

BROAD AGENCY ANNOUNCEMENT

INTRODUCTION:

This Broad Agency Announcement (BAA) is issued under the provisions of the Department of Defense Grant and Agreement Regulations (DODGARS) 22.315(a). A formal Request for Proposal (RFP), solicitation, and/or additional information regarding this announcement will not be issued. Request for same will be disregarded. Paper copies of this announcement will not be provided.

The Department of Defense (DoD) agencies involved in this program reserve the right to select for award all, some, or none of the proposals submitted in response to this announcement. The participating DoD agencies will provide 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 participating DoD agencies to treat all proposals as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

I. GENERAL INFORMATION

1. Agency Name for Proposal Submission

U.S. Army Research Office
P. O. Box 12211
Research Triangle Park, NC 27709-2211

2. Research Opportunity Title

Minerva Research Initiative (MRI)

3. Program Name

Fiscal Year (FY) 2009 Department of Defense Minerva Research Initiative

4. Research Opportunity Number

W911NF-08-R-0007

5. Response Due Dates

White Papers: Friday, 25 July 2008, 4:00 PM Local North Carolina Time

Full Proposals: Friday, 3 October 2008, 4:00 PM Local North Carolina Time

See paragraph 4 of Section IV for additional dates.

6. Research Opportunity Description

The Minerva Research Initiative is a DoD-sponsored, university-based social science research program initiated by the Secretary of Defense. It focuses on areas of strategic importance to U.S. national security policy. It seeks to increase the Department's intellectual capital in the social sciences and improve its ability to address future challenges and build bridges between the Department and the social science community. Minerva will bring together universities, research institutions, and individual scholars and support multidisciplinary and cross-institutional projects addressing specific topic areas determined by the Department.

The Office of the Under Secretary of Defense for Policy [OUSD(P)] and Office of the Under Secretary of Defense for Acquisition, Technology and Logistics [OUSD(AT&L)] will work collaboratively to achieve the Secretary of Defense's vision by piloting several approaches for engaging the social science community. This multi-pronged approach will enable the Department to solicit a broad range of proposals and to leverage the expertise and infrastructures of a wide range of existing mechanisms for funding basic research.

One of those mechanisms is represented by this broad agency announcement.

The FY 2009 Minerva Research Initiative (MRI) competition is for research related to the five (5) topics listed below. Detailed descriptions of the topics can be found in Section VIII, "Specific Minerva Research Initiative Topics." The detailed descriptions are intended to provide the offeror a frame of reference and are not meant to be restrictive. Innovative proposals related to these research topics are highly encouraged.

The MRI aims to promote research in specific areas of social science and to promote a candid relationship between DoD and the social science academic community.

White papers and full proposals are solicited which address the following topics:

- (1) Chinese Military and Technology Research and Archive Programs
- (2) Studies of the Strategic Impact of Religious and Cultural Changes within the Islamic World
- (3) Iraqi Perspectives Project
- (4) Studies of Terrorist Organization and Ideologies
- (5) New Approaches to Understanding Dimensions of National Security, Conflict, and Cooperation

Proposals from a team of university investigators may be warranted because the necessary expertise in addressing the multiple facets of the topics may reside in different universities or in different departments of the same university. By supporting teams, the program is complementary to other DoD basic research programs that support university research through single-investigator awards. Proposals must name one Principal Investigator as the responsible technical point of contact. Similarly, one institution will be the primary recipient for the purpose of award execution. The relationship among participating institutions and their respective roles, as well as the apportionment of funds including sub-awards, if any, must be described in both the proposal text and the budget. Historically Black Colleges and Universities (HBCU) [as determined by the Secretary of Education to meet requirements of Title III of the Higher Education Act of 1965, as amended (20 U.S.C. Sec. 1061)] and Minority Institutions (MI) [as defined by 20 U.S.C. Sec. 1067k(3) and 20 U.S.C. Sec. 2323(a)(1)(C)] are encouraged to participate in the MRI program, either as the lead institution or as a member of a team. However, no specific funds are set aside for HBCU/MI participation.

7. Point(s) of Contact

A Research Topic Chief is identified for each specific MRI topic. Questions of a *technical nature* shall be directed to the Research Topic Chief identified in Section VIII of this BAA.

Questions of a *programmatic nature* shall be directed as specified below:

Minerva Research Initiative Program Point of Contact for this BAA:

Dr. Jonathan Porter

Office of Dep USD for Laboratories and Basic Sciences, DDR&E

Email Address: Jonathan.Porter@osd.mil

Questions of a *business nature* shall be directed to the cognizant Contract Specialist as specified below:

Ms. Susan P. Hill

Grants/Contracting Officer

U.S. Army RDECOM Acquisition Center

Research Triangle Park Contracting Division

ATTN: AMSRD-ACC-R

P. O. Box 12211

Research Triangle Park, NC 27709-2211

Email address: AROR.MRIQuestions@us.army.mil

8. Instrument Type

It is anticipated that all awards resulting from this announcement will be grants. Grant awards shall be made in accordance with ARO General Terms and Conditions, which may be found on www.aro.army.mil. The most current version will be incorporated by reference in each grant award.

