BROAD AGENCY ANNOUNCEMENT (BAA)

“FY14 MASINT EMERGING TECHNOLOGIES RESEARCH PROGRAM”

This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and the Department of Defense Grants and Agreements (DoDGARS) Subpart 22.315(a). A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued. Neither the Naval Postgraduate School (NPS) nor the Contracting Office of Naval Supply Systems Fleet Logistics Center San Diego (NAVSUP FLC SD) 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 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:** MASINT Emerging Technologies University Research Program

3. **Program Name:** Not Applicable (N/A)

4. **Funding Opportunity Number:** NPS-BAA-14-001

5. **Response Date:**

This announcement will remain open until 30 September 2014 or until replaced by a successor BAA, whichever occurs first. Proposals may be submitted at any time during this period.
6. **Research Areas**: Measurement and Signature Intelligence (MASINT) is an intelligence discipline that employs a broad range of scientific developments to gather foreign intelligence. In our efforts to enhance this intelligence competency we are interested in stimulating and supporting research that creates new knowledge and capabilities, or the transition of current capabilities, that have the potential to enhance the following areas:

- Remote assessment and detection of weapons of mass destruction, specifically nuclear and radiological weapons, as well as chemical and biological weapons.

- 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.

- Bioinformatics, the science of collecting and analyzing complex biological data such as genetic codes, has become an important part of many areas of biology. Research should focus on how this science promotes the extraction of useful results from large amounts of raw data as well as how its intrinsic characteristics are applicable to many related research topics.

- Telematics typically is any integrated use of telecommunications and informatics, also known as ICT (Information and Communications Technology). Possible telematics applications can track vehicles, trailers, and shipping containers. Telematics is also used for relaying environmental conditions within vehicles, trailers or shipping containers, fleet management, mobile data and mobile television, wireless vehicle safety communications allowing vehicles to communicate with those around it and emergency warning system for vehicles.

Navy seeks White Papers only from the most knowledgeable experts and universities in the field, with submissions briefly describing expertise.

**Note:** Proposals for workshops, conferences, and symposia, or for acquisition of technical, engineering and other types of support services will not be considered.

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 at dmtrask@nps.edu.

Questions of a **general** nature can be directed to:
Ms. Teri Jay
Grant Management Specialist
Research and Sponsored Programs Office
Office of the Dean of Research  
Naval Postgraduate School  
E-mail: baa@nps.edu

Questions of a business nature shall be directed to:  
Janet Norton  
Contract and Grant Officer  
NAVSUP Fleet Logistics Center San Diego  
E-mail: janet.norton@navy.mil

Any questions regarding this announcement must be provided to the Points of Contact listed above. All questions shall be submitted in writing by electronic mail. Amendments to this BAA will be posted to one or more of the following webpages:

- NPS Broad Agency Announcement (BAA) http://www.nps.edu/research/workingwithnps.html

8. Instrument Type:

Awards under this BAA will take the form of grants or other assistance vehicles. Contracts will not be awarded from this BAA. Offerors should familiarize themselves with regulations applicable to grant assistance awards before submitting a proposal.

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

(1) The principal purpose is to transfer something of value to the award 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) Substantial involvement is not expected between the Department of Defense and the recipient when carrying out the activity contemplated by the grant.

(3) No fee or profit is allowed.

Grants are distinguished from contracts in that grants provide financial assistance to recipients to conduct fairly autonomous programs of research. With respect to grants, the recipients bear prime responsibility for the design, management, direction, and conduct of research, and exercise judgment and original thought toward attaining the scientific goals within broad parameters of the research areas proposed and the resources provided.

Although grants supported by the DoD must be of general interest to and must in some way further DoD mission(s), they must only tangentially relate to those missions. For direct support or to meet clearly defined DoD goals and objectives, or to improve defense processes or
procedures, contracts or other transactions — not grants — would be the appropriate instruments.

NOTE: Grants must be in compliance with OMB Circular A-110 relocated to 2 CFR 215.


