Preparing DoD Targeted Documents

Dr. Michelle Atchison
Associate Vice Chancellor for Federal Relations
The University of Texas System
Session Key Points

1. Preparing your idea

2. Where does your idea fit?

3. Running the proposal gauntlet

4. Be Prepared for Success....What is your next step?
Session Key Points

1. Preparing your idea
   - *Being able to explain your idea in technical and plain language formats*
The “Heilmeier Catechism”

1. What are we trying to do? What is the problem we are trying to solve?

2. How is it done today, and what are the limitations of current practice?

3. What is new in our approach, and why do we think it will be successful? What gives evidence that it will work?

4. Assuming we are successful, what difference does it make?

5. How long will it take, how much will it cost, and what are the mid-term and final exams?

Dr. George Heilmeier
DARPA Director, 1975-1977
2. Where does your idea fit?
   - Organization (Missions, Language)
   - Development Strategy and timeline
   - How can you make a difference?

Rule 1: DOD is Mission Driven
Service Approaches and Differences

• Generally each Service has:
  • HQ oversight
  • Lab structure (basic S&T to R&D)
    • Basic Research (ARO, AFOSR, ONR)
    • Service Labs (NRL, ARL, AFRL)
  • Development centers (functional to acquisition)

❖ Medical is both mixed funding and organizational pathways

• Services have both common funding programs and unique initiatives
  • Some initiatives are OSD funded and distributed to the Services such as RIF, SBIR, STTR
Determining your navigation path...

• What are your objects to engage with DOD?
  – Funding
  – Collaboration
  – Long-term Expertise
  – Knowledge Recognition

• What is the maturity of your idea?
  – Basic (Labs)
  – Advanced Technology (Labs to Development Centers)
  – Applied (Development Centers to Programs of Record/Acquisition)
KEY R&D REFERENCES

DOD Budget references

<table>
<thead>
<tr>
<th>MFP 6 R&amp;D Category</th>
<th>R&amp;D Activity</th>
<th>RDT&amp;E Budget Activity Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.1</td>
<td>BA 1</td>
<td>Basic Research</td>
</tr>
<tr>
<td>6.2</td>
<td>BA 2</td>
<td>Applied Research</td>
</tr>
<tr>
<td>6.3</td>
<td>BA 3</td>
<td>Advanced Technology Development</td>
</tr>
<tr>
<td>6.4</td>
<td>BA 4</td>
<td>Advanced Component Development and Prototypes</td>
</tr>
<tr>
<td>6.5</td>
<td>BA 5</td>
<td>System Development and Demonstration</td>
</tr>
<tr>
<td>6.6</td>
<td>BA 6</td>
<td>RDT&amp;E Management Support</td>
</tr>
<tr>
<td>—</td>
<td>BA 7</td>
<td>Operational System Development</td>
</tr>
</tbody>
</table>

Technology Readiness Levels

- TRL 1: Basic/Applied Research
- TRL 2: Research to Prove Feasibility
- TRL 3: Technology Demonstration
- TRL 4: Technology Development
- TRL 5: System/Subsystem Development
- TRL 6: System Test, Launch & Mission Operations
- TRL 7
- TRL 8
- TRL 9

Funds

<table>
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<tr>
<th>6.1</th>
<th>6.2</th>
<th>6.3</th>
<th>6.4</th>
<th>6.5</th>
<th>6.7</th>
</tr>
</thead>
</table>

Research, Development, Test & Evaluation | Procurement | O&M
Session Key Points

3. Running the proposal gauntlet
   - *Where do I start?*
   - *Proactively engage before formal submission*
   - *Attention to Detail (Examples)*
   - *Are partners needed?*
   - *Know the competition*
   - *Evaluation Criteria*
Where to find the opportunities:

• Types of opportunities:
  • Unsolicited Proposals
  • Broad Area Announcements (BAA)
  • Request for Information (RFI)
  • Request for Proposals (RFP)
  • Sole Source
  • On-line Webinars/Conferences

