



**NAVAL AIR WARFARE CENTER AIRCRAFT DIVISION  
OFFICE-WIDE BROAD AGENCY ANNOUNCEMENT  
(BAA)**

**N00421-25-S-0001**

**June 23, 2025**

## TABLE OF CONTENTS

<b>I. OVERVIEW INFORMATION</b>	
A. Required Overview Content	
1. Federal Awarding Agency Name	
2. Funding Opportunity Title	
3. Announcement Type	
4. Funding Opportunity Number	
5. Assistance Listings	
6. Key Dates	
7. North American Industry Classification System (NAICS) Code	
<b>II. FULL TEXT OF ANNOUNCEMENT</b>	
<b>A. Program Description</b>	
<b>B. Federal Award Information</b>	
1. Awards	
2. Contracted Fundamental Research	
3. Disclosure of Information and Compliance with Safeguarding Covered Defense Information Controls	
4. Controlled Unclassified Information (CUI) on Non-DoD Information Systems	
5. Funded Amount and Period of Performance	
6. Instrument Type	
7. Assistance Instruments	
<b>C. Eligibility Information</b>	
1. Eligible Proposers	
2. Cost Sharing or Matching	
<b>D. Application and Submission Information</b>	
1. Address to Request (Access) Application Package	
2. Content and Form of Application Submission	
3. Unique Entity Identifier (UEI) and System for Award Management (SAM)	
<b>E. Application Review Information</b>	
1. Evaluation Criteria	
2. Review and Selection Process	
3. Recipient Qualification	

<b>F. Federal Award Administration Information</b>	
1. Administrative and National Policy Requirements	
2. Reporting	
<b>G. Federal Awarding Agency Contacts</b>	
1. Communications	
<b>III. APPENDICES</b>	
1. Requirements Applicable to Grants and Cooperative Agreements	
2. Requirements Applicable to Contracts	
3. Requirements Applicable to Other Transaction Agreements	

## **I. OVERVIEW INFORMATION**

This publication constitutes a Broad Agency Announcement (BAA) for awards by the Naval Air Warfare Center Aircraft Division (NAWCAD) Enterprise Procurement Support Division, (A2161000) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and 35.016, DFARS 235.016, 2 CFR § 200.203, and Department of Defense (DoD) Other Transaction (OT) Guide, July 2023. Negotiations and/or awards for contracts will use procedures under FAR 15.4; negotiations and/or awards for grants and cooperative agreements will use procedures at 2 CFR § 200.203; and negotiations and/or awards for OTs will use procedures at 10 United States Code (U.S.C) § 4021 and 4022. Compliant and relevant proposals received as a result of this BAA shall be evaluated in accordance with the evaluation criteria specified herein through a scientific review process. A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued.

NAWCAD will not issue paper copies of this announcement. NAWCAD reserves the right to fund all, some, or none of the proposals received under this BAA. NAWCAD provides no funding for direct reimbursement of white paper/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 NAWCAD to treat all proposals submitted under this BAA as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

This BAA is restricted to the acquisition of basic research, applied research, advanced technology development, and advanced component development and prototypes intended for scientific study and experimentation directed towards advancing the state-of-the-art or increasing knowledge or understanding, as regulated by FAR 35.016 and DFARS 235.016. Additionally, this BAA will accommodate an OT for prototype project, provided it is directly relevant to enhancing the mission effectiveness of personnel of the Department of Defense or improving platforms, systems, components, or materials proposed to be acquired or developed by the Department of Defense, or to improvement of platforms, systems, components, or materials in use by the armed forces, in accordance with 10 U.S.C § 4022(a)(2). This BAA is not for the acquisition of technical, engineering, and other types of support services.

## **A. Required Overview Content**

### **1. Federal Awarding Agency Name**

Naval Air Warfare Center Aircraft Division (NAWCAD)  
21983 Bundy Road, Building 441  
Patuxent River, MD 20670

### **2. Funding Opportunity Title**

Projects in Support of Naval Aviation

### **3. Announcement Type**

Initial Announcement

### **4. Funding Opportunity Number**

N00421-25-S-0001

### **5. Assistance Listing:**

12.300

Title: Department of Defense (DoD), Department of the Navy (DON),  
Office of Chief of Naval Research, Basic and Applied Scientific  
Research

### **6. Key Dates**

This announcement will remain open through June 22, 2026, 5:00 PM Eastern Time; White Papers may be submitted at any time during this open period.

### **7. North American Industry Classification System (NAICS) code**

The NAICS code under this announcement are:

- 541713, Research and Development in Nanotechnology
- 541714, Research and Development in Biotechnology (except Nanobiotechnology)
- 541715, Research and Development in the Physical, Engineering, and Life Sciences (except Nanotechnology and Biotechnology)

## II. FULL TEXT OF ANNOUNCEMENT

### A. Program Description

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

The Naval Air Warfare Center Aircraft Division (NAWCAD) is interested in receiving white papers for research and development projects, which offer potential for advancement and improvement of NAWCAD operations.

All interested parties should note that this announcement is to declare NAWCAD's broad role in competitive funding of meritorious research across a spectrum of science and engineering disciplines.

NAWCAD has identified the research needed to address the challenges, problems, and future technology needs of the Warfighter. Research Opportunity Areas of Interest:

- **Advanced Manufacturing (Priority).** Areas of research include but are not limited to the following: Multi-functional aircraft components to enable mission flexibility and platform interoperability, aircraft part digital repository and large-scale complete part printing, manufacture-on-demand of Naval aviation assets.
- **Aeromechanics.** Areas of research include but are not limited to the following: aerodynamic and flight controls (manned and unmanned), aeromechanics modeling and analysis tools, flight performance, rotorcraft aerodynamics and performance, ship/aircraft aerodynamic interactions, and unmanned aviation and integration including pilot augmentation and automation and UAV autonomous landing flight mechanics.
- **Artificial Intelligence (AI) / Machine Learning (ML) (Priority).** Areas of research include but are not limited to the following: AI/ML-driven signal and analysis type sensing, complex reasoning, multi-agent based operation and decision making, airspace integration including sense and avoid algorithms, deep reinforcement learning, neural networks, and demand forecasting.
- **Autonomy (Priority).** Areas of research include but are not limited to the following: Autonomous air to air refueling, autonomous system development, testing, evaluation, verification and validation tools, airworthiness and risk quantification/acceptance, collaborative autonomy, autonomous system precision takeoff and landing.
- **Avionics, Sensors & Electronic Warfare:** Areas of research include but are not limited to the following: multi-modal sensors, passive/active sensor systems (RF, EO/IR, and acoustic), advanced/alternative precision navigation and timing (PNT),

advanced computational/open system architectures, advanced signal and image processing, flight information and control systems, and advanced concepts in electronic warfare systems.

- **Cyber (Priority).** Areas of research may include but are not limited to the following: high accuracy threat detection, cyber effects modeling, reverse engineering, behavioral analysis, intrusion, adaptive cybersecurity, simulation and interface research, concolic testing and systems configuration management.
- **Data Science & Visualization.** Areas of research include but are not limited to the following: predictive modeling algorithms, complex big-data environments, data access, storage and retrieval, data visualization techniques, risk assessment and uncertainty quantification, and statistical analysis.
- **Digital Engineering (Priority).** Areas of research include but are not limited to the following: advancements in the use of Digital Twin technology and concepts to support predictive maintenance, automated sustainment environment, diagnostics and prognostics, predictive maintenance, digital communication of system requirements using model-based systems engineering (MBSE)/Systems Modeling Language (SysML) views, engineering models and virtual environments to test designs across broader parameters than what live testing permits
- **Human Systems.** Areas of research include but are not limited to the following: human performance assessment and modeling, cognitive performance/workload, human-machine interface/teaming, protective equipment, controls and displays, ergonomics, anthropomorphic measurement, virtual environments, human factor engineering (social, behavioral, health, and cultural), cognitively enhanced operator-state monitoring, prediction, and recommendation, and human machine fusion AI-supported operator enhancement.
- **Hypersonic Systems.** Areas of research include but are not limited to the following: external and internal high-speed aerodynamic, multi-physic modeling and simulation, hypersonic system testing and evaluation, high temperature and specific strength materials, structures and coatings, guidance, navigation and control and advanced air-breathing propulsion.
- **Materials and Aircraft Structures.** Areas of research include but are not limited to the following: additive manufacturing, corrosion prevention, non-destructive inspection, structural repair and repair processes for metals and ceramics, polymers and composites, analysis and simulation of aircraft structures, structural mechanics, fouling, low observable, high temperature material, low temperature icing resistant and life management of airframes.

- **Mechanical Systems.** Areas of research include but are not limited to the following: fire and ice protection for aviation systems, fuel containment, hydraulic systems, pneumatic systems and landing gear systems analysis.
- **Power and Propulsion Systems.** Areas of research include but are not limited to the following: reliability engineering, fuel systems, prognostics and diagnostics, energy storage/efficiency, air-breathing engines, fuels and lubricants, electrical power generation, auxiliary power, low observable signature technologies, propulsion life management, mechanical and drive systems, and affordable small to medium scale propulsion systems.
- **Quantum (Priority).** Areas of research may include but are not limited to the following: Precise self-reliant, onboard navigation and threat detection, secure communication and sensing capabilities, nitrogen vacancy diamond sensing, quantum encryption and quantum computing.
- **Secure Communications & Networks (Priority).** Areas of research include but are not limited to the following: resilient data and communications networks for Command and Control, architecture, analysis and software development, information assurance including blockchain networks and security, platform/system health monitoring, effective data transfer of both communications and video and integration of security end to end in software development, all with consideration for autonomous applications, while performing in dynamic and contested environments.
- **Support Equipment.** Areas of research include but are not limited to the following: launch and recovery equipment, forward deployed sustainment and resupply, rapid assessment and repair technologies for contested environments, electro-magnetics, high-energy generation and control, environmental sensing, prognostics and health monitoring, automatic testing of hardware and software, displays, advanced maintenance technologies, information systems and intelligent agents, and advanced computer and data processing applications.
- **Test and Evaluation Engineering.** Areas of research include but are not limited to the following: telemetry, communications, data links and data acquisition, signature technologies, mission system testing, system of systems testing environments, virtual reality (VR), augmented reality (AR), extended reality (XR), target engineering, airborne threat simulation, integrated battle-space simulation (Live Virtual Constructive Environments), hardware-in-the-loop testing, flight instrumentation, ground radar analysis, test article configuration, navigation, and identification, manned-unmanned teaming, advance training systems to include instructional techniques and strategies, and game-based training.



- **Warfare Analysis.** Areas of research include but are not limited to the following: operational suitability, signal extraction, clutter reduction, modeling and simulation, maritime effectiveness, vulnerability and capability based assessment, and conceptual aircraft design.

NAWCAD may also consider submissions outside these areas if the white paper involves the development of novel-based capabilities with potential to enhance naval capabilities.

## **B. Federal Award Information**

### **1. Awards**

Multiple awards are anticipated. The level of funding for individual awards made under this BAA has not been predetermined and will depend on the quality of the white papers received and the availability of funds. Awards will be made to Proposers whose white papers are determined to be the most advantageous to the Government, all factors considered, including the potential contributions of the proposed work, overall funding strategy, and availability of funding.

The Government reserves the right to:

- select for negotiation all, some, one or none of the proposals received in response to this BAA;
- make awards without discussions with Proposers;
- conduct discussions with Proposers if it is later determined to be necessary;
- segregate portions of the resulting awards into pre-priced options
- accept proposals in their entirety or to select only portions of proposals for award;
- fund proposals in increments and/or with options for continued work at the end of one or more phases;
- request additional documentation once the award instrument has been determined (e.g., representations and certifications); and
- remove Proposers from award consideration should the parties fail to reach agreement on award terms within a reasonable time or the Proposer fails to provide requested additional information in a timely manner

Proposals selected for negotiation may result in a procurement contract, grant, cooperative agreement, or other transaction (OT) agreement depending upon the nature of the work proposed, the required degree of interaction between parties, whether or not the research is classified as Fundamental Research, and other factors.

Proposers looking for innovative, commercial-like contractual arrangements are encouraged to consider requesting OT agreements. In accordance with 10 U.S.C. § 4022(f), the Government may award a follow-on production contract or OT agreement subsequent, without the use of competitive procedures, to a prototype OT awarded under this BAA if: (1) competitive procedures were used for the selection of parties for participation in the transaction; and (2) the participants in the transaction successfully

completed the prototype project provided for in the transaction.

In all cases, the Government contracting officer shall have sole discretion to select award instrument type, regardless of instrument type proposed, and to negotiate all instrument terms and conditions with Proposers. NAWCAD will apply publication or other restrictions, as necessary, if it determines that the research resulting from the proposed effort will present a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense. Any award resulting from such a determination will include a requirement for NAWCAD permission before publishing any information or results on the program. For more information on publication restrictions, see the section below on Contracted Fundamental Research.

## **2. Contracted Fundamental Research**

With regard to any restrictions on the conduct or outcome of work funded under this BAA, NAWCAD will follow the guidance on and definition of “contracted fundamental research” as provided in the Under Secretary of Defense (Acquisition, Technology and Logistics) Memorandum of 24 May 2010.

As defined therein the definition of “contracted fundamental research,” in a DoD contractual context, includes research performed under grants and contracts that are (a) funded by Research, Development, Test and Evaluation Budget Activity 1 (Basic Research), whether performed by universities or industry or (b) funded by Budget Activity 2 (Applied Research) and performed on campus at a university. The research shall not be considered fundamental in those rare and exceptional circumstances where the applied research effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the contract or grant.

Pursuant to DoD policy, research performed under grants and contracts that are a) funded by Budget Activity 2 (Applied Research) and NOT performed on-campus at a university b) funded by Budget Activity 3 (Advanced Technology Development) or c) funded by Budget Activity 4 (Advanced Component Development and Prototypes) does not meet the definition of “contracted fundamental research.” In conformance with the USD (AT&L) guidance and National Security Decision Directive 189, NAWCAD will place no restriction on the conduct or reporting of unclassified “contracted fundamental research,” except as otherwise required by statute, regulation or executive order.

For certain research projects, it may be possible that although the research to be performed by a Proposer is non-fundamental research, its proposed subcontractor’s effort may be fundamental research. It is also possible that the research performed by a potential Proposer is fundamental research while its proposed subcontractor’s effort may be non-fundamental research. In all cases, it is the Proposer’s responsibility to explain in its proposal, which proposed efforts are fundamental research and why the proposed efforts should be considered fundamental research. While Proposers should clearly explain the intended results of their research, the Government shall have sole discretion to determine whether the proposed research is considered fundamental and to select the award

instrument type and to negotiate all instrument terms and conditions with Proposers. Appropriate language will be included in resultant awards for non-fundamental research to prescribe publication requirements and other restrictions, as appropriate.

Normally, fundamental research is awarded under grants with universities and under contracts with industry. Non-fundamental research is normally awarded under contracts and may require restrictions during the conduct of the research and DoD pre-publication review of such research results due to subject matter sensitivity. As of the date of publication of this BAA, the Government cannot identify whether the work under this BAA may be considered fundamental research and may award both fundamental and non-fundamental research.

### **3. Disclosure of Information and Compliance with Safeguarding Covered Defense Information Controls**

The following provisions and clauses apply to all contracts awarded under this BAA; however, the definition of “controlled technical information” clearly exempts work considered fundamental research and therefore, even though included in the contract, will not apply if the work is fundamental research.

DFARS Clause 252.204-7000, “Disclosure of Information”

DFARS Clause 252.204-7008, “Compliance with Safeguarding Covered Defense Information Controls”

DFARS Clause 252.204-7012, “Safeguarding Covered Defense Information and Cyber Incident Reporting (DEVIATION 2024-O0013)”

Compliance with the above requirements include the mandate for Proposers to implement the security requirements specified by National Institute of Standards and Technology (NIST) Special Publication (SP) 800-171 Revision 3, “Protecting Controlled Unclassified Information in Nonfederal Information Systems and Organizations,” (see <https://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-171r3.pdf>), that are in effect at the time this BAA is issued.

