

**Amendment No. 0003 to NPS BAA Announcement #08-001
National Security Science and Engineering Faculty Fellowship (NSSEFF) Program**

The purpose of Amendment 0003 is to provide changes and/or clarification to questions received in response to NPS BAA #08-001.

The full solicitation is available at:

Grants.Gov: <http://www.grants.gov/> or
NPS Website (Working with NPS): <http://www.nps.edu/Research/WorkingWithNPS.html>

Section I, Para 5 (Replace)

This announcement will remain open until 28 March 2008 or until replaced by a successor BAA.

Universities intending to nominate faculty should do so by 15 February 2008. The "intent to nominate letters" are not binding on DoD, the university, or the individuals nominated. These letters are requested for planning purposes. Formal nominations and white papers will be required by 21 February 2008. Semi-finalists will be required to submit full proposals by 28 March 2008, and to present their proposals in the Washington D.C. area 18-20 April 2008. Semi-finalists will be required to apply for a security clearance by 11 March 2008. .

Section I, Para 6 (Replace):

The Naval Postgraduate School (NPS) will receive applications for the National Security Science and Engineering Faculty Fellowships (NSSEFF) Program. The Department of Defense (DoD), Office of the Director, Defense Research and Engineering (DDR&E) has established the NSSEFF program with the following objectives: provide extensive, long-term financial support to distinguished university faculty scientists and engineers to conduct unclassified, fundamental research on topics of interest to DoD; ensure that our nation has an active, long-term, well informed, and aggressive research and engineering portfolio that attracts creative and energetic scientists, engineers, and their students.

The Fellowship is open to distinguished faculty scientists and engineers whose earned Ph.D. or equivalent degree was awarded after 31 December 1982. Accredited, degree-granting educational institutions may nominate distinguished faculty scientists and engineers to receive National Security Science and Engineering Faculty Fellowships. The Fellows will be selected based on competitive evaluations of the scientific and technical merit of the nominees' white papers and proposals. It is anticipated that as many as ten (10) fellowships will be awarded each fiscal year.

Each Fellow will receive up to \$3,000,000 in long-term financial support (up to \$600,000 per year for up to five (5) consecutive years) to conduct fundamental research on topics of interest to DoD. Fellows are expected to produce quantifiable research results over the five-year period of the grant. Fellows are also expected to participate in all NSSEFF activities.

Although the intent for the fundamental research is to be unclassified, each Fellow must be able to obtain and maintain a Department of Defense Secret security clearance. The NSSEFF program will expose Fellows to classified information necessary to inform the

objectives, approach, and conduct of their fundamental research. A current Secret security clearance is not required at the time of application. However, Fellows must be granted and maintain a final Secret clearance to receive program funding.

Grants will be made to the Fellow's university in accordance with all applicable laws and regulations, but the award is portable with the individual Fellow. The Fellows will be required to be full and active participants in all NSSEFF activities, provide annual reports of research progress and financial management to the Department, and brief DoD leadership in person at least once each year on their research progress and results.

Research topics should be aligned with the Desired Capabilities S&T Investment Areas or the Enabling Technology Investment Areas or from the 2007 Director of Defense Research and Engineering (DDR&E) Strategic Plan.¹ Before selecting research topic(s), a thorough reading the Strategic Plan is highly recommended. Additional details are available at: http://www.dod.mil/ddre/doc/Strategic_Plan_Final.pdf

Section III (Change):

From: The Fellowship competition is open to U.S. citizens whose earned Ph.D. was awarded with the past 25 years. Applicants must be faculty or staff at an accredited, degree-granting educational institution.

To: The Fellowship competition is open to distinguished faculty scientists and engineers whose earned Ph.D. or equivalent degree was awarded after 31 December 1982. Applicants must be faculty or staff at an accredited, degree-granting U.S. educational institution.

