

Proposal Preparation Kit

Version: 19.0 dated April 15, 2026

(Replaces Version 18.0 dated April 09, 2025)

MISSION

Employ a unique collaborative framework to research, develop, mature, and implement industry-relevant shipbuilding as well as sustainment technologies and processes, improving efficiency and throughput across the U.S. shipyard industrial base to meet demand.

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1.0 INTRODUCTION

This National Shipbuilding Research Program Advanced Shipbuilding Enterprise (NSRP ASE, hereafter "NSRP") Proposal Preparation Kit (PPK) contains background material, specific instructions, and guidance for the preparation of Summary Proposals for the Research Announcement solicitation dated April 9, 2026 (hereafter the "RA"). This PPK has been prepared in an effort to provide prospective Offerors with clear proposal instructions and important aspects of the RA proposal submittal and proposal evaluation process used by NSRP. This PPK replaces, in its entirety, PPK version 18.0 dated April 9, 2025.

Questions regarding this document should be referred via email to:

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National Shipbuilding Research Program Overview

The National Shipbuilding Research Program's mission is to employ a unique collaborative framework to research, develop, mature, and implement industry-relevant shipbuilding as well as sustainment technologies and processes, improving efficiency and throughput across the U.S. shipyard industrial base to meet demand.

The NSRP's Government impact is primarily on U. S. Navy ships, but the program is also intended to benefit other Government agencies such as the U. S. Coast Guard (USCG), National Oceanic and Atmospheric Administration (NOAA), Maritime Administration (MARAD), Military Sealift Command (MSC), and Army Corps of Engineers (ACoE). The NSRP considers unmanned and optionally manned vessels to be the types of ships fully within the mission scope.

2.0 DEFINITIONS

NSRP – National Shipbuilding Research Program.

Offeror – the author and sole submitter of the RA proposal. After project selection and task order award, the Offeror will be considered the Project Lead.

Project Participant – any company, organization, person or other entity participating in the technical effort of a project funded under this program. The following are Project Participant categories:

Project Lead – the Project Participant leading the technical effort associated with the project. The Project Lead is the organization submitting the proposal.

Team Member – a Project Participant that potentially benefits from the project results and contributes cost share to the project.

Subcontractor – a Project Participant that provides contracted labor, goods, or services to the project effort, but does not contribute cost share.

Government Project Participant – a Project Participant from a Federal, State or local Government entity. Federal Public Sector Project Participants include such entities as NAVSEA, public shipyards, Naval Warfare Center elements, Regional Maintenance Centers, Government labs, etc.

Unfunded Project Participant – a Project Participant contributing labor, goods, or other services to the project effort, but receiving no program funds and contributing no cost share to that project. An example would be a shipyard that is interested in a project, is tracking its progress and providing input on request, but is participating at such a low level that it opts to not pursue program funding or claim cost share on that project. Note: Intellectual Property (IP) contributed to the project by Unfunded Project Participants may not be subject to Government Purpose Rights. See Article IX, Section B of the Base Task Order Agreement.

Shipyard – an organization that is primarily engaged in operating shipyards. Shipyards are fixed facilities with drydocks (or similar ship lifting structures) and fabrication equipment capable of building or repairing a ship, defined as watercraft typically suitable or intended for other than personal or recreational use. Activities of shipyards include the construction of ships, their repair, conversion and alteration, the production of prefabricated ship and barge sections, and specialized services, such as ship scaling. For this solicitation, “Shipyard” includes all public Naval Shipyards, U.S. Coast Guard Yard, and all organizations doing work under Department of Labor **2022 North American Industry Classification System** (NAICS 2022) code 336611 “Ship Building and Repairing.”

3.0 GENERAL INSTRUCTIONS

A Summary Proposal submitted in response to an NSRP RA posted on the [NSRP](#) website, with a link to the ATI Acquisition Management Platform (AMP) site, is the sole vehicle for receiving consideration for award. The Summary Proposal shall stand on its own merit. For the purposes of this document, the terms “proposal” and “Summary Proposal” are used interchangeably.

The Summary Proposal should provide straightforward, concise delineation of capabilities necessary to perform the work being proposed. All research projects proposed under this program shall be subject to the terms and conditions of the NSRP Base Task Order Agreement (TOA). The Base TOA must be executed between the Program Administrator and the Offeror prior to award of individual project Task Orders. The following terms from the Base TOA apply to all project Task Orders and are non-negotiable (except as noted):

A list of all the requirements contained in this document can be found in Appendix A. Offerors are strongly encouraged to use the checklist to ensure proposals are submitted in accordance with NSRP requirements.

- Unless otherwise specifically negotiated and approved in advance, the Government will obtain Government Purpose Rights (as defined in Article IX of the Base Task Order Agreement) to all Intellectual Property (IP) funded by the Program and developed by the Offeror and all other Project Participants on their project team during the course of the project under the NSRP Program,

including IP developed using Offeror and all other Project Participants' cost share sources. Unfunded Project Participants that contribute IP to the project may not be subject to Government Purpose Rights. **Any request by the Offeror or any other Project Participant for specially-negotiated IP rights, other than Government Purpose Rights, must be disclosed in the Summary Proposal for consideration (IP Assertions Table – Appendix B, Table 6).**

- Prior to award, the Offeror is responsible for determining all its Project Participants' qualifications and compliance with National Policies in accordance with Article XII of the [Base Task Order Agreement \(TOA\)](#).

Proposals containing data that is not to be disclosed to the public for any purpose, or used by the NSRP Program except for evaluation purposes, shall include the following statement on their Offeror title page information:

This proposal includes data that shall not be disclosed outside the Program Administrator [including the Technical Evaluation Review Panel (TERP), Executive Control Board (ECB), Major Initiative Teams, Program Technical Representatives, and any attendees at an ECB project selection/approval meeting] and the Government. It shall not be duplicated, used, or disclosed, in whole or in part, for any purpose other than to evaluate this proposal and negotiate any subsequent Task Order award. If, however, a Task Order is awarded to this Offeror as a result of, or in connection with, the submission of these data, the Program Administrator and the Government shall have the right to duplicate, use, or disclose these data to the extent provided in the resulting Task Order. If selected for award, the proposal can be used by the Program Administrator staff, Major Initiative Team personnel, and Program Technical Representatives for purposes of project management and award negotiation. This restriction does not limit the Program Administrator's nor the Government's right to use the information contained in these data if they are obtained from another source without restriction. The data subject to this restriction are contained on sheets (insert page numbers or otherwise identify the sheets).

Each restricted data sheet should be marked as follows:

Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal or quotation.

The Summary Proposal shall conform to the following requirements:

- **Page limit** – no more than 10 single-spaced, single-sided pages measuring 8.5 by 11 inches. The page limitation is exclusive of the cover page, Offeror information page and required attachments.
- **Font** –10-point size or larger. Smaller type may be used in figures and tables, but not less than 8-point size, and must be clearly legible.
- **Margins** –1 inch on all sides (top, bottom, left, and right).
- **Page Numbers** – The Summary Proposal shall have page numbers on each page after the cover sheet and Offeror Information sheet.

Offerors are strongly encouraged to build their Summary Proposal around the underlying business case that demonstrates value to the Government stakeholder(s) and industry. To that end, past experience indicates that proposal preparation will best begin with thorough consideration of the business case logic.

DO NOT SUBMIT ANY CLASSIFIED INFORMATION OR CONTROLLED UNCLASSIFIED INFORMATION.

4.0 SUMMARY PROPOSAL

To ensure proper consideration, **the Summary Proposal format shown below is mandatory.**

4.1 COVER PAGE

A signed cover page is required on the Summary Proposal, and shall include the following information and statements:

<p>Name of Offeror Title of Proposal Summary Proposal</p> <p>Team Members / Subcontractors / Project Participants <i>(Identify each organization or person who will be part of the project team)</i></p> <p>The following statement: “This proposal is submitted pursuant to <i>(cite the Research Announcement title, reference number, and date)</i>”.</p> <p>Duration of effort: <i>(in months)</i></p> <p>Names, telephone numbers, and email addresses of the Offeror’s technical point of contact and contractual point of contact, along with an alternate for each, who may be contacted for evaluation or negotiation purposes.</p> <p>The following statement: “Offeror certifies that, if selected for award, the Offeror will provide a full Cost Proposal in accordance with the NSRP Cost Guidelines document dated (date) and abide by the terms and conditions of the NSRP Base Task Order Agreement, in its entirety.”</p> <p>The proprietary data disclosure statement, <u>when proprietary data is included.</u></p> <p>Date of submission and <u>signature of an official authorized to obligate the Offeror contractually. If the Offeror is an NSRP-member shipyard, the ECB member’s signature must also be included on the cover page.</u></p>

4.2 OFFEROR INFORMATION PAGE

An Offeror information page is required with the Summary Proposal, and shall include the following information and statements:

Name and address of Offeror
Offeror Cage Code:
Offeror UEI:
Title of Proposal
Summary Proposal

The following statement: “This proposal is submitted pursuant to (*cite the Research Announcement title, reference number, and date*).”

The following statement: “Offeror certifies that, if selected for award, the Government will obtain Government Purpose Rights, as defined in the Base Task Order Agreement, to all intellectual property (IP) funded by the Program and developed by the Offeror and all other Project Participants on their project under the NSRP Program, including IP developed using Offeror and all other Project Participants’ cost share sources. Any request for specially negotiated rights other than Government Purpose Rights will be disclosed in the following summary proposal for consideration. If not specified and requested in this summary proposal, the Offeror agrees that Government Purpose Rights, as defined in the NSRP Base Task Order, will be required.”

The following statement: IP assertions associated with this summary proposal are provided in Table 6.

