BROAD AGENCY ANNOUNCEMENT (BAA)
FOR THE ACQUISITION RESEARCH PROGRAM AT THE
NAVAL POSTGRADUATE SCHOOL

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 (Fleet and Industrial Supply Center-San Diego (FISC-SD)) will issue paper copies of this announcement. Interested parties are responsible to check www.grants.gov or http://www.nps.edu/Research/WorkingWithNPS.html for possible amendments to this BAA.

The Naval Postgraduate School (NPS) reserves the right to select for award all, some or none of the proposals in response to this announcement. NPS reserves the right to fund all, some or none of the proposals received under this BAA. NPS provides no funding for direct reimbursement of proposal development costs. Technical and cost proposals (or any other material) submitted in response to this BAA will not be returned. It is the policy of NPS and FISC-SD to treat all proposals as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

I. GENERAL INFORMATION:

1. **Requiring Agency:** Naval Postgraduate School

2. **Opportunity Title:** Acquisition Research at the Naval Postgraduate School

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

4. **Funding Opportunity Number:** NPS-BAA-11-002

5. **Response Date:** This announcement will remain open until 5:00 p.m. (PDST) 13 JUNE 2011. Proposals received after this time will not be considered for award.

6. **Description:**

This BAA's primary objective is to attract outstanding researchers and scholars to investigate topics of interest to the defense acquisition community. The program solicits innovative proposals for defense acquisition management and policy research to be conducted during fiscal year (FY) 2011 (1 Oct 2010 – 30 Sep 2011) and FY 2012 (1 Oct 2011 – 30 Sept 2012).

In this BAA, the phrase "defense acquisition management and policy research" refers to investigations in all disciplines, fields, and domains that (1) are involved in the acquisition of products and/or services for national defense, or (2) could potentially be brought to bear to improve defense acquisition. It includes but is not limited to economics, finance, financial management, information systems, organization theory, operations management, human resources management, and marketing, as well as the "traditional" acquisition areas such as contracting, program/project management, logistics, and systems engineering management. These topics are listed for guidance only.

Evidence of Progress:

- Awardees must demonstrate evidence of progress via quarterly progress reports.
- Awardees must agree to deliver completed sponsored research technical reports (as a Word file or PDF attachment) to the Technical Point of Contact listed below no later than 30 days after completion of the period of performance. Samples of completed reports can be found under publications at http://www.acquisitionresearch.net.
- Awardees must agree to present their research findings at the Naval Postgraduate School's Annual Acquisition Research Symposium (www.researchsymposium.org) held in May of each year in Monterey, CA. Awardees may elect to present their findings at either the May 2012 or May 2013 symposia (dates to be announced), depending on the anticipated progress of their research efforts. (If awardees elect to present at the 2013 symposium, the grant period of performance should be adjusted beyond 12 months to extend through May 2013.)

7. Point(s) of Contact:

Questions of a ***technical*** nature shall be submitted in writing by electronic mail to:

Keith F. Snider, PhD
Associate Professor of Public Administration and Management
Acquisition Area Chair
Graduate School of Business & Public Policy
Naval Postgraduate School, Monterey, CA 93943
Office: (831) 656-3621
Fax: 831-656-2253
E-mail: ksnider@nps.edu

Questions of a ***general*** nature can be directed to research@nps.edu.

Questions of a ***business*** nature shall be directed to the cognizant Grant Specialist at FISC-San Diego or to Grant Support at the Naval Postgraduate School in writing by electronic mail (e-mail).

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

-or-

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

Questions or assistance ***regarding Grants.gov*** registration process, system requirements or submittal process shall be directed to Grants.gov by phone at 1-800-518-4726 or email to support@grants.gov.

8. Instrument Type(s):

Awards may take the form of grants or cooperative agreements, as appropriate.

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

Cooperative Agreement – A legal instrument which, consistent with 31 U.S.C. 6305, is used to enter into the same kind of relationship as a grant, except that substantial involvement is expected between the Department of Defense and the recipient when carrying out the activity contemplated by the cooperative agreement. The term does not include "cooperative research and development agreements" as defined in 15 U.S.C. 3710a.

