



**BROAD AGENCY ANNOUNCEMENT (BAA)
FOR RESEARCH INITIATIVES
AT THE NAVAL POSTGRADUATE SCHOOL**

INTRODUCTION:

This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and the Department of Defense Grants and Agreements (DoDGARS) Subpart 22.315(a). A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued. Neither the Naval Postgraduate School (NPS) nor the Contracting Office of NAVSUP Fleet Logistics Center San Diego (NAVSUP FLC San Diego) will issue paper copies of this announcement. Interested parties are responsible for checking www.grants.gov or <http://www.nps.edu/Research/WorkingWithNPS.html> for possible amendments to this BAA.

The Naval Postgraduate School (NPS) reserves the right to select and fund for award, all, some, or none of the proposals in response to this announcement. No funding shall be provided for direct reimbursement of proposal development costs. Technical and cost proposals (or any other material) submitted in response to this BAA will not be returned. It is the policy of NPS and NAVSUP FLC San Diego to treat all proposals as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

I. GENERAL INFORMATION

- 1. Requiring Agency:** Naval Postgraduate School
- 2. Research Opportunity Title:** Research Initiatives at the Naval Postgraduate School
- 3. Program Name:** Not Applicable (N/A)
- 4. Research Opportunity Number:** NPS-BAA-12-004
- 5. Response Date:** This announcement will remain open until 4:00 p.m. (PST) 14 May 2013 or until replaced by a successor BAA. Proposals may be submitted at any time during this period. This announcement replaces NPS-BAA-11-001.

6. Research Opportunity Description:

The Naval Postgraduate School (NPS) is interested in receiving proposals for research initiatives that offer potential for advancement and improvement in the NPS core mission of graduate education and research. Readers should note that this is an announcement to declare NPS's solicitation in competitive funding of meritorious research initiatives across a spectrum of science and engineering, business, politics and public/foreign policy, operational and informational sciences, and interdisciplinary disciplines that support the NPS' graduate education and research mission.

Additional information on the Naval Postgraduate School's graduate education mission and supporting research initiatives is available.

General Information: <http://www.nps.edu/About/index.html>
NPS Strategic Plan: <http://www.nps.edu/About/NPSStratPlan.html>
Academic Programs: <http://www.nps.edu/Academics/index.html>
Research Programs: <http://www.nps.edu/Research/index.html>

Prior to preparing proposals, potential offerors are strongly encouraged to contact an NPS point of contact (POC) whose program and research efforts best match the Offeror's field of interest. The Academic and Research Programs links above can be used to locate an appropriate POC by exploring the information provided about the faculty members in each of NPS's four schools, three institutes, and many interdisciplinary centers and research groups.

7. Point(s) of Contact:

Questions or assistance needed **regarding Grants.gov** registration process, system requirements or submittal process shall be directed to Grants.gov by phone at 1-800-518-4726 or e-mail to support@grants.gov.

Questions of a **technical** nature shall be submitted to the NPS Point-of-Contact whose program and research interests best match the Offeror's field of interest.

Questions of a **general** nature can be directed to research@nps.edu.

Questions of a **business** nature shall be directed to:

Janet Norton
Contract and Grant Officer
NAVSUP FLC San Diego
1942 Gaffney Street, Suite 100
Bldg. 475-2, Code 200
Pearl Harbor, HI 96860-4549
E-mail: janet.norton@navy.mil

or

Teri Jay
Grant Management Specialist
Research and Sponsored Programs Office
Office of the Vice President and Dean of Research
Naval Postgraduate School
Halligan Hall, Bldg. 234, Code 41
Monterey, CA 93943-5138
E-mail: baa@nps.edu

NOTE: Any questions regarding this announcement must be provided to the Points of Contact listed above. All questions shall be submitted in writing by electronic mail.

8. Instrument Type(s): Awards may take the form of grants or cooperative agreements, as appropriate.

Offerors should familiarize themselves with these instrument types and the applicable regulations before submitting a proposal. Following are brief descriptions of the possible award instruments.

Grant – A legal instrument, consistent with 31 U.S.C. 6304, is used to enter into a relationship:

(1) The principal purpose of which is to transfer a thing of value to the recipient to carry out a public purpose of support or stimulation authorized by a law of the United States, rather than to acquire property or services for the Department of Defense's direct benefit or use.

(2) In which substantial involvement is not expected between the Department of Defense and the recipient when carrying out the activity contemplated by the grant.

(3) No fee or profit is allowed.

NOTE: Grants are distinguished from contracts in that grants provide financial assistance to recipients to conduct fairly autonomous programs. With respect to Grants, the recipients bear prime responsibility for the conduct of research, and exercise judgment and original thought toward attaining the scientific goals within broad parameters of the research areas proposed and the resources provided. Although the Department of Defense supported grants must generally be of interest to, and must in some way further, Department of Defense mission(s), they must only tangentially relate to those missions. For direct support or to meet Department of Defense goals, objectives, or to improve defense processes/procedures, contracts or other transactions would be the appropriate instruments.

Cooperative Agreement – A legal instrument, consistent with 31 U.S.C. 6305, is used to enter into the same kind of relationship as a grant, except, when carrying out the activity contemplated by the cooperative agreement, DoD and Recipient will be working together. The term does not include "cooperative research and development agreements" as defined in 15 U.S.C. 3710a. No fee or profit is allowed.

NOTE: Grants and Cooperative Agreements to carry out other authorized purposes should be used to the extent appropriate, and must be in compliance with OMB Circular A-110 relocated to 2 CFR 215.