For awards where the work is considered fundamental research, the Proposer will not have to implement the aforementioned requirements and safeguards. However, should the nature of the work change during performance of the award, work not considered fundamental research will be subject to these requirements and any security classification requirements.

Project Spectrum is a nonprofit organization effort funded by the DoD Office of Small Business Programs to help educate Defense Industrial Base (DIB) on compliance. Project Spectrum is vendor-neutral and available to assist Proposer’s with their cybersecurity and compliance needs. This mission is to improve cybersecurity readiness, resilience, and compliance for small/medium-sized business and the federal manufacturing supply chain. Project Spectrum events and programs will enhance awareness of cybersecurity threats within manufacturing, research and development, and knowledge-based services sectors of the industrial base. Project Spectrum will leverage

strategic partnerships within and outside of the DoD to accelerate the overall cybersecurity compliance of the DIB.

Web portal, [www.projectspectrum.io](http://www.projectspectrum.io), will provide resources such as individualized dashboards, a marketplace, and Pilot Program to help accelerate cybersecurity compliance.

#### **4. Controlled Unclassified Information (CUI) on Non-DoD information System**

In addition to classified information, certain types of unclassified information also require application of access and distribution controls and protective measures for a variety of reasons. This information is referred to collectively as Controlled Unclassified Information (CUI). DoD CUI is government-created or owned information based on laws, regulation, or government-wide policy. DoD CUI Categories are located at <https://www.dodcui.mil/>. For further information consult DoD Instruction (DoDI) 5200.48, “Controlled Unclassified Information” and website listed above.

All non-DoD entities under contract or agreement with NAWCAD are expected to adhere to the following procedural safeguards, in addition to any other relevant federal or DoD specific procedures:

- Do not process NAWCAD CUI on publicly available computers or post NAWCAD CUI to publicly available webpages or websites that have access limited only by domain or Internet protocol restriction.
- Ensure that all NAWCAD CUI is protected by a physical or electronic barrier when not under direct individual control of an authorized user and limit the transfer of NAWCAD CUI to subcontractors or teaming partners with a need to know and commitment to this level of protection.
- Ensure that all NAWCAD CUI is only processed on information technology systems meeting NIST SP 800-171 or DoDI 8582.01 requirements.
- Ensure that NAWCAD CUI on mobile computing devices is identified and encrypted and all communications on mobile devices or through wireless connections are protected and encrypted.
- All wireless telephone transmission of CUI will be avoided when there are other options available.
- Sanitize or destroy media containing CUI before disposal or release for reuse in accordance with NIST SP 800-88 and DoDI 5200.48.

Questions regarding CUI should contact the NAWCAD Security at [NAWCAD\\_INDUSEC@us.navy.mil](mailto:NAWCAD_INDUSEC@us.navy.mil).

#### **5. Funded Amount and Period of Performance**

The funded amount and period of performance of each proposal selected for award may vary depending on the research area and the technical approach to be pursued by the Proposers selected.

For informational purposes, assistance instruments funded through the NAWCAD Strategic Education Office (SEO Seed Grants), historically consist of funding profile ranges of approximately \$160,000.00 - \$200,000.00, with an approximate period of performance of 24 months.

## **6. Instrument Type(s) -**

Awards may take the form of contracts, grants, cooperative agreements, or OT agreements, as appropriate.

The following provides brief descriptions of potential instrument types:

a. Procurement Contract: A legal instrument, consistent with 31 U.S.C. 6303, which reflects a relationship between the Federal Government and a state government, a local government, or other entity/contractor when the principal purpose of the instrument is to acquire property or services for the direct benefit or use of the Federal Government.

b. Assistance Instruments.

i. Grant: A legal instrument consistent with 31 U.S.C. 6304, which is used to enter into a relationship:

- The principal purpose of which is to transfer a thing of value to the recipient to carry out a public purpose of support or stimulation authorized by a law of the United States, rather than to acquire property or services for the Federal Government's direct benefit or use.
- In which substantial involvement is not expected between the Federal Government and the recipient when carrying out the activity contemplated by the grant.
- No fee or profit is allowed.

ii. Cooperative Agreement: A legal instrument which, consistent with 31 U.S.C 6305, is used to enter into the same kind of relationship as a grant, except that substantial involvement is expected between the Federal Government:

- The principal purpose of which is to transfer a thing of value to the recipient to carry out a public purpose of support or simulation authorized by a law of the United States, rather than to acquire property or services for the Federal Government's direct benefit or use.
- In which substantial involvement is expected between the Federal Government and the recipient when carrying out the activity contemplated by the cooperative agreement.

- No fee or profit is allowed.

c. Other Transaction (OT) Agreement for Research. A legal instrument, consistent with 10 U.S.C. § 4021, which may be used for basic, applied, and advanced research projects. To the maximum extent practicable, an OT agreement for research shall provide for a 50/50 cost share between the Government and the performer. The effort covered under an OT agreement for Research shall not be duplicative of effort being conducted under an existing DoD program. Please refer to the Office of the Under Secretary of Defense for Acquisition and Sustainment “Other Transaction Guide,” version 2.0, dated July 2023, for additional information.

d. Other Transaction (OT) Agreement for Prototype: A legal instrument, consistent with 10 U.S.C. § 4022, which may be used when the use of a contract, grant, or cooperative agreement is not feasible or appropriate for prototype projects directly relevant to enhancing the mission effectiveness of personnel of the Department of Defense or improving platforms, systems, components, or materials proposed to be acquired or developed by the Department of Defense, or to improvement of platforms, systems, components, or materials in use by the armed forces. The effort covered under an OT agreement for Prototype shall not be duplicative of effort being conducted under an existing DoD program. Please refer to the Office of the Under Secretary of Defense for Acquisition “Other Transactions Guide,” version 2.0, dated July 2023, for additional information.

## **7. Assistance Instruments**

Any assistance instrument awarded under this announcement will be governed by the award terms and conditions that conform to DoD’s implementation of OMB guidance in 2 CFR Part 200, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.” The DoD Terms and Conditions are located at <https://www.nre.navy.mil/work-with-us/manage-your-award/manage-grant-award/grants-terms-conditions>.

### **C. Eligibility Information**

#### **1. Eligible Proposers**

a. All responsible sources capable of satisfying the Government’s needs, including academia (colleges and universities); businesses (large, small, small disadvantaged, etc.); other organizations (including non-profit); and entities (foreign and domestic) may submit proposals under this BAA. Historically Black Colleges and Universities (HBCUs), Small Businesses, Small Disadvantaged Businesses, and Minority Institutions (MIs) are encouraged to submit white papers and join others in submitting white papers. However, no portion of this BAA will be set aside for Small Business or other socio-economic participation. All businesses, both small and large, are encouraged to submit white papers and compete for funding consideration.

b. Non-traditional defense contractors, as defined in 10 U.S.C. § 3014, in addition to traditional defense contractors. For these non-traditional defense contractors, NAWCAD can use statutory authorities to employ award mechanisms that allow commercial companies to continue using their internal business processes and permits flexibility in negotiating most terms and conditions in any resultant agreement. OTs for Prototypes, for example, could be used when the main focus of the agreement is to create a prototype that the Government may acquire, even when significant research is necessary to create the prototype. NAWCAD has wide latitude to use this authority, but it has a statutory requirement that the Proposer's team needs to either have at least one "non-traditional defense contractor" (an entity with no full cost accounting standards (CAS) Defense contract awards with the Government of \$50 million or more in the last year) or to cost share one-third of the project's costs, unless higher level approval is obtained in accordance with the 10 U.S.C. § 4022(d) statute.

c. 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 Proposers are allowed so long as such arrangements are permitted under the sponsoring agreement between the Government and the specific FFRDC.

d. Navy laboratories, military universities 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. As with FFRDCs, these types of federal organizations may team with other eligible sources from academia and industry that are submitting white papers under this BAA.

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

f. Non-U.S. organizations and/or individuals may participate to the extent that such participants comply with any necessary nondisclosure agreements, security regulations, export control laws, and other governing statutes applicable under the circumstances.

g. Teams are also encouraged and may submit proposals in any and all areas. However, Proposers 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 NAWCAD.

**2. Cost Sharing or Matching** – Cost sharing is not required; however, it will be carefully considered where there is an applicable statutory condition relating to the selected funding instrument (e.g., OT Agreement for Research under the authority of 10 U.S.C. § 4021, OT Agreement for Prototype under the authority of 10 U.S.C. § 4022).

## **D. Application and Submission Information**

1. **Address to Request (Access) Application Package** - This BAA may be accessed from the sites below. Amendments, if any, to this BAA will be posted to these websites when they occur. Interested parties are encouraged to periodically check these websites for updates and amendments.

- a. Sam.Gov (<https://sam.gov/>)
- b. Grants.gov ([www.grants.gov](http://www.grants.gov))

2. **Content and Form of Application Submission**

- a. General Information

The submission process is two-phased as described below. No further Request for Information (RFI) or other announcement of this opportunity will be made.

### **PHASE I – White Paper**

**White Papers may be submitted at any time up until June 22, 2026, 5:00 PM Eastern time.** If a Proposer does not submit a white paper before the specified due date and time, it is not eligible for invitation to Phase II, Full Technical/Cost Proposal submission, and, therefore, is not eligible for funding.

Proposers are instructed to submit White Papers only for actual technologies within the areas of interest in Part II Section A, Program Description. Each white paper should state that it is submitted in response to this BAA and cite the particular Research Opportunity Area of Interest that the white paper is specifically addressing. If addressing more than one Research Opportunity Area of Interest, then separate standalone white paper submissions shall be required. White papers with general responses to multiple areas of interest will be determined to be non-compliant and will not be further considered.

**White Paper Evaluation/Notification:** Evaluations of the white papers are anticipated to be conducted on a quarterly basis. However, any such review does not assure a subsequent award. Any Proposer whose white paper was not identified as being of particular value to the Navy is ineligible to submit a full proposal under this BAA.

### **PHASE II – Full Technical/Cost Proposal (BY INVITATION ONLY)**

Only Proposers whose PHASE I - White Paper is considered of interest in meeting existing or future program requirements will be contacted to submit a PHASE II – Full Technical/Cost Proposal. NAWCAD will not respond to every White Paper received. If no request for a Phase II proposal is received, do not submit a Full Technical/Cost Proposal. Request for submission of a Full Technical/Cost Proposal does not guarantee an award.



All proposal submissions will be protected from unauthorized disclosure in accordance with FAR Subpart 15.207, applicable law, and DoD/DoN regulations. Proposers are responsible for clearly identifying proprietary information. Submissions containing proprietary information must have the cover page and each page containing such information clearly marked with a label such as “Proprietary.” NOTE: “Confidential” is a classification marking used to control the dissemination of U.S. Government National Security Information as dictated in Executive Order 13526 and should not be used to identify proprietary business information.

b. Submission of Unclassified and Classified White Papers

- Unclassified White Paper Instructions: Unclassified white papers shall be submitted in accordance with this Section.
- Submission of **CLASSIFIED** White Papers are **NOT** authorized under this BAA.

c. White Paper Requirements.

i. White Paper Format

- Written in English
- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing –single-spaced
- Font – Times New Roman or Calibri, 12 point
- Page limit– 3 pages, exclusive of cover page

ii. White Paper Submission. E-mail submission is required (per the instructions below). The white paper must be Microsoft Word compatible or PDF format attachment to the email. There is an email size limit of 5MB per email.

- Electronic (email) submissions are to be sent to the attention of the BAA Coordinator to the respective inbox (**DO NOT SEND TO BOTH INBOXES**). White paper submissions submitted to the inappropriate email address will not be reviewed:
  - Academia (college and universities) shall submit white papers under this BAA to: [NAWCAD-Academia-BAA@us.navy.mil](mailto:NAWCAD-Academia-BAA@us.navy.mil)
  - All others, including businesses (large, small, small disadvantaged, etc.), other organizations (including non-profit), and entities (foreign and domestic) shall submit white papers under this BAA to: [NAWCAD-Industry-BAA@us.navy.mil](mailto:NAWCAD-Industry-BAA@us.navy.mil)
- The subject line of the email shall include reference to BAA Number N00421-25-S-0001 and list the applicable Research Opportunity Area of

Interest.

- Do not send ZIP files or password protected files.

iii. White Paper Content: White papers shall include the following:

- **Cover Page**: The Cover Page shall be labeled “WHITE PAPER” and shall include the BAA Number, proposed title, research opportunity area of interest, contracts and technical points of contact, telephone number, and E-mail address. IMPORTANT NOTE: Titles given to the White Papers should be descriptive of the work they cover and not be merely a copy of the title of this solicitation.
- **Technical Concept**: A description of the technology innovation and technical risk areas.
- **Future Naval Relevance**: A description of the potential contributions of the proposed effort and the relevancy to the NAWCAD and Department of Navy mission.
- **Rough Order of Magnitude cost estimate**
- **Forecasted Award Instrument Type**
- **Period of Performance**
- **OPTIONAL**
  - **Government Technical Point of Contact**, if known: Provide the name, organizational code, and phone number. This is not required for a compliant submission; leave this entry blank if not known.

d. **Full Proposal Instructions**:

- i. Requirements Applicable to Grants and Cooperative Agreements; see Appendix 1
- ii. Requirements Applicable to Contracts; see Appendix 2
- iii. Requirements Applicable to Other Transaction Agreements; see Appendix 3

### **3. Unique Entity Identifier and System for Award Management**

Unique Entity Identifier (UEI) and System for Award Management (SAM) - All Proposers submitting proposals or Grants.gov applications must:

- a. Be registered in SAM prior to submission;

- b. Maintain an active SAM registration with current information at all times during which it has an active Federal award or an application under consideration by any agency; and
- c. Provide its Unique Entity ID (generated by SAM.gov) in each application or proposal it submits to the agency.

Proposals will not be accepted through Grants.gov or other methods unless the entity is registered in SAM. Registration in SAM includes Representations and Certifications and Responsibility and Qualification reporting. SAM may be accessed at <https://sam.gov/>.

For assistance instruments, the Federal Assistance Certifications Report is an attestation that the entity will abide by the requirements of the various laws and regulations; therefore, as applicable, Proposers are still required to submit any documentation, including Standard Form (SF) LLL Disclosure of Lobbying Activities (if applicable), and information the Department of Defense (DoD) of unpaid delinquent tax liability or felony convictions under any Federal law.

## **E. Application Review Information**

### **1. Evaluation Criteria**

Proposals will be evaluated using the following criteria listed in descending order of importance:

#### *1) Technical Approach:*

This criterion rates the degree to which the proposed technical approach is innovative, feasible, achievable, and complete. The proposed technical team has the expertise and experiences to accomplish the proposed tasks. The task descriptions and associated technical elements provided are complete and in a logical sequence with all proposed deliverables clearly defined such that a final outcome that achieves the goal is likely as a result of award. The proposal identifies major technical risks, clearly defines feasible risk mitigation efforts, and outlines anticipated schedule.

#### *2) Potential Contribution and Relevance to the NAWCAD Mission:*

This criterion rates the degree to which the potential contributions of the proposed effort are relevant to the NAWCAD and Department of the Navy mission. This includes considering the extent to which any proposed intellectual property restrictions (if any) will not significantly impact the Government's ability to transition the technology.

#### *3) Cost:*

This criterion rates the degree to which the proposed costs are realistic for the technical and management approach and accurately reflect the technical goals and objectives of the applicable research area of interest. The proposed costs are consistent with the Proposer's Statement of Work and reflect a sufficient understanding of the costs and level of effort needed to successfully accomplish the proposed technical approach. The costs for the prime Proposer and Proposer's subcontractor(s) are substantiated by the details provided

in the full proposal (e.g., the type and number of labor hours proposed per task, the type and quantities of materials, equipment and fabrication costs, travel and any other applicable costs and the basis for the estimates).

## **2. Review and Selection Process**

a. NAWCAD will conduct a scientific review of each conforming proposal. Conforming proposals comply with all requirements detailed in this BAA; proposals that fail to do so may be deemed non-conforming and may be removed from consideration. NAWCAD may, at its discretion, choose not to make an award to any Proposer for any reason.

Proposals will not be evaluated against each other since they are not submitted in accordance with a common work statement. NAWCAD's intent is to review proposals as soon as possible after they arrive; however, proposals may be reviewed periodically for administrative reasons.