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

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

Department of Defense (DoD) Basic and Applied Scientific Research

11. Other Information:

This program is targeted in particular to U.S. universities or other research institutions outside the Department of Defense.

Fundamental Research – Fundamental Research means basic and applied research in science and engineering, the results of which ordinarily are published and shared broadly within the scientific community, as distinguished from proprietary research and from industrial development, design, production and product utilization, the results of which ordinarily are restricted for proprietary or national security reasons.

Work funded under this BAA may include basic research, applied research and some advanced research. With regard to any restrictions on the conduct or outcome of work funded under this BAA, NPS will follow the guidance as provided in the Under Secretary of Defense (Acquisition, Technology and Logistics) Memorandum of 24 May 2010 regarding fundamental research.

In conformance with the USD(AT&L) guidance and National Security Decision Direction 189, NPS will place no restriction on the conduct or reporting of unclassified "fundamental research," except as otherwise required by statute, regulation or Executive Order.

Broad Agency Announcements (BAAs) - FAR Part 35 restricts the use of BAAs such as this, to the acquisition of basic and applied research and that portion of advanced technology development not related to the development of a specific system or hardware procurement. Grants and Cooperative Agreements under BAAs are for scientific study and experimentation directed towards advancing the state of the art and increasing knowledge or understanding.

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

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

II. AWARD INFORMATION:

The Government anticipates making multiple awards up to $120,000 each for a basic research period of twelve months (except as noted in I.6. above). The awards will take the form of grants or cooperative agreements. NPS plans to complete proposal evaluations and notify awardees in September 2011.

The budget and period of performance of each selected proposal will vary depending upon the technical approach to be pursued by the selected Offeror(s).

Awards may be funded with Fiscal Year 2010 basic research appropriations and, if so, will be subject to the reimbursement limit on indirect costs set forth in Section 8101 of the Department of Defense Appropriations Act, 2010 (P.L. 111-118). Indirect costs for basic research may not exceed 35% of the total funds provided.

For the past three years Congress has placed limits on the percentage of indirect costs that can be paid by the government using basic research (6.1) funds. Currently indirect costs paid under grants and cooperative agreements for the performance of basic research may not exceed 35 percent. It is unknown at present whether a similar indirect cost restriction will apply to 6.1 funds in FY 2011 or thereafter.

III. ELIGIBILITY INFORMATION:

All responsible sources from academia and industry may submit proposals under this BAA. Historically Black Colleges and Universities (HBCUs) and Minority Institutions (MIs) are encouraged to submit proposals and join others in submitting proposals. However, no portion of this BAA will be set aside for HBCU and MI participation.

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

Some topics 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.

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

IV. APPLICATION AND SUBMISSION INFORMATION:

1. Application and Submission Process:

An individual at a qualified institution wishing to apply for an award must submit a research proposal as described in Section II, 'Award Information.' The submission must also include a supporting letter through the appropriate institutional official (i.e. the applicant's Department Chairperson, Dean, or other official who speaks for the institution regarding support for and commitment to acquisition research). This supporting letter should state whether or not the applicant holds a tenure track position or a permanent position with the institution. If the institution does not designate any appointments as tenure track, the letter should state whether or not, and if so when, the applicant will be considered for a permanent appointment.

Awards are made to institutions, not to individuals. The research proposal shall follow the format described under the proposal preparation section below, "Content and Format of Research Proposals."

The Proposals submitted under this BAA must be unclassified.

All Proposal submissions will be protected from unauthorized disclosure in accordance with FAR 15.207, applicable law, and DoD/DoN regulations. Offerors are expected to appropriately mark each page of their submission that contains proprietary information. The proposal shall include a severable, self-standing Statement of Work which contains only unclassified information and does not include any proprietary restrictions.

2. Content and Format of Research Proposals:

Full proposals shall contain both a technical and cost proposal as described below along with biographical information or curriculum vita of each applicant.

The following general information applies:

- **Paper Size – 8.5 x 11 inch paper**
- **Margins – 1 inch**

- **Spacing – single-spaced**
- **Font – Times New Roman, 12 point**
- **Number of Pages:**
  - **Volume 1: Technical Proposal**, including all information, appendices, and attachments, shall not exceed twelve (12) pages (single-spaced). Pages in excess of this limitation will not be considered by the government.
  - **Volume 2: Cost proposal** has no limitations; however, Offerors are requested to keep this section under five (5) pages (single-spaced).
  - **Volume 3: Biographical/vita section** shall not exceed three (3) pages (single-spaced) for each member of the research team.