9. Catalog of Federal Domestic Assistance (CFDA) Numbers: 12.300

**10. Catalog of Federal Domestic Assistance (CFDA) Titles: Department of Defense (DoD)
Basic and Applied Scientific Research**

11. Other Information:

This program is targeted to U.S. universities, foreign universities, and other U.S. research institutions and laboratories outside the U.S. Federal Government. Applications from foreign institutions are only accepted from accredited universities.

Fundamental Research – Fundamental Research means basic and applied research in science and engineering, the results of which ordinarily are published and shared broadly within the scientific community, as distinguished from proprietary research and from industrial development, design, production, and product utilization, the results of which ordinarily are restricted for proprietary or national security reasons.

Work funded under this BAA may include basic research, applied research and some advanced research, if properly programmed and approved for grants or cooperative agreements. With regard to any restrictions on the conduct or outcome of work funded under this BAA, NPS will follow the guidance as provided in the Under Secretary of Defense (Acquisition, Technology and Logistics) Memorandum of 24 May 2010 regarding fundamental research.

In conformance with the USD(AT&L) guidance and National Security Decision Direction 189, NPS will place no restriction on the conduct or reporting of unclassified “fundamental research,” except as otherwise required by statute, regulation, or Executive Order.

Broad Agency Announcements (BAAs) - FAR Part 35 restricts the use of BAAs such as this, to the acquisition of basic and applied research and that portion of advanced technology development not related to the development of a specific system or hardware procurement. Grants and Cooperative Agreements under BAAs are for scientific study and experimentation directed toward advancing the state of the art and increasing knowledge or understanding.

Organizational Conflict of Interest - All prospective grantees for this BAA are on actual notice that the Department of Defense and the Department of the Navy (collectively referred to as "Grantor") rely on third-party contractor support. Consultant contractor employees, with appropriate non-disclosure agreements and organizational conflicts of interest clauses in their respective contracts with the Grantor, may be reviewing grant proposals for administrative purposes and may be involved in Grant administration for the life of any awarded grant or cooperative agreement. If you have any questions or concerns, please contact the Business POC identified in Section I (General Information), Item 7 before the closing date of the BAA.

THIS ANNOUNCEMENT IS NOT FOR THE ACQUISITION OF TECHNICAL, ENGINEERING, AND OTHER TYPES OF SUPPORT SERVICES.

II. AWARD INFORMATION:

The amount and period of performance of each selected proposal will vary depending on the research area and the technical approach pursued by the selected Offeror. There is no limit to the number of proposals an institution can submit to this BAA.

Awards may be funded with Fiscal Year 2012 and 2013 basic research appropriations and, if so, will be subject to the reimbursement limit on indirect costs set forth in Section 8101 of the Department of Defense Appropriations Act, 2010 (P.L. 111-118).

NOTE: Indirect Cost Limitation for Basic Research Awards Notices

The purpose of this notice is to make offerors aware of the Indirect Cost Limitation for Basic Research Awards as originally set forth in Section 8115 of the Department of Defense Appropriations Act, 2008 (P.L. 110-116) and subsequently included in following year Appropriation Acts. Section 8115 of the DoD Appropriations Act of 2008 (and subsequent Acts) limits payments of negotiated indirect cost rates on contracts, grants, and cooperative agreements (or similar arrangements), which are funded with DoD Basic Research appropriations and are awarded on or after November 14, 2007, to not more than 35 percent of the total cost of the instrument. This limitation also applies to any new award made by another Federal agency to a non-Federal entity on behalf of the DoD using Basic Research appropriations.

- The restriction on payment of indirect costs applies to all DoD Basic Research appropriations obligated by any award – i.e., procurement contract, grant, cooperative agreement, or any other obligational arrangement – to a non-Federal entity or awardee on or after 14 November 2007.
- The limitation on payment of indirect costs applies to an award entered into at the prime level only and does not flow down to subordinate instruments/contracts.
- For the restriction on payment of indirect cost as a percentage of total cost, “total cost” has the meaning given in the Government-wide cost principles that apply to the particular awardee (2 CFR part 220, 225, or 230, or 48 CFR part 31). “Indirect costs” are all costs of a prime award that are Facilities and Administration costs (for awardees subject to the cost principles in 2 CFR part 220) or indirect costs (for awardees subject to the cost principles in 2 CFR part 225 or 230 or 48 CFR part 31).

Awards funded with Fiscal Year 2012 and 2013 applied research appropriations do not carry these restrictions on indirect costs.

Award selection notification **must not** be regarded as an authorization to begin performance or commit/expend funds. The Government is not obligated to provide any funding until a Government Grant Officer from NAVSUP FLC San Diego signs the respective award document. Costs incurred in advance of signed grants and cooperative agreements are solely the responsibility of the prospective grantee. Government officials, acting in DON or DoD’s best interest, may chose not to fund a grant or cooperative agreement. The act of funding a grant or cooperative agreement award, or not funding a grant or cooperative agreement, is solely within DON or DoD Grant Officer discretion and is not subject to any disputes process or appeal process.

III. ELIGIBILITY INFORMATION:

All responsible sources from academia and industry may submit proposals under this BAA. Historically Black Colleges and Universities (HBCUs) and Minority Institutions (MIs) are encouraged to submit proposals and join others in submitting proposals. However, no portion of this BAA will be set aside for HBCU and MI participation.

