



BROAD AGENCY ANNOUNCEMENT (BAA)

RESEARCH ON EDGE ORGANIZATIONS IN THE CONTEXT OF NETWORK-CENTRIC OPERATIONS

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. Interested parties are responsible to check GRANTS.GOV website located at <http://www.grants.gov> for possible amendments to this BAA.

The Naval Postgraduate School (NPS) and the Contracting Office (Fleet and Industrial Supply Center-San Diego (FISC-SD)) will not issue paper copies of this announcement. The NPS reserves the right to select for award all some or none of the proposals in response to this announcement. The NPS reserves the right to fund all, some or none of the proposals received under this BAA. NPS provides no funding 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 FISC-SD 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 -

Edge Organizations in the Context of Network-Centric Operations

3. Program Name -

Not Applicable (N/A)

4. Research Opportunity Number –

BAA-09-001

5. Response Date –

This announcement will remain open until 28 February 2010 or until replaced by successor BAA. Proposals may be submitted at any time during this period.

6. Research Opportunity Description -

The Naval Postgraduate School (NPS) has established and currently manages the Center for Edge Power to conduct research and educational activities proposed on behalf of the OASD (NII)/DoD CIO. The Edge Center focuses on research pertaining to Defense command, control and organization in general and on Edge Organizations in the context of Network Centric Operations in particular. The research will be performed by faculty and students at NPS and other top-tier research institutions, and it will be integrated into a coherent research stream. This research opportunity description outlines five research areas of interest:

- Research Area A – Hypothesis Testing of Edge Organizations. Research in this area seeks to employ tools, methods, and metrics related to network-centric / power to the edge concepts (including agility) to various theories of organization (including computational organization theory) to test hypotheses pertaining to Edge organizations. Building upon an accumulating stream of research along these lines, various conceptual models of alternate organizational forms (e.g., Hierarchy, Edge) have been evaluated and critiqued in the contemporary C2 domain. Performance metrics are being developed and used to test Edge Organization hypotheses via computational models, laboratory experiments and fieldwork. Hypotheses of particular interest include those pertaining to the comparative appropriateness of Edge versus other organizational forms for different mission-environmental contexts. A campaign of experimentation in this research area is developing new contingency theory to help Defense leaders and policy makers to align organizations with missions more effectively, and it seeks to develop a representative catalog of diverse organizational forms and missions that each fits best.
- Research Area B – Near-Optimizing Knowledge and Power Flows. Research in this area seeks to understand how flows of knowledge can enable and enhance flows of power to the edges of organizations. Building upon an accumulating stream of research along these lines, theory-driven models of knowledge and power flows are being used to complement models of workflows and information flows in Edge, Hierarchy, and other Defense organizations in the C2 domain. Models of individual and organizational learning and forgetting are being developed and analyzed in the context of knowledge inventory, and policy

decisions associated with just-in-time versus just-in-case learning are being examined. A campaign of experimentation in this research area is developing new management theory to help military leaders and policy makers to facilitate, enhance, measure, and ultimately optimize knowledge and power flows.

- Research Area C – Infrastructure Enhancement. Research in this area seeks to develop appropriate tools to create virtual environments, and to explore flows of knowledge, trust and power through diverse organizations in a variety of mission-environmental contexts. Building upon an accumulating stream of research along these lines, a prototype implementation called POW-ER (Projects, Organizations and Work for Edge Research) is being developed to represent the structures and to emulate the behaviors of various organizations and missions in the C2 domain. This prototype has reached a point of beta testing and documentation, and it is planned for unrestricted release to and use within the US Department of Defense. The implementation provides computational infrastructure to the other research areas, and the other research areas provide theoretical and empirical relationships and behaviors for incorporation into the implementation. Additional infrastructure developments and enhancements to support Edge research and development are welcome.
- Research Area D – Exploring and Exploiting Intercultural Knowledge Flows and Organizational Forms. Research in this area seeks to understand how cultural differences and institutional factors affect Edge and other organizational forms where knowledge flows are important. The relationships between knowledge flows (and transfers) and conditions related to the enablers or impediments of these flows (including trust) are being investigated also. The organizations and institutions literatures are being used to examine how various organizational forms accommodate and exacerbate cultural and institutional differences (e.g., across military services, coalition partners, non-government organizations, insurgent and terrorist groups). This work also draws from emerging knowledge-flow theory to examine intercultural, inter-organizational knowledge work as a balance between exploration (i.e., knowledge flows associated with organizational learning) and exploitation (i.e., workflows associated with organizational doing) within the perspective of organizational field. A campaign of experimentation in this research area is developing new management theory to help military leaders and policy makers to learn how different institutional factors and knowledge dynamics affect power and performance in Edge and other kinds of organizations.
- Research Area E – Emerging Research. Research in this area seeks to promote emerging C2 research that may not be described well within the four areas above, and to catalyze innovation further beyond the innovative areas under investigation currently.