• Easing the search burden:
  • Create Search engines on sites
  • Sign up for bulletins

Helpful LINK:
• DEFENSE Innovation Marketplace
  http://www.defenseinnovationmarketplace.mil/industryresources.html
DOD RESOURCES FOR ACADEMIA

Defense Innovation Marketplace

Improve Industry Understanding of DoD Needs --

Resources for Small Business: Rapid Innovation Fund and DoD Small Business Links

Marketplace: Resources for Industry
- DoD R&D Roadmaps; Investment Strategy
- Business Opportunities with the DoD
- Virtual Interchanges & Events
- Secure Portal for IR&D Project Summaries
- Top Downloads / Pages visited

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<table>
<thead>
<tr>
<th>Type of Agreement</th>
<th>Agreement or Mechanism</th>
<th>Primary purpose</th>
<th>Approx Length</th>
<th>Collab. in research</th>
<th>Personnel exchange</th>
<th>Lab facilities access</th>
<th>$ from Gov.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Partnership Agreements</td>
<td></td>
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</tr>
<tr>
<td>CRADA</td>
<td>Contract for collaborative research; often used when there is the expectation of producing a commercial technology</td>
<td>Medium to long term</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Non-Traditional CRADA</td>
<td>CRADA tailored for specialized purposes e.g. clinical trial partnerships, materials transfer</td>
<td>Medium to long term</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Cooperative Agreement</td>
<td>Used for collaborative research projects that are exploratory in nature. Must be competed.</td>
<td>Medium to long term</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Collaborative Research/ Technology Alliance</td>
<td>A special form of a CA that emphasizes multidisciplinary collaboration and often combines gov., industry, and university partners. Must be competed.</td>
<td>Medium to long term</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
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<tr>
<td>Resource Use Agreements</td>
<td></td>
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<tr>
<td>Commercial Test Agreement</td>
<td>Allows partners to test materials, equipment, models, or software using gov. lab equipment</td>
<td>Short term</td>
<td>No</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Test Service Agreements</td>
<td>Allows partners to purchase testing services for materials, equipment, models, or software from gov. labs</td>
<td>Short term</td>
<td>No</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>User Facilities Agreement</td>
<td>Enables partners to conduct research experiments on unique gov. lab equipment and facilities</td>
<td>Short term</td>
<td>No</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
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<tr>
<td>Personnel Exchange Agreements</td>
<td></td>
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<tr>
<td>Inter-governmental Personnel Act</td>
<td>Used for exchanges of federal lab and university personnel</td>
<td>Short term</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Joint Appointments</td>
<td>Allows university or federal laboratory personnel to be employed at multiple institutions</td>
<td>Medium to long term</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
<td></td>
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<tr>
<td>Educational Agreements</td>
<td></td>
<td></td>
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<tr>
<td>Educational Partnership Agreements</td>
<td>Used to allow gov. labs and universities to work together to develop educational programs that further both partners’ missions</td>
<td>Medium term</td>
<td>Varies</td>
<td>Varies</td>
<td>Varies</td>
<td>Varies</td>
<td>Varies</td>
</tr>
<tr>
<td>Fellowship, Internship, and Sabbatical Leave Programs</td>
<td>A variety of mechanisms available for both student and research professors, including summer internships and fellowships and faculty leave programs. Vary by service</td>
<td>Short term</td>
<td>Varies</td>
<td>Yes</td>
<td>Varies</td>
<td>Varies</td>
<td>Varies</td>
</tr>
<tr>
<td>Other Partnership Agreements</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>University Affiliated Research Center</td>
<td>Long-term partnerships that creates a university led research center to meet DoD needs. Must be competed; cannot be solicited.</td>
<td>Long term</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Centers of Excellence</td>
<td>An Air Force mechanism that is similar to that of the UARC. Must be competed; cannot be solicited.</td>
<td>Long term</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Other Transaction Authority</td>
<td>Used for a partnership that does not fit the above agreement mechanisms. Special conditions apply.</td>
<td>Varies</td>
<td>Varies</td>
<td>Varies</td>
<td>Varies</td>
<td>Varies</td>
<td>Varies</td>
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</tbody>
</table>
Proposals fail because they don’t..................