U.S. Government schools of higher education, Navy laboratories and warfare centers as well as other Department of Defense and civilian agency laboratories are not eligible to receive awards under this BAA. Federally Funded Research & Development Centers (FFRDCs), including Department of Energy National Laboratories, are likewise not eligible to receive awards under this BAA. These types of organizations should not directly submit either white papers or full proposals in response to this BAA. If any such organization is interested in one or more of the programs described herein, the organization should contact an appropriate NPS POC to discuss its area of interest.

Some topics cover export controlled technologies. Research in these areas is limited to “U.S. persons” as defined in the International Traffic in Arms Regulations (ITAR) 22 CFR § 120.1 et seq.

The Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by Section 6202 of Public Law 110-252, requires that all agencies establish requirements for recipients reporting information on subawards and executive total compensation as codified in 2 CFR 33.110. Any company, non-profit agency, or university that applies for financial assistance (either grants or cooperative agreements) as either a prime or sub-recipient under this BAA must provide information in its proposal that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR 33.220.

An entity is **exempt** from this requirement **UNLESS** in the preceding fiscal year it received: a) 80 percent or more of its annual gross revenue in Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; b) \$25 million or more in annual gross revenue from Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; and c) the public does not have access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 or section 6104 of the Internal Revenue Code of 1986.

IV. APPLICATION AND SUBMISSION INFORMATION:

Offerors are encouraged to submit a white paper in advance of a full proposal. The research proposal shall follow the format described under the proposal preparation sections below: “Format, Content, and Submission of White Papers,” “Format and Content of Full Proposals,” and “Submission of Full Proposals.”

Full proposals shall include a severable, self-standing Statement of Work, which contains only unclassified information and does not include any proprietary restrictions. White papers and full proposals submitted under this BAA are expected to be unclassified.

All proposals should describe how the research will advance knowledge in the field of study, enhance understanding, and/or provide another benefit to the public.

A **grant** can only be awarded if the principal purpose of the research effort is to support or stimulate a public purpose.

A **cooperative agreement** can only be awarded if the principal purpose of the research effort is to support or stimulate a public purpose and there is also substantial involvement by the Government.

Titles given to the white papers and full proposals should be descriptive of the work they cover and not be merely a copy of the title of this solicitation.

All Proposal submissions will be protected from unauthorized disclosure in accordance with FAR 15.207, applicable law, and DoD/DON regulations. Offerors are expected to appropriately mark each page of their submission that contains proprietary information. Support contractors may have access to technical submissions for validation and technical review only. DoD and DON will ensure that any such support contractor will have adequate organizational conflicts of interest clauses in their respective support contracts and will obtain copies of any relevant non-disclosure agreements by and between the contractor and its employees. No further notice will be provided to Offerors submitting proposals or reports responsive to this BAA.

NOTE: Grants and Cooperative Agreements do not include the delivery of software, prototypes, and hardware deliverables.

1. Format, Content, and Submission of White Papers:

A. White Paper Format

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single or double-spaced
- Font – Times New Roman, 12 point
- Number of Pages – No more than five (5) single-sided pages (excluding cover page, abstract, and resumes/curriculum vitae). White papers exceeding the page limit may not be evaluated
- Only Microsoft Word or Adobe PDF file format

B. White Paper Content

- **Cover Page** – The Cover Page shall be labeled “WHITE PAPER,” and include:
 - BAA number **NPS-BAA-12-004**
 - Proposed project title
 - Offeror's administrative point of contact with title, telephone number(s), facsimile number, and electronic mail address listed
 - Offeror's technical point of contact with title, telephone number(s), facsimile number, and electronic mail address listed
 - Signature of an authorized officer.
- **Executive Summary** – Concise (approximately 200 words) abstract of the proposed research effort, including the name of the Offeror, anticipated public benefit, substantial involvement by the Government (if applicable), objectives, assessed need, and anticipated impact and results.

- **Narratives** should include:

- Project objective, including the problem the proposed research will address
- Assessed need and importance
- Summary of key background research to inform the proposed project
- Research design conceived for the proposed project
- Anticipated results
- Sample of references from the scientific literature used to inform the study
- Names and titles of all investigators and Ph.D. students proposed to be involved in the project
- Preliminary Schedule
- Rough Cost Estimate

C. White Paper Submission

Only submissions made via electronic mail (email) will be considered. The white paper shall be sent as an email attachment directly to the cognizant NPS Technical Officer with a copy to baa@nps.edu. The subject line shall read, "NPS-BAA-12-004 White Paper Submission."

2. Format and Content of Full Proposals:

Full proposals shall be submitted electronically at <http://www.grants.gov> using the application template package associated with this BAA as delineated below.

A. Full Proposal Format – Technical and Cost Proposals

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single or double-spaced
- Font – Times New Roman, 12 point
- Number of Pages:
 - Technical proposal is limited to no more than 40 pages, including cover page, table of contents, executive summary, biographical information, and indexes/foldouts./photographs/appendices.
 - Cost proposal is limited to no more than 10 pages, excluding supporting documentation attached separately as a PDF on the Grants.gov application website.

B. Full Proposal Content – Technical Proposal

- **Cover Page:** This should include the words "TECHNICAL PROPOSAL" and the following:
 - BAA number **NPS- BAA-12-004**
 - Descriptive title of Proposal
 - Identity of prime Offeror and complete list of subcontractors, if applicable
 - Technical contact (name, title, address, phone/fax, electronic mail address)
 - Administrative/business contact (name, address, title, phone/fax, electronic mail address)

- Duration of effort (differentiate basic effort and any proposed options)
- **Table of Contents:** An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.
- **Executive Summary:** Concise (approximately 200 words) abstract of the proposed research effort, including the name of the Offeror, anticipated public benefit, substantial involvement by the Government (if applicable), objectives, assessed need, and anticipated impact and results. The Executive Summary must specifically describe how the principal purpose of the research effort supports or stimulates a public purpose and, if applicable, the substantial involvement by the government.

