

PROGRAM ANNOUNCEMENT FOR FY 2015 ENVIRONMENTAL SECURITY TECHNOLOGY CERTIFICATION PROGRAM (ESTCP)

INNOVATIVE TECHNOLOGY TRANSFER APPROACHES

BAA Proposal Submission Instructions

(Reference: Broad Agency Announcement (BAA)-15-0005, April 14, 2015, U.S. Army Corps of Engineers, Humphreys Engineering Center Support Activity)

1. INTRODUCTION

The Environmental Security Technology Certification Program (ESTCP) is the Department of Defense's (DoD) demonstration and validation (Dem/Val) program for environmental and installation energy technologies. ESTCP is seeking proposals for innovative technology transfer approaches as candidates for funding beginning in Fiscal Year (FY) 2015. Approaches should be applicable to technologies that have been successfully demonstrated under ESTCP or to mature bodies of knowledge that are appropriate for direct transfer that have been developed under the Strategic Environmental Research and Development Program (SERDP). Information about SERDP and ESTCP projects can be found at <https://www.serdp-estcp.org/Program-Areas>. Throughout this document, "technology" refers broadly to integrated systems based on any combination of hardware (equipment) and software (processing), materials engineering processes, and resource management devices, methods, tools, or models based on scientific principles.

This Broad Agency Announcement (BAA) is for Private Sector organizations. DoD organizations (Services and Defense Agencies) wishing to submit proposals to ESTCP should refer to the DoD Call for Proposals on the ESTCP website at <https://www.serdp-estcp.org/Funding-Opportunities/ESTCP-Solicitations/Technology-Transfer-Solicitation>. No Call for Proposals from Federal agencies outside DoD will be issued on this topic.

1.1 BACKGROUND

SERDP and ESTCP fund research and demonstration projects that address DoD's environmental and energy technology requirements. The objectives of the programs are to improve DoD's environmental and energy performance, reduce costs and timelines to resolve environmental issues, and enhance and sustain mission capabilities.

SERDP is a multi-agency research and development program that was established by Congress in 1991. SERDP supports environmental research and development activities in government, industry, and academic institutions in the areas of Environmental Restoration, Munitions Response, Weapons Systems and Platforms, and Resource Conservation and Climate Change. SERDP projects or groups of projects may result in a body of knowledge that is ready to transition directly to practitioners or develop technologies that require additional demonstration to establish cost and performance data in real world environments.

ESTCP is a DoD demonstration and validation program for environmental and energy technologies. ESTCP demonstrates and validates innovative technologies that are projected to pay back the investment through cost savings, increased efficiency, and improved environmental outcomes. The program provides funding to government, industry, and academic institutions to conduct demonstrations in the areas of Environmental Restoration, Munitions Response, Weapons Systems and Platforms, Resource Conservation, and Energy and Water. ESTCP demonstrations are conducted under operational conditions at DoD facilities or locations for which DoD holds environmental and energy management responsibility. Demonstrations are intended to generate supporting cost and performance data for acceptance or validation of the technology.

Technologies developed and demonstrated by SERDP and ESTCP may transfer via a number of pathways including but not limited to: (1) direct transition of a base of scientific knowledge to improve current management or practices; (2) transition to vendors who provide contracted services to the department; (3) transition to a DoD program of record; (4) acquisition of equipment or services at an individual installation; (5) implementation of new processes or materials in manufacturing or maintenance facilities.

ESTCP projects currently transfer technologies through a variety of required deliverables including guidance, design, and/or protocol documents as well as the ESTCP Final Report and Cost and Performance Report. SERDP projects produce a Final Report, and some projects also produce guidance and protocols. The reports are generally comprehensive accounts of all the activities and results of the project. They are suitable to transmit information to technical audiences, but less applicable to managers and decision makers. Protocols and guidance documents distill key actionable information, but are still limited by their format and medium as technology transfer tools.