11. Other Information:

A. Offeror Institutions – This program is targeted to U.S. universities and U.S. research institutions and laboratories outside the U.S. Federal Government. Applications from foreign institutions will not be accepted. For further information, please see III. “Eligibility Information” of this announcement.

B. Research Types – Activities funded under this BAA may include basic research, applied research and some advanced research, if properly programmed and approved for grants. With regard to any restrictions on the conduct or outcome of activities 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.

As defined therein the definition of “fundamental research,” in a DoD grant context, includes research performed under grants that are (a) funded by Research, Development, Test and Evaluation Budget Activity 1 (Basic Research), whether performed by universities or industry, or (b) funded by Budget Activity 2 (Applied Research) and performed on a university campus.

The research shall not be considered fundamental in those rare and exceptional circumstances where the applied research effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the grant.

Pursuant to DoD policy, research performed under grants that are a) funded by Budget Activity 6.2 (Applied Research) and NOT performed on a university campus, or b) funded by Budget Activity 6.3 (Advanced Research), may not meet the definition of “contracted 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.

For certain research projects, it may be possible that although the research being performed by the prime awardee is restricted research, a subcontractor to the prime may be conducting “contracted fundamental research.” In those cases, it is the prime awardee’s responsibility in the proposal to identify and describe the subcontracted unclassified research and include a statement
confirming that the work has been scoped, negotiated, and determined to be fundamental research according to the prime awardee and research performer.

**Broad Agency Announcements (BAAs) and Primary Purpose** – With respect to grants, FAR Part 35 restricts the use of BAAs, such as this, to the stimulation and support of basic and applied research and that portion of advanced technology development not related to the development of a specific system or hardware procurement. It is important to note that grants under BAAs are for scientific study and experimentation directed toward advancing the state of the art and increasing knowledge or understanding. As such, proposals must provide and clearly define the public benefit that is anticipated to result from broad dissemination of the research results to scientific and professional communities.

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

**BECAUSE THE PURPOSE OF THIS ANNOUNCEMENT IS TO STIMULATE AND SUPPORT RESEARCH GRANTS, IT IS NOT FOR THE ACQUISITION OF TECHNICAL, ENGINEERING, AND OTHER TYPES OF SUPPORT SERVICES.**

**II. AWARD INFORMATION:**

1. **Amount and Period of Performance:**

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.

2. **Peer Reviews:**

In the case of proposals funded as basic research, NPS may utilize peer reviewers from academia, industry, and government agencies to assist in the periodic appraisal of research developments under the awards. Such periodic program reviews monitor the cost, schedule and technical developments of funded basic research efforts. Peer reviewers who are not U.S. Government employees must sign nondisclosure agreements before receiving full or partial copies of proposals and reports submitted by the basic research performers. Offerors may include travel costs for the Principal Investigator (PI) to attend the peer review.
3. Production and Testing of Prototypes:

Grants **DO NOT** allow for software, prototypes, and hardware deliverables. These may be generated for the purposes of testing theory or methods, but the delivery is expected to be a final report of the research findings.

4. Notification Process

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 Grants Officer signs the respective award document.

III. ELIGIBILITY INFORMATION

All responsible sources from U.S. academia 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, due to the impracticality of reserving discrete or severable items of this research for exclusive competition among the entities.

Federally Funded Research & Development Centers (FFRDCs), including Department of Energy National Laboratories, are not eligible to receive awards under this BAA. However, teaming arrangements between FFRDCs and eligible principal bidders are allowed so long as they are permitted under the sponsoring agreement between the government and the specific FFRDC.

Navy laboratories and warfare centers as well as other Department of Defense and civilian agency laboratories are also not eligible to receive awards under this BAA and 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. As with FFRDCs, these types of federal organizations may team with other responsible sources from academia that are submitting proposals under this BAA.

University Affiliated Research Centers (UARC) are eligible to submit proposals under this BAA unless precluded from doing so by their Department of Defense UARC contract.

Teams are encouraged and may submit proposals in any and all areas. However, Offerors must be willing to cooperate and exchange software, data and other information in an integrated program with other grantees, as well as with system integrators.

