirect rates in the White Paper submission.
3. Brief biographical sketches of the key personnel who will perform the research, highlighting their qualifications and experience.

b. FULL PROPOSALS

INSTRUCTIONS FOR GRANTS and COOPERATIVE AGREEMENTS

Note: If it is determined a contract mechanism is most appropriate for the proposed effort, NMLC will provide proposal submission instructions separate from that included herein.

Each submission must include the completed package of forms identified in www.grants.gov for the Funding Opportunity N62645-BAA-12-1. The Package includes: SF 424 Application for Federal Assistance with technical and cost proposals included as attachments.

Please note that Volume 1, Technical Proposal and Volume 2, Cost Proposal should be submitted as an attachment to the SF 424 rather than being inserted into Block 7, Project Narrative. Block 7 should be completed with a statement that Volume 1 and 2 are attached. To attach the Technical/Cost Proposal, open the Attachment Form in the Optional Documents box of the application package, scroll down to the Attachment page, and follow the instructions. The files should be titled "Volume 1 – Technical Proposal" and "Volume 2 – Cost Proposal."

By completing Block 17 of the SF 424 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.

Full Proposal Format: **Volume 1 - Technical**
 Volume 2 - Cost Proposal

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single-spaced
- Font – Times New Roman, 12 point
- The page limit for Volume 1 is 50 Pages. There are no page limitations to the Cost Proposal, Volume 2.
- Copies – the full proposal should be submitted electronically at [http://www.grants.gov/](http://www.grants.gov) as delineated in paragraph 4 below.

Volume 1: Technical Proposal

Cover Page: This should include the words "Technical Proposal" and the following:

- 1) N62645-BAA-12-1;
- 2) Title of Proposal;
- 3) Identity of prime Offeror and complete list of subawards, if applicable;
- 4) Technical contact (name, address, phone/fax, electronic mail address)
- 5) Administrative/business contact (name, address, phone/fax, electronic mail address)
- 6) Proposed period of performance (identify the base period and any options)

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

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

Include for Basic Research, if it applies.

- **Future Naval Relevance (where applicable):** A description of potential Naval relevance and contributions of the effort to the agency's specific mission.

Include for Applied Research and Advanced Technology Development, if it applies.

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

Statement of Work (SOW): The SOW should clearly detail the scope and objectives of the effort. The SOW should be consistent with the proposed technical approach. It is anticipated that the proposed SOW will be incorporated into the resultant award. To that end, the proposal must include a severable, self-standing SOW, without any proprietary restrictions. Include a detailed listing of the technical tasks/subtasks organized by time period.

Gantt Chart/ Work Breakdown Structure and Milestones: A detailed Gantt Chart with associated Work Breakdown Structure (WBS) and program milestones.

Deliverables: A detailed description of the results and products to be delivered inclusive of the timeframe in which they will be delivered. Specifically address scientific and technical reports.

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

Technical and Financial Progress Reports
Final Report

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

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

Current and Pending Project and Proposal Submissions: Offerors are required to provide information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing contracts, grants, and cooperative agreements. Offerors shall provide the following information of any related or complementary proposal submissions from whatever sources (e.g., 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 NMLC. Concurrent submission of a proposal to other organizations will not prejudice its review by NMLC:

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

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

Volume 2: Cost Proposal

If options are proposed, the cost proposal must provide the pricing information for the option periods; failure to include the proposed costs for the option periods will result in the options not being included in the award. Assume that performance will start no earlier than three (3) months after the date the cost proposal is submitted. A separate budget justification as an Adobe .pdf document should be included in the application that provides appropriate justification and/or supporting documentation for each element of cost proposed.

Extramural and Intramural Collaboration

Research and development which involves awarding to extramural recipients (Non-Government) with collaboration, in part from intramural entities (Government) shall adhere to the following guidance:

- a. Intramural costs shall not be included and contributory to direct or total cost on proposed extramural efforts. Rather these pieces shall be identified and broken out in separate costs within extramural proposals, as to avoid duplicative expenses to the Government.

- b. The extramural portion will be funded via an assistance agreement through NMLC; the intramural portion shall be funded directly, via a Military Interdepartmental Purchase Request (MIPR) or some other type of Funding Authorization Document (FAD) between the Government entities.
- c. The use of Cooperative Research and Development Agreements (CRADAs) as a mechanism to provide funding to Government entities, in collaboration on Non-Governmental efforts will be prohibited, unless specified otherwise, on all awards resultant from this BAA.

Part 1: The itemized budget must include the following

- Direct Labor – Individual labor categories or persons, with associated labor hours, level of effort expressed by percentage of time devoted to the project for key individuals (e.g., Principal Investigator, senior researchers), and unburdened direct labor rates. Provide escalation rates for out years.

