

SPAWAR



**KNOWLEDGE SUPERIORITY
BROAD AGENCY ANNOUNCEMENT
N00039-13-X-0001**

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GENERAL INFORMATION

Agency	Space and Naval Warfare Systems Command (SPAWAR) 4301 Pacific Highway, San Diego, CA 92110-3127
Announcement	This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2). BAA's may be used by agencies to fulfill their requirements for scientific study and experimentation directed toward advancing the state-of-the-art or increasing knowledge or understanding. A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued.
Description of Research Interest	SPAWAR is soliciting innovative unclassified research proposals that are of interest to PEO C4I, PEO SPACE, PEO EIS, and any other program management office affiliated with SPAWAR. Offerors are encouraged to submit responses that might advance any of these program's scientific and technological capabilities.
Close Date	This announcement will close at 12:00PM Pacific Standard Time (PST) on 22 October 2013. Proposals may be submitted any time before the closing date. Proposals received after the closing date will not be considered for award.
Award Instrument	Awards may take the form of contracts, cooperative agreements, or other transaction agreements, as appropriate.
Point of Contact	John Sullivan Contract Specialist Phone: (619) 524-7145 E-mail: john.j.sullivan3@navy.mil

ELIGIBILITY INFORMATION

All interested offerors from academia and industry are eligible to respond to this BAA. Historically Black Colleges and Universities, Minority Institutions (including Hispanic Serving Institutions and Tribal Colleges and Universities), as well as Small Businesses, HUBZone Small Businesses, Small Disadvantaged Businesses, Veteran-Owned Small Businesses (including Service-Disabled Veteran-Owned Small Businesses), and Women-Owned Small Businesses are encouraged to participate. However, no portion of this BAA is set aside for a specific group. BAA offerors may be foreign firms or may team with foreign firms as long as the firm meets the criteria in this BAA.

The purpose of this BAA is to solicit proposals from academia and private industry. SPAWAR will not consider proposal submissions from Government entities (including Government laboratories) or Federally Funded Research and Development Centers (FFRDCs) as the prime contractor. SPAWAR will consider on a case-by-case basis providing required Government resources as Government Furnished Information (GFI)/Government Furnished Property (GFP)/Government Furnished Services (GFS) as described below. If the resources of an FFRDC are required, there are additional requirements that must be met between the non-sponsoring and sponsoring agency in accordance with FAR sections 17.502-1, 17.502-2, 17.503(e) and 35.017. At SPAWAR's discretion, the use of a Government entity or FFRDC as a required resource in successfully performing the proposed solution may render the proposal ineligible.

SUBMISSION INFORMATION

A. ELECTRONIC SUBMITTAL INSTRUCTIONS

Offerors shall submit their abstracts and/or proposals electronically under SPAWAR's E-Commerce Central (SPAWAR E-CC) website: <https://e-commerce.spawar.navy.mil>. Offerors shall register on the SPAWAR E-CC and select their own password in order to submit a proposal. Offerors are required to read the "Read Me First!" and "Submitting a Proposal?" web pages found on the SPAWAR E-CC. Each electronic file shall be clearly marked to show the proposal volume number, BAA number and offeror's name. E-Proposal files shall not contain classified data.

B. OTHER REGISTRATION REQUIREMENTS

Unless the offeror is exempt from this requirement, as per FAR 4.1102, all offerors must be registered as an entity in the System for Award Management (SAM) and have a valid Data Universal Numbering System (DUNS) number prior to submitting a proposal. Information on entity registration is available at <http://www.sam.gov>. All offerors must maintain an active registration in SAM with current information at all times during which they have an active federal award or proposal under consideration by SPAWAR. All offerors must provide the DUNS number in each proposal they submit. SPAWAR cannot make an award to a offeror until the offeror has provided a valid DUNS number and has maintained an active SAM registration with current information.

