

**REQUEST FOR STATEMENTS OF INTEREST
 WITHIN THE COOPERATIVE ECOSYSTEM STUDIES UNIT
 NUMBER N62473-19-2-0025
 PROJECT TO BE INITIATED IN 2019**

**Project Title: CUVIER’S BEAKED WHALE AND FIN WHALE SURVEY AT SOUTHERN
 CALIFORNIA OFFSHORE
 ANTI-SUBMARINE WARFARE RANGE (SOAR)**

Responses to this Request for Statements of Interest will be used to identify potential projects to be funded by the Department of the Navy in support of surveys and management of a marine mammal species subject to the U.S. Marine Mammal Protection Act (MMPA) of 1972, as amended (16 United States Code [U.S.C.] section 1371(a)(5)), within or in the vicinity of the waters of the U.S. Navy’s Southern California Anti-Submarine Warfare Range (SOAR) offshore near San Diego, CA.

The approximate amounts are expected to be available to support the base requirements of this project.

Item	Estimated Available Funding
Base Period	\$292,280 - \$324,754
Base Period Option Task 1	\$103,508 - \$115,008
Option Period 1 Task 1	\$274,284 - \$304,760
Option Period 1 Task 2	\$106,612 - \$118,458
Option Period 2 Task 1	\$282,512 - \$313,903
Option Period 2 Task 2	\$109,810 - \$122,012

Subject to the Anti-Deficiency Act (31 U.S.C. § 1341), additional funding may be available for follow on work in subsequent fiscal years to the successful Recipient.

Type of Assistance Instrument Anticipated: Cooperative Agreement

Authority: Cooperative Agreement under 16 USC §670c-1

Eligible Applicants: Any Cooperative Ecosystem Studies Unit Californian and Hawaii-Pacific Islands cooperative partner who qualifies under the DoDGARS Part 34 or 2 Code of Federal Regulations 200 is eligible to apply.

Cost Sharing: Not required

Background:

The Southern California Anti-Submarine Warfare Range is an offshore waterspace that the U.S. Navy utilizes as a training area and testing grounds for Anti-Submarine Warfare, as well as other activities described in the Hawaii-Southern California Training and Testing Environmental Impact Statement (DoN 2018; www.hstt-eis.com) including Anti-Surface Warfare Testing and Training, and Mine-Warfare Training, and Anti-Air Warfare training.

The ocean floor of the range Southern California Anti-Submarine Warfare Range is instrumented with hydrophones of the U.S. Pacific Fleet, and cabled to the mainland for the purpose of performing acoustic analyses to support U.S. Navy training and testing. The range lies within the U.S. Navy's Southern California Range Complex. To support environmental compliance for the activities in the above Environmental Impact Statement under the Marine Mammal Protection Act, U.S. Pacific Fleet has also been supporting the Naval Undersea Warfare Center to study marine mammals utilizing this asset via the Marine Mammal Monitoring on Ranges (M3R) program, which utilizes these ocean-bottom hydrophones to perform acoustic monitoring of marine mammal species.

These waters and as nearby waters off the west coast are known habitat for various marine mammals including the Cuvier's beaked whale (*Ziphius cavirostris*) as well as the fin whale (*Balaenoptera physalus*), which is listed under the Endangered Species Act. Discussing impacts on these species represent a significant portion of the effort required for regulatory consultation for environmental compliance for the above Environmental Impact Statement. The abundance, density, population dynamics, movement patterns, and other behaviors of these species are important in these consultations but poorly known in this study area, and the acoustic monitoring effort by Naval Undersea Warfare Center is focused on expanding this knowledge.

There exist additional indicators of population health that cannot be collected through acoustic means alone, particularly for species like Cuvier's beaked whales and fin whales. The acoustic analyses using the hydrophones, as performed by Naval Undersea Warfare Center Marine Mammal Monitoring on Ranges program, require visually-validated information collected from the field. The use of combined visual and acoustic methods, using small vessels to collect photo-identification data, tissue samples, and deploy extended-duration, satellite-based tracking tags provide an efficient means of collecting data on population size and structure, and individual health, movement, and diving behavior, essential to monitoring the effects military activities might have across the broad range of levels at which they might be detected.

Brief Description of Anticipated Work:

Proposals should describe projects that provide deliverables collected from in-situ field studies on the Cuvier's beaked whale and fin whale to support the goals of the acoustic Marine Mammal Monitoring on Ranges program at the Southern California Anti-Submarine Warfare Range. These studies shall include visual survey with focus on photo-ID, biopsy, and satellite-tagging. For any beaked whales, the acoustic analyses of the Marine Mammal Monitoring on Ranges program above can effectively describe the levels of disturbance at which animals in this population will cease foraging. Field collection of Photo-ID and analysis of biopsy samples can determine whether these changes in foraging behavior lead to larger-scale, longer-term demographic impacts to the population of interest, such as lower than expected survival or reproductive rates. Satellite tags can determine whether animals abandon foraging habitat, or simply alter foraging behavior, and the spatial and temporal extent of these responses. The project shall include installation of an Argos receiver station at Guadalupe Island to provide complementary coverage for long-ranging species, and support to Navy research and development projects at this location for Cuvier's beaked whales and other species. Annual reports describing projects status and results, as well as a final report shall be produced, both

with revision based on review by the Navy. One investigator shall present project status and results at a program review meeting on the U.S. west coast. Please see enclosure 1 for full scope of work and enclosure 2 for applicable terms and conditions.