1.2 OBJECTIVE

Proposals are requested to develop innovative technology transfer approaches. The target audience of interest is primarily end users, which may include Remedial Project Managers (RPMs) within the military, acquisition program managers, energy managers, natural resource managers, regulatory agency representatives, those responsible for updating design codes or standards, and other practitioners. Each of these communities will likely benefit from a technology transfer approach targeted to their needs and manner of receiving information. Approaches of interest include but are not limited to short courses (either live or on-line), videos, webinars, monographs, updates to standards and regulations, endorsements by regulatory bodies, fact sheets, web sites, and workshops.

Proposals should be structured to address the transfer needs of a specific ESTCP- or SERDP-funded project or group of projects that have demonstrated technical success and should produce one or more specific products that are suitable for one or multiple target audiences. Information about SERDP and ESTCP projects can be found at <https://www.serdp-estcp.org/Program-Areas>. Proposals should explicitly address why the focus technology is appropriate for this effort, what are the barriers to its adoption, who are the key stakeholders, what are their information needs regarding technology, and why the proposed approach is appropriate to the technology and the audience. It is desirable that proposals comprehensively address all stakeholders that will determine the adoption of the innovative technology.

It is expected that some proposed approaches will be applicable to a broad array of SERDP and ESTCP investment areas, while others will be narrowly targeted. Both types of proposals are desirable. The scope of applicability should be clear in the proposal.

The government expects to fund more than one proposal to fully meet these requirements.

1.3 GENERAL INFORMATION FOR PRIVATE SECTOR PROPOSERS

The solicitation will be managed by the ESTCP Office along with the U.S. Army Corps of Engineers, Humphreys Engineer Center Support Activity (HECSA) in Alexandria, Virginia. For contracting information, contact Ms. Susan Hill at HECSA at 703-428-6420 or Susan.M.Hill@usace.army.mil. General procedural questions may be referred to Ms. Jina Banks-Saunders in the ESTCP Office at 571-372-6565. For technical questions, contact Dr. Andrea Leeson at 571-372-6565.

Awardees under this BAA will be selected through a two-stage process involving a written proposal and oral presentation. Based on evaluation of the written proposal, ESTCP will either request or not request that the offeror make an in-person oral presentation in the Arlington, VA area. Based on evaluation of the proposal and the presentation, each submitter will be notified as to whether the Government wishes to enter into negotiations for the award of a contract. Offerors are advised that only the Contracting Officer is legally authorized to commit the Government. ESTCP reserves the right to recommend for award any, all, or none of the proposals received. ESTCP also reserves the right to recommend a portion of the work proposed in any single proposal for award. There is no commitment by ESTCP or the HECSA Contracting Officer to make any contract awards, nor shall the Government be responsible for any money expended by the offeror before contract award is made. Due to the volume of proposals anticipated to be received, the Government will not provide debriefs on those that are not selected for award.

1.4 EVALUATION SCHEDULE

Date	Activity
April 14, 2015	BAA Released
May 14, 2015; 2:00 p.m. Eastern Time	Proposals Due to ESTCP
Mid-June 2015	Downselect Briefings on Requested Proposals to ESTCP
July 2015	Project Selection
August-September 2015	Anticipated Awards*

* Contract award is expected in the fourth quarter of FY 2015, but not guaranteed.

2. COST AND DURATION OF PROPOSED WORK

The cost and time of proposed projects are at the discretion of the proposer; however, it is expected that the proposed projects will be of relatively short duration (12 – 18 months). The proposal should incorporate the appropriate time schedule and cost requirements to accomplish the scope of work proposed. ESTCP staff will evaluate the cost and duration of the project plan in light of the scope of work proposed. Projects under this BAA will be awarded as Firm Fixed Price (FFP) Contracts. The required FFP cost section template can be found at <https://www.serdp-estcp.org/Funding-Opportunities/ESTCP-Solicitations/Technology-Transfer-Solicitation>.

