

PROGRAM ANNOUNCEMENT FOR FY 2021 STRATEGIC ENVIRONMENTAL RESEARCH AND DEVELOPMENT PROGRAM (SERDP)

SERDP Core Federal Pre-Proposal Instructions

Reference: Call for FY 2021 SERDP Proposals, Memorandum to the SERDP Executive Working Group Members dated *October 24, 2019*

NOTE: These instructions are for the preparation and submittal of pre-proposals in response to the SERDP Core Statements of Need.

To submit a proposal in response to a SERDP Exploratory Development (SEED) Statement of Need, use the SEED instructions found on the [SERDP website](#).

1. INTRODUCTION

The Strategic Environmental Research and Development Program (SERDP) is the Department of Defense's (DoD) environmental research and development program, planned and executed in partnership with the Department of Energy and the Environmental Protection Agency. SERDP's role is to fund research and development that addresses environmental issues relevant to the management and mission of the DoD. SERDP-supported efforts lead to the development and application of innovative environmental technologies or methods that improve the environmental performance of DoD, support the long-term sustainability of DoD's installations and ranges, and significantly reduce current and future environmental liabilities. Within its broad areas of interest, the Program focuses on Environmental Restoration, Munitions Response, Resource Conservation and Resiliency, and Weapons Systems and Platforms. SERDP funds research and development programs in basic and applied research and advanced technology development.

1.1. GENERAL INFORMATION FOR PROPOSERS

SERDP is seeking proposals responding to Statements of Need (SONs) for projects to be funded in fiscal year (FY) 2021. SONs may be found on the [SERDP website](#).

This Call for Proposals (CFP) is for Federal organizations. Private sector organizations should refer to the FY21 Broad Agency Announcement located on the [SERDP website](#).

All Federal pre-proposals must be submitted directly to SERDP. There is no limit on the number of Core Standard or Limited Scope pre-proposals that an organization may submit. There is also no pre-determined minimum or maximum number of full proposals that SERDP may later request. Proposers should submit Limited Scope proposals in accordance with the SERDP Core Solicitation instructions and deadlines. Additional information on Limited Scope proposals may be found in Section 4 of each SON.

Awardees under this CFP will be selected through a multi-stage review process, including a brief pre-proposal, a full proposal, and an oral presentation to the SERDP Scientific Advisory Board (SAB) for final approval. To be eligible for consideration, proposers must submit a pre-proposal. Any pre-proposal submitted shall be in response to only one of the SERDP SONs set forth in this announcement. Proposers may respond to more than one SON with separate pre-proposals.

After evaluation of the pre-proposals, SERDP will contact all proposers and either request or not request each to submit a full proposal. At that time, SERDP will provide detailed instructions for the full proposal format. Full proposals may not be submitted outside the pre-proposal process. Any full proposal that has not been reviewed in the pre-proposal phase will not be evaluated nor considered for award under this CFP. Due to the volume of pre-proposals anticipated, SERDP will not provide debriefs on those that are not requested to submit a full proposal.

Based on an evaluation of the written full proposal and pending approval by the SAB, SERDP will notify each proposer as to whether SERDP wishes to make an award. SERDP reserves the right to select for award any, all, or none of the proposals received. SERDP also reserves the right to select a portion of the work proposed in any single proposal for award. There is no commitment by SERDP to make any awards, nor to be responsible for any money expended by the proposer before award is made. It is the sole responsibility of the proposer to make certain the proposal is properly received by SERDP.

General SERDP procedural questions may be referred to the SERDP office at 571-372-6565. For technical information regarding a SON, contact the individual listed in the SON.

1.2. EVALUATION SCHEDULE

DATE	ACTIVITY
October 24, 2019	CFP Released
January 7, 2020; 2:00 p.m. Eastern Time	Pre-proposals Due to SERDP
Early February 2020	Requests for Full Proposals Sent
March 5, 2020; 2:00 p.m. Eastern Time	Full Proposals Due to SERDP
July – August 2020	Proposers Notified
September – October 2020	Presentation to the SERDP Scientific Advisory Board
March – April 2021	Anticipated Awards

2. PRE-PROPOSAL INSTRUCTIONS

2.1. PRE-PROPOSAL LENGTH AND FORMAT

Pre-proposals shall be no longer than five (5) pages, type face not less than 11-point, and margins not less than one inch on all sides. All proposals shall be submitted as a single PDF file containing all sections outlined below.

2.2. PRE-PROPOSAL CONTENT

Pre-proposals must describe the merits and objectives of the proposer's project in response to the respective SON. The pre-proposal should concisely describe the following:

1. System Generated Proposal Number: Generated by the SERDP and ESTCP Management System (SEMS) when the proposal details are entered and saved in the system as outlined in Section 3 below.
2. Proposal Title
3. Lead Principal Investigator
4. Lead Organization
5. Objective: The proposed objectives and how the project is responsive to the objectives articulated in the SON.
6. Background: Sufficient technical background to demonstrate a thorough understanding of the problem and frame the proposed research in the context of the current state of the science or technology.
7. Approach: The technical approach and methods, preferably structured in hypothesis-driven tasks that clearly identify how the objectives of the proposed project will be addressed. This section should be the primary focus of the pre-proposal.
8. Schedule: The duration of the project, along with a milestone chart that delineates the timeline for each task and major deliverables.
9. Cost: The estimated total costs, including labor, materials, travel, burdens, and profit (fixed fee, if any, for eligible organizations) by year. A detailed breakout of costs is not required or desired in the pre-proposal.
10. Research Team: Identify the Principal Investigator(s), the key co-performers and their respective organizations. If multiple co-performers are proposed, indicate their responsibilities within the project.