9. Catalog of Federal Domestic Assistance (CFDA) Number

12.431

10. Catalog of Federal Domestic Assistance (CFDA) Title

Basic Scientific Research

11. BAA Questions and Answers

Interested parties shall submit comments or questions via electronic mail to the following email address: AROR.MRIQuestions@us.army.mil, and include "W911NF-08-R-0007" in the subject line. Comments or questions submitted should be concise and reference the relevant part and paragraph of the BAA. Please take caution when submitting questions containing proprietary or sensitive information.

White paper questions may be submitted between the time this announcement appears and 4:00 PM Local North Carolina Time, Monday, 21 July 2008. Questions related to white paper submission that are submitted after this time will not be answered and the due date for white

papers will not be extended. Responses to questions deemed applicable to the community of potential offerors will be posted on a Q&A section of the ARO web site at www.aro.army.mil under "For the Researcher" as they become available.

Questions regarding full proposals may be submitted between the time this announcement appears and 4:00 PM Local North Carolina Time, Friday, 26 September 2008. Questions submitted after this time will not be answered and the due date for submission of full proposals will not be extended. Responses to questions deemed applicable to the community of offerors submitting full proposals will be posted on a Q&A section of the ARO web site at www.aro.army.mil under "For the Researcher" as they become available.

II. AWARD INFORMATION

It is anticipated the awards will be made in the form of grants to universities. The awards will be made at funding levels commensurate with the proposed research and in response to agency missions. Each individual award will be for up to a five-year base period with one five-year renewal option. The base and option period may be incrementally funded.

Total amount of funding for five years available for grants resulting from this MRI BAA is estimated to be about \$50M, subject to availability of out-year appropriations. It is anticipated that the awards will range from \$0.5M to \$3M per year, with typical awards in the range of \$1M to \$1.5M per year. Awards in the upper end of the range will be made only for extremely meritorious proposals. The actual amount of each award will be contingent on availability of funds, the specific topic, and the scope of the proposed work. Depending on the results of the proposal evaluation, there is no guarantee that any of the proposals submitted in response to a particular topic will be recommended for funding. On the other hand, more than one proposal may be recommended for funding for a particular topic.

III. ELIGIBILITY INFORMATION

This MRI competition is open to institutions of higher education (universities) including DoD institutions of higher education and foreign universities, with degree-granting programs in social sciences. Participation by foreign universities either as project lead or in a supporting role is encouraged. Commercial entities, DoD laboratories, and Federally Funded Research and Development Centers may collaborate on the research but may not receive MRI funds, directly or via subaward.

IV. APPLICATION AND SUBMISSION INFORMATION

1. General Information

The white papers and full proposals submitted under this BAA are expected to address unclassified basic research. The full proposal submissions will be protected from unauthorized disclosure in accordance with applicable laws and DoD regulations. Offerors are expected to appropriately mark each page of their submission that contains proprietary information. Grants awarded under this announcement will be unclassified.

The proposal submission process has two stages.

Stage 1 - Prospective offerors are encouraged to submit white papers to minimize the labor and cost associated with the production of detailed proposals that have very little chance of

being selected for funding. Further, offerors are strongly encouraged to contact the appropriate Research Topic Chief for discussion of their ideas to enhance the chances that white papers will receive positive feedback. Based on an assessment of the white papers, the responsible Research Topic Chiefs will provide email feedback to the prospective recipients to encourage or discourage submission of full proposals. White papers arriving after the deadline may not receive feedback.

Stage 2 – Subsequent to white paper feedback, interested offerors are required to submit full proposals. All proposals submitted under the terms and conditions cited in this BAA will be evaluated in accordance with the evaluation criteria stated herein.

Submission dates and times may be found in paragraph 4 of this section.

2. Submission of White Papers:

White papers shall be submitted electronically to AROR.MRIWhitepapers@us.army.mil. The email subject line should contain the following: W911NF-08-R-0007 White Paper.

White papers received after the deadline may not be reviewed.

White papers shall comply with the following format.

- Paper size when printed - 8.5 x 11 inch paper
- Margins - 1 inch
- Spacing - single
- Font – No smaller than Times New Roman, 10 point
- Number of pages - no more than four (4) single-sided pages (excluding cover letter, cover, and curriculum vitae).

White papers not complying with formatting instructions may not be evaluated.

White Paper content should be as follows:

- A one page cover letter (optional)
- A cover page, labeled "PROPOSAL WHITE PAPER," that includes the BAA number, proposed title, and offeror's technical point of contact, with telephone number, facsimile number, e-mail address, topic number, and topic title
- Identification of the research and issues
- Proposed methods
- Potential implications for national Defense
- Potential team and management plan
- Summary of estimated costs
- Curriculum vitae of key investigators

The white paper should provide sufficient information on the research being proposed (e.g., hypothesis, theories, concepts, methods, approaches, data collection, measurement and analyses, etc.) to allow for an assessment by a subject matter expert. It is not necessary for white papers to carry official institutional signatures.