3. PROPOSAL INSTRUCTIONS

To be eligible for consideration, readers wishing to respond to this announcement must submit a proposal compliant with the following guidelines. The Technical Proposal Sections 1-5 shall be no longer than ten (10) pages and type face not less than 11 point. All margins (top, bottom, left, and right) shall not be less than 1 inch. The cover page and the supporting material including the Gantt chart, curricula vitae, exhibits, cost section, and small business plan are not included in the ten-page limit.

3.1 COVER PAGE

Each proposal must include an ESTCP cover page prepared via the Web Proposal Tracking System (WebPTS) module within the SERDP and ESTCP Management System (SEMS) website.

1. Go to <https://sems.serdp-estcp.org>, and follow the instructions to create a user name and password. If you already have an account, log in and click on the WebPTS tab at the top of the screen if you are not already on that page. As you make entries in the cover page, you may save data that have been entered or submit a completed cover page. You must complete and submit a cover page before you can upload an electronic proposal via WebPTS.
2. After you submit your cover page, additional on-screen instructions will be displayed. You must include a signed web-generated cover page as the first page of the proposal. The proposal must be signed by an individual authorized to bind your organization. A cover letter beyond this cover page is neither required nor desired. The cover page is not included in the page limitation.

If you require assistance with WebPTS, contact the ESTCP Office at 571-372-6565.

3.2 TECHNICAL PROPOSAL

The proposal must contain the following information:

1. Short Descriptive Title
2. Lead Organization: Project lead, organization, address, telephone number, fax number, and e-mail address.

3. Target Audience: Clearly state the target audience for whom the technology transfer approach is intended. Identify the current approach (if one exists) for this audience and discuss its shortcomings and how the proposed approach will improve upon current methods.
4. Technology Transfer Approach Description: This section should include the following information:
 - a. *Objectives*. Briefly state the objective(s) of the proposed effort.
 - b. *Description*. Describe the planned approach for technology transfer in sufficient detail to provide an accurate understanding of its scope and functionality and how it relates to the target audience. Discuss how the approach is innovative.
 - c. *Technology Maturity*. Provide evidence the technology or methodology that is the focus of the proposed effort either has successfully completed or nearly completed demonstration or validation or is otherwise ready for technology transfer (include references and funding history). Describe the capabilities and limitations of the technology sufficiently to make clear the scope its applicability to DoD.
 - d. *Approach*. Structure the approach in terms of tasks to be accomplished. Clearly define the metrics, data requirements, and success criteria.
 - e. *Risks*. Identify potential issues of concern. Identify any assumptions that have been made that, if not realized, could impact the successful implementation of the project. Discuss how risks will be managed.
 - f. *Related Efforts*. Provide information on any relationship to other similar projects. Identify funding sources for these efforts.
5. Expected DoD Benefit: Describe the expected benefit in terms of impact and/or reduced cost. Provide realistic projections of the number of installations, sites, or end users that could be impacted.

3.3 SUPPORTING MATERIAL

1. Gantt Chart: Provide a project schedule with expected milestones and deliverables for the duration of the project in the form of a Gantt chart. At a minimum, the Gantt chart must include start and end dates for the project, an interim report describing the detailed concept design for the final product (draft and final), and the final product and any associated documentation.
2. Curriculum Vitae: List the name and organization of the lead person(s) for each organization involved in the proposed project and their expected contributions. Provide curriculum vitae for each of the performers.
3. Exhibits (optional). Provide up to three examples of related work. These examples may include links to on-line tools, such as webinars, videos, training materials, or documents, as well as short written products. Please do not embed lengthy documents in the proposal file.
4. Small Business Participation Plan. (Required, if requesting more than \$650,000 for the entire project). All proposals requesting more than \$650,000, including small businesses and universities, must complete the Small Business Participation Plan located at <https://www.serdp-estcp.org/Funding-Opportunities/ESTCP-Solicitations/Technology-Transfer-Solicitation> regarding participation of Small and Disadvantaged Businesses, Historically Black Colleges and Universities, and Minority Institutions. Others are encouraged to use this plan to identify small business participation, if applicable, as this is one of the evaluation criteria.

