



BROAD AGENCY ANNOUNCEMENT (BAA)

“FY 12 FUNDING OPPORTUNITY FOR THE NATIONAL CONSORTIUM FOR MEASUREMENT AND SIGNATURE INTELLIGENCE (MASINT) RESEARCH PROGRAM”

INTRODUCTION

This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and the Department of Defense Grants and Agreements (DoDGARS) Subpart 22.315(a). A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued. Neither the Naval Postgraduate School (NPS) nor the Contracting Office (NAVSUP Fleet Logistics Center San Diego) will issue paper copies of this announcement. Interested parties are responsible to 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 for award all, some or none of the proposals in response to this announcement. 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 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:** National Consortium for MASINT Research Program
- 3. Program Name:** Not Applicable (N/A)
- 4. Funding Opportunity Number:** NPS–BAA-12-001
- 5. Response Date:** This announcement will remain open until 5:00 p.m. (PDST) 31 December 2012. Proposals received after this time will not be considered for award.
- 6. Topic Description:**

Measurement and Signature Intelligence (MASINT) is an intelligence Discipline that employs a broad range of scientific developments to gather foreign intelligence. MASINT oversight and direction is provided by the National MASINT Office (NMO). The National Consortium for MASINT Research (NCOMR) as the focal point for MASINT innovation provides cutting-edge MASINT research for the Intelligence Community (IC). A formal consortium of laboratories, academia, and industry forms the

core of the advanced MASINT Research and Development (R&D) program and creates a dynamic forum for diverse research partners to the benefit of MASINT. Through the NCMR, Defense Intelligence Agency (DIA) investments supported by Congress converge around the National Intelligence Priority Framework, sustaining the intellectual capital needed to continue technical advances in the IC. The current state of the NCMR follows.

Background

The FY04 Intelligence Authorization Act, Section 504, directed the Secretary of Defense to establish a means to leverage basic research at universities and laboratories, and in industry to develop new MASINT capabilities. In response to this Congressional directive, the DIA established the NCMR, the membership of which includes researchers from academia, industry, laboratories, and government. The NCMR charter, which is approved by the DIA General Counsel, addresses all legal aspects of the NCMR program, including membership, project selection, classification, and intellectual property.

Program

The NCMR program focuses on scientific and technological research to address the most pressing intelligence problems. That research enhances existing MASINT capabilities or introduces new ones. The Director of National Intelligence (DNI) has assigned certain mission areas to DIA MASINT. The NCMR will focus on these as well as other government agency issues in its mission to address national security. The program has a multifaceted approach of investing in intellectual building blocks (universities), emerging technologies (partnerships among universities, national laboratories, and industry), and human capital (scholarships and technical exchanges). These activities, in conjunction with technical oversight and guidance, provide an environment that enhances innovative resolution of complex intelligence problems. A team of independent subject matter experts advises the NCMR on research selection and reviews progress on the research. Yearly technical reviews and exchanges are convened to stimulate new ideas and to ensure the technical quality and relevance of the R&D being conducted.

Scholars Program

In the 2009-2010 Academic Year, the NCMR awarded 46 students \$10,000 scholarships at 23 universities in 17 states. The NCMR Scholars Program supports human capital initiatives by the National MASINT Management Office and the Office of the Director of National Intelligence; underwrites the training of future scientists and technologists to encourage them to consider the IC as a viable technical career path; and will become the basis for a reserve of technically skilled personnel whose individual and collective expertise can be called upon in time of need. The Scholars Program also works closely with the DIA and DNI intern programs. The NCMR awards grants for tuition, books, room and board to juniors and seniors nominated by university faculty who meet academic requirements, hold U.S. citizenship, and study in areas necessary to IC research. Scholars are expected to participate in the NCMR process at their institution.

