BROAD AGENCY ANNOUNCEMENT

BAA0001-23

Strategic Distribution and Disposition (SDD)

Research and Development (R&D)

BAA

PART: U.S. Government Procurements

SUBPART: Services

OFFICE ADDRESS:

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CLASS CODE: A--Research and Development

SUBJECT: A-Strategic Distribution and Disposition (SDD)

POSTING DATE: 02/08/2023

NAICS CODE: 541715 -- Research and Development in the Physical, Engineering, and Life Sciences (except Nanotechnology and Biotechnology)

SET ASIDES: N/A

SOL: BAA0001-23

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SECTION 1: GENERAL INFORMATION

This notice constitutes a combined synopsis and Broad Agency Announcement (BAA) for the acquisition of R&D in accordance with Federal Acquisition Regulation 35.016, "Broad agency announcement," as supplemented with additional information included in this notice. No other solicitation will be issued. Only the information provided in this notice is available. Requests for other forms of solicitation shall be disregarded.

DLA is the primary agency that provides logistics and supply chain services to the military (Army, Navy, Air Force, Marine Corps, and Coast Guard). DLA operates a network of twenty-four (24) Distribution Centers (DCs) located around the world to support military operations. The Government Accountability Office (GAO) report (2018) has identified three (3) high-level problem areas in the Department of Defense (DOD) conventional supply chain to include the DLA Distribution Network, these are:

1. Inefficiencies in Inventory Management
2. Inefficiencies in Material Distribution
3. Inefficiencies in Asset Visibility

Based upon the above problem areas, there is a valid requirement to digitally transform DLA warehouses using Industry 4.0 technologies into more agile facilities to support emergent warfighter requirements, improve the quality of logistics and supply chain services, and streamline the sophisticated relationship between DLA, the warfighter, and its suppliers. While this requirement is associated with technology refresh and modernization and is therefore not considered a formal acquisition categorized (ACAT) program, in order to support this transformation DLA R&D will leverage the best business practices from DoDI 5000.80 – Operation of The Middle Tier of Acquisition (MTA) to conduct prototyping of existing commercially available industry 4.0 technologies.

The available commercial industry 4.0 technologies associated with the requirement are anticipated to include elements such as, but not limited to:

- 5G Connectivity
- Autonomous Robots
- Modeling and Simulation
- System Integration
- Internet of Things (IoT)
- Cybersecurity Controls
- Cloud Computing
- Augmented Reality
- Artificial Intelligence (AI) and Predictive Analytics

Under this BAA, the available commercially industry 4.0 technologies will be explored, researched, developed, tested, and evaluated (RDT&E).

The overall goal of the DLA R&D SDD Program, 5G Smart-warehouse project is to advance the modernization of DLA's twenty-four (24) DCs by:

- **Phase 1** - Perform feasibility studies of Industry 4.0 Technologies: Evaluate new transformational technology for feasibility within DLA's Operational Environment and requirements.
- **Phase 2** - Perform Prototype Development, Test and Evaluation (T&E) of Industry 4.0 technologies: Advance the maturation of transformational technology in its assessment from Technology Readiness Level (TRL) 4 to TRL 7, 8, or 9 as applicable. Verify and validate the technology performs as advertised through rigorous T&E.

Technology Readiness Assessments (TRAs) will be conducted in alignment with the with the following TRL table provided below in accordance with GAO 20-48G 2020, TRA Guide

Technology readiness level (TRL)	Description
1 Basic principles observed and reported	Scientific research begins to be translated into applied research and development. Examples include paper studies of a technology's basic properties.
2 Technology concept and/or application formulated	Invention begins. Once basic principles are observed, practical applications can be invented. Applications are speculative, and there may be no proof or detailed analysis to support the assumptions. Examples are limited to analytic studies.
3 Analytical and experimental critical function and/or characteristic proof of concept	Active research and development is initiated. This includes analytical studies and laboratory studies to physically validate the analytical predictions of separate elements of the technology. Examples include components that are not yet integrated or representative.
4 Component and/or breadboard validation in laboratory environment	Basic technological components are integrated to establish that they will work together. This is relatively low fidelity compared with the eventual system. Examples include integration of ad hoc hardware in the laboratory.
5 Component and/or breadboard validation in relevant environment	Fidelity of breadboard technology increases significantly. The basic technological components are integrated with reasonably realistic supporting elements so they can be tested in a simulated environment. Examples include high fidelity laboratory integration of components.
6 System/subsystem model or prototype demonstration in a relevant environment	Representative model or prototype system, which is well beyond that of TRL 5, is tested in its relevant environment. Represents a major step up in a technology's demonstrated readiness. Examples include testing a prototype in a high-fidelity laboratory environment or in a simulated operational environment.
7 System prototype demonstration in an operational environment	Prototype near or at planned operational system. Represents a major step up from TRL 6 by requirement demonstration of an actual system prototype in an operational environment (e.g., in an aircraft, a vehicle, or space).
8 Actual system completed and qualified through test and demonstration	Technology has been proven to work in its final form and under expected conditions. In almost all cases, this TRL represents the end of true system development. Examples include developmental test and evaluation of the system in its intended weapon system to determine if it meets design specifications.
9 Actual system proven through successful mission operations	Actual application of the technology in its final form and under mission conditions, such as those encountered in operational test and evaluation. Examples include using the system under operational mission conditions.