Section IV through Para. 6 is replaced in its entirety by:

IV. APPLICATION AND SUBMISSION INFORMATION

Summary of Application Process

The NSSEFF application process will be carried out in an initial phase plus two rounds. In the initial phase, each university or other degree-granting educational institution (hereafter referred to as "university") intending to nominate faculty shall submit an "intent to nominate" letter for program planning purposes. This "intent to nominate" letter must state the name, title, faculty position and desired research topic of the intended nominees.

In the first round, individual applicants will submit a five (5) page white paper and an individual letter of nomination from their educational institution. The letter must name the faculty member nominated, the topic of the white paper submitted, commit the university to comply with the requirements of the Fellowship if awarded, and be signed by the President, Chancellor, or highest official on that campus. The white paper shall describe the proposed unclassified basic research over the period of the grant. The desired research topics must be aligned with the Desired Capabilities S&T Investment Areas or the Enabling Technology Investment Areas from the 2007 DDR&E Strategic Plan.

¹ Department of Defense Research & Engineering Strategic Plan. 2007. John J. Young, Jr. Director of Defense Research and Engineering, Washington DC, pages 17-20.

In the second round, approximately twenty (20) semi-finalists will be asked to submit a full twenty (20) page proposal. In order to continue in the competition, uncleared semi-finalists must apply for a security clearance by submitting an on-line SF-86 form (Questionnaire for National Security Positions) according to instructions that will be communicated to individual semi-finalists. Semi-finalists will also be required to provide three (3) letters of recommendation and to be interviewed regarding their proposals in person by the NSSEFF Selection Board in the Washington D.C. area.

Application Process Details

1. Intent to nominate letter (for program planning purposes)

Each university intending to nominate faculty will send a letter to the POC addressed on page 10, para. 6. Letter(s) of Intent will be accepted through 15 February 2008. The letter may be sent by first-class mail, hand-delivered, or by express courier. This "intent to nominate" letter must state the name, title, faculty position and desired research topic of each of the intended nominees. It must be signed by the President, Chancellor, or highest official on that campus of the university. If the highest official is unavailable for signature at the time of the submission of the letter of intent, the highest ranking official available and authorized to sign for the individual designated above may sign. To be eligible to submit a white paper, the principal investigator must be listed on one of the "intent to nominate" letters. However, the "intent to nominate" letters are not binding on the DoD, the university, or the individuals named to require submission of a white paper. These letters collectively will give the maximum number of white papers eligible for submission and will thus allow proper planning for the NSSEFF Evaluation Panel, the NSSEFF Selection Board, and other programmatic events.

2. Electronic Submission of Material for the First Round (White Paper Application Process)

Application for the first round (white paper submission) of the NSSEFF competition must be done electronically. The submission process could take several minutes depending on network connection and the size of the files being submitted. Applicants should not wait until the last minute to submit their application. The submitter is responsible for leaving enough time for the upload to complete before the deadline. An e-mail confirmation will be sent upon receipt of the submission.

When applying at <https://acqutrak.noblis.org/ApplyNSSEFF>, the following administrative information will be required to be entered:

- Project Title
- Principal Investigator's Name
- Date of Ph.D. or equivalent degree
- Principal Investigator's Contact Information: organization's name and complete mailing address, E-mail address(es), fax and phone number(s)
- Sponsored Program Office Contact Information: POC Name, E-mail address, phone number
- Technical topic area addressed in this white paper (areas given on the website)

- Whether or not you hold a valid U.S. security clearance (a U.S. security clearance is not required to apply for this program)

The following items will be uploaded in separate files in pdf format to complete the application process:

- Individual Nomination Letter from Educational Institution
- Executive Summary
- White Paper (including a copy of the Executive Summary)

These three items should be separate electronic files. They are to be uploaded separately onto the application web site at <https://acqutrak.noblis.org/ApplyNSSEFF> . The sum of the file sizes for all three files must not exceed 5Mb.