Period of Performance:

The proposed period of performance consists of a 18-month base period and two (2), 18-month option periods. If an option period is awarded, the period of performance will be extended by 18 months from the date of award. These options may be unilaterally awarded within the 18-month period of performance of the base scope of work, or within the proceeding option period of the Cooperative Agreement and may run concurrently. The total duration of this agreement, including any option periods, shall not exceed 60 months. The end date is the anticipated date that the Final Report is accepted by the Government. In the event that an option period(s) is exercised, a cumulative report will be requested.

Periods	Period of Performance	Anticipated Award Date
Base Period	15 Sep 2019 – 14 March 2021	Summer/Fall 2019
Option Period 1	15 Sep 2020 – 14 March 2022	Summer/Fall 2020
Option Period 2	15 Sep 2021 – 14 March 2023	Summer/Fall 2021

A fifteen (15) day period, starting on date of award, will be used for the recipient to provide preliminary documents to the CAA and CATR. Documents include, but are not limited to, Insurance documents/certificates, Accident Prevention Plans/Site Health and Safety Plans (as applicable), Draft Work Plans, etc. Recipient may not begin performance until preliminary documents are submitted and accepted/approved as appropriate.

Materials Requested for Statement of Interest/Qualifications:

Please provide the following via e-mail attachment to: Reagan Pablo (reagan.s.pablo@navy.mil).

- 1) SF 424 (Enclosure 3)
- 2) Research & Related Senior/Key Personnel Form (Enclosure 4). Please see Factor 1 for additional submittal requirements.
- 3) Research & Related Budget Form (Enclosure 5). Please see Factor 3 for additional submittal requirements.
- 4) SF-LLL Disclosure of Lobbying Activities (Enclosure 6). If applicable, complete SF-LLL. Applicability: If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying."
- 5) Research & Related Senior/Key Personnel Form (Enclosure 7). The Federal Government has a continuing commitment to monitor the operation of its review and award processes to identify and address any inequities based on gender, race, ethnicity, or disability of its proposed PDs/PIs and co-PDs/PIs. To gather information needed for this important task, the applicant should submit the requested information for each identified PD/PI and co-PDs/PIs with each proposal. Submission of the requested

information is voluntary and is not a precondition of award. However, information not submitted will seriously undermine the statistical validity, and therefore the usefulness, of information received from others. Any individual not wishing to submit some or all the information should check the box provided for this purpose. Upon receipt of the application, this form will be separated from the application. This form will not be duplicated, and it will not be a part of the review process. Data will be confidential.

Reimbursement of pre-award costs will not be allowed.

Please note, that some of the forms functionality may be lost. Please visit <https://www.grants.gov/web/grants/forms/r-r-family.html#sortby=1> to retrieve the forms directly from the Grants.gov website.

Review of Statements Received:

Proposals will be evaluated based on the following three factors: 1) Credentials of Key Personnel, 2) Scientific Approach, and 3) Reasonableness of Cost

NOTE: All requirements listed are minimum requirements. Offerors will be assessed on their ability to adhere to the listed requirements, completeness of responses, follow directions, comply with restrictions and provide quality control on their submittals. All page limits refer to 12 point font and single spaced one-sided pages.

Factor 1 - Credentials of Key Personnel

A. Principal Investigator: The Recipient shall designate one person as responsible for ensuring that provisions are in place, project and personnel supervision is provided, quality control and meeting of reporting requirements are met on a daily basis. This person shall have, at the minimum:

- i. Experience and knowledge of the satellite tagging and biopsy of marine mammals, to include at least one species of beaked whale, with at least 10 years of previous work or research experience in these activities, as demonstrated by authorship on resulting peer-reviewed publications.
- ii. Experience performing marine mammal field research on a U.S. Navy range that required managing waterspace access and real-time communications with U.S. Navy range personnel to facilitate surveys, as demonstrated by reports or peer-reviewed publications. It is preferable to possess general knowledge of U.S. Navy-funded marine mammal research and development and compliance programs relevant to marine mammals in the study area, in order to optimize identification of cooperative leveraging opportunities, as demonstrated by reports or peer-reviewed publications.
- iii. Access to the use of applicable permits to perform scoped visual survey, tagging, and biopsy activities.

B. Research Associate: The recipient shall have, or have immediate access to personnel that have, at the minimum:

- i. Experience with small-vessel based field operations for satellite tagging and biopsy of marine mammals, as demonstrated by at least 10 years of previous work or research experience in these activities, to include pre-activity preparations for tagging and biopsy such as dart preparation and tag programming, as well post-activity tasks such as tissue storage, and telemetry-related tasks. Co-authorship on resulting peer-reviewed publication and reports is preferable.
- ii. Experience with boat-driving specifically for tagging of marine mammals. Experience with this activity for tagging of beaked whales is preferable.