Source: GAO analysis of agency documents. | GAO-20-48G

Figure 1 – Technology Readiness Levels (TRLs)
(Source: GAO 20-48G 2020, TRA Guide)

This BAA is limited to RDT&E activities associated with prototyping of existing industry 4.0 technologies within the commercial marketplace and may not directly result in rapid production fielding. Final determination on the ability to successfully transition the existing commercial industry 4.0 technologies into production and fielding will utilize a collaborative approach process between DLA Distribution and the DLA Information Operations transition partners that considers the overall "value proposition" to the agency. The value proposition of 5G smart-warehouses is to reduce operational cost, reduce lead times in warehouse activities, automate material movement, improve

inventory accuracy, perform just-in-time inventory, and provide analytical tools to support decision making. Existing commercial industry 4.0 technologies are anticipated to require integration within the DCs in a secured manner to ensure the confidentiality, integrity, and availability (CIA) of DLA's supply chain data is not compromised.

SECTION 2: BACKGROUND

DLA is going through a major Digital Business Transformation (DBX) and is captured as a critical capability in the DLA Strategic Plan 2021-2026. The 5G Smart-warehouse project directly supports the DLA DBX in the DLA Strategic Plan.

DLA seeks interested parties to enhance DLA business processes using state-of-the-art emerging technologies and innovative business practices. Vendors who receive awards are intended to be organizations with demonstrated expertise in relevant areas of DLA business processes. The SDD mission will be accomplished through sharply focused awards, typically three to 24 months in duration, that will be executed by successful contract awardees.

Subject to availability of funds, a total Government investment up to $10 million per year for 5 years is planned during Fiscal Years 2023 - 2028. This investment will be used to fund all contracts and projects. This BAA will remain open for five (5) years.

SECTION 3: SCOPE

Through the 5G Smart warehouse project, DLA seeks to provide both a proactive logistics response in a manner that consistently meets its customer needs. These objectives are to be accomplished through DLA's continued RDT&E activities of industry 4.0 technologies mentioned in section 1. It is envisioned that these technologies, going forward will lead DLA Distribution and Disposition services with the highest level of innovation needed to augment or replace many DLA's legacy technologies that achieved Initial Operation Capability (IOC) in the 1999's. Many of the current warehouse systems are unsustainable, inefficient, and present many cybersecurity considerations, with DLA's mission changing over the past 20 years, and cyber threats are now on the forefront. It is critical to DLA Distribution to add and/or replace legacy technologies with state-of-the-art technologies that are designed with cybersecurity considerations and evaluated through RDT&E activities.

The following is a listing of several known commercially available industry 4.0 Technologies. However, due to the ever-evolving commercial leading edge of innovation, this listing should not be considered all-inclusive or exhaustive:

- **5G Communications -** Smart-warehouses will be composed of numerous intelligent systems that will require high reliability of communication connectivity. 5G provides the best performance across wireless networks. This will enable better performance for complex datasets that have to be communicated between intelligent systems. 5G has the potential to enhance command, control, and communication (C3) of systems, machines, and data. For DLA, this is important because DLA's Distribution Network is composed of 7 high volume warehouses that will require high level of automation in which C3 of systems, machines, and data is critical
- **Autonomous Robots –** Autonomous robots and vehicles can interact with one another and work safely side by side with humans. For DLA Distribution

some potential applications are inventory drones, inventory roller-bot, autonomous guide, cargo drones, automated storage, robotic arm, autonomous forklifts, etc.

- **Modeling and Simulation –** Modeling and Simulation is the technology behind creating a simulation of a real-world object, concept, or area within a digital space. It can include a 3D representation of all physical assets, operational systems, and structures within a facility. For DLA Distribution, modeling and simulation will allow to develop a virtual prototype of smart-warehouses to assess warehouse configuration and reduce technical risk.
- **System Integration –** System Integration creates a mission capability by composing systems, and sub-systems of a capability. It is the logical next step between design and development, testing, verification, validation, and deployment. For DLA Distribution system integration is critical for the integrations of technologies (system of systems) that form the Smart-warehouse.
- **Internet of Things (IoT) –** IoT refers to the deployment of small sensors, sometimes with computing capabilities, that collect and monitor data in real-time throughout business processes. For instance, Amazon's smart warehouses are based on the concept of and IoT strategy to enable the utilization of supply chain data as an asset and capitalize on the data. IoT devices will be utilized to collect data in the warehouse and provide the data to the end-user to get insight for better decision-making. For DLA Distribution some potential applications are IoT for automated inventory to collect inventory data automatically and in real-time.
- **Cybersecurity Controls** – Industry 4.0 technologies increase connectivity and cybersecurity vulnerabilities as the integration of IoT devices is complex, but it also creates the opportunity to implement the *Zero Trust Security Model* as the need to protect critical supply chain data and IoT devices from cybersecurity threats is essential. Unlike the traditional Implicit Trust Security Model (the trust-then-verify concept) that is based on the assumption that the bad actors are only on the outside of the network, and that the inside of the network is fully trusted. The *Zero Trust Security Model* (the verify-then-trust concept) is on the assumption that bad actors are already in the inside of the network, and that the inside of the network is not trusted, allowing for implementing of strong identity verification controls inside the network, validating device compliance to granting access, and ensuring the least privilege to only explicitly authorized resources. The logic for Zero Trust is that the traditional approach is no longer relevant to complex environments such as a smart warehouse that is composed of industry 4.0 technologies. For the DLA smart warehouse program both cybersecurity manager and cybersecurity engineer will be assigned to the program to evaluate vulnerabilities and minimize cybersecurity risks ensuring the CIA of DLA's supply chain data is not compromised.