#1. Follow the Instructions!

#2. Answer the questions or focus of the proposal

............................ Does your research really fit?

#3. Be proactive in building connections and before formal processes

............................ Do you know the organization,
Do you speak the language,

#4 Be prepared for success!......if not try to find out why!
Government Office Feedback and Comments:

Email extract from DOE Office of Science Reviewer 4/30/14:
An announcement is made, and a proposal is submitted (both through Grants.gov, I believe), and the applicants should always put themselves in the position of the reviewer and ask themselves if they would fund such a proposal. It's amazing how many proposals are thrown out because they simply didn’t answer the mail. Administrative reviews are done first to make sure that all boxes are filled or checked. Only then does it go to the programs to go to reviewers to look at.

IARPA: 50% or more of the proposals are toasted out or don’t make the cut because they fail to:
1) Adequately define how the proposal meets IARPA mission (Revolutionary idea, champion drive)
2) How the research will substantiate results through experiment methods, metrics, and validated results
Examples

1. QUAD Charts
2. White Papers:
   - Army BAA Extract
   - Air Force OSR White paper International
   - ONR Instruction Example
3. Instructions and Requirement
   - Special Operations Command BAA
   - OSD RIF
4. Evaluation processes and criteria:
   - Army Single Investigator and MURI
Example 1: QUAD Charts

Summarize Proposal Information

Concept

Key Elements

Costs

Timeline

Organizations

A POSTER IN POWER POINT
<table>
<thead>
<tr>
<th>Title or label as appropriate</th>
<th>Operational and Performance Capabilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Graphic image, photograph, or artist's concept of the proposed solution or prototype.</td>
<td>Describe any basic, new, or enhanced operational or performance capabilities the system will provide to meet the requirements.</td>
</tr>
<tr>
<td>Use labels or descriptive text as needed for clarification.</td>
<td>In bullet form, list key aspects of:</td>
</tr>
<tr>
<td>Ideally, this will convey the prototype concept, use, capability, and any relevant size or weight relationships.</td>
<td>• Performance</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Technical Approach:</th>
<th>ROM an Schedule:</th>
</tr>
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<tbody>
<tr>
<td>Specifically, describe the technology involved, how it will be used to solve the problem, actions done to date, and any related on-going efforts.</td>
<td>List by phase or task; include costs and period of performance POP for each.</td>
</tr>
<tr>
<td>Briefly describe the tasks to be performed for each phase if applicable. Bullet list acceptable.</td>
<td>Total cost and POP</td>
</tr>
<tr>
<td></td>
<td>Proposed exit criteria for each phase.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Deliverable:</th>
<th>Corporate Information:</th>
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<tbody>
<tr>
<td>List, by phase, all prototype hardware and software along with the required data; include cost data for the minimum report requirements and additional data deliverables. Additional reporting that is required in performance of the effort could include test plans, test and technical reports, technical data, specifications, requirements documents, computer programs or software, use manuals, drawings, or other data appropriate for the work to be performed.</td>
<td>Provide the submitter’s company name, point of contact, address, phone number, and email information. Include significant teaming partners (company or agency name and location) if needed to successfully complete program.</td>
</tr>
</tbody>
</table>
Project Title

Insert Pictures of item ("Before and After" if improvement to existing technology or equipment and if available)

[Finding Bomb Makers via Exploitation of Latent Prints]

Key Participants
- Sponsor(s): Service & Combatant Command
- Gov’t Contributors: DHS, FBI, DARPA (examples provided)
- Industry: Company Name, City, State

Key Deliverables: (examples provided)
- “XX” developmental test units
- “XX” units for deployment evaluation / military utility assessment
- Training / CONOPS manuals
- Pre-certification acquisition item

Technology / Product / Key Deliverables
- BRIEF and to the point !!!!!!
- A FEW bullets in NON-TECHNICAL / plain English (no PhD dissertations!)