If the proposal contains data that is not to be disclosed to the public for any purpose, or used by the NSRP Program except for evaluation purposes, the statement: “This proposal includes data that shall not be disclosed outside the Program Administrator [including the Technical Evaluation Review Panel (TERP), Executive Control Board (ECB), Major Initiative Teams, Program Technical Representatives, and any attendees at an ECB project selection/approval meeting] and the Government. It shall not be duplicated, used, or disclosed, in whole or in part, for any purpose other than to evaluate this proposal and negotiate any subsequent Task Order award. If, however, a Task Order is awarded to this Offeror as a result of, or in connection with, the submission of these data, the Program Administrator and the Government shall have the right to duplicate, use, or disclose these data to the extent provided in the resulting Task Order. If selected for award, the proposal can be used by the Program Administrator staff, Major Initiative Team personnel, and Program Technical Representatives for purposes of project management and award negotiation. This restriction does not limit the Program Administrator’s nor the Government’s right to use the information contained in these data if they are obtained from another source without restriction. The data subject to this restriction are contained on sheets (insert page numbers or otherwise identify the sheets).”

Each restricted data sheet should be marked as follows:
 Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal or quotation.

4.3 TECHNICAL SUMMARY

The Technical Summary of the proposal shall briefly and concisely present the important aspects of the proposal to evaluators. The summary shall present an organized description of the work to be accomplished without the technical details, such that the reader can grasp the core concepts of the proposed project. The following sections must be in this order within the Technical Summary.

4.3.1 SYNOPSIS

This section provides, briefly (no more than 2-3 sentences), a description of what the project team proposes to do, and what the effort will produce.

4.3.2 PROBLEM TO BE ADDRESSED/GENERAL OBJECTIVES

This section provides a summary of what problem the proposed project addresses. The following questions should be answered:

- What problem is being addressed that is within the scope of this RA and/or the current Technology Investment Plan (TIP)? What area of emphasis is this in the TIP? The Offeror shall list the primary and any secondary interest area(s) of the TIP being addressed to the fifth level of indenture (i.e., 7.X.X.X.X).
- What fundamental difference(s) in the U.S. shipbuilding and repair industry will be enabled by the successful completion of the proposed project?
- If available, provide evidence of Government stakeholders’ (e.g., Navy Program Executive Office, platform Program Manager, Technical Authority, Supervisor of Shipbuilding) engagement and/or endorsement. An email from the Government stakeholder indicating support is sufficient evidence and will not be included in the page count. Alternatively, government endorsement emails may be provided to MIB PM directly at erica.j.hansen.ctr@us.navy.mil.

4.3.3 TECHNICAL APPROACH

This section provides a summary of how the project team will approach the problem, and the key innovation(s) expected from the project. Provide sufficient technical detail and analysis to support the technical approach being proposed. Clearly identify the core of the intended approach. It is not appropriate to simply address a variety of possible solutions to the technology problems. As a note, task descriptions and full cost estimates of Government organizations involved in the project will need to be provided prior to Executive Control Board (ECB) selection, if applicable.

Provide the following information:

- Scope, including summary of technical/process issues being addressed.
- Technical detail and analysis to support approach being proposed.
- Project objectives that include:
 - Vision of what will be achieved
 - Solutions the effort will produce
- Identify engagement with and commitments from Navy or other government stakeholders to date, as well as any planned engagement before and during project execution. Specifically note portion(s) of the proposal statement of work that are assigned to Government organizations for performance. Any costs for Government-funded organizations shall be identified in the appropriate attachments to the proposal.
 - If project proceeds to the ECB selection meeting, task descriptions and cost estimates for all Government Project Participants will need to be provided to the Program Administrator POC prior to the start of the selection meeting.

If the proposed effort is follow-on work to a previously-funded effort, whether NSRP or any other funding source, include that prior project’s program and identification number, a brief synopsis of what was accomplished, the previous project’s results, and how the proposed effort builds upon previous work.

- Offerors should contact Erica Hansen, Maritime Industrial Base, at erica.j.hansen.ctr@us.navy.mil for early coordination of Government engagement requirements.
- Brief description of major tasks, by task number, to permit correlation with the labor hours and material in the cost tables appearing later in the Summary Proposal ([Appendix B](#)).
- Principle(s) of intended approach.
- If there is more than one organization involved in the technical approach, explain how they will interact with each other (e.g., relationships, inter-dependencies).

If the technology requires additional development, qualification, or sustainment after the project is complete, include plans or structure for completing the necessary work to fully support implementation. This should be in the form of a **roadmap. Example templates are provided [here](#) for reference.**

4.3.4 CURRENT STATE AND RELEVANT EFFORTS

Each proposal must include a discussion of what technology is currently available in the proposed area.

Discussions must include, where applicable:

- Results of/evidence of the current state of the art/literature searches and how your approach compares to other possible approaches to prevent duplication of efforts.
- List all other known projects addressing same, similar, or adjacent technologies and solutions.
 - List any specific project numbers and program which funded the project.
- Connections to and distinctions from ongoing or past projects in the general technology area/process being addressed. Offerors are encouraged to review Navy SBIR and/or ONR ManTech resources as well as the [NSRP Project Portfolio](#), or other relevant programs.
- Identification of funding from other Government (Federal, State, or local) sources for a current effort(s) or one being proposed within the next 12 months that is similar to the work being proposed.

4.3.5 PEOPLE AND ORGANIZATIONAL IMPACTS

Describe the project's approach to addressing people and organizational impacts, including how, in the context of performing this project:

- Organizational change/cultural change will be accommodated
- Current human resource functions will be impacted
- Workforce Development (education/training) will be addressed

4.3.6 TECHNOLOGY READINESS LEVEL (IF APPLICABLE)

Identify the starting Technology Readiness Level (TRL) of the proposed process or technology and state the predicted TRL at successful project completion. Use the U.S. DoD definitions found in the [Technology Readiness Assessment Guidance](#). If ending TRL of the proposed project is less than TRL 9, the roadmap in 4.3.3 Technical Approach should demonstrate how this plan achieves TRL 9 in shipbuilding and ship repair environments.

4.4 BUSINESS CASE

This section describes the business opportunity that the project will address. Include likely products, target markets, potential customers (e.g., specific Navy, other U.S. or state government agencies, or commercial interests), size of market opportunity, avenues for broad diffusion of benefits, and rationale for your choices. The strength of the business case is a key discriminator between proposals.

Offerors are strongly encouraged to build their proposal around the underlying business case.

Any business case requires adequate justification. The proposal shall discuss the business requirement that the proposed new technology and/or business process will address and clearly demonstrate that there is a need for the technology/process. Discuss the breadth of applicability to: the shipbuilding and ship repair industry; the level and nature of benefit to the Navy, other Government agencies, and commercial businesses; the potential for lead-time and cycle-time reduction; the life of the product/technology in the marketplace (years); and any synergy with other operations, businesses, research, and programs. The proposal should identify why NSRP support is needed and what difference NSRP funding is expected to make in terms of what will be accomplished. As applicable, discuss benefits to be realized in the following areas and an initial rough-order-of-magnitude measure of those benefits:

- Labor (Direct & Indirect)
- Schedule improvements (including process duration improvements)
- Productivity increases, including shop-level improvements
- Lifecycle Operations and Support, including maintenance
- Increased Technology Readiness Level (TRL)
- Improved Condition Assessment to Support Maintenance Work Planning
- Rework reduction
- Material & Supplies
- Cost Avoidance

A format and example for listing cost, cost reduction, schedule reduction, increased productivity, and other benefits information from which an initial rough-order-of-magnitude measure of benefits can be calculated are provided in the following table:

Inclusion of this information is *mandatory*.

Project Cost – [Name of Project]		
Program Funding		\$1,000,000
Cost Share		\$1,000,000
Public-Sector Participant-Provided Funding		\$0
TOTAL PROJECT COST		\$2,000,000
Implementation Cost Estimate– [Labor, Materials, Training, etc.]		
Project Participant Shipyards (per yard)		\$10,000
Other Shipyards (per yard)		\$100,000
Cost Reduction Forecast [Savings & Cost Avoidance, Immediate & Future]		
Cost Category	As-Is Baseline	Post-Implementation
Labor		
<ul style="list-style-type: none"> 30% reduced welding hours per platform 	\$10,000,000	\$7,000,000
<ul style="list-style-type: none"> 75% reduced re-work hours per platform 	\$4,000,000	\$1,000,000
Materials		
<ul style="list-style-type: none"> 20% reduced welding consumables 	\$1,000,000	\$800,000
<ul style="list-style-type: none"> 5% reduced steel plate 	\$100,000,000	\$95,000,000
TOTALS	\$115,000,000	\$103,800,000
TOTAL COST REDUCTION		\$11,200,000
Productivity Increase	Increased throughput by XX process: additional YY parts/week	
List Schedule Improvements	Completion time reduced by 25%= XX day ship schedule reduction Re-work time reduced by 75%= YY days reduction in process duration	
List Quality Improvements	XX% reduction in re-work: Schedule impacts, reduced inspection, materials, and consumables	

Proposals shall identify project metrics, including a plan to realize the benefits from achieving project goals. Describe metrics applicable to the project that will measure the benefit of the proposed project end-state compared to the as-is condition, and the means by which the project team will collect those metrics during the term of the agreement. Project metrics should logically follow from, and act to validate, the underlying business case. Actual benefits realized for the indicated metrics shall be included in project reports (referenced in Technology Transfer and Implementation Guide).