Acknowledgement of receipt of a white paper under this BAA will be accomplished via email to the addressee approximately one week after submission.

3. Submission of a Full Proposal:

Full proposals shall be submitted electronically through the www.grants.gov portal. Full proposals sent by fax or email will not be considered.

Registration Requirements for www.grants.gov: There are several one-time actions that an offeror must complete in order to submit an application through Grants.gov (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the Central Contract Registry (CCR), register with the credential provider, and register with Grants.gov). See www.grants.gov/GetStarted to begin this process. Use the Grants.gov Organization Registration Checklist at www.grants.gov/assets/OrganizationRegCheck.doc to guide you through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called MPIN are important steps in the CCR registration process. Applicants, who are not registered with CCR and Grants.gov, should allow at least 21 days to complete these requirements. It is suggested that the process be started as soon as possible. See page 13, Section VI, paragraph 1.

Questions: 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 support@grants.gov.

VERY IMPORTANT – Download PureEdge Viewer: In order to download the application package, you will need to install PureEdge Viewer. This small, free program will allow you to access, complete, and submit applications electronically and securely. For a free version of the software, visit the following web site: www.grants.gov/DownloadViewer.

Content and Format of Application

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." Enter the CFDA for Basic Scientific Research, 12.431, and the funding opportunity number, W911NF-08-R-0007. NOTE: Offerors will not be able to download the Application Package unless PureEdge Viewer is installed (See: www.grants.gov/DownloadViewer).

Content and Form of Application

Offerors 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 below. **Files that are attached to the forms must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement.**

Form: SF 424 (R&R) – Application For Federal Assistance

Complete this 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). The list of certifications and assurances referenced in Field 18 can be found on www.aro.army.mil, "For the Researcher," "Downloadable Forms," "ARO Form 95." The certification package for grants is titled, "Certifications for Educational/Nonprofit Institutions." In Field 4, designate "MRI" and the topic number. For example, "MRI-Topic 5."

Form: Research & Related Other Project Information

Complete questions 1 through 5 and attach files. The files must comply with the following instructions:

Project Summary/Abstract (Field 6 on the form)

The project summary should be a single page that identifies the research problem, propose methods, anticipated outcome of the research, if successful, and impact on DoD capabilities or broader implications for national Defense. It should identify the Principal Investigator, the university and other universities involved in the MRI team if any, the proposal title, the MRI topic number, and the total funds requested from DoD for the 5-year base period, the five-year option period, and the 10-year total period. The project summary must not exceed 1 page when printed using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right) with font no smaller than Times New Roman, 10 point. To attach a Project Summary/Abstract, click "Add Attachment."

Project Narrative (Field 7 on the form)

To attach a Project Narrative in Field 7, click "Add Attachment." **All applications should be in a single PDF file.**

The following formatting rules apply for Field 7

- Paper size when printed - 8.5 x 11 inch paper
- Margins - 1 inch
- Spacing - single
- Font – No smaller than Times New Roman, 10 point
- Number of pages - no more than twenty-five (25) single-sided pages.
The cover, table of contents, list of references, letters of support, and curriculum vitae are excluded from the page limitations. Full proposals exceeding the page limit may not be evaluated.

Include the following in Field 7

The narrative's first page must include the following information:

- Principal Investigator name
- Phone number, fax number, and e-mail address
- Institution, Department, Division
- Institution address
- Other universities involved in the MRI team
- Current DoD Contractor or Grantee? If yes, provide Agency, point of contact, phone number
- Proposal title
- Institution proposal number
- Topic number and topic title
- Table of Contents: List project narrative sections and corresponding page numbers.