Some topic areas cover export-controlled technologies. Research in these areas is limited to “U.S. persons” as defined in the International Traffic in Arms Regulations (ITAR) -22 CFR § 120.1 et seq.
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. White papers should be submitted electronically to the Technical Point of Contact, Mr. David Trask, e-mail: dmtrask@nps.edu. They will be accepted throughout the effective period of this BAA.

Each white paper will be evaluated by the Government to determine whether the technology advancement proposed appears to be of potential value to the future of intelligence and whether it is likely to advance knowledge in the field of study, enhance understanding, and provide a direct benefit to the public (those outside DoD who are in the public and/or private sectors).

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 recommended for funding.

For white papers that propose efforts that are considered to have potential value to the Defense Intelligence Agency – Science & Technology Directorate but either exceed available budgets or contain certain tasks or applications that are not desired, DIA/DS&T 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 potential benefit to the DIA/DS&T and the general public.

**Full Proposals:**

Detailed Full Proposals (Volume 1: Technical Proposal, and Volume 2: Cost Proposal) 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.

Full proposals will be accepted throughout the effective period of this BAA.

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.
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 or area of interest identified in Section I, Item 6, “Research Areas.” Titles should be descriptive of the research topic, not of any potential use the results may have to the Government.

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
- Maximum 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 or higher delivered via e-mail. Electronic (e-mail) submissions should be sent to the attention of the Technical Point of Contact identified in Section I, item 7, “Point(s) of Contact.” The subject line of the e-mail shall read: "**NPS-BAA-14-001 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 e-mail is delivered to the recipient's e-mail system. Consult the User's Manual for your e-mail software for further details on this feature.

**White Paper Content**

- **Cover Page:** The Cover Page shall be titled "WHITE PAPER", and include the:
  
  - BAA number “NPS-BAA-14-001”
  - Research opportunity “MASINT EMERGING TECHNOLOGIES RESEARCH PROGRAM”
  - Offeror's administrative and technical points of contact, with telephone numbers, facsimile numbers, and Internet addresses
  - Signature and name of an authorized officer at the Offeror's institution.

- **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 I; (3) technical objective of the proposed effort; (4) technical approach (methodology) that will be
pursued to meet the objective; and (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 for the proposed period of performance, not to exceed 12 months. The cost summary is limited to one (1) page and shall be segregated by task.

**b. FULL PROPOSALS**

Full proposals shall be submitted electronically at [http://www.grants.gov](http://www.grants.gov) using the application template package associated with this BAA. Detailed format and content instructions follow.

**Volume 1: Technical Proposal**

**Volume 1 Format** -

- Paper Size - 8.5 x 11 inch paper
- Margins - 1 inch
- Spacing - single or double-spaced
- Font - Times New Roman, 12 point
- Maximum number of pages - **Volume 1 is limited to no more than 15 pages**, including indexes, foldouts, photographs, and appendices.

**Volume 1 Content** -

- **Cover Page**: This should include the words "TECHNICAL PROPOSAL" and the following:
  - BAA number, “NPS-BAA-14-001”
  - Title of proposal that is descriptive of the research to be conducted
  - 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)
  - Length of 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 will support or stimulate a public purpose, beyond any potential benefits to the DoD.
• **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 chronologically.

  *For Basic Research, include a description of potential DoN/DoD relevance, potential contributions to the NPS research mission.*

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

  *For all types of research, include a concise statement of how the proposed research supports or stimulates a public purpose, rather than providing a specific benefit to DoD/DoN. This public-benefits statement is an important part of the evaluation/award process.*

  **Note:** Grants do not include the delivery of software, prototypes, and/or hardware deliverables.

• **Project Schedule and Milestones:** A summary of the schedule of events and milestones. Because the date of award is not known at time of application, we recommend a “month 1,” “month 2,” format, as opposed to naming specific months and dates.