Factor 2 – Scientific Approach

Not to exceed 3 pages, the Offeror shall develop an outline for their approach to addressing the anticipated work stated above. The Offeror shall be evaluated as to the soundness of the overall approach and use of any innovative techniques to accomplish project objectives.

Factor 3 - Reasonableness of Cost

After technical evaluation of the proposal, the offers will be analyzed for fair and reasonable pricing. The proposal will be analyzed to determine whether its pricing is materially/mathematically balanced, and is fair and reasonable. The Offeror shall use OMB Circular A-21 “Cost Principles for Institutions of Higher Education,” 48 CFR part 31 “Contract Cost Principles and Procedures,” or 2 CFR 200 Subpart F “Audit Requirements” as applicable. Evaluations will include an analysis to determine the Offeror’s comprehension of the requirements of the solicitation as well as to assess the validity of the Offeror’s approach. A clear cost breakdown of work elements to be accomplished detailing quantities for the various work items, unit, unit prices and extended prices will be required and will be evaluated. Evaluation will include an analysis to determine the Offeror’s comprehension of the requirements of the proposed agreement as well as to assess the validity of the Offeror’s approach. Please be sure to provide a proposal for the option periods and option tasks as listed within the statement of work. Please submit a proposed budget form for each of the option periods and option tasks on separate research and related budget form.

Please provide your proposed budget on the provided pdf titled, “Research and Related Budget” form*(Enclosure 4). Please submit one budget form for the base year of work and a separate budget form for each of the options specified in the Statement of Work.

***Form: RESEARCH AND RELATED BUDGET:**

Complete the Research and Related Budget form in accordance with the instructions on the form. You must provide a detailed cost breakdown of all costs, by cost category, by the funding periods described below, and by task/sub-task corresponding to the task number in the proposed Statement of Work. You may request funds under any of the categories listed as long as the item and amount are necessary to perform the proposed work and meet all the criteria for allowability under the applicable Federal cost principles. The budget should adhere to the following guidelines:

The budget should be driven by program requirements. Elements of the budget shall include:

- Direct Labor - Individual labor category or person, with associated labor hours and unburdened direct labor rates.
- Indirect Costs - Fringe benefits, overhead, G&A, COM, etc. (must show base amount and rate). Justify in Field K.
- Travel - Number of trips, destination, duration, etc. Justify in Field K (on the form).
- Subcontract - A cost proposal as detailed as the applicant's cost proposal will be required to be submitted by the subcontractor. If applicable, include a Research & Related Subaward Budget Attachment Form.
- Consultant - Provide consultant agreement or other document that verifies the proposed loaded daily/hourly rate. Include a description of the nature of and the need for any consultant's participation. Strong justification must be provided, and consultants are to be used only under exceptional circumstances where no equivalent expertise can be found at a participating university. Provide budget justification in Field K.
- Materials - Specifically itemized with costs or estimated costs. An explanation of any estimating factors, including their derivation and application, shall be provided. Include a brief description of the applicant's procurement method to be used (competition, engineering estimate, market survey, etc.). Justify in Field K.
- Other Directs Costs - Particularly any proposed items of equipment or facilities. Equipment and facilities generally must be furnished by the cooperator/recipient (justifications must be provided when Government funding for such items is sought). Include a brief description of the applicant's procurement method to be used (competition, engineering estimate, market survey, etc.). Justify in Field K.

Budget Justification (Field K on the form): Provide the required supporting information for the cost elements as shown above (see Research & Related Budget instructions) and listed as follows: indirect cost, travel, consultant, materials, and other direct costs. Provide any other information you wish to submit to justify your budget request.

NOTE: Every deviation from the scope of work requirement must be identified. Proposer must identify the paragraph in the scope of work that is applicable and provide sufficient information to justify why the deviation is in the best interest of the government.

RELATIVE IMPORTANCE OF EVALUATION FACTORS – Factor 1, 2, and 3 are of equal importance.

Timeline for Review of Statements of Interest:

We request that Statements of Interest be submitted by August 8, 2019 2:00 PM local standard time. This Request for Statements of Interest will remain open until an investigator team is selected. Statements of Interest received after August 8, 2019 2:00 PM local standard time is considered “late” and may not be considered. Please submit requests for information/questions no later than July 31, 2019 2:00 Pacific standard time.

Please send electronic responses and questions to:

Mr. Reagan Pablo, Contract Specialist Environmental Acquisition Core
Reagan.s.pablo@navy.mil

Point of Contact Information:

Mr. Reagan Pablo, Contract Specialist Environmental Acquisition Core
Naval Facilities Engineering Command Southwest
1220 Pacific Highway San Diego, CA 92132
619.532.2090

References

DoN (Department of the Navy). 2018. Hawaii-Southern California Training and Testing Activities Final Environmental Impact Statement/Overseas Environmental Impact Statement. Naval Facilities Engineering Command, Pacific/EV21CS, Pearl Harbor, Hawaii. October 2018.