Volume 1: Technical Proposal: The technical proposal must include the following:

- **Cover Page:** This should include the words "Technical Proposal" and the following:
  - BAA Number (NPS-BAA-11-002)
  - Title of Proposal
  - Identity of the Prime Offeror
  - Technical Contact (name, address, phone/fax, electronic mail address)
  - Administrative/business contact (name, address, phone/fax, electronic mail address.
  - Duration of effort
- **Statement of Research Issue/Results:** Concise (shall not exceed 50 words) statement of the problem the proposed research will address and anticipated results. This statement is an important part of the evaluation/award process.
- **Executive Summary:** Concise (approximately 200 words) abstract of the proposed research effort. The abstract must specifically describe how the principal purpose of the research effort support or stimulates a public purpose and, if applicable, the substantial involvement by the government.

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

  A **cooperative agreement** can only be awarded if the principal purpose is to support or stimulate a public purpose and there is also substantial involvement by the government.
- **Statement of Work:** The statement of work should include a description of the proposed work in sufficient detail for evaluation, including the scientific background, objective, and technical approach for each proposed task. The statement of work should also include:
  - Appropriate references to the scientific literature should be cited.
  - Identification of the symposium at which the research results will be presented: either May 2012 or May 2013 Acquisition Research Symposium (see para. I.6. above).
  - Indication of how the proposed research may be coordinated with other research efforts and;

- Indication of how the proposed research may serve as a catalyst for a longer-term program of acquisition-related research.

For Basic Research, include a description of potential DoN/DoD relevance and contributions of the proposed effort to the research mission.

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

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

- **Statement of Research Status:** Concise statement which:

  - Indentifies whether the proposed work is a follow-on effort from a prior award, and if so, describe how the proposed work extends or enhances the prior effort.
  - Indentifies whether applicants have received prior awards through the Acquisition Research Program at the Naval Postgraduate School, and if so, give the status of all deliverables for those awards.

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

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

  1) Title of Proposal and Summary;
  2) Source and amount of funding (annual direct costs; provide contract and/or grant numbers for current contracts/grants);
  3) Percentage effort devoted to each project;
  4) Identity of prime Offeror and complete list of subcontractors, if applicable;
  5) Technical contact (name, address, phone/fax, electronic mail address)
  6) Administrative/business contact (name, address, phone/fax, electronic mail address);
  7) Period of performance (differentiate basic effort);
  8) The proposed project and all other projects or activities requiring a portion of time of the Principal Investigator and other senior personnel must be included, even if they receive no salary support from the project(s);
  9) The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months or labor hours per year to be devoted to the project, regardless of source of support; and
  10) State how projects are related to the proposed effort and indicate degree of overlap.

Volume 2: Cost Proposal: The cost proposal must include all required forms from the application package template associated with this BAA on **www.grants.gov**.

Elements of the budget should include:

- Direct Labor – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates. Provide escalation rates for out years. Administrative and clerical labors – Salaries of administrative and clerical staff are normally indirect costs (and included in an indirect cost rate). Direct charging of these costs may be appropriate when a major project requires an extensive amount of administrative or clerical support significantly greater than normal and routine levels of support. Budgets proposing direct charging of administrative or clerical salaries must be supported with a budget justification which adequately describes the major project and the administrative and/or clerical work to be performed.

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

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

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

- Consultants – Provide a breakdown of the consultant's hours, the hourly rate proposed, any other proposed consultant costs, a copy of the signed Consulting Agreement or other documentation supporting the proposed consultant rate/cost, and a copy of the consultant's proposed statement of work if it is not already separately identified in the prime Offeror's proposal.

- Materials & Supplies – Provide an itemized list of all proposed materials and supplies including quantities, unit prices, proposed vendors (if known), and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).

