The purpose of this Amendment 01 to NPS-BAA-12-001 is twofold:

1. Revise Section III. ELIGIBILITY INFORMATION to read as follows:

III. ELIGIBILITY INFORMATION

All responsible sources from U.S. academia (colleges and universities) may submit proposals under this BAA. In addition, academia from the British Commonwealth nations (Canada, Great Britain, Australia and New Zealand) may participate. All other foreign entities (including colleges and universities) are excluded from participating in 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.

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

The Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by Section 6202 of Public Law 110-252, requires that all agencies establish requirements for recipients reporting information on subawards and executive total compensation as codified in 2 CFR 33.110. Any company, non-profit agency or university that applies for financial assistance (either grants or cooperative agreements) as either a prime or sub-recipient under this BAA must provide information in its proposal that describes the necessary processes and systems in place to comply with the reporting requirements identified in 2 CFR 33.220. An entity is exempt from this requirement UNLESS in the preceding fiscal year it received: a) 80 percent or more of its annual gross revenue in Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; b) $25 million or more in annual gross revenue from Federal contracts (and subcontracts), loans, grants (and subgrants), and cooperative agreements; and c) the public does not have access to information about the
compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 or section 6104 of the Internal Revenue Code of 1986.

2. Revise Section IV, APPLICATION AND SUBMISSION INFORMATION to read as follows:

IV. APPLICATION AND SUBMISSION INFORMATION:

1. Application and Submission Process –

White Paper:

Prospective offerors are encouraged to submit white papers to 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.

Each white paper will be evaluated by the Government to determine whether the technology advancement proposed appears to be of particular value to the future of Measurement and Signatures Intelligence. Initial Government evaluations and feedback will be issued via e-mail notification from the Technical Point of Contact. The initial white paper appraisal is intended to give entities a sense of whether their concepts are likely to be funded.

For white papers that propose efforts that are considered of particular value to the National MASINT Office but either exceed available budgets or contain certain tasks or applications that are not desired, NMO 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 technology to maximize the benefit to the NMO. White papers should be submitted electronically to the program technical points of contact, Mr. David Trask, e-mail: dmtrask@nps.edu, with a courtesy copy (cc) to Dr. Peter Bythrow, e-mail: Peter.Bythrow@dia.mil. These white papers shall be in Microsoft Word or Adobe PDF format.

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 01 February 2012.**

**The planned date for completing the review of white papers is 08 March 2012.**

White papers submitted after 01 February 2012 will be reviewed and considered if additional funds become available to the NCMR program.

Full Proposals:

Detailed Full Proposals (Technical and Cost volumes) will be subsequently requested from those Offerors whose proposed technologies have been identified through the above referenced e-mail as being of “particular value” to the Government. However, any such encouragement 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 must be received no later than 04 April 2012.**

**Proposals submitted after 04 April 2012 will be reviewed and considered if additional funds become available to the NCMR program.**

The only acceptable method for submission of full proposals is via [http://www.grants.gov/](http://www.grants.gov/).
Notice of Navy selections based on full proposal submissions will be issued via e-mail.

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

White Papers and Full Proposals submitted under the BAA are expected to be unclassified.

Unclassified Proposal Instructions: Unclassified White Papers and Full Proposals shall be submitted in accordance with Section IV. Application and Submission Information.

Proposal submissions will be protected from unauthorized disclosure in accordance with FAR Subpart 15.207, applicable law, and DoD/DoN regulations. Offerors are expected to appropriately mark each page of their submission that contains proprietary information.

