



NPS BAA Announcement #13-002

Broad Agency Announcement (BAA)

For the Project on Advanced Systems and Concepts for Countering Weapons of Mass Destruction (PASCC) at the Naval Postgraduate School

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 and Grant Office of NAVSUP Fleet Logistics Center San Diego (NAVSUP FLC San Diego) will issue paper copies of this announcement. Interested parties should check 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. Opportunity Title: Project on Advanced Systems and Concepts for Countering WMD
3. Program Name: Not Applicable (N/A)
4. Funding Opportunity Number: NPS-BAA-13-002

5. Response Date: This announcement will remain open until 5:00 p.m. (PDST), 31 March 2014. However, please see the submission deadlines on page 20.

6. Description:

This BAA's primary objective is to attract outstanding researchers and scholars who will research topics of interest to the security studies community. Research will focus on expanding knowledge related to countering weapons of mass destruction and weapons of mass effect (WMD/WME). The program solicits innovative proposals for research on WMD/WME counter proliferation, nonproliferation, and strategy to be conducted mainly during the January 2014 through September 2015 timeframe.

In this BAA, the phrase "security studies research" refers to research in all disciplines, fields, and domains that (1) are involved in expanding knowledge for national defense, and (2) could potentially improve policy and international relations for combating WMD. Disciplines include, but are not limited to: Political science, sociology, history, biology, chemistry, economics, homeland defense, and public policy.

Background:

The Naval Postgraduate School's Center on Contemporary Conflict (CCC) is the research wing of the Department of National Security Affairs (NSA) and specializes in the study of international relations, security policy, and regional studies. The CCC has over a decade of experience providing research and timely analysis to leading decision makers in the Department of Defense community. We have a strategically relevant and diverse research portfolio including conflict analysis and response; nuclear proliferation and deterrence; innovation and terrorism; and U.S. strategy and alliances. The CCC hosts and organizes international seminars, Track II dialogues, and stability exercises that bring critical players together for an open exchange and debate of ideas and formulation of recommendations. Please see www.nps.edu/ccc for more information on the Center.

The CCC houses the Project on Advanced Systems and Concepts for Countering WMD (PASCC). PASCC was founded in May 2011 with support from the Defense Threat Reduction Agency (DTRA). In FY12, after a competitive review of nearly 230 research ideas, PASCC made 28 project awards to 15 different institutions. In FY13, PASCC again made over 20 project awards, with greater than two-thirds of the funding going to performers outside of NPS. PASCC reports and project summaries are

available online
at www.nps.edu/Academics/Centers/CCC/Research/PASCC.html.

One of PASCC's primary objectives is to broaden the reach of its sponsored research; and, to that end, it supports research by—and disseminates findings to—multiple communities of interest. PASCC supports research activities that benefit the public through analysis and engagement to reduce and counter the threats posed by WMD/WME. PASCC cultivates national and international strategic research-community partnerships across domains. Selected projects bring scientific, technical, and social science faculty/experts together to look well into the future and help understand and anticipate WMD/WME capabilities. The goal, therefore, is to address WMD/WME existent and emerging capabilities and counter those future threats and challenges.

PASCC is guided by a Senior Steering Group (SSG) that includes U.S. Government and Naval Postgraduate School representatives and leaders. The SSG meets biannually to assist the PASCC Director in establishing annual and long-range planning.

FY14 Program of Scholarly Investigations:

PASCC strives to increase foresight into an array of security issues related to WMD through support of forward-looking research, analysis, and engagement. These efforts should seek to maximize understanding of anticipated or emerging issues that represent the full spectrum of WMD problems, or have the significant potential to affect strategic stability. PASCC particularly supports research and analysis on issues that are not prominent or well developed in the existing literature; but, this research/analysis can and does leverage existing knowledge for insights into less established areas. PASCC seeks to balance research across a spectrum of strategic, applied, and technical topics; and, it is interested in interdisciplinary research that combines these areas.

PASCC will select a number of proposals for research and dialogues for FY14-15 funding. The number will depend on resources available and on the quantity/quality of proposals responsive to this BAA. Offerors are invited to propose research that addresses topics within the following general categories.

- 1. Proliferation of weapons of mass destruction** (WMD, defined as nuclear, chemical, and biological) **and weapons of mass effect** (WME, defined as other high-casualty or high-disruption weapons that might have “strategic” effects). This area includes dealing with existing concerns (such as Iran's and North Korea's WMD programs) and anticipating new and emerging threats. It also may

include trouble-shooting problems in existing management mechanisms, treaties, and regimes, as well as explaining differing perceptions of and assumptions about WMD/WME in foreign countries.

