



**BROAD AGENCY ANNOUNCEMENT (BAA)  
FOR THE PROJECT ON ADVANCED SYSTEMS AND CONCEPTS FOR COUNTERING  
WEAPONS OF MASS DESTRUCTION (PASCC) 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 and Grant Office of NAVSUP Fleet Logistics Center San Diego (NAVSUP FLC San Diego) will issue paper copies of this announcement. Interested parties should check [www.grants.gov](http://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. No funding shall be provided for direct reimbursement of proposal development costs. Technical and cost proposals (or any other material) submitted in response to this BAA will not be returned. It is the policy of NPS and NAVSUP FLC San Diego to treat all proposals as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

**I. GENERAL INFORMATION:**

- 1. Requiring Agency:** Naval Postgraduate School
- 2. Opportunity Title:** Project on Advanced Systems and Concepts for Countering WMD
- 3. Program Name:** Not Applicable (N/A)
- 4. Funding Opportunity Number:** NPS–BAA-12-003
- 5. Response Date:** This announcement will remain open until 5:00 p.m. (PDST), 01 July 2013. 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 who will investigate topics of interest to the security studies community. Investigations and research will focus on expanding knowledge related to countering weapons of mass destruction and weapons of mass effect (WMD/WME). The program solicits innovative proposals for research on WMD/WME counter proliferation, nonproliferation, and strategy to be conducted during the January 2013 through September 2014 timeframe.

In this BAA, the phrase "security studies research" refers to investigations in all disciplines, fields, and domains that (1) are involved in expanding knowledge for national defense, and (2) could potentially improve policy and international relations for combating WMD. Disciplines include, but are not limited to: Political science, sociology, history, biology, chemistry, economics, homeland defense, and public policy.

**Background:**

The Naval Postgraduate School's Center on Contemporary Conflict (CCC) is the research wing of the Department of National Security Affairs (NSA) and specializes in the study of international relations, security policy, and regional studies. The CCC has a respected eleven-year track record for providing research and timely analysis to leading decision makers in the Department of Defense community. We have a strategically relevant and diverse research portfolio including conflict analysis and response; nuclear proliferation and deterrence; innovation and terrorism; and U.S. strategy and alliances. The CCC hosts and organizes international seminars, Track II dialogues, and stability exercises that bring critical players together for an open exchange and debate of ideas and formulation of recommendations.

The CCC houses the Project on Advanced Systems and Concepts for Countering WMD (PASCC). Founded in May 2011 with support from the Defense Threat Reduction Agency (DTRA), PASCC is an intramural and extramural project focusing on innovative and future-oriented research activities and related study efforts that advance state-of-the-art knowledge and understanding counter-WMD/WME challenges. Launching its first project cycle in 2011 after a competitive review of nearly 230 research ideas, PASCC initiated approximately 30 project awards to over 15 different institutions.

One of PASCC's primary objectives is to broaden the reach of its sponsored research; and, to that end, supports research by—and disseminates findings to—multiple communities of interest. PASCC supports research activities that benefit the public through analysis and engagement to reduce and counter the threats posed by WMD/WME. PASCC seeks to cultivate interconnected, mutually supportive national and international strategic research-community partnerships across domains. This goal exemplifies commitment to continue developing relationships and cooperative efforts within, and understanding of, the Global Security Environment (GSE). A second goal is to bring scientific, technical, and social science faculty/experts together and to look well into the future and help understand and anticipate WMD/WME capabilities. The goal, therefore, is to address WMD/WME existent and emerging capabilities and counter those future threats and challenges.

**Oversight:**

PASCC is guided by a Senior Steering Group (SSG) that includes U.S. Government and Naval Postgraduate School representatives and leaders. The SSG meets biannually to assist the PASCC Director in establishing annual and long-range planning.

