

BROAD AGENCY ANNOUNCEMENT

White Paper and/or Proposal Submission Instructions

1.0 GENERAL :

- a. White Paper/Proposal shall be submitted by email to timothy.petro@navy.mil, blake.jung@navy.mil (technical points of contact) and lynn.torres@navy.mil (contractual point of contact). Confirmation of receipt should be sent within 5 business days. Prior to preparing white papers and proposals, potential offerors are strongly encouraged to contact the Technical Point of Contact to conduct informal talks and receive feedback regarding the proposed project. After the white paper cut-off date, all discussion must be directed thru the contractual point of contact.
- b. White Paper/Proposal cover should contain key data necessary to review contractor responsibility. This would include the company DUNS number, NAICS Code, CAGE code, and physical address. Contractors responding to this solicitation should be registered for NAICS 541712 Research and Development. The proposal cover should state both a contractual and a technical point of contact within the company.
- c. White Paper/Proposal shall be valid for a period of not less than 60 days for the white paper and 180 days for a full proposal, after the submission date. Proposals must reference the applicable BAA number. Unnecessarily elaborate brochures, presentations, or marketing information beyond that sufficient to present a complete and effective proposal are not desired.
- d. Depending on the markings on the white paper/proposal, the NAVFAC contracts office will adhere to Federal Acquisition regulation Policy on handling. Offers are responsible for marking appropriately. The cost of preparing proposals in response to this BAA is not considered an allowable direct charge to any resulting contract or to any other contract. However, it may be an allowable expense to the normal bid and proposal indirect costs as specified in FAR 31.205-18.
- e. No classified white paper or proposals (or portions of proposals) will be accepted. White papers, technical and cost proposals (or any other materials) submitted in response to this BAA will not be returned.

2.0 ADDITIONAL INFORMATION

The Government reserves the right to award a procurement instrument best suited to the nature of the research proposed. Offeror's are permitted to propose a specific contract type (e.g., cost-reimbursable and/or firm fixed price). Offeror's should be familiar with the various unique limitations and requirements which may be associated with the use of cost-reimbursement or incentive type contracts or contracts which provide for progress payments based on costs or on a percentage or stage of completion, such as (1) an adequate accounting system for determining costs applicable to the contract, (2) an accounting system and related internal controls which provide reasonable assurance that applicable laws and regulations are complied with, the cost data produced are reliable, risk of misallocation of charges are minimized, and that contract allocations and charges are consistent with

invoicing procedures, and (3) government surveillance (as appropriate) during performance to provide reasonable assurance that efficient methods and effective cost controls are in place and operating

(FAR 16.301-3; FAR 15.903(d); DFARS 209.104-1; FAR 9.104-1(e), et al). The offeror shall include their recommendation and rationale for the type of instrument proposed in the proposal. In the event the Government is unable to conclude negotiations with the apparent successful offeror, it reserves the right to conduct negotiations with another acceptable offeror. Discussions with the points of contact shall not constitute a commitment by the Government to subsequently fund or award any proposed effort. Only Contracting Officers are legally authorized to commit the Government. This acquisition is unrestricted; full and open competition is anticipated. NAVFAC does not award grants.

3.0 WHITE PAPER

The white paper should be formatted as follows:

Section A : Title, Period of Performance, Estimated Cost of Task, Name and Address of the Company, CAGE CODE; Technical and Contracting Points of Contact, Telephone Number, and Email.

Section B: Task Objective - Description of work to be performed, Technical Summary, and the Proposed Deliverables.

Section C: Description of the offeror's general capabilities.

The white paper should include the following:

Rough-Order-of-Magnitude Cost and Period of Performance: The white paper should include the anticipated period of performance as well as a rough-order-of-magnitude (ROM) cost. The ROM cost consists of the total cost plus profit/fee, if any. It is a best guess of the anticipated cost of the effort. The ROM should be consistent with the level of work being proposed. Tables 1 and 2 are provided for use in submitting the ROM costs for the white paper.