- **Project Description:** A Project Description (PD) should clearly detail the scope and objectives of the effort and the specific research to be performed under the grant if the proposal is selected for funding. It is anticipated that the proposed PD will be incorporated by reference to any resultant award. To this end, this project narrative must include a severable self-standing PD, without any proprietary restrictions.
- **Methods:** Describe in detail the basic social science research to be undertaken. State the objective and approach, including how data will be collected, analyzed and interpreted. Discuss the relationship of the proposed research to the state-of-the-art knowledge in the field and to related efforts in programs elsewhere. Include appropriate literature citations/references. Discuss the nature of expected results. Discuss potential relevance to defense missions and requirements. Describe plans for the research training of students. Include the number of full time equivalent graduate students and undergraduates, if any, to be supported each year. Discuss the involvement of other students, if any.
- **Project Schedule, Milestones, and Deliverables:** A summary of the schedule of events, milestones, and a detailed description of the results and products to be delivered.
- **Assertion of Data Rights:** A summary of any proprietary rights to pre-existing results, prototypes, or systems supporting and/or necessary for the use of the research, results, and/or prototype. Any data rights asserted in other parts of the proposal that would impact the rights in this section must be cross-referenced. If there are proprietary rights, the offeror must explain how these affect its ability to deliver research data, subsystems, and toolkits for integration. Additionally, offerors must explain how the program goals are achievable in light of these proprietary limitations. If there are no claims of proprietary rights in pre-existing data, this section shall consist of a statement to that effect.
- **Management Approach:** A discussion of the overall approach to the management of this effort, including brief discussions of: required facilities; relationships with any subawardees and with other organizations; availability of personnel; and planning, scheduling, and control procedures.
 - (a) Describe the facilities available for the accomplishment of the proposed research and related education objectives. Describe any capital equipment planned for acquisition under this program and its application to the proposed research. If possible, the budget for capital equipment should be allocated to the first budget period of the grant. Include a description of any government furnished equipment/hardware/software/information, by version and/or configuration that are required for the proposed effort.
 - (b) Describe in detail proposed subawards to other eligible universities or relevant collaborations (planned or in place) with government organizations, industry, or other appropriate institutions. Particularly describe how collaborations are expected to facilitate the transition of research results to applications. Descriptions of industrial collaborations should explain how the proposed research will impact the company's research and/or product development activities. If subawards to other universities are proposed, make clear the division of research activities, to be supported by detailed budgets for the proposed subawards.

(c) Designate one Principal Investigator for the award to serve as the primary point-of-contact. Briefly summarize the qualifications of the Principal Investigator and other key investigators to conduct the proposed research.

(d) Describe plans to manage the interactions among members of the proposed research team.

(e) Identify other parties to whom the proposal has been, or will be sent, including agency contact information.

- Curriculum Vitae: Include curriculum vitae of the Principal Investigator and key co-investigators.

Bibliography and References Cited (Field 8 on the form)

To attach a listing of applicable publications cited in above sections, click “Add Attachment.”

Facilities and Other Resources (Field 9 on the form)

The offeror should include in the proposal a listing of facilities and other resources already available to perform the research proposed. To attach this information at Field 9, click “Add Attachment.”

Government research 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 the MRI program. The use of these facilities and resources will be negotiated as the program unfolds. Offerors should explain which of these facilities they recommend.

Equipment (Field 10 on the form)

Each offeror must provide a specific description of any equipment/hardware that each participating institution needs to acquire to perform the work. This description should identify the component, nomenclature, and configuration of the equipment/hardware that it proposes to purchase for this effort. The purchase on a direct reimbursement basis of special test equipment or other equipment that is not included in a deliverable item will be evaluated for allowability on a case-by-case basis. Maximum use of Government integration, test, and experiment facilities is encouraged in each of the offeror's proposals.

Other Attachments (Field 11 on the form)

The offeror must provide a detailed cost breakdown of all costs, by cost category, by the funding periods described below, and by task/sub-task corresponding to the task number in the proposed Purchase Description which was provided in Field 7 of the Research and Related Other Project Information Form. The option period must be separately priced. To attach the budget breakdown, click “Add Attachments.”

The budgets should adhere to the following guidelines:

Detailed breakdown of all costs, by cost category, by the calendar periods stated below. For budget purposes, use an award start date of 19 December 2008. For the five-year base grant, the cost should be broken down to reflect funding increment periods of:

- (1) Nine and one-half months (19 Dec 08 to 30 Sep 09),
- (2) Twelve months (01 Oct 09 to 30 Sep 10),
- (3) Twelve months (01 Oct 10 to 30 Sep 11),
- (4) Twelve months (01 Oct 11 to 30 Sep 12),
- (5) Twelve months (01 Oct 12 to 30 Sep 13), and
- (6) Two and one-half months (01 Oct 13 to 18 Dec 13).

Note that the budget for each of the calendar periods (e.g. 01 May 08 to 30 Sep 08) should include only those costs to be expended during that calendar period.

Annual budgets should be driven by program requirements. Elements of the budget should include:

- Direct Labor - Individual labor category or person, with associated labor hours and unburdened direct labor rates.
- Indirect Costs - Fringe benefits, overhead, G&A, etc. (must show base amount and rate). Justify.
- Travel - Number of trips, destination, duration, etc. Justify
- Subaward - A cost proposal, as detailed as the offeror's cost proposal, will be required to be submitted by each proposed subrecipient.
- Consultant - Provide consultant agreement or other document that verifies the proposed loaded daily/hourly rate. Include a description of the nature of and the need for any consultant's participation. Strong justification must be provided, and consultants are to be used only under exceptional circumstances where no equivalent expertise can be found at a participating university. Justify.
- Materials - Specifically itemized with costs or estimated costs. An explanation of any estimating factors, including their derivation and application, shall be provided. Include a brief description of the offeror's procurement method to be used (competition, engineering estimate, market survey, etc.). Justify.
- Other Directs Costs - Particularly any proposed items of equipment or facilities. Equipment and facilities generally must be furnished by the recipient (justifications must be provided when Government funding for such items is sought). Include a brief description of the offeror's procurement method to be used (competition, engineering estimate, market survey, etc.). Justify.