2. WMD/WME delivery systems (including missiles, aircraft, ships, submarines, and unconventional modes). PASCC is especially interested in new modes of delivery and in new approaches to managing or combating the spread of existing modes.

3. Prevention, consequence management, and response to WMD/WME use. PASCC is concerned with ensuring non-use of WMD-WME and in minimizing the effects of any potential use.

4. WMD/WME issues in less-studied regions (including Asia, Africa, the Middle East, and Latin America). While PASCC supports research on existing WMD-WME capable states, PASCC especially encourages research on emerging capabilities in countries outside the known realm of possessor states.

5. Space and threats to strategic stability. PASCC is interested in the linkages between nuclear stability and space security, including research on the prevention of attacks against critical national technical means and early-warning satellites and challenges to strategic stability linked to spread of hazardous orbital debris. Attribution issues in space are another possible area of interest, if linked to strategic security.

Please note that PASCC does not fund training or studies aimed at the development of new technologies. Issues related to conventional forms of terrorism and topics whose primary focus is on cyber security are also outside of its purview.

In terms of funding allocations, one-half of PASCC funding is normally provided to research projects and one-half devoted to strategic dialogues (Track 2 meetings). Applicants are encouraged to propose projects for either category. The strategic dialogues aim at answering research questions by bringing together U.S. experts and (sometimes) officials with counterparts from foreign countries to discuss WMD concerns and/or problems facing future strategic stability.

In the research category, offerors should state clearly in their proposals whether or not their projects involve “human subjects research” (including personal interviews) according to government and academic Institutional Research Board (IRB) guidelines. If so, proposals should

address how their research plans will be reviewed at their institutions. If interviews instead are being conducted only for the purpose of obtaining non-personal background information regarding historical, political, or technical matters, the proposals should state this briefly.

7. Presentation of Research Results:

Awardees must work with NPS to widely disseminate their results to the public in order to contribute to the expansion of knowledge and development of a well-informed community of experts on issues relevant to combating WMD/WME.

Awardees may be asked by PASCC to brief findings to other personnel within the Federal Government, in person or via video-teleconference, at a time to be determined during the award period. It is also anticipated that senior managers and policymakers in the Federal Government will read the technical reports.

8. Points of Contact: Questions or assistance needed regarding the grants.gov registration process, system requirements, or submittal process shall be directed to grants.gov by phone at 1-800-518-4726 or email to support@grants.gov.

The specific points of contact for this announcement are listed below:

Questions of a **technical** nature should be submitted to:

Meghan Rasmussen
Program Manager, CCC/PASCC
Department of National Security Affairs
Naval Postgraduate School
1411 Cunningham Road
Monterey, CA 93943
E-mail: pascc@nps.edu

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

Christina Beal
Contract Specialist
NAVSUP Fleet Logistics Center
San Diego Regional Command Support Code 230
E-mail: christina.e.beal@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 e-mail.

9. Instrument Type(s) – Assistance Awards:

Awards will most often take the form of grants or cooperative agreements. However, NPS reserves the right to select and fund through the form of a Contract if deemed to be in the best interest of the Government.

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 which, consistent with 31 U.S.C. 6304, is used to enter into a relationship in which the principal purpose of which the relationship 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; and substantial involvement is not expected between the Department of Defense and the recipient when carrying out the activity contemplated by the grant.; and, nNo fee or profit is allowed.

Cooperative Agreement – A legal instrument which, consistent with 31 U.S.C. 6305, is used to enter into the same kind of relationship as a grant;; except, that substantial involvement is expected between the Department of Defense and the recipient when carrying out the activity contemplated by the cooperative agreement. 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 do not include the delivery of software, prototypes, and hardware deliverables.

Contract - Contracts can be the most appropriate instrument if the purpose of the research is focused on a more narrow government benefit or set of U.S. government stakeholders rather than to non-federal entities.

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

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

12. Other Information:

This program is targeted in particular to U.S. universities and other research institutions outside the Department of Defense.

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 awards. 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 towards advancing the state of the art and increasing knowledge or understanding.

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 may vary depending on the research area and the technical approach to be pursued by the selected offeror. The period of performance is typically twelve (12) months from effective date of award by a Government Grants Officer.

There is no limit to the number of proposals an institution can submit. However, no institution should submit more than two proposals per Principal Investigator.

