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 of NAVSUP Fleet Logistics Center San Diego (NAVSUP FLC San Diego) will issue paper copies of this announcement. Interested parties are responsible for checking www.grants.gov or http://www.nps.edu/Research/WorkingWithNPS.html for possible amendments to this BAA.

The Naval Postgraduate School (NPS) reserves the right to select and fund for award all, some, or none of the proposals in response to this announcement. 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. Potential grantees are on notice, however, that Government may use contractor support personnel, with appropriate non-disclosure agreements on file, to assist in the review of technical submissions.
The application of complex adaptive systems (CAS) theory to understand, model, and anticipate the dynamics of systems that produce emergent (surprising) behaviors. This includes the development and application of CAS mathematical theory to specific categories of under-sampled, partially-observed and deceptive target systems or situations. CAS
models may represent situations or target systems that are characterized by limited observability and are prone to exhibit unanticipated behaviors.

7.2 **Orchestrated Resource Management**: Methods to coordinate and adapt large sets of dynamic sensing methods to perceive complex situations and target sets.

- Cognitive collection planning includes the application of cognitive methods to plan the acquisition of information based on prior learned experience, intelligence valuation, and optimization of collection plans.

- Intelligence valuation applies quantitative methods to assign values to problems and the potential contribution of candidate solutions (e.g., collection, search, and acquisition of information). The methods also provide a calculus for estimating the value of alternative means of acquiring needed information across a large number of targets.

- Decision space search methods comb the large space of alternative collection plans to locate local and global solutions to optimize objective functions (e.g., intelligence value, risk, cost, etc.). Well-known search methods (e.g., depth- and breadth-first methods, genetic algorithms, etc.) may be applied, but must be focused on the large-scale problem of many targets and many sensors.

- Plan-optimization processes develop and evaluate alternative plans to acquire information, applying optimization processes to achieve the highest intelligence value across many alternative targets and many alternative methods to collect information about them. In particular, these optimization processes should be focused on scenarios where there are typically an insufficient number of sensors to collect all desired information from all targets.

7.3 **Cognitive Sensemaking**: Advanced computing architectures that enable sophisticated reasoning, learning and adaptation, inspired by the principles of human cognition. These computing architectures perform processes to assimilate large volumes of data to learn, reason, model and predict complex situations to answer explicitly stated problems. These machine processes collaborate as peers-to-peers with humans (e.g., analysts and decision-makers) to solve problems and refine their processes. They include:

- Distributed cognitive computing architectures and cognitive dynamic systems that represent many reasoning units interacting to produce cognitive behaviors that perceive situations, develop hypotheses that explain the situation, and propose alternative approaches to resolve uncertainty about the situations.

- Cognitive mediation between perception and cognitive-control methods to control reasoning processes to focus attention, and focus sensing mechanisms to improve perception.

- Problem conceptualization, which are processes to convert intelligence problems to machine-understandable forms to enable decomposition of the problem to information needs and then develop plans to acquire the required information.

- Deep-machine learning, which are processes that apply a variety of statistical, semantic, and neural methods to learn, reinforce and represent (model) patterns of structure or behavior.

- Open-machine reasoning, which are processes of deductive and abductive reasoning to enumerate and organize information, develop hypotheses to explain the information, and develop theories, solutions and explanations.

- Dynamic situation modeling, which are methods to represent physical, technical, cyber and social situations represented by many interacting actors. The models must produce realistic and
complex behaviors to enable anticipation of possible behaviors of target systems or situations.

7.4 **Human-Computer Symbiosis:** All methods that increase human-machine symbiosis where humans and machines conduct collaborative analysis and problem solving. This includes the use of shared objects (e.g., graphs, maps, high-dimensional spaces) to facilitate human-machine collaborative reasoning about complex dynamic situations. Physiological research in human-machine symbiosis in reasoning, learning and creation (e.g., hypothesis generation) and visualization of abstract objects is also included in this area of research.

- This interchange between humans and computers includes symbiotic capabilities that magnify the cognitive performance of human analysts. It also includes frameworks, architectures and prototypes of collaborative human-machine systems that augment human function, to include enhanced sensing, memory and recall, expression, awareness and understanding.

- Visualization includes machine-enabled capabilities that maximize the human capacity to perceive, understand, and reason about complex and dynamic data and situations; facilitate understanding of massive and continually growing collections of data of multiple types, and synthesize information from different types and sources of data into a unified and cohesive representation that enables users to focus on the meaning of the data.