Oversight

In addition to establishing the NCMR, the FY04 Intelligence Authorization Act directed the formation of the MASINT Technology Advisory Panel (MTAP), now chaired by the DIA's Acting Deputy Director for the NMMO. The MTAP consists of representation from national laboratories, universities, Federally Funded Research and Development Centers (FFRDCs), as well as Science and Technology (S&T) leadership throughout the MASINT Community. This representation includes but is not limited to the Associate Director of National Intelligence for S&T, the Director of Advanced S&T at the National Reconnaissance Office (NRO), the Deputy Director of the Intelligence Technology Innovation Center (ITIC), and the Chief Technical Officer (CTO) of the Central Intelligence Agency (CIA). The Panel advises DIA as to the direction of research, the programmatic process, and the program content of the NCMR efforts. They also advise on trends in IC R&D.

FY12 Program

Offerors are invited to present related work, on-going research activities and proposed future activities associated with the following areas:

- A. Remote assessment of missile performance characteristics such as location, thrust, throw weight, warhead accuracy, defensive capabilities, etc.
- B. Remote assessment and detection of weapons of mass destruction such as nuclear, biological, chemical and radiological weapons. This thrust area does not include improvised explosive devices utilizing standard explosives such as dynamite, TNT, C4, ANFO, etc.
- C. Remote assessment and detection of directed energy weapons. This would include all lasers that are primarily designed as weapons as well as high-powered microwave (HPM) and electromagnetic pulse (EMP) weapons.

Background:

Missiles (ref: NASIC-1031-0985-09 Ballistic and Cruise Missile Threat, 2010)
<http://www.fas.org/irp/threat/missile/naic/NASIC2009.pdf>

Many countries view ballistic and cruise missile systems as cost-effective weapons and symbols of national power. In addition, they present an asymmetric threat to US airpower. Many ballistic and cruise missiles are armed with weapons of mass destruction.

North Korea is continuing to develop the TD-2 that could reach the United States with a nuclear payload if developed as an ICBM. An intermediate-range ballistic missile (IRBM) and a new short-range, solid-propellant ballistic missile are also being developed.

Iran has modified its Shahab 3 medium-range ballistic missile (MRBM) to extend its range and effectiveness and is developing technologies and capabilities applicable to longer-range missiles. In 2008, it conducted a test launch of a two-stage solid-propellant MRBM. In late 2008 and early 2009, Iran launched multi-stage space launch vehicles (SLV) that can serve as a testbed for long-range ballistic missile technologies. With sufficient foreign assistance, Iran could develop and test an ICBM capable of reaching the United States by 2015.

China has the most active and diverse ballistic missile development program in the world. It is developing and testing offensive missiles, forming additional missile units, qualitatively upgrading certain missile systems, and developing methods to counter ballistic missile defenses. China's ballistic missile force is expanding in both size and types of missiles. New theater missiles continue to be deployed in the vicinity of Taiwan, while the ICBM force is adding the CSS-10 Mod 1 (DF-31) and CSS-10 Mod 2 (DF-31A) ICBMs. The new JL-2 submarine-launched ballistic missile (SLBM) is also under development. Future ICBMs probably will include some with multiple independently-targetable reentry vehicles, and the number of ICBM nuclear warheads capable of reaching the United States could expand to well over 100 within the next 15 years.

India and Pakistan continue to develop new short- and long-range ballistic missiles. Pakistan has tested its solid propellant Shaheen 2 MRBM six times since 2004 and India has tested its new solid-propellant Agni III IRBM three times since 2006. India has stated that the solid propellant Agni II MRBM is ready for deployment.

Russia still has over two thousand nuclear warheads deployed on ballistic missiles capable of reaching the United States. Although the size of the Russian strategic missile force is shrinking due to arms control limitations and resource constraints, development of new ICBM and SLBM systems is proceeding, and Russia is expected to retain the largest force of strategic ballistic missiles outside the United States.

Weapons of Mass Destruction (Ref: Terrorist CBRN: Materials and Effects, CIA)

https://www.cia.gov/library/reports/general-reports-1/terrorist_cbrn/terrorist_CBRN.htm#top

For the general purposes of national defense, ^[23] US Code ^[24] defines a weapon of mass destruction as:

- any weapon or device that is intended, or has the capability, to cause death or serious bodily injury to a significant number of people through the release, dissemination, or impact of:
 - toxic or poisonous chemicals or their precursors
 - a disease organism
 - radiation or radioactivity ^[25]

Chemical Agents

Terrorists have considered a wide range of toxic chemicals for attacks. Typical plots focus on poisoning foods or spreading the agent on surfaces to poison via skin contact, but some also include broader dissemination techniques.