Technical Description: The white paper must include a technical description of the concepts and program plans to accomplish the technical objectives. It should also describe the technologies to be pursued in the effort, and identify any IR&D work underway within the company which may have direct application. The technical description portion should specifically provide the following:

- a. A general overview and description of the various technologies, to include the following:
 - » Safety hazards and associated controls, to include engineering and procedural methods.
 - » System sizing requirements, power requirements, and physical dimensions and weights.
 - » Performance specifications
 - » Reliability specifications
- b. Current technology readiness level assessments for both commercially available and developing technologies.
- c. A summary of technical barriers and limitations associated with the technologies.

Offeror's Capabilities: The white paper should include a description of the offeror's general capabilities, including hardware production:

General Capabilities:

- a. Describe briefly the capabilities of your facility and the nature of the goods and/or services you provide. Include a description of your staff composition and management structure.
- b. Describe your company's past experience on previous projects similar in complexity to this requirement, especially with regard to similar shipboard systems. Include contract numbers, a brief description of the work performed, period of performance, agency/organization supported, and individual point of contact (Contracting Officer or Program Manager).
- c. Describe your company's capabilities and experience in generating technical data, engineering drawings and manuals. Identify what software programs are utilized to generate these data products and what formats are available for delivered items.

Hardware Production:

- a. Describe your company's capability and experiences in the manufacturing and fabrication of similar systems.
- b. We may be interested in visiting your company's fabrication/modification facility. Please provide a point of contact to schedule a potential site visit.
- c. What quality assurance processes and test qualification practices does your company employ? Please provide a description of your quality program (ISO 9000, QS-9000, EIA-599, or otherwise).
- d. Describe your company's capabilities and experience in managing hardware development projects, including subcontractor involvement. Include any experience in project planning, work breakdown structures, resource allocations, schedule tracking, risk analysis and cost management.

4.0 PROPOSAL

The complete proposal shall be comprised of three parts: Technical Proposal, Statement of Work (SOW), and Cost Proposal. The following table of contents/checklist is provided for the Technical Proposal portion. Details regarding the SOW and Cost Proposal are provided in subsequent sections.

Part I - Technical Proposal

- i Cover Page
- ii Table of Contents
- iii List of Illustrations/Tables
- iv Executive Summary
- 1.0 Technical Approach
 - 1.1 Technical Discussion
 - 1.2 Technical Program Summary
 - 1.3 Risk Analysis and Alternatives
 - 1.4 References

2.0 Capabilities and Relevant Experience

- 2.1 Previous or Current Relevant Independent Research and Development (IR&D) Work
- 2.2 Related Government Contracts
- 2.3 Facilities/Resources
- 2.4 Resumes of Key Personnel

3.0 Schedule

- 3.1 Time Line Chart by Task

4.0 Program Organization

- 4.1 Organization Chart(s) with key personnel
- 4.2 Management and Technical Team
 - 4.2.1 Prime Contractor Responsibilities
 - 4.2.2 Subcontractor(s) Responsibilities
 - 4.2.3 Consultant Responsibilities

5.0 Appendix(es)

Format of the proposal shall be as follows:

PART I - Technical Proposal (Maximum: 20 pages + resumes)

a. Cover Page

The cover page shall include the BAA title and reference number, name and telephone number, fax and email for the offeror's principal points of contact (both technical and contractual), and the page shall also contain the proprietary data disclosure statement, if applicable.

b. Table of Contents

Follow the previously described table of contents and use it for a final quality-control checklist.

c. List of Illustrations/Tables

This list is a quick reference of charts, graphs, and other important information. A separate List of Tables is recommended.

d. Executive Summary

The Executive Summary allows offerors to present, briefly and concisely, the important aspects of their proposals to key management personnel. The summary should present an organized progression of the work to be accomplished, without the technical details, so that the reader can grasp the core issues of the proposed program. The Executive Summary should not exceed one page for a white paper, and two pages for a full proposal.

e. Technical Approach

In this section, the offeror should provide as much technical detail and analysis as is necessary or useful to support the proposed technical approach. One must clearly identify the technologies, (basic, applied research or exploratory development) forming the solution(s) proposed.

