Living Marine Resources Program

PROPOSAL SUBMISSION AND EVALUATION GUIDE

August 2021

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 when specifically requested in the need.

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.
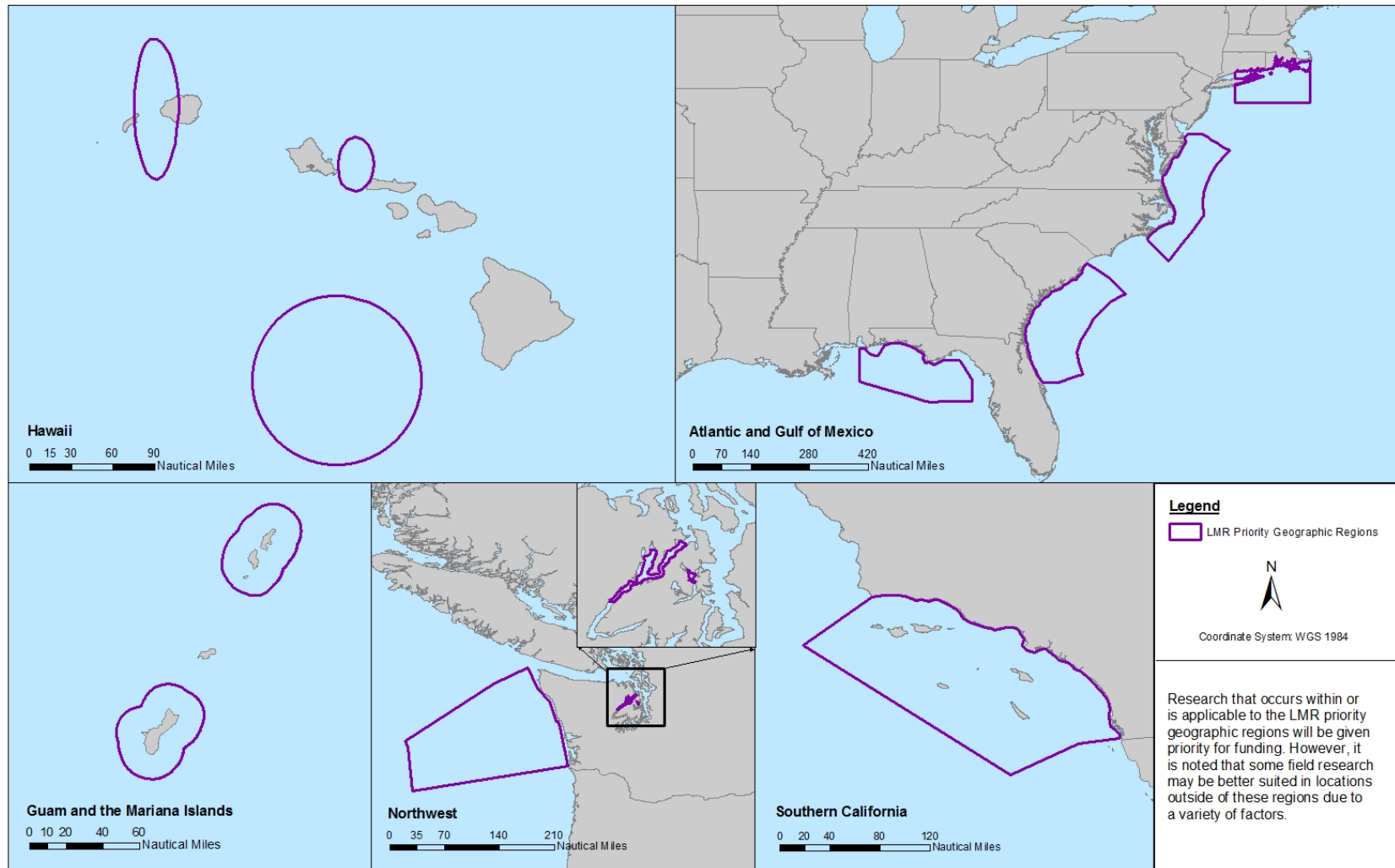
Figure 1. LMR Priority Geographic Regions

2 Pre-Proposals

What Is a Pre-proposal?