Cyanides

Terrorists have considered using a number of toxic cyanide compounds.

Sodium or potassium cyanides are white-to-pale yellow salts that can be easily used to poison food or drinks. Cyanide salts can be disseminated as a contact poison when mixed with chemicals that enhance skin penetration, but may be detected since most people will notice if they touch wet or greasy surfaces contaminated with the mixture.

Hydrogen cyanide (HCN) and cyanogen chloride (CICN) are colorless-to-pale yellow liquids that will turn into a gas near room temperature. HCN has a characteristic odor of bitter almonds, and CICN has an acrid choking odor and causes burning pain in the victim's eyes. These signs may provide enough warning to enable evacuation or ventilation of the attack site before the agent reaches a lethal concentration.

- Both HCN and CICN need to be released at a high concentration—only practical in an enclosed area—to be effective, therefore, leaving the area or ventilating will significantly reduce the agent's lethality.

Exposure to cyanide may produce nausea, vomiting, palpitations, confusion, hyperventilation, anxiety, and vertigo that may progress to agitation, stupor, coma, and death. At high doses, cyanides cause immediate collapse. Medical treatments are available, but they need to be used immediately for severely exposed victims.

Mustard Agent

Mustard is a blister agent that poses a contact and vapor hazard. Its color ranges from clear to dark brown depending on purity, and it has a characteristic garliclike odor. Mustard is a viscous liquid at room temperature.

- Mustard is not commercially available, but its synthesis does not require significant expertise if a step-by-step procedure with diagrams is available.

Initial skin contact with mustard causes mild skin irritation, which develops into more severe yellow fluid-filled blisters. Inhalation of mustard damages the lungs, causes difficulty breathing, and death by suffocation in severe cases due to water in the lungs. For both skin contact and inhalation, symptoms appear within six to 24 hours. There are only limited medical treatments available for victims of mustard-agent poisoning.

Nerve Agents

Sarin, tabun, and VX are highly toxic military agents that disrupt a victim's nervous system by blocking the transmission of nerve signals.

- These agents are not commercially available, and their synthesis requires significant chemical expertise.

Exposure to nerve agents causes pinpoint pupils, salivation, and convulsions that can lead to death. Medical treatments are available, but they need to be used immediately for severely exposed victims.

Toxic Industrial Chemicals

There are a wide range of toxic industrial chemicals that—while not as toxic as cyanide, mustard, or nerve agents—can be used in much larger quantities to compensate for their lower toxicity.

Chlorine and phosgene are industrial chemicals that are transported in multiton shipments by road and rail. Rupturing the container can easily disseminate these gases. The effects of chlorine and phosgene are similar to those of mustard agent.

Organophosphate pesticides such as parathion are in the same chemical class as nerve agents. Although these pesticides are much less toxic, their effects and medical treatments are the same as for military-grade nerve agents.

Biological Agents

Anthrax

Bacillus anthracis, the bacterium that causes anthrax, is capable of causing mass casualties. Symptoms usually appear within one to six days after exposure and include fever, malaise, fatigue, and shortness of breath. The disease is usually fatal unless antibiotic treatment is started within hours of inhaling anthrax spores; however, it is not contagious. Few people are vaccinated against anthrax.

- Anthrax can be disseminated in an aerosol or used to contaminate food and water.
- Cutaneous anthrax can be caused by skin contact with *B. anthracis*. This form of the disease, which is easily treated with antibiotics, is rarely fatal.

Botulinum Toxin

Botulinum toxin is produced by the bacterium *Clostridium botulinum*, which occurs naturally in the soil. Crude but viable methods to produce small quantities of this lethal toxin have been found in terrorist training manuals.