• **Reports:** The following are sample reports that are typically provided under a grant-funded research effort:

  o Technical and Financial Progress Reports
  o Presentation Materials
  o Technical and Financial 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 (GFE), hardware, software or information required, by version and/or configuration. **Limit the number of pages for this section to 6.**

• **Offeror Qualifications:** A discussion of previous accomplishments and research by the Offeror/institution in this or closely related areas.
• **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 following 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 the Principle Investigator’s time as well as any 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 the support source
10. How the project is related to the proposed effort and degree of overlap, if applicable.

**Volume 2: Cost Proposal**

**Volume 2 Format -**

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

The Cost Proposal follows the Technical Proposal as a single document that is uploaded to Grants.gov. A separate Adobe .pdf document should be included in the application that provides supporting documentation for each element of cost proposed.

For the budget itself, the offeror must use the Grants.gov budget forms from the application package template associated with this BAA on the Grants.gov website located at [http://www.grants.gov/](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.
Costs proposed must conform to the following principles and procedures:

- Educational Institutions: OMB Circular A-21, relocated to 2 CFR 220
- Non-Profit Organizations: OMB Circular A-122, relocated to 2 CFR 230

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

The itemized budget must include the following:

- Direct Labor - Individual labor categories or persons, with associated percent of annual effort and unburdened direct labor rates by annual salary (alternatively, number of total hours and hourly rate may be provided). If proposal period crosses fiscal years, then provide escalation rates for each fiscal year period. Clearly state any escalation rates used in calculations. Provide documentation verifying individual labor rates for each known individual. For persons yet to be identified, provide general tables or schedules by labor category. If applicable, describe how new staff will be recruited and selected.

  Administrative and clerical labor - 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: The proposal should show the rates and calculation of the costs for each labor category and the salary amounts to which they are applied.

If the rates have been approved/negotiated by a Government agency, provide a copy of the memorandum/agreement. If the rates applied are composition rates, or the rates have not been approved/negotiated, provide sufficient detail to enable a determination of allowability, allocability, and reasonableness of the allocation bases, and how the rates are calculated according to applicable OMB Circulars or FAR/DFARS provisions.

- 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 principles.
Explain why travel is a necessary and/or cost-effective component of the technical approach/methodology, as well as why the travel destination was chosen. Provide a copy of institution’s travel policy. Provide documentation for proposed airfare costs (such as internet quotes from a travel website). If the Offering PI would like to attend the peer review, those travel costs should be listed with Washington, DC, as the anticipated destination.

- **Subawards** - Subawards should be utilized only when the awardee deems them necessary for achieving the project objectives. Provide a description of the work to be performed by the subrecipient institution. For each subaward, a detailed cost proposal is required to be submitted by the subrecipient and included in the proposal by the Offeror. Alternatively, the proposed subawardee’s or subrecipient’s cost proposal can be provided via e-mail directly to the NPS Business POC at baa@nps.edu at the same time the prime proposal is submitted. The e-mail should identify the proposal title, the prime Offeror, and that the attached proposal is either a sub-contract or a sub-agreement. This proposal and supporting documentation must be received and reviewed before the Government can complete its cost analysis of the Prime Offeror’s proposal and enter into negotiations.

Provide specific information as follows:

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

- **Consultants** - Offerors normally are expected to utilize the services of their own staff to the maximum extent possible in managing and performing the project’s effort. If the need for consultant services is anticipated, the nature of proposed consultant services should be justified and included in the technical proposal narrative. Cost proposal should include the name of the consultant(s), primary organizational affiliation, each individual’s expertise, and provide a breakdown of the consultant’s hours, the hourly rate proposed, and any other proposed consultant costs, such as estimated travel and per diem. Provide 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). Include supporting documentation for the estimates. Provide a copy of your organization’s purchasing policy/processes or note that no formal policy/process exists.

- **Recipient-Acquired Equipment or Facilities** - Equipment and/or facilities are normally furnished by the Recipient. If acquisition of equipment and/or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all
equipment and/or facilities costs as well as the basis for them and supporting documentation 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 direct costs such as graduate assistant tuition, laboratory fees, report and publication costs, and the basis for the estimate (e.g., tuition schedules, quotes, prior purchases, catalog price lists).