Additional information on the Naval Postgraduate School’s graduate education and research mission is available at:

- General Information: [http://www.nps.edu/About/index.html](http://www.nps.edu/About/index.html)
- NPS Strategic Plan: [http://www.nps.edu/About/NPSStratPlan.html](http://www.nps.edu/About/NPSStratPlan.html)
- Academic Programs: [http://www.nps.edu/Academics/index.html](http://www.nps.edu/Academics/index.html)
- Research Programs: [http://www.nps.edu/Research/index.html](http://www.nps.edu/Research/index.html)

8. **Points of Contact:**

Questions regarding this announcement must be provided to the points of contact listed below. All questions shall be submitted in writing by email.

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

Dr. Jim Scrofani  
Naval Postgraduate School  
Associate Professor Electrical and Computer Engineering  
Director, Center for Multi-INT Studies  
Email: jwscrofa@nps.edu

Questions of a **general** nature should be directed to:

Ms. Teri Jay  
Grant Management Specialist  
Research and Sponsored Programs Office  
Office of the Dean of Research  
Naval Postgraduate School  
Email: baa@nps.edu

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

or  

Ms. Teri Jay  
Grant Management Specialist  
Research and Sponsored Programs Office  
Office of the Dean of Research  
Naval Postgraduate School  
Email: baa@nps.edu

Questions or assistance needed regarding Grants.gov’s registration process, system requirements or submittal process shall be directed to:

 Grants.gov  
Phone: 1-800-518-4726  
Email: support@grants.gov

9. Instrument Type(s):

Awards under this BAA may take the form of grants or cooperative agreements as appropriate. Contracts will not be awarded as a result of this BAA.

Offerors should familiarize themselves with these instrument types and the applicable regulations before submitting a proposal. Following is a brief description of the possible award instruments:

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 (i.e., financial support) 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 appropriate between the Department of Defense and the recipient when carrying out the activities 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 grants, the award 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 Department of Defense (DOD) must be of general interest to and must in some way have the potential to further DOD mission(s), they must only tangentially relate to those missions. For direct support or to meet specific DOD and NPS goals and objectives, or to improve specific defense processes, procedures, systems or policies, a contract would be the appropriate instrument.
Grant proposals must clearly define the public benefit that is anticipated to result from broad dissemination of the research results to scientific and professional communities, the private sector, civil society, non-Federal Government, and/or foreign governments. Proposals should not focus on potential benefits to the DOD, although these should be mentioned briefly in the Full Proposal’s Statement of Work.

**Cooperative Agreement** – A legal instrument, consistent with 31 U.S.C. 6305, is used to enter into the same kind of relationship as a grant (see definition “grant”) except that substantial involvement is expected between the DOD and the recipient when carrying out the activity contemplated by the cooperative agreement. The term does not include “cooperative research and development agreements” as defined in 15 U.S.C. 3710a. No fee or profit is allowed.

**Contract** – A legal instrument, consistent with 31 U.S.C. 6303, reflects a relationship between the Federal Government and a State, a local government, or other recipient when the principal purpose is to acquire property or services from the contractor for the direct benefit or use of the Federal Government. Contracts will not be awarded under this BAA.

Grants and cooperative agreements must be in compliance with OMB Circular A-110 relocated to 2 CFR 215.

**NOTE:** Grants and Cooperative Agreements DO NOT include the delivery of software, prototypes, and hardware deliverables; instead, their primary deliverable is a report of research findings.

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

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

12. **Other Information:**

Work funded under a 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 on and definition of “contracted fundamental research” as provided in the Under Secretary of Defense (Acquisition, Technology and Logistics) Memorandum of 24 May 2010.

As defined therein the definition of “contracted fundamental research,” in a DOD contractual context, includes [research performed under] grants and contracts 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 campus at a university. 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 contract or grant.

Pursuant to DOD policy, research performed under grants and contracts that is a) funded by Budget Activity 6.2 (Applied Research) and NOT performed on-campus at a university or b) funded by Budget Activity 6.3 (Advanced Research) does 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 “contracted fundamental research,” except as otherwise required by statute, regulation or Executive Order. For certain research projects, it may be possible that although the research performed by the prime contractor (grantee) is restricted research, a subcontractor may be conducting “contracted fundamental research.” In those cases, it is the prime grantee’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 contractor (grantee) and research
performer.

