



BROAD AGENCY ANNOUNCEMENT (BAA)

**“FY16 PROJECT ON ADVANCED SYSTEMS AND CONCEPTS FOR
COUNTERING WMD (PASCC)”**

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This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and the Department of Defense Grants and Agreements (DODGARS) Subpart 22.315(a). A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued. Neither the Naval Postgraduate School (NPS) nor the Contracting Office of Naval Supply Systems Fleet Logistics Center San Diego (NAVSUP FLC SD) will issue paper copies of this announcement. Interested parties are responsible to check www.grants.gov or <http://www.nps.edu/Research/WorkingWithNPS.html> for possible amendments to this BAA.

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

Government may use contractor support personnel, with appropriate non-disclosure agreements on file, to assist in the review of technical submissions.

I. GENERAL INFORMATION:

- 1. Requiring Agency:** Naval Postgraduate School
- 2. Opportunity Title:** PROJECT ON ADVANCED SYSTEMS AND CONCEPTS FOR COUNTERING WMD (PASCC)
- 3. Program Name:** Not Applicable (N/A)
- 4. Funding Opportunity Number:** NPS-BAA-15-002
- 5. Response Date:**

This announcement will remain open until 31 MARCH 2016 or until replaced by a successor BAA, whichever occurs first. Proposals may be submitted at any time during this period; however, Offerors are advised to submit white papers and full proposals in line with the submission guidelines starting on page 9.

6. Research Areas:

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 counterproliferation, nonproliferation, and strategy to be conducted during the 01 January 2016 through 30 September 2017 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/WME. 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 over a decade of experience providing research and timely analysis to leading decision makers in the Department of Defense community. The Center's strategically relevant and diverse research portfolio includes 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. Please see www.nps.edu/ccc for more information on the Center.

The CCC houses the Project on Advanced Systems and Concepts for Countering WMD (PASCC). PASCC was founded in May 2011 with support from the Defense Threat Reduction Agency (DTRA). In each of the last two annual cycles, PASCC has received approximately 100 proposals and selected an average of 25 projects for funding. PASCC reports and project summaries are available online at www.nps.edu/Academics/Centers/CCC/Research/PASCC.html.

One of PASCC's primary objectives is to broaden the reach of its sponsored research. To that end, it 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 cultivates national and international strategic research-community partnerships across domains. Selected projects bring scientific, technical, and social science faculty/experts together 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.

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

PASCC FY16 Research:

PASCC will select a number of proposals for research and dialogues for FY16-17 funding. The number will depend on resources available and on the quantity/quality of proposals responsive to this BAA. Offerors are invited to propose research that addresses topics within the following general categories:

1. Proliferation of weapons of mass destruction (WMD, defined as nuclear, chemical, and biological) and weapons of mass effect (WME, defined as other high-casualty or high-disruption weapons that might have “strategic” effects). This area includes: dealing with existing global horizontal and vertical proliferation concerns and their causes; developing strategies for preventing or, if prevention is not possible, minimizing the consequences of WMD/WME use and facilitating resilience and recovery; and anticipating new and emerging threats (whether by state or non-state actors). PASCC is also interested in topics related to the safety and stability of existing WMD arsenals.

2. Future technologies of mass effect. PASCC especially seeks to identify strategic weapons of the future, including such topics as infectious diseases, synthetic biology, nanotechnology, additive manufacturing, and autonomous systems. PASCC is particularly interested in anticipating and preventing threats to strategic stability and understanding non-obvious linkages between civilian technologies and possible warfare. Strategies for improving U.S. resilience and/or recovery in the face of future WMD/WME threats/attacks are a related area of interest.

3. **WMD/WME delivery systems** (including missiles, aircraft, ships, submarines, and unconventional modes). PASCC is especially interested in research on preventing new modes of delivery (including for biological weapons) and new approaches to managing or combating the spread or transfer of existing modes to countries of concern or non-state actors.

4. **Management and prevention mechanisms/regimes.** PASCC's interests include improvements to and enhanced enforcement mechanisms for existing treaties, regimes, and international organizations responsible for controlling WMD/WME, developing proposals for new international mechanisms (including possible WMD/WME elimination and such efforts as the Global Health Security Agenda), and explaining differing perceptions of (and assumptions about) WMD/WME.

