

Amendment 0004  
BAA 09-012

National Oceanographic Partnership Program (NOPP) and  
Interagency Committee on Ocean Science and Resource Management  
Integration (ICOSRMI)

The purpose of Amendment 0004 to BAA 09-012 is to amend the BAA and respond to questions.

1. BAA 09-012 is hereby amended as follows:

(a) Section I. General Information: SPECIAL NOTICE: Insert the following paragraph:

"SPECIAL NOTICE 3: Be advised that Grants.gov applicants have been experiencing system slowness issues which may impact the time required to submit proposals. It is recommended that any soft-copy proposals be uploaded several days before the deadline established in the solicitation so that it will not be received late and be ineligible for award consideration."

2. Questions and Responses are provided as follows:

**QUESTION 1A:** Our team includes [University], [Government], [Foreign Institute], and myself [University]. As a federal entity, will [Government's] cost be funded separately and directly via an Economy Act Order as mentioned in the solicitation (p.14)? Therefore, their budget will not go through [University], right?

**RESPONSE 1A:** Yes, that is correct. The costs associated with the Government entity, if the proposal is selected, will be handled separately from the grant or contract to the University.

**QUESTION 1B:** When we make budget, should we make one for [University] portion and another for [Government]?

**RESPONSE 1B:** Yes. See BAA, page 13 (Statement of Work) and page 14 (Volume 2, Cost Proposal, Instructions for Contracts and Other Transaction Agreements, third paragraph, and pages 14-15 (Table).

Include contact information for the Government entity.

**QUESTION 1C:** Is [Government's] fund subjected to indirect cost? If so, what's the policy?

**RESPONSE 1C:** This question is interpreted to be whether the lead firm can apply indirect costs to the Government portion of the collaboration. The response is no; do not apply indirect costs to the costs associated with the Government's work.

**QUESTION 1D:** As we have a co-investigator from foreign academia, we will include their cost in the [University] budget and they will receive a subcontract from [University]. Does ONR have any policy regarding the indirect rate for foreign academia as a subcontract?

**RESPONSE 1D:** Indirect rates for foreign academia would be treated no differently from those of domestic universities.

**QUESTION 2:** One of our partners is Federal and they need to submit their own budget. Please could you advise me on how to best proceed with this?

**RESPONSE 2:** See response to paragraph 2, Question 1(b) above.

**QUESTION 3:** I am a [Government] scientist and co-PI on a NOPP grant. What paperwork do I need to submit? 1. budget, budget justification (anything else such as SF424)? 2. Can the lead institution submit my paperwork for me or do I need to make a separate submission using the same proposal text but with my budget?

**RESPONSE 3:** See response to paragraph 2, Question 1(b), above. The Grants.gov application package specifies mandatory documents (e.g., SF424); the BAA specifies other required paperwork. The Lead institution should submit the information required by the BAA on your behalf.

**QUESTION 4:** There is a restriction that civil servants can not be PIs. However, if they are co-PIs on the proposal, can they request for funding in the budget to support their salary?

**RESPONSE 4:** See response to paragraph 2, question 1(b).

**QUESTION 5:** Can you address the mechanics of the proposal contents beyond what it says in the BAA?

**RESPONSE 5:** See response to paragraph 2, question 1(b).

**QUESTION 6A:** This proposal will be collaborated by myself (a university professor) and (Government Lab). We propose to provide full support to my graduate students and about 50% of support to a postdoctoral researcher, who will be a non-government personnel, perhaps will be hired through [Organization] but work at [Government Lab]. Can ONR directly send money to [Government Lab] through this BAA? In the case, should we just include a separate page in the proposal to state the cost to [Government Lab]? Or, otherwise, should we identify [Organization] as the funding receiver now and do a subcontract from [University] to [Organization]? In either of case, should I explicitly list [Government Lab] or [Organization] as a subcontractor on the proposal cover page?

**RESPONSE 6A:** See responses to paragraph 2, Question 1(b) above. Generally, any entity that is not Government or a Federally Funded Research and Development Center would be considered a subcontractor.

**QUESTION 6B:** Can I explicitly list Dr. [Name] (government personnel) as a Co-PI on the proposal or should I include her as a collaborator only?