Evidence of Progress/Deliverables: In accordance with the Code of Best Practice for C2 analysis, participants in each Research Area above are expected to demonstrate evidence of progress in the case of grants, or deliverables in the case of contracts, via the following: a) journal-quality papers (i.e., one describing each project) submitted

to the 2009 Command & Control Research & Technology Symposium or International Command & Control Research & Technology Symposium; b) refinement of conference papers into academic journal articles submitted for publication; c) participation in two Edge Research Workshops (e.g., one in the summer, one in the winter; generally one or two days in length) in California; and d) data rights, software, and documentation for any software developed using these funds.

7. Point(s) of Contact –

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

Dr. Mark Nissen
Director, Center for Edge Power
Department of Information Sciences
Graduate School of Information and Operational Sciences
Naval Postgraduate School
Code IS/Nissen
1411 Cunningham Road, Room GW2006
E-mail: MNissen@nps.edu

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

Janet Norton
Contract and Grant Officer
FISC San Diego
Seal Beach Detachment
Code: 230
800 Seal Beach Blvd., B-239
Seal Beach, CA 90740-5000
E-mail: janet.norton@navy.mil

Dottie Smith
Contract and Grant Support
Research and Sponsored Program Office
Naval Postgraduate School
Code 91
Halligan Hall, Bldg. 234
Monterey, CA 93943-5138
E-mail: baa@nps.edu

NOTE: All questions shall be submitted in writing by electronic mail (e-mail).
Questions presented by telephone call, fax message, or other means will not receive a response.

8. Instrument Type(s) -

Awards may take the form of contracts, grants and cooperative agreements, as appropriate.

9. Catalog of Federal Domestic Assistance (CFDA) Number(s) -

CFDA Number: 12.300

10. Catalog of Federal Domestic Assistance (CFDA) Title(s) -

CFDA Title: Department of Defense (DoD) Basic and Applied Scientific Research

11. Other Information -

This program is targeted in particular toward experienced university professors working with PhD students. Contracts, grants and cooperative agreements awarded under this BAA are for scientific study and experimentation directed towards advancing the state-of-the-art or increasing knowledge or understanding.

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

II. AWARD INFORMATION

The Government anticipates making multiple awards throughout this announcement. The total amount of funding available is \$600,000. Anticipated range of individual awards is from \$50,000 to \$200,000. The amount and period of performance of each selected proposal will vary depending upon the technical approach to be pursued by the selected offeror.

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.

IV. APPLICATION AND SUBMISSION INFORMATION

1. Application and Submission Process -

Offerors are expected to submit a white paper in advance of a full proposal. A full proposal should be sent only if invited formally after review of the white paper.

Full Proposals will not be considered under this BAA unless a white paper was submitted.

2. Content and Format of White papers/Full Proposals –

The Government's initial evaluation of the white papers should give Offerors some indication of whether a Full Proposal would likely result in an award. Initial evaluations of the white papers will be issued via e-mail notification from the NPS Technical Point-of-Contact. Submission of detailed/full technical and cost proposals will be encouraged subsequently from those Offerors whose proposed technologies have been identified through the above-referenced e-mail as being of "particular value" to the Department of Defense. However, any such encouragement does not assure a subsequent award.