- Symptoms usually occur 24 to 36 hours after exposure, but onset of illness may take several days if the toxin is present in low doses. They include vomiting, abdominal pain, muscular weakness, and visual disturbance.
- Botulinum toxin would be effective in small-scale poisonings or aerosol attacks in enclosed spaces, such as movie theaters. The toxin molecule is likely too large to penetrate intact skin.

Ricin

Ricin is a plant toxin that is 30 times more potent than the nerve agent VX by weight and is readily obtainable by extraction from common castor beans. There is no treatment for ricin poisoning after it has entered the bloodstream. Victims start to show symptoms within hours to days after exposure, depending on the dosage and route of administration.

- Terrorists have looked at delivering ricin in foods and as a contact poison, although we have no scientific data to indicate that ricin can penetrate intact skin.
- Ricin will remain stable in foods as long as they are not heated, and it will have few indicators because it does not have a strong taste and is off-white in color.

Radiological and Nuclear Devices

Radiological Dispersal Devices (RDD)

An RDD is a conventional bomb not a yield-producing nuclear device. RDDs are designed to disperse radioactive material to cause destruction, contamination, and injury from the radiation produced by the material. An RDD can be almost any size, defined only by the amount of radioactive material and explosives.

- A passive RDD is a system in which unshielded radioactive material is dispersed or placed manually at the target.
- An explosive RDD—often called a "dirty bomb"—is any system that uses the explosive force of detonation to disperse radioactive material. A simple explosive RDD consisting of a lead-shielded container—commonly called a "pig"—and a kilogram of explosive attached could easily fit into a backpack.
- An atmospheric RDD is any system in which radioactive material is converted into a form that is easily transported by air currents.

Use of an RDD by terrorists could result in health, environmental, and economic effects as well as political and social effects. It will cause fear, injury, and possibly lead to levels of contamination requiring costly and time-consuming cleanup efforts.

A variety of radioactive materials is commonly available and could be used in an RDD, including Cesium-137, Strontium-90, and Cobalt-60. Hospitals, universities, factories, construction companies, and laboratories are possible sources for these radioactive materials.

Improvised Nuclear Device (IND)

An IND is intended to cause a yield-producing nuclear explosion. An IND could consist of diverted nuclear weapon components, a modified nuclear weapon, or indigenous-designed device.

- INDs can be categorized into two types: implosion and gun assembled. Unlike RDDs that can be made with almost any radioactive material, INDs require fissile material—highly enriched uranium or plutonium—to produce nuclear yield.

Directed Energy Weapons (Ref: Defense Science Board Task Force on Directed Energy Weapons, December 2007)

<http://www.acq.osd.mil/dsb/reports/ADA476320.pdf>

The continuing transformation of U.S. defense forces has produced new and highly effective military capabilities. At the same time, this transformation can expose new vulnerabilities that can be exploited with directed energy weapons that are within the technological capabilities of a variety of potential adversaries.

This unclassified chapter does not attempt to describe specific threats or ascribe threat capabilities to specific potential adversaries. Instead the focus is on inherent vulnerabilities relevant to directed energy applications. U.S. and allied military operations are increasingly dependent on surveillance and reconnaissance assets to make decisions that are essential to effective operations.

Advanced kinetic weapon systems have been and still are in development in a number of nations and the proliferation of those systems to a wide range of nations and non-state organizations has increased significantly over the past 15 years. A number of these entities have openly published critiques of U.S. military operations from the Balkans to Iraq and Afghanistan. The observations point to the lesson that the U.S. military has large tactical battlefield advantages that anyone that wishes to oppose us must solve if they are to have any chance for success. Directed energy weapons technology is accessible to a wide range of potential adversaries and represents a means for potential adversaries to seek military advantage.

The international offensive weapons trend facing the United States and its allies will include a combination of greater speed, improved signature reduction, integrated employment of decoys, and sophisticated deception. The new weapons are intended in sum to compress the time available for effective reaction. Defensive systems that address the compressed reaction time problem can negate deception and decoy employment. These systems, which are capable of dealing with swarming tactics, present the most effective counter to emerging threats. The calculus of the relative advantages of kinetic and directed energy defensive systems will need to be continuously reevaluated as these new developments emerge.