Selections may be made at any time during the period of this BAA. Pursuant to FAR 35.016, the primary basis for selection of proposals for award negotiations shall be technical, importance to agency programs, and funds availability.

The ultimate recommendation for award of proposals is made by NAWCAD's scientific/technical community. Recommended proposals will then be forwarded to the NAWCAD Enterprise Procurement Support Division - A2161000. Any notification received from NAWCAD that indicates that the Proposer's full proposal has been recommended does not ultimately guarantee an award will be made. This notice indicates that the proposal has been selected in accordance with the evaluation criteria stated above and has been sent to the Procurement Group to conduct cost analysis, to determine the Proposer's responsibility, to confirm whether funds are available, and to take other relevant steps necessary prior to commencing negotiations with the Proposer.

### **b. Options**

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

### **c. Evaluation Panel**

Government subject matter experts will determine the interest in PHASE I - White Papers and perform the evaluation of the invited PHASE II – Full Technical/Cost Proposals received at NAWCAD. Subject to the restrictions set forth in FAR 37.203(d), input on technical aspects of the proposals may be solicited by NAWCAD from non-Government consultants/experts who are strictly bound by appropriate non-disclosure requirements. In many cases, the Government subject matter experts will participate in an awarded project with the responsibility of guiding, coordinating, and executing efforts in support of the project.

Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure in accordance with FAR 2.101, FAR 3.104-4, and FAR 15.207, 10 U.S.C. § 4021(i), or 10 U.S.C. § 4022(h), as applicable.

### **3. Recipient Qualifications**

- a. Requirements Applicable to Grants and Cooperative Agreements; see Appendix 1
- b. Requirements Applicable to Contracts; see Appendix 2
- c. Requirements Applicable to Other Transaction Agreements; see Appendix 3

## **F. Federal Award Administration Information**

### **1. Administrative and National Policy Requirements**

#### *Intellectual Property*

Proposers should note that the Government does not own the intellectual property of technical data/computer software developed under Government contracts; it acquires the right to use the technical data/computer software. Regardless of the scope of the Government's rights, performers may freely use their same data/software for their own commercial purposes (unless restricted by U.S. export control laws or security classification). Therefore, technical data and computer software developed under this BAA will remain the property of the performers, though NAWCAD desires to have a minimum of Government Purpose Rights (GPR) to noncommercial technical data/computer software developed through NAWCAD sponsorship.

NAWCAD will emphasize creating and leveraging upon open source technology and architecture. Intellectual property rights asserted by Proposers are strongly encouraged to be aligned with open source/open architecture regimes.

Proposers expecting to use, but not to deliver, commercial open source tools or other materials in implementing their approach may be required to indemnify the Government against legal liability arising from such use.

All references to "Unlimited Rights" or Government Purpose Rights" are intended to refer to the definitions of those as set for in DFARS Part 227.

#### *Export Control Laws*

Proposers should be aware of recent changes in export control laws. Proposers are responsible for ensuring compliance with all U.S. export control laws and regulations, including the International Traffic in Arms Regulations (ITAR)(22 CFR Parts 120 - 130) and Export Administration Regulations (EAR) (15 CFR Parts 730 – 774), as applicable. In some cases, developmental items funded by the Department of Defense are now included on the United States Munitions List (USML) (22 CFR Part 121) and are therefore subject to ITAR

jurisdiction. In other cases, items that were previously included on the USML have been moved to the EAR Commerce Control List (CCL)(15 CFR 774). Proposers should address in their proposals whether ITAR or EAR restrictions apply to the work they are proposing to perform for NAWCAD. The ITAR and EAR are available online at <http://www.ecfr.gov/>.

Proposers must comply with all U.S. export control laws and regulations, including the ITAR and EAR, in the performance of any award or agreement resulting from this BAA. Proposers shall be responsible for obtaining any required licenses or other approvals, or license exemptions or exceptions if applicable, for exports of hardware, technical data, and software (including deemed exports), or for the provision of technical assistance.

#### *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 government CUI or classified material will be required at any point during performance, the Proposer must coordinate with the Government Technical Point of Contact, Contracting Officer, and Industrial Security Representative.

If it is determined that access to government CUI will be required during the performance of an award, the Technical Point of Contract, Contracting Officer, and Industrial Security representative will provide security protocols and requirements.

If it is determined that access to classified information will be required during the performance of an award, a Department of Defense (DD) Form 254 will be attached to the award, and FAR Clause 52.204-2, Security Requirements will be incorporated into the contract (or other comparable terms and conditions for OT awards).

**NAWCAD does not provide access to government CUI or classified material under assistance instruments.**

#### *Requirements Concerning Live Organisms:*

- a) Use of Animals: Award recipients performing research, experimentation, or testing involving the use of animals shall comply with the rules on animal acquisition, transport, care, handling, and use as outlined in: (i) 9 CFR parts 1-4, Department of Agriculture rules that implement the Animal Welfare Act of 1966, as amended, (7 U.S.C. § 2131-2159); (ii) National Institutes of Health Publication No. 86-23, "Guide for the Care and Use of Laboratory Animals" (8th Edition); and (iii) DoD Instruction 3216.01, "Use of Animals in DoD Programs."

For projects anticipating animal use, proposals should briefly describe plans for Institutional Animal Care and Use Committee (IACUC) review and approval. Animal studies in the program will be expected to comply with the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals, available at <https://olaw.nih.gov/policies-laws/phs-policy.htm>.

All award recipients must receive approval by a DoD-certified veterinarian, in addition to an IACUC approval. No animal studies may be conducted using DoD funding until the United States Army Medical Research and Materiel Command (USAMRMC) Animal Care and Use Review Office (ACURO) or other appropriate DoD veterinary office(s) grant approval. As a part of this secondary review process, the award recipient will be required to complete and submit an ACURO Animal Use Appendix, which may be found at:

[https://mrhc.health.mil/index.cfm/collaborate/research\\_protections/acuro](https://mrhc.health.mil/index.cfm/collaborate/research_protections/acuro).

b) Use of Human Subjects in Research: Proposers must protect the rights and welfare of individuals who participate as human subjects in research under this award and comply with the requirements of the Common Rule at 32 CFR part 219 and applicable provisions of DoDI 3216.02, Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research (2022), the DON implementation of the human research protection program contained in SECNAVINST 3900.39E (or its replacement), 10 U.S.C § 980 “Limitation on Use of Humans as Experimental Subjects,” and when applicable, Food and Drug Administration (FDA) and other federal and state law and regulations.

For proposals containing activities that include or may include “research involving human subjects” as defined in DoDI 3216.02, prior to award, the Proposer must submit documentation of:

- i. Approval from an Institutional Review Board (IRB) (IRB-approved research protocol, IRB- approved informed consent document, and other material they considered); proof of completed human research training (e.g., training certificate or institutional verification of training for the principal investigator, co-investigators); and the Proposer’s Department of Health and Human Services (DHHS)-issued Federal Wide Assurance number (FWA#).
- ii. Any claimed exemption under 32 CFR 219.104, including the category of exemption, supporting documentation considered by your institution in making the determination (e.g., protocol, data collection tools, advertisements, etc.). The documentation shall include a short rationale supporting the exemption determination. This documentation shall be signed by the IRB Chair or IRB vice Chair, designated IRB administrator or official of the human research protection program.
- iii. Any determinations that the proposal does not contain activities that constitute research involving human subjects, including supporting documentation considered by your institution in making the determination. This documentation shall be issued by the IRB Chair or IRB vice Chair, designated IRB administrator or official of the human research protection program.

Documentation must be submitted to the NAWCAD Human Research Protection Official (HRPO), by way of the NAWCAD Enterprise Procurement Support Division - A2161000. If the research is determined by the IRB to be greater than minimal risk, you also must provide the name and contact information for the independent research monitor and a written summary of the monitors' duties, authorities, and responsibilities as approved by the IRB.

Contracts, orders, or grant awards and any subawards or modifications will include a statement indicating successful completion of the HRPO review. Research involving human subjects must not be commenced under any award or modification or any subcontract or grant subaward or modification until awardee receives notification from the Contracting or Grants Officer that the HRPO has approved the assurance as appropriate for the research under the award or modification and that the HRPO has reviewed the protocol and accepted the IRB approval or determination for compliance with Federal, DoD and DON research protection requirements. DFARS Clause 252.235-7004, Protection of Human Subjects, will be incorporated into the contract.

*Use of Recombinant DNA or Synthetic Nucleic Acid Molecules:*

Proposals which call for experiments using recombinant or synthetic nucleic acid molecules must include documentation of compliance with National Institutes of Health (NIH) Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules (NIH Guidelines), [https://osp.od.nih.gov/wp-content/uploads/NIH\\_Guidelines.pdf](https://osp.od.nih.gov/wp-content/uploads/NIH_Guidelines.pdf), approval of the Institutional Biosafety Committee (IBC), and copies of the Department of Health and Human Service Approval of the IBC letter.

*Institutional Dual Use Research of Concern:*

As of September 24, 2015, all institutions and United States Government (USG) funding agencies subject to the United States Government Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern, <https://aspr.hhs.gov/S3/Documents/durc-policy.pdf>, must comply with all the requirements listed therein. If your research proposal directly involves certain biological agents or toxins, contact the cognizant Technical Point of Contact. U.S. Government Science, Safety, Security (S3) guidance may be found at <https://aspr.hhs.gov/S3/Pages/Dual-Use-Research-of-Concern-Oversight-Policy-Framework.aspx>.

*Department of Defense High Performance Computing Program:*

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



### *Publication of Grant Awards:*

Per Section 8123 of the Department of Defense Appropriations Act, 2015 (Pub. L. 113-235), all grant awards must be posted on a public website in a searchable format. To comply with this requirement, Proposers requesting grant awards must submit a maximum one (1) page abstract that may be publicly posted and explains the program or project to the public. The Proposer should sign the bottom of the abstract confirming the information in the abstract is approved for public release. Proposers are advised to provide both a signed PDF copy, as well as an editable (e.g., Microsoft Word) copy. Abstracts contained in grant proposals that are not selected for award will not be publicly posted.

## **2. Reporting:**

If the total Federal share of the Federal award may include more than \$500,000 over the period of performance, the post award reporting requirements, Award Term and Condition for Recipient Integrity and Performance Matters (2 CFR Part 200 Appendix XII), is applicable as follows:

### Reporting of Matters Related to Recipient Integrity and Performance

1. General Reporting Requirement. If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

2. Proceedings About Which You Must Report. Submit the information required about each proceeding that:

- a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;
- b. Reached its final disposition during the most recent five-year period; and
- c. Is one of the following:

- (1) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;

- (2) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;
- (3) An administrative proceeding, as defined in paragraph 5 of this award term and condition that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000; or
- (4) Any other criminal, civil, or administrative proceeding if:
  - (i) It could have led to an outcome described in paragraph 2.c. (1), (2), or (3) of this award term and condition;
  - (ii) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and
  - (iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

3. Reporting Procedures. Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under Federal procurement contracts that you were awarded.

4. Reporting Frequency. During any period of time when you are subject to the requirement in paragraph 1 of this award term and condition, you must report proceedings information through SAM for the most recent five-year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have Federal contract, grant, and cooperative agreement awards with a cumulative total value greater than \$10,000,000 must disclose semiannually any information about criminal, civil, and administrative proceedings.

5. Definitions. For purposes of this award term and condition:

- a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.
- b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.
- c. Total value of currently active grants, cooperative agreements, and procurement contracts includes the value of the Federal Share already received plus any anticipated Federal share under those awards (such as continuation funding).

Further guidance for reporting:

- Requirements Applicable to Grants and Cooperative Agreements; see Appendix 1
- Requirements Applicable to Contracts; see Appendix 2
- Requirements Applicable to Other Transaction Agreements; see Appendix 3

## **G. Federal Awarding Agency Contacts**

### **1. Communications:**

a. Technical or administrative questions only shall be submitted via e-mail to [Stephanie.L.Gleason2.civ@us.navy.mil](mailto:Stephanie.L.Gleason2.civ@us.navy.mil), the Technical Point of Contact (POC), with a copy to the designated Business POCs at [Elisabeth.A.Keith.civ@us.navy.mil](mailto:Elisabeth.A.Keith.civ@us.navy.mil) and [Joanne.M.Hall16.civ@us.navy.mil](mailto:Joanne.M.Hall16.civ@us.navy.mil).

b. All White Papers shall be submitted to the appropriate email address provided below:

Academia (college and universities), shall submit white papers under this BAA to: [NAWCAD-Academia-BAA@us.navy.mil](mailto:NAWCAD-Academia-BAA@us.navy.mil)

All others, including businesses (large, small, small disadvantaged, etc.) other organizations (including non-profit), and entities (foreign and domestic), shall submit white papers under this BAA to: [NAWCAD-Industry-BAA@us.navy.mil](mailto:NAWCAD-Industry-BAA@us.navy.mil)

**White paper submissions not submitted to the appropriate email address will not be reviewed.**

### III. APPENDICES

#### APPENDIX 1 – REQUIREMENTS APPLICABLE TO GRANTS AND COOPERATIVE AGREEMENTS

##### A. Application and Submission Information

###### 1. Content and Form of Application Submission

###### (a) Full Proposals:

###### i. Instructions for Grants and Cooperative Agreements

##### **Content and Form of Application:**

Proposers must submit a full proposal accordance with the instructions provided below. Files must be in Adobe Portable Document Format (PDF) and/or Microsoft Word compatible and Microsoft Excel Spreadsheet. Do not password protect documents.

Proposers are responsible for clearly identifying proprietary information. Submissions containing proprietary information must have the cover page, and each page containing such information, clearly marked with a label such as “Proprietary.” NOTE: “Confidential” is a classification marking used to control the dissemination of U.S. Government National Security Information as dictated in Executive Order 13526 and should not be used to identify proprietary business information.

NAWCAD encourages grant and cooperative agreement Proposers to submit their Full Proposals online through [www.Grants.gov](http://www.Grants.gov). Proposers that plan to submit through Grants.gov must be aware of the following procedures and the potential time it may take to complete them.

Submissions: Proposers must submit the following listed below:

SF 424 Research and Related (R&R) Application for Federal Assistance. *This form must be completed and submitted.* Complete this form first as it is designed to fill in common required fields across other forms, such as the Proposer name, address, and Unique Entity ID. Once it is completed, the information will transfer to the other forms.

Research and Related Senior/Key Person Profile (Expanded). *This form must be completed and submitted.* This form will be used to collect the following information for all senior/key personnel, including Project Director/Principal Investigator and Co-Project Director/Co-Principal Investigator, whether or not the individuals’ efforts under the project are funded by the DoD:

- Degree Type and Degree Year.
- Current and Pending Support, including;
  - A list of all current projects the individual is working on, in addition to any future support the individual has applied to receive, regardless of the source.
  - Title and objectives of the other research projects.

- The percentage per year to be devoted to the other projects.
- The total amount of support the individual is receiving in connection to each of the other research projects or will receive if other proposals are awarded.
- Name and address of the agencies and/or other parties supporting the other research projects
- Period of performance for the other research projects

To evaluate compliance with Title IX of the Education Amendments of 1972 (20 U.S.C. § 1681 Et. Seq.), the Department of Defense (DoD) is collecting certain demographic and career information to be able to assess the success rates of women who are proposed for key roles in applications in science, technology, engineering, or mathematics disciplines. In addition, the National Defense Authorization Act (NDAA) for FY 2019, Section 1286, directs the Secretary of Defense to protect intellectual property, controlled information, key personnel, and information about critical technologies relevant to national security and limit undue influence, including foreign talent programs by countries that desire to exploit the United States' technology within the DoD research, science and technology, and innovation enterprise. This requirement is necessary for all research and research-related educational activities.

Research and Related Personal Data. *Each Proposer must complete the name field of this form; however, provision of the demographic information is voluntary. Regardless of whether the demographic fields are completed or not, this form must be submitted with at least the Proposer's name completed.* Additional senior/key persons can be added by selecting the "Next Person" button at the bottom of the form. Note that, although applications without this information completed may pass Grants.gov edit checks, if NAWCAD receives an application without the required information, NAWCAD may determine that the application is incomplete, which may cause your submission to be rejected and eliminated from further review and consideration under the BAA. NAWCAD reserves the right to request further details from the Proposer before making a final determination on funding the effort.