5. **Multi-domain threats to strategic stability and hybrid warfare.** PASCC is interested in the linkages between strategic stability and emerging dynamics in other domains (space, cyber, maritime, etc.). This area includes research on the prevention of attacks against critical national technical means, infrastructure, and other systems linked to strategic stability. Attribution, situational awareness, and verification in these domains are other areas of interest, as are tools for "measuring" the robustness (or fragility) of strategic stability as affected by activities in these domains.

Please note that PASCC does not fund training or studies aimed at the development of new technologies. Issues related to conventional forms of terrorism, and topics whose primary focus is on cyber security, are also outside of its purview.

NPS estimates approximately \$3.5 to \$4 million per year will be available to make PASCC-approved awards. This information is only an estimate and does not obligate the Government in any way. Estimated funding amounts may increase or decrease at any time based on current and future appropriations.

One-half of PASCC funding is normally provided to research projects and one-half devoted to strategic dialogues (Track II meetings). Applicants are encouraged to propose projects for either or both categories. Research projects are typically funded at levels between \$50,000 and \$150,000. The strategic dialogues aim at answering research questions by bringing together U.S. experts and (sometimes) officials with counterparts from foreign countries to discuss WMD/WME related concerns and/or threats to strategic stability. Strategic dialogues are typically funded at levels between \$125,000 and \$225,000.

7. **Point(s) of Contact:**

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

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

Dr. Michael Malley
Executive Director
PASCC
Email: msmalley@nps.edu or pascc@nps.edu

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

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

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

Ms. Janet Norton
Contract and Grant Officer
NAVSUP Fleet Logistics Center San Diego
Email: janet.norton@navy.mil

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

- Grants.gov <http://www.grants.gov>
- NPS Broad Agency Announcements <http://www.nps.edu/research/workingwithnps.html>

8. Instrument Types:

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

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

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

- (1) The principal purpose is to transfer something of value to the award recipient to carry out a public purpose of support or stimulation authorized by a law of the United States, rather than to acquire property or services for the Department of Defense's direct benefit or use.
- (2) Substantial involvement is not appropriate between the Department of Defense and the recipient when carrying out the activity contemplated by the grant.
- (3) No fee or profit is allowed.

Grants are distinguished from contracts in that grants provide financial assistance to recipients to conduct fairly autonomous programs of research. With respect to grants, the

recipients bear prime responsibility for the design, management, direction, and conduct of research, and exercise judgment and original thought toward attaining the scientific goals within broad parameters of the research areas proposed and the resources provided. Although grants supported by the Department of Defense (DOD) must be of general interest to and must in some way have the potential to further DOD mission(s), they must only tangentially relate to those missions.

Grant proposals must provide and clearly define the public benefit that is anticipated to result from broad dissemination of the research results to scientific and professional communities. Proposals should *not* focus on potential benefits to the DOD, although these should be mentioned briefly in the White Paper's technical concept section and the Full Proposal's Statement of Work.

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

NOTE: Grants and Cooperative Agreements must be in compliance with the Department of Defense Grant and Agreement Regulations and OMB Super-circular 2 CFR §200.

Contract – A legal instrument, consistent with 31 U.S.C. §6303, reflects a relationship between the Federal Government and a State, a local government, or other recipient when the principal purpose of the instrument is to acquire property or services for the direct benefit or use of the Federal Government.

Contracts are appropriate instrument for direct support or to meet specific DOD goals, objectives, or to improve defense processes, procedures, systems or policies.

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:

PASCC supports fundamental research in a DOD grant context, with grants that are funded by Budget Activity 6.2 (Applied Research).

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

As defined therein the definition of “contracted fundamental research,” in a DOD contractual context, includes [research performed under] grants and contracts that are (a) funded by Research, Development, Test and Evaluation Budget Activity 1 (Basic Research), whether performed by universities or industry or (b) funded by Budget Activity 2 (Applied Research) and performed on

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

Pursuant to DOD policy, research performed under grants and contracts that is a) funded by Budget Activity 6.2 (Applied Research) and NOT performed on-campus at a university or b) funded by Budget Activity 6.3 (Advanced Research) does not meet the definition of “contracted fundamental research.”

In conformance with the USD (AT&L) guidance and National Security Decision Direction 189, NPS will place no restriction on the conduct or reporting of unclassified “contracted fundamental research,” except as otherwise required by statute, regulation or Executive Order. For certain research projects, it may be possible that although the research being performed by the prime contractor is restricted research, a subcontractor may be conducting “contracted fundamental research.” In those cases, it is the *prime contractor’s responsibility* in the proposal to identify and describe the subcontracted unclassified research and include a statement confirming that the work has been scoped, negotiated, and determined to be fundamental research according to the prime contractor and research performer.

