



Living Marine Resources Program

PROPOSAL SUBMISSION AND EVALUATION GUIDE

Version 5: August 2016

1 Introduction

The mission of the Living Marine Resources (LMR) program is to improve understanding of the occurrence, exposure, response, and consequences of marine species near Navy at-sea training and testing activities. The LMR program is responsible for funding applied research and works to transition the results for use within the Navy's at-sea environmental compliance and permitting processes, with the goals of improving marine species impact analysis (including marine mammal take estimates), mitigation measures and monitoring capabilities. Key points of the LMR mission statement are:

- Improve the best available science regarding the potential impacts to marine species from Navy activities;
- Improve the technology and methods available to the U.S. Navy marine species monitoring program; and
- Preserve core Navy readiness capabilities.

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 (Cuvier's beaked whale, other beaked whales, and other deep diving species)
- ESA-listed species (large whales)

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.

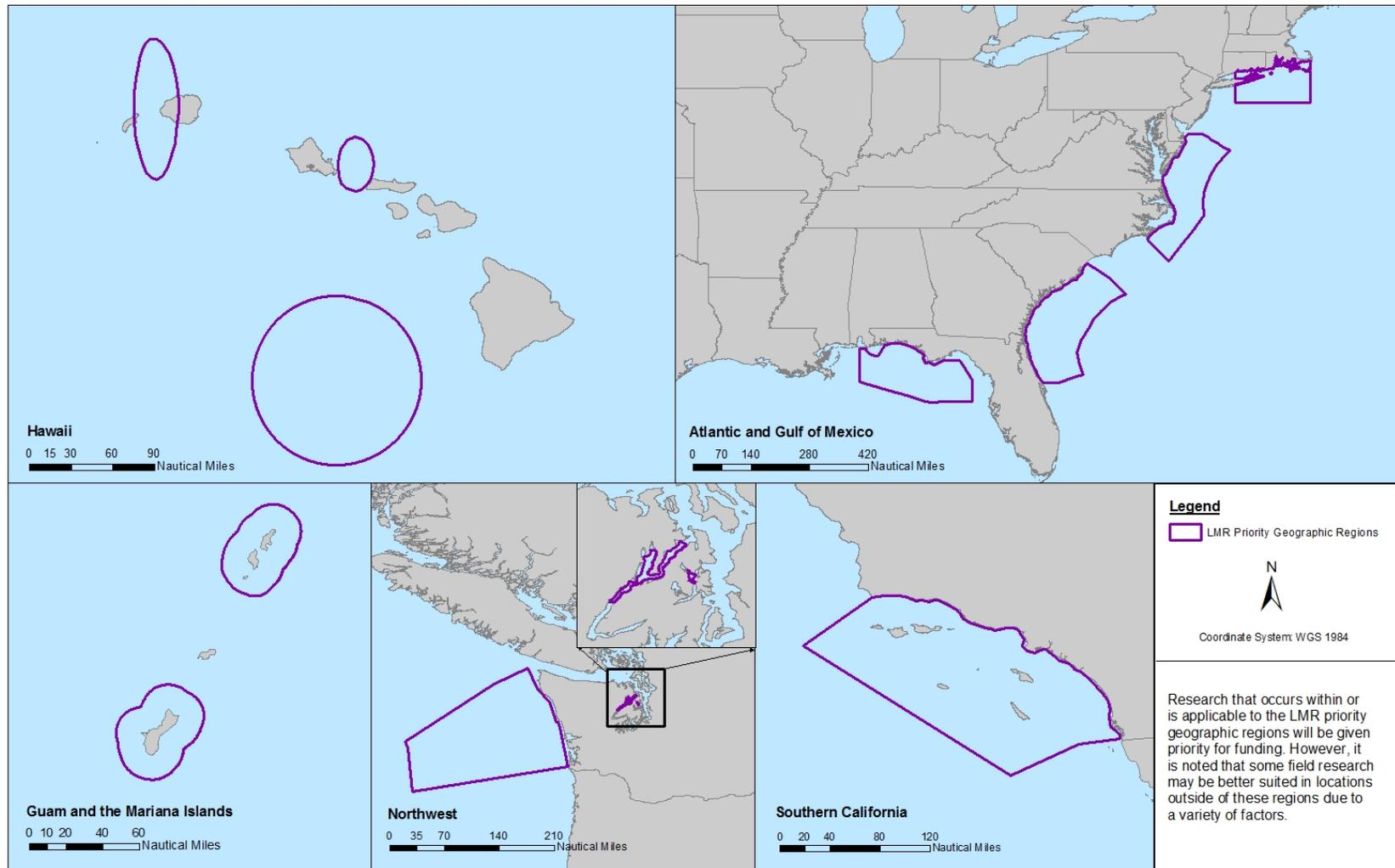


Figure 1. LMR Priority Geographic Regions

2 Pre-Proposals

What Is a Pre-proposal?