NOTE: A **grant** can only be awarded if the principal purpose is to support or stimulate a public purpose. A **cooperative agreement** can only be awarded if the principal purpose is to support or stimulate a public purpose and there is also substantial involvement by the government.

- **Statement of Work:** A Statement of Work (SOW) clearly detailing scope and objectives, background necessary to understand the problem, appropriate references cited to the scientific literature, assessed need and importance, and technical approach/methodology.

For Basic Research, include a description of potential DON/DoD relevance and contributions of the proposed effort to the NPS research mission.

For Applied Research, include a description of the project objectives, the concept of operation for the new capabilities to be delivered, and the expected operational performance improvements.

It is anticipated that the proposed SOW will be incorporated as an attachment to the resultant award instrument. To this end, such proposals must include a severable, self-standing SOW without any proprietary restrictions, which can be attached to the agreement award. Include a detailed listing of the technical tasks/subtasks organized by year.

For Statements of Work proposing **conferences, symposium or workshops** as a part of their research methodology, the SOW must include the following information:

Rationale:

- o Stated objective(s) of the event, if distinct from project objectives stated in the opening paragraph of the Technical Proposal
- o Statement of the need for such a gathering

Qualifications:

- o Listing of recent meetings on the same subject carried out by the Offeror, including dates and locations
- o Names of the event chairperson and members of the organizing committee and their organizational affiliations

Content:

- o List of potential topics
- o Draft agenda and potential list of participants (as attachments to the SOW)
- o Location and probable date(s) of the meeting; reason(s) for event location
- o Plan for recruitment of and support for speakers and other attendees, that includes participation of groups underrepresented in security studies (e.g., underrepresented minorities, women and persons with disabilities)

Management:

- o Method of announcement or invitation
- o Statement of how the meeting will be organized and conducted, how the results of the meeting will be disseminated, and how the meeting will contribute to the enhancement and improvement of the scientific and/or educational activities
- o Estimated total budget for the conference, together with an itemized statement of the amount of support requested, as distinct from the overall project proposal

Measurable Results Expected:

- o Outputs – progress reports, steering committee or subcommittee meetings, event programs, participant biographies, final rosters, concept paper, conference papers
- o Outcomes – expected result, effect, or consequence that will occur from carrying out the event as related to programmatic goals and objectives.

- **Project Schedule and Milestones:** A summary of the schedule of activities and milestones.
- **Evidence of Progress:** A detailed description of the results and evidence of progress expected through the grant inclusive of the timeframe in which it will be delivered.
- **Management Approach:** A discussion of the overall approach to the management of this effort, including brief discussions of the total organization; use of personnel; project/function/subcontractor/subrecipient relationships; government research interfaces; and planning, scheduling and control practice. Identify which personnel and subcontractors/subrecipients (if any) will be involved. Include a description of the facilities that are required for the proposed effort with a description of any Government Furnished Equipment/Hardware/Software/Information required, by version and/or configuration.
- **Offeror Qualifications:** A discussion of previous accomplishments and work by the Offeror institution in this or closely related areas.
- **Statement of Research Status:** Concise statement which 1) identifies whether the proposed work is a follow-on effort from a prior award, and if so, describes how the proposed work extends or enhances the prior effort; and 2) identifies whether applicants have received prior awards through the Naval Postgraduate School, and if so, gives the status of all deliverables for those awards.
- **Current and Pending Projects and Proposal Submissions:** Offerors are required to provide information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing contracts, grants, and

assistance agreements. Offerors shall provide the following information from related or complementary proposal submissions from whatever sources (e.g., NPS; Federal, State, local or foreign government agencies; public or private foundations; and industrial or other commercial organizations).

The information must be provided for all proposals already submitted or submitted concurrently to other possible sponsors, including NPS. Concurrent submission of a proposal to other organizations will not prejudice its review by NPS. For each, include the following:

- 1) Title of Proposal and Summary
 - 2) Source and amount of funding (annual direct costs; provide contract and/or grant numbers for current contracts/grants)
 - 3) Percentage effort devoted to each project
 - 4) Identity of prime Offeror and complete list of subcontractors, if applicable
 - 5) Technical contact (name, address, phone/fax, electronic mail address)
 - 6) Administrative/business contact (name, address, phone/fax, electronic mail address)
 - 7) Period of performance (differentiate basic effort)
 - 8) The proposed project and all other projects or activities requiring a portion of time of the Principal Investigator and other senior personnel must be included, even if they receive no salary support from the project(s)
 - 9) The total award amount for the entire award period covered (including indirect costs) must be shown, as well as the number of person-months or labor hours per year to be devoted to the project, regardless of source of support
 - 10) Statement of how the project(s) are related to the proposed effort with degree of overlap indicated.
- **Biographical Information and Other Supporting Conceptual Documentation:**
Biographical information or curriculum vita of each member of the research team should address the following in three (3) pages or less per person:
 - o Advanced education
 - o Relevant employment history, including position, title, organization, and dates of employment
 - o List of related publications, professional activities, honors, awards, patents, and other accomplishments.