Attachment. *Each Proposer will attach their required documents using this form as instructed in this Appendix. Proposers may use the optional Research and Related (R&R) Budget template for the submission of the cost proposal but do not use both forms; choose either the Attachment or RR Budget form to prevent the duplication of cost proposal submissions.*

Project Abstract. *Each Proposer requesting grant awards must submit a maximum one (1) page abstract that may be publicly posted and explains the program or project to the public. The Proposer should sign the bottom of the abstract confirming the information in the abstract is approved for public release.*

**The mandatory forms are found at <https://www.grants.gov/forms/forms-repository/>**

Grants.gov requires Proposers to complete a one-time registration process before a proposal can be electronically submitted. However, before you can register as an Proposer with Grants.gov, you will need to generate an Unique Entity ID (System for Award Management (SAM)) and

complete registration in SAM. These processes can take up to four weeks. Once your Unique Entity ID number has been verified, you can submit your registration to Grants.gov.

For more information, see <https://grants.gov/applicants/applicant-registration/>

Submit your proposal via electronic upload at: <https://grants.gov/system-to-system/applicant-system-to-system/web-services/submit-application>

For more information on submitting proposals to Grants.gov, see: <https://grants.gov/applicants/applicant-training>

Technical support for Grants.gov submissions may be reached at 1-800-518-4726 or by email at [support@grants.gov](mailto:support@grants.gov).

Once Grants.gov has received a proposal submission, Grants.gov will send two email messages to advise Proposers as to whether or not their proposals have been validated or rejected by the system. It may take up to two days to receive these emails. The first email will confirm receipt of the proposal by the Grants.gov system, but this email only confirms receipt, not acceptance, of the proposal. The second email will indicate that the application has been successfully validated by the system prior to transmission to the grantor agency or that it has been rejected due to errors. If the proposal is validated, then the Proposer has successfully submitted their proposal. If the proposal is rejected, the proposal submission must be corrected and resubmitted before NAWCAD can retrieve it. If the solicitation is no longer open, the rejected proposal cannot be resubmitted. Once the proposal is retrieved by NAWCAD, the Proposer will receive a third email from Grants.gov. For more information on tracking your proposal submission, see: <https://grants.gov/applicants/grant-applications/track-my-application>.

Grants.gov recommends that Proposers submit their proposals to Grants.gov 24-48 hours in advance of the proposal due date, to provide sufficient time to complete the registration and submission process, receive email notifications and correct errors, as applicable.

**NOTE: THESE INSTRUCTIONS APPLY ONLY UPON INVITATION TO PHASE II, FULL PROPOSAL SUBMISSION. Phase 1, White Papers will NOT be accepted if submitted via Grants.gov. White Papers shall be submitted in accordance with Section II, paragraph D.(2).(c).(ii), White Paper Submission. Any direct submission of Full Proposals without specific Government request will not be considered.**

#### Full Proposal Format

- Written in English
- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single-spaced
- Font- Times New Roman or Calibri, no smaller than 12-point
- Font sizes of 8 or 10-point may be used for figures, tables, and charts
- Documents need to be readable text to enable Ctrl+f Function
- Spell out all acronyms on all first occurrences

- Page limit - 25 pages, exclusive of cover page. There are no page limitations for the cost proposal.

**Note: Any pages submitted exceeding the page limit shall be disregarded and not evaluated. Additionally, the electronic file name for all documents submitted under this solicitation must not exceed 68 characters in length, including the file name extension.**

The technical proposal must describe the research in sections as described below:

- **Cover Page:** This must include the words “Technical Proposal” and the following:
  - (a) BAA Number: N00421-25-S-0001;
  - (b) Title of Proposal;
  - (c) Identity of prime Proposer and complete list of subawards, if applicable;
  - (d) Type of organization, selected from the following categories: Large Business, Small Disadvantaged Business, Other Small Business, HBCU, MI, Other Educational, or Non Profit;
  - (e) Technical contact (name, address, phone, electronic mail address);
  - (f) Administrative/business contact (name, address, phone, electronic mail address) and;
  - (g) Total Amount of the proposed effort;
  - (h) Place(s) of Performance
  - (i) Period of performance (identify both the base period and any options, if included).
  - (j) Award instrument requested;
  - (k) System for Award Management (SAM) Unique Entity ID;
  - (l) Taxpayer identification number (TIN);
  - (m) Commercial and Government Entity (CAGE) code
  - (n) Administration Office POC at Defense Contract Management Agency (DCMA) or Office of Naval Research (ONR), if known
  - (o) Audit Office POC at Defense Contract Audit Agency (DCAA), if known
  - (p) Date Proposal was Prepared; and
  - (q) Proposal validity period (minimum 120 days);

Note: In all cases, the Government Contracting Officer has sole discretion to select award instrument type, regardless of instrument type proposed, and to negotiate all instrument terms and conditions with Proposers.

1) Technical Volume:

- **Table of Contents:** A listing of the sections within the proposal, including corresponding page numbers.
- **Executive Summary:** The executive summary should include a description of the key technical challenges, a concise review of the technologies proposed to overcome these challenges and achieve the project’s goal, and a clear statement of the novelty and uniqueness of the proposed work. Provide a synopsis of the proposed project, including

answers to the following questions:

- What is the proposed work attempting to accomplish or do?
- How is the work performed today (what is the state of the art or practice), and what are the limitations?
- Who or what will be affected and what will be the impact if the work is successful? What is new in your approach, and why do you think it will be successful?
- How much will it cost, and how long will it take?

• **Technical Approach.** Describe the basic scientific or technical concepts that will be investigated, giving the complete research plan. Describe what is innovative about the proposed approach. Provide the proposed approach compared to alternate approaches other researchers in this field have taken. Given the successful completion, describe the results, new knowledge, or insights, as well as, addressing the following:

- **Future Naval Relevance:** A description of the potential contributions of the proposed effort and the relevancy to the NAWCAD and Department of the Navy mission.
- **Project Schedule and Milestones:** A summary of the schedule of events and milestones.
- **Detailed Task Description:** A detailed description of work to include a detailed task breakdown, citing specific tasks and their connection to the interim milestones and metrics, as applicable. Any optional tasking shall be separately identifiable within the document.
- **Reports:** An overview of the content, format, and delivery frequency of Technical and Financial Progress Reports, as well as the Final Report.

**NOTE: Grants and Cooperative Agreements shall not include the delivery of software, prototypes, and other hardware deliverables.**

- **Principal Investigator 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.
- **Facilities & Equipment:** Describe facilities available for performing the proposed research and any additional facilities or equipment the organization proposes to acquire at its own expense. Indicate government-owned facilities or equipment already possessed that will be used. Justify the need for each equipment item. (Additional facilities and equipment will not be provided unless the research cannot be completed by any other practical means.)

2. Cost Volume: The Cost Volume must address the full project (base + options) and must include all components described herein. **No page limit is specified** for the Cost Volume.



The proposed costs are to reflect an understanding of the costs needed to accomplish the proposed technical approach. A separate cost narrative Adobe.pdf document, in addition to a fully disclosed unburdened cost proposal with working formulas in Microsoft Excel, shall be included in the volume that provides appropriate justification and/or supporting documentation for each element of cost proposed. The Government reserves the right to ask for additional cost information, as determined necessary, in order to determine that the pricing is fair and reasonable. The electronic submission of the Excel spreadsheet should be in a “useable condition” to aid the Government with its evaluation. The term “useable condition” indicates that the spreadsheet should visibly include and separately identify within each appropriate cell any and all inputs, formulas, calculations, etc. The Proposer should not provide “value only spreadsheets” similar to a hard copy; ***Cost spreadsheet template available upon request, contingent on receiving an Invitation to Phase II.***

(a) The cost proposal shall include the following:

- Direct Labor – Individual labor categories and/or persons, with associated labor hours and unburdened direct labor rates. Provide basis for escalation rates for out years.
- Fringe Benefits and Indirect Costs – The proposal must show the proposed indirect rate(s), allocation base, 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 (e.g., Forward Pricing Rate Agreement, Department of Health and Human Services (DHHS), or Office of Naval Research (ONR) rate agreements.) 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 must include the following for each trip: the purpose of the trip, origin and destination if known, approximate duration, the number of travelers, the estimated cost per trip, and basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principles.
- Subcontractor(s) – For each proposed subcontractor, provide all the information and documentation at the same level of detail as that required of the Prime Proposer. A proposal and any supporting documentation must be received and reviewed before the Government can complete its cost analysis of the proposal and enter negotiations. NAWCAD's preferred method of receiving subcontract information is for this information to be included with the Prime's proposal. However, a subcontractor's cost proposal can be provided via e-mail directly to the Government at the same time the Prime's proposal is submitted. The e-mail shall identify the proposal title and the Prime.
- 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 tasking if it is not already separately identified in the Prime's

proposal.

- Materials & Supplies and/or Other Direct Costs (ODCs) – Provide an itemized list of all proposed materials, supplies, and/or ODCs including quantities, unit prices, and the basis for the estimate. Supporting documentation or substantiation must be provided for all with a unit price over \$1,000. Data source and format are at the discretion of the Proposer; by way of example and not limitation, this could consist of market research documentation (screenshots, etc.), current price quotes, current published price lists, and/or historical information (historical purchase orders, etc.). Articulate all applicable basis of estimate information, including the basis for any applied complexity factors. If part numbers are included, please ensure they are complete, meaningful manufacturer part numbers to aid in the Government’s analysis.
- Equipment or Facilities – 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). Supporting documentation or substantiation must be provided for all equipment or facilities with a unit price over \$1,000. Data source and format are at the discretion of the Proposer; by way of example and not limitation, this could consist of market research documentation (screenshots, etc.), current price quotes, current published price lists, and/or historical information (historical purchase orders, etc.). Articulate all applicable basis of estimate information, including the basis for any applied complexity factors. Include any requests for Government-furnished equipment or information with cost estimates and delivery dates.

Allowable items normally are limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, laptops, office equipment) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the project or used as an integral part of the solution.

- Fee/Profit – Fee/profit is unallowable under assistance agreements at either the prime or subcontract level.
- Options – If proposing options, they **must** be separately priced and separate spreadsheets shall be provided for the base period and each option. In addition to providing summary by period of performance (base and any options), the Proposer is also responsible for providing a breakdown of cost for each task identified in the Detailed Task Description. The sum of all costs by task worksheets **MUST** equal the total cost summary.

## **B. Application Review Information**

### **1. Recipient Qualifications**

a. Grant and Cooperative Agreement Proposals

i. The Grants Officer is responsible for determining a recipient's qualifications prior to award. In general, a Grants Officer will award grants or cooperative agreements only to qualified awardees that meet the standards at 32 CFR 22.415 and 22.420. To be qualified, a potential recipient must:

- (1) Have the management capability and adequate financial and technical resources, given those that would be made available through the grant or cooperative agreement, to execute the program of activities envisioned under the grant or cooperative agreement;
- (2) Have a satisfactory record of executing such programs or activities (if a prior recipient of an award);
- (3) Have a satisfactory record of integrity and business ethics;
- (4) Be otherwise qualified and eligible to receive a grant or cooperative agreement under applicable laws and regulations; and
- (5) Not identified in the Exclusion section of SAM.gov, as being debarred, suspended or otherwise ineligible to receive the award.

The Grants Officer reserves the right to request additional information to support the responsibility determination of the awardee.

ii. In accordance with Office of Management and Budget (OMB) guidance in parts 180 and 200 of Title 2, CFR, it is DoD policy that DoD Components must report and use integrity and performance information in the Responsibility/Qualifications section of SAM.gov, or any successor system designated by OMB, concerning grants and cooperative agreements as follows:

If the total Federal share will be greater than the simplified acquisition threshold on any Federal award under a notice of funding opportunity (see 2 CFR 1108.340 Simplified Acquisition Threshold):

(1) The Federal awarding agency, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, is required to review and consider any information about the Proposer that is in the designated integrity and performance system accessible through SAM (see 41 U.S.C. 2313);

(2) A Proposer, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM;

(3) The Federal awarding agency will consider any comments by the Proposer, in addition to the other information in the designated integrity and performance system, in making a judgment about the Proposer's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by Proposers as described in 2 CFR 200.206 Federal awarding agency review of risk posed by Proposers.

## APPENDIX 2 - REQUIREMENTS APPLICABLE TO CONTRACTS

### A. Application and Submission Information

#### 1. Content and Form of Application Submission

- (a) Full Proposals:
  - i. Instructions for Contracts

#### **Content and Form Application:**

Proposers must submit a full proposal in accordance with the instructions provided below. Files must be in Adobe Portable Document Format (PDF) and/or Microsoft Word and Microsoft Excel. Do not password-protect documents.

Proposers are responsible for clearly identifying proprietary information. Submissions containing proprietary information must have the cover page, and each page containing such information, clearly marked with a label such as “Proprietary.” NOTE: “Confidential” is a classification marking used to control the dissemination of U.S. Government National Security Information as dictated in Executive Order 13526 and should not be used to identify proprietary business information.

#### Full Proposal Format

- Written in English
- Paper Size- 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing- single-spaced
- Font- Times New Roman or Calibri, no smaller than 12-point
- Font sizes of 8 or 10-point may be used for figures, tables, and charts
- Documents need to be readable text to enable Ctrl+f Function
- Spell out all acronyms on all first occurrences
- Technical Proposal Page limit – 25 pages, exclusive of cover page. There are no page limitations for the Cost Proposal or the remaining submission requirements.

**NOTE: Any pages submitted exceeding the page limit shall be disregarded and not evaluated. Additionally, the electronic file name for all documents submitted under this solicitation must not exceed 68 characters in length, including the file name extension.**

The following documents, with attachments, comprise a complete proposal package as described below:

- **Cover Page:** This must include the following:
  - (a) BAA Number: N00421-25-S-0001;
  - (b) Title of Proposal;

- (c) Identity of prime Proposer and complete list of subcontractors, if applicable;
- (d) Type of organization, selected from the following categories: Large Business, Small Disadvantaged Business, Other Small Business, HBCU, MI, Other Educational, or Non Profit;
- (e) Technical contact (name, address, phone, electronic mail address);
- (f) Administrative/business contact (name, address, phone, electronic mail address);
- (g) Total Amount of the proposed effort;
- (h) Place(s) of Performance;
- (i) Period of performance (identify both the base period and any options, if included);
- (j) Award instrument requested;
- (k) System for Award Management (SAM) Unique Entity ID;
- (l) Taxpayer identification number (TIN);
- (m) Commercial and Government Entity (CAGE) code;
- (n) Administration Office POC at Defense Contract Management Agency (DCMA) or Office of Naval Research (ONR), if known
- (o) Audit Office POC at Defense Contract Audit Agency (DCAA), if known
- (p) Date Proposal was Prepared; and
- (q) Proposal validity period (minimum 120 days)

Note: In all cases, the Government Contracting Officer has sole discretion to select award instrument type, regardless of instrument type proposed, and to negotiate all instrument terms and conditions with selectees.

#### 1. **Technical Volume:**

- **Table of Contents:** A listing of the sections within the proposal, including corresponding page numbers.

- **Proposal Adequacy Checklist in accordance with DFARS 252.215-7009**

Proposer shall complete the proposal adequacy checklist contained at DFARS 252.215-7009, providing the location of requested information, or an explanation of why the requested information is not provided. In preparation of the Proposer's checklist, Proposers may elect to have their prospective subcontractors use the same or similar checklist as appropriate.

- **Executive Summary**

The executive summary should include a description of the key technical challenges, a concise review of the technologies proposed to overcome these challenges and achieve the project's goal, and a clear statement of the novelty and uniqueness of the proposed work. Provide a synopsis of the proposed project, including answers to the following questions:

- What is the proposed work attempting to accomplish or do?
- How is the work performed today (what is the state of the art or practice), and what are the limitations?
- Who or what will be affected and what will be the impact if the work is successful?

What is new in your approach, and why do you think it will be successful?  
- How much will it cost, and how long will it take?