Individual Nomination Letter from Educational Institution

An individual nomination letter will be required to be submitted electronically in pdf format. The individual nomination letter shall name the individual faculty member nominated, the topic of the white paper submitted, commit the university to comply with the requirements of the Fellowship if awarded, and be signed by the President, Chancellor, or highest official on that campus of the university.

Executive Summary

Provide a concise description (~half page) of the scientific, technical, and management approach proposed to address the topic area(s). Point out what is unique about the proposed research approach. This is required to be in a separate pdf file for reviewer assignment purposes.

White Paper (including a copy of the Executive Summary)

White papers should capture the essence of the full five-year research plan and permit evaluators to assess the potential of a full proposal to meet the objectives of the program. The white paper plus executive summary in this file shall not exceed five (5) pages including all pictures, figures, tables, and charts in a legible size. Documents shall have a minimum of 12 point font size, single line spacing, and margins at least 1 inch on all sides. The file must be submitted in pdf format only.

The White Paper should contain the following information in the following order:

A. Executive Summary:

At the beginning of this file, insert a copy of the ~half page Executive Summary text described above.

B. Technical Description:

Briefly summarize the state of the field. Describe the basic scientific or technical concepts you will investigate. Describe what is unique about the proposed approach. Describe the anticipated intermediate research gains that may result. Given the successful completion of the five-year course of investigation, what results, new knowledge, or insights, might it afford compared to alternate approaches other workers in this field have taken?

Identify the key scientific, technical, or engineering challenges that must be met successfully (and the sequence in which each must occur) to complete this project. Describe your plan to mitigate those risks. Describe any material, such as unique facilities, specialized probes, or representative test materials, which must be provided by the Government to support the proposed research.

C. Principal Investigator Qualifications and Experience:

The nominee should include a paragraph that briefly describes previous work experience in areas related to the topic of the proposal.

3. Full Proposals

Full proposals will only be accepted from selected semi-finalists invited to do so. Proposals should capture the totality of the full five-year research plan and permit the NSSEFF Selection Board to assess in detail the potential of the research plan to meet the objectives of the program. As part of this evaluation, semi-finalists will be required to address the NSSEFF Selection Board in person for one hour explaining the technical details and overall merits of their proposals.

A proposal shall not exceed twenty (20) pages including all pictures, figures, tables, and charts in a legible size. A proposal is an electronic file written in Microsoft Word (minimum 12 point font size, single line spacing, margins at least 1 inch on all sides) or PDF format, readable by IBM compatible PCs. Graphic images inserted into the file should be in a format (such as GIF or JPEG) that minimizes file size and supports clear display and document printing.

The proposal should contain the following information in the following order:

A. University cover letter (does not count against 20 page limit)

Formal and final university nomination cover letters were submitted for the nominee's white paper naming the faculty member, the topic of the white paper submitted, committing the university to comply with the requirements of the Fellowship if awarded, and signed by the President, Chancellor, or highest official on that campus of the university. Insert a copy of this letter as the first item in the proposal package. This does not count against the page limit.

B. Administrative Information (does not count against 20 page limit)

Provide the following information:

- BAA Number
- Project Title
- Principal Investigator's Name
- Principal Investigator's Contact Information: organization's name and complete mailing address, E-mail address(es), fax and phone number(s)

- Sponsored Program Office Contact Information: POC Name, office's complete mailing address, E-mail address(es), phone and fax numbers

This does not count against the page limit.

C. Executive Summary (one page limit)

A description of the scientific, technical and management approach proposed to address the topic area(s) over the five year duration of the Fellowship. Describe the major components of the research plan and relevant details about how each component is both necessary and complementary with the others. Point out what is unique about your proposed research approach.