In order to provide for a sound, strong business case, projects must also be well-defined and quantified so that a Summary Proposal return on investment (ROI) can be calculated. The metrics discussion shall include project costs (both program funds and cost share, listed separately), estimated implementation cost, and predicted cost reductions to be realized through implementation of successful project results. Note that “cost reduction” includes both actual savings and cost avoidance, both immediate and future. In addition to the benefits metrics in Section 4.3, a more [formal ROI calculation](#) will be required at each Phase Go/No-Go decision and will be required at the end of the project.

Predicted cost reductions are to be expressed in dollars and should be based on well-defined metrics that will demonstrate a quantifiable ROI. Where exact numbers are not available, the project team should derive reasonable estimates by making—and explaining—assumptions based on historical cost information, past experience, and/or comparisons to similar innovations/processes. Indicate the time period or number of hulls the savings estimate is based upon (e.g., per large surface combatant, per year, over 5 years). If applicable, generic data may be used in lieu of actual information considered to be company-proprietary. The basis and source of cost information shall be included.

4.5 TECHNOLOGY TRANSFER & IMPLEMENTATION (COMMITMENT TO IMPLEMENT & WILLINGNESS TO SHARE)

NOTE: For projects ultimately selected by the NSRP Executive Control Board, a detailed Technology Transfer and Implementation Plan **must be submitted and approved** prior to execution of a project Task Order. The [Technology Transfer and Implementation Guide](#) is available on the [NSRP website](#) to aid in preparing this portion of the proposal, as well as developing an actual Technology Transfer and Implementation Plan.

Provide an overview of the project transition/implementation strategy and stakeholders involved (Industry, Government, and/or Academia). In so doing, include the following information for both the period of project performance and for any subsequent implementation period:

- Description of the plan for industry dissemination of project developments.
- Proposed presentations, demonstrations, pilots, project documentation, training, and prototypes, as well as any other technology transfer activities. Whenever possible, interim demonstrations should be conducted prior to a Go/No-Go decision.
 - Specify virtual vs. in-person interactions.
- The extent deliverables identified in the Statement of Work will be made available to industry.

- The impact any proprietary material/information will have on the ability to conduct effective technology transfer.
- Discussion regarding the potential use of training material. This element should address required training for implementation within the participating shipyards, industry at large, shipboard operations and maintenance personnel and training/educational institutions.
- Previous and/or planned engagement with government (e.g., Navy Program Executive Office, platform program manager, Technical Authority, Supervisor of Shipbuilding, Naval shipyards) or other stakeholders to ensure buy-in and facilitate transition of project results to industry; and methods by which stakeholder commitment levels will be assessed during project execution. Include a statement describing any Navy Technical Authority action required (e.g., specification or standards updates) to facilitate project implementation. If there is no Navy or Government stakeholder involvement, provide an explanation as to why not.
 - Offerors should contact Erica Hansen, Maritime Industrial Base, at erica.j.hansen.ctr@us.navy.mil for early coordination of Government engagement requirements.
- Specific plans for implementation within the proposing shipyards.

Offerors are required in this section to include an identification of specific factors that pose a risk to successful implementation of project results. Please see Appendix F (Implementation Risk) for more detailed instructions.

The rigor and complexity of the implementation approach and technology transfer approach should be commensurate with the nature and scope of the project. Offerors are cautioned, however, that failure to include discussions of both the implementation approach and the technology transfer approach may cause the proposal to be rejected during initial screening.

4.6 ATTACHMENT 1 – SUPPORTING TABLES

Attachment 1 will contain the tables discussed in the following sub-sections. Attachment 1 is not included in the proposal page-count limitation.

4.6.1 PARTICIPANTS

Provide as [Table 1 in Attachment 1](#) a summary table that identifies each intended project participant, their role and key contributions to the project along with organization type. (See Appendix B).

For the Summary Proposal submission, an email statement of intent from the Project Participants is required; this includes Government Project Participants.

Offerors of proposals that survive the down-select process to the Executive Control Board will be required to provide a formal letter of commitment from all Project Participants, including Unfunded Participants and Subcontractors, to ATI prior to the presentations with the Executive Control Board.

Government Project Participants **cannot** be Project Leads or team members on projects. Funding for Working Capital-funded Navy Government Project Participants (e.g. Naval Surface Warfare Centers) is not provided through the Program Administrator, but instead is provided from NSRP funds held

by the NAVSEA NSRP Program Office, or from another Government entity. Alternatively, Offerors can propose non-Navy Government Participants (e.g. National Laboratories) as subcontractors, if agreed in advance by both parties. Program funding for Government Project Participants is included within the total program costs for cost share percentage determination.

If a Government Project Participant is funded from a source other than NSRP funds, that contribution is accounted for in the appropriate section (Public Sector Provided Funding) of Table 9 – Cost Summary. See Section 4.6.10.

NSRP strongly encourages diverse project team composition, which include multiple shipyards, small businesses, academia and Government.

For projects with fewer than two (2) shipyard participants, an explanation for why only one yard is involved in the effort is required. Also include a short description of how the proposed team will ensure the project results are applicable to the broadest possible portion of the shipbuilding and ship repair industry.

4.6.2 SUMMARY WORK STATEMENT AND FUNDING PLAN

Provide as [Table 2 in Attachment 1](#) a concise summary of the project schedule, and cost information. (See Appendix B)

4.6.3 KEY DELIVERABLES

Provide as [Table 3 in Attachment 1](#) a summary table that indicates the key deliverables. (See Appendix B)

4.6.4 TOTAL MAN-HOUR SUMMARY

Provide as [Table 4 in Attachment 1](#) a summary table of the **total** estimated man-hours (**NSRP-funded and cost-shared, combined**), broken down by project participant and major task. (See Appendix B)

4.6.5 TOTAL MATERIAL/EQUIPMENT SUMMARY

Provide as [Table 5A in Attachment 1](#) a complete list of all material/equipment (**NSRP-funded and cost-shared, combined**) to be purchased in support of the project. This list should include items to be proposed by the Offeror and other Project Participants. Include a description of each item of material or equipment, the quantity, the price per item, how the cost was derived (engineering estimate, past purchase, vendor quote, etc.), and how it will be used to support the project. The information in Table 5A, to include the proposed material and equipment items and the total proposed cost, shall be consistent with information on material and equipment summary lines in the Cost Summary (Table 9). For the purposes of this guidance, applicable items for Tables 5A and 5B include Material, Special Test Equipment, Special Tooling, and Plant Equipment, defined below:

- a. Material - property that may be incorporated into or attached to a deliverable end item or that may be consumed or expended in performing a task order. It includes assemblies, components, parts, raw and processed materials, and small tools and supplies that may be consumed in normal use in performing the proposed scope of work. Material should be proposed separately from equipment.
- b. Equipment – Includes all of the following:

1. Special Test Equipment - either single or multi-purpose integrated test units engineered, designed, fabricated, or modified to accomplish special purpose testing in performing the proposed scope of work. It consists of items or assemblies of equipment including standard or general purpose items or components that are interconnected and interdependent so as to become a new functional entity for special testing purposes.

2. Special Tooling - jigs, dies, fixtures, molds, patterns, taps, gauges, and all components of these items, including foundations and similar improvements necessary for installing special test equipment, and which are of such a specialized nature that without substantial modification or alteration their use is limited to the development or production of particular supplies or parts thereof or to the performance of particular services.

3. Plant Equipment - personal property of a capital nature (including equipment, machine tools, test equipment, furniture, vehicles, and accessory and auxiliary items) for use in manufacturing supplies, in performing services, or for any administrative or general plant purpose. It does not include special tooling or special test equipment.

4.6.6 PROPERTY TO BE ACQUIRED OR DEVELOPED

Provide as [Table 5B in Attachment 1](#) a list of any items that will be acquired or developed during the project and will remain as tangible property after the project is completed, along with proposed disposition. This does not include material consumed during the project. All such property and its proposed disposition will be reviewed by the Government during the source selection process. Such property and its ultimate disposition is subject to Government approval prior to project award. Any property greater than \$50K must be approved by the NAVSEA Program Manager prior to selection. Proposed disposition must be known and provided for all property. For dollar limits on disposition values, see Article XI of the Base Task Order Agreement.

4.6.7 INTELLECTUAL PROPERTY (IP) ASSERTIONS

Provide as [Table 6 in Attachment 1](#) a list of any exceptions of Government's purpose rights to the solution being proposed.

4.6.8 RISK MANAGEMENT

Provide as [Table 7 in Attachment 1](#) a matrix that identifies specific project and implementation risks factors that might be anticipated and the intended steps for avoiding or mitigating those risks. (See Appendix B and Appendix F) Use this section to demonstrate that you understand the significant risks and have a plan for mitigating them.

4.6.9 METRICS/BENEFIT REALIZATION

Provide as [Table 8 in Attachment 1](#) the performance improvement metrics that will be developed for the project. (See Appendix B). This table shall amplify any information provided in the Business Case. This table will be monitored and updated during the completion of the project.

4.6.10 COST SUMMARY

The objective of the Cost Summary is to provide sufficient evidence with which evaluators can make an initial determination that the proposed cost is realistic, relative to the proposed work.

IMPORTANT: For projects that are ultimately selected by the NSRP Executive Control Board, a full cost proposal must be submitted, fully analyzed by ATI Contracts staff, and found to be acceptable. The full Cost Proposal funded value should not exceed the initial Cost Summary by more than 3%. The full Cost Proposal cost share contribution value must meet or exceed the initial Cost Summary percentage. In the full Cost Proposal, the proportion of cost share for the initial phase shall at least match the Summary Proposal's Phase 1 proportion of cost share. If any of these restrictions are not met, the proposal will be referred back to the ECB for consideration, which could include de-selection. Full details on the required full content and format are available on the [NSRP website](#).