U.S. dependence on force-enabling capabilities in command and control, information management, advanced sensors, and support systems are recognized around the world. It would be prudent to assume that future enemies intend to take on these enabling factors. In many cases current and projected systems have inherent vulnerabilities and inadequate defensive features. They are particularly susceptible to the types of directed energy systems that are believed to be feasible for a wide range of potential adversaries. It will be essential to have substantial, operational experience in directed energy weapons capabilities to adequately assess threat impacts on U.S. and coalition operations.

As examples, laser systems that could disable space-based and airborne sensors-- either permanently or temporarily-- are available to potential adversaries to include non-state actors. Increased design attention to protection against these capabilities is needed.

Similarly, high-power microwave technologies that can be exploited to damage or disable electronic components of essential communications networks are available to a range of potential adversaries, including non-state actors. Investment in approaches that provide increased robustness in essential networks is needed to preclude denial of these capabilities.

Defensive directed energy systems should be attractive to a number of potential adversaries whose strategies are oriented toward negating the effectiveness of U.S. and allied offensive power. Systems that can be relocated, though not necessary mobile, are suitable for employment in defending relatively small geographic regions from airborne threats. It should be expected in the coming decade that the United States will have to deal with a number of directed energy systems developed along these conceptual lines. Current technology favors the use of directed energy weapons in a defensive strategy, where a ready re-supply of consumables and adequate power facilitate operations.

Intelligence on the global trend in all forms of weapons systems development needs to be considered an integral part of the U.S. directed energy program. The end of the cold war and the attention paid since the mid-1990s to immediate problems of international unrest and the global war on terrorism have diverted attention from scientific and technical intelligence. The national and tactical intelligence

gathering and analytic communities should substantially increase the emphasis on knowing with higher certainty the threats faced by the United States and the technology achievements that could alter the strategic balance. Current work is by too few people, with inadequate budgets, insufficient technical collection capabilities, and fragmented connection to the directions and achievements of U.S.-directed energy programs.

Objective:

The objective of the NCMR research program is to discover new, innovative technologies that potentially provide new sources of information, or intelligence about the above listed threats. The program will focus research grants towards this discovery process in order to gain insight to new possibilities that will enhance our future MASINT intelligence collection and analysis capabilities. NCMR will select twelve (12) projects for initial funding. Initial “first year” funding for this effort is limited to \$150,000 per project selected. An additional \$5,000 per award will be set aside for providing a stipend to undergraduate students participating in the project.

7. Point(s) of Contact:

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

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

Mr. David Trask, Program Officer (E-mail: dmtrask@nps.edu),
Courtesy Copy to Dr. Peter Bythrow (E-mail: Peter.Bythrow@dia.mil)

Questions of a **general** nature can be directed E-mail: research@nps.edu.

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

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

or

Teri Jay
Grant Support
Research and Sponsored Program Office
Naval Postgraduate School
Halligan Hall, Bldg. 234, Code 41
Monterey, CA 93943-5138
E-mail: baa@nps.edu

Any questions regarding this announcement must be provided to the Technical Points of Contact and/or the Business Point of Contact listed above. All questions shall be submitted in writing by electronic mail.

Answers to questions submitted in response to this BAA will be addressed in the form of an Amendment to the BAA and will be posted to one or more of the following webpages:

- Grants.gov Webpage - <http://www.grants.gov/>
- NPS Broad Agency Announcement (BAA) Webpage - <http://www.nps.edu/research/workingwithnps.html>

8. Instrument Type(s) – Assistance Awards

Awards will take the form of Grants. However, NPS reserves the right to award a Cooperative Agreement if deemed to be in the best interest of the Government.

Grant – A legal instrument which, consistent with 31 U.S.C. 6304, is used to enter into a relationship: (1) The principal purpose of which is to transfer a thing of value to the recipient to carry out a public purpose of support or stimulation authorized by a law of the United States, rather than to acquire property or services for the Department of Defense’s direct benefit or use. (2) In which substantial involvement is not expected between the Department of Defense and the recipient when carrying out the activity contemplated by the grant.