The LMR program bases its investments on specific need topics that are announced on our website (https://www.navfac.navy.mil/lmr/proposals). Pre-proposals are a short description of a proposed research project in response to a specific need topic. Pre-proposals allow for the quick 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 **five 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 Navy, DoD (Non-Navy), Federal (Non-DoD), Academia, Private (profit), Private (non-profit), or Other), Name, and Address

3. Need Addressed
   - Provide the applicable need topic number that your proposal addresses.

4. Project Title
   - Provide the title of your proposed project.

5. Cost Estimate (by Calendar Year)
   - Provide a summary table of overall project costs estimated to execute the project to completion, broken out by calendar year (January-December). An example is as follows:

Year	Estimated Cost
2021	$5K
2022	$10K
Total	**$15K**

   - In addition to any other relevant travel required for the project, please include a trip for the PI to attend the In-Progress Review (IPR) meeting (3-days) each year (fall) in Ventura, CA to present on the progress of the project. In addition to the PI, if there is a co-PI with significant contributions to the project, you can include travel for the co-PI to attend as well. However, 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.
   - Assume for Year 1 of your project that effort will begin in October due to the time it takes to get funding in place. For Year 1 (October-December) of the project your cost estimate should only include labor/travel costs associated with the LMR In-Progress Review meeting (if applicable). The actual project effort would begin in Year 2.

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

6. 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.

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

8. 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 5-page limit for the pre-proposal.**

9. 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.).

10. 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 website https://www.navfac.navy.mil/lmr/proposals. Typically, the submission period starts in late summer, or early fall, and is open for approximately 45 days.

How Do I Submit My Pre-proposal?

Federal government (Navy or non-Navy) applicants can submit a pre-proposal addressing a need topic via email to exwc_lmr_program@navy.mil. Pre-proposals must be received before the deadline specified on the LMR website.

For non-federal applicants a Broad Agency Announcement (BAA) solicitation will be posted under Contract Opportunities on Beta.SAM.gov (https://beta.sam.gov). Pre-proposals in response to the BAA should be submitted via email to exwc_lmr_program@navy.mil and 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. After the pre-proposal submission deadline, 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. The LMR program manager schedules a final evaluation meeting with all LMRAC members. This meeting leverages all LMRAC/TRC evaluations previously submitted on your pre-proposal to arrive at a final evaluation.

4. Pre-proposal evaluations are typically completed within 2-3 months and you will be notified of the results via e-mail.

5. Authors of successful pre-proposals are then invited to submit full proposals, which provide more detailed information. The full proposal process is described in detail in Section 3.

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 proposal.

4. The 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. Then the following overall disposition is given:

-Request a Full Proposal
-Do NOT Request a Full Proposal

Once all evaluations are complete, the LMRAC members discuss the results and rank the pre-proposals that were given a disposition of "Request a Full Proposal" in order of preference based on strengths and weaknesses. The LMR program manager and OPNAV sponsor representative then determine the number of full proposals that should be requested based on the available budget and associated costs estimated in the top pre-proposals. Authors of successful pre-proposals are then invited to submit full proposals.

3 Full Proposals

What Is a Full Proposal?

A full proposal is a more detailed version of the pre-proposal, including additional items such as project tasks, milestones, and a detailed budget. In addition, the full proposal gives the offeror the opportunity to address comments received from the LMRAC on their pre-proposal.

What Additional Information Is Required In a Full Proposal?

PLEASE NOTE: There is a new requirement that before an offeror can submit a full proposal, their organization (University, Company, Non-profit organization, etc.) must be registered in the System for Award Management (https://sam.gov/SAM/).

