



# Living Marine Resources Program

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## PRE-PROPOSAL SUBMISSION AND EVALUATION GUIDE

*September 2022*

# 1 Introduction

The Living Marine Resources (LMR) program's fundamental mission is to support the Navy's ability to conduct uninterrupted training and testing, which preserve core Navy readiness capabilities. The LMR program meets its mission and responsibilities by:

- Improving the best available science regarding the potential impacts to marine species from Navy activities, available for use in at-sea environmental compliance documentation;
- Demonstrating and validating basic research projects that are ready for applied research investment; and
- Broadening the use of or improving the technology and methods available to the U.S. Navy marine species monitoring program.

Research funded by the LMR program is needed to support the Navy's at-sea environmental compliance and permitting processes. Without permits and associated environmental compliance, the Navy risks not being able to train or test. Without training and testing, the Navy cannot be ready to meet its mission. Environmental compliance is fundamental to continued uninterrupted training and testing, and ultimately, to Navy readiness.

## What Are The LMR Priority Species?

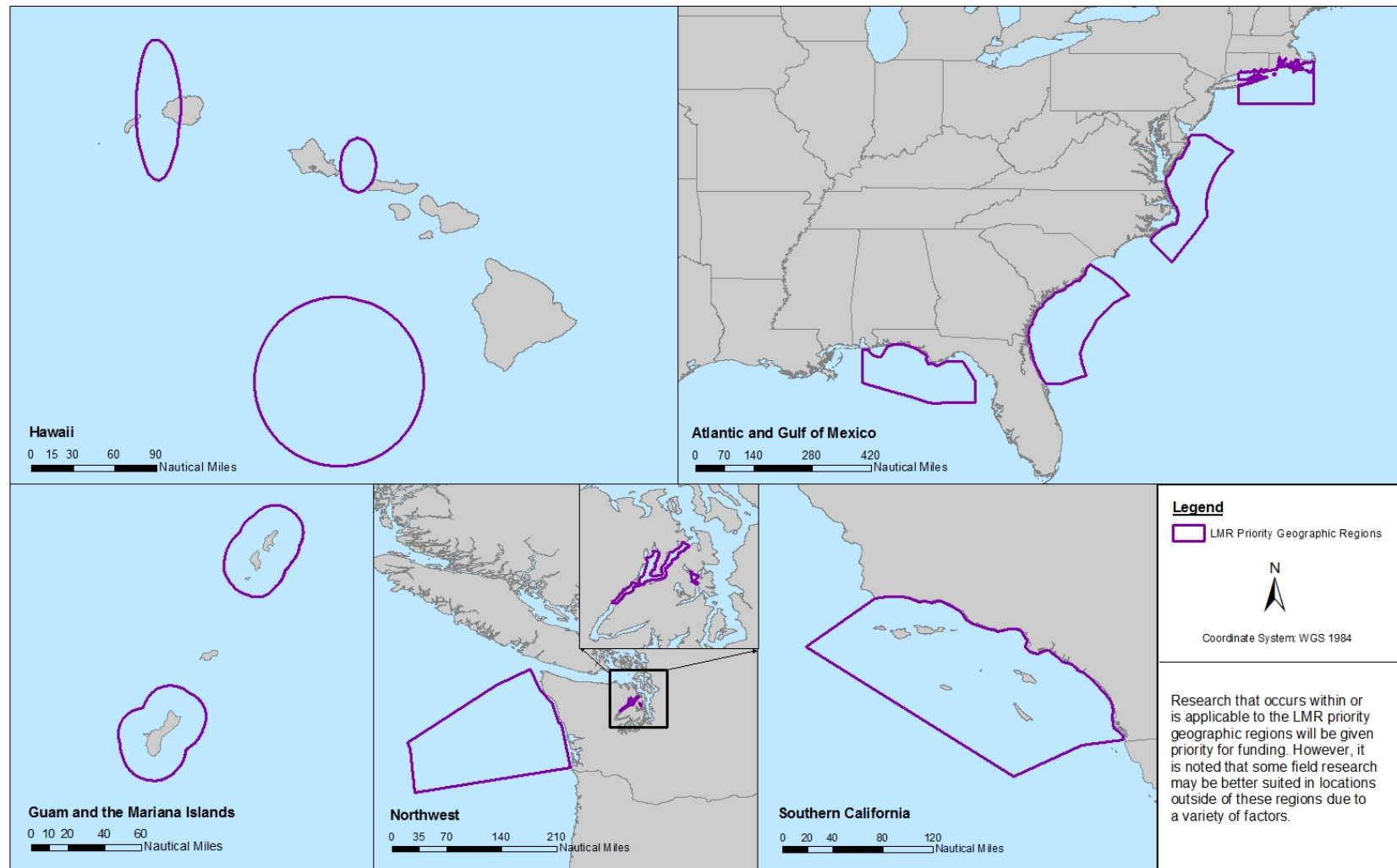
The LMR program is interested in increasing knowledge and understanding of all marine mammal species. However, in order to provide some guidance on research priorities, below is a list of priority marine mammal species:

- Deep diving species,
- ESA-listed species,
- Species with large numbers of estimated takes under MMPA.