Provide as [Table 9 in Attachment 1](#) a table summarizing the following (See Appendix B):

4.6.10.1 PROGRAM FUNDING

A listing of proposed program-provided funding amounts, broken down by cost element (e.g., labor, travel, materials, team members). Any indirect costs/burdens associated with the proposed cost elements must be included in the cost estimate.

NSRP Program funds to be provided to Working Capital-funded Government Project Participants (for example: National Labs or Naval Surface Warfare Centers) are segregated in the Cost Summary Table but are included in the Total Program Funds amount. The funding for these participants will NOT be provided to, or by, the project lead. These funds must be included in the cost share calculation.

4.6.10.2 COST SHARE

All proposed cost share must be either:

- Direct Project R&D or administration of the same project OR
- Program cost share, related to other execution of the NSRP Program, concurrent with the period of performance of the specific RA project

A listing of proposed cost share amounts, broken down by contributing organization and indicating the associated cost share categories. Cost share categories are as follows:

1. Cash (including donations from state or local governments)
2. Labor costs (including labor-related fringe benefits)
3. Expenses associated with allowable labor cost categories that are not billed directly to program funds
4. Independent research and development (IR&D)
5. Overhead (excluding labor-related fringe benefits)
6. General & administrative (G&A) services
7. Manufacturing and production engineering (M&PE)
8. Implementation costs within the period of performance of the project
9. In-Kind Cost Share, defined as the reasonable value of equipment, materials, or other property used in the performance of the Statement of Work. In-kind contributions are sometimes hard to value (such as space or use of equipment, and intellectual property). The in-kind value of equipment (including software) cannot exceed its fair

market value and must be prorated according to the share of its total use dedicated to carrying out the project. The in-kind value of space (including land or buildings) cannot exceed its fair market value and must be prorated according to the share of its total use dedicated to carrying out the project.

A general test for determining whether a cost qualifies and the amount to be considered for an in-kind transaction follows:

- a) Is the resource under the control of or used by a Program Participant in conducting project research? If so, does it actually help with the project; is it germane to the overall statement of work?
 - b) Does the contribution represent a real opportunity cost to the Program Participant, either now or in the future?
 - c) What is the fair market value of the resource?
10. Intellectual property owned by the private sector (market value)
11. Space (land or buildings)

In order to increase the innovation and participation of RA27’s portfolio of proposals, the 50% cost share goal will be relaxed for certain participants. The cost share expectation for matching Program-funded participation of the following three organization types is waived for RA26:

- **Small Businesses [as defined under NAICS code 541715]**
- **Non-Profits**
- **Academia**

Offerors (including participants) that utilize this allowance will identify which of the three categories their organization meets.

Cost share contributions from these organizations will still be accepted.

Proposals properly utilizing this waiver would not be penalized during the initial evaluation for having less than 50% cost share but would be evaluated equally under all other selection criteria. However, in the final selection of projects by the NSRP Executive Control Board (ECB), the ECB will take Cost Share into consideration in determining the project’s overall value compared to other projects when choosing projects for 2027. Accordingly, companies taking advantage of the waiver to submit offers without meeting the full 50% goal should consider the value of the project to their business and consider providing at least some Cost Share as part of their project to make it more attractive to the ECB during final selections. The 50% cost share goal remains unchanged for participation of companies not listed above.

The formula for calculating the percentage of the cost share is:

$$\frac{\textit{Total Cost Share}}{\textit{Total Program Funds + Total Cost Share}}$$

For projects proposed with less than 50% cost share, a detailed rationale is required for why that level could not be achieved, and/or why this cost share deficit is appropriate based on factors such as project team composition, technology risk, implementation

mechanism, etc.

Note: The full Cost Proposal will require a breakdown of cost share based on its origin: Federal or Non-Federal. Details on providing this breakdown are provided in the NSRP Cost Proposal Guidelines, which are located on the NSRP website.

4.6.10.3 PUBLIC SECTOR-PROVIDED FUNDING

Occasionally, Federal, state, or local Governments provide funding for other project work that also supports the proposed RA effort. This funding is termed "Public Sector-Provided Funding." **It cannot be counted as cost share.** It is also excluded from the total program funding in the cost share percentage calculation. Include this funding in the separate section provided in Table 9. Public Sector-Provided Funding does not include funding provided by NSRP for a Working Capital-funded Government Participant.

4.6.11 FINANCIAL VIABILITY

ATI must ensure that all Offerors have adequate systems and financial standing to participate in government-funded agreements. If the Offeror has **NOT** previously received an award from ATI under NSRP, the Offeror shall complete a [Business System Information questionnaire](#) that is subject to review and approval by the Program Administrator.

Appendices

APPENDIX A – NSRP S U M M A R Y P R O P O S A L C H E C K L I S T

Offerors are encouraged to utilize the checklist to ensure that all items listed below are included or adhered to in all proposals submitted to the NSRP Program.

Failure to submit the required documents, provide narrative sections, complete the required tables and adhere to the format requirements may result in the proposal being disqualified.

No.	Item	Included in Submission?
1.	One electronic copy of a Summary Proposal	
2.	Summary Proposal page count does not exceed 10 (excluding Cover Page, Offeror Information Page, and Attachments)	
3.	Format requirements (font size, line spacing, margins) are in accordance with the published guidelines	
4.	The following information is included on the Cover Page:	
	a) Identifies Offeror and other Project Participants, by sub-category	
	b) Title of Project and statement pursuant to RA title	
	c) Offeror certifies that, if selected for award, the Offeror will provide a full Cost Proposal in accordance with the NSRP Cost Guidelines document dated (date) and abide by the terms and conditions of the NSRP Base Task Order Agreement, in its entirety.	
	d) Includes statement: Technical content from this summary proposal may be used by the NSRP Program and the NSRP Executive Control Board in preparing future NSRP Strategic Investment Plans, Technology Investment Plans and Research Announcements.	
	e) Signature Project Lead authorized official (ECB Member signature for ECB shipyard)	
5.	The following information is included on the Offeror Information Page:	
	a) Offeror certifies that, if selected for award, the Government will obtain Government Purpose Rights to all intellectual property (IP) developed under the NSRP Program including IP developed using cost share sources. Any request for specially negotiated rights other than Government Purpose Rights is included in the Summary Proposal for consideration and approval.	
	b) Offeror states that this proposal includes data that shall not be disclosed outside the Program Administrator [including the Technical Evaluation Review Panel (TERP), Executive Control Board (ECB), Major Initiative Teams, Program Technical Representatives, and any attendees at an ECB project selection/approval meeting] and the Government; it shall not be duplicated, used, or disclosed, in whole or in part, for any purpose other than to evaluate this proposal and negotiate any subsequent Task Order award. If, however, a Task Order is awarded to this Offeror as a result of, or in connection with, the submission of these data, the Program Administrator and the Government shall have the right to duplicate, use, or disclose these data to the extent provided in the resulting Task Order. If selected for award, the proposal can be used by the Program Administrator staff, Major Initiative Team personnel, and Program Technical Representatives for purposes of project management and award negotiation. This restriction does not limit the Program Administrator’s nor the Government’s right to use the information contained in these data if they are obtained from another source without restriction. The data subject to this restriction are contained on sheets (insert page numbers or otherwise identify the sheets).	

6.	Offeror provides permission to use a technical summary of the proposal in preparing future SIP updates, TIP updates, and Research Announcements.	
7.	The following Narrative Sections are to be included in the Summary Proposal:	
	a) Synopsis	
	b) Problem To Be Addressed/General Objectives	
	c) Technical Approach	
	d) Current State and Relevant Efforts	
	e) People and Organizational Impacts	
	f) Technology Readiness Level (if applicable)	
	g) Business Case with ROI Discussion (inclusion of Business Case table)	
	h) Technology Transfer and Implementation (including Implementation Riskfactors)	
8.	The following Tables are to be included in Attachment 1 to the Summary Proposal:	
	a) Participants (including rationale for a project team with less than 2 shipyards, if applicable)	
	b) Summary Work Statement and Funding Plan	
	c) Key Deliverables/Go-No Go Criteria	
	d) Total Man-hour Summary (NSRP-funded and Cost-Shared)	
	e) Total Material/Equipment Summary (NSRP-funded and Cost-Shared)	
	f) Property to be Acquired or Developed (Items \geq \$50K must be approved by NAVSEA)	
	g) IP Assertions	
	h) Risk Management	
	i) Metrics/Benefit Realization	
	j) Cost Summary (including rationale for proposing less than 50% cost share, if applicable)	
	k) Business System Information Questionnaire (if applicable)	
9.	Project period of performance is within RA instruction	
10.	Emails from all Project Participants	

APPENDIX B – SUMMARY PROPOSAL SUPPORTING TABLES

All the tables in this appendix are mandatory and shall be submitted as Attachment 1 to the Summary Proposal.

Table 1 - Participants

Project Participants	Organization Type	Role (PPK 2.0)	Key Contribution
Shipyards AAA			
Shipyards BBB			
Company CCC			
Organization DDD			
Navy Laboratory EEE			
Other			

Include justification for having less than two (2) shipyard participants on the project team (if applicable).

Organization types:

- **Small Business** [as defined under North American Industrial Classification System code 541715]
- **Academia**
- **Non-Profit**
- **Large**
- **Government**

Other organizational types may be appropriate for the ‘Organization Type’ section of this table.

Table 2 – Summary Schedule and Funding Plan

Phase Number	1	2	Total
Duration (Months)			
NSRP Program Funding*	\$	\$	\$
Cost Share	\$	\$	\$
Public Sector-Provided Funding	\$	\$	\$
Totals	\$	\$	\$

Note: Phases must be sequential, non-overlapping, and no longer than twelve (12) months each.