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 solicitation.

a. WHITE PAPERS

**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
- Max. Number of Pages permitted: 4 single-sided pages (excluding cover page, resumes, bibliographies, and table of contents)
- Copies - One (1) electronic copy in Adobe PDF or Word 2007 delivered via e-mail. Electronic (e-mail) submissions should be sent to the attention of the TPOC at: (E-mail Address of the TPOC, e.g. jane.doe@navy.mil). The subject line of the e-mail shall read *"NPS-BAA-12-001 White Paper Submission."*

**NOTE:** 1) Do not send .ZIP files; 2) Do not send password protected files.

In order to provide traceability and evidence of submission, Offerors may wish to use the "Delivery Receipt" option available from Microsoft Outlook and other e-mail programs that will automatically generate a response when the subject email is delivered to the recipient's email system. Consult the User's Manual for your email software for further details on this feature.

**White Paper Content**

- **Cover Page:** The Cover Page shall be labeled "WHITE PAPER", and shall include the BAA number: NPS- BAA-12-001, research opportunity: National Consortium for MASINT Research Program, Offeror's administrative and technical points of contact, with telephone numbers, facsimile numbers, and Internet addresses, and shall be signed by an authorized officer.

- **Technical Concept:**  (1) A description of the technology innovation and technical risk areas; (2) Relevance of the proposed effort to the research areas described in Section II; (3) Technical objective of the proposed effort; (4) Technical approach that will be pursued to meet the objective; (5) A summary of recent relevant technical breakthroughs. A resume of the principal investigator, not to exceed 1 page, should also be included after the 4-page body of the white paper.
• **Cost Estimate**: Cost information is needed, although not at the level of detail as required with the full proposal. White paper submissions shall include a cost summary showing requested funding per year. The cost summary (not to exceed one (1) page shall be segregated by task.

**Content and Format of Full Proposals**

Full proposals shall be submitted electronically on at [http://www.grants.gov](http://www.grants.gov) using the application template package associated with this BAA as delineated below.

**Full Proposal Format – Volume 1 – Technical 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 15 pages, including indexes/foldouts/photographs/appendices.

**Full Proposal Content**

**Volume 1: Technical Proposal**

- **Cover Page**: This should include the words "Technical Proposal" and the following:
  1. BAA number **NPS-BAA-12-001**;
  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;

- **Table of Contents**: An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.

- **Executive Summary**: Concise (approximately 200 words) abstract of the proposed research effort. The executive summary provides a brief overview of the proposed program goal, objectives, and expected results. The abstract must specifically describe how the principal purpose of the research effort supports or stimulates a public purpose and, if applicable, the substantial involvement by the government.

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

- **Statement of Work**: A Statement of Work (SOW) clearly detailing the scope and objectives of the effort and the technical approach. It is anticipated that the proposed SOW will be incorporated as an attachment to the resultant award instrument. To this end, such proposals must include a severable self-standing SOW without any proprietary restrictions, which can be attached to the agreement award. Include a detailed listing of the technical tasks/subtasks organized by year.

*For Basic Research, include a description of potential DoN/DoD relevance and contributions of the proposed effort to the NPS research mission.*
For Applied Research, include a description of the project objectives, the concept of operation for the new capabilities to be delivered, and the expected operational performance improvements.

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

• **Project Schedule and Milestones:** A summary of the schedule of events and milestones.

• **Reports:** The following are sample reports that are typically required under a research effort:
  - Technical and Financial Progress Reports
  - Presentation Materials
  - Final Report

• **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. Limit the number of pages for this section to 6.

• **Current and Pending Project and Proposal Submissions:** Offerors are required to provide information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing contracts, grants, and other assistance agreements. Offerors shall provide the following information of any related proposal submissions from whatever sources (e.g., NPS, Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations).

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

1) Title of Proposal and Summary;
2) Source and amount of funding (annual direct costs; provide contract and/or grant numbers for current contracts/grants);
3) Percentage effort devoted to each project;
4) Identity of prime Offeror and complete list of subcontractors, if applicable;
5) Technical contact (name, address, phone/fax, electronic mail address)
6) Administrative/business contact (name, address, phone/fax, electronic mail address);
7) Period of performance (differentiate basic effort);
8) The proposed project and all other projects or activities requiring a portion of time of the Principal Investigator and other senior personnel must be included, even if they receive no salary support from the project(s);
9) The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months or labor hours per year to be devoted to the project, regardless of source of support; and
10) State how projects are related to the proposed effort and indicate degree of overlap.
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/. Option periods are not allowed under this BAA. The Period of Performance will not exceed 12 months from effective date of award. Assume that performance will start no earlier than three (3) months after the date the cost proposal is submitted. A separate Adobe .pdf document should be included in the application that provides appropriate justification and/or supporting documentation for each element of cost proposed.