Normally, fundamental research is awarded under grants with universities and under contracts with
industry. Non-fundamental research is normally awarded under contracts and may require restrictions
during the conduct of the research and DOD pre-publication review of such research results due to
subject matter sensitivity. Potential Offerors should consult with the NPS CMIS Technical POCs to
determine whether the proposed effort would constitute basic research, applied research or advanced
research.

FAR Part 35 restricts the use of Broad Agency Announcements (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.

**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
a Business POC identified in Section I.8 above before submitting your proposal.

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

II. **AWARDS:**

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

   **Anticipated Number of Awards:** The Government anticipates making approximately 5-10 grant
   awards that represent the best value to the Government in accordance with the Research
   Opportunity and Topic Area Descriptions found herein.

   **Anticipated Range of Individual Award Amounts:** The estimated amount of funding is expected to be
   between $50,000 and $150,000.

   **Anticipated Period of Performance:** The performance period of the grant award may be up to 12
   months.

   **Follow-on Option Periods:** Inclusion of option periods is allowed but not required. Proposals may
   include up to two (2) follow-on option periods of no more than 12 months each. Each option period
   must be between $50,000 and $150,000 in size. Funding of option periods is at the discretion of the
   Government. Award of grants under this BAA does **not** constitute a commitment to fund option
   periods. The base year work proposed under this BAA must result in a stand-alone research work
   product in the form of a technical report that is **not** dependent on receiving approval for follow-on
   option periods.

   **Submission Limits:** There is no limit to the number of proposals an institution can submit to this
   BAA.
2. Notification Process:

Award selection notification from NPS must not be regarded as an authorization to begin performance or commit/expend funds. The Government is not obligated to provide any funding until a Government Grant Officer from NAVSUP FLC San Diego signs the respective award document. Costs incurred in advance of signed grants and cooperative agreements are solely the responsibility of the prospective grantee.

III. ELIGIBILITY:

All responsible sources from U.S. academia, U.S. research institutions, U.S. laboratories outside the Federal Government, U.S. industry, and accredited foreign universities may submit proposals under this BAA.

Federally Funded Research & Development Centers (FFRDCs), including Department of Energy National Laboratories, are not eligible to receive awards under this BAA. U.S. Government schools of higher education, 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 proposals in response to this BAA. If any such organization is interested in research described herein, the organization should contact baa@nps.edu.

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.

Some topic areas may 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. Please see Application and Submission instructions below on protecting such information from public distribution.

IV. APPLICATION AND SUBMISSION:

Offerors are to submit Full Proposals only. White papers will not be accepted. Full Proposals shall follow the format described under the proposal preparation sections below.

All proposals should describe how the research will advance knowledge in the field of study, enhance understanding, and have the potential to provide a direct benefit to the public.

A grant can only be awarded if the principal purpose of the research effort is to support or stimulate a public purpose and the research is independently conducted.

A cooperative agreement can only be awarded if the principal purpose of the research effort is to support or stimulate a public purpose and there is substantial, collaborative involvement with the Government.

Titles given to proposals should be descriptive of the work they cover and not be merely a copy of the title of this solicitation.

Proposals submitted under this BAA are expected to be unclassified. The research proposed is also expected to be unclassified.

All proposal submissions will be protected from unauthorized disclosure in accordance with FAR
15.207, applicable law, and DOD/DON regulations. Support contractors may have access to technical submissions for validation and technical review only. DOD and DON will ensure that any such support contractor will have adequate organizational conflict of interest clauses in their respective support contracts and will obtain copies of any relevant non-disclosure agreements by and between the contractor and its employees.

1. Format and Content of Full Proposals:

Full Proposals must be submitted electronically at http://www.grants.gov using the application template package associated with this BAA. Detailed format and content instructions follow. Assume that performance will start no earlier than six (6) months after you are notified your Full Proposal has been recommended for award.

A. Full Proposal Format – Technical and Cost Proposals

- 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:
  - The technical proposal is limited to no more than 25 pages, including cover page, table of contents, executive summary, statement of work, and indexes, foldouts, photographs, and appendices. The appendices include at least two short documents: a work plan and a quad chart.
  - The cost proposal is limited to no more than 10 pages, excluding supporting documentation attached separately as a PDF on the Grants.gov application website.
  - Bios, CVs, and resumes are attached together as one Adobe PDF document and uploaded to Grants.gov. They do not count toward the total page count of the technical proposal. Each bio, CV or resume should be no more than three (3) pages in length.