3.4 COST SECTION

The cost section of the proposal is an estimate of the total project cost. Required cost spreadsheet templates are located at <https://www.serdp-estcp.org/Funding-Opportunities/ESTCP-Solicitations/Technology-Transfer-Solicitation>. Cost sections in formats other than this template will not be accepted. The cost spreadsheet for the lead organization should reflect the entire project costs, including all co-performers and subcontractors. In addition, separate cost spreadsheets are required for each co-performer or subcontractor whose costs exceed \$50,000. An accompanying narrative is permitted if necessary, but not required.

Projects funded under this solicitation will be funded in full at the time of award.

1. **Labor Costs:** Show the projected labor rates in units of hourly rate or annual salary to be charged by the PI(s), associates, and assistants. Indicate the units you are using in the table footnote. In the “units” column, indicate the number of hours or the fraction of annual salary to be charged. The total column is the amount per year to be paid to each performer on the project. Labor costs should be fully burdened.
2. **Contractor Acquired Property:** Provide an itemized list of contractor acquired property (CAP), if any, to be acquired in support of the project, showing the cost for each item. Use the second tab in the cost spreadsheet located at <https://www.serdp-estcp.org/Funding-Opportunities/ESTCP-Solicitations/Technology-Transfer-Solicitation>. CAP is any article of non-expendable, tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit.
3. **Materials, Supplies, and Consumables:** Provide a general description and total estimated cost of expendable equipment and supplies. Include a separate itemized list using the third tab of the cost spreadsheet template at <https://www.serdp-estcp.org/Funding-Opportunities/ESTCP-Solicitations/Technology-Transfer-Solicitation>.
4. **Subcontracts and Government Partners:** For any co-performer or subcontract totaling \$50,000 or more, provide a breakout of the tasks and associated costs in a separate cost estimate using the cost spreadsheet template at <https://www.serdp-estcp.org/Funding-Opportunities/ESTCP-Solicitations/Technology-Transfer-Solicitation>. Government partners will be provided a separate allocation of funds directly based upon this separate estimate. Funds will be provided directly from ESTCP to government partners. The lead organization should plan to manage all subcontracts to non-government partners.
5. **Travel Costs:** Estimate total travel costs. List the number of trips, the destinations, purposes, and costs per trip using reasonable and allowable rates in accordance with [FAR 31.205-46](#) for all proposed travel. Use the fourth tab in the cost spreadsheet at <https://www.serdp-estcp.org/Funding-Opportunities/ESTCP-Solicitations/Technology-Transfer-Solicitation> as a template for the travel budget breakdown. For trips where the specific destination has not yet been determined, budget for a representative location. For planning purposes, ESTCP intends that each project funded in response to this solicitation will entail one kick-off meeting, one in mid-project review meeting, and one final briefing, all to be held at the ESTCP Offices in Alexandria, VA.
6. **Publication and Report Costs:** Estimate the costs of publishing and reporting results, including the direct charges for clerical preparation, page or illustration charges, and distribution. Include a separate itemized list using the fifth tab of the cost spreadsheet template at <https://www.serdp-estcp.org/Funding-Opportunities/ESTCP-Solicitations/Technology-Transfer-Solicitation>.

7. **Contractor Manpower Reporting Application (CMRA):** Estimate the costs to comply with CMRA. The contractor shall report ALL contractor labor hours (including subcontractor labor hours) required for performance of services provided under this contract for ESTCP via a secure data collection site. The contractor is required to completely fill in all required data fields using the following web address: www.ecmra.mil. Reporting inputs will be for the labor executed during the period of performance during each Government fiscal year (FY), which runs October 1 through September 30. While inputs may be reported any time during the fiscal year, all data shall be reported no later than October 31 of each calendar year. Contractors may direct questions to the help desk at help desk at www.ecmra.mil.
8. **Cost by Task Summary Table:** A total cost matrix with breakout of cost per task must be included. The sixth tab in the cost spreadsheet at <https://www.serdp-estcp.org/Funding-Opportunities/ESTCP-Solicitations/Technology-Transfer-Solicitation> provides a template. These numbers must match those on the main cost spreadsheet.