- **Cloud Computing** – The more production-related initiatives a company undertakes, the more it needs to share data across systems. Meanwhile, cloud technologies continue to get faster and more powerful. Companies increasingly deploy machine data and analytics to the cloud, thus enabling more data-driven services for production systems. For DLA Distribution some applications are cloud computing to store supply chain data and provide remote access to 5G connectivity.
- **Augmented Reality** – AR, Virtual Reality (VR), and Mixed Reality (MR) systems support various services, such as selecting parts in a warehouse and sending repair instructions over mobile devices. With AR, VR, and MR companies can provide workers with real-time digital information that improves decision-making and work procedures. For DLA Distribution some potential applications are AR, VR, and MR to eliminate paper drives business processes by providing digital guidance and direction to end-users reducing lead time
- **AI for Predictive Analytics** – In an Industry 4.0 context, the collection and comprehensive evaluation of data from many different sources, production equipment, and systems, and enterprise and the customer-management system provide insights into decision making. For DLA Distribution some potential applications are the use of AI for predictive analytics to predict items arriving at the warehouse reducing labor hours spent in the receiving area when sorting material. In addition, the application of blockchain has the potential to record all transactions in the DOD supply chain in a distributed private fashion. Each DOD entity will be able to manage their own nodes in the blockchain with a sense of security and can be self-reliant. Blockchain as a data source will provide to DLA DCs visibility of supply chain transactions that occur in the entire DOD supply chain, end-to-end visibility.

These technologies when working in concert, integrated, and implemented provide DLA with an Intelligent System of Systems (SoS) approach to demonstrate improved Smart-warehousing technology upgrades and operations that provide for operating cost reductions, improved inventory management, optimized materiel distribution, and system-wide asset visibility. All these technology areas when combined provide potential avenues toward achieving breakthrough advances in DLA's Smart-warehouse initiatives. DLA will perform technical oversight of the projects awarded under this BAA.

DLA seeks to develop a 5G Smart-warehouse solution that improves its distribution and logistics solutions and optimizes its industrial capability to deliver parts and supplies to the Warfighter efficiently and effectively. The Smart-warehouse vision will be realized through enhanced Distribution Warehouse performance, the quality of its inventory, the safety of its workforce, and the timely delivery of parts and supplies within their prescribed shelf-life; and lowering DLA's distribution costs while reducing the logistics lead-times for the Warfighter.

Below is the 5G Smart Warehouse Roadmap developed by the R&D SDD Program. Note that the roadmap is subject to evolve and change based on DLA Distribution needs, availability of funding, and technology maturation.

5G Smart warehouse Roadmap

Fiscal Year (FY)	Solution
FY 23	5G (Test Bed)
FY 24	Inventory Management Solutions
FY 25	Material Distribution Solutions
FY 26	Asset Visibility Solutions
FY 27	Integration with WMS/WES (at TRL 7 -9)

SECTION 4: TECHNICAL AREA OF INTEREST

This BAA is limited to RDT&E activities, and not production, fielding and sustainment efforts.

The SDD Program has authority for RDT&E Budget Activity 3 - Advanced Technology Development (ATD), which in accordance with DOD 7000.14R: DOD Financial Management Regulation (DOD FMR) funds the development of subsystems and components and efforts to integrate subsystems and components into system prototypes for field experiments and/or tests in a simulated environment. ATD includes concept and technology demonstrations of components and subsystems or system models. The models may be form, fit and function prototypes or scaled models that serve the same demonstration purpose.

The results of this type of effort are proof of technological feasibility and assessment of subsystem and component operability and producibility rather than the development of hardware for service use. Projects in this category have a direct relevance to identified agency or military needs. ATD demonstrates the general operational utility or cost reduction potential of technology when applied to different types of operational applications. Program elements in this category involve pre-Milestone B efforts, such as system concept demonstration, joint and Service-specific experiments or Technology Demonstrations and generally have Technology Readiness Levels (TRL) of 4, 5, or 6. Projects in this category do not necessarily lead to subsequent development or procurement phases but should have the goal of moving out of Science and Technology (S&T) and into the acquisition process (TRL 7-9). Upon successful completion of projects that have operational utility, the technology should be available for transition.

Consideration will be given to all innovative approaches that enable improved DLA Distribution business processes aligning with the DOD Modernization Priorities and DLA Strategic Plan Objectives. Offerors' technology capability maturation should be at a minimum at TRL 4 at the time of submitting proposals. The R&D PMO may transition a technology solution into production environment into a Program of Record (POM) on a case-by-case basis upon successful demonstration of technical capability, maturation of technology (TRL 4-6), WMS/WES integration (TRL 6-9), and alignment with DLA R&D's objectives and priorities. Offerors shall state the TRL in their proposals. Once a contract is awarded and in order to verify the TRL of the offeror, at the discretion of the DLA R&D Program Manager, the government engineers or an independent party will perform a Technology Readiness

Assessment (TRA) in accordance with Section 3 of the DOD System Engineering Guidebook (Feb 2022) that states for DOD systems developments, a properly tailored series of technical reviews provide key points throughout the system development to evaluate significant achievements and assess technology maturity and risks.

This includes a TRA that is a formal metrics-based process with an accompanying report that assesses the maturity of critical technology elements to be used in systems. It is conducted by Subject Matter Experts (SMEs). The TRA may be conducted with other technical reviews such as the Alternative System Review (ASR), System Requirements Review (SRR), System Functional Review (SFR), Software Specification Review (SSR), Preliminary Design Review (PDR), Critical Design Review (CDR), System Verification Review (SVR), and Production Readiness Review (PRR). At each technical review, the DLA R&D PM and DLA Stakeholders use the information provided as a source of truth to assess key risk, issues, and opportunities, and mitigation plans to understand cost, schedule, and performance implications.