B. Full Proposal Content – Technical Proposal

- **Cover Page**: This should include the words “TECHNICAL PROPOSAL” at the top and the following:
  - BAA number NPS- BAA-14-005
  - Descriptive title of the proposed research
  - Identity of prime Offeror institution
  - Complete list of subcontractors or subgrantees, if applicable and known at time of application
  - Technical contact (name, title, address, phone, fax, email address)
  - Administrative/business contact (name, address, title, phone/fax, email address)
• Proposed duration of effort in the format: “# months from time of award.” Differentiate basic effort and any proposed option periods.

• **Table of Contents:** A listing of the section numbers and corresponding heading titles within the proposal, including corresponding page numbers.

• **Executive Summary:** Concise (approximately 200 words) summary of the proposed research effort. The executive summary provides a brief overview of the proposed program topic, objectives, methodology, and expected results. In addition, the executive summary must include the name of the Offeror Institution and state 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 (SOW):** A research description clearly detailing the scope and objectives of the research effort and its technical approach. The proposed SOW may be incorporated as an attachment to the resultant award instrument. Thus, Full Proposals must include a severable, self-standing SOW without any proprietary restrictions or controlled unclassified information (e.g., export-controlled information), which can be attached to the agreement award.

A major portion of the proposal should consist of a clear description of the technical approach being proposed. This discussion should provide the technical foundation/justification for pursuing this particular approach and why one would expect it to enable the research objectives of the proposal. Within the technical approach, include a detailed list of the research tasks/subtasks organized chronologically.

If the SOW is proposing a conference, symposium, workshop, or strategic dialogue as part of the research methodology, the SOW must describe the need for such a gathering and how the meeting results are expected to support the project objective. Conference expenses in federal grants are exempt from U.S. Government conference approval guidance per the OMB Memo May 2012. See page 3, footnote 5 at [http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-12.pdf](http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-12.pdf).

For **Statements of Work proposing conferences, symposia, or workshops** as a part of their research methodology, the SOW must include the following information:

**Rationale:**
- Stated objective(s) of the event, if distinct from project objectives stated in the opening paragraph of the technical proposal
- Statement of the need for such a gathering

**Qualifications:**
- Listing of up to three recent meetings on a related subject carried out by the Offeror, including dates and locations

**Content:**
- Draft agenda with potential topics and potential list of participants (if known); if participants are unknown, describe the types of participants, such as scholars and their fields of study
- Location and probable month and year of the meeting
- Reason(s) for event location
- Plan for recruitment of and support for speakers and other attendees, that includes participation of groups underrepresented in security studies (e.g., underrepresented minorities, women and persons with disabilities)
Management:
  o Statement of how the meeting will be conducted, how the results of the meeting will be disseminated, and how the meeting will contribute to the enhancement and improvement of the scientific and/or educational activities
  o Estimated total budget for the event.

Measurable Results Expected:
  o Outputs – This might include progress reports, steering committee or subcommittee meetings, event programs, participant biographies, final rosters, concept paper, and conference papers
  o Outcomes – Expected result, effect, or consequence that will occur from carrying out the event as related to programmatic goals and objectives.

• Project Schedule and Milestones: A table summarizing the schedule of research and reporting activities and milestones. Because the date of award is not known at time of application, we recommend a “month 1,” “month 2,” or “quarter 1,” “quarter 2” format, as opposed to naming specific months and dates.

• Work Plan Summary: A work plan summary sheet in the below prescribed format must be included as an ADDENDUM to the Statement of Work. This page will be used as a stand-alone item during the evaluation process. It must be submitted in the format prescribed starting on a new page so that it may be easily separated from the body of the SOW. Proposals submitted without this summary sheet may be rejected for award.

