

Amendment 0005
BAA 09-012
National Oceanographic Partnership Program (NOPP) and
Interagency Committee on Ocean Science and Resource Management
Integration (ICOSRMI)

The purpose of this amendment is to extend the deadline for receipt of proposals; amend the BAA and respond to questions.

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

(a) Receipt of Proposals. The due date for full proposals is revised from 10 April 2009 to 15 April 2009.

(i) Section I, paragraph 5, page 2: Revise as follows:

"5. Response Date - Full Proposals: 15 April 2009, 2:00 p.m. (Washington D.C. Local Time)"

(ii) Section IV, paragraph 1, page 11: Revise as follows:

"1. Application and Submission Process - Proposals must be submitted electronically by 2:00 p.m. Eastern Standard Time on 15 April 2009."

(iii) Section IV, paragraph 3, page 18: Replace the table "Anticipated Schedule of Events" with the revised table:

Anticipated Schedule of Events		
Event	Date (MM/DD/YEAR)	Time (Washington DC Local Time)
Deadline for Receipt of Questions	03/10/2009	4:00 p.m.
Full Proposals Due Date	04/15/2009	2:00 p.m.
Notification of Selection for Award	06/01/2009 *	
Award (start date)	10/01/2009 *	

(b) Alternative to Grants.Gov Proposal Submission. The following alternative to submitting proposals to the grants.gov website is provided for use on BAA 09-012. Proposals using the alternative submission process will be accepted only if grants.gov is not accepting the proposal and the offeror has called the grants.gov helpline and received an unresolved trouble ticket. Do not use this method to submit proposals under ONR's long-range BAA 09-001.

- Upload files from here:

<http://onroutside.onr.navy.mil/aspprocessor/BAAPE/>

- The site includes a form with the fields* listed below, and permits offerors to upload grant proposals directly to the Office of Naval Research. Include a signed, scanned proposal cover sheet with the signature of your authorized organizational representative. All fields in the form below are required. Please use the naming convention below for all uploaded proposals.

Format: ONRBAA_ Number_Name of Organization

Example: ONRBAA_09-18_UniversityXYZ

Fields*

Other Grants Proposal Submission

Principal

First Name: Last Name:

ONR BAA Number: _____

Grants.Gov Ticket Number: _____ Telephone number to
contact Grants.gov Help Desk: 1-800-518-4726.

Email:

An email confirmation that the file was successfully uploaded will be sent to this address.

Telephone:

Organization:

BAA Number:

Upload your submission using the BROWSE button to select your file for submission.

Once a document has been submitted, a "Thank-You" page will appear and an email will be sent to the address provided. If you do not receive an email confirmation, please know your file has not been received and you should contact the ONR Grants BAA Administrator.

Note: The Alternative Submission site is currently set up to accept one uploaded file. Uploading multiple files in a single session results in an overwrite of previously uploaded files. Offerors are encouraged to submit one PDF file that contains the SF454, the Attachment form and all information required by the BAA. Separate attachments may be uploaded only by accessing the site multiple times.

(c) Stand-alone Statements of Work. (Section IV, paragraph 2, page 11: Revise first full paragraph as follows:

"Proposal submissions will be protected from unauthorized disclosure in accordance with FAR Subpart 15.207, applicable law, and DoD/DoN regulations. Offerors are expected to appropriately mark each page of their submission that contains proprietary information. **In the event the proposal contains proprietary information, offerors** shall include a **separate, severable, self-standing Statement of Work**, which contains only unclassified information and does not include any proprietary restrictions."

(d) Proposal Submission. The minimum required forms to be submitted with the proposal for grants are an SF454 and an Attachment Form, with PDF files of budgets and other information required by the BAA attached to that form. Accordingly, the BAA is amended as follows:

(i) Section IV, page 17, "INSTRUCTIONS FOR GRANTS AND COOPERATIVE AGREEMENTS. Delete the words "Justify in Field K of the Template" and replace with the following: "Provide Budget Justification in your submission."

2. Questions and Responses are provided as follows:

QUESTION 1: There are U.S. participants, and foreign scientists. My question is: Can [foreign scientist] submit the proposal since he and his institution are [non-US]? Or, must [US participants] as PI and submit the proposal to ONR for consideration.

RESPONSE 1: Foreign Institutions are eligible to receive grants or contracts, so [non-US participant] may submit a proposal. See BAA Amendment 0002, response 3.

QUESTION 2: Is it possible to have 2-3 academics in the proposal within the same institution or does one of them have to be from industry or government?

RESPONSE 2: The proposal must include team efforts from at least two of the following three sectors: academia, industry (including Non-Governmental Organizations - NGOs), and government (including State and Local).

QUESTION 3: Paraphrased: May a Government organization submit a proposal and be eligible for award if they contemplate a partnership with a University, and the University provides the lead PI and performs most (about 75%) of the work?