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

- Fringe Benefits and Indirect Costs (e.g., F&A, Overhead, G&A) – The proposal should show the rates and calculation of the costs for each rate category. If the rates have been approved/negotiated by a Government agency, provide a copy of the memorandum/agreement. If the rates have not been approved/negotiated, provide sufficient detail to enable a determination of allowability, allocability and reasonableness of the allocation bases, and how the rates are calculated. Additional information may be requested, if needed. If composite rates are used, provide the calculations used in deriving the composite rates.
- Travel – The proposed travel cost should include the following for each trip: the purpose of the trip, origin and destination if known, approximate duration, the number of travelers, and the estimated cost per trip must be justified based on the organizations historical average cost per trip or other reasonable basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principles.
- Subawards – Provide a description of the work to be performed by the subrecipients. **All direct and indirect costs of any subaward (subgrant or subcontract) must be included in the total direct costs of the primary award.**

Note: Supporting Information: Information such as subawards, consultant agreements, vendor quotes, and personnel work agreements may be required in order to support proposed costs or to determine the employment status of personnel under the assistance agreement. The Government’s receipt of this information does

not constitute approval or acceptance of any term or condition included therein. The terms and conditions of the assistance agreement take precedence over any term or condition included in supporting information.

NMLC is committed to supporting small businesses, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and woman-owned small business concerns. These concerns should be given the maximum practical opportunity to participate through subawards on research proposal/applications submitted through the BAA. If the resultant award is a contract that exceeds \$650,000 and the offeror is other than a small business concern under North American Industry Classification System (NAICS) code 541712, the contractor is required to submit a small business subcontracting plan in accordance with FAR 19.7 and Defense Federal Acquisition Regulation Supplement (DFARS) 219.7. A mutually agreeable plan will be incorporated as part of the resultant contract.

For assistance agreements, the Government highly encourages the collaboration with HBCU/MI's.

- **Consultants** – Provide a breakdown of the consultant's hours, the hourly rate proposed, any other proposed consultant costs, a copy of the signed Consulting Agreement or other documentation supporting the proposed consultant rate/cost, and a copy of the consultant's proposed statement of work if it is not already separately identified in the prime contractor's proposal.
- **Materials & Supplies** – Provide an itemized list of all proposed materials and supplies including quantities, unit prices, proposed vendors (if known), and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).
- **Recipient Acquired Equipment or Facilities** – Equipment and/or facilities are normally furnished by the Recipient. If acquisition of equipment and/or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all equipment and/or facilities costs and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). Allowable items normally would be limited to research equipment not already available for the project. General purpose equipment (e.g., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, office equipment and furnishings) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.
- **Other Direct Costs** – Provide an itemized list of all other proposed other direct costs such as Graduate Assistant tuition, laboratory fees, report and publication costs, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).
NOTE: If the grant proposal is for a conference, workshop or symposium, the funds provided by NMLC may be used to pay for food or beverages only in exceptional circumstances. The funds will not be used for food or beverages unless (1) the grant proposal contains a request for such funding that is fully supported factually in accordance with the cost principles of the relevant OMB Circular, and (2) the grants

officer determines that the funding is a reasonable, allocable, allowable expense under the relevant cost principles.

- Fee/Profit – A profit or fixed fee is not allowable on grants or cooperative agreements. If a contract will be awarded, a profit/fee may be negotiated. Any profit/fee applied to the research project must be listed and any claimed Facilities Capital Cost of Money must be supported by **DD Form 1861** and submitted with the full proposal/application. The website for the form is:
 - (www.dtic.mil/whs/directives/infomgt/forms/forminfo/forminfo2192.html)

Part 2: Cost breakdown

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

3. Submission of Late Proposals –

Not applicable (N/A)

4. Submission of Grant Proposals through Grants.gov –

As stated in Section IV.2, White Papers should not be submitted through the Grants.gov apply process but rather should be sent directly to the NMLC Grants Officer. White paper format requirements are found in Section IV, item 2a above.

For submission of full proposals for grants and cooperative agreements, 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), and registering with Grants.gov. See www.grants.gov, specifically http://www.grants.gov/applicants/get_registered.jsp.

Use the Grants.gov Organization Registration Checklist at http://www.grants.gov/assets/Organization_Steps_Complete_Registration.pdf which will provide guidance through the process. Designating an E-Business Point of Contact (E-Biz 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 completing 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.

Special Notices Relative to Grant Applications to be submitted through Grants.Gov:

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

Proposal Receipt Notices:

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

Number 1 – The applicant will receive a confirmation page upon completing the submission to Grants.gov within 2 business days

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

Number 3 – The third notice is an acknowledgment of receipt in e-mail form from NMLC. The e-mail is sent to the authorized representative for the institution. The e-mail for proposals notes that the proposal has been received and provides the assigned tracking number.