(1) Technical Discussion: No technical approach is without its limitations or shortcomings. Every issue should be identified and compared with the successes/failures of previous approaches. A tradeoff analysis is a good way to make this comparison and should be supported by theory, simulation, modeling, experimental data, or other sound engineering and scientific practices. If the

offeror has a “new and creative” solution to the problem(s), that solution should be developed and analyzed in this section. The preferred technical approach should be described in as much detail as is necessary or useful to establish confidence in the approach.

(2) **Technical Program Summary:** This section summarizes the above technical discussion in an orderly progression through the program, emphasizing the strong points of the proposed technical approach.

(3) **Risk Analysis and Alternatives:** Every technology has limitations and shortcomings. The proposal evaluator(s) will contemplate areas of risk; therefore, it is in the best interest of the offerors to have their own understanding of the risk factors presented. Critical technologies should be identified along with their impact on the overall program, as well as fallback positions that could still improve on existing approaches.

f. Capabilities and Relevant Experience

In this section, the offeror should describe any capabilities the offeror has that are uniquely supportive of the technology to be pursued. The following subparagraphs are offered as possible areas to be addressed.

- (1) Capabilities and Relevant Experience
- (2) Previous or Current Relevant IR&D Work and Points of Contact
- (3) Related Government Contracts and Points of Contact
- (4) Facilities/Resources
- (5) Resumes of Key Personnel

g. Schedule

The schedule represents the offeror’s commitment to perform the program tasks in an orderly, timely manner.

(1) **Time Line Chart by Task:** Each major task identified in the statement of work (SOW) should appear as a separate line on the program schedule. Planned meetings, such as kick-off, presentations (including final presentation on the effort), Technical Exchange Meetings, etc., should be included in the Time Line. The Time Line should also indicate the anticipated meeting site.

h. Program Organization

In this paragraph, the offerors should present their Organization’s ability to manage difficult technical programs. Any pertinent or useful information may be included in this paragraph, but a minimum recommended response should address the following subparagraphs:

- (1) **Organization Chart(s) with Key Personnel:** Include prime offeror and subcontractor organization charts.
- (2) **Management and Technical Team:** This should specifically identify what tasks will be performed by each party and why each subofferor, if any, was selected to perform its task(s).
 - (a) Proposer Responsibilities
 - (b) SubContractor(s) Responsibilities
 - (c) Consultant(s) Responsibilities

i. Appendices

Appendices may include technical reports, published papers, and referenced material. A listing of these reports/papers, with short description of the subject matter, is usually adequate.

PART II – Statement of Work (SOW) Technical Proposal

The SOW developed by the offeror and included in the proposal may be incorporated into a resulting, binding contract. Developing the SOW as a separate and distinct part of the proposal (Part II) will allow the Government to incorporate it as part of the contract with minimal time and effort.

An offeror developed SOW is required to accurately describe the work to be performed and be void of inconsistencies. If, in the Government's opinion, the offeror's SOW does not meet these requirements, changes or adjustments may be required which could delay the award. The SOW must be a separate and distinct part of the proposal. The proposed SOW must contain a summary description of the technical methodology as well as the task description, but not in so much detail as to make the SOW inflexible. Do not include the offeror's name, or any proprietary information in the SOW.

The following is offered as the format for the SOW.