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

FAR Part 35 restricts the use of Broad Agency Announcements (BAAs), such as this, to the acquisition of basic and applied research and that portion of advanced technology development not related to the development of a specific system or hardware procurement. Contracts and grants and other assistance agreements made 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, may be reviewing grant proposals for administrative purposes and may be involved in Grant administration for the life of any awarded grant. If you have any questions or concerns, please contact the Business POC identified in Section I “General Information,” before submitting your proposal

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

II. AWARD INFORMATION:

1. Amount and Period of Performance:

There is no set limit to the number of proposals an institution can submit to this BAA. But each PI can submit no more than two proposals. 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. As stated above, approved cost proposals for research projects are generally anticipated to fall between \$50,000 and \$150,000. The strategic dialogues aim at answering research questions by bringing together U.S. experts and, at times, officials with counterparts from foreign countries to discuss WMD/WME related concerns and/or threats to strategic stability. Cost proposals for strategic dialogues are typically approved at levels between \$125,000 and \$225,000.

In most but not all cases, the period of performance of the awards shall not exceed twelve (12) months from the effective date of award by a Government Grants Officer.

2. Notification Process

The notification of award selection must not be regarded as an authorization to begin performance or commit/expend funds. The Government is not obligated to provide any funding until a Government Grants Officer signs the respective award document. Costs incurred in advance of signed grants or other transactions are solely the responsibility of the prospective grantee.

III. ELIGIBILITY INFORMATION

All responsible sources from U.S. academia, U.S. research institutions, laboratories outside the U.S. Federal Government, foreign research institutions and accredited foreign universities may submit proposals under this BAA. Federally Funded Research & Development Centers (FFRDCs), including Department of Energy National Laboratories, are not eligible to receive awards under this BAA. U.S. Government schools of higher education, Navy laboratories and warfare centers as well as other Department of Defense and civilian agency laboratories are also not eligible to receive awards under this BAA and should not directly submit either white papers or full proposals in response to this BAA. If any such organization is interested in research described herein, the organization should contact the Technical Point of Contact at momalley@nps.edu or pascc@nps.edu.

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

Some topic areas may cover export-controlled technologies. Research in these areas is limited to "U.S. persons" as defined in the International Traffic in Arms Regulations (ITAR) -22 CFR §120.1 et seq.

IV. APPLICATION AND SUBMISSION INFORMATION:

1. Application and Submission Process:

White Paper:

Prospective Offerors are encouraged to submit white papers to minimize the labor and cost associated with the production of detailed full proposals that have little chance of being selected for funding.

White Papers should be submitted electronically to an NPS password-protected website established for this phase of the BAA. The website is <https://cle.nps.edu/xsl-portal/site/pascc>. Please email the Technical Point of Contact at pascc@nps.edu to receive a website account. These papers shall be in Microsoft Word or Adobe PDF format.

Do not submit “White Papers” through Grants.gov or directly through email.

To ensure full, timely consideration for funding, white papers should be submitted no later than **26 June 2015**. PASCC follows a strict annual review cycle.

White Paper Evaluation Criteria: Each white paper will be evaluated by the Government to determine whether the proposed research appears to advance knowledge in the field, enhance understanding, and provide a direct benefit to the public, which is defined here as those outside DOD who are in the public and/or private sectors. This evaluation will also determine whether the proposed research appears to be of particular value to the research areas described in Section I.6 “Research.”

Initial government evaluations and feedback will be issued via email notification from the Technical Point of Contact.

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, NPS 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 public benefit.

Invited Full Proposals:

Detailed Full Proposals (Volume 1: Technical Proposal, and Volume 2: Cost Proposal) will be subsequently requested from those Offerors whose proposed research projects have met the evaluation criteria listed above. However, email notifications and discussions about White Papers are not assurances of 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 **15 September 2015**.

The only acceptable method for submission of Full Proposals is via <http://www.grants.gov>.

Notice of Government-recommended selections based on Full Proposal submissions will be issued via email. Notice of final award by the Navy will also be issued via email.