Include Working Capital-funded Government Participant funding within NSRP Program Funding.

Table 3 – Key Deliverables *EXAMPLE ONLY*****

Key Deliverables	
Key Deliverables (Major Milestones)	<ul style="list-style-type: none"> Nationwide survey and analysis of shipyard injury and illness trends An analysis of risk factors that contribute to leading causes of shipyard accidents, injuries and illness
Criteria for “Go/No-Go” Decision on Subsequent Phase	<ul style="list-style-type: none"> Survey successfully completed Analysis documented and submitted and approved? Interim demonstration completed; feedback documented Technology Transfer & Implementation Plan updated Formal ROI calculation submitted and approved

Table 4 – Total Man-Hour Summary (NSRP-Funded and Cost-Shared, combined)

Major Task #	Task Title	Participant 1 Man-Hours	Participant 2 Man-Hours	Participant 3 Man-Hours	Total Man-Hours
1					
2					
3					
...					
Totals					

Table 5A – Total Material/Equipment Summary (NSRP-Funded and Cost-Shared, combined)

Material Description	Quantity	Price per Unit	How was cost derived?	How will material/equipment be used to support project?

Table 5B – Property to Be Acquired or Developed

Note: "Property" means any items that will be acquired or developed during the project and will remain as tangible personal property at the end of the project. It does not include material consumed during the project. All such property proposed will be reviewed by the Government during the source selection process. Property valued at \$50,000 or more and its disposition is subject to Government approval prior to project award.

Property Description	Quantity	Total Value	How was value determined?	What is proposed for property disposition at project end?

Table 6 – IP Assertions

The Offeror asserts for itself, and all its Project Participants identified below that the Government's rights to use, release, or disclose the following technical data or computer software should be restricted. Enter "None" in the first row when all data or software will be submitted without restrictions.

Technical Data/Computer Software to be Furnished with Restrictions ¹	Basis for Assertion ²	Asserted Rights Category ³	Name of Offeror Asserting Restrictions ⁴
Name or description of tech data or software	<i>Developed at private expense</i>	<i>Limited</i>	<i>Company X</i>

¹For technical data (other than computer software or documentation) pertaining to items components, or processes developed at private expense, identify both the deliverable technical data and each such item, component, or process. For computer software or computer software documentation, identify the software or documentation.

²Generally, development at private expense, either exclusively or partially, is the only basis for asserting restrictions. For technical data, other than computer software documentation, development refers to development of the item, component, or process to which the data pertain. The Government's rights in computer software documentation generally may not be restricted. For computer software, development refers to the software. Indicate whether development was accomplished exclusively or

partially at private expense. If development was not accomplished at private expense, or for computer software documentation, enter the specific basis for asserting restrictions.

³Enter asserted rights category (e.g., government purpose license rights from a prior contract; rights in SBIR data generated under another contract; limited, restricted, or government purpose rights under this or a prior contract; or specially negotiated licenses).

⁴Corporation, individual, or other person, as appropriate.

Table 7 – Risk Management

Provide a matrix that identifies specific project and implementation risks factors that might be anticipated and the intended steps for avoiding or mitigating those risks. (See Appendix F for Implementation Risk Factors) Use this section to demonstrate that you understand the significant risks and have a plan for mitigating them. Multiple risk events may fall under one of the risk factors; include all as separate lines. For factors with low or no probability, state the reasoning in "Risk Mitigation."

Risk Factors	Risk Event	Risk Probability	Risk Mitigation
Project Risk Factors			
Project Schedule			
Project Scope			
Technical			
Project Cost			

Implementation Risk Factors			
Design Change			
Additional Approval/Certification Required			
Capital Equipment Funding			
Outside Implementation Funding			
Insertion Schedule			
Technology/Product Maturity			
Commercialization Partner			

Table 8 – Metrics/Benefit Realization *EXAMPLE ONLY*****

Metric	“As-Is” Baseline	Project Goal	Delta	% Change (+/-)	Tracking & Reporting Plan
Ship repair cycle time	120 Days	85 Days	35 Days	-29%	Select a similar ship availability as baseline; document cycle time at the end of the job
Transaction cost for _____	\$700	\$125	\$575	-82%	Report quarterly as process improvements are implemented
Parts in inventory	20,000	12,000	8,000	-40%	Set a monthly part reduction goal and assess each month; report quarterly the reduction and any changes to the plan to reach project goal
Technology Readiness Level	4 – Component/breadboard validation in laboratory environment	7 – Prototype validation in operational environment			Demonstrate prototype of technology in shipyard production environment

Table 9 – Cost Summary

Note: DO NOT INCLUDE LABOR HOURS IN THIS PORTION – ONLY FUNDING AMOUNTS.
Ensure indirects/burdens are included in the respective estimates.

Program Funds		
Funding Category	Description	Amount (\$)
Offeror Labor (dollars only)		
Offeror Travel		
Team Members <i>(contributing cost share)</i>		
Subcontractors <i>(not contributing cost share)</i>		
Material (Totals from Table 5A)		
Equipment (Totals from Table 5B)		
Other Direct Cost		
Subtotal		
NSRP-Funded Government Participant (Working Capital)		
TOTAL PROGRAM FUNDS		
Cost Share		
Category	Contributing Organization	Amount (\$)
TOTAL COST SHARE		
Public Sector-Provided Funding		
Category	Contributing Organization	Amount (\$)
TOTAL PUBLIC SECTOR-PROVIDED FUNDING		

Include rationale for proposing less than 50% cost share (if applicable).

Table 9 – Cost Summary (Program Funding Section) *EXAMPLE ONLY*****

Note: DO NOT INCLUDE LABOR HOURS IN THIS PORTION – ONLY FUNDING AMOUNTS.

Ensure indirects/burdens are included in the respective estimates.

NSRP Program Funds		
Funding Category	Description	Amount (\$)
Offeror Labor (dollars only)	Engineering Program Management Manufacturing	\$150,000
Offeror Travel	6 trips to team meetings, technology transfer events	\$10,000
Team Members (contributing cost share)	Shipyard A	\$100,000
	Shipyard B	\$50,000
	Shipyard C	\$50,000
	Software R Us, Inc. (type of license/license fee)	\$10,000
Subcontractors (not contributing cost share)	Technology Labs, Inc.	\$15,000
	University of Academia	\$10,000
	Lawyers R Us, LLC	\$10,000
Material (Totals from Table 5A)	Steel	\$5,000
Equipment (Totals from Table 5A)	Special Tooling	\$1,000
Other Direct Cost	Meeting expenses	\$5,000
	Subtotal	\$416,000
NSRP-Funded Government Participant (Working Capital)	Naval Surface Warfare Center Carderock Division	\$5,000
	TOTAL PROGRAM FUNDS	\$421,000

Note: DO NOT INCLUDE LABOR HOURS IN THIS PORTION – ONLY FUNDING AMOUNTS.

Table 9 – Cost Summary (Cost Share Section) *EXAMPLE ONLY*****

Cost Share		
Category	Contributing Organization	Amount (\$)
Labor	(Offeror)	\$150,000
Labor, Materials	Shipyard A	\$100,000
Labor	Shipyard B	\$50,000
Use of software	Software R Us, Inc. (type of license/license fee)	\$25,000
	TOTAL COST SHARE	\$325,000
Public Sector Provided Funding		
Category	Contributing Organization	Amount (\$)
Labor	Department of Transportation	\$13,000
	TOTAL PUBLIC SECTOR PROVIDED FUNDING	\$13,000
	TOTAL PROJECT COST	\$759,000
	TOTAL PROJECT COST MINUS PUBLIC SECTOR PROVIDED FUNDING	\$746,000

APPENDIX C – RESEARCH ANNOUNCEMENT PROCESS OVERVIEW

Definition

Research Announcement (RA) solicitations provide a method of contracting for research and development (R&D) based on notices posted on the System for Award Management website, [SAM.Gov](https://sam.gov). The RA Solicitation identifies areas of research interest, provide the evaluation criteria for selecting proposals, and solicits the participation of all Offerors capable of satisfying the NSRP's needs. The RA Solicitation method is used when meaningful proposals with varying technical/scientific approaches can be reasonably anticipated.

Purpose

RAs are used when the NSRP Program desires to solicit new and creative solutions to problem statements and/or advances in knowledge, understanding, technology and state of the art. The NSRP Program generally states its objectives in terms of areas of need or interest, as delineated in the programs Strategic Investment Plan (SIP) and Technology Investment Plan (TIP), rather than specific solutions or outcomes. RAs are used rather than formal Requests for Proposal (RFPs) because of their flexibility.

Characteristics

Characteristics of the NSRP RA Solicitation process include the following:

- RAs encourage creative and unique ideas by giving Offerors the flexibility to propose solutions to stated industry-wide problems.
- The NSRP Program may choose to procure all or part of an Offeror's proposal.
- The Offeror defines and develops the Statement of Work(SOW).

Research Announcement Publication

The RA Solicitation package posted on the [NSRP](https://nsrp.gov) website represents the official solicitation to prospective Offerors of a potential NSRP Program acquisition.

An example RA may be available on the [NSRP](https://nsrp.gov) website throughout the year, even when there is no active solicitation, so that interested parties can evaluate future participation terms. The RA includes a point of contact who can provide additional assistance if needed. Potential Offerors are encouraged to contact the listed individual for possible clarifications via email. The following sections are intended to clarify those areas that usually generate the most questions from Offerors.