The Naval Postgraduate School (NPS) plans to make multiple awards under this BAA, which represent the best value to the Government in accordance with the evaluation criteria contained in Section V, Evaluation Criteria of NPS-BAA-13-002. NPS is seeking institutions and participants for this program that are capable of supporting the goals and desired outcomes as described in this BAA. Offerors have the opportunity to be creative in the selection of the technical and management processes and approaches to address the areas of interest described above.

NPS estimates approximately \$4 to \$5 million per year will be available to make PASCC-approved awards. This information is only an estimate and does not obligate the Government in any way. Estimated funding amounts may increase or decrease at anytime based on current and future appropriations.

There is no set limit on the award levels for each proposal; however, **approved cost proposals are generally anticipated to fall between \$50,000 and \$250,000.**

It should be emphasized that in an award, the awardee receiving the funds accepts total responsibility for maintaining adequate cost controls while executing the effective research methodology. Award funding is not to be considered a "Department of Navy" (DON) or "Department of Defense" (DoD) endorsement nor shall it imply any DoD/DON co-sponsorship.

The 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 awards or other transactions are solely the responsibility of the prospective awardee. Government officials, acting in DON or DoD's best interest, may chose not to fund an assistance award; the act of funding an award or not funding an award, 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 institutions from academia and industry may submit white papers and 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.

Navy laboratories and warfare centers as well as other DoD 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. **Instead, if any such institution is interested in one or more of the programs described herein, the institution should contact the NPS Technical POC identified in Section I.8 above to discuss its area of interest, and is encouraged to do so. Such inquiries will be evaluated on a similar basis of merit.**

IV. APPLICATION AND SUBMISSION INFORMATION

1. Application and Submission Process: An individual at a qualified institution wishing to apply for an award must submit a research proposal as described in Section II, "Award Information." The research proposal shall follow the procedures and formats described under the proposal preparation sections below, IV.2 "Form of Research Proposals" and IV.3 "Form and Content of White Papers and Full Proposals."

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 reports responsive to this BAA.

The Full Proposal shall include a severable, self-standing Statement of Work, which contains only unclassified information and does not include any proprietary restrictions.

2. Form of Research Proposals

Phase 1, White Papers:

Prospective offerors are requested to submit White Papers to enable PASCC feedback to the offeror and minimize the labor and cost associated

with the production of detailed Full Proposals that have very little chance of being selected for funding. **Do not submit White Papers through grants.gov.** Instead, White Papers should be submitted electronically to an NPS password protected website established for this Phase of the BAA. Please email the Technical Point of Contact at pascc@nps.edu to receive a website account. These papers shall be in Microsoft Word or Adobe PDF format.

Each White Paper will be evaluated by the Government to determine whether the research proposed appears to be of particular value to research areas described in Section 1.6, "Description," above. The Technical Point of Contact or PASCC Director will issue initial Government evaluations and feedback via e-mail notification.

For White Papers that propose efforts that are considered of particular value but either exceed available budgets or contain certain tasks or applications that are not desired, the CCC may suggest a Full Proposal with reduced effort to fit within expected available budgets or an effort that refocuses the tasks or application of the effort to maximize the expected benefit.

White Papers will be accepted throughout the effective period of this BAA. However, to ensure full, timely consideration for funding, **White Papers should be submitted no later than 14 Jun 2013. PASCC follows an annual review cycle.**

The anticipated date for completing the review of White Papers and notification of offerors is 16 Aug 2013.

Phase 2, Full Proposals:

Detailed Full Proposals (Technical and Cost Volumes) will be subsequently requested from those offerors whose proposed projects have been identified through the above referenced e-mail as being of potential "particular value" to the Government. However, any such notification does not assure a subsequent award.

Although Full Proposals will be accepted throughout the effective period of this BAA, to ensure timely consideration, **Full Proposals should be submitted no later than 30 Sep 2013.** Proposals submitted after 30 Sep 2013 will be reviewed but considered for funding only by exception, i.e., if the research is particularly aligned with an objective unknown during the regular proposal cycle.

The only acceptable method for submission of Full Proposals is via <http://www.grants.gov/>. Notice of selection based on full proposal submissions will be issued via e-mail.

3. Format and Content of White Papers and Full Proposals

White Papers and Full Proposals submitted under this BAA are expected to be unclassified. Titles given to the White Papers/Full Proposals should be descriptive of the work they cover and not be merely a copy of the title of this solicitation.