The LMR program bases its investments on environmental needs that are announced as specific topics in the Broad Agency Announcement (BAA) solicitation. The BAA solicitation, which is posted on Navy Electronic Commerce Online (<https://www.neco.navy.mil>) and on Federal Business Opportunities (<http://www.fbo.gov>), specifies the need topics for the current funding cycle.

All qualified applicants interested in responding to a specific need topic in the BAA solicitation are required to submit a pre-proposal through the LMR website. Pre-proposals allow for the quick evaluation of the technical merit, appropriateness, feasibility, and overall budget of the proposed project. After the evaluation of the pre-proposals, each author will be notified via email of the results. If the LMR Program is interested in a pre-proposal, we will request a full proposal including a detailed plan and budget.

When Can I Submit My Pre-proposal?

The LMR program accepts pre-proposals only during open season, which will be specified on the Web site <http://www.lmr.navy.mil/Preproposals.aspx>. 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?

All pre-proposal submissions are collected on the LMR website. A Microsoft Word template is available to facilitate offline preparation of pre-proposals prior to website submission. When using the template, consider that special characters and formatting in Word, such as tables and bullets, will be lost when cut, pasted, and submitted to the website.

Once you are ready to submit your pre-proposal, access <http://www.lmr.navy.mil/PreProposals.aspx>. See **Figure 2**.

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About Pre-Proposals:
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For more information on what is required in a pre-proposal, guidance on LMR priority species and geographic regions, how to submit via the LMR website, and how proposals are evaluated, read [Appendix A – Proposal Submission and Evaluation Guide](#).

Pre-Proposal Submission Period: 24 August through 19 October 2016 5:00:00 PM eastern time.
The LMR program is currently accepting pre-proposal submissions for valid needs 24 August through 19 October 2016 5:00:00 PM eastern time.

Pre-Proposal Reference Materials:
[N39430-XX-R-XXXX](#) – This is the current solicitation for pre-proposals which references the following supplemental appendices:

- [Appendix A – Proposal Submission and Evaluation Guide](#)
- [Appendix B – Data Rights and Handling Procedures Agreement](#)
- [Appendix C – Geospatial Data Requirements](#)
- [Appendix D – U. S. Navy Handling Procedures for Ocean Observing Systems \(OOS\) Data](#)
- [Appendix E – Ocean Observing Systems Awareness and Compatibility Memorandum](#)
- [LMR Pre-Proposal Submission Template](#) – A Microsoft Word template is provided to facilitate offline preparation of pre-proposals prior to website submission due to the inability to save a draft during the submittal process. When using the template, please consider that special characters and formatting in Word, such as tables and bullets, will be lost when cut, pasted, and submitted to the website.

To Submit a Pre-proposal:

1. Indicate if the submitting organization is federal government or private:

Indicate if the submitting organization is federal government or private/academia then click the link to access the submission form.

Figure 2. LMR Pre-Proposal Webpage

Indicate if the submitting organization is Private/Academia or Federal Government at the bottom of the page. Then click the link to access the submission form. **Figure 3** shows the pre-proposal submission form.

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Pre-proposal Submission Form [See Appendix A – Proposal Submission and Evaluation Guide](#)

Private/Academia Submission Under Broad Agency Announcement (BAA) [N39430-XX-R-XXXX](#), Posted On [NECO](#) and [FEDBIZOPS](#)

Submitter/organization Information (all fields required)

Name: Organization Name:
Phone: Address:
E-mail:
Organization Type:

Pre-proposal Details (all fields required)

1. Select The Need Being Addressed [View Selected Need](#)

N-134-17: MEASURING EXPLOSIVE EFFECTS TO MARINE MAMMALS
N-135-17: UNDERSTANDING THE RANGE TO EFFECTS TO THE BEHAVIORAL RESPONSE OF MARINE MAMMALS FROM SONAR EXPOSURE
N-136-17: COORDINATION FOR THE ADVANCEMENT OF DENSITY SPATIAL MODELING METHODS USING VISUAL AND ACOUSTIC SURVEY DATA

2. Title (150 Character Limit)

3. Provide Cost Estimates By Calendar Year (CY)
None Provided, [Add a CY Cost Estimate](#)

4. Technical Approach (2000 Word Limit)

Figure 3. Pre-proposal Submission Form.