D. Technical Content

Describe the research in sections:

1. Technical Goals and Approach / Innovation: Describe the basic scientific or technical concepts you will investigate, giving your complete five year research plan. Describe what is unique and innovative about your proposed approach. Given the successful completion of the five-year course of investigation, what results, new knowledge, or insights, might it afford? How does your approach compare to alternate approaches other workers in this field have taken?
2. Contribution to NSSEFF Program goals: Describe how your proposed research contributes to the Desired Capabilities S&T Investment areas and Enabling Technology Investment Areas
3. Technical and Management Plan: Identify the key scientific, technical, or engineering challenges that must be met successfully to complete this project. Describe your plan to mitigate those risks. Describe how the total team effort will be managed and provide rationale for participation of key team members. If appropriate, briefly describe anticipated schedule and milestones.
4. Relevant Past Experience: Present previous accomplishments and work in this and any closely related research areas for the principal investigator and any other key personnel on the proposed work.
5. Deliverables and Claims: Describe any deliverables anticipated under this effort, including data, software, hardware, and reports consistent with the objectives of the research involved. Include in this section all anticipated proprietary claims to results, prototypes, intellectual property, or systems supporting and/or necessary for the use of the research, results, and/or prototype. If there are no proprietary claims, so state. The Government expects to retain, at a minimum, Government Purpose Rights to results of funded efforts. If the nominee plans to restrict licensing rights to software, data or hardware, the rationale for so doing should be explained in full.
6. Facilities: Describe key facilities that will be used or are needed in the proposed research. Describe and justify any capital equipment expenditures that will exceed 25% of the total value of the grant.

7. Requirements for Government Furnished Resources: Describe all required materials that must be provided by the Government to support the proposed work. Describe any material, such as unique facilities, specialized probes, or representative test materials, which must be provided by the Government to support the proposed research.

E. CV of Principal Investigator (does not count against 20 page limit)

Provide curriculum vitae for Principal Investigator.

F. Letters of Recommendation (does not count against 20 page limit)

Each nominee will identify in this section the name, address, email address, telephone and fax numbers of three (3) persons who have been asked to submit letters of recommendation to the POC indicated below. These letters have no format or content requirements, but they should accurately describe relevant information about the nominee with regard to professional abilities, technical skills, research management acumen, integrity, and general ethical fitness to assume national security research.

Letters of recommendation will be sent directly to the POC indicated below by the recommenders separate from the proposal and adjunct to it. Letters of recommendation are due to the POC at the same time as full proposals.

G. Estimated Expenditures (Excel spreadsheet preferred and not counted as part of page limit)

The words "Cost Proposal" should appear on the cover page in addition to the following information:

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

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

- Direct Labor – Individual labor category or person, with associated labor hours and unburdened direct labor rates;
- Indirect Costs – Fringe Benefits, Overhead, G&A, COM, etc. (Must show base amount and rate); Note: In accord with current law, indirect costs will be reimbursed up to 35% of total cost. See Appendix A and Appendix B for DoD guidance on Indirect Cost Limitation for Basic Research Awards and Explanatory supplement from the Office of Naval Research.
- Equipment proposed to be acquired – Provide specifically itemized for

equipment greater than \$5k with costs or estimated costs for items such as computer hardware for proposed research projects. An explanation of any estimating factors, including their derivation and application, shall be provided. Where possible, indicate purchasing method (competition, price comparison, market review, etc...)

- Travel – Number of trips, destination, duration, etc.: travel costs will include two trips per year to meet with representatives of the NSSEFF program at military bases and government facilities, plus a trip to Washington, D.C. each year to brief research results.
- Subcontract – Provide brief description, scope, and dollar amount of proposed subcontracts;
- Consultant – Provide consultant agreement or other document which verifies the proposed loaded daily/hourly rate;
- Materials - should be specifically itemized with costs or estimated costs. An explanation of any estimating factors, including their derivation and application, shall be provided. Include a brief description of the procurement method to be used (Competition, engineering estimate, market survey, etc.);
- Other Directs Costs - particularly any proposed items of equipment or facilities. Equipment and facilities generally must be furnished by the recipient. (Justifications must be provided when Government funding for such items is sought). Include a brief description of the procurement method to be used (Competition, engineering estimate, market survey, etc.);
- Grant Specific Costs – Graduate Assistant tuition, laboratory fees, report and publication costs.