WORK PLAN
for Proposal Submitted to NPS BAA-14-005

Offeror: [INSERT NAME OF YOUR INSTITUTION]
Principal Investigator: [INSERT NAME AND TITLE]
Project Title: [INSERT TITLE]

Proposed Period of Performance: [INSERT PERIOD OF PERFORMANCE IN NUMBER-OF-MONTHS FORMAT – EXAMPLE: 12 MONTHS]

Project Overview: [INSERT EXECUTIVE SUMMARY OF PROJECT, NO MORE THAN 200 WORDS]

Research Plan: The key research objectives of this work include:
  • [INSERT OBJECTIVE 1]
  • [INSERT OBJECTIVE 2]
  • ...
  • ...
  • ...
  • [OBJECTIVE X]

[INSERT WRITTEN DESCRIPTION MANAGEMENT PLAN/PLAN FOR PERFORMING RESEARCH. EXAMPLES OF THE TYPES OF INFORMATION TO BE INCLUDED ARE: WHERE THE RESEARCH WILL BE PERFORMED, HOW THE RESEARCH TEAM WILL CONDUCT THE ACTIVITIES, AND HOW THE RESEARCH BE SUPERVISED]

Public Benefit: [INSERT DESCRIPTION OF PUBLIC BENEFIT]
**Presentation of Results:** [INSERT DESCRIPTION OF HOW THE RESULTS WILL BE PRESENTED AND DISSEMINATED AND THE SCHEDULE OF DELIVERABLES]

[NOTE: THE FOLLOWING THREE SECTIONS MUST BE INCLUDED AT THE END OF THE WORK PLAN IN THEIR ENTIRETY. DO NOT AMEND THIS TEXT, SIMPLY COPY IT INTO THE WORK PLAN.]

**Acknowledgment of Support:** The grantee is responsible for assuring that NPS’ full or partial support is acknowledged in journal articles, books, oral or poster presentations, news releases, interviews with reporters, and other communications derived from work supported under this BAA. Any documents, including World Wide Web content, 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] results from research supported by the Naval Postgraduate School Assistance Grant/Agreement No. NPS BAA-14-005 awarded by the NAVSUP Fleet Logistics Center San Diego (NAVSUP FLC San Diego). The views expressed in written materials or publications, and/or made by speakers, moderators, and presenters, do not necessarily reflect the official policies of the Naval Postgraduate School nor does mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Review for Sensitive Information:** Prior to the public release of these materials, the grantee is responsible for assuring that the NPS Technical Point of Contact is provided access to an electronic version of every publication of material based on or developed under this award, clearly labeled with the award number and other appropriate identifying information, so that the content can be assessed for proper release of sensitive information.

**Copies for NPS:** Promptly after publication, the grantee will provide the NPS Technical Point of Contact access to an electronic version of every publication of material based on or developed under this award, clearly labeled with the award number and acknowledgement of support (see above).

- **Project Quad Chart:** A chart prepared in the below prescribed format must be included as an ADDENDUM to the Statement of Work. Note: This page will be used as a stand-alone item during the evaluation process. It must be submitted in the format prescribed and starting on a new page so that it may be easily separated from the body of the SOW. Proposals submitted without a quad chart may be rejected from review or recommendations of award.
• **Reports:** The following are sample reports that are typically provided under a grant-funded research effort (do not include software, prototypes, hardware as deliverables):
  - Technical and financial progress reports, quarterly
  - Presentation materials
  - Technical and financial reports, final

• **Public Purpose:** 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. *The public benefits statement is an important part of the evaluation and award process.*

• **Management Approach:** A discussion of the overall approach to the management of this effort, including brief discussions of the total organization; responsibilities of the various personnel; subcontractor or subrecipient relationships to the project and their function (if any); Government research interfaces; and planning, scheduling and oversight practices. 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.

• **Offeror Qualifications:** A discussion of previous accomplishments and research by the Offeror *institution* in this or closely related areas; and a discussion of the qualifications of the proposed Principal Investigator and other key personnel. Brief curricular vitae, bios, or resumes are to be attached separately in Grants.gov.

• **Statement of Research Status:** Concise statement that identifies whether the proposed research is a follow-in effort from a prior NPS award, and if so, describes how the proposed project extends or enhances the prior effort. Identify whether applicants have received prior awards through the NPS, and if so, give the status of all deliverables for those awards.

• **Current and Pending Project and Proposal Submissions:** Principal investigators and key personnel 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 on 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 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.

Include the following for any funded research projects that take or will take the principal investigator’s time or that of any other key personnel, even if they receive no salary support from the project(s).