4. SUBMITTAL INSTRUCTIONS

You will submit your proposal on-line via WebPTS. No hard copies are required. **Proposals must be submitted prior to 2:00 p.m. Eastern Time on May 14, 2015.**

Once your proposal has been finalized, create a single PDF that contains all required sections. Make sure to insert the signed and scanned cover page as the first page of the PDF. You are now ready to upload your proposal to the website.

- Log in at <https://sems.serdp-estcp.org> and go to the WebPTS Tab.
- Follow the on-screen instructions. You must SUBMIT your cover page before the proposal upload function will be activated. Instructions for creating your Cover Page can be found in Section 3.1.

NOTE: A system-generated cover page will be appended to your uploaded proposal as the first page. Once you have uploaded your proposal, WebPTS will display an on-line confirmation message and ESTCP will send an email to the submitter. It is the sole responsibility of the submitter to make certain the proposal is properly received by ESTCP. We recommend that you return to “Manage Cover Pages/Upload Proposals” and open the uploaded file to ensure the file opens correctly and contains all required sections. If you receive a “corrupted file” message, PDF your proposal file(s) again using “[Print to PDF](#)” and upload the proposal again. If this does not work, contact ESTCP for assistance.

You may continue to modify your cover page and upload revisions to your proposal until the due date. Prior versions of your proposal will be over-written and **only the last version uploaded** will remain in the system. We recommend that you upload your proposal as early as possible prior to the deadline, to ensure a successful and timely submission.

For WebPTS or proposal upload questions, contact the ESTCP Office at 571-372-6565.

5. EVALUATION FACTORS

The following evaluation factors will be the sole basis for reviewing proposals submitted in response to this BAA. In order to be considered for award, all proposals must first pass the relevance criterion. Among the evaluation factors, Technical Merit is more important than Personnel and Personnel is more important than Cost of Proposal. Cost of Proposal is significantly more important than the Small Business Participation Plan.

ESTCP RELEVANCE

An assessment will be made whether the submission responds to the requirement as described in this announcement.

TECHNICAL MERIT

The technical merit of the proposal will be evaluated based on a demonstrated understanding of (1) the technology and its performance; (2) the applicability and potential payback to DoD; (3) the audience that the approach is intended to address and its role in fielding new technologies; and (4) the suitability of the proposed approach to the intended audience.

PERSONNEL QUALIFICATIONS

It is expected that the proposed team will contain both the technical expertise needed to accurately represent the technology and its applicability, as well as experience in production of technology transfer materials.

COST OF PROPOSAL

Cost realism and reasonableness will be considered during the selection of acceptable proposals in accordance with FAR 35.016(e). Costs should be appropriate and traceable to the level of effort required to execute the project.

SMALL BUSINESS PARTICIPATION PLAN (PROPOSALS WITH A TOTAL VALUE EXCEEDING \$650,000 ONLY)

The Government goal is that small business participation represents five percent (5%) of the total contract value. The Government encourages offerors to propose a goal of 5% or greater small business participation. The overall goal accomplishment shall be met through collective small business participation from any type of small business or sub-category small business. Large and small businesses will be evaluated on the basis of: (a) the extent to which small business firms are specifically identified in proposals; (b) the complexity and variety of the work small firms are to perform; and (c) the extent of participation of small business firms in terms of the value of the total acquisition and the extent of which the proposals meet or exceed the small business 5% participation goal for this acquisition. Along with applicable qualifications, capabilities, demonstrated achievements, and proposed commitment to the project by the small business, these items will be examined and assessed when full proposals are evaluated.