## **FY13 Program of Scholarly Investigations:**

PASCC strives to increase foresight into an array of security issues related to WMD through support of forward-looking research, analysis, and engagement. These efforts should seek to maximize understanding of anticipated or emerging issues that represent the full spectrum of WMD problems, or have the significant potential to affect strategic stability. PASCC particularly supports research and analysis on issues that are not prominent or well developed in the existing literature; but, this research/analysis can and does leverage existing knowledge for insights into less established areas. PASCC also seeks to balance research across a spectrum of strategic, applied, and technical topics; and, it is interested in interdisciplinary research that combines these areas.

In all cases, PASCC is interested in Western and non-Western definitions of WMD/WME issues; societal, organizational, and political responses to these issues; and the intersection of economic, social, political, military, and technological factors related to the emergence of threats from WMD use or proliferation. While concerned with nuclear issues, PASCC also is interested in non-nuclear aspects of WMD and threat reduction. Geographic areas of interest include established and non-established WMD states and regions that are potential sources or recipients of WMD materials, and their delivery systems.

PASCC will select a number of projects for FY13-14 funding. That number will depend on resources and the quantity/quality of proposals responsive to this BAA. Offerors are invited to propose on-going and new research within the following areas:

- The effectiveness and/or applicability of traditional and non-traditional, Western and non-Western approaches to reducing the threat of weapons of mass destruction and promoting strategic stability, for example:
  - Strengthening cooperation in threat reduction across state and non-state actors and in non-nuclear issue areas.
  - New methods of confidence building, transparency, and information sharing.
  - Learning and diffusion of methods and principles of WMD control and threat reduction.
  - Anticipated definitions of strategic stability in 2030.
  - Deterrence and assurance in an age of precise conventional weapons systems.
  - Non-traditional and non-strategic uses of WMD.
  - Cross-domain analysis and comparison, including attribution and response, such as non-cyber reactions to cyber attacks or non-space responses to space attacks.
  - Regulatory efforts affecting WMD at the sub-national, national, and international levels
  - Proxies and attribution/retribution issues.
  - Securitization and threat reduction.
- Risk assessment or management, for example:
  - Information collection and application for risk assessment and reduction, including new methods and actors, such as open source and “non-science” data.
  - Decision-making processes and organizational dynamics regarding WMD and related sectors.
  - Dual use technologies in space, chemistry, and the life, veterinary, and agricultural sciences.
  - New and emergent technologies, such as synthetic biology, neuroscience, nanotechnology, and directed energy.

- Social resilience to WMD, including existence and implications
- Bio-surveillance and bio-security.
- The supply side of WMD terrorism.
- Risk perception associated with existing and emergent WMD.

Academic and policy communities must maintain and expand clear lines of communication for thorough and well-reasoned research to be accomplished. Among proven techniques for enhancing clear lines of communications and well-reasoned research, NPS recognizes the use of highly interactive conferences, workshops, and strategic dialogues. These promote full and open interchange of ideas, concepts, and data. Guided debate furthers understanding and expands knowledge. It often serves as a catalyst for new ways of thinking. Accordingly, PASCC and NPS recognize the conference, workshop, or dialogue as viable research methodologies. But, PASCC/NPS will not direct any research methodology; and, the offeror is free to choose whatever methodology furthers the interests outlined herein.

It should be emphasized that in a grant, the grantee receiving the grant funds accepts total responsibility for maintaining adequate cost controls while executing the effective research methodology. It alone is the sponsor of any research activity, to include conferences, workshops, or dialogues. Grant funding is not to be considered a “Department of Navy” (DON) or “Department of Defense” (DoD) endorsement nor shall it imply any DoD/DON co-sponsoring.

**Presentation of Research Results:**

Awardees must deliver a Technical Report, authored by the researchers and submitted electronically to the Technical Point of Contact listed below as a Microsoft Word File no later than 30 days after the completion of the project.

Awardees must work with NPS to widely disseminate their results to the public in order to contribute to the expansion of knowledge and development of a well-informed community of experts on issues relevant to combating WMD/WME.

Awardees may be asked by PASCC to brief findings to other personnel within the Federal Government, in person or via video-conference, at a time to be determined during the award period. It is also anticipated that senior managers and policymakers in the Federal Government will read this technical report.