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.

9. Catalog of Federal Domestic Assistance (CFDA) Numbers -

12.300

10. Catalog of Federal Domestic Assistance (CFDA) Titles –

Department of Defense (DoD) Basic and Applied Scientific Research

11. Other Information –

This program is targeted in particular to U.S. universities or 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. 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.

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

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

Questions or assistance **regarding 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.

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. There is no limit to the number of proposals an institution can submit.

- 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-12-001. NPS is seeking 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. The Government does not have a preference regarding whether programs are directed to local, regional, state, or national levels; however, the programs should take into consideration the broadest impact possible. The period of performance of the awards shall not exceed twelve (12) months from effective date of award. NPS anticipates an overall award budget of approximately \$2.0 MIL per year for the MASINT Research Program. Individual grants will not exceed \$155,000 per grant award. However, cost proposals for larger amounts will be considered by exception when appropriate.

The notification of award selection 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 Contracting Officer/Grants Officer signs the respective award document.

III. ELIGIBILITY INFORMATION

All responsible sources from academia (colleges and universities) 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.

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.

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 **15 February 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 **07 March 2012**.

Proposals submitted after 07 March 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/> .

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> 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;
 6. Proposed period of performance.

- **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 web Site 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 organizations 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
White Paper Submission Date	01 February 2012
Notification of White Paper Evaluation	15 February 2012
Full Proposal Submission Date	07 March 2012
Notification of Selection: Full Proposals	28 March 2012

4. Submission of Full Proposals:

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

Registration Requirements for Grants.gov: There are several one-time actions you must complete in order to submit an application through Grants.gov. These include obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the Central Contract Registry (CCR), registering with the credential provider, and registering with Grants.gov. See www.grants.gov/GetStarted to begin this process. The Grants.gov Organization Registration Checklist at www.grants.gov/assets/OrganizationRegCheck.doc will guide you through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called 'MPIN' are important steps in the CCR registration process. Applicants, who are not registered with CCR and Grants.gov, should allow at least 21 days for completion of these requirements. It is suggested that the process be started as soon as possible.

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

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

Grants.gov Full Proposal Submission: Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select "Apply for Grants", and then select "Download Application Package." In the box labeled Funding Opportunity Number, enter NPS-BAA-12-001, designated as "Research Opportunity Number" on page two of this announcement. Click on the button labeled "Download Package." Follow the instructions on the grants.gov page to complete the application download process. You must complete the mandatory forms and any applicable optional forms (e.g., SF-LLL Disclosure of Lobbying Activities) in accordance with the instructions on the forms and the additional instructions provided in this BAA. All attachments to grant applications submitted through Grants.gov must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement.

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

Special Notice regarding a Waiver of Grants.gov proposal submission requirement:

If an Offeror is unable to comply with the requirement to use Grants.gov, for submission of a grant application under this BAA or finds it would be an excessive burden to comply with this requirement, a waiver request may be submitted. Such request should be submitted by the Electronic Business Point of Contact listed in the CCR for the organization and should contain the Organization/Individual's name, address, telephone number, and email address. The request should state the reason for the request in sufficient detail so a decision can be made. The Waiver Request should be submitted to both the cognizant Grant Officer at NAVSUP FLC San Diego and to the Grants Support Contact at the Naval Postgraduate School as identified in Section I (General Information), Item 7 above. Such request can be sent by email or registered mail. A decision and response will be issued within 14 calendar days of receipt of the request by cognizant Grant Specialist. Foreign Grantees who are not registered in CCR may request a waiver on that basis since CCR registration is integral to the Grants.gov application process. If the waiver is approved, NPS will provide a packet of all required documents and submission instructions via email or in hard copy via registered mail.