C. ABSTRACTS

Offerors shall submit an abstract in advance of a full proposal. This procedure is intended to minimize unnecessary effort in proposal preparation. SPAWAR will respond to abstracts indicating whether, after preliminary review, there is interest from the program management offices for the proposed technology. Responses will be sent by email to the point of contact listed on the cover sheet of the abstract. SPAWAR will attempt to reply within 30 calendar days of receipt of the abstract. *If SPAWAR indicates an interest in the proposed technology, only then should the offeror submit a full proposal.* SPAWAR reserves the right to request that all or only portions of the abstract be included in the offerors proposal. SPAWAR makes no guarantee that an award will be made even if interest is expressed in an abstract. SPAWAR will not reimburse offerors for abstract preparation costs.

The abstract is a concise version of the proposal comprising a maximum of 10 pages including the cover sheet and all figures, tables, and charts. The page limit does not include a submission letter (optional). All pages shall be formatted for printing on 8-1/2 by 11 inch paper with font size not smaller than 12 point. Font sizes of 8 point may be used for figures, tables, and charts. Submissions must be written in English.

The abstract must include the following components:

Cover Sheet: Include the following information.

- Label: "Abstract"

- BAA number: "N00039-13-X-0001"
- Abstract title
- Lead organization (prime contractor) name
- Type of business, selected from among the following categories: Large Business, Small Disadvantaged Business, Other Small Business, HBCU, MI, Other Educational, Other Nonprofit
- Technical point of contact including name, mailing address, telephone, and email
- Administrative point of contact including name, mailing address, telephone, and email
- Award instrument requested: procurement contract (specify type), cooperative agreement or other transaction agreement.
- Place(s) and period(s) of performance
- Other team member information (for each, include type of business and Technical point of contact name, mailing address, telephone, and email)
- Proposal validity period (minimum 120 days)
- DUNS number (<http://fedgov.dnb.com/webform/index.jsp>)
- Taxpayer identification number
(<http://www.irs.gov/businesses/small/international/article/0,,id=96696,00.html>)
- CAGE code (http://www.dlis.dla.mil/CAGESearch/cage_faq.asp) – Contractor’s reference number (if any)

Executive Summary: Provide a synopsis of the proposed project.

Goals and Impact: Describe the innovative aspects of the project in the context of existing capabilities and approaches, clearly delineating the relationship of this work to any other projects from the past and present.

Technical Plan: Provide appropriate specific milestones (quantitative, if possible) at intermediate stages of the project to demonstrate progress. Include a brief plan for accomplishment of the milestones.

Team Plan: Provide a brief summary of expertise of the team, including subcontractors and key personnel. Identify a principal investigator for the project and include a description of the team’s organization including roles and responsibilities.

Capabilities: Describe briefly the organizational experience in this area, existing intellectual property required to complete the project, and any specialized facilities to be used as part of the project. List Government-furnished materials or data assumed to be available.

Cost and Schedule: Provide a cost estimate (it may be a rough order of magnitude) for resources over the proposed timeline of the project, broken down by year. Include labor, materials, a list of deliverables and delivery schedule. Provide cost estimates for each subcontractor (it may be a rough order of magnitude).

D. PROPOSALS

If SPAWAR indicates an interest in an offeror’s abstract, then the offeror should submit a full proposal containing three volumes:

- Volume 1 – Technical and Management Proposal
- Volume 2 – Contractual Volume
- Volume 3 – Cost/Price Proposal

All pages shall be formatted for printing on 8-1/2 by 11-inch paper with a font size not smaller than 12 point. Font sizes of 8 or 10 point may be used for figures, tables, and charts. Document files must be in .pdf, .doc, .docx, .xls, or .xlsx formats. Submissions must be written in English.

Volume 1 - Technical and Management Proposal

The maximum page count for the Volume 1 - Technical and Management Proposal is 30 pages, including all figures, tables and charts but not including the cover sheet, table of contents or appendices. The statement of work is mandatory and does not count against the maximum page count. A submission letter is optional and is not included in the page count.

Volume 1 must include the following components:

Cover Sheet: Include the following information.