- **Indirect Costs** (i.e., F&A, Overhead, G&A, etc.) - Show the rates and calculation of the costs for each rate category, listing the base on which the rate is applied. If the rates have been approved/negotiated by a Government agency, **provide a copy of the memorandum/agreement.** If the rates have not been approved/negotiated, provide sufficient detail to enable a determination of allowability, allocability and reasonableness of the allocation bases, and how the rates are calculated according to applicable OMB Circulars or FAR/DFARS provisions.

Offeror’s disclosure should be sufficient to permit a full understanding of the rate’s content and how it was established. At a minimum, the submission should identify:

- All individual cost elements included in the forecast rate(s)
- Bases used to prorate indirect expenses to cost pools, if any
- How the rate(s) was calculated
- Distribution basis of the developed rate(s)
- Bases on which the overhead rate is calculated, such as "salaries and wages" or "total costs"
- The period of the offeror's fiscal year.

Additional information may be requested, if needed. If composite rates are used, provide the calculations used in deriving the composite rates. A Negotiated Indirect Cost Rate Agreement (NICRA) may be required in order for an awardee to invoice for indirect costs. If the Offeror does not currently hold a NICRA, describe the current status of the organization’s request for such an agreement with its cognizant agency.

**NOTE:** The 2010 National Defense Authorization Act (NDAA) provided for an Indirect Cost Cap of 35% for all 6.1 (basic research) funded awards; future appropriations may follow suit, and if they do, this will be stipulated in any award document.

*At the time this BAA was posted, there was no Indirect Cost Cap.*
• 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.

**NOTE:** Failure to adequately provide detailed cost data will require the FLC San Diego Grants Officer to contact the proposing organization for the requisite information. This will result in a delay of the award. All Offerors are required to submit a thoroughly detailed cost breakdown. The FLC San Diego Grant Officer must be able to determine that all proposed costs are allowable and reasonable. A detailed budget will facilitate this cost analysis.

3. **Significant Dates and Times:**

This announcement will remain open until 30 September 2014 or until replaced by a successor BAA, whichever occurs first. White papers and proposals will be accepted throughout the open period of NPS-BAA-14-001; however, all funds may be committed based on the following schedule.

- Submit White Papers by **25 March 2014**
- Invited Full Proposals submitted by **27 June 2014**

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. Additional documents and attachments described above should be generated and then uploaded and attached where indicated on the grants.gov website.

**Registration Requirements for Grants.gov:** There are several one-time actions you must complete in order to submit an application through Grants.gov. These include obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the System of Award Management (SAM), registering with the Credential Provider, and registering with Grants.gov. See [http://www.grants.gov/web/grants/home.html](http://www.grants.gov/web/grants/home.html), specifically [http://www.grants.gov/web/grants/applicants.html](http://www.grants.gov/web/grants/applicants.html). The Grants.gov Organization Registration Checklist at [http://www.grants.gov/web/grants/applicants/grant-application-process.html](http://www.grants.gov/web/grants/applicants/grant-application-process.html) 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 SAM registration process. Applicants, who are not registered with SAM 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 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 (1-606-545-5035 for foreign applicants) 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-14-001. Click on the button labeled “Download Package.” Follow the instructions on the grants.gov page to complete the application download process.

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).

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.

Proprietary information may be included on submitted forms, supporting documentation, and the cost proposal. All such information should be denoted with asterisks (***)) at the beginning and end of the proprietary information; alternatively, a page with considerable proprietary information can display the statement “Proprietary Information” in its header or footer. Statements of Work within the Technical Proposal should NOT include proprietary information or other restricted or protected information.

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

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

If an Offeror is unable to comply with the requirement to use Grants.gov for submission of a grant application under this BAA or finds it would be an excessive burden to comply with this requirement, a waiver request may be submitted. Such a request should be submitted by the Electronic Business Point of Contact listed in SAM for the organization and should contain the Organization/Individual’s name, address, telephone number, and e-mail address. The request should state the reason for the request in sufficient detail so a decision can be made on the waiver.