**RESPONSE 6B:** Yes, government individuals may be proposed as Co-PIs.

**QUESTION 7:** As partners in the NOPP proposal, do scientists at [Government Lab] need to send a signed collaborating letter to be included in the main proposal? If yes, is there a format we need to follow? Any template?

**RESPONSE 7:** A signed collaborating letter is not required with the proposal.

**QUESTION 8:** Do you know if there has been any discussion about an alternative to submitting NOPP proposals through Grants.gov, in response to OMB Director Peter Orszag comments [March 9 letter from Peter Orszag, Director of the White House's Office of Management and Budget] concerning the Grants.gov?

**RESPONSE 8:** See paragraph 1(a) above. ONR is currently working to identify alternative methods. Continue to follow the BAA for an amendment addressing this issue. Offerors are requested to alert the Contracting Officer if issues persist.

**QUESTION 9:** In the RESEARCH & RELATED form of the application template (field 7), you are asked to attach the Project Narrative. I'm assuming this is the self-standing Statement of Work document. Is this correct?

**RESPONSE 9:** This field may be used for various technical submissions, including a proposal narrative, stand-alone Statement of Work for use in the grant or contract, and other information.

**QUESTION 10:** We are member of Industry that plans to submit a proposal in response to ONR BAA 09-012. As an Industry participant, we therefore assume that we may submit a proposal that contemplates the award of a contract. Is this assumption correct?

**RESPONSE 10:** Yes, offerors may submit proposals for contracts or grants.

**QUESTION 11:** I work in the [University]. Could you please let me know if this funding is part of the government's new stimulus plan?

**RESPONSE 11:** ONR current funding for this BAA is not associated with the stimulus plan (American Recovery and Re-Investment Act of 2009). Several agencies may select proposals under this BAA, however; it is not known at this time if this will be the source of some funding.

**QUESTION 12:** I am beginning to put the SF 424 package together. Should I put Volume I and Volume 2 as separate attachments? Also, do I ignore the optional section with the budget forms, locations, facilities etc (I will already have all the information in the attachments).

**RESPONSE 12:** As long as all information requested in the BAA is included, the number of attachments is not relevant. Formatting should be as required by the SF424 (available at <http://www.grants.gov>). Adhering to the format in the BAA may expedite contract or assistance award placement.

**QUESTION 13:** Is a document containing current and pending support required with this submission?

**RESPONSE 13:** No, this is not required for BAA 09-012. See page 13 of the BAA, for specific information related to "Other Agencies" and the proposal.

**QUESTION 14:** Within the Grants.Gov application for ONR-BAA-09-012 the Attachments Form indicates to attach files in the proper sequence and to see Agency Guidelines for this. I am unable to find the order for attachments within the Broad Agency Announcement. However, page 12 lists the parts needed within the proposal. Should we use the order they are listed?

**RESPONSE 14:** Yes, however variations in the order of submission are acceptable as long as they are clearly identified and can be tracked to the submission requirements of the BAA.

**QUESTION 15(A):** I am contacting you from [Foreign University] on behalf of one of our researchers. Can the funds be requested directly in U.S. dollars, or since we are a [foreign institution acting as lead, will the funds be given in [foreign] dollars?

**RESPONSE 15(A):** Proposals should be quoted in U.S. dollars.

**QUESTION 15(B):** Is there a budget justification page limit. i.e. a page limit for the lead institutions budget and explanation of items requested, and a page limit for the sub-contractee's budget and explanation.

**RESPONSE 15(B):** The Cost Proposal has no page limitation. See page 12, under full proposal format, "Number of Pages", as amended.

**QUESTION 15(C):** When providing quotes in ones budget, is it necessary to provide actual written quotations from i.e. stores, or electronic quotes, or is it sufficient to itemize where the quote(s) was from and the amount of the quote(s)

**RESPONSE 15(C):** This varies according to the offeror (who may or may not have an approved purchasing system) and the value of the other direct costs. Generally, supplies, material and equipment should be submitted with a detailed list of the items, quantities, unit prices, proposed vendors (if known). More detailed documentation is required as the value of the items increases.

**QUESTION 16:** Amendment 3 states: (a) Page limitations are revised to exclude severable statements of work and associated cost proposals under linked or coordinated proposals from the page limitation. We assume this means the prime's severable SOW is not included in the 15 page count. Is this assumption correct?

**RESPONSE 16:** Yes, this is a correct assumption.