2. Content and Format of White Papers/Full Proposals:

White Papers and Full Proposals submitted under the BAA are to be unclassified. Proposal submissions will be protected from unauthorized disclosure in accordance with FAR Subpart 15.207, applicable law, and DOD/DON regulations. Offerors are expected to appropriately mark each page of their submission that contains proprietary information.

IMPORTANT NOTE: Titles given to the White Papers and Full Proposals should be descriptive of the research they cover and not be merely a copy of the title of this solicitation or general area of interest identified in Section 1, Item 6, “Research Areas.”

A. WHITE PAPERS

White Paper Format

- Margins - 1 inch
- Spacing – single-spaced
- Font - Times New Roman, 12 point
- Number of pages permitted – 6-15 **pages** (excluding cover page, bibliographies, and cost estimate)

NOTE: 1) Do not send .ZIP files

2) Do not send password-protected files

White Paper Content

- **Cover Page:** The Cover Page shall be titled “WHITE PAPER” and include the following:
 - BAA number “NPS-BAA-15-002”
 - Research opportunity “PROJECT ON ADVANCED SYSTEMS AND CONCEPTS FOR COUNTERING WMD”
 - Title of Proposal that is descriptive of the research to be conducted
 - Estimated cost of proposed effort (limit this figure to Year 1 only for multi-year proposals)
 - Offeror's administrative and technical points of contact, with telephone numbers, facsimile numbers, and email addresses
 - Signature and name of an authorized officer at the Offeror’s institution.
- **Technical Concept:** This 6- to 15-page section should include the following:
 - **Executive Summary:** Concise (approximately 200 words) abstract of the proposed research effort.
 - **Statement of Work:**
 - Research Objective: Include the problem the proposed research will address

- and anticipated results.
- Public Purpose: Discuss how the proposed research might fulfill a public benefit beyond the needs of the Departments of Defense or Navy. *Please contact the TPOC if you are unsure what is meant by public benefit or purpose.*
 - Background: Provide an overview of the assessed need and relevance of the proposed effort to the research areas described above. Briefly summarize the literature if available. Describe how the proposed effort will result in a new contribution to the field.
 - Scope and Technical Approach: Describe the methods the Offeror will use to carry out the research. If these involve interviews or informants, clearly state their purpose.
 - **Qualifications** of both the investigator(s) and the institution to manage the project.
 - **Reports**: The following are sample reports that are typically provided under a grant-funded research effort:
 - Technical and financial progress reports, quarterly
 - Presentation materials
 - Technical and financial reports, final

Note: Grants do NOT include the delivery of software, prototypes, and/or hardware deliverables. These items may be developed for the testing of theory, methodology, or concepts, but they cannot be deliverables.

- **Timeline and Length of Period of Performance**: It is understood that the timeline is dependent on the date of award. If the proposed effort is for multiple years, the Offeror should distinguish year 1 tasks and timeline from the out-years.
- **Biography**: A brief 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 in the White Paper, although not at the level of detail as required with the Full Proposal. White Paper submissions shall include a **realistic** cost summary, not to exceed one (1) page, showing requested funding across all major categories (e.g., labor, travel, other direct costs, indirect). If the Offeror is proposing a multi-year effort, the cost summary shall be segregated by year 1, year 2, and so on.

B. FULL PROPOSALS

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

Volume 1: Technical Proposal

Volume 1 Format

- Margins - 1 inch
- Spacing - single-spaced
- Font - Times New Roman, 12 point
- **Volume 1 is limited to no more than 15 pages**, including indexes, foldouts, photographs, and appendices.
- **Volume 2 has no page limit**

Volume 1 Content

- **Cover Page:** This should include the words “TECHNICAL PROPOSAL” and the following:
 - BAA number, “NPS-BAA-15-002”
 - Title of proposal that is descriptive of the research to be conducted
 - Identity of prime Offeror and complete list of subcontractors, if applicable
 - Technical Point of Contact (name, address, phone/fax, email address)
 - Administrative/Business Point of Contact (name, address, phone/fax, email address)
 - Length of proposed period of performance.
- **Table of Contents:** An alphabetical/numerical listing of the sections within the proposal, including corresponding page numbers.
- **Executive Summary:** Concise (approximately 200 words) abstract of the proposed research effort. The executive summary provides a brief overview of the proposed program topic, objectives, methodology, and expected results. In addition, the executive summary must state how the principal purpose of the research effort will support or stimulate a public purpose, beyond any benefits to the DOD. For example, the findings from research about international and bilateral counter-proliferation regimes may contribute to DOD knowledge about how and why states cooperate with one another; but, it is clearly beneficial to both private and public-sector negotiators and leaders. Its benefit to DoD is therefore considered indirect and the research could be the subject of a grant.
- **Statement of Work (SOW):** A research description clearly detailing the scope and objectives of the effort and the technical approach. The proposed SOW may be incorporated as an attachment to the resultant award instrument. Thus, Full Proposals must include a severable self-standing SOW without any proprietary restrictions, which can be attached to the agreement award.