**7. Points of Contact:** Questions or assistance needed *regarding the 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](mailto:support@grants.gov).

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

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

Meghan Rasmussen  
 Naval Postgraduate School  
 PASCC/CCC Program Manager  
 E-mail: [pascc@nps.edu](mailto:pascc@nps.edu)

Questions of a **general** nature can be directed to [research@nps.edu](mailto:research@nps.edu)

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

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

or

Teri Jay  
Grant Management Specialist  
Research and Sponsored Program Office  
Office of the Vice President and Dean of Research  
Naval Postgraduate School  
Halligan Hall, Bldg. 234, Code 41  
Monterey, CA 93943-5138  
E-mail: [baa@nps.edu](mailto:baa@nps.edu)

**NOTE: Any questions regarding this announcement must be provided to the Points of Contact listed above. All questions shall be submitted in writing by electronic mail.**

#### **8. Instrument Type(s) – Assistance Awards:**

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

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

**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.

(3) No fee or profit is allowed.

**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, when carrying out the activity

contemplated by the cooperative agreement, DoD and Recipient will be working together. The term does not include “cooperative research and development agreements” as defined in 15 U.S.C. 3710a. No fee or profit is allowed.

**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 and 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, if properly programmed and approved for grants. 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 amount and period of performance of each selected proposal may vary depending on the

research area and the technical approach to be pursued by the selected Offeror. The period of performance of the awards shall not exceed twelve (12) months from effective date of award by a Government Grants Officer.

There is no limit to the number of proposals an institution can submit. However, no institution should submit more than two proposals per Principal Investigator.

The Naval Postgraduate School (NPS) plans to make multiple awards under this BAA, which represent the best value to the Government in accordance with the evaluation criteria contained in Section V, Evaluation Criteria of NPS-BAA-12-003. NPS is seeking institutions and participants for this program that are capable of supporting the goals and desired outcomes as described in this BAA. Offerors have the opportunity to be creative in the selection of the technical and management processes and approaches to address the areas of interest described above.

NPS estimates approximately \$6.0 million per year will be available to fund PASCC-approved grants, less costs associated with PASCC administration/overhead. There is no set limit on the award levels for each proposal; however, approved cost proposals are generally anticipated to fall between \$75,000 and \$250,000.

This information is only an estimate and does not obligate the Government in any way. Estimated funding amounts may increase or decrease at anytime based on current and future appropriations.

The award selection notification **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 or other transactions are solely the responsibility of the prospective grantee. Government officials, acting in DON or DoD's best interest, may choose not to fund a grant; the act of funding a grant award or not funding a grant, is solely within DON or DoD Grant Officer discretion and is not subject to any disputes process or appeal process.

### III. ELIGIBILITY INFORMATION

All responsible institutions from academia and industry may submit white papers and 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.

Navy laboratories and warfare centers as well as other DoD 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. Instead, if any such institution is interested in one or more of the programs described herein, the institution should contact the NPS Technical POC identified in Section 1.7 to discuss its area of interest.

The Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282), as amended by Section 6202 of Public Law 110-252, requires that all agencies establish requirements for recipients reporting information on sub-awards 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 not **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 sub-grants), and cooperative agreements; b) \$25 million or more in annual gross revenue from Federal contracts (and subcontracts), loans, grants (and sub-grants), 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 research proposal shall follow the procedures and formats described under the proposal preparation sections below, IV.2 "Form of Research Proposals" and IV.3 "Form and Content of White Papers and Full Proposals."

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. 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 conflicts 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. No further notice will be provided to offerors submitting reports responsive to this BAA.

The Full Proposal shall include a severable, self-standing Statement of Work, which contains only unclassified information and does not include any proprietary restrictions.