- Label: “Volume 1 - Technical and Management Proposal”
- BAA number: “N00039-13-X-0001”
- Proposal title
- Lead organization (prime contractor) name
- Type of business, selected from among the following categories: Large Business, Small Disadvantaged Business, Other Small Business, HBCU, MI, Other Educational, Other Nonprofit
- Technical point of contact including name, mailing address, telephone, and email
- Administrative point of contact including name, mailing address, telephone, and email
- Award instrument requested: procurement contract (specify type), cooperative agreement or other transaction agreement.
- Place(s) and period(s) of performance
- Other team member information (for each, include type of business and Technical point of contact name, mailing address, telephone, and email)
- Proposal validity period (minimum 120 days)
- DUNS number (<http://fedgov.dnb.com/webform/index.jsp>)
- Taxpayer identification number (<http://www.irs.gov/businesses/small/international/article/0,,id=96696,00.html>)
- CAGE code (http://www.dlis.dla.mil/CAGESearch/cage_faq.asp)

Executive Summary: Provide a synopsis of the proposed effort.

Relevance to Agency Programs: Describe clearly what the team is trying to achieve and the difference it will make (qualitatively and quantitatively) to SPAWAR, affiliated program management offices and to the overall Navy. Describe the innovative aspects of the project in the context of existing capabilities and approaches, clearly delineating the uniqueness and benefits of this project in the context of the state of the art, alternative approaches, and other projects from the past and present.

Technical Plan: Demonstrate a deep understanding of the technical challenges and present a credible plan to achieve the project’s goal. Outline and address technical challenges inherent in

the approach and possible solutions for overcoming potential problems. Discuss mitigation of technical risk. Provide appropriate measurable milestones (quantitative if possible) at intermediate stages of the project to demonstrate progress, and a plan for achieving the milestones.

Team Capability: Provide a summary of the qualifications and expertises of the team, including any subcontractors and key personnel who will be doing the work. Provide a clear description of the team's organization including an organization chart that includes, as applicable, the relationship of team members; unique capabilities of team members; task responsibilities of team members; teaming strategy among the team members; and key personnel with the amount of effort to be expended by each person during the project. Describe the team's past performance in areas that are similar to the proposed solution citing Government contract numbers where available.

Statement of Work: Provide a severable, self-standing statement of work without proprietary restrictions to be incorporated as an attachment to the resultant award instrument. The statement of work should provide a detailed task breakdown, citing specific tasks and their connection to key project milestones and schedule. The statement of work should include relevant Contract Data Requirements List (CDRLs) items with associated Data Item Descriptions (DIDs).

Volume 2 – Contractual Volume

The maximum page count for the Volume 2 – Contractual Volume is 30 pages, including all figures, tables and charts but not including the cover sheet, table of contents or appendices. A submission letter is optional and is not included in the page count.

Volume 2 must include the following components:

Cover Sheet: Include the following information.

- Label: "Volume 2 – Contractual Volume"
- BAA number : "N00039-13-X-0001"
- Proposal title
- Lead organization (prime contractor) name
- Type of business, selected from among the following categories: Large Business, Small Disadvantaged Business, Other Small Business, HBCU, MI, Other Educational, Other Nonprofit
- Technical point of contact including name, mailing address, telephone, and email
- Administrative point of contact including name, mailing address, telephone, and email
- Award instrument requested: procurement contract (specify type), cooperative agreement or other transaction agreement.
- Place(s) and period(s) of performance
- Other team member information (for each, include type of business and Technical point of contact name, mailing address, telephone, and email)
- Proposal validity period (minimum 120 days)
- DUNS number (<http://fedgov.dnb.com/webform/index.jsp>)
- Taxpayer identification number
(<http://www.irs.gov/businesses/small/international/article/0,,id=96696,00.html>)

– CAGE code (http://www.dlis.dla.mil/CAGESearch/cage_faq.asp) – Contractor’s reference number (if any)

Team Member Identification: Provide a list of the prime contractor and all sub-contractors, and identify whether any are non-US entities. Additionally, identify any Government entity or FFRDC that is required to perform the effort. The following format should be used for this list:

Prime	Organization	Non-US?
Subcontractor	Organization	Non-US?
Government Entity	Organization	Non-US?