What Information Is Required In a Pre-proposal?

1. Select the Need Being Addressed
 - Select the applicable need topic (from the list provided) that your proposal addresses.
2. Title
 - Provide the title of your proposed project.
3. Total Cost Estimates for the Proposal by Calendar Year
 - Provide total costs estimated to execute the project to completion broken out by calendar year (January-December).
 - Assume for Year 1 of your project that effort will begin in August due to the time it takes to get a contract in place. For Year 1 (August-December) of the project your cost estimate should only include labor/travel costs associated with the LMR In-Progress Review in Fall 2017. The actual project effort would take place in Year 2 and beyond.
 - In addition to any other relevant travel required for the project, please include a trip (3 days) for the PI to attend the In-Progress Review (IPR) meeting each year (fall) in Port Hueneme, CA to present on the progress of the project.
4. Technical Approach (limited to 2000 words)
 - Describe the proposed project and any relevant supporting background information.
 - Clearly state how the proposed project addresses the BAA 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.
5. Offeror's Experience (limited to 200 words)
- Provide evidence/examples the offeror has experience related to the solution being proposed.
6. Principal Investigator's and Key Team Member's Related Experience
- Provide the names, highest degree, organization/affiliations, location, and years of experience for each Principal Investigator (PI) and key team member.
7. Navy Benefits (limited to 500 words)
- Describe the expected benefits of the proposed project to the Navy and the key issues it addresses in the BAA need topic.
 - Describe the potential application of the results from the project. Include if the results of the project are applicable to other/multiple LMR Priority Species or Geographic Regions (Section 1).
 - Discuss the advantages of the proposed project over current approaches (technology, methods, costs, etc.).
8. Product Implementation (3 Elements)
- a) Products and Deliverables (limited to 200 words):
- Describe the intended product(s) and all associated deliverables.
- b) Implementation Requirements (limited to 500 words):
- 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 (limited to 200 words):
- Describe the potential technical risks that may pose a challenge to successful implementation of the product(s).

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 from the LMR website.
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 to the website. 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. Final pre-proposal evaluations are typically completed within 2 months and you will be notified of the results via an automated e-mail from the LMR website.
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 uses the following five criteria for each LMRAC (and any applicable TRC) member to evaluate a pre-proposal:

1. Does the proposal adequately address the BAA need topic?
2. Do the qualifications, capabilities, and experience of the offeror, principal investigator, and key team members meet the requirements for achieving the proposal's objectives?
3. Are the costs relative to the proposal's approach reasonable?
4. What is the anticipated benefit of the project to the Navy?
5. How feasible is it to implement the products/results of the project?

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

Provide a Disposition:

- 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 N45 sponsor 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 via an email from the LMR program website.

3 Full Proposals

What Is a Full Proposal?