4. Application for Security Clearance

Semi-finalists must apply for a security clearance by initiating an on-line SF-86 form (Questionnaire for National Security Positions) by 11 March 2008. Instructions will be given to semi-finalists at the time of notification of semi-finalist status. The SF-86 form may be viewed at http://www.opm.gov/forms/pdf_fill/SF86.pdf.

5. Submission Dates and Times:

What to submit	Required Form	Day	Date	Time
University "intent to nominate" letters (required)	University letterhead, signed by President, Chancellor, or highest official on that campus	Tuesday Friday	22-Jan-08 (preferred submission date) Accepted until 15-Feb-08.	n/a
Formal nomination and white paper deadline (required)	See Section IV.2. full announcement	Thursday	21-Feb-08	1600 PST

Semi-finalist application initiation for Security clearance (SF86) (required)	online registration to be provided	Tuesday	11-Mar-08	n/a
Full proposal deadline (semi-finalists only)	See Section IV.3. full announcement	Friday	28-Mar-08	1600 PST
Interviews in Washington D.C. area		Friday-Sunday	18-20 Apr-08	TBD

6. Submission of Grant Proposals to Grants.gov

Grant proposals will be submitted through Grants.gov or by hard copy. Regardless of whether Grants.gov or “hardcopy” submission is used, the offeror must use the Grants.gov forms from the application package template associated with the BAA on the Grants.gov website. White papers should not be submitted through Grants.gov. White papers will be submitted at <https://acqutrak.noblis.org/ApplyNSSEFF>

For electronic submission, there are several one-time actions that must be completed in order to submit an application through Grants.gov (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the Central Contract Registry (CCR), register with the credential provider, and register with Grants.gov). See www.grants.gov, specifically www.grants.gov/GetStarted.

Use the Grants.gov Organization Registration Checklist at <http://www.grants.gov/assets/OrganizationRegCheck.doc> http://www.grants.gov/applicants/register_your_organization.jsp which will provide guidance through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called ‘MPIN’ are important steps in the CCR registration process. Applicants who are not registered with CCR and Grants.gov, should allow at least 21 days to complete these requirements. It is suggested that the process be started as soon as possible. Additionally, in order to download the application package, applicants will need to install [PureEdgeViewer](#). This small, free program will allow applicants to access, complete and submit applications electronically and securely. For a free version of the software, visit the following website: www.grants.gov/DownloadViewer. If any questions that may arise relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or support@grants.gov.

Address for the Submission of Letters of Intent, Final Nomination Letter and White Paper, Full Proposals and Letters of Recommendation

Submission of Letters of Intent: The deadline for Letters of Intent to Nominate is 15 February 2008. The Letter of Intent to Nominate is not optional. To qualify for submission, the Letter of Intent to Nominate must be received by 1600 PST, 15 February 2008. Means of delivery can be U.S. Mail, expedited courier, or hand delivery. Address for US Mail, expedited courier or hand delivery* is:

Elke Schabo
Naval Postgraduate School
Attn: Research and Sponsored Programs Office
Contract and Grant Support
Code 91
Halligan Hall, Bldg 234, Room 283
699 Dyer Road
Monterey, CA 93943-5138
831-656-2043

Note: The Naval Postgraduate School is a restricted access government facility. Individuals/courier services without approved access to NPS must contact Elke Schabo, 831-656-2053, for temporary gate access. Requests must be received at least 24 hours in advance of time access to NPS is necessary.

Final Nomination Letter and White Paper Submission: Final nomination letters and white papers will be submitted via <https://acqutrak.noblis.org/ApplyNSSEFF>

Before beginning the white paper application process, please make sure you have the following items prepared for submission in separate files in pdf format:

- Individual Nomination Letter from Educational Institution
- Executive Summary
- White Paper (including a copy of the Executive Summary)

These three items should be separate electronic files.