The Proposals submitted under this BAA are expected to be unclassified. However, confidential/classified proposals are permitted. If a classified proposal is submitted, the resultant contract will be unclassified. Unclassified proposals should be addressed to the technical point-of-contact. Information regarding submission of classified proposals will be provided to the offeror at the time a full proposal is invited.

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

IMPORTANT NOTE: 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 BAA.

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 and resumes). White papers exceeding the page limit may not be evaluated.
- Copies – one (1) original, two (2) paper copies, and one electronic copy on a CD-ROM (in Microsoft Word or Excel 97 compatible or .PDF format) and as e-mail attachment directly to the cognizant Technical Officer, e-mail: MNissen@nps.edu.

White Paper Content

- Cover Page – The Cover Page shall be labeled "WHITE PAPER", and shall include the BAA number, proposed title, Offeror's administrative and technical points of contact, with telephone numbers, facsimile numbers, and

Email addresses, and shall be signed by an authorized officer.

Narrative should include:

- Motivation of problem to be solved
- 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 PhD students proposed to be involved in the project.
- Preliminary Schedule.
- Rough Cost Estimate.

Full Proposal Format – Volume 1 - Technical and Volume 2 - Cost Proposal

- 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:
Volume 1 is limited to no more than 30 pages, including indexes/foldouts./photographs/appendices.

Volume 2 is limited to no more than 30 pages also.

The cover page, table of contents, and resumes are excluded from the page limitations. Full Proposals exceeding the page limit may not be evaluated. Copies – one (1) original, two (2) paper copies, and one electronic copy on a CD-ROM (in Microsoft Word or Excel 97 compatible or .PDF format) and as e-mail attachment to the Technical Officer, e-mail: MNissen@nps.edu.

If a grant or cooperative agreement is sought, the full proposal shall be submitted electronically on a Standard Form 424 (R&R) at <http://www.grants.gov> as delineated below. Contracts may be submitted via hard copy directly to the cognizant Technical Officer, mailing address specified in paragraph 7.

Full Proposal Content

VOLUME 1: Technical Proposal

- **Cover Page**: This should include the words “Technical Proposal” and the following:
 - 1) BAA number;
 - 2) Title of Proposal;
 - 3) Identity of prime Offeror and complete list of subcontractors, if applicable;

- 4) Technical contact (name, address, phone/fax, electronic mail address)
- 5) Administrative/business contact (name, address, phone/fax, electronic mail address) and;
- 6) Duration of effort (differentiate basic effort and any proposed options)

- **Table of Contents:** This should address the contents of the proposal, generally by section.
 - **Executive Summary:** Provide a concise (approximately 200 words) abstract/summary of the proposed research effort.
 - **Statement of Work:** A Statement of Work (SOW) detailing clearly the scope and objectives of the effort and the technical approach. Include a detailed listing of the technical tasks/subtasks organized by month. Appropriate references to the scientific literature should be cited. 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 contract or agreement award. **This section should not exceed twenty (20) pages.**
 - **Project Schedule and Milestones:** A summary of the schedule of events and milestones.
 - **Assertion of Data Rights and/or Rights in Computer Software:** For a contract award an Offeror may provide with its proposal assertions to restrict use, release or disclosure of data and/or computer software that will be provided in the course of contract performance. The rules governing these assertions are prescribed in Defense Federal Acquisition Regulation Supplement (DFARS) clauses 252.227-7013, -7014 and -7017. These clauses may be accessed at the following web address:

