



1. PURPOSE

This document provides guidance for developing and processing Broad Agency Announcements (BAAs) submitted to SPAWAR HQ. BAAs are issued to encourage contract proposals using creative and innovative approaches in research areas identified by SPAWAR HQ/PEO C4I.

The BAA is a general announcement of an agency's research interests including criteria for selecting proposals and soliciting participation of qualified offerors. The BAA process is similar to the Request for Proposals (RFP) process, although for BAAs:

- Offerors respond to a problem statement or general research interest with a proposed statement of work and technical approach.
- Negotiations refine the proposed statement of work.
- Rather than following a source selection plan, proposals undergo a scientific or peer review process whereby technical promise may outweigh risk.
- Typically, multiple vendors win the opportunity.
- Proposals are selected based on technical merit, importance to agency programs, and fund availability (not cost, price, or best value).

Additional background information is available under CMPG Sections [2.1.1 Develop Synopsis](#) and [2.1.3 Publish Synopsis](#).

2. POLICY

2.1 The [Competition in Contracting Act of 1984 \(CICA\) \(Public Law 98-369\)](#) and [FAR 6.102\(d\)\(2\)](#) briefly address the BAA as one of several competitive procedures available for use in fulfilling the requirement for full and open competition in the acquisition process.

1. Use of the BAA with Peer or Scientific Review is for the acquisition of basic and applied research and that part of development is *not* related to the development of a specific system or hardware procurement.
2. BAA may be used to fulfill requirements for scientific study and experimentation directed toward advancing the state-of-the-art or increasing knowledge or understanding rather than focusing on a specific system or hardware solution.
3. The BAA technique shall only be used when meaningful proposals with varying technical/scientific approaches can be reasonably anticipated.

2.2 [FAR 35.016](#) provides general procedures to be followed for the use of BAA for Research and Development (R&D) contracts.

1. The BAA, together with any supporting documents, shall:
 - a. Describe the agency's research interest, either for an individual program requirement or for broadly defined areas of interest covering the full range of the agency's requirements;
 - b. Describe the criteria for selecting the proposals, their relative importance, and the method of evaluation;
 - c. Specify the period of time during which proposals submitted in response to the BAA will be accepted; and
 - d. Contain instructions for the preparation and submission of proposals.
2. Availability of the BAA shall be publicized via the Government-wide Point of Entry (GPE).
3. Primary basis for proposal selection shall be technical, importance to agency programs and fund availability.
4. A synopsis of proposed contract action is not required for actions based on BAA proposals, as GPE publication in step 2.2(B) above fulfills the requirement.



3. RESPONSIBILITIES

3.1 Contracts Directorate – SPAWAR 2.0

Serves as the point of contact for BAA and provides preliminary guidance to potential offerors in accordance with [FAR 15.604](#).

3.2 Contracting Officer

Safeguards whitepapers and proposals; ensures required disposition documents are submitted.

3.3 Assistant PEO for Contracts (APEO) S&T

Generates topics and matches topics to program office requirements.

3.4 Program Manager (PM)/ Acquisition Program Manager (APM) (or other technical requestor)

Ensures topics are aligned with PEO C4I technical goals.

4. PROCEDURE

4.1 BAA Initiation

1. **APEO S&T** coordinates an annual meeting with the PEO C4I Technical Director, DPEO M&B, and 2.0 Contracts.
2. **APEO S&T** calls for potential annual topics during the First Quarter of the Fiscal Year from the PMWs and drafts a research opportunity using the BAA template provided in the [Toolbox](#).
3. **Contracting Officer** will post the BAA to the SPAWAR E-Commerce Central (E-CC) website to solicit white paper proposals.
 - a. The standard BAA will be open for a period of 12 months.
 - b. APEO S&T may use variation in the process in order to call for unanticipated research topics during the 12 month period.

4.2 BAA Proposal Process – Phase I: Whitepaper Evaluation

1. **Offerors** submit white paper proposals electronically to SPAWAR via the (SPAWAR E-CC).
2. **Contracting Officer** will acknowledge receipt of the proposal and forward it to the APEO S&T.
3. **APEO S&T** coordinates with the PEO C4I Technical Director and issues a data call requesting level of interest from all PMWs.



Is a PMW interested? If so:

4. The **PMW** shall provide evaluators for white papers and any subsequent proposals. The technical evaluation must consist of a written assessment based on the evaluation criteria specified in the announcement.
5. **APEO S&T** coordinates the Technical or Peer Evaluation.
 - a. The technical evaluation report shall be completed within 21 days of receipt and include a technical/scientific basis for selection, the importance of the project to the agency and whether funds are available.
 - b. For white papers received within the same period of time for the same topic, the evaluation team will establish an order of merit ranking instead of a competitive range.
6. The **Contracting Officer** advises each offeror of their proposal's acceptance or rejection, either with a letter informing them that the effort proposed is not of interest to the government, or with a request for a formal cost and technical proposal by a specified date.
 - a. Proposals determined to be invalid/or not accepted are returned to the submitter with an explanation of the outcome.



- b. Offerors whose white papers are of interest may be asked to submit a Phase II proposal.

4.3 BAA Proposal Process – Phase II: Proposal Evaluation

- 1. The **Contracting Officer** acknowledges receipt of each proposal and forwards it to PMW technical evaluators for realism validation.
- 2. The **Contracting Officer** conducts cost realism, prepares a business clearance memo, holds discussions if necessary and prepares the contract for award.
- 3. **SPAWAR 2.0** awards any resulting contract.

4.4 BAA Log

All BAA whitepapers and proposals received will be tracked in the BAA log referenced below. The log will reside on the SPAWAR 2.0 Share drive.

5. APPROVALS

5.1 PM approves all BAA actions at the PR development stage.

5.2 Contracting Officer approves all associated contracting documents.

6. TOOLBOX

6.1 Federal

- 1. [FAR 6.102\(d\)\(2\)](#)
- 2. [FAR 15.604](#)
- 3. [FAR 35.016](#)

6.2 SPAWAR

- 1. [Sample SPAWAR BAA](#)
- 2. [Sample SPAWAR BAA Technical Evaluation](#)
- 3. [SPAWAR BAA Log](#)

7. CHANGE HISTORY

Updated material is highlighted by *purple text* and an Alert/New  icon.

Date	Description of Changes
April 2016	Content reformatted and reorganized. Templates and logs removed from end of document; added links.
September 2010	Last version created in old format. No change notes available.