The submission process could take several minutes depending on your network connection and the size of the files being submitted. Please be patient after clicking the Submit button. An e-mail confirmation will be sent upon receipt of the submission. If your total submission (four files) is larger than 5M, you could experience a delay in submission. Submissions significantly larger than 5M may cause submission errors, resulting in your application not getting submitted in a timely fashion. The sum of the file sizes for all three files must not exceed 5Mb in any case.

Hard Copy Submission of Final Proposal (optional): Hard copies of full proposals should be sent to the Naval Postgraduate School at the following address:

Elke Schabo
Naval Postgraduate School
Attn: Research and Sponsored Programs Office
Contract and Grant Support
Code 91
Halligan Hall, Bldg 234, Room 283
Monterey, CA 93943-5138

Submission of Letters of Recommendation: Electronic copy (pdf format) of letters of recommendation should be sent to contracts@nps.edu. Subject line should state BAA NPS-08-001: Letter of Recommendation (School/Individual). Emails received without identification of School/Individual in subject line of email forwarding letter of

recommendation may not be properly received.

Section VI, Para 2 (Change):

From:

2. Reporting

Annually, each Fellow will present the past year's research activities, results, progress toward goals, challenges encountered, intermediate results, recovery plans, new areas of exploration for future years, risk mitigation in practice, financial status, and any other specific information requested by the Program Manager, in person, to DoD leaders, Program Manager, and Grants Officer.

Quarterly, the Fellow's home institution will provide a detailed accounting of the expenditures charged against the Fellowship annual increment to the IGARS system, Program Manager and the Grants Officer.

At the discretion of the Program Manager, the Fellow will promptly provide any information, reports, presentations, financial status, or other information requested.

To::

2. Reporting

Annually, each Fellow will present the past year's research activities, results, progress toward goals, challenges encountered, intermediate results, recovery plans, new areas of exploration for future years, risk mitigation in practice, financial status, and any other specific information requested by the Program Manager, in person, to DoD leaders, Program Manager, and Grants Officer. Monthly informal updates will be required by email.

Quarterly, the Fellow's home institution will provide a detailed accounting of the expenditures charged against the Fellowship annual increment to the IGARS system, Program Manager and the Grants Officer. Quarterly submissions are due not later than ninety (90) days after the end of the "reported quarter."

At the discretion of the Program Manager, the Fellow will promptly provide any information, reports, presentations, financial status, or other information requested.

Section VIII, Para 2 (Change).

From:

2. Use of Human Subjects in Research

Proposals for research involving human subjects the Offeror must submit prior to award: documentation of approval from an Institutional Review Board (IRB); IRB-approved informed consent form; IRB-approved research protocol; an executive summary of planned research (one-half to one page in length); proof of completed human research training (e.g., training certificate, institutional verification of training, etc.); an application for a DoD Navy Addendum to the Offeror's DHHS-issued Federal Wide Assurance (FWA) or the Offeror's DoD Navy Addendum number. The forms for assurance applications can be found at

| http://www.hhs.gov/ohrp/assurances/assurances_index.html/ If the research is determined by the IRB to be greater than minimal risk, the Offeror also must provide the

name and contact information for the independent medical monitor. [Note: for research involving human subjects that is greater than minimal risk, administrative procedures to protect human subjects from medical expenses (not otherwise provided or reimbursed) that are the direct result of participation in a research project must be addressed.

To:

2. 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.