C. Full Proposal Content – Cost Proposal

For the budget itself, the Offeror must use the Grants.gov budget forms from the application package template associated with this BAA on the Grants.gov website located at <http://www.grants.gov/>. If options are proposed, the cost proposal must provide the pricing information for the option periods. Failure to include the proposed costs for the option

periods will result in the options not being included in the award. Assume that performance will start no earlier than three (3) months after the date the cost proposal is submitted.

A separate Adobe PDF document should be uploaded with the online application materials, providing appropriate verification and/or supporting documentation for each element of costs proposed.

The cost proposal follows the technical proposal as one document and is uploaded to Grants.gov as one document. The cost proposal, which is a *narrative* explaining and justifying the budget figures in detail, must include all figures, calculations, and supporting documentation for determining cost allowability, allocability and reasonableness. Justifications for costs must be explicitly stated.

Costs proposed must conform to the following principles and procedures:

Educational Institutions:	OMB Circular A-21, relocated to 2 CFR 220
Non-Profit Organizations:	OMB Circular A-122, relocated to 2 CFR 230*
Commercial Organizations:	FAR Part 31, DFARS Part 231, FAR Subsection 15.403-5 and DFARS Subsection 215.403-5.

**For those Non-Profit Organizations specifically exempt from the provisions of OMB Circular A-122, FAR Part 31, and DFARS part 231 shall apply.*

The cost proposal must include the following for each applicable category:

- **Direct Labor** – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates. Provide escalation rates for out years. Provide documentation verifying negotiated labor rates for each individual or labor category if supporting staff, such as research associates, has not yet been identified. In addition, describe how new staff will be recruited and selected.

Administrative and clerical labors – Salaries of administrative and clerical staff are normally indirect costs (and included in an indirect cost rate). Direct charging of these costs may be appropriate when a major project requires an extensive amount of administrative or clerical support significantly greater than normal and routine levels of support. Budgets proposing direct charging of administrative or clerical salaries must be supported with a budget justification, which adequately describes the major project and the administrative and/or clerical work to be performed.

- **Fringe Benefits and Indirect Costs** (i.e., F&A, Overhead, G&A, etc) – The proposal should show the rates and calculation of the costs for each rate category. If the rates have been approved/negotiated by a Government agency, **provide a copy of the memorandum /agreement**. If the rates have not been approved/negotiated, provide sufficient detail to enable a determination of allowability, allocability and reasonableness of the allocation bases, and how the rates are calculated according to applicable OMB Circulars or FAR/DFARS provisions. Offerors' disclosure should be sufficient to permit a full understanding of the content of the rate(s) and how it was established. As a minimum, the submission should identify: (1) All individual cost elements included in the forecast rate(s); (2) Bases used to prorate indirect expenses to cost pools, if any; (3)

How the rate(s) was calculated; (4) Distribution basis of the developed rate(s); (5) Bases on which the overhead rate is calculated, such as "salaries and wages" or "total costs," and (6) The period of the offeror's fiscal year. Additional information may be requested, if needed. If composite rates are used, provide the calculations used in deriving the composite rates.

- **Travel** – The proposed travel cost should include the following for each *trip*: the purpose of the trip, origin and destination if known, approximate duration, the number of travelers, and the estimated cost per trip, which must be justified based on the organization's historical average cost per trip or other reasonable basis for estimation such as quotes from online airline vendors. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principles. Explain why travel is a necessary and/or cost-effective component of the technical approach/methodology, as well as why the travel destination was chosen. Provide a copy of institution's travel policy. If your technical approach/methodology includes convening a meeting of experts, include a tentative roster of participants and draft agenda. If known, names and organizational affiliation should be noted; otherwise, list types of experts and expected affiliations (i.e., professor of marketing, academia; Department of Commerce representative). On the roster, specify those whose travel will be covered by the grant or cooperative agreement.
- **Participant Support Costs**: This budget category refers to costs of transportation, per diem, stipends, and other related costs for participants or trainees (but not grant employees) in connection with NPS-sponsored conferences, meetings, symposia, training activities, and workshops (see Volume I, paragraph (d) Statement of Work proposing conferences, symposium or workshops). Generally, indirect costs are not allowed on participant support costs. The number of participants to be supported should be entered in the parentheses on the budget form. These costs should also be justified in the budget justification page(s) attached to the cost proposal.

NOTE: Funds provided cannot be used for payment to any Federal Government employee or support, subsistence, or services in connection with the proposed conferences, symposium or workshops.

ADDITIONAL NOTE: Although it is recognized that grant conferences, symposia or workshops are not sponsored by DON or DoD, there will nevertheless be some scrutiny of costs associated with conferences, symposia, and workshops. Please document the most cost-effective methodology for these high-visibility research delivery systems and take care not to include excessive costs for speakers, meals; and, there should be no entertainment costs incurred with grant funds. See other direct costs below.

- **Sub-awards** – Provide a description of the work to be performed by the sub-recipients, who like the prime Offeror is an institution or other type of organization. For each sub-award, a detailed cost proposal is required to be submitted by the sub-recipient(s). The proposed sub-awardee's or sub-recipient's cost proposal can be provided in a sealed envelope with the recipient's cost proposal or via e-mail directly to both the Program Officer and the business point of contact at the same time the prime proposal is submitted. The e-mail should identify the proposal title, the prime Offeror, and that the attached proposal is either a sub-contract or a sub-agreement. A proposal and

supporting documentation must be received and reviewed before the Government can complete its cost analysis of the proposal and enter negotiations.

Provide specific information as follows: (1) A clear description of the work to be performed; (2) If known, the identification of the proposed sub-awardee and an explanation of why and how the sub-awardee was selected or will be selected; (3) The identification of the type of award to be used (cost reimbursement, fixed price, etc.); (4) Whether or not the award will be competitive and, if noncompetitive rationale to justify the absence of competition; and (5) A detailed cost summary.