In addition to marine mammal species, the LMR program is also interested in increasing knowledge and understanding of the potential impacts to sea turtles, diving sea birds, and fish.

## What Are The LMR Priority Geographic Regions?

The LMR program is primarily interested in funding research that is applicable to geographic regions that are important to the U.S. Navy. **Figure 1** shows a map of the LMR program priority geographic regions. It is important to note that the LMR program acknowledges that some field research may be better suited outside of these geographic regions due to a variety of factors.



**Figure 1. LMR Priority Geographic Regions**

## 2 Pre-Proposals

### What Is a Pre-proposal?

Pre-proposals are a description of a proposed research project in response to a specific need topic. Pre-proposals allow for the evaluation of the technical merit, appropriateness, feasibility, and overall budget of the proposed project. All qualified applicants interested in responding to a specific need topic are required to submit a pre-proposal. Details regarding how applicants submit a pre-proposal are detailed in the sections below.

### What Information Is Required In a Pre-proposal?

There is no specific format required for the pre-proposal, however, the pre-proposal should be consolidated into one single file (PDF) and should not exceed **ten pages** in length.

**On the first page of the pre-proposal, provide the following information:**

1. Your Contact Information
  - Name, Phone, and Email
2. Organization Information
  - Organization Type (indicate Academia, Private (profit), Private (non-profit), or Other),
  - Name and Address
  - Unique Entity Identifier (UEI) in System for Award Management (SAM) (<https://sam.gov/content/home>) and Commercial and Government Entity (CAGE) code (<http://govwin.com/knowledge/ccr-registration>)
3. Solicitation Number
  - List the applicable BAA solicitation number that your pre-proposal is being submitted under.
4. Investment Area
  - List the investment area number (1-5) that your pre-proposal is most applicable to.
5. Project Title
  - Provide the title of your proposed project.
6. Cost Estimate (by Task)
  - Provide a summary table of overall project costs estimated to execute the project to completion, broken out by Task.
  - Make sure that requirements associated with Project Management are included in the Pre-proposal either within Tasks or as separate Tasks. Project management requirements include development of a project fact sheet, quarterly status reports, management of budget/invoicing, attendance at the LMR In-Progress Review to present on progress each year, and a 1-2 page summary of effort for the LMR annual report.
  - As part of project management, please include a trip for the PI to attend the In-Progress Review (IPR) meeting (3-days) each year (fall) in Santa Barbara, CA to present on the progress of the project. The IPR meeting is 3 full days and the PI is required to attend for the duration of the meeting. Due to space limitations for the meeting, you are only allowed a maximum of 2 people to attend the IPR from your entire project team (including all subcontractors). **NOTE:** If you have an existing LMR project and costs to attend the IPR are already covered, please do not include these costs again.

**In the remaining pages of the pre-proposal, provide the following information:**

**7. Technical Approach**

- Describe the proposed project and any relevant supporting background information.
- Clearly state how the proposed project addresses the need topic.
- If applicable, discuss the demonstration and validation phase of the research effort.
- Provide supporting information that the approach or technology is mature enough for applied research funding (include any references). If the proposed project includes basic research elements, clearly break out the basic vs. applied aspects of the project.
- Describe performance criteria to measure success of the research effort.
- Discuss any aspects of the project that include leveraged funding from other programs.
- Describe the potential limitations or technical risks that may pose a challenge to the success of the project.

**8. Offeror's Related Experience**

- Provide evidence/examples that the offeror (academic institution, organization, firm, etc.) has experience related to the solution being proposed.

**9. Principal Investigator's and Key Team Member's Related Experience**

- Provide in a summary table the names, highest degree, organization/affiliations, location, and years of experience for each Principal Investigator (PI) and key team member.
- Provide a one-page CV for each Principal Investigator (PI) and key team member. **The CVs do not count toward the 10-page limit for the pre-proposal.**

**10. Project Benefits**

- Describe the expected benefits of the proposed project to the Navy and the key issues it addresses in the need topic.
- Describe the potential application of the results from the project.
- Discuss the advantages of the proposed project over current approaches (technology, methods, costs, etc.).