- 1.0 - Objective: This section is intended to give a brief overview of the specialty area and should describe why it is being pursued, and what you are trying to accomplish.
- 2.0 - Scope: This section includes a statement of what the SOW covers. This should include the technology area to be investigated, objectives/goals, and major milestones for the effort.
- 3.0 - Background: The offeror shall identify appropriate documents that are applicable to the effort to be performed. This section includes any information, explanations, or constraints that are necessary in order to understand the requirements. It may include relationship to previous, current and future operations. It may also include techniques previously tried and found ineffective.
- 4.0 - Technical Requirements:
 - (a) This section contains the detailed description of tasks which represent the work to be performed which are contractually binding. Thus, this portion of the SOW should be developed in an orderly progression and in enough detail to establish the feasibility of accomplishing the overall program goals. The work effort should be segregated into major tasks and identified in separate paragraphs. Each major task should delineate, by subtask, the work to be performed. The SOW must contain every task to be accomplished.
 - (b) The tasks must be definite, realistic, and clearly stated. Use "shall" whenever the work statement expresses a provision that is binding. Use "should" or "may" whenever it is necessary to express a declaration of purpose. Use "will" in cases where no offeror requirement is involved (e.g., power will be supplied by the Government). Use active voice in describing work to be performed.
 - (c) Do not use acronyms or abbreviations without spelling-out acronyms and abbreviations at the first use; place the abbreviation in parenthesis immediately following a spelled-out phrase. This provides the definition for each subsequent reuse. As an option, a glossary may contain definitions of acronyms and abbreviations.
 - (d) If presentations/meetings are identified in your schedule, include the following paragraph in your SOW: *"Conduct presentations/meetings at times and places specified in the contract schedule."*

5.0 - Deliverable and Schedule: This section should explicitly state any/all deliverables (e.g., technical reports, test plans, hardware, etc,...) as well as the anticipated schedule associated with each deliverable.

PART III Guidelines for Cost Proposals

Use Tables 3 and 4 for full proposals.

Timeline. For pricing purposes, offerors should assume a contract or agreement start date of approximately ninety (90) days after submission of the proposal. Offerors are to provide any current Forward Pricing Rate Agreements (FPRA) in effect at time of proposal submission.

Cover Sheet. The following information should be contained in a cover sheet attached to the cost proposal:

1. Full company name and address
2. BAA number submitting proposal against
3. Point of contact, name, title, phone and fax number
4. CAGE code
5. DUNS number
6. Type of contract proposed (i.e. CPFF, T&M)
7. Name, address and phone number of administration office
8. Name, address and phone number of audit (DCAA) office
9. Requirement for government furnished property in the performance of this work.
10. Is this proposal consistent with your established estimating and accounting practices and procedures and FAR Part 31 cost principles? If no, explain.

Cost Element Breakdown: Clear, concise and accurate cost proposals reflect the offeror's financial plan for accomplishing the effort contained in the technical proposal. As a part of its cost proposal, the offeror shall submit cost or pricing data containing the information outlined below, together with supporting breakdowns.

All direct costs (labor, material, travel, computer, etc.) as well as labor and overhead rates should be provided by contractor fiscal year (CFY). The cost element breakdown(s) may include the following.

Direct Labor: Direct labor should be detailed by number of labor hours by category of labor by contractor fiscal year.

Labor and Overhead Rates: Direct labor hours, with their applicable rates, must be broken out by contractor fiscal year and the bases used clearly identified. The source of labor and overhead rates and all pricing factors should be identified. For instance, if a Forward Pricing Rate Agreement (FPRA) is in existence, that should be noted, along with the Administrative Contracting Officer's (ACO's) name and telephone number. If the rates are based on current experience in your organization, provide the history base used and clearly identify all escalation, by year, applied to derive the proposed rates. If computer usage is determined by a rate, identify the basis used and rationale used to derive the rate.

Material/Equipment: List all material/equipment items by type and kind with associated costs and advise if the costs are based on vendor quotes, data and/or engineering estimates; provide copies of vendor quotes and/or catalog pricing data.

Subcontractor Costs: Submit all subcontractor proposals and analyses with your cost proposal.