Organizational Conflict of Interest: If none of the proposed team members are currently providing support and/or technical services to SPAWAR and affiliated program management offices, state “NONE.” If any of the proposed team members (individual or organization) are currently providing support and/or technical services to SPAWAR and affiliated program management offices, the offeror shall identify the relevant prime contract numbers and any additional information that may help the contracting office mitigate potential conflicts of interest in accordance with FAR subpart 9.5.

Intellectual Property: If no intellectual property restrictions are intended, state “NONE.” The Government will assume unlimited rights to all intellectual property not explicitly identified as restricted in the proposal. For all non-commercial technical data or computer software that will be delivered to the Government with other than unlimited rights, 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 in accordance with DFARS 252.227-7014 and 252.227-7017. Technical data and or computer software shall be listed at the lowest component possible, include unique identifiers (e.g. software version number), and identify any corresponding CDRLs. The Basis of Assertion shall state whether the technical data or computer software was developed exclusively at private expense, with mixed funding, or exclusively with Government funds. If mixed or exclusively Government funding, the Offeror shall identify the contract number under which the technical data or computer software was developed, and identify if the effort was under the Small Business Innovation Research Program. The Asserted Rights Category shall state Restricted (computer software), Limited (technical data), Specially Negotiated License Agreement (include in proposal submission if applicable), or Government Purpose Rights. The Offeror shall provide the same information for any commercial technical data or computer software delivered to the Government as part of the proposed solution. For any commercial technical data or computer software that will be delivered with less than unlimited rights, including data or software that will be provided by an entity other than the prime contractor, the Offeror shall provide the associated license(s). The following format should be used for these lists:

NONCOMMERCIAL				
Technical Data and/or Computer Software To be Furnished With	Summary of Intended Use in the Conduct of the Research	Basis for Assertion	Asserted Rights Category	Name of Person Asserting Restrictions

Restrictions				
(LIST)	(Narrative)	(LIST)	(LIST)	(LIST)

COMMERCIAL				
Technical Data and/or Computer Software To be Furnished With Restrictions	Summary of Intended Use in the Conduct of the Research	Basis for Assertion	Asserted Rights Category	Name of Person Asserting Restrictions
(LIST)	(Narrative)	(LIST)	(LIST)	(LIST)

If applicable, the Offeror shall also 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.

Subcontractor Plan: Pursuant to Section 8(d) of the Small Business Act (15 U.S.C. 637(d)), it is Government policy to enable small business and small disadvantaged business concerns to be considered fairly as subcontractors to organizations performing work as prime contractors or subcontractors under federal contracts, and to ensure that prime contractors and subcontractors carry out this policy. If applicable, prepare a subcontractor plan in accordance with FAR 19.702(a) (1) and (2). The plan format is outlined in FAR 19.704. If this section is not applicable, state "NONE."

Government Furnished Property (GFP) / Government Furnished Information (GFI): The Government discourages the use of GFP/GFI. Offerors are ordinarily required to furnish all property and information necessary to perform Government contracts. GFP/GFI will only be provided to contractors if it can clearly be demonstrated that it is in the Government's best interest, that it does not substantially increase the Government's assumption of risk, that the benefit to the acquisition significantly outweighs the increased cost of administration, and the Government requirements cannot otherwise be met. If it is believed that GFP/GFI is necessary for a proposed effort, the offeror shall provide a list of GFP/GFI containing supporting rationale for why it is in the Government's best interests to provide GFP/GFI. Offerors shall try to provide the following details pertaining to the proposed GFP items: description, manufacturer's CAGE code, marking instrument, National Stock Number, nomenclature, part number, quantity, type designator, unit acquisition cost, unit of measure, and use as is. If this section is not applicable, state "NONE."