**11. Schedule/Milestones**

- Provide the overall proposed project start and completion date.
- Provide a detailed task/milestone (e.g. significant stage of development/progress, field tests/studies, deliverables, and publications) breakdown for the entire project with proposed dates.

**12. Product Implementation (3 Elements)**

**a) Products and Deliverables:**

- Describe the intended product(s) and all associated deliverables.

**b) Implementation Requirements:**

- Identify the intended end user of the product (i.e. Navy marine species monitoring program, Navy environmental compliance community [MMPA, ESA, NEPA, etc.], general scientific community, etc.).
- Describe the planned method by which the product will be transitioned to end users (i.e. publication, technology, method, etc.).
- Specify how implementation methods may differ to reach appropriate audiences (i.e. Navy, regulators, scientific community, etc.) and any restrictions that may apply (i.e. permits, patents, proprietary technology or data, existing agreements, etc.).
- Describe any proposed guidance documentation that will assist in future implementation.

c) Technical Risks:

- Describe the potential technical risks that may pose a challenge to successful implementation of the product(s) or deliverable(s).

## **When Can I Submit My Pre-proposal?**

The LMR program accepts pre-proposals only during open season, which will be specified on the Broad Agency Announcement (BAA) solicitation.

## **How Do I Submit My Pre-proposal?**

For non-federal applicants a Broad Agency Announcement (BAA) solicitation will be posted under Contract Opportunities on SAM.gov (<https://sam.gov>). Pre-proposals in response to the BAA should be submitted via email to [exwc\\_lmr\\_program@us.navy.mil](mailto:exwc_lmr_program@us.navy.mil) and [nicole.m.mendes2.civ@us.navy.mil](mailto:nicole.m.mendes2.civ@us.navy.mil). Pre-proposals must be received before the deadline specified.

## **What Happens After I Submit My Pre-proposal?**

Once your pre-proposal is submitted, the following actions occur:

1. You will receive a confirmation email within one business day. **It is your responsibility to make sure you receive confirmation or follow-up if you do not.**
2. The LMR program manager notifies members of the LMR Advisory Committee (LMRAC), and any applicable Technical Review Committee (TRC) members, to evaluate your pre-proposal. LMRAC members and any assigned TRC members submit their evaluations. The evaluation criteria used is standardized and is described in detail below.
3. Pre-proposal evaluations are typically completed within 2-3 months and you will be notified of the results via e-mail.

## **How is my Pre-proposal Evaluated?**

The LMR program has the LMRAC (and any applicable TRC) members evaluate whether the pre-proposal meets the minimum requirements of the following criteria:

1. The scientific/technical merits and objectives in terms of meeting the stated need topic, as well as evidence that the science/technology is mature enough for applied research funding, and the performance criteria to measure success of the research effort.
2. The offeror's (Company, University, non-profit, etc.) capabilities, related experience, techniques, or unique combination of these that are integral factors in achieving the offeror's proposed objectives.
3. The qualifications, capabilities, and experience of the principal investigator and key team members who are critical in achieving the objectives of the pre-proposal.
4. The overall estimated cost relative to the proposed scientific/technical approach.

5. Expected benefits of the proposed project, key issues the proposed solution addresses, potential application of the results of the project, and advantages over current approaches.
6. Intended product(s) and all associated deliverables, identification of end users, method/plan for implementation of results, and acknowledgment/mitigation of technical risks.

Each LMRAC member is asked to provide a description of the strengths and weaknesses pertaining to these criteria. Once all evaluations are complete, the LMRAC members discuss the results and assign an overall disposition to the pre-proposal:

- Not Approved
- Revised pre-proposal requested
- On Hold
- Approved - Referred to Contracts

Offerors are then notified by email of the disposition assigned to their pre-proposal. Unsuccessful pre-proposal offerors with a disposition of "Not Approved" will receive an email, but will not receive a detailed description of the reasons why the pre-proposal was not selected, due to the anticipated volume of submissions. If a pre-proposal is given a disposition of "Revised pre-proposal requested", then additional technical information is requested and submission of a revised pre-proposal is required. Submission of a revised pre-proposal does not guarantee that your pre-proposal will be selected. If a pre-proposal is given a disposition of "On Hold", then the LMR program is interested in the pre-proposal, but cannot consider it in the current fiscal year due to other pre-proposals ranking higher in priority. Successful pre-proposal offerors will receive a disposition of "Approved - Referred to Contracts". The EXWC Contracting office will request additional information to determine whether the offeror is eligible for a contract. The offeror will receive an email from the NAVFAC EXWC contracting office with additional guidance regarding what information is required to determine eligibility.