- **Consultants** – Offerors normally are expected to utilize the services of their own staff to the maximum extent possible in managing and performing the project's effort. If the need for consultant services is anticipated, the nature of proposed consultant services should be justified and included in the technical proposal narrative. The cost proposal should include the names of consultant(s), primary organizational affiliation, each individual's expertise, daily compensation rate, number of days of expected service, and estimated travel and per diem costs.
- **Materials & Supplies** – Provide an itemized list of all proposed materials and supplies including quantities, unit prices, proposed vendors (if known), and the basis for the estimate (e.g., formal or informal quotes, prior purchases, catalog price lists). Include supporting documentation for the estimates. Provide a copy of your organization's purchasing policy or note that no formal policy exists.
- **Recipient Acquired Equipment or Facilities** – Equipment and/or facilities are normally furnished by the Recipient. If acquisition of equipment and/or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all equipment and/or facilities costs and the basis and supporting documentation for the estimate (e.g., formal or informal quotes, prior purchases, catalog price lists). Allowable items normally would be limited to research equipment not already available for the project. General-purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, office equipment and furnishings, etc.) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general-purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.
- **Other Direct Costs** – Provide an itemized list of all other proposed other direct costs such as Graduate Assistant tuition, laboratory fees, report and publication costs, workshop honoraria, and the basis for the estimates (e.g., quotes, prior purchases, catalog price lists). If the technical approach includes a conference or workshop, describe how the venue will be selected and by what criteria, what is provided in the conference package, and the average cost per participant per day. Include supporting documentation for cost estimates. If honoraria will be offered to workshop participants, provide a list of those individuals and their institutional affiliations; if they have yet to be identified, list their potential institution type. Where they exist, provide a copy of or website link to your institution's policy for each category of other costs, i.e., honoraria policy, tuition fees, procurement policy.

Food and Beverage – In general, federal funds are not to be used for the provision of food or beverages at a conference, workshop or symposium and the proposal should include the following statement: *"The funds provided by NPS will not be used for food or beverages."*

However, any proposer seeking funds to host a research conference, workshop or symposium who wishes to include a food or beverage element must explain in detail within the proposal why provision of these items would qualify as a necessary and allowable expense under the relevant OMB cost principles.

- **Fee/Profit** – Fee/profit is unallowable under assistance agreements at either the prime or sub-award level but may be permitted on subcontracts issued by the prime awardee.

3. Significant Dates and Times: This announcement will remain open until 4:00 p.m. (PST), 14 May 2013. Proposals may be submitted at any time during this period.

4. Submission of Late Proposals: Not applicable (N/A).

5. Submission of Full Proposals:

All Grant and Cooperative Agreement proposals shall be submitted through Grants.gov using the application package template associated with this BAA.

Registration Requirements for Grants.gov: There are several one-time actions you must complete in order to submit an application through Grants.gov. These include obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the Central Contract Registry (CCR), registering with the credential provider, and registering with Grants.gov. See www.grants.gov/GetStarted to begin this process. The Grants.gov Organization Registration Checklist at www.grants.gov/assets/OrganizationRegCheck.doc will guide you through the process.

Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called 'MPIN' are important steps in the CCR registration process. Offerors who are not registered with CCR and Grants.gov should allow at least 21 days for completion of these requirements. It is suggested that the process be started as soon as possible.

Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or e-mail: support@grants.gov.

By completing Block 17 of the SF 424 R&R, the Grant Applicant is providing the certification on lobbying required by 32 CFR Part 28. Refer to Section VI, 'Award Administration Information' entitled "Certifications" for further information.

Grants.gov Full Proposal Submission: Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select "Apply for Grants", and then select "Download Application Package." In the box labeled Funding Opportunity Number, enter NPS-BAA-12-004, designated as "Research Opportunity Number" on page two of this announcement. Click on the button labeled "Download Package." Follow the instructions on the Grants.gov page to complete the application download process.

You must complete the mandatory forms and any applicable optional forms (e.g., SF-LLL Disclosure of Lobbying Activities) in accordance with the instructions on the forms and the additional instructions provided in this BAA. All attachments to grant applications submitted through Grants.gov must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement.

It is recommended that you complete SF 424 R&R form first to populate data in other forms. Complete all the required fields in accordance with the pop-up instructions on the form. To activate the instructions, turn on the "Help Mode" (icon with the pointer and question mark at the top of the form).

Please denote the beginning and ending of proprietary information with asterisks (***)

All applications must be self-contained within specified page limitations. Internet website addresses (URLs), with the exception of cost-proposal supporting documentation of Offeror policies and procedures, may not be used to provide information necessary to the review, because reviewers are under no obligation to view the Internet sites.

Special Notice Regarding a Waiver of Grants.gov Proposal Submission Requirement:

If an Offeror is unable to comply with the requirement to use Grants.gov, for submission of a grant application under this BAA or finds it would be an excessive burden to comply with this requirement, a waiver request may be submitted. Such request should be submitted by the Electronic Business Point of Contact listed in the CCR for the organization and should contain the Organization/Individual's name, address, telephone number, and email address. The request should state the reason for the request in sufficient detail so a decision can be made. The Waiver Request should be submitted to both the cognizant Grant Officer at NAVSUP FLC San Diego and to the Grants Management Specialist at the Naval Postgraduate School as identified in Section I (General Information), Item 7 above. Such request can be sent by email or registered mail.