Before determining to transition a project, the DLA PMO will request that the contractor submit a transition plan for review. Upon reviewing the transition plan, the contractor will receive further instructions on submitting technical and cost proposals for the transition effort assuming the technology has reached between Technology Readiness Level (TRL) 7-9. Offerors must consistently align projects to the DOD System Engineering (SE) approach which is a systematic approach to develop, design, allocate, and manage user and system level requirements. In short, the SE approach is the DOD technical discipline that glues all the pieces together to make the end-product. Offerors should consider tailoring the SE approach to meet end user needs. Refer to the DOD Engineering of Defense Systems Guidebook, February 2022.

Through this BAA the DLA R&D SDD Program seeks two independent phased approaches to RDT&E activities. These are as follows: The offeror will first need to complete Phase 1; Feasibility Study, and based upon Phase 1, the offeror can submit another proposal for Phase 2; Prototype Development, T&E. Offerors deliverable should be aligned with Phase 1 and Phase 2.

PHASE I, Feasibility Study – Not to exceed 6 months
This phase encompasses only requirement analysis with no prototype development. Offerors must deliver a comprehensive feasibility study report that details he below:

- Identification of Capability Gaps: Offeror(s) will collaborate with the DLA Distribution Stakeholders to identify capability gaps within the current DLA distribution environment and how these gaps can be closed by implementing Smart-warehouse technologies. The capability gap analysis must identify the problem statement(s) as defined by DLA stakeholders, describe the current "As-Is" problems, and define an acceptable redesigned capability by identifying the changes required to generate the desired "To-Be" capability to eliminate the capability gaps.
- Requirements Analysis: Offerors will collaborate with DLA Stakeholders to identify the tasks required and conditions needed to meet DLA's needs using new or modified technologies, consider the possibility of conflicting requirements, and analyze, document, validate, and manage software or system requirements. These include but are not limited to safety requirements, cybersecurity requirements, data requirements, information technology

requirements, operational technology requirements, physical security requirements, etc. This analysis is critical to the success or failure of the Smart-warehouse concept; it must be documented, actionable, measurable, testable, traceable, related to DLA's identified business needs or opportunities, and defined to a level of detail sufficient for the system design.

- End-User Requirements: Offerors will identify the tasks the end-user(s) need to be able to carry out the DLA Distribution mission to successfully perform their jobs and optimize the processes required for Smart-warehouses.
- Concept of Operations (CONOPS): The offeror must develop a CONOPS document for a Smart-warehouse concept that supports both routine and wartime distribution warehouse operations. The concept of operations covers utilizing Smart-warehouse technologies within DLA distribution warehouses during routine operations (e.g., Department of Defense (DoD) Enterprise Architecture; OV-1, etc.).
- Functional Requirements: Offerors must define the functions of the Smart-warehouse and describe the functional inputs and outputs of the Smart-warehouse. (Any inputs that are unattainable should be documented and assigned a corresponding risk that details the effect on the project). These requirements may involve calculations, technical details, data manipulation and processing, and other functionality that defines what the Smart-warehouse is supposed to accomplish; these requirements are captured in use cases.
- System Requirements, System Design & Specification Document: Offeror(s) must identify the functionality needed by a system to satisfy the DLA Distribution customer's requirements. The selected offeror(s) must determine the system requirements that most effectively meet the end user's needs. Offerors must develop the system design along with specification document.
- Preliminary Metrics: Offerors in collaboration with DLA Distribution must identify Key Performance Parameters (KPPs), Key Performance Indicators (KPIs), Key Systems Attributes (KSAs), and other relevant operational metrics.
- Technology Readiness Assessments (TRAs) as required: Offerors must identify the TRL of the proposed solution in their proposal and this must be verified and validated by the government post-award to assess and demonstrate the Smart-warehouse technology prototype(s) are capable of technology maturity (TRL 4 -9) of Technology Readiness.

PHASE II. Prototype Development, T&E – Not to exceed 24 Months

After completing Phase 1, and based upon what they learn from Phase 1, a proposal for Phase II can be submitted. After completing Phase II, offerors must deliver a Prototype at a minimum of TRL 7 along with a Phase II report that details the elements in Phase I and Phase II. Phase II encompasses prototype development, T&E for technology maturation including:

- Prototype Development: Using elements from Phase I and addressing DLA Distribution defined user requirements, functional requirements, system requirements and system design, a prototype (s) is developed for Experimentation, Developmental Test and Evaluation (DT&E), Early Operational Assessment (EOA), and Initial Operational Test and Evaluation (IOT&E).

- Experimentation, DT&E, EOA, IOT&E: Using Government designated testing location/environment, conduct test and evaluation, integration as feasible with the DLA Warehouse Execution System (WES) and/or implement government cybersecurity controls and comply with the government cybersecurity Risk Management Framework (RMF) with the Smart-warehouse prototype(s) to obtain Authority to Test (ATT) and/or Authority to Operate (ATO) as applicable to demonstrate functionality within the Operational Environment (OE) for cybersecurity certification. T&E against the preliminary metrics identified in Phase 1 (KPPs, KSIs, KSAs and operational requirements) and refined the metrics as required. Correct any discrepancies identified in testing to advance technology maturity.

- Technology Readiness Assessments (TRAs): TRAs will be performed periodically during Phase II to identify the TRL and assess and demonstrate the Smart-warehouse prototype(s) are capable of technology maturity (TRL 4-7) of Technology Readiness throughout Phase 2 and achieve Level (TRL) 7- 9 upon completion of Phase 2 for transition. Note that integration with DLA's WMS and WES cannot occur until at a minimum TRL 7-9.