The Waiver Request should be submitted to both the cognizant Grant Officer at NAVSUP FLC San Diego and the Grant Management Specialist at the Naval Postgraduate School as identified in Section I (General Information), Item 7 above. Such a request can be sent by e-mail or registered mail.

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

V. EVALUATION INFORMATION:

1. Evaluation Criteria:

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

1) Overall scientific and technical merits of the proposal
2) Potential Naval relevance and contributions of the effort to the agency’s general 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
5) The realism of the proposed costs and the availability of funds.

Overall, the technical factors (1 – 4 above) are significantly more important than the cost factor (5 above), with the technical factors all being of equal value. The primary basis for selecting proposals for acceptance shall be technical, importance to agency programs, and fund availability. Cost realism and reasonableness shall also be considered to the extent appropriate.

The ultimate recommendation for award of proposals is made by NPS's scientific/technical community. Recommended proposals will be forwarded to the NAVSUP FLC San Diego contracts department. Any notification received from NPS that indicates that the Offeror's full proposal has been recommended, does not ultimately guarantee an award will be made. This notice indicates that the proposal has been selected in accordance with the evaluation criteria above and has been sent to the contracting department to conduct cost analysis, determine the offeror's responsibility, and to take other relevant steps necessary prior to commencing negotiations with the offeror.

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. Restrictive notices notwithstanding, one or more support contractors may be utilized as subject-matter-expert technical consultants. Similarly, support contractors may be utilized to assist with the evaluation of cost proposals. However, proposal selection and award decisions are solely the responsibility of Government personnel. Each support contractor’s employee having access to technical and cost proposals submitted in response to this BAA will be required to sign a non-disclosure statement prior to receipt of any proposal submissions.
VI. AWARD ADMINISTRATION INFORMATION:

1. Administrative Requirements:

   • **The North American Industry Classification System (NAICS) code:** The North American Industry Classification System (NAICS) code for this announcement is 541720 with a small business size standard of $19.0M.

   • **System for Award Management (SAM):** All Offerors submitting proposals or applications must: (a) be registered in the System of Award Management (SAM) prior to submission; (b) maintain an active SAM registration with current information at all times during which it has an active Federal award or an application under consideration by any agency; and (c) provide its DUNS number in each Full Proposal it submits to NPS via Grants.gov.

   The System for Award Management (SAM) is a FREE WEBSITE that consolidates the capabilities found in CCR/FedReg, ORCA, and EPLS. Future phases of SAM will add the capabilities of other systems used in Federal procurement and award processes.

   SAM may be accessed at [https://www.sam.gov/portal/public/SAM/](https://www.sam.gov/portal/public/SAM/)

   **NOTE TO FORMER CCR REGISTRANTS:** If you had an active record in CCR, you have an active record in SAM. You do not need to do anything in SAM at this time, unless a change in your business circumstances require a change in SAM in order for you to be paid or receive an award. SAM will send notifications to the registered user via e-mail 60, 30, and 15 days prior to expiration of the record. You can search for registered entities in SAM by typing the DUNS number or business name into the search box.

2. Certifications and 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 SF-424 (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
3. All Applicants must submit the application using the SF-424 series, which include the following:

   SF-424 R&R, Application for Federal Assistance - (included in the application package available on grants.gov posted with this BAA).

   SF-424A, Budget Information - Nonconstruction Programs - (included in the application package available on grants.gov posted with this BAA).

   SF-424B, Assurances - Nonconstruction Programs - (included in the application package available on grants.gov posted with this BAA).

4. Policy Requirements:

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


   - Department of Defense Grant and Agreement Regulations (DoDGARS 3210.6-R). An electronic copy of DoDGARs may be found at http://www.dtic.mil/whs/directives/corres/html/321006r.html

- OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations”
- Federal Acquisition Regulation (FAR) Part 31.2, Contracts with Commercial Organizations

VI. 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 part 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. Normally, work under a grant does not require access to classified material. If access to classified material will be required at any point during performance, the Offeror must clearly identify such need prominently in its proposal. An unclassified final report is required in order that the general public may benefit from the research findings.

   The Statement of Work in the Technical Proposal must be unclassified and must not contain Controlled Unclassified Information.