The So What
- Why do we care? i.e., what’s the specific benefit of doing this?
- Specific outcomes that benefit the Warfighter
- Where is this item being used today or where will it be used when developed?

Funding ($M)

<table>
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<tr>
<th>Funding Source</th>
<th>FYXX</th>
<th>FYXX</th>
<th>Total</th>
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<tbody>
<tr>
<td>ASD(R&amp;E) / RRTO</td>
<td>X.XXX</td>
<td>X.XXX</td>
<td>X.XXX</td>
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<tr>
<td>Sponsor/Service</td>
<td>X.XXX</td>
<td>X.XXX</td>
<td>X.XXX</td>
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</table>

Milestones Leading to Fielded Capability

(examples provided)

- Contract for Test article
- Combined DT/OT
- Procurement Decision
- Deployment

* Days After Contract Award

Technical POC: Name, email, phone
PM PoC: Name, email, phone
PART III - WHITE PAPER SUBMISSIONS

Steps 1 and 2 of the Technical Dialog provide for technical interchange prior to the submission of a formal proposal. Any questions or clarification of project objectives or methods may be directly discussed between the Government representatives and the potential offerors during the Technical Dialog. The purpose of the Technical Dialog is to obviate excessive expenditure of resources for projects that do not warrant consideration based on insufficient technical merits or funding limitations.

USE OF NON-GOVERNMENT PERSONNEL

Offerors are hereby notified that non-Government participants may have access to the offerors’ white papers and that providing a white paper shall constitute consent to the disclosure of proprietary information to all non-Government participants in the white paper review process. The non-Government participants are employees of commercial firms under contract to the Government and they will be authorized access to only those portions of the white paper and discussions that are necessary to enable them to provide specific technical advice on specialized matters or on particular problems, and for tracking and recording purposes. All non-Government participants must have executed a Nondisclosure Agreement.

WHITE PAPER FORMAT AND CONTENT

Each white paper must address all of the following elements and should be no more than 4 pages in length (exclusive of resumes and diagrams):

- Contractor format is acceptable.
- White Paper submissions shall be Unclassified.
- Project description addressing in sufficient detail the characteristics identified in Part II.
- Point of contact to provide information and answer further questions, if necessary.
- A ROM cost estimate to implement the research effort.
- An estimated timeline to complete the project.
Example 2: AFOSR International White Paper Submission Format

**Instructions:** Please complete the requested information in the blocks below. This format will help accelerate the evaluation of your proposed research, and allow other program managers in the Dept. of Defense to more quickly determine if there is funding/co-funding interest. In addition, please attach a 1-2 page technical supplement of the proposed research, including any necessary figures and additional references. If there is potential funding interest, a Program Officer will then suggest you submit a grant application.

**Project Title:**
**Principal Investigator:**
**Institution:**

**Proposed Duration:** Approximate Funds Needed ($):
*(In months) (Please describe in tech supplement)*

**OBJECTIVE:** Briefly describe the overall objective(s) of the proposed research. What do you hope to accomplish?

**SUMMARY OF APPROACH:** Briefly describe how you plan to accomplish the research objectives.

**POTENTIAL IMPACT:** Briefly describe why the proposed research is important or how it is novel. What is the expected impact on the state of the art? How do you think it address gaps or opportunities in the current body of knowledge?

**RELEVANT REFERENCES:** Please list up to three references that provide additional background as needed. Provide link to online article, if possible.

**AFOSR/EOARD White Paper Submission**

**QUALIFICATIONS FOR PROPOSED RESEARCH:**
Please provide a brief description of the proposer’s qualifications, capabilities, related experience, facilities or techniques, or a combination of these factors that are integral to achieving the proposed research objectives.