For consideration, the proposed solutions must address one or more of the following problem areas or areas of interest:

- **1st Priority: Inventory Management** – Inventory management practices and procedures are inefficient, consuming significant resources. DLA Distribution incurs continuous Business risks due to maintaining high levels of inventory that exceed requirements and weaknesses in inventory accuracy. Currently, DLA DCs have a requirement of 100% inventory reconciliation and verification to account for every single item stored in the warehouses, and to ensure every physical item stored match the stock record. The current process of inventory reconciliation is labor intensive, it takes a long lead time to process, and it leads to inaccuracies of data (due to human error). The impact of this problem is seen in the current increase of labor hours, long lead times, and the increase of operational and labor cost of every DCs.

- **2nd Priority: Materiel Distribution** – DLA Distribution's material movement practices and procedures consume massive amounts of resources, are inefficient, and are completed at an increased risk of not meeting delivery standards and timelines. Additionally, there are challenges in moving material within storage locations at DCs as well as between DCs. Currently, DLA DCs are required to moved material around and inside the warehouses. The current process is done by mechanical Material Handling Equipment's (MHEs) that

requires designated drivers. This increases labor hours; it leads to the misplacement of material in the warehouse (due to human errors) and requires intensive hours to maintain MHEs. The impact of this problem is seen in the increase of labor hours, long-lead times, and the increase of operational and labor costs at every DC.

- **3rd Priority: Asset Visibility** – DLA Distribution faces challenges in maintaining end-to-end visibility and traceability of supply-chain transactions across the DOD's supply chain. Due to the DOD' supply chain being fragmented; DLA DCs lack the ability to track and trace items across the supply chain to include having visibility of incoming items and outgoing items. This causes warehouse end-users to sort every single item coming in the warehouse increasing the lead time to in-process received items into the Warehouse Management System (WMS) at the receiving station. The impact of this problem is seen in the increase of labor hours, long lead times, and the increase of operational and labor costs to process shipments received by suppliers. This also impacts the ability of DLA Distribution to provide the status of items and material to customers.

The capabilities to be developed from this effort must have beneficial application to DLA Distribution/Disposition. Consideration will be given to all innovative approaches that enable improved processes aligning with the DoD and DLA Director's Strategic Initiatives of DBX. The R&D Program Management Office (PMO) may determine to transition an R&D project to the production environment. This determination will be made on a case-by-case basis considering contractor performance, successful demonstration of technical capability, maturation of technology (TRL 4-7), integrations with WMS/WES (TRL 7-9) and alignment with DLA R&D's objectives.

SECTION 5: WHITE PAPER INSTRUCTIONS AND FORMAT

A White Paper is an abbreviated document (limited to 6 pages) in which a submitter will describe a technical R&D concept. If the Government deems such a technical concept of interest, the Government may request a total cost and technical proposal. Successful proposals submitted in response to the White Paper process may be awarded contracts (see below). Offerors shall submit White Papers via e-mail to both of the following addresses: Emily.Linico@dla.mil and RandD.DCSO@dla.mil.

The White Paper provides a synopsis of the proposed project by briefly answering the following questions:

1. What is the proposed work attempting to accomplish or do?
2. How is it done today, and what are the limitations and challenges?
3. Who will benefit and what will the impact be if the work is successful?
4. How much will it cost, and how long will it take?

Templates containing content descriptions and instructions are provided in Attachment A to this BAA. ***Use of these templates is mandatory for all submissions to this BAA***. Document files must be in .pdf, doc, or docx formats. All submissions must be written in English and all pages shall be formatted for printing on 8-1/2 by 11-inch paper with 1-inch margins and font size not smaller than 12-point (8 or 10-point font may be used for figures, tables, and charts).

White Papers will not be evaluated but will be reviewed to determine whether the proposed solution is technically feasible and viable (i.e., compatible with DoD constraints, technical environments, and other organizational requirements), and whether the White Paper presents a research project whose results end users are likely to adopt and that is of sufficient interest to the Government to warrant consideration of a technical proposal. The contracting officer will provide only one of the following two responses to an offeror submitting a White Paper: (1) a statement that the proposed research is not of interest to the Government with the rationale for this decision, or (2) a request to submit a technical proposal as described in section (7) "Proposal format".

The Government reserves the right to request technical proposals from any, all, some, or none of the offerors submitting White Papers. A request for technical proposals is not a guarantee that the proposal will ultimately be selected for award. White Papers for non-innovative and/or marginal improvements are inappropriate under this BAA and will not result in a technical proposal request.

SECTION 6: GENERAL PROPOSAL SUBMISSION AND INSTRUCTIONS

The Contracting Officer will request proposals on White Papers that are of interest to the Government. Proposal prices and all other terms and conditions must remain valid for 180 days from the submission date of the technical proposal.

To ensure all technical proposals receive proper consideration, DLA requires all offerors to follow the same format. Technical proposals that do not conform to the format will not be evaluated and will not be considered.

When requested to submit a proposal after a successful white paper submission, offerors shall submit a proposal for an R&D project of their choosing that they believe is suitable for execution by SDD (to be determined by evaluation against the criteria stated below). The Government intends to award contracts based upon evaluation of the submitted proposal. The proposal shall demonstrate knowledge, experience, and expertise in the Technical Area of Interest described in Section 4. Proposals must also provide information detailing past performance that demonstrates related efforts, achievements, technological aptitude, management support skill, and potential contribution and relevance to DLA's mission. Offerors must submit full proposals in Portable Document Format (.pdf) via email titled "BAA0001-23", to the POC cited on Page 1 to be considered. Electronic proposals should also be sent to the DCSO R&D Mailbox cited as the alternate Point of Contact on Page 1 of the BAA.