##### **2. Form of Research Proposals:**

###### **Phase 1, White Papers:**

Prospective Offerors are requested to submit White Papers to enable PASCC feedback to the Offeror and minimize the labor and cost associated with the production of detailed Full Proposals that have very little chance of being selected for funding. **Do not submit White Papers through grants.gov.** Instead, White Papers should be submitted electronically to an NPS password protected website established for this Phase of the BAA. **Please email the Technical Point of Contact at [pascc@nps.edu](mailto:pascc@nps.edu) to receive a website account.** These papers shall be in Microsoft Word or Adobe PDF format.

Each White Paper will be evaluated by the Government to determine whether the research proposed appears to be of particular value to research areas described in Section 1.6, "Description," above. The Technical Point of Contact or PASCC Director will issue initial Government evaluations and feedback via e-mail notification.

For White Papers that propose efforts that are considered of particular value but either exceed available budgets or contain certain tasks or applications that are not desired, the CCC may suggest a Full Proposal with reduced effort to fit within expected available budgets or an effort that refocuses the tasks or application of the effort to maximize the expected benefit.

White Papers will be accepted throughout the effective period of this BAA. However, to ensure full, timely consideration for funding, **White Papers should be submitted no later than 30 May 2012.** White papers can be submitted after 30 May 2012; however, PASCC follows an annual review cycle.

The anticipated date for completing the review of White Papers and notification of Offerors is **16 July 2012.**

### **Phase 2, Full Proposals:**

Detailed Full Proposals (Technical and Cost Volumes) will be subsequently requested from those Offerors whose proposed projects have been identified through the above referenced e-mail as being of potential “particular value” to the Government. However, any such notification does not assure a subsequent award.

Although Full Proposals will be accepted throughout the effective period of this BAA, to ensure timely consideration, **Full Proposals should be submitted no later than 30 August 2012.** Proposals submitted after 30 August 2012 will be reviewed but considered for funding only by exception, i.e., if the research is particularly aligned with an objective unknown during the regular proposal cycle.

The only acceptable method for submission of Full Proposals is via <http://www.grants.gov/>. Notice of selection based on full proposal submissions will be issued via e-mail.

### **3. Format and Content of White Papers and Full Proposals:**

White Papers and Full Proposals submitted under this BAA are expected to be unclassified. Titles given to the White Papers/Full Proposals should be descriptive of the work they cover and not be merely a copy of the title of this solicitation.

#### **WHITE PAPERS**

##### **White Paper Format**

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single-spaced
- Font – Times New Roman, 12 point

- Minimum Number of Pages Permitted – **10 pages** (excluding cover page, biography of principal investigator, and cost estimate)
- Maximum Number of Pages Permitted – **15 pages** (excluding cover page, biography of principal investigator, and cost estimate)

**NOTE:** 1) Submit one electronic file including all content detailed below. 2) Do not send .ZIP files. 3) Do not send password-protected files.

In order to provide traceability and evidence of submission, Offerors may wish to use the "Delivery Receipt" option available from Microsoft Outlook and other e-mail management programs that will automatically generate a response when the subject email is delivered to the recipient's email system. Consult the User's Manual for your email software for further details on this feature.

### **White Paper Content**

- **Cover Page** – This one (1) page section should include the following information:
  - “WHITE PAPER”
  - “BAA Number (NPS-BAA-12-003)”
  - “Research Opportunity: Project on Advanced Systems and Concepts for Countering WMD”
  - Title of Proposal
  - Identity of the Prime Offeror institution
  - Technical Contact (name, address, phone/fax, electronic mail address)
  - Administrative Contact (name, address, phone/fax, electronic mail address)
  - Signature, name, and title of an authorized officer of the Offering institution
- **Technical Concept** – This 10- to 15-page section should include the following:
  - **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 supports or stimulates a public purpose and, if applicable, the substantial involvement by the government.
 

**NOTE:** 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.
  - A description of the **Project Objective**, including the problem the proposed research will address and anticipated results.