**ATTACHMENT:** Please check box to indicate whether technical supplement is attached.

**Technical Supplement (Desired)** Include short (1 or 2 pages) technical summary of the proposed research. Focus should be on what you are proposing to do, rather than review too much of what has already been done (can be included in references). No particular format is required.
ONR Discovery & Invention
ONR BAA 11-006 White Papers

• The due date for white papers is no later than 3:00 PM (EST) on Tuesday, 1 February 2011. White papers received after the published due date and time are not eligible to participate in the remaining Full Proposal submission process and are not eligible for Fiscal Year (FY) 2011 funding. Each white paper should state that it is submitted in response to this BAA and cite the particular sub-section of the Research Opportunity Description that the white paper is primarily addressing.

• The only acceptable method for submission of white papers sent in response to the BAA is via electronic mail (email) to 312_EC@onr.navy.mil.
White Paper Format

- Paper Size – 8.5 x 11 inch paper
- Margins – 1” inch
- Spacing – single spaced
- Font – Times New Roman, 12 point
- Number of Pages – No more than four (4) pages (excluding cover page, resumes, bibliographies, and table of contents). White Papers exceeding the page limit may not be evaluated.
- Format – one (1) electronic copy in Adobe PDF delivered by email.
White Paper Content

• Cover Page
  Including BAA number, proposed title, administrative and technical points of contact (telephone and facsimile number; e-mail address)

• Technical Concept
  Must address the following without exceeding the four (4) page limit:
  1. Project Manager and/or Principal Investigator
  2. Relevance to BAA Research Opportunity Description and specific sub-section being addressed
  3. Technical Objective
  4. Technical Approach
  5. Deliverables
  6. Recent technical breakthroughs that will reduce risk
  7. Funding plan (requested funding per fiscal year, as well as total)

• Operational Naval Concept
  Project objectives, the concept of operation for the new capabilities to be delivered, and the expected operational performance improvements

• Operational Utility Assessment Plan
  Plan for demonstrating and evaluating the operational effectiveness of the research product in field experiments or tests in a sim environment
Things ONR will look for in white paper submissions

- An understanding of Electronic Warfare principles and needs
- Innovative applications of cutting edge science and technology to address Electronic Warfare priorities
- Efforts that focus on Wideband Electronic Support (ES) concentrating on sensing/processing, wideband Electronic Attack (EA) emphasizing components and techniques, millimeter wave (mmW) high power transmitters, and innovative EW concepts
- Clear statements of the effort's objectives, applicability to Electronic Warfare, anticipated end state, and deliverables.
- Clear and concise schedule including intermediate milestones to objectively measure progress toward goals
- Funding request broken out by performing organization and Government fiscal year.
Things that will cause ONR to reject white papers

- Proposed effort is not Electronic Warfare related
  - Communications or navigation systems (counter comms/nav is okay)
  - Intel, recon, surveillance (ISR) systems (counter ISR is okay)
- Proposed effort is not Discovery & Invention (6.2)
  - Off-the-shelf solutions without any clear innovation
  - Demonstrations and field testing of existing systems or components to show military application
- Reliance on GFE/GFI without prior arrangement/agreement
- Poor program planning
  - No explanation or understanding of underlying S&T
  - Scattershot approaches with little methodology
  - Lack of intermediate milestones to gauge progress
  - No substantiation for requested budget
ONR 312 EW will not entertain requests for individual meetings with industry representatives to discuss potential white paper submissions

- No pre-selection of ideas or concepts
- If in doubt, write the white paper and submit it

This is your opportunity to ask questions

- Written questions are permitted, but all questions and answers will be posted to the ONR BAA website

White paper questions of a business nature can be submitted by e-mail through Tuesday, 18 January 2011

- All questions and answers will be posted to the ONR BAA website
Example 3: Instructions and Requirements and FAQs