<http://farsite.hill.af.mil/VDFDARA.HTM>
- The Government may challenge assertions that are provided in improper format or that do not properly acknowledge earlier federal funding of related research by the Offeror.
- **Evidence of progress: Applicable for grants or cooperative agreements only; this does not apply to contract instruments.** A detailed description of the results and evidence of progress expected through the grant inclusive of the timeframe in which it will be delivered.
 - **Deliverables: Applicable for contracts only; this does not apply to grant instruments.** A detailed description of the results and products to be delivered inclusive of the timeframe in which it will be delivered.
 - **Qualifications:** A discussion of previous accomplishments and work in this, or closely related, areas, and the qualifications of the investigators. Biographical information of the principal investigator(s) and PhD students/assistants shall

be attached to the proposal, and will not count toward the page limitations. Include a description of involvement in other research projects currently undertaken by the applicant, whether or not acting as a principal investigator, lists of his/her publications, professional activities (e.g. organizing and/or serving on a program committee, conferences/workshops; publications/proposals reviewed or served as a consultant; patents; honors; awards and other accomplishments.

- **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.

VOLUME 2: Cost Proposal

INSTRUCTIONS FOR CONTRACTS

Detailed instructions, entitled “Instructions for Preparing Cost Proposals for Contracts”, including a sample template for preparing costs proposal and agreements is in Attachment 1 of this BAA.

The Cost Proposal shall consist of a cover page and two parts, Part 1 will provide a detailed cost breakdown of all costs by cost category by calendar or Government fiscal year and Part 2 will provide a cost breakdown by task/sub-task corresponding to the task numbers in the proposed Statement of Work. Options must be separately priced.

Cover Page: The use of the SF 1411 is optional. The words “Cost Proposal” should appear on the cover page in addition to the following information:

- BAA number
- Title of Proposal
- Identity of prime Offeror and complete list of subcontractors, if applicable
- Technical contact (name, address, phone/fax, electronic mail address)
- Administrative/business contact (name, address, phone/fax, electronic mail address)
- Duration of effort (separately identify basic effort and any proposed options)

Part 1: Detailed breakdown of all costs by cost category by calendar or Government fiscal year:

- **Direct Labor** – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates or percentage of effort or total man-years. Provide escalation rates for out years if applicable.

- Indirect Costs – Fringe Benefits, Overhead, F&A, G&A etc. and their applicable allocation bases. If composite rates are used, provide the calculations used in deriving the composite rates.
- Travel – Provide a breakout of travel costs including the purpose and number of trips, origin and destinations(s), duration, travelers per trip, and the airfare, hotel, per diem, car rental costs, etc. for each trip. Or a basis for estimate, i.e., based on previous efforts, based on past experience, etc.
- Subcontracts - Cost proposal as detailed as the recipient's cost proposal will be required to be submitted by the subcontractor. The subcontractor's cost proposal can be provided in a sealed envelope with the Offeror's cost proposal or may be sent directly to the Government. Subcontractor proposals must be received and reviewed prior to award. The prime contractor should perform and provide cost/price analysis of each subcontractor's cost proposal.*
 ***Note:** DoD Federal Acquisition Regulation provision 252.215-7003 (48 CFR §252.215-7003) is incorporated into this BAA by reference. The offeror is to exclude excessive pass-through charges from subcontractors. The offeror must identify in its proposal the percentage of effort it intends to perform and the percentage to be performed by each its proposed subcontractors. If more than 70 percent of the total effort will be formed through subcontractors, the offeror must include the additional information required by the above-cited clause.
- Consultants – Provide a breakdown of the consultant's hours, the hourly rate proposed, any other proposed consultant costs and a copy of the signed Consulting Agreement or other documentation supporting consultant cost, and a copy of the consultant's proposed statement of work if it is not already separately identified in the prime contractor's proposal.
- 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., quotes, prior purchases, catalog price lists).
- Contractor Acquired Equipment or Facilities – Equipment and/or facilities are normally furnished by the Contractor. 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 for the estimate (e.g., quotes, prior purchases, catalog price lists).
- Other Direct Costs – Provide an itemized list of all other proposed other direct costs and the basis for the estimate (e.g. quotes, prior purchases, catalog price lists).
- Options – The Base Period of Performance and Option Periods must be priced at the submission of the proposal. Any proposal containing unpriced options will not be included in the contract.
- Fee/Profit (Contract Proposals Only) – Profit or fee is not allowed on direct costs for facilities or in cost-sharing contracts.