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

detailed list of the research tasks/subtasks organized chronologically.

If the SOW is proposing a conference, symposium, workshop, or strategic dialogue as part of the research methodology, the SOW must describe the need for such a gathering and how the meeting results are expected to support the project objective. Conference expenses in federal grants are exempt from U.S. Government conference approval guidance per the OMB Memo May 2012, see page 3, footnote 5 at

<http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-12.pdf>.

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

- **Project Schedule and Milestones:** A table summarizing the schedule of research and reporting activities and milestones. Because the date of award is not known at time of application, we recommend a “month 1,” “month 2,” format, as opposed to naming specific months and dates.
- **Reports:** The following are sample reports that are typically provided under a grant-funded research effort (do **not** include software, prototypes, hardware as deliverables):
 - Technical and financial progress reports, quarterly
 - Presentation materials
 - Technical and financial reports, final
- **Management Approach:** A discussion of the overall approach to the management of this effort, including brief discussions of the total organization; responsibilities of the various personnel; project/function/subcontractor/subrecipient relationships; government research interfaces; and planning, scheduling and oversight practices. Identify which personnel and subcontractors/subrecipients (if any) will be involved. Include a description of the facilities that are required for the proposed effort with a description of any Government-furnished equipment (GFE), hardware, software or information required, by version and/or configuration.
- **Offeror Qualifications:** A discussion of previous accomplishments and research by the Offeror institution in this or closely related areas; a discussion of the qualifications and/or resumes or curricula vitae of the proposed Principal Investigator and other key personnel.
- **Statement of Research Status:** Concise statement that identifies whether the proposed research is a follow-in effort from a prior PASCSC award, and if so, describes how the proposed project extends or enhances the prior effort.
- **Current and Pending Project and Proposal Submissions:** Principal Investigators and Key Personnel are required to provide information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing

contracts, grants, and other assistance agreements.

Offerors shall provide the following information of any related proposal submissions from whatever sources (e.g., NPS, Federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations). The following information must be provided for 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.

The proposed project and all other projects or activities requiring the Principal Investigator's time as well as any other Key Personnel must be included, even if they receive no salary support from the project(s).

1. Title of Proposal
2. One (1) paragraph summary
3. Source of funding
4. Total award amount (separate annual direct and indirect costs)
5. Contract and/or grant numbers for current contracts/grants
6. For personnel also listed on the PASCC submission, percentage effort devoted to the project; this can be number of person-months or labor hours per year
7. Identity of prime Offeror and complete list of subcontractors, if applicable
8. Technical Point of Contact (name, address, phone/fax, email address)
9. Administrative/Business Point of Contact (name, address, phone/fax, email address)
10. Period of performance (differentiate basic effort)
11. How the project is related to the proposed effort and degree of overlap, if applicable.

Volume 2: Cost Proposal

Volume 2 Format

The offeror **must** use the Grants.gov budget forms (including the Standard Form (SF) Research and Related (R&R) Budget Form) from the application package template associated with this BAA on the grants.gov website located at <http://www.grants.gov/>. A separate Adobe PDF document shall 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.

In addition to a narrative, Offerors may elect to include as part of their Cost Proposal a spreadsheet showing calculations, unit price, and number of units in more detail than is possible in the required Standard Form (SF) Research and Related (R&R) Budget Form. However, inclusion of a more detailed spreadsheet is **not** a substitute for a detailed narrative that explains calculations, justifies inclusion of budget items, and states the basis for the amounts listed.

Volume 2 Content

Costs proposed must conform to the following principles and procedures:

- Educational Institutions: OMB Super-circular 2 CFR §200, Subpart E
- Non-Profit Organizations: OMB Super-circular 2 CFR §200, Subpart E
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 Appendix VII to 2 CFR §200, the FAR Part 31, and DFARS part 231 shall apply.*

The budget narrative must include the following:

- **Direct Labor** - Individual labor categories or persons, with associated percent of annual effort and unburdened direct labor rates by annual salary (alternatively, number of total hours and hourly rate may be provided). If proposal period crosses fiscal years, then provide escalation rates for each fiscal year period. Clearly state any escalation rates used in calculations.