A decision and response will be issued within 14 calendar days of receipt of the request by cognizant Grant Specialist. Foreign Grantees who are not registered in CCR may request a waiver on that basis since CCR registration is integral to the Grants.gov application process. If the waiver is approved, NPS will provide a packet of all required documents and submission instructions via email or in hard copy via registered mail.

V. EVALUATION INFORMATION:

1. Evaluation Criteria:

Award decisions will be based on a competitive selection of proposals resulting from a scientific and cost review. Evaluations will be conducted using the following evaluation criteria:

- A. Overall scientific and technical merits of the proposal, including:
 - 1) Quality and rigor of proposal
 - 2) Thoroughness, clarity, and parsimony of the proposal
 - 3) Feasibility of research design/technical concept
 - 4) Potential impact of research results
 - 5) Publication potential of research results

- B. Potential Naval relevance and contributions of the effort to the agency's specific mission
- C. The offeror's capabilities, related experience, facilities, techniques or unique combinations of these, which are integral factors for achieving the proposal objectives
- D. The qualifications, capabilities and experience of the proposed Principal Investigator (PI), team leader, and/or other key personnel who are critical to achievement of the proposed objects and must commit time and attention to ensure success of the project
- E. The realism of the proposed costs and the demonstrated ability to deliver an effective research project at a reasonable cost
- F. Availability of funds.

While overall cost (if funds are available) is the least important factor in making a decision, the realism, reasonableness, and effectiveness of the research at the given costs must be affirmatively established before award. It is noted, too, that the degree of its importance in the overall award will increase with the degree of equality of the proposals in relation to the other factors on which selection is to be based, or when the costs are so significantly high as to diminish the value of the proposal's technical superiority to the Government.

The Government will evaluate options for award purposes by adding the total cost for all options to the total cost for the basic requirement. Evaluation of options will not obligate the Government to exercise the options during award performance.

2. Evaluation Panel:

Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure in accordance with FAR 3.104-5 and 15.207. The cognizant NPS Principal Investigator or other technical experts drawn from Government, industry, or academe will perform the evaluation of technical proposals. Cost proposals will be evaluated by Government business professionals. Restrictive notices notwithstanding, one or more support contractors may be utilized as subject-matter-expert technical consultants. Similarly, support contractors may be utilized to evaluate cost proposals. However, proposal selection and award decisions are solely the responsibility of Government personnel. Each support contractor's employee having access to technical and cost proposals submitted in response to this BAA will be required to sign a non-disclosure statement prior to receipt of any proposal submissions.

VI. AWARD ADMINISTRATION INFORMATION:

1. Administrative Requirements:

- **The North American Industry Classification System (NAICS) code:** The North American Industry Classification System (NAICS) code for this announcement is 541720 with a small business size standard of \$7.0M.

- **Central Contractor Registry (CCR):** All Offerors submitting proposals or applications must: (a) be registered in the Central Contractor Registration (CCR) prior to submission; (b) maintain an active CCR registration with current information at all times during which it has an active Federal award or an application under consideration by any agency; and (c) provide its DUNS number in each Full Proposal it submits to NPS via grants.gov.
- **Grant and Cooperative Agreement Requirements:** Grant awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. Grant applicants shall provide this certification by electronic submission of SF424 (R&R) as a part of the electronic proposal submitted via <http://www.grants.gov> (complete Block 17).

2. Certifications and Assurances:

- A. **Certification Regarding Lobbying Activities** – Grant and Cooperative Agreement awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. Grant applicants shall provide this certification by electronic submission of SF424 (R&R) as a part of the electronic proposal submitted via Grants.gov (complete Block 17); the following certification applies to each applicant seeking federal assistance funds exceeding \$100,000:
- 1) No Federal appropriated funds have been paid or will be paid by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
 - 2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
 - 3) The applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S.C. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

- B. **SF 424B - ASSURANCES - NON-CONSTRUCTION PROGRAMS** - Grant applicants must provide certification of compliance with applicable assurances as set for in the SF 424B. This form must be completed and submitted as a part of the electronic packet submitted via Grants.gov.

3. Policy Requirements:

Any award issued as a result of this announcement is subject to the following administrative, cost, and national policy requirements contained therein.

- OMB Circular A-110, relocated to 2 CFR Part 215. "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations."
- Department of Defense Grant and Agreement Regulations (DoDGARS 3210.6-R)
- OMB Circular A-21, relocated to 2 CFR Part 220. "Cost Principles for Educational Institutions."
- OMB Circular A-122, relocated to 2 CFR Part 230. "Cost Principles for Non-Profit Organizations."
- Federal Acquisition Regulation (FAR) Part 31.2, "Contracts with Commercial Organizations."
- OMB Circular A-133. "Audits of States, Local Governments, and Non-Profit Organizations."

An electronic copy of OMB regulations may be found at: <http://www.whitehouse.gov/OMB/grants>

An electronic copy of DoDGARs may be found at:
<http://www.dtic.mil/whs/directives/corres/html/321006r.htm>

VII. OTHER INFORMATION

1. Government Property/Government Furnished Equipment (GFE) and Facilities:

Government research property, facilities and operational military units are available and should be considered as potential government furnished equipment/facilities. These facilities and resources are of high value and some are in constant demand by multiple programs. It is unlikely that all facilities would be used for any one specific program. The use of these facilities and resources will be negotiated as the program unfolds. Offerors should explain as parts of their proposal which of these facilities are critical for the project's success.