- **Technical Approach.**

Describe the basic scientific or technical concepts that will be investigated, giving the complete research plan. Describe what is innovative about the proposed approach. Provide the proposed approach compared to alternate approaches other researchers in this field have taken. Given the successful completion, describe the results, new knowledge, or insights, as well as, addressing the following:

- a) Future Naval Relevance: A description of the potential contributions of the proposed effort and the relevancy to the NAWCAD and Department of the Navy mission.
- b) Project Schedule and Milestones: Provide a detailed schedule showing tasks (task name, duration, work breakdown structure element as applicable, performing organization), milestones, and the interrelationships among tasks. The task structure must be consistent with that in the Statement of Work. Measurable milestones should be clearly articulated and defined in time relative to the start of the project.
- c) Stand-alone non-proprietary Statement of Work: The Statement of Work must clearly define the technical tasks/subtasks to be performed, their durations, and dependencies among them. For each task/subtask, provide:
  - A general description of the objective (for each defined task/activity);
  - A detailed description of the approach to be taken to accomplish each defined task/subtask;
  - Identification of the primary organization responsible for task execution (prime contractor, subcontractor(s), consultant(s)), by name;
  - A measurable milestone (e.g., a deliverable, demonstration, or other event/activity that marks task completion);
  - A definition of all deliverables (reporting frequency, data, reports, including report content, software, etc.) to be provided to the Government in support of the proposed research tasks/subtasks; and
  - Clearly identify any tasks/subtasks (to be performed by either a prime or subcontractor) that will be accomplished on-campus at a university, if applicable.
  - Identification of the proposed classification for each task/subtask.
    - For all tasks and subtasks proposed to be unclassified, identify if the task/subtask is proposed as fundamental research or controlled unclassified information (CUI).
    - Provide a short explanation for why each task/subtask should be categorized as fundamental research or CUI.
  - Any optional tasking shall be separately identifiable within the document.

*Note: It is recommended that the SOW should be developed so that each Phase of the program is separately defined. The SOW shall be submitted in Microsoft Word format.*

- d) **Key Personnel Qualifications:** A discussion of the qualifications of all key personnel. Include resumes or curricula vitae for any key personnel and consultants.
- e) **Facilities & Equipment.** Describe facilities available for performing the proposed research and any additional facilities or equipment the organization proposes to acquire at its own expense. Indicate government-owned facilities or equipment already possessed that will be used. Justify the need for each equipment item. (Additional facilities and equipment will not be provided unless the research cannot be completed by any other practical means.)

## 2. **Cost Volume:**

The Cost Volume must address the full project (base + options) and must include all components described herein. **No page limit** is specified for the Cost Volume.

The proposed costs are to be consistent with the proposed SOW and reflect an understanding of the costs needed to accomplish the proposed technical approach. A separate cost narrative Adobe .pdf document, in addition to a fully disclosed unburdened cost proposal with working formulas in Microsoft Excel, should be included in the proposal that provides appropriate justification and/or supporting documentation for each element of cost proposed. The electronic submission of the Excel spreadsheet should be in a “useable condition” to aid the Government with its evaluation. The term “useable condition” indicates that the spreadsheet should visibly include and separately identify within each appropriate cell any and all inputs, formulas, calculations, etc. The Proposer should not provide “value only spreadsheets” similar to a hard copy; ***Cost spreadsheet template available upon request, contingent on receiving an Invitation to Phase II.***

(a) The cost proposal shall include the following, as applicable:

- **Direct Labor** – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates. Provide basis for escalation rates for out years.
- **Fringe Benefits and Indirect Costs** (Overhead, General & Administrative, etc.) – The proposal must show the proposed indirect rate(s), allocation base, 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 (e.g., Forward Pricing Rate Agreement, Department of Health and Human Services (DHHS), or Office of Naval Research (ONR) rate agreements.) 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 must include the following for each trip: the purpose of the trip, origin and destination if known, approximate duration, the number of travelers, the estimated cost per trip, and basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principles.



- Subcontractor(s) – For each proposed subcontractor, provide all the information and documentation at the same level of detail as that required of the Prime Proposer. A proposal and any supporting documentation must be received and reviewed before the Government can complete its cost analysis of the proposal and enter negotiations. NAWCAD's preferred method of receiving subcontract information is for this information to be included with the Prime's proposal. However, a subcontractor's cost proposal can be provided via e-mail directly to the Government at the same time the prime proposal is submitted. The e-mail shall identify the proposal title and the Prime.

A cost or price reasonableness analysis or proposed subcontractor(s) prices as defined in FAR 15.404-3. Such analysis shall indicate the extent to which the Prime Proposer has negotiated subcontract prices.

- 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 tasking if it is not already separately identified in the prime contractor's proposal.
- Materials & Supplies and/or Other Direct Costs (ODCs) – Provide an itemized list of all proposed materials, supplies, and/or ODCs including quantities, unit prices, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). Supporting documentation or substantiation must be provided for all with a unit price over \$1,000. Data source and format are at the discretion of the Proposer; by way of example and not limitation, this could consist of market research documentation (screenshots, etc.), current price quotes, current published price lists, and/or historical information (historical purchase orders, etc.). Articulate all applicable basis of estimate information, including the basis for any applied complexity factors. If part numbers are included, please ensure they are complete, meaningful manufacturer part numbers to aid in the Government's analysis.
- Equipment or Facilities – 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). Supporting documentation or substantiation must be provided for all equipment or facilities with a unit price over \$1,000. Data source and format are at the discretion of the Proposer; by way of example and not limitation, this could consist of market research documentation (screenshots, etc.), current price quotes, current published price lists, and/or historical information (historical purchase orders, etc.). Articulate all applicable basis of estimate information, including the basis for any applied complexity factors. Include any requests for Government-furnished equipment or information with cost estimates and delivery dates.

Allowable items normally are limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, laptops,

office equipment) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the solution.

- Fee/Profit – In accordance with FAR 15.404-4(c)(4), the fee for experimental, developmental, or research work performed under a cost-plus-fixed-fee contract shall not exceed 15% of the contract’s estimated cost, excluding fee. For other cost-plus-fixed fee contracts, the fee shall not exceed 10% of the contract’s estimated cost, excluding fee.
- Facilities Capital Cost of Money (FCCM) - If proposed, provide the FCCM rate(s), allocation base(s), and calculation of the costs for each rate category.
- Certified Cost or Pricing Data – Certified cost or pricing data, or other than certified cost or pricing data, may be requested by the Contracting Officer in accordance with FAR 15.403.
- Options - If proposing options, they **must** be separately priced and separate spreadsheets shall be provided for the base period and each option. In addition to providing summary by period of performance (base and any options), the Proposer is also responsible for providing a breakdown of cost for each task identified in the Statement of Work. The sum of all costs by task worksheets **MUST** equal the total cost summary.

### 3. Representations and Certifications

- Prospective awardees must be registered in the System for Award Management (SAM) database prior to award and complete electronic annual representations and certifications consistent with FAR guidance at 4.1102 and 4.1201. The representations can be found at <https://sam.gov/>. Supplementary representations and certifications which must be included in the proposal submission are as follows:

Provision Number	Title
FAR 52.209-7	Information Regarding Responsibility Matters
DFARS 252.203-7005	Representation Relating to Compensation of Former DOD Officials
DFARS 252.204-7007 Alt A	Annual Representations and Certifications
DFARS 252.225-7003	Report of Intended Performance Outside the United States and Canada – Submission with Offer (applicable for proposals over \$15.0M)
DFARS 252.227-7017	Identification and Assertion of Use, Release, or Disclosure Restrictions

- Additional Guidance Regarding Data Rights/Intellectual Property Assertions

- i. **Noncommercial Items (Technical Data and Computer Software):** Proposers requesting a procurement contract must list all noncommercial technical data and computer software that it plans to generate, develop, and/or deliver, in which the Government will acquire less than unlimited rights and to assert specific restrictions on those deliverables. In the event a Proposer does not submit the list, the Government will assume that it has unlimited rights to all noncommercial technical data and computer software generated, developed, and/or delivered, unless it is substantiated that the development of the noncommercial technical data and computer software occurred with mixed funding. If mixed funding is anticipated in the development of noncommercial technical data and computer software generated, developed, and/or delivered, Proposers should identify the data and software in question as subject to Government Purpose Rights (GPR). In accordance with DFARS 252.227-7013, “Rights in Technical Data – Noncommercial Items,” and DFARS 252.227-7014, “Rights in Noncommercial Computer Software and Noncommercial Computer Software Documentation,” the Government will automatically assume that any such GPR restriction is limited to a period of 5 years, at which time the Government will acquire unlimited rights unless the parties agree otherwise. The Government may use the list during the evaluation process to evaluate the impact of any identified restrictions and may request additional information from the Proposer, as may be necessary, to evaluate the Proposer’s assertions. Failure to provide full information may result in a determination that the proposal is not compliant with the solicitation.
- ii. **Commercial Items (Technical Data and Computer Software):** Proposers requesting a procurement contract must list all commercial technical data and commercial computer software that may be included in any deliverables contemplated under the research project, and assert any applicable restrictions on the Government’s use of such commercial technical data and/or computer software. In the event a Proposer does not submit the list, the Government will assume there are no restrictions on the Government’s use of such commercial items. The Government may use the list during the evaluation process to evaluate the impact of any identified restrictions and may request additional information from the Proposer to evaluate the Proposer’s assertions. Failure to provide full information may result in a determination that the proposal is not compliant with the solicitation.
- iii. For all technical data or computer software that will be furnished to the Government with other than unlimited rights, the Proposer and proposed subcontractor(s) shall provide a list describing all proprietary claims to results, prototypes, deliverables or systems supporting and/or necessary for the use of the research, results, prototypes, and/or deliverables. Provide documentation proving ownership or possession of appropriate licensing rights to all patented inventions (or inventions for which a patent application has been filed) to be used for the proposed project. Provide the following information for Proposer and each subcontractor(s). Enter “none,” when all data or computer software

will be submitted without restrictions. **Submit the signed data assertions in a single list as a separate standalone attachment of the proposal.**

Technical Data or Computer Software to be furnished with Restrictions	Basis of Assertion; including IRAD Report Number(s) and/or Government contract number, if applicable	Asserted Rights Category (i.e., Commercial Technical Data License Rights, Limited Rights, Commercial Computer Software License Rights, etc.)	Name of Person/Entity Asserting Restrictions	Patent Information (if applicable)

#### 4. Additional Submission Requirements

##### a) Use of Arms, Ammunition and Explosives

###### i. Safety

The Proposer is required to be in compliance with DoD manual 4145.26-M, *DoD Contractor's Safety Manual for Ammunition and Explosives* if ammunitions and/or explosives are to be utilized under the proposed research effort (See DFARS 223.370-5, DFARS 252.223-7002, and DFARS 252.223-7003). If ammunitions and/or explosives (A&E) are to be utilized under the proposed research effort, the Government requires a preaward safety survey in accordance with DFARS PGI 223.370-4(1)(i)(C)(iv) entitled *Preaward survey*.

If the Proposer requests that the Government provide Government-furnished A&E containing any nitrocellulose-based propellants and/or nitrate ester-based materials (such as nitroglycerin) or other similar A&E with a tendency to become chemically unstable over time, then NMCARS 5252.223-9000 will also apply to a resulting contract award (See NMCARS 5223.370-5).

###### ii. Security

Applicable security terms and conditions will be included as deemed appropriate for the classification level of the award.

If arms, ammunition or explosives (AA&E) are to be utilized under the proposed research effort, the Government requires a preaward security survey. (See DoD manual 5100.76-M, dated April 17, 2012, Change 2 Effective October 5, 2020, *Physical Security of Sensitive Conventional Arms, Ammunition and Explosives*, Enclosure 2, paragraph 2.a.)

If AA&E are to be utilized under the proposed research effort, the Government may require the Contractor to have perimeter fencing around the place of performance in accordance with DoD 5100.76-M dated April 17, 2012, Change 2 Effective October 5, 2020, Enclosure 5, paragraph 2.a.

If AA&E are to be utilized under the proposed research effort, the Proposer is required to provide a written copy of the Proposer's AA&E accountability procedures in accordance with DoD 5100.76-M. If the Proposer is required to provide written AA&E accountability procedures, the Proposer should provide the respective procedures with its proposal submission. See DoD 5100.76-M dated April 17, 2012, Change 2 Effective October 5, 2020, Enclosure 9, paragraph 9. Conflicts of Interest

i. Disclosure.

A Proposer shall state in its proposal whether it is aware of any information bearing on the existence of any actual or potential organizational conflict of interest (OCI) as defined in FAR 2.101 and as further discussed in FAR Subpart 9.5 as to itself and any proposed subcontractors, partners, consultants or other affiliates. Proposers performing systems engineering and technical assistance (SETA) or Advisory and Assistance Services (A&AS) for NAWCAD are considered to have an OCI that may not be susceptible to mitigation.

The nondisclosure or misrepresentation of an interest creating an OCI may result in the disqualification of a Proposer for award, or if such nondisclosure or misrepresentation is discovered after award, the Government may terminate the contract for default, recommend that the Proposer be disqualified from subsequent related contracts, or be subject to such other remedial actions as may be permitted or provided by law (see 18 U.S.C. § 1001 and 31 U.S.C. § 3802(a)(2)). Therefore, Proposers should interpret the requirements of this section broadly.

A Proposer who does not provide support services to NAWCAD or concludes no actual or potential OCI exists shall include the following statement in its proposal: "I [NAME] as an authorized negotiator on behalf of [NAME OF PROPOSER] certify that **NO** actual or potential organizational conflict of interest (OCI) exists under [BAA NUMBER]. I understand that the failure to disclose the existence of actual or potential OCI shall result in the Proposer not being considered for award."

A Proposer who does provide support services to NAWCAD or is aware circumstances exist that may result in the appearance that it may have an unfair competitive advantage shall submit the following with its proposal:

1. The name of the entity the Proposer, its subcontractors, partners, consultants or affiliates supports.
2. The number of the contract, subcontract, or agreement that creates the actual or potential OCI. If NAWCAD did not award the contract or agreement, provide a copy of the document. If NAWCAD awarded the contract, provide the name of the technical point of contact.

3. A description of the actual or potential OCI. The statement must describe in a concise manner all relevant facts concerning any past, present or currently planned interest (financial, contractual, organizational, or otherwise) relating to the work to be performed hereunder and bearing on whether the Proposer has a possible organizational conflict of interest with respect to (1) impartial, technically sound, and unbiased assessments, recommendations, or evaluations, or (2) being given an unfair competitive advantage. If relevant, Proposers shall address the personal conflicts of their employees.
4. A Mitigation Plan. Proposers should refer to FAR Subpart 9.5 for policies and procedures for avoiding, neutralizing, or mitigating organizational conflicts of interest.
5. A concluding statement as follows: "I [NAME] as an authorized negotiator on behalf of [NAME OF PROPOSER] certify that I have, to the best of my knowledge and belief, disclosed all actual or potential organizational conflicts of interest (OCI) under [BAA NUMBER]. I understand that the failure to disclose the existence of an actual or potential OCI shall result in the proposer not being considered for award."

ii. OCI Mitigation Plan Contents. At a minimum, a Mitigation Plan shall:

1. Provide organizational charts showing the Proposer's (and, as appropriate, those of its subcontractors, partners, consultants, and affiliates) structure as it relates to performance under the contract awarded under this BAA and all contracts and agreements relevant to the OCI, highlighting those elements that create the actual or apparent OCI.
2. Demonstrate how the elements that create the actual or apparent OCI will be isolated from the resources that will perform work under the contract awarded under this BAA.
3. Provide information showing whether the organizational elements that will perform work under the contract awarded under this BAA will be geographically or physically separated from the elements that create the actual or apparent OCI.
4. For each contract or agreement relevant to the OCI, describe the process for reassigning personnel, including those belonging to subcontractors, partners, consultants, and affiliates, from one organization to another. Include restrictions that apply.
5. For each contract or agreement relevant to the OCI, describe the controls, including nondisclosure agreements, that are exercised over the future employment of departing employees as it relates to the OCI.
6. For each contract or agreement relevant to the OCI, describe any OCI training the employees are offered or required to attend, along with the timing (before or after starting work on a government contract), frequency, length, and content of such training.
7. Provide evidence of facts and circumstances that the Proposer asserts mitigate or address the concerns related to the actual or potential OCI.

iii. Review.