- **Background, Assessed Need, and Relevance** of the proposed effort to the research areas described above.
  - **Scope and Technical Approach** that will be pursued to meet the objective.
  - **Qualifications** of both the investigator(s) and the institution to manage the project
  - **Deliverables and Timeline.** It is understood that the timeline is dependent on the date of award.
- A one to two (1-2) page **Biography** of the principal investigator (PI) should highlight his or her academic and/or professional qualifications, state current title(s) and affiliations(s), and include relevant publications.
  - **Cost Estimate** – Cost information is needed, although not at the level of detail as required with the Full Proposal. White paper submissions shall include a cost summary showing requested funding. The cost summary (not to exceed one (1) page) shall be segregated by task.

## **FULL PROPOSALS**

Full proposals can only be submitted electronically at <http://www.grants.gov> using the application template package associated with this BAA as delineated below.

### **Full Proposal Format**

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single-spaced
- Font – Times New Roman, 12 point
- Number of Pages Permitted in **Technical Proposal** (Volume 1) – No more than 15 pages, excluding Cover Page, Table of Contents, and Executive Summary
- Number of Pages Permitted in **Cost Proposal** (Volume 2) – No more than 7 pages, excluding supporting documentation
- Number of Pages Permitted in **Biographical Information and Other Supporting Conceptual Documentation** (Volume 3) – No more than 15 pages

### **Full Proposal Content**

- **Volume 1: Technical Proposal**

- a) **Cover Page** – This one (1) page section should include the following information:
- “TECHNICAL PROPOSAL”
  - “BAA Number (NPS-BAA-12-003)”
  - Title of Proposal
  - Identity of the Prime Offeror
  - List of Sub-award Institutions, if applicable
  - Technical Contact (name, address, phone/fax, electronic mail address)
  - Administrative Contact (name, address, phone/fax, electronic mail address)
  - Proposed Period of Performance. Assume that performance will start no earlier than three (3) months after the date the Full Proposal is submitted.

b) **Table of Contents:** An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.

c) **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 supports or stimulates a public purpose and, if applicable, the substantial involvement by the government.

**NOTE:** 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.

d) **Statement of Work:** A Statement of Work (SOW) clearly detailing the scope and objectives of the effort and the technical approach. It is anticipated that the proposed SOW will be incorporated as an attachment to the resultant award instrument. To this end, such proposals must include a severable self-standing SOW without any proprietary restrictions, which can be attached to the agreement award. Include a detailed listing of the technical tasks/subtasks organized by year.

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

For Statements of Work proposing **conferences, symposium, workshops or strategic dialogues** 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 recent meetings on the same subject carried out by the Offeror, including dates and locations
- Names of the event chairperson and members of the organizing committee and their organizational affiliations

Content:

- List of potential topics
- Draft agenda and potential list of participants (as attachments to the SOW)
- Location and probable date(s) 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:

- Method of announcement or invitation
- Statement of how the meeting will be organized and 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
- Estimated total budget for the conference, together with an itemized statement of the amount of support requested, as distinct from the overall project proposal

Measurable Results Expected:

- Outputs – progress reports, steering committee or subcommittee meetings, event programs, participant biographies, final rosters, concept paper, conference papers
- Outcomes – expected result, effect, or consequence that will occur from carrying out the event as related to programmatic goals and objectives.

e) **Project Schedule and Milestones**: A summary of the schedule of events and/or milestones.

f) **Reports to be Produced**: The following are typical types of reports that are provided under a research effort, utilizing PASCC style guidelines:

- Technical and Financial Progress Reports
- Presentation Briefing Materials
- Final Project Technical Report
- Final Financial Report

g) **Management Approach**: A discussion of the overall approach to the management of this effort, including brief discussions of the institution and its project management capabilities; use of personnel; project/function/subcontractor/sub-recipient relationships; government research interfaces; and planning, scheduling and quality control practices. Identify which personnel and subcontractors/sub-recipients (if any) will be involved.

h) **Statement of Research Status**: Concise statement which:

- Identifies 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.
- Identifies whether applicants have received prior awards through PASCC at the Naval Postgraduate School, and if so, give the status of all deliverables for those awards.