Note: Indicate if you have an approved Purchasing/Estimating System and/or describe the process used to determine the basis of reasonableness (e.g., competition, market research, best value analysis) for subcontractors, consultants, materials, supplies, equipment/facilities, and other direct costs.

Part 2: Cost breakdown by task/sub-task using the same task numbers in the Statement of Work. When options are contemplated, options must be separately identified and priced by task/subtask.

INSTRUCTIONS FOR GRANTS AND COOPERATIVE AGREEMENTS

The offeror must use the Grants.Gov forms from the application package template associated with the BAA on the Grants.Gov web site located at <http://www.grants.gov/> Elements of the budget should include:

- Direct Labor – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates or percentage of effort or total man-years. Provide escalation rates for out years. Justify in Field K
- Indirect Costs – Fringe Benefits, Overhead, F&A, G&A etc. and their applicable allocation bases. If composite rates are used, provide the calculations used in deriving the composite rates. Justify in Field K.
- Travel – Provide a breakout of travel costs including the purpose and number of trips, origin and destinations(s), duration, travelers per trip, and the airfare, hotel, per diem, car rental costs, etc. for each trip. Or a basis for estimate, i.e., based on previous efforts, based on past experience, etc. Justify in Field K.
- Subawards - Cost proposal as detailed as the recipient's cost proposal will be required to be submitted by the subrecipient. The subawardee's or subrecipient's cost proposal can be provided in a sealed envelope with the recipient's cost proposal or may be sent directly to the Government. Subawardee proposals must be received and reviewed prior to award.
- Consultants – Provide a breakdown of the consultant's hours, the hourly rate proposed, any other proposed consultant costs and a copy of the consultant's proposed statement of work if it is not already separately identified in the prime recipient's proposal. Strong justification must be provided, and consultants are to be used only under exceptional circumstances where no equivalent expertise can be found at a participating university. Justify in Field K.
- 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., quotes, prior purchases, catalog price lists). Justify in Field K.
- 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 for the estimate (e.g., quotes, prior purchases, catalog price lists). For computer/laptop purchases include a statement indicating the computer/laptop will be integrated into the program or used as an integral part of the research effort. Justify in Field K.
- 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, and the basis for the estimates (e.g., quotes, prior purchases, catalog price lists). Justify in Field K.

NOTE: If the grant proposal is for a conference, workshop, or symposium, funding from the Government will not be used for "food or beverages."

- Options – The Base Period of Performance and Option Periods must be priced at the submission of the proposal. Any proposal containing unpriced options will not be included in the award.
- Fee/Profit - Fee/profit is unallowable.

3. Significant Dates and Times –

This announcement will remain open until 28 February 2010 or until replaced by a successor BAA. Proposals may be submitted any time during this period.

4. Submission of Late Proposals –

Not Applicable (N/A)

5. Submission of Grant Proposals through Grants.gov (NOT APPLICABLE TO PROPOSALS FOR CONTRACTS)

The proposal submission process is in two stages. Prospective proposers are encouraged to submit white papers. The reason for requesting white papers is to minimize the labor and cost associated with the production of detailed full proposals that have very little chance of being selected for funding. Based on an assessment of the white papers, the Technical Officer will provide informal feedback to the proposer to encourage or discourage them to submit full proposals. White papers arriving after the deadline may not receive, and therefore may not benefit from, the informal feedback. However, all full proposals submitted under the terms and conditions cited in the BAA will be reviewed regardless of the feedback on, or lack of, a white paper.

Where to Submit:

Grant and cooperative agreement proposals shall be submitted through Grants.gov or by hard copy. Regardless of whether Grants.gov is used or “hardcopy” submission, the offeror must use the Grants.gov forms from the application package template associated with the BAA on the Grants.gov website. White Papers should not be submitted through Grants.gov process. White shall be submitted in hard or soft copy directly to the Technical Officer. White paper submissions may be mailed, faxed, or emailed directly to the Technical Officer, email: MNissen@nps.edu. For mailing address see paragraph 7.