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

- **Administrative and Clerical Labor** - Salaries of administrative and clerical staff are normally indirect costs (and included in an indirect cost rate). Direct charging of these costs may be appropriate when a major project requires an extensive amount of administrative or clerical support significantly greater than normal and routine levels of support. Budgets proposing direct charging of administrative or clerical salaries must be supported with a budget justification, which adequately describes the major project and the administrative and/or clerical work to be performed.
- **Fringe Benefits** - The Cost Proposal narrative must include the rates and calculations of the costs for each labor category/person, the salary amounts to which they are applied, and the sum total for each labor category/person.

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

- **Travel** - The proposed travel cost should include the following for *each trip*:
 - The purpose of the trip
 - Origin and destination, if known (origin is typically known; if destination is unknown,

state basis for estimating travel cost)

- Estimated duration
- Number of travelers
- Estimated cost per trip

The costs must be justified based on the organization's historical average cost per trip or other reasonable basis for estimation. Such estimates and the resultant costs claimed must conform to the applicable Federal cost principles.

Explain why travel is a necessary and/or cost-effective component of the technical approach/methodology, as well as why the travel destination was chosen, if known. Provide a copy of Offer institution's travel policy. Provide documentation for proposed airfare costs (such as internet quotes from a travel website).

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

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

Provide specific information as follows:

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

- **Consultants** - Offerors normally are expected to utilize the services of their own staff to the maximum extent possible in managing and performing the project's effort. If the need for consultant services is anticipated, the nature of the proposed consultant services must be justified and included in the Technical Proposal.

If known at time of application, the Cost Proposal must include the name of the consultant(s), primary organizational affiliation, each individual's expertise, and a breakdown of the consultant's hours, the hourly rate proposed, and any other proposed consultant costs, such as estimated travel costs and per diem rates. Provide a copy of the signed Consulting Agreement or other documentation supporting the proposed consultant rate/cost, and a copy of the consultant's proposed statement of work if it is not already separately identified in the prime Offeror's proposal.

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

- **Materials & Supplies** - Provide an itemized list of proposed materials and supplies including quantities, unit prices, proposed vendors (if known), and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists). Include supporting documentation for the estimates. Provide a copy of your organization's purchasing policy/processes.

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

- **Other Direct Costs** - Provide an itemized list of all other proposed direct costs such as graduate assistant tuition, laboratory fees, report and publication costs, and the basis for the estimate (e.g., tuition schedules, quotes, prior purchases, catalog price lists). In addition to stating the basis for the cost estimates, include supporting documentation where possible.

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

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

- **Indirect Costs (i.e., F&A, Overhead, G&A, etc.)** - Describe the rates and calculation of the costs for each rate category, listing the base on which the rate is applied. If the rates have been approved/negotiated by a Government agency, **provide a copy of the memorandum/agreement.**

IAW 2 CFR§200.414(f), any non-Federal entity that has never received a negotiated indirect cost rate, except for those non-Federal entities described in Appendix VII to 2 CFR §200, may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely.

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.

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

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

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

- **Fee/Profit** - Fee/profit is **unallowable** under grants or cooperative agreements at either the prime or subaward level but may be permitted on any subcontracts issued by the prime awardee.

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

3. Significant and Times:

This announcement will remain open until 31 March 2016 or until replaced by a successor BAA, whichever occurs first. White Papers and Full Proposals will be accepted throughout the open period of NPS-BAA-15-002; however, all funds may be committed based on the following schedule.

- o White Papers submitted by **26 June 2015**
- o Invited Full Proposals submitted by **15 September 2015**

4. Submission of Full Proposals:

All Full Proposals shall be submitted through Grants.gov using the application package template associated with this BAA. Additional documents and attachments described above should be generated and then uploaded and attached where indicated on the Grants.gov website.

Registration Requirements for Grants.gov:

There are several one-time actions you must complete in order to submit an application through Grants.gov. These include obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the System of Award Management (SAM), registering with the Credential Provider, and registering with Grants.gov. See <http://www.grants.gov/web/grants/home.html>, specifically <http://www.grants.gov/web/grants/applicants.html>. The Grants.gov Organization Registration Checklist at <http://www.grants.gov/web/grants/applicants/grant-application-process.html> will guide you through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called 'MPIN' are important steps in the SAM registration process. Applicants, who are not registered with SAM and Grants.gov should allow at least 21 days to complete these requirements. It is suggested that the process be started as soon as possible.

Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 (1-606-545-5035 for foreign applicants) or email: 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-15-002. Click on the button labeled "Download Package." Follow the instructions on the Grants.gov page to complete the application download process.

It is recommended that you complete SF 424 R&R form first to populate data in other forms. Complete all the required fields in accordance with the pop-up instructions on the form. To

activate the instructions, turn on the “Help Mode” (icon with the pointer and question mark at the top of the form).

You must complete the mandatory forms and any applicable optional forms (e.g., SF-LLL Disclosure of Lobbying Activities) in accordance with the instructions on the forms and the additional instructions provided in this BAA. All attachments to grant applications submitted through Grants.gov must be in Adobe PDF unless otherwise specified in this announcement.

Proprietary information may be included on submitted forms, supporting documentation, and the Cost Proposal. All such information should be denoted with asterisks (***) at the beginning and end of the proprietary information; alternatively, a page with considerable proprietary information can display the statement “Proprietary Information” in its header or footer.

Statements of Work within the Technical Proposal should NOT include proprietary information or other restricted or protected information.

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

V. EVALUATION INFORMATION:

1. Evaluation Criteria:

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

- a) Anticipated contributions of the effort to PASCC FY16 Research Program (Section 1 Item 6).
- b) Overall quality, rigor, and technical merits of the proposed effort.
- c) 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.
- d) Relevance to U.S. Government interests.
- e) Expansion of knowledge and understanding of national security issues.
- f) Anticipated benefits of new knowledge to the general public.
- g) Reasonableness of the cost proposal.

The ultimate recommendation for award of proposals is made by the PASCC Director. Recommended proposals will be forwarded to the NAVSUP FLC San Diego contracts department. Any notification received from NPS that indicates that the Offeror’s Full Proposal has been recommended does not ultimately guarantee an award will be made. A notice from the Technical POC indicates that the proposal has been selected in accordance with the evaluation criteria above and will be sent to the NPS Grant Management Specialist, Grants Administration Unit, Research and Sponsored Programs Office, to conduct preliminary cost analysis, assess the Offeror’s responsibility, and take other steps necessary prior to sending a complete proposal package to NAVSUP FLC San Diego for review and award.

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 PASCC Proposal Review Committee will evaluate all White Papers and advise as to the subset of invited Full Proposals. Restrictive notices notwithstanding, one or more support contractors may be utilized as subject-matter-expert technical consultants. However, proposal selection and award decisions are solely the responsibility of Government personnel. Each support contractor's employee having access to Technical and Cost Proposals submitted in response to this BAA will be required to sign a non-disclosure statement prior to receipt of any proposal submissions.

VI. AWARD ADMINISTRATION INFORMATION:

1. Administrative Requirements:

- **The North American Industry Classification System (NAICS) code:** The North American Industry Classification System (NAICS) code for this announcement is 541720 with a small business size standard of \$19.0M.
- **System for Award Management (SAM):** All Offerors submitting proposals or applications must: (a) be registered in the System of Award Management (SAM) prior to submission; (b) maintain an active SAM registration with current information at all times during which it has an active Federal award or an application under consideration by any agency; and (c) provide its DUNS number in each Full Proposal it submits to NPS via Grants.gov.

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

SAM may be accessed at <https://www.sam.gov/portal/public/SAM/>.

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

2. Certifications and Assurances:

- **Certification Regarding Lobbying Activities-** Grant and Cooperative Agreement awards greater than \$100,000 require a certification of compliance with a national policy mandate concerning lobbying. Grant applicants shall provide this certification by electronic submission of SF-424 (R&R) as a part of the electronic proposal submitted via Grants.gov (complete Block 17); the following certification applies to each applicant seeking federal assistance funds exceeding \$100,000:

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

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

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

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S.C. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

3. All Offerors must submit the application using the SF-424 R&R series forms, which include the following:

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

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

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

R&R Other Project Info - (included in the application package available on grants.gov posted with this BAA).

R&R Senior/Key Personnel - (included in the application package available on grants.gov posted with this BAA).