Funding breakdown by task/sub-task corresponding to the task number in the proposed PD which was provided in Field 7 of the Research and Related Other Project Information Form must also be attached.

SF-LLL - Disclosure of Lobbying Activities

If applicable, attach a completed SF- LLL at Field 11 of the R&R Other Project Information form by clicking "Add Attachments." Applicability: 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 grant/cooperative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying."

Research and Related – Senior/Key Person Profile Form

Biographical sketches are required where indicated after the profile for the Principal Investigator and key co-investigators. To attach biographical sketches, click “Add Attachment.”

Statements of current and pending support for the Principal Investigator and co-investigators listed in the proposal should be included. These statements require that each investigator specify all grants and contracts through which he or she is currently receiving or may potentially receive financial support. Describe the research activities and amount of funding. To attach current and pending support, click “Add Attachment.”

Full Proposal Receipt Notices

After a full proposal is submitted through Grants.gov, the Authorized Organization Representative (AOR) will receive a series of three e-mails. It is extremely important that the AOR watch for and save each of the e-mails. Offerors will know that the proposal has been properly received when the AOR receives e-mail Number 3. Retain the Submission Receipt Number (e-mail Number 1) to track a submission. The three e-mails are:

Number 1 – The AOR will receive a confirmation page upon completing the submission to Grants.gov. This confirmation page is a record of the time and date stamp for the submission and will include a Submission Receipt Number.

Number 2 – The AOR will receive an e-mail within a few hours of submission indicating that the proposal has been validated by Grants.gov. This means that all of the required fields have been completed.

Number 3 – The AOR will receive from the U.S. Army Research Office an acknowledgment of receipt within ten days from the proposal due date. This e-mail for full proposals notes that the proposal has been received and provides the assigned tracking number, if applicable.

Late Submission of Full Proposals

Any full proposal submitted through Grants.gov where the time and date for submission (e-mail Number 1) is after the deadline for proposal submission in Section IV, paragraph 4 below, will be considered late and will not be evaluated unless the Grants.gov website was not operational on the due date and was unable to receive the proposal submission. If this occurs, the time specified for the receipt of proposals through Grants.gov will be extended to the same time of the day specified in this BAA on the first workday on which the Grants.gov website is operational.

4. Significant Dates and Times

Schedule of Events		
Event	Date	Time
White Papers Due	25 July 2008	4:00 PM Local North Carolina Time

Notification of Initial DoD Evaluations of White Papers	22 August 2008*	4:00 PM Local North Carolina Time
Full Proposals Due	3 October 2008	4:00 PM Local North Carolina Time
Notification of Selection for Award	14 November 2008*	4:00 P.M. Local North Carolina Time
Start Date of Grant	19 December 2008*	4:00 P.M. Local North Carolina Time

* These dates are estimates as of the date of this announcement.

V. EVALUATION INFORMATION

1. Evaluation Criteria

White papers will be evaluated by an evaluation panel chaired by the responsible Research Topic Chief to assess whether the proposed research is likely to meet the objectives of the specific topic, and thus whether to encourage the submission of a full proposal. The assessment will focus on scientific merit (criterion 1, below) and relevance and potential contribution to DoD (criterion 2, below), although the other criteria may also be used in making the assessment.

Full proposals responding to this BAA in each topic area will be evaluated using the following criteria. The first two evaluation factors are of equal importance:

- (1) scientific merit, soundness, and programmatic strategy of the proposed social science research
- (2) relevance and potential contributions of the proposed research to the topical research area; and

The following five evaluation criteria are each of lesser importance than any of the above two, but are equal to each other:

- (3) the institution's ability to perform relevant social science research and to train, through the proposed research, students in social sciences that can support research and educational objectives relevant to understanding and contributing to national security;
- (4) the qualifications and availability of the Principal Investigator and key co-investigators;
- (5) the adequacy of current or planned facilities and equipment to accomplish the research objectives;
- (6) the impact of proposed interactions with other organizations engaged in related research, in particular DoD agencies, industry, academia, and other organizations that perform social and cultural research; and
- (7) the realism and reasonableness of cost (cost sharing is not a factor in the evaluation).

Decisions for exercising options will be based on accomplishments during the base years and potential advances during the option years that can impact DoD research priorities and capabilities.

2. Evaluation Panel

White papers will be reviewed by an evaluation panel chaired by the responsible Research Topic Chief. The evaluation panel will consist of subject matter experts who are Government employees. Results will be provided by the Research Topic Chief.

Full proposals will be evaluated by an evaluation panel chaired by the responsible Research Topic Chief and will consist of subject matter experts who are Government employees. Evaluation panel members are required to sign "no conflict of interest" statements.