WHITE PAPERS

White Paper Format:

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single-spaced
- Minimum Number of Pages Permitted – 8 pages (excluding cover page, biography of principal investigator, and cost estimate)
- Maximum Number of Pages Permitted – 15 pages (excluding cover page, biography of principal investigator, and cost estimate)

Submit one electronic file including all content detailed below. Do not send .ZIP files. Do not send password-protected files.

White Paper Content:

- a) Cover Page – This one (1) page section should include the following information:
 - “WHITE PAPER”
 - “BAA Number (NPS-BAA-13-002)”
 - “Research Opportunity: Project on Advanced Systems and Concepts for Countering WMD”
 - Title of Proposal
 - Identity of the Prime Offeror institution
 - Technical Contact (name, address, phone/fax, e-mail address)
 - Administrative Contact (name, address, phone/fax, e-mail address)

- Proposed Period of performance. Assume that performance will start no earlier than six (6) months after the date the Full Proposal is submitted.
- Signature, name, and title of an authorized officer of the Offering institution

b) Technical Concept – This 8- to 15-page section should include the following:

- Executive Summary: Concise (approximately 200 words) abstract of the proposed research effort.
- Project Objective, including the problem the proposed research will address and anticipated results. The public purpose that the project will serve should be explicitly stated. See section I.9 above.
- Background: An overview of the assessed need and relevance of the proposed effort to the research areas described above. Briefly summarize the literature if available. Describe how the proposed effort will result in a new contribution to the field.
- Scope and Technical Approach, describing how the offeror will achieve the project objective. If involving interviews or informants, clearly state the purpose.
- Qualifications of both the investigator(s) and the institution to manage the project
- Deliverables and Timeline. It is understood that the timeline is dependent on the date of award. If the proposed effort is for multiple years, the offeror should distinguish year 1 tasks and timeline from the out-years.

c) A brief one to two (1-2) page Biography of the principal investigator (PI) should highlight his or her academic and/or professional qualifications, state current title(s) and affiliations(s), and include relevant publications.

d) Cost Estimate – Cost information is needed in the White Paper, although not at the level of detail as required with the Full Proposal. White paper submissions shall include a **realistic** cost summary, not to exceed one (1) page, showing requested funding across all major categories (e.g., Labor, Travel, Other Direct Costs, Indirect). If the offeror is proposing a multi-year effort, the cost summary shall be segregated by year 1, year 2, and so on.

FULL PROPOSALS

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

Full Proposal Format:

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single-spaced
- Number of Pages Permitted in the Technical Proposal (Volume 1)
– No more than 15 pages, excluding Cover Page, Table of Contents, Executive Summary, and Biographical Information
- Number of Pages Permitted in the Cost Proposal (Volume 2) – No more than 7 pages, excluding supporting documentation

Full Proposal Content:

Volume 1: Technical Proposal

- a) Cover Page – This one (1) page section should include the following information:
 - “TECHNICAL PROPOSAL”
 - “BAA Number (NPS-BAA-13-002)”
 - “Research Opportunity: Project on Advanced Systems and Concepts for Countering WMD”
 - Title of Proposal
 - Identity of the Prime Offeror institution
 - List of Sub-award Institutions, if applicable
 - Technical Contact (name, address, phone/fax, e-mail address)
 - Administrative Contact (name, address, phone/fax, e-mail address)
 - Proposed Period of performance. Assume that performance will start no earlier than three (3) months after the date the Full Proposal is submitted.
- b) Table of Contents

- c) Executive Summary
- d) Statement of Work - A Statement of Work (SOW) clearly detailing the scope and objectives of the effort and the technical approach. This section can combine relevant and/or adjusted sections of the White Paper such as the Project Objective, Background, Scope and Technical Approach.

If the SOW is proposing a conference, symposium, workshop, or strategic dialogue as a part of the research methodology, the SOW must describe the need for such a gathering and how the meeting results are expected to support the project objective.