- Recipient Acquired Equipment or Facilities – Equipment and/or facilities are normally furnished by the Recipient. If acquisition of equipment and/or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all equipment and/or facilities costs and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). Allowable items normally would be limited to research equipment not already available for the project. General purpose equipment (i.e., equipment not used exclusively for research, scientific or other technical activities, such as personal computers, office equipment and furnishings, etc.) should not be requested unless they will be used primarily or exclusively for the project. For computer/laptop purchases and other general purpose equipment, if proposed, include a

statement indicating how each item of equipment will be integrated into the program or used as an integral part of the research effort.

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

- Fee/Profit – Fee/profit is unallowable.

Volume 3: Biographical Information/Curriculum Vita: Biographical information or curriculum vita of each applicant should address the following:

- List of publications, professional activities, patents, honors, awards and other accomplishments.
- Information describing any specific acquisition-related research and/or experience of investigator(s).
- Description of involvement in other research projects currently undertaken by the applicant, whether or not acting as a principal investigator.
- Description of other pending research proposals (title, amount, where pending), including other agencies receiving this proposal.

3. **Significant Dates and Times:** This announcement will remain open until 5:00 pm PDST 13 JUNE 2011. Proposals received after this time will not be considered for award.

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

5. **Submission of Proposals via grants.gov website (www.grants.gov):**

Proposals in response to NPS-BAA-11-002 (Funding Opportunity Number) must be submitted via the Grants.gov website (http://www.grants.gov). Application forms and instructions are available on the grants.gov website. Offeror shall complete the mandatory forms in the application package template associated with this BAA.

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

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

Grants.gov Proposal Submission: Application forms and instructions are available at Grants.gov. To access these materials, go to http://www.grants.gov, select "Apply for Grants", and then select "Download Application Package." In the box labeled Funding Opportunity Number, enter NPS-BAA-11-002, designated as "Research Opportunity Number" on page two of this announcement.

Click on the button labeled “Download Package.” Follow the instructions on the grants.gov page to complete the application download process. You must complete the mandatory forms and any applicable optional forms (e.g., SF-LLL Disclosure of Lobbying Activities) in accordance with the instructions on the forms and the additional instructions provided in this BAA. All attachments to grant applications submitted through Grants.gov must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement.

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

If submitting any information that is deemed proprietary, please denote the beginning and ending of such information with asterisks (***).

All applications must be self-contained within specified page limitations, Internet website addresses (URLs) may not be used to provide information necessary to the review because reviewers are under no obligation to view the Internet sites.

V. EVALUATION INFORMATION:

1. Evaluation Criteria:

Award decisions will be based on competitive selection of proposals through a peer and/or technical and scientific review and business decision process with technical and scientific considerations being most important. Criteria A and B are of equal importance and more important than criterion C. The sub-criteria listed under each particular criterion are of equal importance.

A. Overall scientific and technical merits of the proposal

1) Knowledge and familiarity with DoD acquisition
2) Compatibility of research questions with acquisition topics of interest
3) Thoroughness, clarity and parsimony of the proposal
4) Feasibility of research design/technical concept
5) Potential impact of research results
6) Publication potential of research results

B. Offeror’s capabilities, related experience, and past performance, including the qualifications, capabilities and experience of the proposed principal investigator and assistant personnel.

1) The quality of technical personnel proposed;
2) The Offeror’s experience in relevant efforts with similar resources
3) The ability to manage the proposed effort.

C. The realism of the proposed cost.

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 other technical experts drawn from Government, industry or academe will perform the

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

VI. AWARD ADMINISTRATION INFORMATION:

1. Administrative Requirements:

- **The North American Industry Classification System (NAICS) code:** The North American Industry Classification System (NAICS) code for this announcement is 541720 with a small business size standard of $7.0M.
- **Central Contractor Registry (CCR)** - Successful Offerors not already registered in the CCR will be required to register in CCR prior to award of any grant or cooperative agreement, or other transaction agreement. Information on CCR registration is available at http://www.ccr.gov

2. Certifications/Assurances-

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

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

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

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

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S.C. Any person who fails to file

the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

- **Assurances** – Grant applicants must provide certification of compliance with applicable assurances as set forth in the SF424B. This form must be completed and submitted as a part of the electronic proposal packet submitted via Grants.gov.