Special Tooling or Test Equipment: When special tooling, and/or test equipment is proposed, attach a brief description of said items and indicate if they are solely for the performance of this particular contract or project and if they are or are not already available in the offeror's existing facilities. Indicate quantities, unit prices, whether items are to be purchased or fabricated, whether items are of a severable nature and the basis of the price. These items may be included under Direct Material in the summary format.

Consultants: When consultants are proposed to be used in the performance of the contract, indicate the specific project or area in which such services are to be used. Identify each consultant, number of hours or days to be used and the consultant's rate per hour or day. State the basis of said rate and give your analysis of the acceptability of the consultant's rate.

Travel: Travel costs must be justified and related to the needs of the project. Identify the number of trips, the destination and purpose. Travel costs should be broken out by trip with number of travelers, airfare, per diem, lodging, etc.

Project Funding Profile: Offerors should include a project funding profile by Government Fiscal Year (GFY) (1 Oct through 30 Sept) for budgetary purposes. This will enable the Government to easily identify program funding needs by GFY.

Cost Proposal (if selected for award). Format may vary if a fixed price or cost contract is recommended.

There is no page limitation for cost portions of each technical proposal. Cost proposals should be prepared in accordance with the instructions as provided under this announcement.

- a. Submit a cost element summary by major cost element for the basic period of performance, and each option, if options are proposed, using the format in Table 3. Table 3 data should always be submitted in MS Excel version 2003 whereby formulas can be ascertained. The cost element summary must also be broken out by month and by year. The detail required for each of the major cost elements is described below. Address all elements of cost applicable to the proposed effort and provide a basis of estimate to support costs included in Table 4.
 - i. Direct Labor.
 1. Show each category of direct labor proposed on a separate row. When job classifications or position titles (e.g. "Senior Scientist", "Technician", or "lead Engineer") are used, provide narrative descriptions of related qualifications, duties, and responsibilities as an attachment to the cost proposal. When job classifications or position titles are identified by numbers and/or letters (e.g., 106BB), a cross-

reference table shall be provided to indicate in words the meaning of the job classification/designation (e.g., 106BB is a senior staff scientist, responsible for).

2. In supporting rationale, identify the basis of estimate or source document and explain the derivation of the labor rate proposed for the first year in each labor category, and explain the methodology used to project each rate for subsequent years. Note: If temporary or part-time labor is proposed, explain the differences between the rates of pay for full-time and temporary or part-time workers and the impact of those differences on the direct rates proposed. Identify all uncompensated labor (Straight time and/or overtime) included in this cost element, and explain the impact of uncompensated time on the direct rates proposed.
 3. Provide a basis of estimate for the number of hours proposed, using estimating methodology. The basis of estimate should contain the specifics of the estimate; specific historical data, like program comparison, etc.
- ii. Indirect Cost Rates and/or Factors.
1. Identify when the offeror's fiscal year (OFY) begins and ends.
 2. Identify all indirect cost rates (such as, fringe benefits, labor overhead, material overhead, G&A, Cost of Money (COM), etc.) and applicable allocation bases by OFY.
 3. If composite rates are used, provide the calculations used in deriving the composite rates.
 4. Identify the basis of proposed rates (e.g., Forward Pricing Rate Agreement and date of agreement, bidding rates and the date of submission or actual rates used and the effective date, billing rates and the date of approval, etc.).
- iii. Subcontracts/Inter-organizational Transfers (IOTs), and Consultants. Obtain cost proposals from each subcontractor and IOT using the same cost breakout required for Table 3. Provide a list of anticipated subcontractors/IOTs/consultants using Table 4. Perform and provide evaluation results of cost/price analysis of subcontract/IOT proposals. If decrement factors are used, explain their development and application. Substantiate the need for and cost of proposed consultant services. NOTE: Subcontractor quotes or proposals will be made available to the government upon request if selected for award under this BAA
- iv. Material, Travel, and Other Direct Costs (ODCs). Separately identify costs for travel, material and other direct costs required to perform the basic effort and each option. Provide a breakout of travel costs for each OFY including the purpose and number of trips, origin and destination(s), duration, and travelers per trip. Provide an itemized, priced list of all proposed equipment, materials and supplies for each OFY. Provide a breakout and explanation of all other proposed ODCs by OFY.