Solicitation Revisions

Changes to the RA Solicitation will be made by publishing an amendment to the [NSRP](https://nsrp.gov) website. Amendments to an RA may be used to extend proposal due dates, clarify requirements, or change or modify existing minor technical requirements. A new RA Solicitation may be issued and the original one canceled if the requirements change substantially. Offerors should carefully monitor the [NSRP](https://nsrp.gov) website subsequent to the original posting, up to the time of the proposal due date. Any revision will appear in the same section of NSRP website as the original announcement.

Supplemental Information

Proposal Preparation Kit

The RA posted on [the NSRP website](#) references a supplemental package (this document) that provides proposal instructions not included in the RA. The PPK provided herein is electronically published on the [NSRP](#) website and contains the instructions that Offerors shall follow in order to submit a compliant proposal.

NSRP Website

Offerors are encouraged to browse the [NSRP](#) website to review general program information and additional solicitation details, including:

- [Strategic Investment Plan](#)
- [Technology Investment Plan](#)
- General [Solicitation](#) Information
- [Solicitation Resources](#)
- [Base Task Order Agreement](#)
- [Project Portfolio](#)
- [Benchmarking Efforts](#)
- [Program Docs and Templates](#)

Response Times

NSRP Research Announcements posted on [the NSRP website](#) will indicate a proposal due date, which will also be prominently posted on the [NSRP](#) website. Proposals may be submitted any time between the date the RA is posted and the due date. The proposal due date can only be changed through a formal amendment of the solicitation posting.

The published proposal due date is firm.

Communication with the NSRP Program Administrator Office

Offerors may address questions via email to the Program Administrator's Contracts POC identified in the Research Announcement.

Multiple Awards

NSRP Research Announcements will normally result in multiple awards, generally made based on the quality of the proposals and availability of funding. Estimated total RA funding targets may be included in the solicitation, but individual project funding is not predetermined. Due to limited funding, NSRP reserves the right to limit awards under any topic and only proposals considered to be of superior quality will be funded. Single proposals that would consume most of the available program funding are less likely to be selected as the program traditionally selects a portfolio of projects for award. Occasionally, if feasible, NSRP may award only one or more parts of a proposal rather than acquiring the entire proposal.

Source Lists

Due to the nature of the RA solicitation, there is no "source list" or "bidders list."

Discussions and Best and Final Offers

The program reserves the right to make awards without discussion. While award without discussion is anticipated and the use of Best and Final Offers (BAFOs) is not expected, NSRP reserves the right to negotiate the cost and scope of the proposed work with the Offerors that have been selected to receive awards. For example, NSRP may request that the Offeror delete from the scope of work a particular task that is deemed to be inappropriate or not a high priority for NSRP funding.

Pre-Award Business Evaluation

Offerors should be aware that if the project is selected for award, the Offeror shall conduct a pre-award Business Evaluation of all project team members, and subcontractors, to include:

1. A determination that the Recipient is viable
2. A determination that the project funding is fair and reasonable
3. A determination regarding the value and reasonableness of the Team Member's cost sharing contribution
 - a. Criteria used in deciding whether to accept a recipient's cost sharing
 - b. How to value cost sharing related to real property or equipment
 - c. The depreciation status of real property or equipment and acceptability as cost share
 - d. Acceptability of costs of prior research as cost share
 - e. Acceptability of intellectual property as cost share
 - f. How to value a Program Participant's other contributions
4. A determination of Fixed-Support, Expenditure-Based, or Hybrid Approach (discussed below)
5. Method for Accounting, Payments, and Recovery of Funds

All documentation of the Offeror's pre-award evaluations must be maintained and available for review upon request.

Contractual Vehicle

The contractual vehicle used to fund the awards will be a project Task Order issued under the NSRP Base Task Order Agreement (TOA). Research conducted under the NSRP is intended to be partially funded by industry cost share; therefore, the preferred Payment Method is "Expenditure Based." Use of the "Fixed-Support" payment method is limited only to organizations whose accounting systems do not have the capability to collect and invoice based on actual costs incurred. If selected for award, organizations which request Fixed Support task orders will have to complete a [Business System Information questionnaire](#) that is subject to review and approval by the Program Administrator. Note: The payment method identified in the proposal may not be the type approved for award.

The most recent version of the Base TOA can be found on the [NSRP](#) website. Any modifications to the Base TOA will be posted on the NSRP website. Offerors should periodically visit the site for potential updates. Offerors are advised to contact the NSRP contractual POC listed in the RA Solicitation if they have any questions on this requirement.

Government Furnished Equipment or Property

No government furnished equipment or property is expected in this program.

APPENDIX D – PROPOSAL EVALUATION, SELECTION, AND AWARD

General

Proposals submitted in response to RAs will be evaluated solely on the written materials provided by the Offeror against criteria posted in the solicitation, as amplified by published supplementary information. The proposal shall stand on its own as submitted.

The selection process for awards (as shown in **Figure D-1**) is a multi-step source selection process based on the evaluation factors disclosed in the RA and further detailed in this PPK (Appendix E). Initial screening will be performed by the Program Administrator. A Technical Evaluation Review Panel (TERP) is used (as described herein) to ensure that all proposals receive fair and equitable consideration. This process uses a combination of scoring and subjective assessments. Proposals will be evaluated by a team of personnel drawn from industry, academia, and Government or as otherwise specified in the RA. In some cases, outside consultants may assist in proposal evaluation. Procedures require conflict-of-interest disclosures and non-disclosure agreements by all personnel handling proposals.

Late proposals will remain unopened, unless opened for identification purposes only, and will not be accepted.

Upon completion of proposal evaluations, the ECB will award a best value portfolio of projects that reflect the priorities set forth in the solicitation.

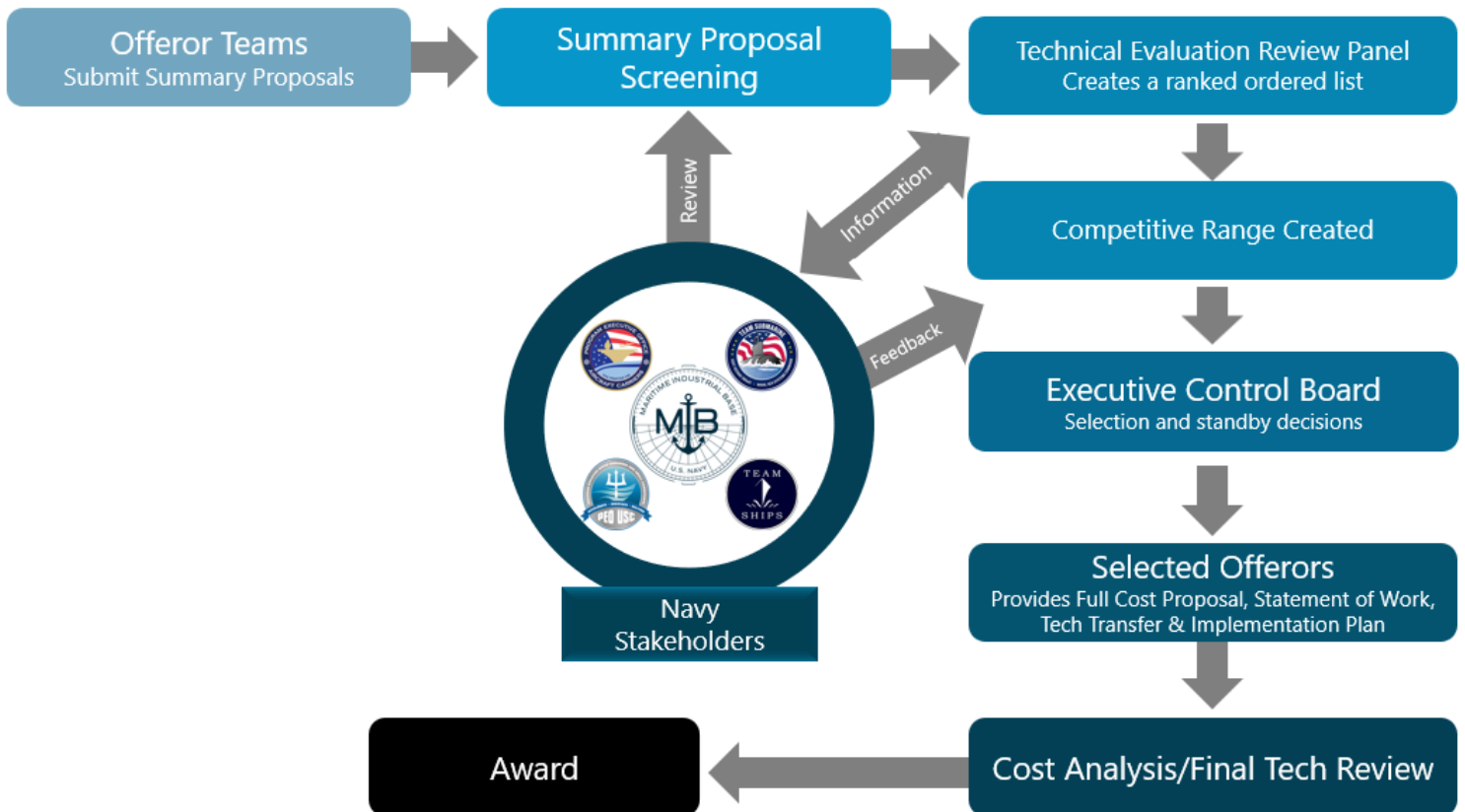


Figure D-1 – NSRP RA Project Submission and Selection Process

Initial Screening

In the first step, called “initial screening,” Summary Proposals are assessed for compliance with the proposal format and content requirements of the Research Announcement and PPK. Reasons a proposal may be eliminated at this stage include, but are not limited to:

- does not comply with key format and content requirements,
- is significantly overpriced or underpriced given the scope of the work, or
- does not meet the requirements set out in the Research Announcement and PPK.