4. Policy Requirements:

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

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

- OMB Super-circular 2 CFR §200 “Uniform Administrative Requirements, Cost Principles, and Audit Requirement for Federal Awards”

VI. OTHER INFORMATION:

1. Security Classification:

In order to facilitate intra-program collaboration and technology transfer, the Government will attempt to enable technology developers to work at the unclassified level to the maximum extent possible. If access to classified material will be required at any point during performance, the Offeror must clearly identify such need prominently in its proposal. An unclassified final report is required in order that the general public may benefit from the research findings.

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

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

2. Use of Animal and Human Subjects in Research:

PASCC does not fund animal research.

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

3. Recombinant DNA:

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

4. Protection of Proprietary and Sensitive Information:

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

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

As set forth herein, Recipient acknowledges and agrees that third-party support contractors may access technical information submitted by Recipient. Government will ensure that the contractor employee has signed a non-disclosure agreement with its employer (on record); and, Government will ensure that the contractor employer, likewise, has 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).

5. Conflicts of Interest:

Organizational Conflicts of Interest: All Offerors, principal investigators, and proposed subcontractors must affirm whether they are providing scientific, engineering, and technical assistance (SETA) or similar support to any Naval Postgraduate School (NPS) school/office, or to the underlying sponsor of this research through an active contract or subcontract. All affirmations must state which office(s) the Offeror supports and identify the prime contract numbers. Affirmations shall be furnished at the time of proposal submission. All facts relevant to the existence or potential existence of organizational conflicts of interest (FAR 9.5) must be disclosed. The disclosure shall include a description of the action the Offeror has taken or proposes to take to avoid, neutralize, or mitigate such conflict. In accordance with FAR 9.503 and without prior approval, a contractor cannot simultaneously be a SETA and a research and development performer. Proposals that fail to fully disclose potential conflicts of interests will be rejected without technical evaluation and withdrawn from further consideration for award.

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

If a prospective Offeror believes a conflict of interest exists or may exist (whether organizational or otherwise) or has questions on what constitutes a conflict interest, the proposer should send his/her contact information and summary of the potential conflict to baa@nps.edu *before* time and effort are expended in preparing a proposal and mitigation plan.

Be advised the Grants Officer reserves the right in his/her discretion to withhold award if he/she determines there is a conflict of interest or standards of conduct violation, if the prospective grantee/contractor fails to demonstrate that there is no conflict/violation or that any potential conflict has been adequately mitigated to protect the rights and interest of the Government.

6. 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. Any documents developed under an award agreement resulting from this BAA that are intended for distribution to the public or inclusion in a scientific, technical, or other journal shall include the following statement:

This publication was developed under work supported by the Naval Postgraduate School Project on Advanced Systems and Concepts for Countering WMD No. [insert award number] awarded by the NAVSUP Fleet Logistics Center San Diego (NAVSUP FLC San Diego). It has not been formally reviewed by NPS. The views and conclusions contained in this document are those of the authors and should not be interpreted as necessarily representing the official policies, either expressed or implied, of the NAVSUP FLC San Diego and NPS. The NAVSUP FLC San Diego and NPS do not endorse any products or commercial services mentioned in this publication.

7. Military Recruiting on Campus:

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

8. Intellectual Property (applies to cooperative agreements and contracts):

Offerors responding to this BAA must submit a separate list of all technical data or computer

software that will be furnished to the Government with other than unlimited rights. The Government will assume unlimited rights if Offerors fail to identify any intellectual property restrictions in their proposals. Include in this section all proprietary claims to results, prototypes, and/or deliverables. If no restrictions are intended, then the Offeror should state "NONE."

9. Federal Funding Accountability and Transparency Act of 2006:

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

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

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

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

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

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

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

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

12. Representation Regarding the Prohibition on Using FY15 Funds with Entities that Require Certain Internal Confidentiality Agreements:

Agreement with the representation below will be affirmed by checking the "I agree" box in block 17 of the SF424 (R&R) as part of the electronic proposal submitted via Grants.gov. The representation reads as follows:

By submission of its proposal or application, the applicant represents that it does not require any of its employees, contractors, or subrecipients seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting those employees, contractors, subrecipients from lawfully reporting that waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

Note that: (1) the basis for this representation is a prohibition in section 743 of the Financial Services and General Government Appropriations Act, 2015, Pub. L. 113-235) on provision of funds through grants and cooperative agreements to entities with certain internal confidentiality agreements or statements; and 92) section 743 states that it does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.