3. Selection Process

Full proposals will undergo a multi-stage evaluation procedure. The respective evaluation panels will review proposals first. Findings of the evaluation panels will be forwarded to senior DoD officials who will make funding recommendations to the awarding officials.

VI. AWARD ADMINISTRATION INFORMATION

1. Administrative Requirements

- CCR - Successful offerors not already registered in the Central Contractor Registry (CCR) will be required to register in CCR prior to any award resulting from this BAA. Information on CCR registration is available at www.ccr.gov.
- Certifications - The following certification applies to each offeror seeking federal funds exceeding \$100,000:

Certification Regarding Lobbying Activities

(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, loans, 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.

2. Reporting

In general, for each grant award, annual progress reports and a final progress report are required which summarize the technical progress and accomplishments during the performance period. Specific reporting requirements will be included in each resulting award.

VII. OTHER INFORMATION

1. Use and Protection of Human Subjects in Research

All research involving human subjects must be conducted in accordance with 32 CFR 219, 10 USC 980, and DoDD 3216.2, as well as other applicable federal and state regulations. Recipients of grant awards resulting from this BAA must be cognizant of and abide by the additional restrictions and limitations imposed on the DoD regarding research involving human subjects, specifically as regards vulnerable populations (32 CFR 219 modifications to subparts B-D of 45 CFR 46), recruitment of military research subjects (32 CFR 219), and surrogate consent (10 USC 980). The regulations mandate that all DoD activities, components, and agencies protect the rights and welfare of human subjects of study in DoD-supported research, development, test and evaluation, and related activities hereafter referred to as "research." The requirement to comply with the regulations applies to new awards and to continuing research.

2. Department of Defense High Performance Computing Modernization Program

The DoD High Performance Computing Modernization Program (HPCMP) furnishes the DoD science and technology and test and evaluation communities with access to very powerful high performance computing systems. Recipients of DoD contracts, grants, and assistance instruments may be eligible to use HPCMP assets in support of their funded activities if Research Topic Chief approval is obtained and if security/screening requirements are favorably completed. Additional information and an application may be found at www.hpcmo.hpc.mil/.

VIII. SPECIFIC MINERVA RESEARCH INITIATIVE TOPICS

FY09 MRI Topic #1

Chinese Military and Technology Research and Archive Programs

Background: The Chinese publish a wealth of unclassified information about military, technological and scientific developments. However, much of this material is difficult for scholars outside of China to locate or access and most of it is not generally known beyond a small circle of researchers. The breadth and depth of material, and the scope of topics, offers insights into China regarding everything from industry and agriculture, to technology development and scientific research, to politics and military issues. Exploring these information resources can enable a better understanding of China, its future, and its aspirations in our evolving world. The Department seeks to support scholarly efforts to gather these materials, translate them where necessary, interpret them and make them available to a wider audience by creating an open source platform to facilitate, pool and network the knowledge and understanding of subject matter experts in Government and academia.

From a practical perspective, social, cultural and geo-political knowledge and models can help define appropriate objectives and activities for meeting National Security goals. Therefore, the Department of Defense will facilitate research using these materials and foster discovery and discussion, conferences, and publication of papers and books.

Objectives: The overall objective of this program, Chinese Military and Technology Research and Archive Programs, is to explore the social, cultural, and political characteristics and implications of trends and developments in the Chinese military as well as in supporting technological and industrial sectors. If appropriate, applicants will be asked to contribute to documentation centers or archives, physical or virtual, of translated current open source Chinese documents and books on these topics for use by other scholars. Copies of these materials will be placed with the Defense Technical Information Center (DTIC).

Examples of appropriate research might include the effects of a shift from a command to a market economic system on the defense establishment and budget; changing identities in the People's Liberation Army (PLA) **that accompany ideological shifts from a closed to a more open political system**; perceptions and the evolution of PLA strategic thinking; formal and informal aspects of Chinese bureaucratic practices and politics; understanding PLA perceptions of China's international role and military needs; and education and challenges for military or industrial technology.

Applicants should team with computer, information, anthropology, sociology, political science, international relations), human factors, and behavioral science specialists so that analyses incorporate many perspectives and collaboration technologies unite experts in an overarching bridge across relatively wide cultural spans.

A further objective is the creation of a physical or virtual archive or depository that will include automated tool suites for researcher access to the depository, to include electronic or web-based systems for search and retrieval, translation, automated semantic annotation and organization, collaboration, and scholarly production of text and multimedia sources. The archive should be searchable in both English and Chinese. Beyond creating the resource archive, participating institutions would administer research and study programs, sponsor

conferences, solicit papers, and disseminate publications.

Applicants are encouraged to offer proposals for both objectives, although proposals in either area alone will be considered.

All research and debate will be open and transparent. Research results will be unclassified and open for publication.