These vary widely by Organization and Program.
Consolidated BAA for Special Reconnaissance, Surveillance and Exploitation

SOLICITATION:
H92222-14-BAA-SORDAC-SRSE

UNITED STATES SPECIAL OPERATIONS COMMAND/
SPECIAL OPERATIONS RESEARCH,
DEVELOPMENT, AND ACQUISITION COMMAND
General

- Awards made under this BAA will be considered for research and development efforts that include experiments and tests, feasibility studies, technology evaluations, integrated technology evaluations, prototypes, operability, modeling, computational analysis, engineering and manufacturing development, and simulations. This includes evaluation of innovative or unique configurations or uses of commercial items and processes or concepts that are offered for further investigation for DOD applications.

- This BAA will remain open through December 31, 2015 unless superseded, amended or cancelled.

- Proposals (Quad Charts and White Papers) may be submitted any time during this period subject to the proposal submission process described in this BAA.
• **Proposals or Projects:**
  
  – Satisfy an operational or national security need
    
    o Accelerate or enhance military capability
    
    o In support of major defense acquisition program
  
  – Reduce:
    
    o Technical risk
    
    o Cost: Development, acquisition, sustainment, or lifecycle
  
  – Completed within **24 months** of award *
  
  – Cost is not more than **$3 million** *

  * Can be waived by Under Secretary of Defense (Acquisition, Technology & Logistics)

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**Selection Preference to Small Business Proposals**
Elements of a Good Proposal

• Responds to a BAA requirement

• Relationship in place with key customers, or otherwise have an ability to reach-out and establish links -
  – DoD acquisition buyers / Program Executive Offices or Program Managers, depots, logistics or warfare centers
  – DoD prime or subsystem contractor who integrates RIF technology
  – DoD laboratory / technology provider

• Technology Readiness Level (TRL)
  – Maturity: TRL 6 – 9
  – Lower TRL accepted if:
    o Breakthrough capability or operational game-changer
    o Cost neutral to the acquisition program's out year procurement or operations & support costs
GENERAL QUESTIONS

**Question 1:** Will the briefing slides shown at the Industry Day be posted on the ONR website?

**Answer:** Yes.

**Question 2:** Will an attendance list be provided for Industry Day?

**Answer:** Yes, a list will be posted on the BAA website, minus those people who request their names be excluded.

**Question 3:** Who will be the evaluators of the white papers and proposals for this BAA? Will it be just yourself and Mr. Tremper?

**Answer:** The plan is to employ a panel of subject matter experts, consisting of government employees and support contractors who have signed non-disclosure agreements, to review all of the white paper submissions in response to the BAA.

**Question 4:** Does the parallel solicitation that has been distributed to government labs and warfare centers have the same deadline for white papers as the BAA?

**Answer:** Yes, everything is the same: the Research Areas, the deadline for white papers, the deadline for full proposals, and the other significant dates and times.

**Question 5:** Would you have any interest in receiving white papers that are outside the area of Electronic Warfare but still of great interest to the U.S. Navy?

**Answer:** No, the focus of this BAA is on Electronic Warfare so other responses would be inappropriate. For other topics of interest to the U.S. Navy, BAA ONR 11-001 may be more appropriate. However, you are encouraged to seek out the appropriate Program Officer within ONR that handles the technology area of interest and discuss the matter with him or her before submitting any white paper or proposal in response to BAA ONR 11-001. Consult the ONR website to determine the best point of contact.
Example 4: Evaluation Processes

What do you think?
Evaluations will be conducted using the following evaluation criteria

- The four technical factors are of equal value
  - Sub-elements under each factor will be considered but not separately scored
- The four technical factors (1 – 4 below) are significantly more important than cost
  - Importance of cost will increase with the degree of equality of the proposals or when the cost is so significantly high as to diminish the value of the proposal's technical superiority