Registration Requirements for Grants.gov: There are several one-time actions you must complete in order to submit an application through Grants.gov (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the Central Contract Registry (CCR), register with the credential provider, and register 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. Applicants, who are not registered with CCR and Grants.gov, should allow at least 21 days to

complete these requirements. It is suggested that the process be started as soon as possible.

Questions: 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.

Grants.gov Full Proposal Submission: Contents and Format of Applications

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." Enter the CFDA # 12.300 and the funding opportunity number (NPS BAA 09-001), designated as "Research Opportunity Number" on page two of this announcement.

Content and Form of Application – SF 424 (R&R)

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 below. **Files that are attached to the forms must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement.**

Complete this 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).

6. Address for the Submission of Hard Copy White papers and Full Proposals.

Hard copies of White papers (Contracts, Grants, and Cooperative Agreements) and Full proposals for Contracts should be sent to the address listed below:

Naval Postgraduate School
Research and Sponsored Programs Office
ATTN: Code 91 (Contracts and Grants Support)
Reference: NPS BAA-09-001
Halligan Hall, Building 222, 689 Dyer Road
Monterey, CA 93943-5138

NOTE: FULL PROPOSALS SENT BY FAX OR E-MAIL WILL NOT BE CONSIDERED UNLESS APPROVED IN ADVANCE BY THE COGNIZANT TECHNICAL OFFICER.

V. EVALUATION INFORMATION

1. Evaluation Criteria –

The following evaluation criteria apply to both the white papers and the Full Proposals. White papers will be evaluated using a reduced set of the evaluation criteria. Award decisions will be based on competitive selection of proposals through a peer and/or technical and scientific review and business decision process with technical and scientific

considerations being most important. Criteria 1 and 2 are of equal importance and more important than criterion 3. The sub-criteria listed under each particular criterion are of equal importance.

1. Overall scientific and technical merits of the proposal
 - a. Knowledge and familiarity with Edge organizations
 - b. Thoroughness, clarity and parsimony of the proposal
 - c. Feasibility of research design/technical concept
 - d. Potential impact of research results
 - e. Publication potential (leading journal) of research results

2. Offeror's capabilities, related experience, and past performance, including the qualifications, capabilities and experience of the proposed principal investigator and assistant personnel.
 - a. The quality of technical personnel proposed
 - b. The Offeror's experience in relevant efforts with similar resources
 - c. The ability to manage the proposed effort

3. The realism of the proposed cost

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

An Evaluation Team of government technical experts drawn from the Naval Postgraduate School Center of Edge Power, along with its sponsors and affiliates, will perform the evaluation of white papers and full proposals.

Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure in accordance with FAR 3.104-4 and 15.207.

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.
- CCR - Successful Offerors not already registered in the Central Contractor Registry (CCR) will be required to register in CCR prior to award of any grant, contract, cooperative agreement, or other transaction agreement. Information on CCR registration is available at <http://www.ccr.gov>
- Subcontracting Plans - Successful contract proposals that exceed \$550,000, submitted by all "but small business concerns", will be required to submit prior to

award a Small Business Subcontracting Plan in accordance with FAR 52.219-9, prior to award.

- Certifications – Proposals for contracts and assistance agreements should be accompanied by a completed certification package.

Contracts:

For contracts, in accordance with FAR 4.1201, prospective contractors shall complete and submit electronic annual representations and certifications at <http://orca.bpn.gov>. In addition to completing the Online Representations and Certifications Application (ORCA), proposals must be accompanied with a completed DFARS and contract specific representations and certifications.

Grants and Cooperative Agreements:

For 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 Blocks 18 and 19); the following certification applies to each applicant seeking federal assistance funds exceeding \$100,000:

CERTIFICATION REGARDING LOBBYING ACTIVITIES

(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.