The Contracting Officer will review a Proposer's certifications, statements, and OCI Mitigation Plan (if applicable) submitted and may require additional relevant information from a Proposer. All such information and any other relevant information will be used by the Contracting Officer to determine whether an award to the Proposer may create an OCI. If found to exist, the Government may: (1) impose appropriate conditions which avoid such conflict, (2) disqualify the Proposer, (3) determine that it is otherwise in the best interest of the Government to award a contract to the Proposer and include appropriate conditions mitigating such conflict in the award, or (4) seek a waiver. If the Contracting Officer determines that an actual or significant potential conflict of interest exists that cannot reasonably be avoided, neutralized or mitigated, the Proposer will be ineligible for award. If accepted, the Mitigation Plan shall become part of the contract. Note that the Government will only evaluate OCI mitigation plans for proposals that are determined selectable based on the BAA evaluation criteria and funding availability. A Proposer who has refused to disclose the information or make the certification required by this BAA concerning an actual or potential OCI shall be disqualified from consideration for award.

c) Small Business Participation Statement –

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

This assertion will be reviewed to ensure that it supports this policy by providing meaningful subcontracting opportunities. *The statement will not be included in the page count.*

d) Small Business Subcontracting Plan

Large businesses and non-profits (including educational institutions) shall provide a Subcontracting Plan (hereafter known as 'the Plan') that contains all elements required by FAR 19.704, FAR 52.219-9 and DFARS 252.219-7003. If a company has a Master Subcontracting Plan, as described in FAR 19.701, or a Comprehensive Subcontracting Plan, as described in DFARS 219.702-70, a copy of the Plan shall also be submitted with the proposal.

The Plan will be reviewed and approved by the Contracting Officer prior to contract award. See FAR 19.702, Statutory Requirements, regarding failure of a Proposer to negotiate and submit a Subcontracting Plan acceptable to the Contracting Officer. The

successful Proposer's Subcontracting Plan will be incorporated into the resultant contract. The Proposer shall propose a minimum of the subcontracting goals identified in the table below.

SB Area	Goal %
Small Business (SB) (Total)	38.00%
Small Disadvantaged Business (SDB)	6.40%
Women-Owned SB (WOSB)	0.80%
HUBZone SB (HUBZone)	0.35%
Service-Disabled VOSB (SDVOSB)	8.40%

If proposed goals are below the minimum, then the Proposer shall include in the Plan a viable written explanation as to why small businesses are unable to be utilized and what attempts were taken to ensure that small business were given the opportunity to participate in the effort to the maximum extent practicable. *The Plan will not be included in the page count.*

e) Evidence of approved management/cost systems (as applicable)

- i. Property Management System: If GFP/GFE is anticipated, the Proposer shall provide evidence of an approved property management system, pursuant to FAR 45.105.
- ii. Cost Accounting Standards: For any Proposer who submits a proposal which, if accepted, will result in a CAS-compliant contract, must include a Disclosure Statement as required by 48 CFR 9903.202. Further information regarding CAS certification can be found in FAR 52.230-1.
- iii. Adequate Cost Accounting System: If requesting a cost-type contract, the Proposer must provide evidence of an approved accounting system, per FAR 16.104(i). If the Proposer is requesting a cost-type contract but does not yet have an approved accounting system, Proposer shall provide the DCAA Pre-award Accounting System Adequacy Checklist to facilitate DCAA's completion of an SF1408. This form is available at:  
<https://www.dcaa.mil/Checklists-Tools/Pre-award-Accounting-System-Adequacy-Checklist/>

B. Application Review Information

1. Recipient Qualifications & Eligibility

a) Responsibility Determination:

- i. Contracts shall be awarded to responsible prospective contractors only. See FAR 9.104-1 for a listing of the general standards against which an Proposer will be assessed to determine responsibility.



- ii. Per 13 CFR §125.6(d)(2), compliance with the limitation on subcontracting shall be an element of responsibility. If the Proposer is a small business, it shall provide a breakout to demonstrate how the prime contractor will satisfy the limitation on subcontracting for each period of performance. The contractor's compliance with FAR Clauses 52.219-14 "Limitation on Subcontracting," 52.219-27 "Notice of Total Service-Disabled Veteran-Owned Business Set Aside," 52.219-29 "Notice of Set-Aside for, or Sole Source Award to, Economically Disadvantaged Women-Owned Small Business Concerns," 52.219-30 "Notice of Set-Aside for, or Sole Source Award to, Women-Owned Small Business Concerns Eligible Under the Women-Owned Small Business Program," or 52.219-3 "Notice of HUBZone Set Aside or Sole Source Award," as applicable, will be assessed as an element of responsibility. Cost of contract incurred for personnel includes direct labor cost, overhead that has only direct labor as its base, and the small business's General and Administrative (G&A) rate multiplied by the labor cost. A proposal that fails to meet the limitation on subcontracting during each period of performance shall not be considered for award.
  - iii. Per FAR 9.106-1(a), a preaward survey may be required if the Contracting Officer determines that the information on hand or readily available, including information from commercial sources, is not sufficient to make a determination regarding responsibility. Proposers are expected to cooperate in the conduct of a preaward survey if such survey is deemed necessary.
  - iv. Proposers may be requested to provide information subsequent to proposal submission to assist the Contracting Officer in making a determination of responsibility.
- b) System for Award Management (SAM): All Proposers must be registered in SAM unless exempt per FAR 4.1102. FAR 52.204-7 System for Award Management and FAR 52.204-13 System for Award Management Maintenance are incorporated into this BAA, and FAR 52.204-13 will be incorporated in all awards.

Note that new registrations take an average of 7-10 business days to process.

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

The Responsibility/Qualification section of SAM.gov will be used in making a judgment about the entity's integrity, business ethics, and record of performance under Federal awards that may affect the official's determination that the Proposer is qualified to receive an award.

- d) Wide Area Work Flow (WAWF): Unless using another means of invoicing, performers will be required to submit invoices for payment directly at <https://piee.eb.mil/>. If applicable, WAWF registration is required prior to any award under this solicitation.

C. FAR / DFARS / Local Command Provisions and Clauses:

1. Anticipated Terms and Conditions

For purposes of illustration and not of limitation, the following provisions and clauses may be applicable, as amended, to NAWCAD contracts:

<b>Number</b>	<b>Provision/Clause</b>
52.202-1	Definitions
52.203-10	Price or Fee Adjustment for Illegal or Improper Activity
52.203-11	Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions
52.203-12	Limitation on Payments to Influence Certain Federal Transactions
52.203-13	Contractor Code of Business Ethics and Conduct
52.203-14	Display of Hotline Posters
52.203-18	Prohibition on Contracting with Entities that Require Certain Internal Confidentiality Agreements or Statements - Representation
52.203-19	Prohibition on Requiring Certain Internal Confidentiality Agreements or Statements
52.203-2	Certificate of Independent Price Determination
52.203-3	Gratuities
52.203-5	Covenant Against Contingent Fees
52.203-6	Restrictions on Subcontractor Sales to the Government
52.203-7	Anti-Kickback Procedures
52.203-8	Cancellation, Rescission, and Recovery of Funds for Illegal or Improper Activity
52.204-1	Approval of Contract
52.204-7	System for Award Management
52.204-10	Reporting Executive Compensation and First-Tier Subcontract Awards

<b>Number</b>	<b>Provision/Clause</b>
52.204-12	Unique Entity Identifier Maintenance
52.204-13	System for Award Management Maintenance
52.204-16	Commercial and Government Entity Code Reporting
52.204-17	Ownership or Control of Offeror
52.204-18	Commercial and Government Entity Code Maintenance
52.204-19	Incorporation by Reference of Representations and Certifications
52.204-2	Security Requirements
52.204-20	Predecessor of Offeror
52.204-21	Basic Safeguarding of Covered Contractor Information Systems
52.204-22	Alternative Line Item Proposal
52.204-23	Prohibition on Contracting for Hardware, Software, and Services Developed or Provided by Kaspersky Lab and Other Covered Entities
52.204-24	Representation Regarding Certain Telecommunications and Video Surveillance Services or Equipment
52.204-25	Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment
52.204-5	Women-Owned Business (Other Than Small Business)
52.204-6	Unique Entity Identifier
52.204-7	System for Award Management
52.204-8	Annual Representations and Certifications
52.204-27	Prohibition on a ByteDance Covered Application
52.204-29	Federal Acquisition Supply Chain Security Act Orders-Representation and Disclosures
52.209-10	Prohibition on Contracting with Inverted Domestic Corporations
52.209-11	Representation by Corporations Regarding Delinquent Tax Liability or a Felony Conviction under any Federal Law
52.209-13	Violation of Arms Control Treaties or Agreements - Certifications

<b>Number</b>	<b>Provision/Clause</b>
52.209-2	Prohibition on Contracting with Inverted Domestic Corporations - Representation
52.209-5	Certification Regarding Responsibility Matters
52.209-6	Protecting the Government's Interest When Subcontracting with Contractors Debarred, Suspended, or Proposed for Debarment
52.209-7	Information Regarding Responsibility Matters
52.209-9	Updates of Publicly Available Information Regarding Responsibility Matters
52.210-1	Market Research
52.211-11	Liquidated Damages - Supplies, Services, or Research and Development
52.211-14	Notice of Priority Rating for National Defense, Emergency Preparedness, and Energy Program Use
52.211-15	Defense Priority and Allocation Requirements
52.215-1	Instructions to Offerors - Competitive Acquisition
52.215-10	Price Reduction for Defective Cost or Pricing Data
52.215-11	Price Reduction for Defective Cost or Pricing Data - Modifications
52.215-12	Subcontractor Certified Cost or Pricing Data
52.215-13	Subcontractor Certified Cost or Pricing Data - Modifications
52.215-14	Integrity of Unit Prices
52.215-14 ALT1	Integrity of United Prices - ALT1
52.215-15	Pension Adjustments and Asset Reversions
52.215-16	Facilities Capital Cost of Money
52.215-17	Waiver of Facilities Capital Cost of Money
52.215-18	Reversion of Adjustment of Plans for Postretirement Benefits Other Than Pensions
52.215-19	Notification of Ownership Changes
52.215-2	Audit and Records - Negotiation
52.215-2 ALT2	Audit and Records - Negotiation ALT2

<b>Number</b>	<b>Provision/Clause</b>
52.215-20	Requirements for Certified Cost or Pricing Data and Data Other Than Certified Cost or Pricing Data
52.215-21	Requirements for Certified Cost or Pricing Data and Data Other Than Certified Cost or Pricing Data - Modifications
52.215-22	Limitations on Pass-Through Charges - Identification of Subcontract Effort
52.215-23 ALT1	Limitations on Pass-Through Charges ALT1
52.215-6	Place of Performance
52.215-8	Order of Precedence - Uniform Contract Format
52.216-1	Type of Contract
52.216-10	Incentive Fee
52.216-11 ALT1	Cost Contract - No Fee ALT1
52.216-11	Cost Contract - No Fee
52.216-12	Cost-Sharing Contract - No Fee
52.216-15	Predetermined Indirect Cost Rates
52.216-26	Payments of Allowable Costs Before Definitization
52.216-7	Allowable Cost and Payment
52.216-8	Fixed Fee
52.217-4	Evaluation of Options Exercised at Time of Contract Award
52.217-5	Evaluation of Options
52.217-8	Option to Extend Services
52.217-9	Option to Extend the Term of the Contract
52.219-1	Small Business Program Representations
52.219-14	Limitations on Subcontracting
52.219-16	Liquidated Damages - Subcontracting Plan
52.219-8	Utilization of Small Business Concerns
52.219-9	Small Business Subcontracting Plan
52.219-28	Post-Award Small Business Program Representation
52.222-2	Payment for Overtime Premiums
52.222-3	Convict Labor
52.222-35	Equal Opportunity for Veterans
52.222-36	Equal Opportunity for Workers with Disabilities

<b>Number</b>	<b>Provision/Clause</b>
52.222-37	Employment Reports on Veterans
52.222-38	Compliance with Veterans' Employment Reporting Requirements
52.222-40	Notification of Employee Rights Under the National Labor Relations Act
52.222-50	Combating Trafficking in Persons
52.222-54	Employment Eligibility Verification
52.223-23	Sustainable Products and Services
52.225-1	Buy American - Supplies
52.225-13	Restrictions on Certain Foreign Purchases
52.225-2	Buy American Certificate
52.225-25	Prohibition Contracting with Entities Engaging in Certain Activities or Transactions Relating to Iran - Representations and Certifications
52.226-2	Historically Black College or University and Minority Institution Representation
52.226-8	Encouraging Contractor Policies to Ban Text Messaging While Driving
52.226-7	Drug-Free Workplace
52.227-1 ALT1	Authorization and Consent ALT1
52.227-11	Patent Rights - Ownership by the Contractor
52.227-14	Rights in Data - General
52.227-14 ALT 5	Rights in Data - General ALT 5
52.227-14 ALT 1	Rights in Data - General ALT 1
52.227-14 ALT 2	Rights in Data - General ALT 2
52.227-14 ALT 3	Rights in Data - General ALT 3
52.227-14 ALT 4	Rights in Data - General ALT 4
52.227-15	Representation of Limited Rights Data and Restricted Computer Software
52.227-16	Additional Data Requirements
52.227-17	Rights in Data - Special Works
52.227-18	Rights in Data - Existing Work
52.227-19	Commercial Computer Software License

<b>Number</b>	<b>Provision/Clause</b>
52.227-2	Notice and Assistance Regarding Patent and Copyright Infringement
52.227-20	Rights in Data - SBIR Program
52.228-7	Insurance - Liability to Third Persons
52.230-1	Cost Accounting Standards Notices and Certification
52.230-2	Cost Accounting Standards
52.230-2 DEV	Cost Accounting Standards (Deviation 2018-O0015)
52.230-4	Disclosure and Consistency of Cost Accounting Practices - Foreign Concerns
52.230-5	Cost Accounting Standards - Educational Institutions (Deviation 2018-O0015)
52.230-6	Administration of Cost Accounting Standards
52.230-7	Proposal Disclosure - Cost Accounting Practice Changes
52.232-17	Interest
52.232-20	Limitation of Cost
52.232-22	Limitation of Funds
52.232-23 ALT1	Assignment of Claims ALT1
52.232-25	Prompt Payment
52.232-33	Payment by Electronic Funds Transfer - System for Award Management
52.232-39	Unenforceability of Unauthorized Obligations
52.232-40	Providing Accelerated Payments to Small Business Subcontractors
52.232-9	Limitation on Withholding of Payments
52.233-1	Disputes
52.233-2	Service of Protest
52.233-3 ALT1	Protest After Award - ALT1
52.233-4	Applicable Law for Breach of Contract Claim
52.240-1	Prohibition on Unmanned Aircraft Systems Manufactured or Assembled by American Security Drone Act-Covered Foreign Entities
52.242-1	Notice of Intent to Disallow Costs
52.242-13	Bankruptcy

<b>Number</b>	<b>Provision/Clause</b>
52.242-15 ALT1	Stop-Work Order ALT 1
52.242-3	Penalties for Unallowable Costs
52.242-4	Certification of Final Indirect Costs
52.243-1 ALT 5	Changes Fixed-Price ALT 5
52.243-2 ALT 5	Changes Cost-Reimbursement ALT 5
52.243-6	Change Order Accounting
52.244-2	Subcontracts
52.244-5	Competition in Subcontracting
52.244-6	Subcontracts for Commercial Items
52.245-1	Government Property
52.245-1 ALT 2	Government Property ALT 2
52.245-9	Use and Charges
52.246-11	Higher Level Contract Quality Requirement
52.246-15	Certificate of Conformance
52.246-16	Responsibility for Supplies
52.246-18	Warranty of Supplies of a Complex Nature
52.246-18 ALT 2	Warranty of Supplies of a Complex Nature ALT 2
52.246-18 ALT 3	Warranty of Supplies of a Complex Nature ALT 3
52.246-18 ALT 4	Warranty of Supplies of a Complex Nature ALT 4
52.246-19	Warranty of Systems and Equipment under Performance Specifications or Design Criteria
52.246-19 ALT 1	Warranty of Systems and Equipment under Performance Specifications or Design Criteria ALT 1
52.246-19 ALT 2	Warranty of Systems and Equipment under Performance Specifications or Design Criteria ALT 2
52.246-19 ALT 3	Warranty of Systems and Equipment under Performance Specifications or Design Criteria ALT 3
52.246-2	Inspection of Supplies - Fixed Price