i) **Current and Pending Project and Proposal Submissions:** For any *related* project or proposal, Offerors are required to provide information on all current and pending support including subsequent funding in the case of continuing contracts, grants, and other assistance agreements. Offerors shall provide the following information of any *related* proposal submissions from whatever sources (e.g., NPS; Federal, State, local or foreign government agencies; public or private foundations; and 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. For each proposal, include the following:

- 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 the project
- 4) Identity of prime Offeror and complete list of subcontractors, if applicable;
- 5) Technical contact (name, address, phone/fax, e-mail address)
- 6) Administrative/business contact (name, address, phone/fax, e-mail address)
- 7) Period of performance
- 8) The proposed project and all other projects or activities requiring a portion of time from the Principal Investigator and other key personnel must be included, even if they receive no salary support from the project
- 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
- 10) Statement of how the project is related to the proposed effort and degree of overlap.

➤ **Volume 2: Cost Proposal**

The offeror must use the Grants.gov budget forms from the application package template associated with this BAA on the grants.gov website located at <http://www.grants.gov/>. **Option periods are not allowed under this BAA.** A separate Adobe PDF document should be uploaded with the online application materials, providing appropriate verification and/or supporting documentation for each element of costs proposed.

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.

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 itemized budget(s) must include the following:

- Direct Labor – Individual labor categories or persons, with associated labor hours and unburdened direct labor rates. Provide escalation rates for out years. Provide documentation verifying negotiated labor rates for each individual or labor category if supporting staff, such as research associates, has not yet been identified. In addition, describe how new staff will be recruited and selected.

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 according to applicable OMB Circulars or FAR/DFARS provisions. Offerors' disclosure should be sufficient to permit a full understanding of the content of the rate(s) and how it was established. As a minimum, the submission should identify: (1) All individual cost elements included in the forecast rate(s); (2) Bases used to prorate indirect expenses to cost pools, if any; (3) How the rate(s) was calculated; (4) Distribution basis of the developed rate(s); (5) Bases on which the overhead rate is calculated, such as "salaries and wages" or "total costs," and (6) 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.

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

- 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, which must be justified based on the organization's historical average cost per trip or other reasonable basis for estimation such as quotes from online airline vendors.

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 your technical approach/methodology includes convening a meeting of experts, include a tentative roster of participants and draft agenda. If known, names and organizational affiliation should be noted; otherwise, list types of experts and expected affiliations (i.e., professor of marketing, academia; Department of Commerce representative). On the roster, specify those whose travel will be covered by the grant or cooperative agreement.

- **Participant Support Costs:** This budget category refers to costs of transportation, per diem, stipends, and other related costs for participants or trainees (but not grant employees) in connection with NPS-sponsored conferences, meetings, symposia, training activities, and workshops (see Volume I, paragraph (d) Statement of Work proposing conferences, symposium, workshops or strategic dialogues). Generally, indirect costs are not allowed on participant support costs. The number of participants to be supported should be entered in the parentheses on the budget form. These costs should also be justified in the budget justification page(s) attached to the cost proposal.

**NOTE:** Funds provided cannot be used for payment to any Federal Government employee or support, subsistence, or services in connection with the proposed conferences, symposium, workshops or strategic dialogues

**ADDITIONAL NOTE:** Although it is recognized that grant conferences, symposia, workshops, dialogues, are not sponsored by DON or DoD, there will nevertheless be some scrutiny of costs associated with conferences, symposia, workshops, dialogues. Please document the most cost-effective methodology for these high-visibility research delivery systems and take care not to include excessive costs for speakers, meals; and, there should be no entertainment costs incurred with grant funds. See other direct costs below.