1. Title of Proposal
2. One-to-two (1-2) sentence summary
3. Source (sponsor) of funding
4. Total award amount, followed by total direct costs and total indirect costs (if any)
5. Contract and/or grant number
6. Percent effort devoted to the project; this can be the number of person-months or labor hours per year
7. Identity of prime Offeror and complete list of subcontractors, if applicable
8. Technical Point of Contact (name, address, phone/fax, email address)
9. Administrative/Business Point of Contact (name, address, phone/fax, email address)
10. Period of performance
11. How the project is related to the proposed effort and degree of overlap, if applicable.

C. Full Proposal Content – Cost Proposal

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.

Two budgetary documents other than the cost proposal are required. First, the Offeror must use the Grants.gov budget forms (including the Standard Form (SF) Research and Related (R&R) Budget Form) from the Grants.gov application package template associated with this BAA and located at http://www.grants.gov/. Second, a separate Adobe PDF document shall be uploaded with your other Grants.gov application materials, providing appropriate verification and/or supporting documentation for each element of costs proposed.

In addition to a narrative, Offerors may elect to include as part of their cost proposal a spreadsheet showing calculations, unit price, and number of units in more detail than is possible on the required Standard Form (SF) Research and Related (R&R) Budget Form. However, inclusion of a more detailed spreadsheet is not a substitute for a detailed narrative, SF (R&R) Budget Form, or supporting documentation.

**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*
• Commercial Organizations: FAR Part 31, DFARS Part 231, FAR Subsection 15.403-5 and DFARS Subsection 215.403-5.

*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 cost proposal narrative 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 supporting documentation verifying individual labor rates for each known individual; this may include a recent payroll receipt for individuals or a signed statement of salary rate or hourly rate and level of appointment from the Offeror’s Sponsored Programs Office or Human Resources Office. For persons yet to be identified, provide general tables or schedules by labor category, which labor category will be used and why that labor category is appropriate.

- **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 Cost Proposal narrative must include the rates and calculations of the costs for each labor category/person, the salary amounts to which they are applied, and the sum total for each labor category/person.

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:
  o The purpose of the trip
  o Origin and destination, if known (origin is typically known; if destination is unknown, state basis for estimating travel cost)
  o Estimated duration
  o Number of travelers
  o Estimated cost per trip

The costs must be justified based on the organization’s historical average cost per trip or other reasonable basis for estimation, such as estimates listed online. 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, if known. Provide a copy of Offer institution’s travel policy. Provide documentation for proposed airfare costs (such
as internet quotes from a travel website).

If hosting a workshop or other type of meeting for which participant travel costs are requested in the budget, outline those costs here, including best estimates for origin and destination, approximate duration, number of travelers, and estimated cost per trip. If available, include a tentative agenda and roster of participants by organizational affiliation. If not available, state how many participants are anticipated from the U.S. Government and how many from outside the U.S. Government. **Funds provided cannot be used for payment to any Federal Government employee for support, subsistence, or services in connection with participation at a meeting sponsored through this award.**

In addition to travel required to carry out the proposed research, cost proposals must include travel costs to Monterey, CA, to present research findings. Offerors should budget for one (1) round trip for up to three (3) members of the research team to and from the Naval Postgraduate School in Monterey, California, for two (2) days (not including travel days). One of the travelers must be the principal investigator. This travel is for the purposes of attending and presenting research findings at a technical research review meeting to be held approximately 3 months prior to the end of the period of performance. This meeting is for the purpose of reporting progress and distribution of research reports. Travel to this event for additional team members will be considered; however, a written justification for each must be included.

- **Subawards** - Subawards (typically a grant or cooperative agreement from the Offeror to another institution, but may include a subcontract) should be utilized only when the Offeror 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 by the subrecipient and must be included in the proposal by the Offeror.

Alternatively, the proposed subwardee’s or subrecipient’s cost proposal can be provided via email directly to the NPS General POC at baa@nps.edu at the same time the prime proposal is submitted. The email must 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:

- 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 (grant, contract, 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 the proposed consultant services must be justified and included in the Technical Proposal.

If known at time of application, the Cost Proposal must include the name of the consultant(s), primary organizational affiliation, each individual’s expertise, and a breakdown of the consultant’s hours, the hourly rate proposed, and any other proposed consultant costs, such as estimated travel costs and per diem rates. 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.

If consultant services are anticipated but not under contract, provide expertise required, estimate of consultant’s total hours, hourly rate proposed, and any other anticipated costs, such as estimated travel costs and per diem rates. Provide documentation (past invoice) of similar work conducted by someone with similar expertise or level of experience.