<b>Number</b>	<b>Provision/Clause</b>
52.246-3	Inspection of Supplies - Cost Reimbursement
52.246-7	Inspection of Research and Development - Fixed Price
52.246-8	Inspection of Research and Development - Cost Reimbursement
52.246-9	Inspection of Research and Development (Short Form)
52.247-1	Commercial Bill of Lading Notations
52.247-34	F.O.B. Destination
52.247-63	Preference for U.S. Flag Air Carriers
52.249-14	Excusable Delays
52.249-5	Termination for Convenience of the Government (Educational and Other Nonprofit Institutions)
52.249-6	Termination (Cost-Reimbursement)
52.249-9	Default (Fixed-Price Research and Development)
52.252-2	Clauses Incorporated by Reference
52.252-6	Authorized Deviations in Clauses
52.253-1	Computer Generated Forms
252.201-7000	Contracting Officer's Representative
252.203-7000	Requirements Relating to Compensation of Former DoD Officials
252.203-7001	Prohibition on Persons Convicted of Fraud or Other Defense-Contract-Related Felonies
252.203-7002	Requirement to Inform Employees of Whistleblower Rights
252.203-7003	Agency Office of the Inspector General
252.203-7004	Display of Hotline Posters
252.203-7005	Representation Relating to Compensation of Former DoD Officials
252.204-7000	Disclosure of Information
252.204-7003	Control of Government Personnel Work Product
252.204-7006	Billing Instructions
252.204-7007	Alternate A, Annual Representations and Certifications
252.204-7008	Compliance with Safeguarding Covered Defense Information Controls

<b>Number</b>	<b>Provision/Clause</b>
252.204-7009	Limitations on the Use of Disclosure of Third-Party Contractor Reported Cyber Incident Information
252.204-7012	Safeguarding Covered Defense Information and Cyber Incident Reporting
252.204-7016	Covered Defense Telecommunications Equipment or Services – Representation
252.204-7017	Prohibition on the Acquisition of Covered Defense Telecommunications Equipment or Services – Representation
252.204-7018	Prohibition on the Acquisition of Covered Defense Telecommunications Equipment or Services
252.204-7019	Notice of NIST SP 800-171 DoD Assessment Requirements
252.204-7020	NIST SP 800-171 DoD Assessment Requirements
252.205-7000	Provision of Information to Cooperative Agreement Holders
252.209-7004	Subcontracting with Firms that are Owned or Controlled by the Government of a Country that is a State Sponsor of Terrorism
252.209-7010	Critical Safety Items
252.215-7002	Cost Estimating System Requirements
252.215-7008	Only One Offer
252.215-7009	Proposal Adequacy Checklist
252.215-7010	Requirements for Certified Cost or Pricing Data and Data Other Than Certified Cost or Pricing Data
252.215-7011	Requirements for Submission of Proposals to the Administrative Contracting Officer and Contract Auditor
252.215-7012	Requirements for Submission of Proposals via Electronic Media
252.215-7013	Supplies and Services Provided by Nontraditional Defense Contractors
252.219-7003	Small Business Subcontracting Plan
252.219-7003 DEV	Small Business Subcontracting Plan (Deviation 2018-O0007)
252.219-7004	Small Business Subcontracting Plan (Test Program)
252.222-7006	Restrictions on the Use of Mandatory Arbitration Agreements

<b>Number</b>	<b>Provision/Clause</b>
252.225-7002	Qualifying Country Sources as Subcontractors
252.225-7012	Preference for Certain Domestic Commodities
252.225-7048	Export-Controlled Items
252.226-7001	Utilization of Indian Organizations and Indian-Owned Economic Enterprises, and Native Hawaiian Small Business Concerns
252.227-7020	Rights in Special Works
252.227-7021	Rights in Data - Existing Works
252.227-7000	Non-Estoppel
252.227-7001	Release of Patent Infringement
252.227-7002	Readjustment of Payments
252.227-7003	Termination
252.227-7004	License Grant
252.227-7005	License Term
252.227-7006	License Grant - Running Royalty
252.227-7007	License Term - Running Royalty
252.227-7008	Computation of Royalties
252.227-7009	Reporting and Payment of Royalties
252.227-7010	License to Other Government Agencies
252.227-7011	Assignments
252.227-7012	Patent License and Release Contract
252.227-7013	Rights in Technical Data - Noncommercial Items
252.227-7013 ALT 1	Rights in Technical Data - Noncommercial Items ALT 1
252.227-7013 ALT 2	Rights in Technical Data - Noncommercial Items ALT 2
252.227-7014	Rights in Noncommercial Computer Software and Noncommercial Computer Software Documentation
252.227-7015	Technical Data - Commercial Items
252.227-7016	Rights in Bid or Proposal Information
252.227-7017	Identification and Assertion of Use, Release, or Disclosure Restrictions
252.227-7018	Rights in Noncommercial Technical Data and Computer Software - Small Business Innovation Research (SBIR) Program
252.227-7019	Validation of Asserted Restrictions - Computer Software

<b>Number</b>	<b>Provision/Clause</b>
252.227-7025	Limitations on the Use or Disclosure of Government-Furnished Information Marked with Restrictive Legends
252.227-7026	Deferred Delivery of Technical Data or Computer Software
252.227-7027	Deferred Ordering of Technical Data or Computer Software
252.227-7028	Technical Data or Computer Software Previously Delivered to the Government
252.227-7030	Technical Data - Withholding of Payment
252.227-7037	Validation of Restrictive Markings on Technical Data
252.227-7038	Patent Rights - Ownership by the Contractor (Large Business)
252.227-7039	Patents - Reporting of Subject Inventions
252.231-7000	Supplemental Cost Principles
252.232-7003	Electronic Submission of Payment Requests and Receiving Reports
252.232-7006	Wide Area Workflow Payment Instructions
252.232-7007	Limitation of Government's Obligation
252.232-7010	Levies on Contract Payments
252.235-7010	Acknowledgement of Support and Disclaimer
252.235-7011	Final Scientific or Technical Report
252.242-7004	Material Management and Accounting System
252.242-7005	Contractor Business Systems
252.242-7006	Accounting System Administration
252.243-7001	Pricing of Contract Modifications
252.243-7002	Requests for Equitable Adjustment
252.244-7000	Subcontracts for Commercial Items
252.244-7001	Contractor Purchasing System Administration
252.245-7001	Tagging, Labeling, and Marking of Government-Furnished Property
252.245-7002	Reporting Loss of Government Property
252.245-7003	Contractor Property Management System Administration
252.245-7004	Reporting, Reutilization, and Disposal
252.245-7005	Management and Reporting of Government Property
252.246-7000	Material Inspection and Receiving Report

<b>Number</b>	<b>Provision/Clause</b>
252.246-7001	Warranty of Data
252.246-7001 ALT 2	Warranty of Data ALT 2
252.246-7005	Notice of Warranty Tracking of Serialized Items
252.246-7006	Warranty Tracking of Serialized Items
252.247-7023	Transportation of Supplies by Sea
252.249.7000	Special Termination Costs

2. Additional Notes Regarding Terms and Conditions:

a. Electronic and Information Technology

All electronic and information technology acquired through this solicitation must satisfy the accessibility requirements of Section 508 of the Rehabilitation Act (29 U.S.C 794d) and FAR 39.2. Each project involving the creation or inclusion of electronic and information technology must ensure that: (1) Federal employees with disabilities will have access to and use of information that is comparable to the access and use by Federal employees who are not individuals with disabilities; and (2) members of the public with disabilities seeking information or services from NAWCAD will have access to and use of information and data that is comparable to the access and use of information and data by members of the public who are not individuals with disabilities.

b. Production and Testing of Prototypes

A contract awarded under this solicitation may include a contract line item or contract option for the provision of advanced component development or prototype of technology developed under a contract for new technology for the delivery of initial or additional prototype units pursuant to DFARS 234.005-1.

## APPENDIX 3 - REQUIREMENTS APPLICABLE TO OTHER TRANSACTION AGREEMENTS

### A. Application and Submission Information

#### 1. Content and Form of Application Submission

- (a) Full Proposals:
  - i. Instructions for Other Transactions

#### **Content and Form Application:**

Proposers must submit a full proposal in accordance with the instructions provided below. Files must be in Adobe Portable Document Format (PDF) and/or Microsoft Word compatible and Microsoft Excel compatible. Do not password-protect documents.

Proposers are responsible for clearly identifying proprietary information. Submissions containing proprietary information must have the cover page, and each page containing such information, clearly marked with a label such as “Proprietary.” NOTE: “Confidential” is a classification marking used to control the dissemination of U.S. Government National Security Information as dictated in Executive Order 13526 and should not be used to identify proprietary business information.

#### Full Proposal Format

- Written in English
- Paper Size- 8.5 x 11 inch paper
- Margins – 1 inch on all four sides
- Spacing- single-spaced
- Font- Times New Roman or Calibri, no smaller than 12-point
- Font sizes of 8 or 10-point may be used for figures, tables, and charts
- Documents need to be readable text to enable Ctrl+f Function
- Spell out all acronyms on all first occurrences
- Technical Proposal Page limit – 25 pages, exclusive of cover page. There are no page limitations for the Cost Proposal or the remaining submission requirements.

**NOTE: Any pages submitted exceeding the page limit shall be disregarded and not evaluated. Additionally, the electronic file name for all documents submitted under this solicitation must not exceed 68 characters in length, including the file name extension.**

The following documents, with attachments, comprise a complete proposal package as described below:

- **Cover Page:** This must include the following:

- (a) BAA Number: N00421-25-S-0001;
- (b) Title of Proposal;
- (c) Identity of prime Proposer and complete list of subcontractors, if applicable;
- (d) Type of organization, selected from the following categories: Large Business, Small Disadvantaged Business, Other Small Business, HBCU, MI, Other Educational, or Non Profit;
- (e) Technical contact (name, address, phone, electronic mail address);
- (f) Administrative/business contact (name, address, phone, electronic mail address);
- (g) Total Amount of the proposed effort;
- (h) Place(s) of Performance;
- (i) Period of performance (identify both the base period and any options, if included);
- (j) Award instrument requested;
- (k) System for Award Management (SAM) Unique Entity ID;
- (l) Taxpayer identification number (TIN);
- (m) Commercial and Government Entity (CAGE) code;
- (n) Administration Office POC at Defense Contract Management Agency (DCMA) or Office of Naval Research (ONR), if known
- (o) Audit Office POC at Defense Contract Audit Agency (DCAA), if known
- (p) Date Proposal was Prepared; and
- (q) Proposal validity period (minimum 120 days)

Note: In all cases, the Government Contracting Officer has sole discretion to select award instrument type, regardless of instrument type proposed, and to negotiate all instrument terms and conditions with selectees.

### **1. Technical Volume:**

- **Table of Contents:** A listing of the sections within the proposal, including corresponding page numbers.

- **Executive Summary:** The executive summary should include a description of the key technical challenges, a concise review of the technologies proposed to overcome these challenges and achieve the project's goal, and a clear statement of the novelty and uniqueness of the proposed work. Provide a synopsis of the proposed project, including answers to the following questions:

- - What is the proposed work attempting to accomplish or do?
- - How is the work performed today (what is the state of the art or practice), and what are the limitations?
- - Who or what will be affected and what will be the impact if the work is successful?
- What is new in your approach, and why do you think it will be successful?
- - How much will it cost, and how long will it take?
- What are the teaming/subcontracting relationships if applicable? What unique skills and knowledge does each team member have? What role will each team member perform?

- Proposers must indicate whether they qualify as a nontraditional defense contractor (NTDC) in accordance with the definition of a nontraditional defense contractor at 10 U.S.C. § 3014), have teamed with a NTDC or nonprofit research institution, or are providing a one-third cost share for this effort. Proposers must specifically:
  - o Identify who the nontraditional defense contractor/s or nonprofit research institution/s are;
  - o Specify the nontraditional defense contractor's or nonprofit research institution's role and how their role constitutes significant participation in the effort.
- If multi-party relationships are anticipated, provide a description of the legal arrangement anticipated and how this will impact the administration of the resulting OT. Note that the binding document should be in place before negotiations begin with the Government.
- **Technical Concept and Approach:** Describe the basic scientific or technical concepts that will be investigated, giving the complete research plan. Describe what is innovative about the proposed approach. Provide the proposed approach compared to alternate approaches other researchers in this field have taken. Given the successful completion, describe the results, new knowledge, or insights, as well as, addressing the following:
  - a) Future Naval Relevance: A description of potential contributions of the proposed effort and the relevancy to the NAWCAD and Department of the Navy mission.
  - b) Project Schedule: A summary of the schedule of events to includes major tasks and their duration start and end dates. Include any planned decision points and demos or experiments.
  - c) Stand-alone non-proprietary Statement of Work (SOW): The Statement of Work must clearly define the technical tasks/subtasks to be performed, their durations, and interdependencies; *Template to be provided with the Invitation to Phase II*. For each task/subtask, provide:
    - A general description of the objective (for each defined task/activity);
    - A detailed description of the approach to be taken to accomplish each defined task/subtask;
    - Identification of the primary organization responsible for task execution (prime contractor, subcontractor(s), consultant(s)), by name;
    - A definition of all deliverables (reporting frequency, data, reports, including report content, software, etc.) to be provided to the Government in support of the proposed research tasks/subtasks;
    - Clearly identify any tasks/subtasks (to be performed by either a prime or sub) that will be accomplished on-campus at a university, if applicable;
    - Proposed success criteria that will be used to determine if the prototype project is successful;
    - Identification of the proposed classification for each task/subtask.



- For all tasks and subtasks proposed to be unclassified, identify if the task/subtask is proposed as fundamental research or controlled unclassified information (CUI).
- Provide a short explanation for why each task/subtask should be categorized as fundamental research or CUI.
- Any optional tasking shall be separately identifiable within the document.

*Note: It is recommended that the SOW be developed so that each Phase of the program is separately defined. The SOW shall be submitted in Microsoft Word format.*

- d) Milestone Payment Schedule: A detailed list of milestones including the description, completion criteria, due date, and payment/funding schedule (to include, if cost share is proposed, Proposer's and Government share amounts). Milestones must relate directly to accomplishment of technical metrics. While agreement type (fixed price or expenditure based) will be subject to negotiation, the use of fixed price milestones with a payment/funding schedule is preferred. *The fixed price milestones should be commensurate with the associated deliverable/event; **Template to be provided with the Invitation to Phase II.***
- e) Staffing and Key Personnel Qualifications: A detailed description of the proposed staffing by labor category. Include a discussion of the qualifications of all key personnel. Include resumes or curricula vitae for any key personnel and consultants.
- f) Facilities, Equipment, and Government Furnished Information/Equipment/Material (GFI/E/M): Describe facilities available for performing the proposed research and any additional facilities or equipment the organization proposes to acquire at its own expense. Indicate government-owned facilities or equipment already possessed that will be used. Justify the need for each equipment item. (Additional facilities and equipment will not be provided unless the research cannot be completed by any other practical means.) Also provide a list of any GFI/E/M that would be required, if applicable.
- g) Resource Sharing, if applicable. Describe any assets that will be used to contribute (by which team member(s)) to the resource/cost share (e.g., non-cash, in-kind) and provide evidence of its value (e.g., appraisal by a third party, commercial value). Describe the relevancy to and method of use of the asset in the proposed scope of work to be conducted under this OT. Provide documentation to verify that the asset is under the control of the Proposer's program management team. Note that only the time the asset is used on this project can be claimed. The Government shall not consider the following as contributions: foregone profit or fee, cost of money or profit/fee, and sunk costs or prior research unless a reasonable valuation and relevance to the current program can be established.
- h) Security: If it is determined that access to classified information will be required during the performance of an award, Proposers shall provide evidence (e.g. written certification) of their current Facility Clearance and also indicate the current security clearance level and status (final, interim, pending) for all personnel proposed who could

potentially access classified information.