RESPONSE 3: Navy laboratories and warfare centers as well as other Department of Defense and civilian agency laboratories are also not eligible to receive prime awards under this BAA, although they may team with other responsible sources from academia and industry that are submitting proposals under this BAA. See paragraph 2, page 11 of the BAA.

QUESTION 4: I have extracted the relevant section of the BAA describing how to mark proprietary information, and the proposal outline (below). The statements appear in conflict, as per the outline, the SOW is where I would be discussing our proprietary technology, and yet we are directed not to include proprietary information in the SOW.

"Offerors are expected to appropriately mark each page of their submission that contains proprietary information. The proposal shall include a severable, self-standing Statement of Work, which contains only unclassified information and does not include any proprietary restrictions."

Please advise as where/if we are permitted to disclose proprietary technical information in proposal.

RESPONSE 4: See paragraph 1(c) above. Where proposals contain proprietary information, a separate, self-standing Statement of Work suitable for incorporation in a grant or contract is required.

QUESTION 5A: This proposal has [number] subawards (commercial and government). Each one is providing their budgets. Do I need to fill in the form RR_FNF_A_v1.1.pdf for each one? If so, would I complete that form, or form #4040-001 as provided in the application package? Also, In reading the guidelines, I see that these sub-awards and their components are uploaded as an Appendix. Q: Shall I also include their budget (as they prepared it); or is the budget form adequate?

RESPONSE 5A: See paragraph 1(d) above. If using the optional forms in Grant.gov, a separate budget would be provided for each subcontract. Government budgets would be included in the 4040-001 ("RESEARCH AND RELATED BUDGET (TOTAL FED AND NON-FED)" form, which includes separate blocks for Federal and Non-Federal cost totals. Note that proposals may also be submitted by attaching a PDF copy of each budget and other information to the "Attachments" form under "Mandatory Documents".

QUESTION 5B: I am also assuming the budgets need to be in detail?

RESPONSE 5B: Yes.

QUESTION 5C: An officially signed document for all groups, is to be included....correct?

RESPONSE 5C: The organization submitting the proposal must include the signature of the Authorized Representative (see block 19 of the SF424).

QUESTION 6: We are submitting through grants.gov and have a federal agency partner. I wanted to confirm with you the best way to represent their portion of the funds requested on the budget since according to the BAA they will receive these funds separately. Under the BAA instructions for grants and cooperative agreements it is not very clear where to include these funds. Should they be listed under "other costs" and have their detailed budget information on a subaward budget attachment?

RESPONSE 6: See paragraph 1(d) above and response to question 5(a). With respect to the SF454, Block 16 ("Estimated Project Funding") and Block 16a (Total Estimated Project Funding") should reflect the total estimated cost of the proposal, including Prime, Subcontracts, and Federal entities.

QUESTION 7: Regarding the electronic submission, the application package lists the "SF 424" and the "Attachments" forms as the only (2) required documents. We have attached both the Full Proposal (Volume I) and the Cost Proposal (Volume II) in the "Attachments" form. Should we also complete the remaining R&R forms listed under "Optional Documents" as described in the ONR application instructions available at http://www.onr.navy.mil/02/how_to.asp?

RESPONSE 7: See paragraph 1(d) above and response to question 5(a).

QUESTION 8: I am preparing a proposal for a researcher at my university, in response to ONR-BAA-09-012. He is collaborating with a researcher at the [Government]. Should I submit a subcontract budget for the [Government] portion of the project? It appears that that portion will be submitted separately, but it's not entirely clear to me and I do not want to omit this important part of the project.

RESPONSE 8: See paragraph 1(d) above and response to question 5(a).

QUESTION 9A: The grants.gov application package contains mandatory and optional submission forms. Are both the mandatory and optional forms required for submission?

RESPONSE 9A: The mandatory forms are required. For this BAA, the optional forms are not required.

QUESTION 9B: That a Certification Regarding Restrictions on Lobbying is required. (Proposal is over \$100K). Also please confirm that Other BAA...should be checked off.

RESPONSE 9B: Yes, see page 22 of the BAA with respect to the Certification.

QUESTION 9C: 2. Please confirm that the Volume I and Volume II cover pages do not require signatures from the PI and Authorized Representative.

RESPONSE 9C: This is correct.

QUESTION 9D: Current and Pending [work] for each PI and Co-PI will be included in Volume II, Cost Proposal Please confirm that this is acceptable.

QUESTION 9D: These are not required for BAA 09-012.

QUESTION 10: [Commercial Firm] is a subcontractor to [University]. We are unable to provide our rate information to [University] and therefore will avail ourselves of the opportunity to submit directly to ONR. Can I email the government version of [Commercial Firm's] proposal directly to you or do I need to mail it?

RESPONSE 10: See page 16 of the BAA. The subcontractor's cost proposal may be sent directly to the government. E-mail is acceptable.