Conference expenses paid by grantees from federal grants are exempt from U.S. Government conference approval guidance per the OMB Memo May 2012, see page 3, footnote 5 at <http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-12.pdf>

- e) Project Schedule and Milestones – In table format, outline the major milestones and expected delivery dates.
- f) Reports to be Produced
- g) Management Approach – A discussion of the overall approach to the management of this effort, including brief discussions of the institution and its project management capabilities; use of personnel; project/function/subcontractor/sub-recipient relationships; government research interfaces; and planning, scheduling and quality control practices. Identify which personnel and subcontractors/sub-recipients (if any) will be involved.
- h) Statement of Research Status – Concise statement that 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. Offerors should also state whether applicants (the PIs) have received prior awards through PASCC, and if so, gives the status of all deliverables for those awards.
- i) Current and Pending Project and Proposal Submissions – For any related project or proposal that is current or pending, offerors shall provide the following information:

Concurrent submission of a proposal to other organizations will not prejudice its review by NPS. For each proposal, include the following:

- Title of Proposal
- One (1) paragraph summary
- Source / Sponsor
- Amount of funding (annual direct costs; provide contract and/or grant numbers for current contracts/grants)
- Technical contact (name, address, phone/fax, e-mail address)
- Administrative/business contact (name, address, phone/fax, e-mail address)
- Period of performance
- 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
- Statement of how the project is related to the proposed effort and degree of overlap.

The information must be provided for all related 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.

- j) Principal Investigator (PI) Biography – A one to two (1-2) page biography of the PI should highlight his or her academic and/or professional qualifications, state current title(s) and affiliations(s), and include relevant publications. The offeror may also include biographies for additional key project personnel.

Volume 2: Cost Proposal

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/>. 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 is a narrative explaining and justifying the budget figures in detail. It must include all figures, calculations, and supporting documentation for determining cost allowability, allocability and reasonableness. Justifications for costs must be explicitly stated.

The Cost Proposal must include the following:

- a) Direct Labor - Individual labor categories or persons, with associated labor hours and unburdened direct labor rates. If the proposal is for multiple years, provide escalation rates for out years.

Provide fringe benefit rates and supporting documentation to substantiate these rates.

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.

- b) 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.

Travel estimates and the resultant costs claimed must conform to the applicable Federal cost principles.

- c) Participant Support Costs – applicable only if the technical approach includes a conference, symposium, workshop, or strategic dialogue meeting. Include the costs of transportation, per diem, stipends, and other related costs for invited participants.

If the information is known, include a tentative agenda and roster of participants by organizational affiliation. Clearly mark those participants that are U.S. Government. **Funds provided cannot be used for payment to any Federal Government employee for support, subsistence, or services in connection with participation at a meeting sponsored through this award.**

Include the cost of the meeting venue. 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 past venue invoices, quotes, or other supporting documentation if available.

If honoraria will be offered to workshop participants, provide the unit cost and expected number of honoraria. Government participants are precluded from receiving honoraria.

In general, federal funds are not to be used for the provision of food or beverages at a conference, workshop or symposium. However, any offeror who wishes to include a food or beverage element must explain within the proposal why provision of these items would qualify as a necessary and allowable expense under the relevant OMB cost principles. Meals and refreshments can be paid with federal funds if they are essential to keeping workshop participants together during a condensed schedule and the meals are working sessions.

- d) Other Direct Costs – the cost proposal must include a description of the following costs, if applicable, and an itemized list of any other costs not mentioned here:
- Sub-awards – Sub-awards should be utilized only when the awardee deems them absolutely necessary for achieving the project objective. 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. 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 and supplies – Provide an itemized list of all proposed materials and supplies including quantities and unit prices.
 - Equipment or Facilities - 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. 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. Facility costs should be supported by documentation on leased space or the like.
- e) Indirect Costs (i.e., F&A, Overhead, G&A, etc) - If the rates have been approved/negotiated by a Government agency, provide a copy of the memorandum/agreement. A Negotiated Indirect Cost Rate Agreement (NICRA) may be required in order for an awardee to invoice for indirect costs. If the offeror does not currently hold a NICRA, describe the current status of the organization's request for such an agreement with a cognizant agency.

NOTE: The 2010 National Defense Authorization Act (NDAA) provided for an Indirect Cost Cap of 35% for all 6.1 funded awards; future appropriations may do the same, and if they do, this will be stipulated in any award document. It is not expected that awards issued under this BAA will include a cap on indirect costs, but NPS reserves the right to do so if it is required by new appropriations.

- f) Fee/Profit - Fee/profit is unallowable under assistance agreements at either the prime or sub-award level but may be permitted on contracts as well as on subcontracts issued by the prime awardee.
4. Significant Dates and Times: This announcement will remain open until 5:00 p.m. (PDST), 31 Mar 2014. White papers and proposals will be accepted throughout the open period of NPS-BAA-13-002; however, all funds may be committed based on the following schedule. This announcement will remain open until 31 Mar 2014 or until replaced by a successor BAA, whichever first occurs.