VI. EVALUATION INFORMATION:

1. Evaluation Criteria:

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

- 1) Overall scientific and technical merits of the proposal;
- 2) Potential Naval relevance and contributions of the effort to the agency's specific mission;
- 3) The offeror's capabilities, related experience, facilities, techniques or unique combinations of these which are integral factors for achieving the proposal objectives;
- 4) The qualifications, capabilities and experience of the proposed Principal Investigator (PI), team leader and key personnel who are critical in achieving the proposal objects; and
- 5) The realism of the proposed costs and the availability of funds.

Overall, the technical factors (1 – 4 above) are more important than the cost factor, with the technical factors all being of equal value. The degree of importance of cost will increase with the degree of equality of the proposals in relation to the other factors on which selection is to be based, or when the cost is so significantly high as to diminish the value of the proposal's technical superiority to the Government.

2. Evaluation Panel:

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

VII. AWARD ADMINISTRATION INFORMATION:

1. Administrative Requirements:

- **The North American Industry Classification System (NAICS) code –**

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

- **Central Contractor Registration:** All Offerors submitting proposals or applications must: (a) be registered in the Central Contractor Registration (CCR) prior to submission; (b) maintain an active CCR registration with current information at all times during which it has an active Federal award or an application under consideration by any agency; and (c) provide its DUNS number in each application or proposal it submits to the agency.

NOTE: Central Contractor Registry (CCR), Subcontracting Plan requirements and Certification requirements are all set forth in the NPS Technical and Cost Proposal Template for those submitting contract proposals.

Grant and Cooperative Agreement Requirements: Grant awards greater than \$100,000, require a certification of compliance with a national policy mandate concerning lobbying. Grant applicants shall provide this certification by electronic submission of SF424 (R&R) as a part of the electronic proposal submitted via <http://www.grants.gov> (complete Block 17).

2. Certifications/Assurances-

- **Certification Regarding Lobbying Activities-** Grant and Cooperative Agreement awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. Grant applicants shall provide this certification by electronic submission of SF424 (R&R) as a part of the electronic proposal submitted via Grants.gov (complete Block 17); the following certification applies to each applicant seeking federal assistance funds exceeding \$100,000:

(1) No Federal appropriated funds have been paid or will be paid by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The applicant shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, and cooperative agreements) and that all

subrecipients shall certify and disclose accordingly.

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

3. Policy Requirements:

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

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

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:

In order to facilitate intra-program collaboration and technology transfer, the Government will attempt to enable technology developers to work at the unclassified level to the maximum extent possible. If access to classified material will be required at any point during performance, the Offeror must clearly identify such need prominently in its proposal. Normally, work under a grant or cooperative agreement does not require access to classified material.

3. Use of Animals and Human Subjects in Research:

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

Similarly, for any proposal for research involving human subjects, the Offeror must submit prior to award: documentation of approval from an Institutional Review Board (IRB); IRB-approved research protocol; IRB-approved informed consent form; proof of completed human research training (e.g.,

training certificate or institutional verification of training); an application for a DoD-Navy Addendum to the Offeror's DHHS-issued Federal wide Assurance (FWA) or the Offeror's DoD-Navy Addendum. In the event that an exemption criterion under 32 CFR.219.101 (b) is claimed, provide documentation of the determination by the Institutional Review Board (IRB) Chair, IRB vice Chair, designated IRB

administrator or official of the human research protection program including the category of exemption and short rationale statement. If the research is determined by the IRB to be greater than minimal risk, the Offeror also must provide the name and contact information for the independent medical monitor. This documentation shall be submitted to the NPS Institutional Review Board Administrator via NPS Grant Support.

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. Organizational Conflict of Interest:

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

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

6. 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.

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

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

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

8. Project Meetings and Reviews

Individual program reviews between the NPS sponsor and the performer may be held as necessary. Program status reviews may also be held to provide a forum for reviews of the latest results from experiments and any other incremental progress towards the major demonstrations. These meetings will be held at various sites throughout the country. For costing purposes, offerors should assume that 40% of these meetings will be at or near NPS, Monterey, CA and 60% at other contractor or government facilities. Interim meetings are likely, but these will be accomplished via video telephone conferences, telephone conferences, or via web-based.