The page limit has been removed for the full proposal submission process, so additional information can be added if necessary. The full proposal requires all of the same information as during the pre-proposal process, along with some additional requirements. Below is a description of each section and what changes may be applicable or required:

1. Your Contact Information
    - Update as needed.

2. Organization Information
    - Update as needed.

3. Need Addressed
    - Update as needed.

4. Project Title
    - Update as needed.

5. Cost Estimate
    - This section includes <u>additional required information</u>.
    - If applicable, revise your pre-proposal cost estimate based on any changes to the proposed project or feedback/questions from the LMRAC on the pre-proposal.
    - Provide contact information for your financial POC.
    - Update the summary table of overall project costs and include a breakdown of project costs by quarter for each applicable year. If your effort is assumed to be constant, then just evenly distribute the costs amongst the quarters. However, if your project includes field tests or other spikes in effort at particular points in the project, please do your best to estimate which quarters that will occur in.

Year	Q1 (Jan-Mar)	Q2 (Apr-Jun)	Q3 (Jul-Sep)	Q4 (Oct-Dec)	Cost
2020	$0	$0	$0	$5K	$5K
2021	$7.5K	$2.5K	$0	$0	$10K
Total					**$15K**

   - An instructional package will be sent with additional cost information that is required in all full proposals. This includes a detailed cost spreadsheet, along with instructions for a cost narrative.

> Important details include justification and explanation of labor rates, indirect rates, subcontractor costs, and other direct costs (equipment, etc.).

6. Technical Approach
   - If applicable, revise information based on any changes to the proposed project or feedback/questions from the LMRAC on the pre-proposal.

7. Offeror's Related Experience
   - If applicable, revise information based on any changes to the proposed project or feedback/questions from the LMRAC on the pre-proposal.

8. EMR/DART/CAS
   - This section includes additional required information.
   - This information is requested to assess a safety rating for the offeror.
   - For private (non-government) offerors, provide your Experience Modification Rate (EMR), Days Away, Restricted and Transferred (DART) rate, and Total Recordable Cases (TRC). If a private offeror does not have an EMR/DART/TRC rating, explain why. This field does not apply to federal government offerors.

9. Principal Investigator's and Key Team Member's Related Experience
   - If applicable, revise information based on any changes to the proposed project or feedback/questions from the LMRAC on the pre-proposal.

10. Navy Benefits
    - If applicable, revise information based on any changes to the proposed project or feedback/questions from the LMRAC on the pre-proposal.

11. Schedule/Milestones
    - This section includes additional required information.
    - 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
    - If applicable, revise information based on any changes to the proposed project or feedback/questions from the LMRAC on the pre-proposal.

13. Supporting Files
    - Submit any additional supporting files (e.g. figures, tables) as appropriate. Please note that the size of the entire email should be limited to a total of 15 MB or less.

How Do I Submit My Full Proposal?

Successful pre-proposal offerors will receive an email with additional instructions on how to submit a full proposal. Once invited, the offeror has a specified number of days to submit a full proposal via email. All full-proposal submissions must be received before the deadline specified.

How is my Full Proposal Evaluated?

The LMR program uses the same criteria outlined for a pre-proposal to evaluate a full proposal. The only exception is that the following additional criterion is used for non-government submissions:

Did the Offeror provide acceptable EMR/DART ratings or a valid reason why they were not provided (non-government submissions only)?

  -Yes
  -No

Each LMRAC member is asked to provide a description of the strengths and weaknesses pertaining to all these criteria. Then the following overall disposition is given:

  -Recommend Funding the Effort
  -Do NOT Recommend Funding the Effort
  -On Hold

Once all evaluations are complete, the LMRAC members discuss the results and rank the full proposals that were given a disposition of "Recommend Funding the Effort" in order of preference based on strengths and weaknesses. The LMR program manager and OPNAV sponsor representative then determine the number of full proposals that should be funded based on the available budget and associated costs estimated in the top full proposals. Authors of successful full proposals are notified via email and will be prompted regarding what steps are needed to get the project in place and funded.