- **Sub-awards** - Provide a description of the work to be performed by the sub-recipients, who like the prime Offeror is an institution or other type of organization. For each sub-award, a detailed cost proposal is required to be submitted by the sub-recipient(s). The proposed sub-awardee's or sub-recipient'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 sub-award 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. Provide specific information as follows: (1) A clear description of the work to be performed; (2) 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; (3) The identification of the type of award to be used (cost reimbursement, fixed price, etc.); (4) Whether or not the award will be competitive and, if noncompetitive rationale to justify the absence of competition; and (5) A detailed cost summary.
- **Consultants** – Offerors normally are expected to utilize the services of their own staff to the maximum extent possible in managing and performing the project's effort. If the need for consultant services is anticipated, the nature of proposed consultant services should be justified and included in the technical proposal narrative. The cost proposal should include the names of

consultant(s), primary organizational affiliation, each individual's expertise, daily compensation rate, number of days of expected service, and estimated travel and per diem costs

- 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., formal or informal quotes, prior purchases, catalog price lists). Include supporting documentation for the estimates. Provide a copy of your organization's purchasing policy or note that no formal policy exists.
- Recipient Acquired Equipment or Facilities – Equipment and/or facilities are normally furnished by the Recipient. If acquisition of equipment and/or facilities is proposed, a justification for the purchase of the items must be provided. Provide an itemized list of all equipment and/or facilities costs and the basis and supporting documentation for the estimate (e.g., formal or informal 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, workshop honoraria, and the basis for the estimates (e.g., quotes, prior purchases, catalog price lists). If the technical approach includes a conference or workshop, describe how the venue will be selected and by what criteria, what is provided in the conference package, and the average cost per participant per day. Include supporting documentation for cost estimates. If honoraria will be offered to workshop participants, provide a list of those individuals and their institutional affiliations; if they have yet to be identified, list their potential institution type. Where they exist, provide a copy of or website link to your institution's policy for each category of other costs, i.e., honoraria policy, tuition fees, procurement policy.

Food and Beverage – In general, federal funds are not to be used for the provision of food or beverages at a conference, workshop or symposium and the proposal should include the following statement: *"The funds provided by NPS will not be used for food or beverages."*

However, any proposer seeking funds to host a research conference, workshop, symposium, or dialogue who wishes to include a food or beverage element must explain in detail within the proposal why provision of these items would qualify as a necessary and allowable expense under the relevant OMB cost principles.

- Fee/Profit – Fee/profit is unallowable under assistance agreements at either the prime or sub-award level but may be permitted on subcontracts issued by the prime awardee.

➤ **Volume 3: Biographical Information and Other Supporting Conceptual Documentation:**

Biographical information or curriculum vita of each member of the research team should address the following in three (3) pages or less per person:

- Advanced education
- Relevant employment history, including position, title, organization, and dates of employment
- List of publications, professional activities, honors, awards, and other accomplishments
- Information describing any specific acquisition-related research and/or experience of investigator(s)

#### 4. Significant Dates and Times:

This announcement will remain open until **5:00 p.m. (PDST), 01 July 2013**. White papers and proposals will be accepted throughout the open period of NPS-BAA-12-003; however, all funds may be committed based on the following schedule. This announcement will remain open until 01 July 2013 or until replaced by a successor BAA, whichever first occurs.

Event	Date
White Paper Submission Date	30 May 2012
Notification of White Paper Evaluation	16 July 2012
Full Proposal Submission Date	30 August 2012
Notification of Selection: Full Proposals	30 September 2012

#### 5. Submission of Full Proposals via Grants.gov Website ([www.grants.gov](http://www.grants.gov)):

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

**Registration Requirements for Grants.gov:** There are several one-time actions you must complete in order to submit an application through grants.gov. These include obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the Central Contract Registry (CCR), registering with the credential provider, and registering with grants.gov. See [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted) to begin this process. The grants.gov Organization Registration Checklist at [www.grants.gov/assets/OrganizationRegCheck.doc](http://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 a 'MPIN' are important steps in the CCR registration process. Applicants, who are not registered with the 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](mailto:support@grants.gov).

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

**Grants.gov Full Proposal Submission:** Application forms and instructions are available at grants.gov. To access these materials, go to <http://www.grants.gov>, select "Apply for Grants," and then select "Download Application Package." In the box labeled Funding Opportunity Number, enter NPS-BAA-12-003, 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 the 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).

Please denote the beginning and ending of proprietary information with asterisks (\*\*).