*Note: If encountering difficulty submitting proposals or other related documents via email due to file size limitations, files should be submitted to the Primary Point of Contact (POC) through the Solicitation

Module on the Procurement Integrated Enterprise Environment (PIEE) website at https://piee.eb.mil. ***Vendors who need to use this option should contact the Primary POC directly for further instructions.***

This is an unrestricted acquisition. All responsible sources capable of satisfying the Government's needs may submit a white paper, which will be considered by DLA. DLA encourages small businesses, small-disadvantaged businesses (SDBs), woman-owned small businesses (WOSBs), historically underutilized business zone (HUB Zone) small businesses, veteran-owned small business (VOSBs), service-disabled veteran-owned small businesses (SDVOSBs), historically black colleges and universities, and minority institutions, and other concerns subject to socioeconomic considerations through its awards to submit white papers under this BAA. However, no portion of this BAA will be set-aside due to the impracticality of reserving discrete or severable areas of research in this technology. For purposes of this acquisition, the small business size standard is 1000 employees, and the North American Industry Classification System (NAICS) code is 541715, Research and Development in the Physical, Engineering and Life Sciences. All correspondence and questions on this BAA should be directed to the Contracting Officer POC at the top of the BAA; e-mail is preferred. Other than small business concerns will be required to submit a Small Business Subcontracting Plan in accordance with the most recent version of FAR clause 52.219-9 at the time of proposal submission if proposal cost exceeds the $750,000.00 threshold. Proposals must remain valid 180 days from the date of submission.

Note: Small business are exempt from submitting a subcontracting plan **(see subcontracting plan information in attachment B**).

Businesses unfamiliar with doing business with the government and that require assistance may contact the state-specific Department of Defense (DOD) Procurement Technical Assistance Center (PTAC).

DOD PTACs serve as a resource for businesses pursuing and performing under contracts with DOD, other federal agencies, state, and local governments and with government prime contractors. Assistance provided by the PTACs is usually free of charge. PTAC support includes registration in systems such as SAM, identification of contract opportunities, understanding requirements and preparing and supporting proposals. The PTACs have a presence in each state, Puerto Rico, and Guam.

To locate a local PTAC visit:

http://www.dla.mil/HQ/SmallBusiness/PTAC.aspx or http://www.aptac-us.org/new/.

SECTION 7: PROPOSAL FORMAT

Proposals MUST be submitted in the following format and provide the content requested in Section 8"Evaluation Criteria for BAA Awards" of this BAA. Each page of the proposal shall be marked "Source Selection Information—See FAR 2.101 and 3.104."

- **Two separate volumes consisting of**:

  - Volume I – Technical Proposal
  - Volume II – Cost/Price Proposal
- **Volume I,** Technical Proposal
  - Shall describe the proposed project and address the Evaluation Factors as contained in this BAA.
- **Volume II,** Cost/Price Proposal
  - Shall contain cost and pricing information in support of Volume I technical project.
  - Cost/Price information shall include breakout of cost elements as provided for in the Cost Realism evaluation factor in this BAA.
- ***NO pricing information shall be contained in the technical proposal.***

Volume I – Technical Proposals:

- Technical proposals shall be submitted in the following format: one electronic copy in ".pdf" format sent via email to the Contracting POC and the DCSO-P R&D Mailbox (or PIEE Website).
- Technical proposals in response to this BAA shall be limited to 20 single sided, 8 ½" x 11" pages, including Cover Page, Executive Summary, Proposal Information, Appendices and Attachments, but not including resumes and certifications of key personnel. Any transmittal letter (if submitted) will also be counted toward the twenty-page limit. There is no penalty for submitting shorter proposals, so long as the offeror covers all the required material.
- Type font shall be 12-point Times New Roman with 1" margins around the page (excluding tables, see below section (3) formatting).

PROPOSALS THAT DO NOT CONFORM TO THE REQUIREMENTS DETAILED IN THIS SECTION MAY NOT BE EVALUATED OR AWARDED. TECHNICAL PROPOSALS THAT EXCEED 20 PAGES MAY BE EXCLUDED FROM CONSIDERATION.

To ensure all technical proposals receive proper consideration, DLA requires all offerors to follow the same format. Technical proposals must meet the following format requirements:

(1) Document files must be written in English and in .pdf formats.
(2) No more than twenty (20) single-sided pages including, body, appendices, and attachments.
(3) Formatting for printing on 8-1/2 by 11-inch paper with 1-inch margins and font size not smaller than 12-point (8 or 10-point font may be used for figures, tables, and charts).; and
(4) Header on each page to identify page content and page number.

Any project Gantt charts may be submitted on larger pages (e.g., legal size), as required to be readable. There is no penalty for submitting a technical proposal of less than 20 pages if the technical proposal covers all the required material. Resumes and certifications for technical data and computer software will

not be counted as part of the 20-page limit. Technical proposals must be clear and concise and must include sufficient detail to substantiate the validity of the research. Technical proposals must address the evaluation factors provided in Section 8, Evaluation Criteria for Contracts. No cost or pricing information may be contained in the technical proposal.

Offerors must assume that DLA has no prior knowledge of their facilities and experience, and DLA will base its evaluation exclusively on the merits and content of the information presented in the technical proposal, except that DLA reserves the right to evaluate relevant past performance that is not included in the technical proposal.

Markings for Technical Proposals

Information in the technical proposal that is deemed by the offeror to be proprietary must be clearly marked as proprietary information. Research and Development is considered CUI. In accordance with the Department of Defense (DoD) phased CUI Program, any form of communication or documentation containing CUI must carry the appropriate markings, i.e., header and footer identifying the document as "CUI" and a completed CUI Designation Indicator.