## 2. **Cost Volume:**

The Cost Volume must address the full project (base + option) and must include all components described herein. **No page limit** is specified for the Cost Volume.

The DoD Other Transactions Guidebook requires the Government to determine price reasonableness for all Other Transaction awards. The Government's preference is to maximize the use of price analysis in ensuring fair and reasonable pricing before resorting to cost analysis. To that end, the Proposer shall provide a robust price analysis narrative to explain how they have concluded that their overall pricing is fair and reasonable. The price analysis technique(s) used are at the discretion of the Proposer; by way of example and not limitation, this could include commercial pricing data, market data, parametric data, or other information. However, the price analysis narrative shall be detailed and shall include any relevant documentation or data that forms the basis for the Proposer's determination of fair and reasonable pricing. If the Government determines that the price analysis information provided does not suffice, the Government reserves the right to ask for additional cost information, as determined necessary, in order to determine that the pricing is fair and reasonable.

The proposed costs are to be consistent with the proposed SOW and reflect an understanding of the costs needed to accomplish the proposed technical approach. A separate price narrative Adobe.pdf document, in addition to a fully disclosed cost proposal with working formulas in Microsoft Excel, should be included in the proposal that provides appropriate justification and/or supporting documentation for each element of cost proposed. The Government reserves the right to ask for additional cost information, as determined necessary, in order to determine that the pricing is fair and reasonable. The electronic submission of the Excel spreadsheet should be in a "useable condition" to aid the Government with its evaluation. The term "useable condition" indicates that the spreadsheet should visibly include and separately identify within each appropriate cell any and all inputs, formulas, calculations, etc. The Proposer should not provide "value only spreadsheets" similar to a hard copy; ***Cost spreadsheet template available upon request, contingent on receiving an Invitation to Phase II.***

(a) The cost proposal shall include the following, as applicable:

- **Labor** – Individual labor categories, with associated labor hours and unburdened and/or burdened (exclusive of fee/profit) direct labor rates. Provide basis for escalation rates for out years.
- **Fringe Benefits and Indirect Costs** (Overhead, Material Handling, General & Administrative (G&A) etc.) – *If unburden labor rates are proposed*, the proposal must show the proposed indirect rate(s), allocation base, 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 (e.g., Forward Pricing Rate Agreement, Department of Health and Human Services (DHHS), or Office of Naval Research

(ONR) rate agreements.) 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. The Government reserves the right to ask for additional information, as determined necessary, such as historical rate data. If composite rates are used, provide the calculations used in deriving the composite rates.

- Travel – The proposed travel cost must include the following for each trip: the purpose of the trip, origin and destination if known, approximate duration, the number of travelers, the estimated cost per trip, and basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principles.
- Subcontractor(s) – For each proposed subcontractor, provide all the information and documentation at the same level of detail as that required of the Prime Proposer. A proposal and any supporting documentation must be received and reviewed before the Government can complete its cost analysis of the proposal and enter negotiations. NAWCAD preferred method of receiving subcontract information is for this information to be included with the Prime's proposal. However, a subcontractor's cost proposal can be provided via e-mail directly to the Government at the same time the prime proposal is submitted. The e-mail shall identify the proposal title and the Prime.
- 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 tasking if it is not already separately identified in the Prime's proposal.

Materials, Supplies and/or Other Direct Costs – Provide an itemized list of all proposed materials, supplies and/or Other Direct Costs including part numbers (as applicable), quantities, unit prices, and the basis for the estimate. Supporting documentation or substantiation must be provided for all with a unit price over \$1,000. Data source and format are at the discretion of the Proposer; by way of example and not limitation, this could consist of market research documentation (screenshots, etc.), current price quotes, current published price lists, and/or historical information (historical purchase orders, etc.). Articulate all applicable basis of estimate information, including the basis for any applied complexity factors. If part numbers are included, please ensure they are complete, meaningful manufacturer part numbers to aid in the Government's analysis.

- Equipment or Facilities – 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). Supporting documentation or substantiation must be provided for all equipment or facilities with a unit price over \$1,000. Data source and format are at the discretion of the Proposer; by way of example and not limitation, this could consist of market research documentation (screenshots, etc.), current price quotes, current published price lists, and/or historical information (historical purchase

orders, etc.). Articulate all applicable basis of estimate information, including the basis for any applied complexity factors. Include any requests for Government-furnished equipment or information with cost estimates and delivery dates.

Allowable items normally are limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, laptops, office equipment) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the solution.

- Fee/Profit – Separately break out the proposed fee/profit rate.
- Facilities Capital Cost of Money (FCCM) - If proposed, provide the FCCM rate(s), allocation base(s), and calculation of the costs for each rate category.
- Options - If proposing options, they **must** be separately priced and separate spreadsheets shall be provided for the base period and each option. In addition to providing summary by period of performance (base and any options), the Proposer is also responsible for providing a breakdown of cost for each task identified in the Statement of Work. The sum of all costs by task worksheets **MUST** equal the total cost summary.

(b) Accounting Standards: Proposer shall provide evidence that its accounting system complies with Generally Accepted Accounting Principles (GAAP) or has a Government-approved accounting system.

## **5. Representations and Certifications**

- a. Proposers must be registered in the System for Award Management (SAM) database prior to award and complete electronic annual representations and certifications. The representations can be found at [www.sam.gov](http://www.sam.gov).
- b. Additional Guidance Regarding Data Rights/Intellectual Property Assertions:
  - i. Noncommercial Items (Technical Data and Computer Software): Proposers requesting an Other Transaction must list all noncommercial technical data and computer software that it plans to generate, develop, and/or deliver, in which the Government will acquire less than unlimited rights and to assert specific restrictions on those deliverables. In the event a Proposer does not submit the list, the Government will assume that it has unlimited rights to all noncommercial technical data and computer software generated, developed, and/or delivered, unless it is substantiated that the development of the noncommercial technical data and computer software occurred with mixed funding. If mixed funding is anticipated in the development of noncommercial technical data and computer software generated, developed,

and/or delivered, Proposers should identify the data and software in question as subject to Government Purpose Rights (GPR). The Government will automatically assume that any such GPR restriction is limited to a period of 5 years, at which time the Government will acquire unlimited rights unless the parties agree otherwise. The Government may use the list during the evaluation process to evaluate the impact of any identified restrictions and may request additional information from the Proposer, as may be necessary, to evaluate the Proposer's assertions. Failure to provide full information may result in a determination that the proposal is not compliant with the solicitation.

- ii. **Commercial Items (Technical Data and Computer Software):** Proposers requesting an Other Transaction must list all commercial technical data and commercial computer software that may be included in any deliverables contemplated under the research project, and assert any applicable restrictions on the Government's use of such commercial technical data and/or computer software. In the event a Proposer does not submit the list, the Government will assume there are no restrictions on the Government's use of such commercial items. The Government may use the list during the evaluation process to evaluate the impact of any identified restrictions and may request additional information from the Proposer to evaluate the Proposer's assertions. Failure to provide full information may result in a determination that the proposal is not compliant with this BAA .
- iii. For all technical data or computer software that will be furnished to the Government with other than unlimited rights, the Proposer shall provide a list, inclusive of subcontractor(s), describing all proprietary claims to results, prototypes, deliverables or systems supporting and/or necessary for the use of the research, results, prototypes, and/or deliverables. Include documentation proving ownership or possession of appropriate licensing rights to all patented inventions (or inventions for which a patent application has been filed) to be used for the proposed project. Provide the following information for Proposer and each teaming partner, including subcontractor(s). Enter "none," when all data or computer software will be submitted without restrictions. **Submit the signed data assertions in a single list as a separate standalone attachment of the proposal.**

Technical Data or Computer Software to be furnished with Restrictions	Basis of Assertion; including IRAD Report Number(s) and/or Government contract number, if applicable	Asserted Rights Category (i.e., Commercial Technical Data License Rights, Limited Rights, Commercial Computer Software License Rights, etc.)	Name of Person/Entity Asserting Restrictions	Patent Information (if applicable)

## 6. Additional Submission Requirements

### a) Use of Arms, Ammunition and Explosives

#### i. Safety

The Proposer is required to be in compliance with DoD manual 4145.26-M, *DoD Contractor's Safety Manual for Ammunition and Explosives* if ammunitions and/or explosives are to be utilized under the proposed research effort (See DFARS 223.370-5, DFARS 252.223-7002 and DFARS 252.223-7003 as a baseline; comparable terms would be included in any OT agreement). If ammunitions and/or explosives (A&E) are to be utilized under the proposed solution, the Government requires a preaward safety survey identical to that outlined in DFARS PGI 223.370-4(1)(i)(C)(iv) entitled *Preaward survey*.

If the proposal requests that the Government provide Government-furnished A&E containing any nitrocellulose-based propellants and/or nitrate ester-based materials (such as nitroglycerin) or other similar A&E with a tendency to become chemically unstable over time, then the guidance at NMCARS 5252.223-9000 will also apply to a resulting OT award (See NMCARS 5223.370-5).

#### ii. Security

Applicable security terms and conditions will be included as deemed appropriate for the classification level of the award.

If arms, ammunition or explosives (AA&E) are to be utilized under the proposed solution, the Government requires a preaward security survey. (See DoD manual 5100.76-M, dated April 17, 2012, Change 2 Effective October 5, 2020, *Physical Security of Sensitive Conventional Arms, Ammunition and Explosives*, Enclosure 2, paragraph 2.a.)

If AA&E are to be utilized under the proposed research effort, the Government may require the Proposer to have perimeter fencing around the place of performance in

accordance with DoD 5100.76-M dated April 17, 2012, Change 2 Effective October 5, 2020, Enclosure 5, paragraph 2.a.

If AA&E are to be utilized under the proposed solution, the Proposer is required to provide a written copy of the Proposer's AA&E accountability procedures in accordance with DoD 5100.76-M. If the Proposer is required to provide written AA&E accountability procedures, the Proposer should provide the respective procedures with its proposal submission. See DoD 5100.76-M dated April 17, 2012, Change 2 Effective October 5, 2020, Enclosure 9, paragraph 9.

b) Conflicts of Interest

i. Disclosure.

A Proposer shall state in its proposal whether it is aware of any information bearing on the existence of any actual or potential organizational conflict of interest (OCI) as defined in FAR 2.101 and as further discussed in FAR Subpart 9.5 as to itself and any proposed subcontractors, partners, consultants or other affiliates. Proposers performing systems engineering and technical assistance (SETA) or Advisory and Assistance Services (A&AS) for the Organization are considered to have an OCI that may not be susceptible to mitigation.

The nondisclosure or misrepresentation of an interest creating an OCI may result in the disqualification of a Proposer for award, or if such nondisclosure or misrepresentation is discovered after award, the Government may terminate the agreement for default, recommend that the Proposer be disqualified from subsequent related contracts, or be subject to such other remedial actions as may be permitted or provided by law (see 18 U.S.C. § 1001 and 31 U.S.C. § 3802(a)(2)). Therefore, Proposers should interpret the requirements of this section broadly.

A Proposer who does not provide support services to the Organization or concludes no actual or potential OCI exists shall include the following statement in its proposal: "I [NAME] as an authorized negotiator on behalf of [NAME OF PROPOSER] certify that **NO** actual or potential organizational conflict of interest (OCI) exists under [BAA NUMBER]. I understand that the failure to disclose the existence of actual or potential OCI shall result in the Proposer not being considered for award."

A Proposer who does provide support services to the Organization or is aware circumstances exist that may result in the appearance that it may have an unfair competitive advantage shall submit the following with its proposal:

1. The name of the Proposer, its subcontractors, partners, consultants or affiliates.
2. The number of the contract, subcontract, or agreement that creates the actual or potential OCI. If NAWCAD did not award the contract or agreement, provide a copy of the document. If NAWCAD awarded the contract, provide the name of the technical point of contact.

3. A description of the actual or potential OCI. The statement must describe in a concise manner all relevant facts concerning any past, present or currently planned interest (financial, contractual, organizational, or otherwise) relating to the work to be performed hereunder and bearing on whether the Proposer has a possible organizational conflict of interest with respect to (1) impartial, technically sound, and unbiased assessments, recommendations, or evaluations, or (2) being given an unfair competitive advantage. If relevant, Proposers shall address the personal conflicts of their employees.
4. A Mitigation Plan. Proposers should refer to FAR Subpart 9.5 for policies and procedures for avoiding, neutralizing, or mitigating organizational conflicts of interest.
5. A concluding statement as follows: "I [NAME] as an authorized negotiator on behalf of [NAME OF PROPOSER] certify that I have, to the best of my knowledge and belief, disclosed all actual or potential organizational conflicts of interest (OCI) under [BAA NUMBER]. I understand that the failure to disclose the existence of an actual or potential OCI shall result in the Proposer not being considered for award."

ii. OCI Mitigation Plan Contents. At a minimum, a Mitigation Plan shall:

1. Provide organizational charts showing the Proposer's (and, as appropriate, those of its subcontractors, partners, consultants, and affiliates) structure as it relates to performance under the contract awarded under this BAA and all contracts and agreements relevant to the OCI, highlighting those elements that create the actual or apparent OCI.
2. Demonstrate how the elements that create the actual or apparent OCI will be isolated from the resources that will perform work under the contract awarded under this BAA.
3. Provide information showing whether the organizational elements that will perform work under the contract awarded under this BAA will be geographically or physically separated from the elements that create the actual or apparent OCI.
4. For each contract or agreement relevant to the OCI, describe the process for reassigning personnel, including those belonging to subcontractors, partners, consultants, and affiliates, from one organization to another. Include restrictions that apply.
5. For each contract or agreement relevant to the OCI, describe the controls, including nondisclosure agreements, that are exercised over the future employment of departing employees as it relates to the OCI.
6. For each contract or agreement relevant to the OCI, describe any OCI training the employees are offered or required to attend, along with the timing (before or after starting work on a government contract), frequency, length, and content of such training.
7. Provide evidence of facts and circumstances that the Proposer asserts mitigate or address the concerns related to the actual or potential OCI.

iii. Review.



The Agreements Officer will review a Proposer's certifications, statements, and OCI Mitigation Plan (if applicable) submitted and may require additional relevant information from a Proposer. All such information and any other relevant information will be used by the Agreements Officer to determine whether an award to the Proposer may create an OCI. If found to exist, the Government may: (1) impose appropriate conditions which avoid such conflict, (2) disqualify the Proposer, (3) determine that it is otherwise in the best interest of the Government to award a contract to the Proposer and include appropriate conditions mitigating such conflict in the award, or (4) seek a waiver. If the Agreements Officer determines that an actual or significant potential conflict of interest exists that cannot reasonably be avoided, neutralized or mitigated, the Proposer will be ineligible for award. If accepted, the Mitigation Plan shall become part of the agreement. Note that the Government will only evaluate OCI mitigation plans for proposals that are determined selectable based on the BAA evaluation criteria and funding availability. A Proposer who has refused to disclose the information or make the certification required by this BAA concerning an actual or potential OCI shall be disqualified from consideration for award.

**B. Application Review Information**

**1) Recipient Qualifications & Eligibility**

- a) System for Award Management: All Proposers must be registered in SAM.

Note that new registrations take an average of 7-10 business days to process.

- b) Responsibility/Qualifications section of [www.SAM.gov](http://www.SAM.gov) will be checked prior to making an award.

The Responsibility/Qualification information in [www.SAM.gov](http://www.SAM.gov) will be used in making a judgment about the entity's integrity, business ethics, and record of performance under Federal awards that may affect the official's determination that the Proposer is qualified to receive an award.

- c) Wide Area Work Flow (WAWF): Unless using another means of invoicing, proposers will be required to submit invoices for payment directly at <https://piece.eb.mil/>. If applicable, WAWF registration is required prior to any award under this solicitation.

**C. Model Agreement Terms and Conditions will be provided upon invitation to Phase II.**