The following items are primary reasons for non-compliance and elimination during screening:

- Summary Proposals without an affirmative response to the cover page certification of agreement to abide by the terms and conditions of the current NSRP Base [Task Order Agreement](#)
- Failure to include sufficient discussion on technology transfer and implementation plans
- Non-inclusion of mandatory tables and information
- Non-inclusion of ALL required summary cost information

The NSRP Proposal Checklist ([Appendix A](#)) is a key tool in ensuring compliance and successful initial screening.

Technical Review

In the second step, proposals are evaluated. The Technical Evaluation Review Panel (TERP), a group of third-party subject matter experts, (not employees of any shipyard, other Offerors, or affiliated with any proposal team) scores each Summary Proposal against pre-determined criteria using a numerical scale, assigns a final overall score, and rank-orders all proposals reviewed. The TERP also identifies specific strengths, weaknesses, omissions and risks, and makes recommendations for consideration by the Executive Control Board (ECB). The TERP may also recommend questions to be asked of the Offerors to elicit clarifying information for the ECB to consider during and after oral presentations.

A “Competitive Range” is established by the NSRP Executive Director after consideration of the technical evaluation, number of proposals, available funding, and feedback from any independent review of proposals by Government sponsors. In setting the Competitive Range, the Executive Director will determine location of a cut-off line in the TERP’s rank-ordered list, but will not re-order the rankings.

Oral Review

For proposals in the Competitive Range, Offerors will be required to present an Oral Review with the Executive Control Board (ECB) at ATI offices in Summerville, South Carolina. The Offerors will present to the ECB virtually or in-person. The Oral Review focuses on technical and business questions. If the proposal involves less than two shipyards or less than 50% cost share, the representatives must be prepared to address the rationale for those conditions with the ECB. All Offeror costs associated with participation in the Oral Review will be the responsibility of the Offeror.

The exact date and time will be provided approximately two weeks in advance, and specific questions to be answered in writing by the Offeror prior to the Oral Review will be provided shortly thereafter. At the Oral Review, the Offeror will be expected to provide a 15-minute summary of the proposed project, and answer any other questions that might be raised by the ECB. The total time with the ECB should not exceed one hour.

Prior to the Oral Review, Offerors will be required to provide task descriptions for any Government participant on the project (if applicable). These task descriptions shall not exceed one page in length and must reflect the project work that the Government participant will be providing for this project. (The cost estimate for these efforts must be included in Table 9.)

Summary Proposals that are in consideration for award will be asked to provide a [Quad chart](#) for the project within the invitation for the Oral Review. This will be used within the Executive Control Board (ECB) reviews of the proposal. The Quad chart will include the pertinent project photo (top left quadrant), the objective of the project (top right quadrant), the benefits/ROI of the project (bottom left quadrant), and the overall project information/financial picture (including cost share) of the project (bottom right quadrant). This Quad chart and presentation used during Oral Review will be utilized by the Program Administrator, Government evaluators, and Extended Team.

Offerors will be required to provide a letter of commitment from each project team participant, to include any Government participant, within the invitation for the Oral Review. These letters shall not exceed one page in length and must reflect commitment to the project (e.g., to perform project work, contribute cost share or other public-sector Government participant provided funding, etc.). Letters of commitment must be signed by an individual who has signature authority to commit company or organization resources.

Use of Visual Aids at Oral Reviews

In order to enhance presentations, visual aids are allowed, with some restrictions listed below. All Offerors are encouraged to use visual aid(s) as appropriate, but it is not required.

- Acceptable visual aids can include: a physical model, photographs, graphical depictions of concepts or project flows, etc.
- Electronic presentations are limited to six (6) slides in Microsoft PowerPoint (1997 or later) format. Electronic presentations may include videos or animations, as long as the material is part of the presentation file (e.g., linking to the internet or requiring a separate program to display video is not allowed). Presentations must be transmitted to ATI no later than 3 working days before the Oral Review.
- If appropriate, each visual aid can be presented as a placard or poster (an easel will be provided) and/or as a one-page handout (without significant text beyond labeling necessary for clarity). Some members of the audience will be as far as 20 feet away, so poster-style visual aids need to avoid small font size, "busy" diagrams and glossy surfaces that reflect glare. 8.5" x 11" hard copies of poster-style visual aids are encouraged. Fifteen copies of each handout should be provided.
- Up to four different visual aids can be presented.

- Presenters are limited to 15 minutes with or without visual aids.
- The visual aids and Quad Chart can be used during the presentation and/or during the Q&A process with the Executive Control Board.

The proposed projects are then voted on by the Executive Control Board (ECB) for selection, along with a prioritized standby list of technically-worthy projects for which funding is not presently available. In making selections for award, the ECB may amend the projects as proposed, and/or include conditions of award.

Selection by Executive Control Board

In the final evaluation step, the Executive Control Board performs an independent comparative assessment of Competitive Range proposals including a total, program-wide Best Value decision with appropriate tradeoff of technical and cost factors.

The Executive Control Board uses a portfolio management approach to ensure that the source selection process meets three important criteria: (1) a balanced portfolio, (2) coherence with the strategic direction of the industry, Government, and commercial customer base, and (3) a high return on investment.

Consideration includes the balance between high and low risk strategies, technology maturity and potential competitive impact, available funding, and strategic fit with the industry/Government/commercial priority.

The NSRP Program is strategically targeted to support and expand existing business, drive new business, and broaden and deepen the industry's development and implementation of advanced technology. The selection process emphasizes collaborative team projects that target the key, top-level cost drivers for the industry, while still providing funding for an appropriate number of projects to support NSRP mission execution.

Award Process

For those proposals that are selected for award by the ECB, a Request for Proposal (RFP) will be issued after the selection meeting. This RFP will include any modification(s) to the Offeror's proposal package that the ECB determined to be conditions for award. Offerors will need to accept conditions, incorporating them into the final documents that must be submitted. Offerors can conduct further negotiations around these conditions or rescind their proposal from the award process. A full Cost Proposal must be submitted to ATI for review and analysis by the NSRP Cost Analysis Panel within 30 days of receipt of the RFP. Instructions for the cost proposal will be provided in a separate document. A full Statement of Work and Technology Transfer & Implementation Plan must also be submitted within the same timeframe. Upon completion of the cost proposal evaluation, Offerors will be issued and expected to execute the NSRP Base Task Order Agreement, if one is not already in place, and/or the individual project Task Order. Awardees will have 10 business days from the date of receipt of the NSRP Base TOA to execute the agreement. Failure to have an executed NSRP Base Task Order Agreement may result in non-award of the project.

APPENDIX E – PROPOSAL EVALUATION FACTORS

For those proposals which pass Initial Project Screening (see Appendix D), this Appendix discusses technical and cost evaluation factors. These are the evaluation factors that the TERP will use to select proposals for award.

Technical Evaluation Factors

The technical evaluation factors to be used in selecting proposals for award under this program include the Qualification Factors (i.e., the initial screening process described in [Appendix D](#)), the Critical Technical Factors, Discriminating Factors, and Cost Evaluation Factors.

Critical Technical Factors

The TERP will evaluate and score the following four critical technical factors, discussed in more detail below: Strategic Fit and Leverage, Business Case, Innovation and Technical Merit, Technology Transfer and Industry Implementation.

- **Strategic Fit and Leverage**

Proposals will be evaluated for their fit with the NSRP mission statement, the Strategic Investment Plan (SIP), the Technology Investment Plan (TIP), and the Research Announcement Solicitation. This factor considers the strategic impact of the project, the degree to which it addresses industry/Government consensus priorities, and potential for leveraging project results across the shipbuilding and ship repair industry.

A good measure of Strategic Fit and Leverage lies in the proposed approach to R&D on the research priorities. NSRP targets rapid, industry-wide improvements - a goal that in many cases is best achieved by projects that exhibit one or more of the following characteristics:

- Potential for significant industry-wide impact on critical cost or cycle time drivers, such as that offered by an integrated R&D approach to one or more major, fundamental, business or manufacturing processes.
- Applicable to multiple industry segments and company sizes (dynamic range across various shipbuilding/repair market segments).
- Broad participation by shipyards, in particular, and their appropriate industry partners in general.
- Integration of an appropriate breadth of research priorities identified in the SIP and TIP.
- If applicable, support from the Navy technical community.

There may be other innovative opportunities proposed that do not meet these characteristics, but can still be considered favorably if they appear to offer significant potential for contributing to the NSRP mission.

- **Business Case**

Evaluators will consider the business requirement that the proposed new technology and/or process will address, and how well the need for the technology/process is justified. For evaluation of the business case, the predominant criteria are for (1) benefits to production schedule, especially for those that shorten the overall construction or repair availability duration (critical path improvements) as well as (2) increased productivity, including shop-

level throughput. Cost benefits of the proposed solution are also important criteria.

Sub-Factors:

- The degree to which there is a compelling case that the proposed technology has strong potential to generate substantial value to the Government, industry, and commercial stakeholders that extends significantly beyond the direct returns to the proposing organization(s). Considerations will include the breadth of applicability to the shipbuilding and ship repair industry, the level and nature of benefit provided to the industry (e.g., productivity, quality improvement, cost reduction), the potential for overall ship construction/repair schedule reduction, or lead and cycle time reduction, the business impact of the technology on life-cycle cost (e.g., sustainment of in-service ships), the life of the product/technology in the marketplace, and synergy with other operations, businesses, research, and programs. Anticipated participation by, or evidence of other prior engagement with Navy technical authorities or other government or commercial stakeholders, along with evidence of their support for the proposed work, helps bolster the business case markedly.
- The need for NSRP support and what difference NSRP funding is expected to make in terms of what will be accomplished with the funding versus without it.
- The amount of cost share provided by NSRP shipyards and other shipyards involved are expected to be at the level of engagement they are providing within the project.
- The expected returns to the Offeror and to others, i.e., spillover effects. **The credibility of the Offeror's justification of assumptions used and the resulting estimated benefits will be assessed.**
- Project metrics including establishing a baseline and final project goal and associated plan to realize benefits.
- Consideration of projected implementation costs.