Event	Date
White Paper Submission Date	14 Jun 2013
Notification of White Paper Evaluation	16 Aug 2013
Full Proposal Submission Date	30 Sep 2013

From time to time, Special Opportunity Notices soliciting program-specific research proposals may be posted to www.grants.gov, if needed. Each Special Opportunity Notice will provide a description of the specific research effort being solicited, the application process to be used, as well as the recommended dates for submission of proposals.

5. Submission of Full Proposals via Grants.gov Website (www.grants.gov):

All Grant and Cooperative Agreement Full 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 System of Award Management (SAM), 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 a 'MPIN' are important steps in the SAM registration process. Applicants, who are not registered with the SAM 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-13-002, 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 the 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 SAM for the offeror organization and should contain the Organization and individual’s name, address, telephone number, and e-mail 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 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 requests 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 the Grants Specialist. Foreign Grantees who are not registered in SAM may request a waiver on that basis since SAM 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: NPS employs a merit-based selection process that encourages innovative and high-quality proposal submission from a broad array of applicants. Award decisions will be based upon a competitive selection of proposals resulting from a scientific and cost review. Evaluations will be conducted using the following evaluation criteria:
 - a) Anticipated contributions of the effort to PASCC FY14 Program of Scholarly Investigations (Section 1 Item 6).
 - b) Overall quality, rigor, and technical merits of the proposed effort.
 - c) The offeror's innovative capabilities and/or techniques, which are integral factors for achieving the proposed objectives.
 - d) The qualifications, capabilities, and experience of the proposed Principal Investigator, Team Leader, or other Key personnel who are critical to achievement of the proposed objectives and must commit time and attention to ensure success of the project.
 - e) Relevance to U.S. Government interests and the promotion of knowledge and understanding of national security issues.
 - f) Reasonableness of the cost proposal.

If a significant portion of the proposed effort is dedicated to a conference, workshop, symposium, or strategic dialogue, the effort will be further evaluated as to how the planned event is a research method.

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. A PASCC Proposal Review Committee will perform the evaluation of White Paper Technical Concepts and Full Proposal Technical Proposals. Cost Proposals will be evaluated by Government business professionals.

VI. AWARD ADMINISTRATIVE INFORMATION

1. Administrative Requirements:
 - The North American Industry Classification System (NAICS) code for this announcement is 541720 with a small business size standard of \$7.0M.
 - System of Award Management - All offerors submitting proposals or applications must: (a) be registered in the System of Award

Management (SAM) prior to submission; (b) maintain an active SAM 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 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/Assurances:

- 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).

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"; An electronic copy of OMB regulations may be found at: <http://www.whitehouse.gov/OMB/grants>
- Department of Defense Grant and Agreement Regulations (DoDGARS 3210.6-R); An electronic copy of DoDGARS may be found at <http://www.dtic.mil/whs/directives/corres/html/321006r.htm>
- 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."

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 proposals which of these facilities are critical for the project's success.
2. Security Classification: 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 Human Subjects in Research: 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 monitor. This documentation shall be submitted to the NPS Institutional Review Board Administrator via NPS Grant Support at baa@nps.edu.
4. Organizational Conflict of Interest: All offerors and proposed sub-awardees must affirm whether they are providing scientific, engineering, and technical assistance (SETA) or similar support to any NPS entity 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.

5. Protection of Proprietary and Sensitive Information: The parties acknowledge that, during performance of the award 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 it 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 Defense policies, cost and operating expense, technical data and trade secrets, proposed Defense budgetary information, and acquisition planning or acquisition actions, obtained either directly or indirectly as a result of the effort performed on behalf of DoD. 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 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 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 a signed a non-disclosure agreement with its employer (on record); and, Government will ensure that the contractor employer, likewise, has a

signed 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. Acknowledgement of Naval Postgraduate School (NPS) Support: NPS's full or partial support must be acknowledged in journal articles, books, oral or poster presentations, news releases, interviews with reporters, and other communications deriving from work supported under this BAA. As a courtesy, one (1) electronic or 3 (3) print copies of these documents should be sent to the PASC Technical POC. Aside from deliverables specified in the SOW, any documents, including World Wide Web content, developed under an award agreement resulting from this BAA and 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] results from research supported by Assistance Grant/Agreement No.____of the Naval Postgraduate School (NPS) Center on Contemporary Conflict's Project on Advanced Systems and Concepts for Countering Weapons of Mass Destruction (PASC). 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 representing the official policies or views of NPS, the Department of the Navy or Department of Defense, or as official endorsement of any products or commercial services mentioned herein."