Impact: Research into the dynamics and trends in Chinese military and technology will provide valuable insights into the workings of an important and influential power. A real and a virtual documentation center, which will serve as an archive for such publications, in both Chinese and English, will be a valuable resource for developing expertise among academics and interested researchers, as an aid to policymakers, and ultimately to help the American people better understand China and its future role in our evolving world.

Research Topic Chief: Chris Skaluba, 703-692-3908, chris.skaluba@osd.mil

FY09 MRI Topic #2

Studies of the Strategic Impact of Religious and Cultural Changes within the Islamic World

Background: Current conflicts in Iraq and Afghanistan highlight the need for a better understanding of the influence of and trends in Islamic religious and cultural norms in order to build and sustain peace within the region. The shift from overt military action to more subtle, informed actions that take into account the overall ideological climate of the world of Islam is thought to be key in developing strategies to reduce terrorism and political violence. Understanding that world, and the various “climates” within it, is of critical importance in order to substantively engage the Muslim world and find resources and new avenues to more effectively promote rule of law, social justice and decreases in political violence and terrorism. As religion is only one influence on society, it is important to examine other social and cultural variables including political, social, and economic variables. All of this is important to ultimately understanding the structure and stratifications of a society.

The Department of Defense seeks to support a program of multidisciplinary research that will elucidate the relationships amongst social, cultural, political, religious and economic factors that interact to foster political violence, terrorism or insurgent behavior. Relevant disciplines include anthropology, economics, political science, sociology, social and cognitive psychology, and computational science. Some key questions include: how can the resurgence of the Taliban be explained, and what does their resurgence mean within the new context of relationships in Afghanistan? How can the West better understand the militant madrassah school and radical missionary movements and their messages in the respective nation-states in which they reside? Are there “counter-dialogues” within Muslim cultures and communities that account for why radicalism and militancy are found more in some places than others? The impact of new phenomena such as global travel, the Internet and other aspects of communications technologies that can span continents should also be considered, placing these studies within a larger strategic context.

Objectives: The objective of this program, Studies of the Strategic Impact of Religious and Cultural Changes within The Islamic World, is to promote long-term and sustained scholarly research and development of expertise in order to understand the implications of trends in the religious and cultural life within the Islamic world. All regions of the globe are open to inquiry. Both historical and contemporary projects will be considered. In either case successful candidates will be capable of explaining the contemporary political and strategic relevance of their findings. Subject areas of particular interest include: the relationship between religious ideologies and the behavior of sub-state actors bound by ethnic, tribal, and regional identities; transnational networks of religious thinkers and authorities; debates between religious extremists and their political competitors, religious and non-religious alike; and the interplay between religious and non-religious forms of identity. Preference will be given to studies by experts capable of analyzing source material in the original languages, to studies that exploit materials that have not been previously translated, and to studies that combine academic expertise in Islamic studies with other relevant disciplines, such as anthropology.

Impact: A research program dedicated to the study of how religious views, values, beliefs, and attitudes evolve, especially with increasing globalization, is an important contributor to the intellectual basis on which to develop strategy for countering violent ideological extremism. In addition, this understanding can be of extremely high value in the development of training

systems to support more effective, more culturally sensitive interactions between the US military and Islamic populations.

Research Topic Chief: Dr. Harold Hawkins, 703-696-4323, harold.hawkins@navy.mil

FY09 MRI Topic #3

Iraqi Perspectives Project

Background: In the course of Operation Iraqi Freedom, a vast number of documents and other media came into the possession of the Department of Defense. The materials have already been transferred to electronic media and organized. Yet these comprise only a small part of the growing declassified archive and its potential, combined with the open literature. This continuing collection offers a unique opportunity for multidisciplinary scholarship combined with research in methods and technologies for assisting scholarship in automated analysis, organization, retrieval, translation, and collaboration. For this research effort, broad understanding of the culture of interest is a fundamental requirement.

Objectives: This program, Iraqi Perspectives Project, will explore the political, social, and cultural workings and changes within Iraq during the years Saddam Hussein was in power. Some examples of appropriate research might be studies of leadership dynamics; social psychological studies of national identity and political unity; and Iraqi perceptions of international relations and systems. Preference will be given to studies by experts capable of analyzing source material in the original languages, to studies that exploit materials that have not been previously translated, and to innovative multi-disciplinary projects that bring insights from the humanities and social sciences and relevant disciplines. Successful candidates will be capable of explaining the contemporary political and strategic relevance of their findings.

DoD seeks to research that fosters scholarship in the area of cross-cultural awareness, cross-cultural competence and cultural intelligence. Open source materials, declassified Department of Defense documents, literature from non-Western sources and other multi-media should be included in this research.

All research and debate will be open and transparent. Research results will be unclassified and open for publication.

Impact: Exploration and scholarship in Iraqi perspectives will offer insights into the dynamics of how such authoritarian regimes retain power and legitimacy, how their social and cultural contexts may influence perceptions and decision making, and how they acted internationally. These insights will allow scholars and policymakers important tools for understanding future challenges.