3. Policy Requirements:

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

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

VII. OTHER INFORMATION:

1. Government Property/Government Furnished Equipment (GFE) and Facilities:

Government research property, facilities and operational military units are available and should be considered as potential government furnished equipment/facilities. These facilities and resources are of high value and some are in constant demand by multiple programs. It is unlikely that all facilities would be used for any one specific program. The use of these facilities and resources will be negotiated as the program unfolds. Offerors should explain as parts of their proposals which of these facilities are critical for the project's success.

2. Security Classification:

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

3. Use of Animals and Human Subjects in Research:

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

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

the Offeror's DHHS-issued Federal wide Assurance (FWA) or the Offeror's DoD-Navy Addendum. In the event that an exemption criterion under 32 CFR.219.101 (b) is claimed, provide documentation of the determination by the Institutional Review Board (IRB) Chair, IRB vice Chair, designated IRB administrator or official of the human research protection program including the category of exemption and short rationale statement. If the research is determined by the IRB to be greater than minimal risk, the Offeror also must provide the name and contact information for the independent medical monitor. This documentation shall be submitted to the NPS Institutional Review Board Administrator via NPS Grant Support.

4. Recombinant DNA:

Proposal which call for experiments using recombinant DNA must include documentation of compliance with Department of Human and Health Services (DHHS) recombinant DNA regulations, approval of the Institutional Biosafety Committee (IBC), and copies of the DHHS Approval of the IBC letter.

5. Organizational Conflict of Interest:

All Offerors and proposed subawardees must affirm whether they are providing scientific, engineering, and technical assistance (SETA) or similar support to any NPS through an active contract or subcontract. All affirmations must state which office(s) the Offeror supports and identify the prime contract numbers. Affirmations shall be furnished at the time of proposal submission. All facts relevant to the existence or potential existence of organizational conflicts of interest (FAR 9.5) must be disclosed. The disclosure shall include a description of the action the Offeror has taken or proposes to take to avoid, neutralize, or mitigate such conflict. In accordance with FAR 9.503 and without prior approval, a contractor cannot simultaneously be a SETA and a research and development performer. Proposals that fail to fully disclose potential conflicts of interests or do not have acceptable plans to mitigate identified conflicts will be rejected without technical evaluation and withdrawn from further consideration for award. If a prospective Offeror believes that any conflict of interest exists or may exist (whether organizational or otherwise), the Offeror should promptly raise the issue with NPS by sending his/her contact information and a summary of the potential conflict by e-mail to the Business Point of Contact in Section I, item 7 above, before time and effort are expended in preparing a proposal and mitigation plan. If, in the sole opinion of the Government after full consideration of the circumstances, any conflict situation cannot be effectively avoided or mitigated, the proposal may be rejected without technical evaluation and withdrawn from further consideration for award under this BAA.

6. Protection of Proprietary and Sensitive Information:

The parties acknowledge that, during performance of the award agreement resulting from this BAA, the recipient may require access to certain proprietary and confidential information (whether in its original or derived form) submitted to or produced by the Government. Such information includes but it is not limited to, business practices, proposals, designs, mission or operation concepts, sketches, management policies, cost and operating expense, technical data and trade secrets, proposed Defense policies, cost and operating expense, technical data and trade secrets, proposed Defense budgetary information, and acquisition planning or acquisition actions, obtained either directly or indirectly as a result of the effort performed on behalf of DoD. The recipient shall take appropriate steps not only to safeguard such information, but also to prevent disclosure of such information to any party other than the Government. The recipient agrees to indoctrinate personnel who will have access to or custody of the information concerning the nature of the confidential terms under which the Government received such information and shall stress that the information shall not be disclosed to any other party or to recipient personnel who do not need to know the contents thereof for the performance of the agreement. Recipient personnel shall also be informed that they shall not engage in any other action, venture, or employment wherein this information will be used for any purpose by any other party.

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

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

> This publication [article] was developed under work supported by the Naval Postgraduate School Acquisition Research Program Assistance Agreement No. _____ awarded by the U.S. Fleet Industrial Supply Center, San Diego (FISC-SD). 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 U.S. FISC-SD and NPS. The FISC-SD and NPS do not endorse any products or commercial services mentioned in this publication.