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 research proposal 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 at baa@nps.edu.

4. Recombinant DNA:

Proposals 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 grant resulting from this BAA, the recipient may require access to certain proprietary and confidential information (whether in its original or derived form) submitted to or produced by the Government. Such information includes, but is not limited to, business practices, proposals, designs, mission or operation concepts, sketches, management policies, cost and operating expense, technical data and trade secrets, proposed Navy budgetary information, and acquisition planning or acquisition actions, obtained either directly or indirectly as a result of the effort performed on behalf of NPS.

The recipient shall take appropriate steps not only to safeguard such information, but also to prevent disclosure of such information to any party other than the Government. The recipient agrees to indoctrinate company personnel who will have access to or custody of the information concerning the nature of the confidential terms under which the Government received such information and shall stress that the information shall not be disclosed to any other party or to recipient personnel who do not need to know the contents thereof for the performance of the contract/agreement. Recipient personnel shall also be informed that they shall not engage in any other action, venture, or employment wherein this information will be used for any purpose by any other party.

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

All Offerors (or prospective grantees) and proposed subawardees must affirm whether they are providing scientific, engineering, and technical assistance (SETA) or similar support to 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 prospective grantee 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 award consideration.

If a prospective grantee believes that any conflict of interest exists or may exist (whether organizational or otherwise), the prospective grantee 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 award consideration under this BAA.

Be advised the Grants Officer reserves the right in his/her sole discretion to withhold award if he/she determines there is a conflict of interest or standards of conduct violation whether organizational or otherwise.

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 was developed under work supported by the Naval Postgraduate School National Consortium for Measurement and Signature Intelligence Research Award No.[insert award number] 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 FLC San Diego and NPS. The NAVSUP FLC San Diego and NPS do not endorse any products or commercial services mentioned in this publication.
8. Military Recruiting on Campus:

Military Recruiting on Campus (DoDGARS Part 22.520) applies to domestic U. S. colleges and universities. Appropriate language from 32CFR22.520, Campus Access for Military Recruiting and Reserve Officer Training Corps (ROTC), will be incorporated in all university grant awards.

9. Intellectual Property:

Offerors responding to this BAA must submit a separate list of all technical data or computer software that will be furnished to the Government with other than unlimited rights. The Government will assume unlimited rights if Offerors fail to identify any intellectual property restrictions in their proposals. Include in this section all proprietary claims to results, prototypes, and/or deliverables. If no restrictions are intended, then the Offeror should state “NONE.”

10. Federal Funding Accountability and Transparency Act of 2006:

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, cooperative agreements or other transaction agreements) as either a prime or subrecipient 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.

11. Certification Regarding Restrictions on Lobbying:

Grant and Cooperative Agreement awards greater than $100,000, as well as OTAs not under Section 845, require a certification of compliance with a national policy mandate concerning lobbying. Grant applicants shall provide this certification by electronic submission of SF-424 (R&R) as a part of the electronic proposal submitted via Grants.gov (complete Block 17). The following certification applies likewise to each cooperative agreement and normal OTA 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, loans, 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.

12. Representation Regarding an Unpaid Delinquent Tax Liability or a Felony Conviction Under Any Federal Law - DOD Appropriations:

All grant applicants are required to complete the "Representation on Tax Delinquency and Felony Conviction" found at http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal.aspx by checking the "I agree" box in block 17 and attaching the representation to block 18 of the SF-424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

(1) The applicant represents that it is ___ is not___ a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in timely manner pursuant to an agreement with the authority responsible for collecting the tax liability

(2) The applicant represents that it is__ is not __a corporation that was convicted of a felony criminal violation under any Federal law within the preceding 24 months.

NOTE: If an applicant responds in the affirmative to either of the above representations, the applicant is ineligible to receive an award unless the agency suspension and debarment official (SDO) has considered suspension or debarment and determined that further action is not required to protect the Government's interests. The applicant therefore should provide information about its tax liability or conviction to the agency's SDO as soon as it can do so, to facilitate completion of the required consideration before award decisions are made.