- v. Cost of Money (COM). Refer to FAR 52.215-16, Facilities Capital Cost of Money. Provide a schedule which contains proposed cost of money (COM) factors, if applicable, to include a display of all individual bases for the COM amounts. Submit a DD Form 1861 for each OFY.

- vi. Fee. Substantiate proposed fee using a structured approach. Refer to DFAR 215.404-4.

TABLE 1 – White Paper

Submit a Proposal cost element summary including **each year** of performance.

Total Direct Labor (TDL):	Subtotal	Base Period 1	Option Period 2	Option Period 2
Total Direct Materials Costs (TDM):	Subtotal			
Total Other Direct Costs (TODC):	Subtotal			
Total Indirect Costs (TODC):	Subtotal			
Fee or Profit	Subtotal			
TOTAL ESTIMATED COST:	Total			

TABLE 2 – White Paper

Subcontract/inter-organizational transfers & consultants price summary

f.

SUBCONTRACTOR NAME	SUBCONTRACT TASKS**	ESTIMATED PRICE
TOTALS		

**Identify Statement of Work or Work Breakdown Structure or provide a narrative explanation as an addendum.

If submitting a full proposal, cost data in table 1 and table 2 must be augmented to show labor categories, # of hours for each labor category, and other standard cost data. Materials and travel will have to be itemized, to allow for fair-and-reasonable price determination. See below.

DO NOT SUBMIT THE FOLLOWING TECHNICAL AND DETAILED COST PROPOSALS UNLESS SUBMITTING A FULL PROPOSAL – Tables 1 and 2 suffice for the white paper.

TABLE 3 – REQUIRED for Full Proposal ONLY

Detailed Cost Proposal format.

DIRECT LABOR:	Base Period Year 1			Option Period 1			Option Period 2		
	Rate/ Hour	Est. Hours	Cost	Rate/ Hour	Est. Hours	Cost	Rate/ Hour	Est. Hours	Cost
Category and/or Individual:									
Subtotal Direct Labor (DL):	Subtotal				Subtotal		Subtotal		
Fringe Benefits, if not included in Overhead, (rate %) x DL =									
Labor Overhead (rate %)									
Total Direct Labor (TDL):	Total				Total		Total		
DIRECT MATERIAL COSTS:	Unit Cost	QTY	Cost	Unit Cost	QTY	Cost	Unit Cost	QTY	Cost
Subtotal Direct Materials Costs (DM):	Subtotal				Subtotal		Subtotal		
Material Overhead (rate %)									
Total Direct Materials Costs (TDM):	Total				Total		Total		
OTHER DIRECT COSTS (Subcontracts/Travel):			Cost			Cost			Cost
Subtotal Other Direct Costs (ODC):	Subtotal				Subtotal		Subtotal		
Direct Cost Overhead (rate %) x ODC									
Total Other Direct Costs (TODC):	Total				Total		Total		
G&A (rate %)									
Total Cost									
Cost of money									
Fee or Profit									
TOTAL ESTIMATED COST:									

TABLE 4 – REQUIRED for Full Proposal ONLY

Detailed Subcontract/inter-organizational transfers & consultants cost summary

SUBCONTRACTOR NAME	SUBCONTRACT TASKS**	TYPE	QUOTED PRIC E	PROPOSED BY PRIME	DIFFERENCE
TOTALS					

**Identify Statement of Work or Work Breakdown Structure or provide a narrative explanation as an addendum.

(2) Standard Contract Clauses

Submissions of a proposal to NAVFAC under this BAA constitutes the Offerors and Subcontractors acknowledgement and consent to fully certify to and abide by NAVFAC’s standard contract clauses to include clauses and sections stated in the BAA Representations and Certifications and Contract of Clauses.