Research Topic Chief: Dr. Joseph Psotka, 703-602-7945, joseph.psotka@us.army.mil

FY09 MRI Topic #4

Studies of Terrorist Organization and Ideologies.

Background: The Department of Defense has identified a need to better understand the dynamics of terrorist organizations, their underlying motivations and ideologies, how they organize, how they recruit and retain members, and how they evolve and adapt in the face of new challenges.

Objective: This program, Studies of Terrorist Organization and Ideologies, will examine the relationship between transnational terrorist ideologies and intergroup conflicts.

Areas of particular interest include: the interaction between political dynamics on the ground and terrorist goals and ideologies; the role of new media technologies in terrorist recruitment, radicalization, and de-radicalization; the spread of ideologies across culturally diverse populations; and the role of non-rational decision making (e.g., values, morals, trust, belief and emotions) in the collective behavior and how best to represent non-rational decisions in computational models of collective and group behavior. Preference will be given to innovative multi-disciplinary projects that bring insights from the humanities and social sciences to bear on terrorism studies. Researchers need not focus exclusively on the contemporary period, but they must be able to explain the relevance of their findings to current debates about terrorism and, where appropriate, help anticipate future trends.

This program encourages the integration of social and behavioral sciences with modeling approaches ranging from semantic to analytical. This integration will require close cooperation among scientists in many disciplines, including but not limited to social network analysis, operations research, social psychology, cognitive and cultural anthropology, sociology, and political science. This effort will involve the development of models and approaches to study behavior networks, groups, and communities over time. Innovative multi-disciplinary approaches are encouraged between social, behavioral, cognitive, and biological scientists with computational researchers in disciplines such as mathematics, computer science, modeling, artificial intelligence, control theory, and adaptive systems. The relevance of context and situation may require field research.

Multi-disciplinary approaches are needed to integrate the various approaches to the study of terrorist networks including both quantitative and qualitative methods. Interests include, but are not limited to, the application of novel approaches to studying the evolution of networks, the structure of networks, and the distribution of information. These could include innovative approaches to uncovering structure such as methods for categorization, clustering, etc. This effort will also involve multiple levels of analysis ranging from the individual to the nation-state. The integration of computational and naturalistic approaches is encouraged.

Impact: In addition to overall network characterization, there is an urgent need to be able to locate the points of influence and characterize the processes necessary to influence populations that harbor terrorist organizations in diverse cultures as well as individuals who identify with terrorist group figures of note. A better understanding of neuro-cognitive systems responsible for the processing of socio-cultural and other environmental cues is crucial both to research and to a whole range of practical situations. Including the explicit representation of the above factors in models of various cultural groups would improve understanding of the behavior of groups and communities. Development of models that can be used to explain and explore

human behavior in this area—organized violence—will be especially helpful to the Department of Defense in understanding where organized violence is likely to erupt, what factors might explain its contagion, and how to circumvent its spread. Research on belief formation and emotional contagion will provide cultural advisors with better tools to understand the impact of operations on the local population. This research should also contribute to countermeasures to help revise or influence belief structures to reduce the likelihood of militant cells forming.

Research Topic Chief: Dr. Terence Lyons, 703-696-9542, terence.lyons@afosr.af.mil

FY09 MRI Topic # 5

New Approaches to Understanding Dimensions of

National Security, Conflict, and Cooperation

Background: Just as new ideas and fields of study, such as game theory and Kremlinology, evolved during the Cold War, the challenges facing the world today will require a much broader conception and application of national power than just military prowess. The government and the Department of Defense need to engage additional intellectual disciplines – such as history, anthropology, sociology, demography, and evolutionary psychology – in order to better understand what we have overlooked and what is on the horizon. What topic areas or questions relevant to international affairs, international security, and national security, have not been properly understood or are emerging? What disciplines have contributions to make and can help us better understand the future?

Objective: This program, New Approaches to Understanding Dimensions of National Security, Conflict, and Cooperation, seeks to explore and develop new or underused interdisciplinary perspectives to security issues. These approaches may include and combine history, anthropology, sociology, demography, economics, and systems and network analyses to explore new dimensions of national security, conflict, and conflict resolution in order to develop new theories and models that address the security challenges of the 21st century.

Some examples of these challenges include: exploring the impact on defense of changing concepts of national and individual security within an increasingly globalized and economically interdependent international system; considering how far the nature, means, and objectives of conflict may change within such a global system; identifying the risks and opportunities suggested by growing resource, demographic, and environmental pressures for international peace and security and the mechanisms available to address them; understanding the role of future societal change in shaping defense activities and capabilities; determining the relationship between security, military capability and national and international economic prosperity in the 21st century.

Impact: A research program dedicated to developing new ways to look at and evaluate national security will help develop new theories and models to address the complex challenges of the 21st century.

Research Topic Chief: Dr. Joseph Psootka, 703-602-7945, joseph.psootka@us.army.mil