2. Security Classification:

In order to facilitate intra-program collaboration and technology transfer, the Government will attempt to enable technology developers to work at the unclassified level to the maximum extent possible. If access to classified material will be required at any point during performance, the

Offeror must clearly identify such need prominently in its proposal. Normally, work under a grant or cooperative agreement does not require access to classified material.

3. Use of Animals and Human Subjects in Research

If animals are to be utilized in the research effort proposed, the Offeror must complete a DoD Animal Use Protocol with supporting documentation (copies of AALAC accreditation and/or NIH assurance, IACUC approval, research literature database searches, and the two most recent USDA inspection reports) prior to award. For assistance with submission of animal research related documentation, contact the NPS Grant Management Specialist at baa@nps.edu.

Similarly, for any proposal for research involving human subjects, the Offeror must submit prior to award: documentation of approval from an Institutional Review Board (IRB); IRB-approved research protocol; IRB-approved informed consent form; proof of completed human research training (e.g., training certificate or institutional verification of training); an application for a DoD-Navy Addendum to the Offeror's DHHS-issued Federal wide Assurance (FWA) or the Offeror's DoD-Navy Addendum. In the event that an exemption criterion under 32 CFR.219.101 (b) is claimed, provide documentation of the determination by the Institutional Review Board (IRB) Chair, IRB vice Chair, designated IRB administrator or official of the human research protection program including the category of exemption and short rationale statement. If the research is determined by the IRB to be greater than minimal risk, the Offeror also must provide the name and contact information for the independent medical monitor. This documentation shall be submitted to the NPS Institutional Review Board Administrator via the NPS Management Specialist at baa@nps.edu.

4. Recombinant DNA:

Proposal that call for experiments using recombinant DNA must include documentation of compliance with Department of Human and Health Services (DHHS) recombinant DNA regulations, approval of the Institutional Biosafety Committee (IBC), and copies of the DHHS Approval of the IBC letter.

5. Protection of Proprietary and Sensitive Information:

The parties acknowledge that, during performance of the grant or cooperative agreement resulting from this BAA, the recipient may require access to certain proprietary and confidential information (whether in its original or derived form) submitted to or produced by the Government. Such information includes, but is not limited to, business practices, proposals, designs, mission or operation concepts, sketches, management policies, cost and operating expense, technical data and trade secrets, proposed Navy budgetary information, and acquisition planning or acquisition actions, obtained either directly or indirectly as a result of the effort performed on behalf of NPS. The recipient shall take appropriate steps not only to safeguard such information, but also to prevent disclosure of such information to any party other than the Government. The recipient agrees to indoctrinate company personnel who will have access to or custody of the information concerning the nature of the confidential terms under which the Government received such information and shall stress that the information shall not be disclosed to any other party or to recipient personnel who do not need to know the contents thereof for the performance of the contract/agreement. Recipient personnel shall also be informed that they shall not engage in any other action, venture, or employment wherein this information will be used for any purpose by any other party.

As set forth herein, Recipient acknowledges and agrees that third-party support contractors may access technical information submitted by Recipient. Government will ensure that the contractor employee has signed a non-disclosure agreement with its employer (on record); and, Government will ensure that the contractor employer, likewise, has signed an Organizational Conflict of Interest clause with the Government precluding exploitation of any kind of non-public data it accesses as a result of its Government contract effort(s).

6. Organizational Conflict of Interest:

All Offerors and proposed subawardees must affirm whether they are providing scientific, engineering, and technical assistance (SETA) or similar support to any NPS through an active contract or subcontract. All affirmations must state which office(s) the Offeror supports and identify the prime contract numbers. Affirmations shall be furnished at the time of proposal submission. All facts relevant to the existence or potential existence of organizational conflicts of interest (FAR 9.5) must be disclosed. The disclosure shall include a description of the action the Offeror has taken or proposes to take to avoid, neutralize, or mitigate such conflict. In accordance with FAR 9.503 and without prior approval, a contractor cannot simultaneously be a SETA and a research and development performer. Proposals that fail to fully disclose potential conflicts of interests or do not have acceptable plans to mitigate identified conflicts will be rejected without technical evaluation and withdrawn from further consideration for award.

If a prospective Offeror believes that any conflict of interest exists or may exist (whether organizational or otherwise), the Offeror should promptly raise the issue with NPS by sending his/her contact information and a summary of the potential conflict by e-mail to the Business Point of Contact in Section I, item 7 above, before time and effort are expended in preparing a proposal and mitigation plan. If, in the sole opinion of the Government after full consideration of the circumstances, any conflict situation cannot be effectively avoided or mitigated, the proposal may be rejected without technical evaluation and withdrawn from further consideration for award under this BAA.

7. Acknowledgement of Naval Postgraduate School (NPS) Support:

NPS's full or partial support must be acknowledged in journal articles, oral or poster presentations, news releases, interviews with reporters, and other communications. Any documents developed under an award agreement resulting from this BAA that are intended for distribution to the public or inclusion in a scientific, technical, or other journal shall include the following statement:

This publication [article] was developed under work supported by the Naval Postgraduate School Assistance Agreement No. _____ awarded by the Naval Supply Systems Command (NAVSUP) Fleet Logistics Center San Diego (NAVSUP FLC San Diego). It has not been formally reviewed by NPS. The views and conclusions contained in this document are those of the authors and should not be interpreted as necessarily representing the official policies, either expressed or implied, of the NPS or NAVSUP FLC San Diego. The NPS and NAVSUP FLC San Diego do not endorse any products or commercial services mentioned in this publication.