• **Materials & Supplies** - Provide an itemized list of 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.

• **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). In addition to stating the basis for the cost estimates, include supporting documentation where possible.

If the technical approach includes a hosted conference, workshop, dialogue, or other type of meeting, include the estimated costs of the meeting venue. Describe how the venue will be selected, by what criteria, and what will be requested in the conference package. To support cost estimates, include past venue invoices or initial quotes from likely venues. Meals and refreshments can be paid with Federal funds if they are essential to keeping workshop participants together during a condensed schedule and the meals are working sessions.

If honoraria will be offered to workshop participants, provide the unit cost and expected number of honoraria. State the basis for the cost estimate, such as experience hosting similar events with similar caliber of presenters in the past, or honoraria received by the Principal Investigator for a similar research presentation. *Government participants may not receive honoraria.*

• **Indirect Costs (i.e., F&A, Overhead, G&A, etc.)** - Describe 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.

Negotiated rates are not required to make award. However, 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 institution’s request for such an agreement with its cognizant agency.

- **Fee/Profit** - Fee/profit is unallowable under grants or cooperative agreements 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 allocable, allowable and reasonable. A detailed budget and budget narrative will facilitate this cost analysis.

D. **Full Proposal Content – Biographical Information/Curriculum Vitae**

Biographical information or a curriculum vita for each key participant should address the following in three (3) pages or less per person:

- List of current and most relevant past professional experience
- List of advanced degrees earned, including degree type, discipline or department, institution, and title of thesis or dissertation
- List of publications, professional activities, patents, honors, awards, and other accomplishments
- Information describing any research specifically related to the proposed project and relevant experience of investigator(s)
- Description of involvement in other research projects currently undertaken by the applicant, whether or not acting as a principal investigator.

These documents are to be collated into one PDF file and uploaded at the place indicated on Grants.gov.

2. **Significant Dates and Times:**

This announcement will remain open until **4:00 p.m. (Pacific Daylight Time), 30 September**
2015. Proposals may be submitted at any time during this period. However, in order to be considered for a FY15 award, proposals should be submitted no later than 5:00 p.m. (PDT) 31 October 2014.

3. Submission of Late Proposals: Not applicable (N/A).


All Grant and Cooperative Agreement Full 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.

A. 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:

1. Obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number
2. Registering with the System of Award Management (SAM)
3. Registering with the Credential Provider

Use the Grants.gov website to begin these processes:

- [http://www.grants.gov/web/grants/home.html](http://www.grants.gov/web/grants/home.html)

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 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 (1-606-545-5035 for foreign applicants) or email: support@grants.gov.

**NOTE:** 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.

B. Grants.gov Full Proposal Submission:

Application forms and instructions are available at Grants.gov. To access these materials, go to [http://www.grants.gov](http://www.grants.gov), select "Apply for Grants", and then select "Download Application Package."

In the box labeled Funding Opportunity Number, enter NPS-BAA-14-005, which is also 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.

It is recommended that you complete SF 424 R&R form first, which will populate data in the 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).

All Offerors must complete and submit the five mandatory forms listed below 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 (forms are included in the application package available on Grants.gov posted with this BAA):

1. SF-424 R&R, Application for Federal Assistance
2. SF-424A, Budget Information - Nonconstruction Programs
3. SF-424B, Assurances - Nonconstruction Programs
4. R&R Other Project Info
5. R&R Senior/Key Personnel

All attachments to grant applications submitted through Grants.gov must be in Adobe 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.

V. PROPOSAL EVALUATION:

1. Evaluation Criteria:

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

A. Overall scientific and technical merits of the proposal, including:

   1) Quality, rigor, and technical merits of the proposed effort
   2) Feasibility and appropriateness of research design and methodology
   3) Potential impact of research results
   4) Academic publication potential of research results

B. Potential expansion of knowledge about issues, technologies, and phenomena related to national security.

C. Anticipated benefits of new knowledge to the general public.
D. Potential relevance to U.S. national security, the U.S. Navy, and NPS research mission.

E. The offering institution’s capabilities, related experience, facilities, techniques or unique combinations of these, which are integral factors for achieving the proposed objectives.

F. The qualifications, capabilities and experience of the proposed principal investigator, team leader, and/or other key personnel who are critical to achievement of the proposed objectives and must commit time and attention to ensure success of the project.