1. Overall scientific and technical merits of the submission
   a. Degree of innovation
   b. Soundness of technical concept
   c. Awareness of the state of the art and understanding of the scope of the problem and the technical effort needed to address it
   d. Successful achievement of goals will significantly reduce technical risk to a subsequent development effort;

2. Naval relevance, transition potential and anticipated contributions of the proposed technology to Electronic Warfare operations.
   a. Technology addresses a Naval critical need
   b. Naval program or initiative depends on the technology
   c. Potential transition effort identified
   d. Part of a joint service technology effort;
Evaluation criteria (continued)

3. Program structure and execution plan
   a. Level of technical risk appropriate for applied research
   b. Clear statements of objectives, applicability to BAA, anticipated end state, and deliverables
   c. Concise schedule with clearly identified milestones to objectively measure progress
   d. Timing is right (e.g. addresses current or future capability need, leverages recent S&T breakthrough or emerging COTS technology, constructive relationship with other on-going work, etc.);

4. The qualifications, capabilities and experience of the proposed Principal Investigator (PI), team leader and key personnel who are critical in achieving the proposal objectives
   a. Offeror's experience in relevant efforts with similar resources
   b. Ability to manage the proposed effort
   c. Offeror's overall capabilities, facilities, techniques or unique combinations of these which are integral factors for achieving the proposal objectives;

5. The realism of the proposed cost and availability of funds
Development of Ideas

White Papers

Receive Proposals

Science Peer Review

NSF-like peer-review by university S&Es – evaluates scientific merit

Evaluate technical merit, Army relevance, and desired participation: SL/SC

Army Lab/RDEC Review

Scores/comments of Army and external reviewers are assessed

Analysis of Evaluations

PM Recommendation Management Assessment

Funding decision based on balancing needs and opportunities, program portfolio, Army objectives

Active Involvement in Execution

Program manager interactions with potential PIs and Army laboratory Scientists and Engineers

Evaluate fit to program goals and quality of proposal

Approximately one in three proposals is funded

Receive Proposals

Evaluate fit to program goals and quality of proposal

Technology Driven. Warfighter Focused.
• Opportunity to redirect significant resources each year
• Must be multidisciplinary
• ~9 new projects a year
• $1.25M per year for 5 years
• 3 year award with 2 year option

**Topic Generation**
- DDR&E Guidance
- Stakeholder input
- PFW, MURI DAY, COG, …

**DDR&E Approves Topics**
- Highly competitive
- ~9 of 50 initially proposed topics selected

**Academia**

**Selection Panels**
*Multi-service, other government, and university*
- Dec

**OSD Announces Selections**
- Feb

**New MURI Grants Begin** - May

**Annual Review Boards**
Session Key Points

1. Preparing your idea
   • Being able to explain your idea in technical and plain language formats

2. Where does your idea fit?
   • Organization (Missions, Language)
   • Development Strategy and timeline
   • How can you make a difference?

3. Running the proposal gauntlet
   • Proactively engage before formal submission
   • Attention to Detail
   • Know the competition
   • Evaluation Criteria

4. Be Prepared for Success….What is your next step?
WHITE PAPERS

**Question 1:** In the white paper, do we need to select one of the suggested research areas in Section 6 that our technology area fits in or can it refer to multiple areas?

**Answer:** Please decide which is the primary research area from Section 6 of the BAA that you wish to address, but you are free to cite other research areas that also apply. We may assign groups of SME's to review the papers by research area so it is important to specify the area that you feel is best aligned to your technology. Research area 4 (other innovative EW concepts) should only be used for white papers that don't fit elsewhere.

**Question 2:** If we intend to write a white paper, are we limited to one white paper of four pages in length for any/all of the subsections listed under section 6 (Research Opportunity Description), or can we write a four page white paper for each subsection (1 through 4) we intend to address? If it is the latter, can we write about specific elements of a subsection, i.e. subsection 1, elements 1b, 1c, and 1d, or must we write about the entire subsection?