Proposals for research involving human subjects the Offeror must submit prior to award: documentation of approval from an Institutional Review Board (IRB); IRB-approved informed consent form; IRB-approved research protocol; an executive summary of planned research (one-half to one page in length); proof of completed human research training (e.g., training certificate, institutional verification of training, etc.); an application for a DoD Navy Addendum to the Offeror's DHHS-issued Federal Wide Assurance (FWA) or the Offeror's DoD Navy Addendum number. The forms for assurance applications can be found at

http://www.hhs.gov/ohrp/assurances/assurances_index.html/ If the research is determined by the IRB to be greater than minimal risk, the Offeror also must provide the name and contact information for the independent medical monitor. [Note: for research involving human subjects that is greater than minimal risk, administrative procedures to protect human subjects from medical expenses (not otherwise provided or reimbursed) that are the direct result of participation in a research project must be addressed.

ADDENDUM (Addition):

Frequently Asked Questions

The following FAQs are provided in response to questions received in response to NPS BAA Announcement #08-001.

Q: May I apply for an NSSEFF grant if I am a scientist or engineer in a non-profit or for-profit research institution that is not a university or college?

A: No. Nominations will be accepted only for faculty or staff at degree-granting, accredited educational institutions.

Q: I am currently working as a faculty member at a foreign university. Am I eligible to apply for a NSSEFF fellowship?

A: No. The NSSEFF program was created for faculty members at U.S. universities. As a faculty member at a foreign university, you would not be eligible to apply.

Q: I am currently working as a faculty member for a U.S. university but at a branch campus that is in another country. Am I eligible to apply for a NSSEFF fellowship?

A: No. The NSSEFF program is restricted to faculty working at locations in the U.S.

Q: Is collaboration allowed on research projects?

A: Although collaboration is permitted and encouraged, only one Fellowship will be awarded to a nominee.

Q: What are suitable research topics?

A: Research topics should be aligned with the Desired Capabilities S&T Investment Areas or the Enabling Technology Investment Areas or from the 2007 DDR&E Strategic Plan. The high-level Desired Capabilities S&T Investment area groups are: 1) Total Battlespace Awareness, 2) Stability Operations, Cultural Awareness, and Force Management, 3) Command, Control, and Information Management & Net-centric operations, 4) Protection, 5) Joint Training, and 6. Tailored Force Applications. Each of these groups has constituent capabilities at a more detailed level. For example, some of the capabilities associated with Total Battlespace Awareness are: 1) Locate, tag and track terrorists and WMD in denied areas, 2) standoff detection of fissile materials, and 3) wide-area, persistent surveillance. Enabling Technology Investment Areas support multiple systems and platforms. Research in these areas is important to counter disruptive technologies and thwart technological surprise. The specific enabling technology areas are: 1) Biometrics and bio-inspired technologies, 2) Nanotechnology, 3) Information technologies, 4) Persistent surveillance technologies, 5) Networks and communications, 6) Software research, 7) organization, fusion, and mining of data, 8) Human, social, cultural and behavior modeling, 9) Cognitive enhancements, 10) Casualty care and human performance optimization, 11) Advanced materials, 12) Advanced electronics, 13) Energy and power technologies, 14) Alternative fuels and energy sources, 15) Energetic materials, rocket propellants, and explosives, 16) Directed energy technologies, 17) Hyperspectral sensors, 18) Radar, 19) Autonomous systems technologies, 20) Robotics, 21) Manufacturing technologies, 22) Combating Weapons of Mass Destruction, and 23) Large dataset analysis tools.

Suitable topics for research programs should be aligned with, or supportive of, one or more of these areas. Before selecting research topic(s), a thorough reading the Strategic Plan is highly recommended. Additional details are available at http://www.dod.mil/ddre/doc/Strategic_Plan_Final.pdf.

Q: How many individuals may a university or college nominate for the Fellowship competition?

A: There is no limit on the number of nominees from each institution. Each geographically separate campus of a major educational system is considered an institution.

Q: Is a separate “intent to nominate” letter necessary for each nominee from the same institution?

A: No. An institution may submit one “intent to nominate” letter that contains the information required for all the candidates it intends to nominate. If more candidates request nomination after the letter is sent, additional “intent to nominate” letter(s) may also be submitted.

Q: Are separate, formal nomination letters necessary for each individual white paper?