Proposals that do not express a strong, credible business case or do not include one will not be recommended for award.

- **Innovation and Technical Merit**

The proposed technology should be highly innovative and challenging, with appropriate technical risk, and aimed at overcoming an important problem(s) or exploiting a promising opportunity.

Sub-Factors:

- The technical plan should address the questions of "what, how, where, when, why, and by whom" in detail, and be credibly linked to the pathway for achieving potential broad-based economic benefits and the potential broad impact on U.S. shipbuilding and ship repair technology and knowledge base.
- Projects should have a reasonable balance of risk and reward by pressing the state-of-the-art while still having credibility with regard to technical approach. The enabling nature of the technology should be apparent. The quality, innovation, cost-effectiveness

of the proposed technical program, and uniqueness with respect to current industry practice will also be considered. The evaluation will compare and contrast proposed approaches with those taken by other domestic and foreign companies working in the same field.

- Technical plans should be clear and concise, identifying the core innovation, the technical approach, major technical hurdles, and the attendant risks with risk mitigation factors. The technical plan should be coherent, display reasonableness and clarity of vision of the technical objectives, and provide the degree to which the technical plan meets program goals. *(Note: do not interpret this discussion as a desire for only low risk proposals.)*
- Proposals should provide an analysis of alternative solutions to the proposed solution, including an evaluation of technical risk, development costs, and implementation costs, relative to the proposed solution.
- **Technology Transfer and Industry Implementation**
The implementation strategy for the proposed technology will be evaluated for the adequacy of plans for implementation. Proposals that develop technology with broad application throughout the industry will be viewed more favorably than those that do not produce transferable results.

Sub-Factors:

- The proposal should include a suitably-rigorous approach for technology transfer to relevant audiences during the period of performance.
- Evaluations will consider the potential applications of the technology and evidence that the Offeror has credible plans for prompt and widespread diffusion or commercialization of the technology if the R&D is successful.
- The pathways to economic benefit realization should be identified, including the offeror's approach for getting the technology into commercial use, as well as additional routes that might be taken to achieve broader diffusion of the technology.
 - Examples might include development and distribution of "awareness" material that educates the industry on the technology developed, its technical merits, the lessons learned, and the benefits of the proposed innovations while addressing cost, risk, and the extent of change.

- Expected success of plans to pilot innovations in a realistic context that specifically addresses organizational and cultural challenges to successful adoption (as appropriate) should be provided.
- Interoperability of resulting processes, software, or tools across the industry.
- Approach for maintenance funding for developed technology (e.g., software maintenance) after project completion.
- If the project as proposed will not result in TRL 9 at the end of the project, provide an implementation roadmap to get to TRL 9

Discriminating Factors

Other factors to be considered as discriminators include the following:

- **Workforce Impacts**
The degree to which areas such as workforce training, education, retention and cultural changes are appropriately addressed by the proposed research will be evaluated.
- **Level of Effort Realism**
Based on the experience and subject-matter expertise of the technical evaluators, whether the total resources proposed (labor, materials, dollars, etc.—both program-funded and cost-shared) appear to be sufficient (or insufficient, or excessive) to accomplish individual project tasks and the project as a whole.
- **Shipyard-Specificity**
As noted earlier, a project that has strong potential to generate substantial value to the government, industry, and commercial stakeholders that extends significantly beyond the direct returns to the proposing organization(s) is viewed much more favorably than one that tends to be shipyard-specific with low probability of implementation in other yards.
- **Project Execution**
Due to a continuing need to meet Navy Comptroller spending benchmarks, Offerors are encouraged to demonstrate evidence of a committed team ready to move out quickly upon award with an aggressive, yet credible, execution schedule. Proposals that demonstrate such commitment will benefit during the technical evaluation process when compared to otherwise equally acceptable proposals that do not show such commitment.
- **Metrics**
An assessment of whether the project includes relevant, measurable metrics that will clearly indicate if value is being, or will be, delivered to the Navy and industry, and if there are clear indicators on which to base Go/No-Go decisions between project phases.

- **Implementation Risk**

An assessment of risks to the project being implemented (see Appendix F).

Cost Evaluation Factors

The cost evaluation factors to be used in selecting proposals for project awards under this program are as follows:

- **Cost Realism** - Proposed cost will be evaluated by assessing whether the proposed total cost (cost share and program funds) is what NSRP realistically expects to pay for the proposed effort and the offeror's understanding of the work and ability to successfully perform.
- **Cost Affordability** – Proposed cost is not cost prohibitive based on total available program funding and does not severely limit the selection of a best-value portfolio of projects for award.

APPENDIX F – IMPLEMENTATION RISK FACTORS

Using the below project implementation risk factors, identify and briefly discuss any applicable significant implementation risk factors. No formal assessment of severity is expected or required. However, failure to adequately address appropriate implementation risks to the proposed project will be addressed as a discriminating factor during the TERP evaluation process.

Risk Factors

1. **Technical Risk** – This factor measures the risk of achieving the stated technical objectives of the project. Adequate funding, available resources, an effective testing approach, and technical expertise assigned to the project contribute to success for this factor. Risks are also mitigated by having all project participants and stakeholders agree to these objectives prior to project execution. Further risk mitigation occurs when these agreed-upon objectives are clearly stated and both interim and final technical objectives are met on or ahead of schedule.
2. **Design Change Required** – A design change is normally difficult to have approved unless the baseline design is inadequate. Implementing a design change may require several levels of approvals and an extensive amount of resources and time. This risk factor covers the implementation complications resulting from design dependency inherent in this type of project. Discussion of design change risk should include the current stage of the design for the target platform(s).
3. **Navy Program Office/Technical Authority Approval** – A project requiring future Navy Program Office and/or Technical Authority approval adds more complexity to the implementation process. This risk factor includes the criticality of the proposed solution, the amount of resources and time needed to secure the approvals, and the current measure of support from these organizations.
4. **Certification Required** – When implementing a change to a platform system, the component or material will be subjected to an analysis to determine that the change can meet all platform requirements. This can result in materials testing and evaluation, component prototype fabrication and performance testing, platform trials, etc. In such cases, the time and resources may be extensive. This risk factor includes the time, resources, and uncertainty resulting from the need to certify the product or process.
5. **Capital Equipment Funding Required** – It is inherently risky when implementation is dependent on an implementation site's capital investment. The severity of this risk depends on the amount, timing and business case status for this investment.
6. **Outside Implementation Funding Required** – Funding required to implement the proposed solution into production. It does not include capital equipment, but includes nonrecurring

engineering costs, certification or verification testing programs, prototype construction, training, and start-up production costs.

- 7. Insertion Schedule** – Benefits are maximized when applied to a first of a class or early in the class construction. If a project’s benefits are significantly impacted by applying a solution to a specific implementation target, then the insertion schedule is important. Once a target implementation is identified, then the ability of the solution to meet that target must be evaluated. This risk factor tracks the project’s ability to meet the target implementation on the specific build of the target platform or weapon system with certainty.

- 8. Technology/Product Maturity** – An NSRP project may result in a new process or product technology that must be implemented into production. These solutions may involve immature manufacturing processes or technology that has not been utilized extensively in the manner planned for by the project.

- 9. Commercialization Partner Required** – New tools or processes may require components that have not been made before in commercial industry. This risk factor addresses the plan to commercialize the product or process. Important considerations in this factor include whether a commercial source has been developed and is capable of meeting the demands that may be required of it once the solution is fully implemented.

APPENDIX G – PROPOSAL SUBMISSION PROCESS

For this solicitation, the sole proposal submission method is upload via the ATI Acquisition Management Platform (AMP) site as described below. Proposals transmitted by any other means will not be accepted.


AMP site

AMP is a web-accessible, secure, fully-automated, and paperless knowledge management application that streamlines solicitation dissemination and proposal collection while allowing real-time, online evaluations, thereby reducing the demand on personnel resources. AMP will allow Offerors to quickly and safely upload files (particularly large documents) from their own computers via the ATI secure server that houses proposals for all programs that ATI administers.

NOTE: Offerors will need to register for an Okta account prior to uploading proposals. To register, go to <https://www.identity.ati.org> and click on 'Request Access'

Submitting:

1. Log into the Okta



By logging into this website, I acknowledge that I could be accessing restricted information as indicated by the markings on that information.


Email Address
Enter your email address

Keep me signed in

Next

[Unlock account?](#)
[Help](#)
[ATI Privacy Policy](#)
[Request Access](#)

2. Click on the AMP App
3. Select the desired program (NSRP)

4. At the top of the AMP page, click on the hamburger icon  in the top-right corner to navigate using the menu
5. Click on Solicitation Explorer to see all solicitations (past and present)
6. Click the respond button on the open solicitation (in this case, it will be for the open Research Announcement (RA) solicitation).
 - a. Please follow the directions associated with the information in that section to ensure your submissions meets all criteria needed for the RA.
7. Hit the Submit Response button at the very bottom of the screen when you have filled everything out and attached the documents needed for the submission.

A full detailed guide to using AMP will be published on the [NSRP website](#).

DO NOT SUBMIT ANY CLASSIFIED INFORMATION.