G. Accuracy, allowability, allocability, and reasonableness of the cost proposal.

H. Availability of funds.

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 and/or other technical experts drawn from Government, industry, or academe will perform the evaluation of technical proposals. Government business professionals will evaluate cost proposals. Restrictive notices notwithstanding, one or more support contractors may consult as technical subject-matter experts. Similarly, support contractors may also be utilized to evaluate cost proposals. 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. Proposal selection and award decisions are solely the responsibility of Government personnel.

VI. **AWARD ADMINISTRATION:**

1. Administrative Requirements:

   A. *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.

   B. *System for Award Management (SAM):* All Offerors submitting proposals or applications must:

      1. Be registered in the System of Award Management (SAM) prior to submission
      2. 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 USG agency
      3. 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/).

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 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.


- Department of Defense Grant and Agreement Regulations (DODGARS 3210.6-R). An electronic copy of the 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.

VII. OTHER INFORMATION:

1. 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. 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.

The Government does not provide access to classified material or secured facilities under grants.

2. Use of Human Subjects and Animals in Research:

For proposals for research involving human subjects, the Offeror must submit or indicate an intention to submit prior to award:

1. Documentation of approval from an Institutional Review Board (IRB)
2. IRB-approved research protocol
3. IRB-approved informed consent form
4. Proof of completed human research training (e.g., training certificate or institutional verification of training)
5. 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 must be submitted to the NPS Human Research Protection Official (HRPO), by way of the NPS Grants Management Specialist at baa@nps.edu. Information about assurance applications and forms can be obtained by contacting IRB@nps.edu. For assistance with submission of human subjects research-related documentation, contact the NPS Human Research Protection Official at (831) 656-2473.

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

3. 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).

4. Conflicts of Interest:

Organizational Conflicts of Interest: All Offerors, principal investigators, and proposed subcontractors must affirm whether they are providing scientific, engineering, and technical assistance (SETA) or similar support to any Naval Postgraduate School (NPS) school/office, or to the underlying sponsor of this research 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 will be rejected without technical evaluation and withdrawn from further consideration for award.

Post-Employment Conflict of Interest: There are criminal laws and standards of conduct regulations that may apply to current or former Government employers/military officers who draft or assist in the drafting of grant proposals, or are named as principal investigators/alternates in grant proposals. See 18 United States Code (U.S.C. 203 - 207). These restrictions may apply to reservists on active duty, or to employees who served on a Federal Advisory Board/Council within the last 365 days, i.e. Special Government Employees. Accordingly, Offerors submitting grant proposals are required to identify any potential post employment or current conflict of interest to the Grants Officer if a Government employee or former Government employee (broadly defined above to include military members, Special Government employees or reservists) participated in proposal drafting and/or is named as a principal investigator or alternate principal investigator.

If a prospective Offeror believes a conflict of interest exists or may exist (whether organizational or otherwise) or has questions on what constitutes a conflict interest, the proposer should send his/her contact information and summary of the potential conflict to baa@nps.edu before time and effort are expended in preparing a proposal and mitigation plan.
Be advised the Grants Officer reserves the right in his/her discretion to withhold award if he/she determines after consultation with the Offeror and Navy Legal Counsel that there is a conflict of interest or standards-of-conduct violation, whether organizational or otherwise.

5. **Acknowledgement of Naval Postgraduate School (NPS) Support:**

NPS’ full or partial support must be acknowledged in journal articles, books, oral and 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 research supported by the Naval Postgraduate School 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 or NPS. The NAVSUP FLC San Diego and NPS do not endorse any products or commercial services mentioned in this publication.

6. **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.

7. **Intellectual Property (applies to cooperative agreements):**

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.”

8. **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.
9. 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.

10. Reporting Executive Compensation and First-Tier Subcontract Awards:

The FAR clause 52.204-10, “Reporting Executive Compensation and First-Tier Subcontract Awards,” will be used in all procurement contracts valued at $25,000 or more. A similar award term will be used in all grants and cooperative agreements.

11. 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.

12. 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 proposal which of these facilities are critical for the project’s success.

13. Updates of Information Regarding Responsibility Matters:

FAR clause 52.209-9, Updates of Publicly Available Information Regarding Responsibility Matters, will be included in all contracts valued at $500,000 or more where the contractor has currently active Federal contracts and grants with a total value greater than $10 million.