Government Furnished Services (GFS): The Government discourages the use of GFS. Offerors are ordinarily required to furnish all services necessary to perform Government contracts. GFS will only be provided to offerors if it can clearly be demonstrated that it is in the Government's best interest, that it does not substantially increase the Government's assumption of risk, that the benefit to the acquisition significantly outweighs the increased cost of administration, and the Government requirements cannot otherwise be met. If it is believed that GFS is necessary for a proposed effort, the offeror shall provide a list of GFS containing supporting rationale for why it is in the Government's best interests to provide GFS. The offeror shall include applicable documents, such as a valid Work for Private Parties (WFPP) between the

proposed Governmental entity and the offeror, to demonstrate a valid contractual relationship. Note, that the Government will not pursue a BAA for concurrent work (same or essentially the same or integrally related) that an offeror is currently performing under an existing Cooperative Research and Development Agreement or other vehicle. The requirement for GFS may render the white paper ineligible for award. If this section is not applicable, state "NONE."

Volume 3 – Cost/Price Proposal

There is no maximum page count for the Volume 3 – Cost/Price Proposal. The cost/price proposal shall be submitted in Microsoft Excel (.xls, .xlsx). Offerors shall prepare the cost/price proposals in accordance with TABLE 15-2—INSTRUCTIONS FOR SUBMITTING COST/PRICE PROPOSALS WHEN CERTIFIED COST OR PRICING DATA ARE REQUIRED under FAR 15.408.

EVALUATION INFORMATION

Proposals received as a result of the BAA shall be evaluated in accordance with evaluation criteria specified herein through a peer or scientific review process. It is the policy of SPAWAR to ensure an impartial, equitable, comprehensive scientific and technical review of the proposals to select the respondent whose proposed approach meets the Government's technical and programmatic goals. Proposals will not be evaluated against each other since they are not submitted in accordance with a common work statement. Evaluations will be conducted using the following evaluation criteria, all of which are of equal importance:

- Relevance to Agency Programs: The Government will evaluate the degree to which the offeror's proposal is relevant and contributes to Navy-wide objectives, SPAWAR's mission, or the program management office's requirements. The Government may consider the priority of programs within SPAWAR and the program management office as to the degree of relevance and contribution.
- Technical Plan: The Government will evaluate the degree to which the offeror's proposal is feasible, credible, complete, and demonstrates an understanding of all technical risks and challenges associated with the proposed solution.
- Team Capability: The Government will evaluate the degree to which the offeror's proposal demonstrates a qualified and experienced team to successfully achieve the proposed solution or approach, including the qualifications, capabilities and experience of the proposed Principal Investigator, team leader and key personnel who are critical in achieving the white paper objectives. The Government will evaluate past performance of the team for same or similar efforts to determine whether the team has performed adequately. The Government may review outside past performance information (CPARS, other Government agency input, etc) in addition to the information provided within the offeror's proposal.
- Cost Realism and Funding Availability: The Government will also evaluate the offeror's proposal for cost realism, and will determine whether there is available funding for the proposed solution or approach. Without available funding, the Government will not award a contract, regardless of the overall technical merit of the white paper. Additionally, unrealistic cost estimates could affect the technical evaluation, potentially resulting in rejection of the white paper.

Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure in accordance with FAR 3.104-5 and 15.207. The Government Subject Matter Expert(s) (SME) will perform the evaluation of technical proposals. Cost proposals will be evaluated by Government business professionals. Restrictive notices notwithstanding, one or more support contractors may be utilized as SME technical consultants or other administrative support. However, proposal selection and award decisions are solely the responsibility of Government personnel. Each support contractor's employee having access to technical and cost proposals submitted in response to this BAA will be required to sign a non-disclosure statement prior to receipt of any proposal submissions.

AWARD INFORMATION

As soon as the evaluation of a proposal is complete, the offeror will be notified either that (1) the proposal has been selected for funding pending contract negotiations, or (2) the proposal has not been selected. Debriefings will not be provided to offerors. These official notifications will be sent via email to the points of contacts identified on the proposal coversheet. SPAWAR reserves the right to select for award all, some, or none of the proposals submitted in response to this BAA. SPAWAR reserves the right to fund all portions, some portions, or no portions of the proposal submitted in response to this BAA. SPAWAR may incrementally fund any award issued under this BAA. SPAWAR makes no guarantee that an award will be made. SPAWAR provides no funding for direct reimbursement of proposal development costs. Proposal materials (or any other material) submitted in response to this BAA will not be returned.