CUI

Source Selection Information – See FAR 2.101 and 3.104

(4) Proposals shall include all proprietary claims to results, prototypes, or systems supporting or necessary for the use of the research, results, or prototypes. If there are no proprietary claims, then the proposal must include a statement to that effect. Do not put proprietary data or markings in the Statement of Work (SOW). Proposals containing data that is not to be disclosed to the public for any purpose or used by the Government except for review purposes shall include the following sentences in accordance with FAR 52.215- 1I(1) and (2) on the cover pag1) Mark the title page with the following legend:

This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed-in whole or in part-for any purpose other than to evaluate this proposal. If, however, a contract is awarded to this offeror as a result of-or in connection with-the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets [insert numbers or other identification of sheets]; and

(2) Mark each sheet of data it wishes to restrict with the following legend:

Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal.

In accordance with FAR 3.104-4, your company is required to mark all material that may be Source Selection Information as described at paragraph (10) of the "Source Selection Information" definition in FAR 2.101, to include the cover page and each page that may contain source selection information, with

the legend "Source Selection Information – See FAR 2.101 and 3.104". Although the information in paragraphs (1) through (9) of the definition in 2.101 is considered to be Source Selection Information whether or not marked, all reasonable efforts must be made to mark such material with the same legend. If you are unsure if particular information is Source Selection Information as defined in FAR 2.101, consult your Contracting Officer. In addition, your company is required to mark all material that may be procurement sensitive, or defense covered information with the legend "Controlled Unclassified Information" (CUI). If the information is also source selection information both markings must be present.

Note: Source Selection markings are required for all documents submitted in response to this BAA, which includes White Papers and Technical/Price Proposals (when applicable).

Technical proposals shall consist of four parts:

Part 1 — Proposal Cover Sheet
Part 2 — Executive Summary
Part 3 — Feasibility, Viability, and Desirability
Part 4 — Past Performance, Capabilities and Recent, Related Experience

(4) **Part I – Proposal Cover She**1) BAA number; (2) Proposal Title; (3) Technical Point of Contact, including name, telephone number, email address, and mailing address; (4) Administrative/Contracting Point of Contact, including name, telephone number, email address, and mailing address; and (5) Contractor's business type selected among the following categories: Large Business, Small Disadvantaged Business (SDB), Other Small Business, HBCU, MI, Other Educational, or Other Nonprofit.

Part 2: Executive Summary
An Executive Summary of the offeror's entire technical proposal in one page or less is required. This summary shall be used to gain an understanding of the overall proposal contents. It should identify and highlight significant features, summarize innovative claims and unique contribution(s) of the proposal, and include the salient points of the proposed project, and the expected outcome improvement associated with the project.

Part 3: Feasibility, Viability, and Desirability
Offerors must explain the proposed research project and methodology in sufficient detail to establish the feasibility, viability, and desirability of accomplishing the research.

Feasibility – solution to problem statement is technically possible. The technology exists or is likely to be developed in the scope of the proposed effort. An example of something that is not feasible is a "Star Trek" transporter.

Viability – solution to problem statement is compatible with DOD constraints, technical environments, and other organizational requirements. DOD could easily adopt the proposed solution. An example of something which is not viable is a technology that has no chance of passing DOD cyber security requirements; and

Desirability – solution is responsive to a problem statement. End users are likely to adopt the proposed solution. Examples of something that is not desirable are (i) a piece of field equipment that is so uncomfortable to carry that end users refuse to bring it into the field and (ii) a feasible, viable technology that does not meet the problem that end users are trying to solve.

Part 4: Past Performance, Capabilities and Recent, Related Experience

Section–1 - Work Experience: Offerors must provide information pertaining to prior significant and related research, work experience, or expertise for the proposed research. The information must include an explanation of how this experience or expertise will be beneficial to the proposed research. Offerors must identify no more than five contracts along with the performance period and a brief performance history for each contract within the last three years for which they have provided services and/or supplies of a nature that is consistent with the Area of Interest and relevant to the proposed research. Contractors must also list any previous contracts that have been terminated for cause and the reasons. When reporting contract information please include the proposed award dollar value of the contract and the dollar value at completion.

Section–2 - Points of Contact: Offerors must provide point of contact information for each of the contracts identified in response to Part 4, Section 1 above including the company name, points of contact names, e-mail addresses, and phone numbers.

Section 3 – Contractor Teaming Arrangements: State whether contractor teaming arrangement experience relevant to the proposal exists. Where related work was performed with teaming partners, R Offerors must also provide points of contact of team members, including company name, individual names, e-mail addresses, and phone numbers.

Section–4 - Bibliography: Offerors must include a bibliography of relevant technical papers and research, published and unpublished, which documents the technical ideas upon which the research is based.

Volume II – Cost Proposal:

No page limits apply to the Cost Proposal. The cost proposal shall include total project cost by month. The offeror shall also give a detailed breakdown of the total project costs by each task listed in the technical proposal. If subcontracts are contemplated, the offeror must estimate the total amount of effort to be subcontracted and specify the “burden” or “pass through rate” that will be applied to those subcontracts. Offerors are required to submit certification of current cost or pricing data in accordance with FAR 15.406-2 (Certificate of Current Cost or Pricing Data). The total cost of each major cost element and the make-up of those costs shall be presented in the offeror's proposal. A statement related to the latest DCAA audit and whether the offeror’s accounting system has been approved by the DCAA shall be included in the Cost Proposal. State if there are currently negotiated DCAA rates or forward pricing

rate agreements and factors being used in the proposal. Include a detailed breakdown of costs by cost category by offeror's calendar or fiscal year:

- Direct Labor - Individual labor categories or person with associated labor hours and unburdened direct labor rates
- Indirect Costs - Fringe benefit, Overhead, G&A, Cost of Money, etc. (must show base amount and rate)
- Travel - Number of trips, destinations, durations, purpose, etc.
- Subcontracts - A cost proposal is required to be submitted by any proposed subcontractor and "burden" or "pass through rate" shall be clearly stated.
- Materials - Specifically itemized with estimated (or actual) costs.
- Lease Items - Fair market value of lease items and the method used for making such evaluations

Sufficient information shall be provided in supporting documents to evaluate the reasonableness and realism of these proposed costs. Additionally, a completed Cost Proposal Adequacy Checklist (Attachment C) shall be included with each proposal submission.