2. Reporting

The following are samples of data deliverables that are typically required under a research effort:

- Technical and Financial Progress Reports
- Presentation Materials
- Final Report

Reports should indicate evidence of progress in accordance with the Code of Best Practice for C2 analysis. Awardees in each Research Area above are expected to demonstrate evidence of progress in the case of grants, or deliverables in the case of contracts, via the following: (a) journal-quality papers (i.e., one describing each project) submitted to the 2009 Command & Control Research & Technology Symposium or International Command & Control Research & Technology Symposium; (b) refinement of conference papers into academic journal articles submitted for publication; (c) participation in two Edge Research Workshops (e.g., one in the summer, one in the winter; generally one or two days in length) in California; and d) data rights, software, and documentation for any software developed using these funds.

VII. OTHER INFORMATION

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

Each proposer must provide a very specific description of any equipment/hardware that it needs to acquire to perform the work. This description should indicate whether or not each particular piece of equipment/hardware will be included as part of a deliverable item under the resulting award. Also, this description should identify the component, nomenclature, and configuration of the equipment/hardware that it proposes to purchase for this effort. The purchase on a direct reimbursement basis of special test equipment or other equipment that is not included in a deliverable item will be evaluated for allowability on a case-by-case basis. Maximum use of Government integration, test, and experiment facilities is encouraged in each of the Offeror's proposals.

Government research 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 the Center for Edge Power. 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

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.

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 ONR Animal/Human Use Administrator at (703) 696-4046.

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 informed consent form; IRB-approved research protocol; an executive summary of planned research (one-half to one page in length); proof of completed human research training (e.g., training certificate, institutional verification of training, etc.); an application for a DoD Navy Addendum to the Offeror's DHHS-issued Federal Wide Assurance (FWA) or the Offeror's DoD Navy Addendum number. The forms for assurance applications can be found at http://www.hhs.gov/ohrp/assurances/assurances_index.html/ 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. Note: research involving human subjects that is greater than minimal risk, administrative procedures to protect human subjects from medical expenses (not otherwise provided or reimbursed) that are the direct result of participation in a research project must be addressed.

4. Recombinant DNA

Proposal which 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 contract, grant, or other assistance 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

ATTACHMENT 1
CONTRACT COSTS ELEMENT PROPOSAL SUMMARY
(Note: This template is applicable only to Contract Proposal)

COST ELEMENT	BASE YEAR			OPTION YEAR(s)			TOTAL PROPOSED AMOUNT
	BASE	RATE	AMOUNT	BASE	RATE	AMT	
DIRECT LABOR (List each direct labor category separately)	Hrs	\$	\$	Hrs	\$	\$	\$
TOTAL DIRECT LABOR							
FRINGE BENEFITS	\$	%	\$	\$	%	\$	\$
TOTAL LABOR OVERHEAD	\$	%	\$	\$	%	\$	\$
SUBCONTRACTORS (List Separately)			\$			\$	\$
MATERIALS & EQUIPMENT						\$	\$
MATERIAL OVERHEAD	\$	%	\$	\$	%	\$	\$
TRAVEL			\$			\$	\$
ODCs			\$			\$	\$
G&A	\$	%	\$	\$	%	\$	\$
SUBTOTAL COSTS			\$			\$	\$
COST OF MONEY (See DD Form 1861)			\$			\$	\$
PROFIT/FEE			\$			\$	\$
TOTAL COST			\$			\$	\$
PROFIT/FEE	\$	%	\$	\$	%	\$	\$
TOTAL PRICE			\$			\$	\$
GOVERNMENT SHARE			\$			\$	\$
RECIPIENT SHARE			\$			\$	\$

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CONTRACT COSTS ELEMENT PROPOSAL SUMMARY
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SUBCONTRACTS

SUBCONTRACTOR NAME	SOW TASKS*	CONTRACT TYPE	SUBCONTRACTOR'S QUOTED PRICE	SUBCONTRACT PRICE PROPOSED BY PRIME
TOTALS				

*Identify Statement of Work, Milestone, or Work Breakdown Structure paragraph or provide a narrative explanation as an addendum to this Table that describes the effort to be performed.