A: Yes. Each white paper must be accompanied by a separate formal nomination letter from the proposer’s institution.

Q: Is possession of a current Secret security clearance required in order to apply for a fellowship?

A: It is not necessary to hold a current Secret security clearance to be nominated and compete for a fellowship. Uncleared semi-finalists will be required to begin the security clearance process as a condition of further competition for award. The security clearance application is an online form called the Questionnaire for National Security Positions (SF-86). The questionnaire will require detailed information about your personal identification, citizenship, address history, schooling, employment, relatives and friends, spouse, foreign activities, use of alcohol and drugs, police record (if any), and financial history. Knowingly providing false information or concealing information on this form is a felony with substantial penalties. A final Secret security clearance is required to receive a Fellowship.

Q: Must I be granted final Secret security clearance status before selection as a Fellow or is an interim Secret clearance acceptable?

A: Since it can take some time to be granted a final security clearance, individuals with interim Secret security clearances may be selected as Fellows. However, final Secret clearance status must be granted before funds can be disbursed. If final Secret clearance is not granted to a Fellow within one year of the notification of the NSSEFF award, that individual's Fellowship offer will be rescinded.

Q: Where can I view the SF-86 form (Questionnaire for National Security Positions)?

A: The SF-86 form can be viewed at http://www.opm.gov/forms/pdf_fill/SF86.pdf

Q: When do I submit the SF-86 form?

A: Only semi-finalists need submit the SF-86 form. If you receive notification that you have been selected as a semi-finalist, you will need to submit this form very quickly, within a few business days of notification of your semi-finalist status. Failure to submit this form within the deadline will disqualify you from continuing in the competition.

Q: To whom do I submit the SF-86 form?

A: The SF-86 form can be found at http://www.opm.gov/forms/pdf_fill/SF86.pdf. Instructions will be given on where to submit the completed form at the time of notification of semi-finalist status.

Q: Are there any restrictions on the use of Fellowship funds?

A: The following restrictions apply to use of the Fellowship funds:

- Changes to research goals expressed in the full proposal require written approval of Grants Officer, Program Manager, and DUSD(LABS)
- No more than 10% of the total Fellowship awarded funds may be used for the salary of the recipient.
- No more than 10% of the total Fellowship awarded funds may be used for facilities construction or improvement.
- Capital expenditures for directly related research equipment are not limited up to the total value of the Fellowship. However, planned expenditure of more than 25% of the total value of the grant on capital equipment must be identified and justified in the full proposal.
- Expenditures for employment of, or stipends supporting, graduate students and post-doctoral students are not limited up to the total value of the Fellowship, provided that this compensation, individually, does not exceed the average salary

or stipend paid to similarly situated students at the same institution by more than 10%.

- Expenditures for remission of tuition expenses for graduate students are limited to \$15,000 per student, per year.
- Expenditures for recipient and student travel singularly related to the research work and for DUSD(LABS) planned visits to DoD laboratories, operating commands, and facilities are permitted and governed by appropriate regulations.
- The award is intended to be portable with the faculty member if he or she moves to a different U.S. educational institution.

Q: Are there any restrictions on publication of research results from this program?

A: No, all work at the university is unclassified and able to be published.

Q: Are there restrictions of the nationality of graduate students working on the program?

A: No.

Q: The BAA states that I must 'obtain and maintain' a Secret security clearance. How do I know if I will be able to do that?

A: Review SF-86 which can be found at http://www.opm.gov/forms/pdf_fill/SF86.pdf. The applicant must sign the certification statement on page 9 of the Questionnaire for National Security Positions (SF-86) and the release of information on page 10.

Addendum (add):

[Appendix A: Undersecretary of Defense Memorandum dated 1 Dec 07, subj, Indirect Cost Limitation for Basic Research Awards.](#)

[Appendix B: FY2008 DoD Appropriation Action 35% Limitation on Payment of Indirect Costs.](#)