2.3. APPENDICES

Appendices to the pre-proposal include:

1. *Required:* Abbreviated Curriculum Vitae (CV): One (1) page each for the Principal Investigator and other significant performers involved with the project that provide relevant research experience. Include the full mailing addresses, phone numbers and email addresses for each person listed.

2. *Required:* List of Acronyms: Provide a complete list of acronyms used in your pre-proposal and their definitions. List the proposal number at the top of the page.
3. *Required, if literature is cited:* Literature Citations: Provide literature citations for any material cited in the technical section or the supporting technical data.
4. *Optional:* Supporting Technical Data (limited to 3 pages): Data sheets, charts, referenced research extracts.
5. *Optional:* Existing Support: If the Principal Investigator is funded by other programs to conduct research that overlaps or parallels the current proposal, provide a brief description of that support (½ page per relevant effort).

Appendices do not count towards the 5-page limit.

3. SUBMITTAL

Pre-proposals are submitted via the SERDP and ESTCP Management System (SEMS). No electronic mail, faxed, or hard copy proposals will be accepted. **Preproposals must be submitted prior to 2:00 p.m. Eastern Time on January 7, 2020.**

Complete all steps below in order to submit a proposal.

- Create a single PDF file that contains all required sections outlined in the proposal guidance.
- Log in to [SEMS](#).
- Enter all required proposal details into SEMS. Proposal details may be saved and edited prior to final submission.
- Add the system-generated proposal number, project title, lead PI name and organization to first page of proposal as instructed in Section 2.2 above.
- Upload the final proposal file.
- Submit the proposal. Only proposals that have been submitted will be considered. Proposals with a “Saved” status will not be reviewed.

Note: A signed cover page is **not required** for pre-proposals.

Once the proposal has been submitted, SEMS will display an on-line confirmation message and will send an email notification to the proposer. It is the sole responsibility of the proposer to make certain the proposal is properly received by SERDP.

The proposer may continue to modify proposal details and upload revised proposal files until the due date. Prior versions of the proposal will be over-written and **only the last version uploaded** will remain in the system. Ensure the proposal details entered into the system match the contents of the PDF proposal file. It is recommended that proposals are uploaded as early as possible prior to the deadline, to ensure a successful and timely submission.

For proposal upload questions, contact the SERDP Office at 571-372-6565.

4. EVALUATION FACTORS FOR PRE-PROPOSALS AND FULL PROPOSALS

The following evaluation factors will be the sole basis for reviewing pre-proposals and full proposals pursuant to these SONs. SERDP Relevance is evaluated on a pass/fail basis. For the pre-proposals, Technical Merit is significantly more important than Personnel which is more important than Cost. Transition Plan will be a factor for full proposals only and will be less important than Cost.

SERDP RELEVANCE (PASS/FAIL)

Proposal reviewers will assess whether the pre-proposal submission (1) responds to the objectives as described in the SON, and (2) falls within the SERDP mission to support basic and applied research or advanced technology development. SERDP Relevance is a threshold review and if the pre-proposal is determined not to be relevant, no further evaluation will be made.

TECHNICAL MERIT

The overall scientific and technical merit of the pre-proposal must be clearly identifiable. The evaluation will consider the proposed approach and its substantiation by calculations, test data, and references. Emphasis will be placed on the proposer's demonstration of a thorough understanding of the environmental issue. The proposer must demonstrate the ability to execute the work by providing a comprehensive, logical, orderly, and concise plan that indicates major tasks, milestones, critical paths, go/no-go decision points and key events leading to the completion of the project in the proposed time frame. In addition, the proposer must show how the technical approach and proposed tasks will address the project objectives. Strong consideration will be given to innovation; however, the degree of risk associated with individual proposals will be weighed against potential benefits. The proposal should clearly articulate how the research will advance the state of the science.

PERSONNEL

Proposal reviewers will examine and assess the applicable qualifications, capabilities, demonstrated achievements, and proposed time commitment to the project by the proposed principal(s) and other key personnel.

COST

Proposal reviewers will consider the reasonableness of the proposed cost, as well as the appropriateness and substantiation of costs for the technical complexity described. Cost sharing or leveraged resources also will be considered.

TRANSITION PLAN (FULL PROPOSALS ONLY)

The transition plan of the proposed research product(s) should demonstrate a clear understanding of how the project's results will transition to implementation either directly through future demonstrations or through future development and show a linkage between the work proposed and the needs of ultimate end user of these results. Coordination between the proposer and targeted end user community is of value for late-stage development projects.