Part 1: The itemized budget must include the following:

- **Direct Labor** – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates. If proposal crosses fiscal years, then provide escalation rates for out years.

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

- **Fringe Benefits and Indirect Costs** (i.e., F&A, Overhead, G&A, etc) – The proposal should show the rates and calculation of the costs for each rate category. If the rates have been approved/negotiated by a Government agency, provide a copy of the memorandum/agreement. If the rates have not been approved/negotiated, provide sufficient detail to enable a determination of allowability, allocability and reasonableness of the allocation bases, and how the rates are calculated. Additional information may be requested, if needed. If composite rates are used, provide the calculations used in deriving the composite rates.

- **Travel** – The proposed travel cost should include the following for each trip: the purpose of the trip, origin and destination if known, approximate duration, the number of travelers, and the estimated cost per trip must be justified based on the organization’s historical average cost per trip or other reasonable basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principals.

- **Subawards** – Provide a description of the work to be performed by the subrecipients. For each subaward, a detailed cost proposal is required to be submitted by the subrecipient(s). The proposed subawardee’s or subrecipient’s cost proposal can be provided in a sealed envelope with the recipient’s cost proposal or via e-mail directly to both the Program Officer and the business point of contact at the same time the prime proposal is submitted. The e-mail should identify the proposal title, the prime Offeror and that the attached proposal is either a subcontract or a sub-agreement. A proposal and supporting documentation must be received and reviewed before the Government can complete its cost analysis of the proposal and enter negotiations. Fee/profit is not allowable on any subawards made through assistance agreements. Fee is allowable on subcontract awards.
• Consultants – Provide a breakdown of the consultant’s hours, the hourly rate proposed, any other proposed consultant costs, a copy of the signed Consulting Agreement or other documentation supporting the proposed consultant rate/cost, and a copy of the consultant’s proposed statement of work if it is not already separately identified in the prime Offeror’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).

• 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). Allowable items normally would be limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, office equipment and furnishings, etc.) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.

• Other Direct Costs – Provide an itemized list of all other proposed other direct costs such as Graduate Assistant tuition, laboratory fees, report and publication costs, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).

• Food and Beverage – In general, federal funds are not to be used for the provision of food or beverages at a conference, workshop or symposium and the proposal should include the following statement: “The funds provided by NPS will not be used for food or beverages.” Any proposer seeking funds for a conference, workshop or symposium grant who wishes to include a food or beverage element must explain in detail within the proposal why provision of these items would qualify as a necessary and allowable expense under the relevant OMB cost principles.

NOTE: The proposer should clarify whether its proposal should still be considered for funding if its request for food and beverage costs is not accepted by NPS.

• Fee/Profit - Fee/profit is unallowable under grants at either the prime or subaward level but may be permitted on any subcontracts issued by the prime awardee.

3. Significant Dates and Times:

This announcement will remain open until **5:00 p.m. (PDST), 31 December 2012**. White papers and proposals will be accepted throughout the open period of NPS-BAA-12-001; however, all funds may be committed based on the following schedule. This announcement will remain open until 31 December 2012 or until replaced by a successor BAA, whichever first occurs.
**Event** | **Date**  
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White Paper Submission Date | 01 February 2012  
Notification of White Paper Evaluation | 13 March 2012  
Full Proposal Submission Date | 04 April 2012  
Notification of Selection: Full Proposals | 02 May 2012  

**NOTE:** Questions regarding this Amendment 01 can be addressed to baa@nps.edu.