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 to the review, because reviewers are under no obligation to view the Internet sites.

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

If an Offeror is unable to comply with the requirement to use grants.gov for submission of a grant application under this BAA or finds it would be an excessive burden to comply with this requirement, a waiver request may be submitted. Such request should be submitted by the Electronic Business Point of Contact listed in the CCR for the Offeror organization and should contain the Organization and individual's name, address, telephone number, and e-mail address. The request should state the reason for the request in sufficient detail so a decision can be made. The Waiver Request should be submitted to both the Grant Officer at NAVSUP FLC San Diego and to the Grants Management Specialist at the Naval Postgraduate School as identified in Section I (General Information), Item 7 above. Such requests can be sent by email or registered mail.

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

**V. EVALUATION INFORMATION:**

**1. Evaluation Criteria:**

NPS employs a merit-based selection process that encourages innovative and high-quality proposal submission from a broad array of applicants. Award decisions will be based upon a

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

- 1) Anticipated contributions of the effort to PASCC FY13 Program of Scholarly Investigations (Section 1 Item 6).
- 2) Overall quality, rigor, and technical merits of the proposal.
- 3) The Offeror's capabilities, related experience, facilities, techniques, or unique combinations of these, which are integral factors for achieving the proposed objectives.
- 4) The qualifications, capabilities, and experience of the proposed Principal Investigator, Team Leader, 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.
- 5) Relevance to U.S. Government interests.
- 6) The realism of the proposed costs, the availability of funds; and, the demonstrated ability to deliver an effective research at a reasonable cost.

While overall cost (if funds are available) IS the least important factor in making a decision, the realism, reasonableness, and effectiveness of the research at the given costs must be affirmatively established before award. It is noted, too, that the degree of its importance in the overall award will increase with the degree of equality of the proposals in relation to the other NON COST factors on which selection is to be based, or when the costs are so significantly high as to diminish the value of the proposal's technical superiority to the Government."

## 2. Evaluation Panel:

Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure in accordance with FAR 3.104-5 and 15.207. A PASCC Proposal Review Committee will perform the evaluation of White Paper Technical Concepts and Full Proposal 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 Registration:** All Offerors submitting proposals or applications must: (a) be registered in the Central Contractor Registration (CCR) prior to submission; (b) maintain an active CCR registration with current information at all times during which it has an active Federal award or an application under consideration by any agency; and (c) provide its DUNS number in each Full Proposal it submits to NPS via grants.gov.

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

## 2. Certifications/Assurances:

- **Certification Regarding Lobbying Activities-** Grant and Cooperative Agreement awards greater than \$100,000 requires 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 sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S.C. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### **3. Policy Requirements:**

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

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

An electronic copy of OMB regulations may be found at: <http://www.whitehouse.gov/OMB/grants>

An electronic copy of DoDGARs may be found at <http://www.dtic.mil/whs/directives/corres/html/321006r.htm>

## **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](mailto: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 at [baa@nps.edu](mailto:baa@nps.edu).

### **4. Recombinant DNA:**

Proposals that 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 sub-awardees must affirm whether they are providing scientific, engineering, and technical assistance (SETA) or similar support to any NPS entity 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.

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).

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

NPS's full or partial support must be acknowledged in journal articles, books, oral or poster presentations, news releases, interviews with reporters, and other communications deriving from work supported under this BAA. As a courtesy, one (1) electronic or 3 (3) print copies of these documents should be sent to the PASCC Technical POC. Aside from deliverables specified in the SOW, any documents, including World Wide Web content, developed under an award agreement resulting from this BAA and 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 Assistance Grant/Agreement No. \_\_\_\_\_ of the Naval Postgraduate School (NPS) Center on Contemporary Conflict's Project on Advanced Systems and Concepts for Countering Weapons of Mass Destruction (PASCC). 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 representing the official policies or views of NPS, the Department of the Navy or Department of Defense, or as official endorsement any products or commercial services mentioned herein.

## **8. Project Meetings and Reviews**

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