**Answer:** Any offeror can submit as many white papers as they want to, but each individual proposed effort (with a defined technical objective, approach, and set of deliverables) should be limited to a single 4-page white paper. Each white paper should be able to identify a primary research area (1, 2, 3, or 4) and/or sub-area (e.g. 1a, 2c, 3b) that it is addressing from Section 6 of the BAA (Research Opportunity Description), but can identify multiple additional secondary areas/sub-areas as well.

**Question 3:** Can a single company submit multiple white papers in which each one develops a separate piece of a system?

**Answer:** I would discourage this, since it would require all of the efforts to be funded to get a complete product. In general each white paper should stand on its own merits and not be tied to any other white papers.
WHITE PAPERS (Continued)

**Question 4:** Our company requires proprietary information sent via email to be encrypted. Will this be a problem?

**Answer:** No, it should not be a problem but we will contact you if we are not able to open your encrypted document.

**Question 5:** Regarding encryption of the email for submission of the white paper, do you have a preferred encryption method?

**Answer:** No, but we recommend you investigate encryption features built into Adobe Acrobat Professional.

**Question 6:** We have a concept that may be classified but we do not have a classification guide to get a final determination. How would such a white paper be marked and submitted?

**Answer:** I’m not a security officer so I can’t give you specific guidance on marking the paper but I recommend that you contact your company security personnel and mark the paper according to their directions. You should also submit the paper using the instructions in the BAA that refer to classified white paper submission (Section IV Application and Submission Information, Sub-Section 2 Content and Format of White Papers/Full Proposals).

**Question 7:** In the resume section of the white paper submission are we allowed to include information or experience about the company that we feel supports our efforts in these technical areas?

**Answer:** Yes, but I recommend such discussions be kept to a minimum. We do not want 75 page packets submitted that consist of a 4 page white paper and 71 pages of backup material. We will focus on the 4 page technical content and we request that the supplementary material be kept short and to the point.
WHITE PAPERS (Continued)

**Question 8:** Will you provide reasons why a specific paper was not selected for funding?

**Answer:** I have attempted to provide reasons in the past but due to the large number of papers received it is impossible to provide critiques of all of them. Sometimes it is just a matter of the review panel deciding by consensus that certain white papers are better than the others. Sometimes two papers are equally good but the available funding will only support selecting one. In these instances it is almost impossible to define why one paper was accepted and the other was not.

**Question 9:** What happens to white papers that are not selected for further consideration? Is the information destroyed?

**Answer:** Yes

ORAL PRESENTATIONS

**Question 1:** How long are the oral presentations that are given in March at the EW Program Review?

**Answer:** The presentations are 20 minutes long with a 10 minute question and answer period. Offerors that are selected to give an oral presentation will be provided with a briefing template that ensures the technical, programmatic and required background info is covered.

**Question 2:** You stated that during the oral presentations in March representatives of industry or academia would not be in the audience. Would the audience include proposers from the government?

**Answer:** Possibly, but under the rules for ethical conduct by government employees they are obligated to protect proprietary information and not use it to their own benefit.
FULL PROPOSALS

**Question 1:** Will ONR request more full proposals to be submitted than there are resources to fund?

**Answer:** No, ONR will request full proposals from only those entities whose efforts they intend to fund starting in fiscal year 2012. However, if the final approved DoD budget for fiscal year 2012 includes less funding for ONR EW D&I efforts than is currently anticipated, it may be necessary to limit the awards to match the funding available.

**Question 2:** Is there a limit on the number of awards a single company can receive?

**Answer:** No. It is conceivable that a single company could win all the awards in a single year, though, of course, that’s not likely.

**Question 3:** Is it possible to add additional subcontractors over the life of the three year effort?

**Answer:** We would have to see how the contract is set up but I would think it is possible. I know that over a three year period different things may occur but I would encourage you to have identified the people and companies you will be using up front and identify what part each plays in the overall effort. Changes that are necessitated due to unforeseen circumstances in the future would be resolved through modification of the initial contract.