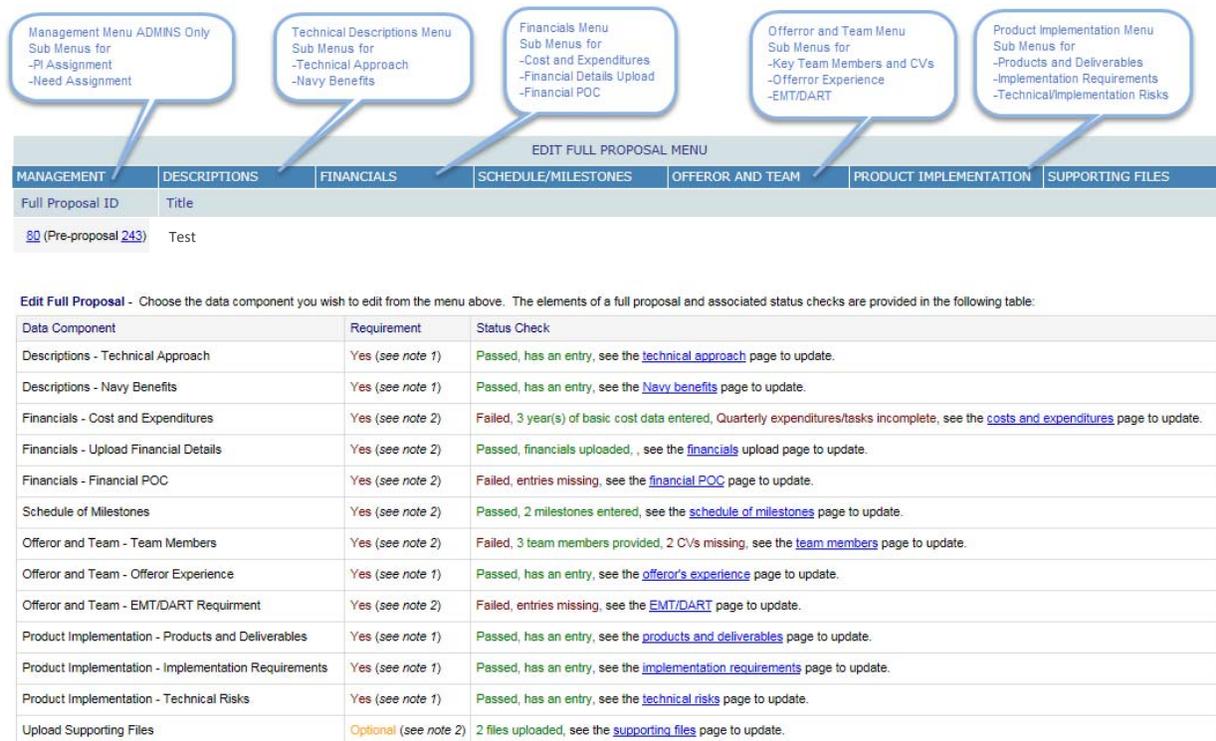
A full proposal is a more detailed version of the pre-proposal, including additional items such as project tasks, milestones, and budget. In addition, the full proposal gives the offeror the opportunity to address comments received from the LMRAC on their pre-proposal.

How Do I Submit My Full Proposal?

After submission of a pre-proposal, each offeror will receive an LMR program website account with a logon ID and password. Successful pre-proposal offerors will receive additional instructions on how to use their website account to submit a full proposal. Once invited, the offeror has a specified number of days to submit a full proposal via the LMR program website.

What Additional Information Is Required In a Full Proposal?

All word limits have been removed for the full proposal submission process, so if necessary information can be added or edited. The full proposal submission screen will be populated with the information that was provided in your pre-proposal. **Figure 4** shows a screenshot of what the main editing screen looks like when you click on your proposal:



Note 1 - Element originally populated from the associated pre-proposal. Modify the content if you wish to clarify or augment the pre-proposal data.
Note 2 - Element is a new requirement NOT carried over from the associated pre-proposal. Please ensure you complete this element.

Figure 4. Full Proposal Submission Screen.

Under the “Requirement” column shown in your full proposal editing screen (shown in **Figure 4**), elements in Red will need your attention. Elements with “see note 1” are populated with information from your pre-proposal and may be modified if applicable. Elements with “see note 2” include a new requirement and must be edited. Below is a description of each section and what changes may be applicable or required:

1. DESCRIPTIONS

a. Technical Approach

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

b. Navy Benefits

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

2. FINANCIALS

a. Cost Estimate

- Provide a breakdown of the 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.
- If applicable, revise information provided in your pre-proposal cost estimate based on any changes to the proposed project or feedback/questions from the LMRAC.

b. Upload Financial Details

- It is not a requirement to use the template provided, but you do have to provide all of the information requested in the template.

c. Financial POC

- Provide contact information for your financial POC.

3. SCHEDULE/MILESTONES

Provide a detailed task/milestone (e.g. significant stage of development/progress, field tests/studies, deliverables, and publications) breakdown for the entire project.

4. OFFEROR AND TEAM

a. Team Members

- Upload the Curriculum Vitae (CVs) or Short Biographies for each team member.
- If applicable, revise information provided in the pre-proposal based on any changes to the proposed project or feedback/questions from the LMRAC.

b. Offeror’s Experience

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

c. EMR/DART

- For private (non-government) offerors, provide your Experience Modification Rate (EMR) and Days Away, Restricted and Transferred (DART) rate. If a private offeror does not have an EMR/DART rating, explain why.

5. PRODUCT IMPLEMENTATION

a. Products and Deliverables

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

b. Implementation Requirements

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

c. Technical Risks

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

6. SUPPORTING FILES

Upload any additional supporting files (e.g. figures, tables) as appropriate.

How is my Full Proposal Evaluated?

The LMR program uses the same five 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 these six criteria. Then the following overall disposition is given:

Provide a Disposition:

- 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 N45 sponsor 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 an email from the LMR program website.