Cost Proposal Format

To ensure all cost proposals receive proper consideration, DLA requires all Offerors to follow the same format. Offerors shall submit cost proposals within 30 calendar days of contracting officer's request in the following format: (1) ".5" x 11"-page size; (2) a header on each page to identify page content and page number; and (3) type font 12-point Times New Roman with 1-inch margins around the page. No page limits apply to cost proposals. The cost proposal must reflect an understanding of the research, perception of risks, and ability to organize and perform the task(s) stated in the technical proposal. Offerors shall submit the following information:

Part 1 – Overview
Part–2 - Cost or Pricing Data (certified when requested by the Contracting Officer)
Part–3 - Work Breakdown Structure
Part 4 – Proposal Adequacy Checklist (Attachment C)

Part 1 – Overview

a. Cost Proposal Cover Sheet: Offerors shall provide the following information:

(1) BAA Number
(2) NAICS code
(3) BAA Area(s) of Interest from Section 4 above
(4) Offeror's Technical Point of Contact, including name, telephone number, e-mail

address, and mailing address (no post office box)

(5) Offeror's Administrative/Contracting Point of Contact, including name, telephone number, e-mail address, and mailing address (no post office box)

(6) Contractor's business type selected among the following categories: Large Business, Small Disadvantaged Business (SDB), Other Small Business, HBCU, MI, Other Educational, or Other Nonprofit.

(7) CAGE Code

(8) Subcontractors participating in the research and estimated cost (if none state "not applicable")

(9) Small businesses participating in the research and estimated cost (if none state "not applicable")

(10) Historically Black Colleges and Universities or Minority Institutions participating in the research (if none state "not applicable") Performance Period

(11) Contract type selected from one of the cost-reimbursement contract types.

(12) Research title

(13) Brief research description

(14) Total Estimated Cost

(15) Fixed Fee Amount - the fee shall not exceed 10% of the estimated cost (if proposal is for a cost-plus-fixed-fee contract).

b. Accounting System

Offerors shall provide a description of the accounting system proposed for this research and a copy of accounting system approval from Defense Contract Audit Agency (DCAA) or the Department of Health and Human Services (HHS).

c. Approved Rates

Offerors shall provide a statement regarding current negotiated DCAA or HHS rates, factors, forward pricing agreements, and/or other related cost factors and considerations being used in the cost proposal.

d. Audit or Forward Pricing Agreement

Offerors shall provide a copy of the latest audit or forward pricing agreement from DCAA or HHS.

Part 2 – Certified Cost or Pricing Data and Data Other Than Certified Cost or Pricing Data

Offerors shall submit certified cost or pricing data when requested by the contracting officer to support a determination of cost realism for cost proposals with a total estimated value of $2,000,000.00 or more in accordance with FAR 15.403-4. If the total estimated value is under $2,000,000.00, offerors shall submit data other than certified cost or

pricing data to support a determination of cost realism in accordance with FAR 15.403-3. Offerors shall submit data in accordance with FAR 52.215-20 Requirements for Certified Cost or Pricing Data and Data Other Than Certified Cost or Pricing Data.

Offerors shall submit certified cost or pricing data, data other than certified cost or pricing data, and supporting attachments in accordance with the instructions contained in Table 15-2 of FAR 15.408. Offerors shall submit subcontractors' certified cost or pricing data, data other than certified cost or pricing data, and supporting attachments. If the subcontractor will not submit this information to the offerors, this information must be submitted directly to the contracting officer for cost realism analysis.

Part 3 – Work Breakdown Structure

Offerors shall submit a detailed work breakdown structure including all costs in a table format for all research tasks. Offerors shall include at a minimum, the costs cited above.

Part 4 – Proposal Adequacy Checklist regarding Cost and Pricing Information

Sufficient information should be provided in supporting documents to evaluate the reasonableness and realism of the proposed costs. A cost proposal adequacy checklist from DFARS 252.215-7009, has been included as an Attachment to the BAA for guidance (See Attachment C).

Cost Realism Analysis

DLA will perform a cost realism analysis on cost proposals in accordance with FAR 15.404-1(d), Cost Realism Analysis. Realism determination will be based on an evaluation of the cost proposal to determine whether the estimated cost elements are realistic for the proposed research; reflect a clear understanding of the applicable BAA Area(s) of Interest and are consistent with the proposal research plan.

a. Labor Mix and Other Direct Costs

Offerors are required to provide their proposed labor rates and total cost for each labor category. In addition, offerors are required to provide applicable indirect rates, which should include, but may not be limited to, G&A, Fringe, Overhead, and Sub-contractor "burden" or "pass through rate." Offerors are additionally required to provide labor category descriptions that include minimum education,experience, and certification requirements.

- **Direct Labor**: Individual labor categories or person with associated labor hours and unburdened direct labor rates.
- **Indirect Costs**: Fringe benefit, Overhead, G&A, etc. (must show base amount and rate)
- **Travel:** Estimated number of trips, destinations, durations, etc.
- **Subcontracts**: A cost proposal is required to be submitted for any proposed subcontractor, and"burden" or "pass through rate" shall be clearly stated.
- **Materials**: Specifically itemize and identify as estimated or actual costs.

Cost proposals shall include the following summary tables in addition to the vendor's other cost proposal information:

Labor Category (identify)	Hours	Unburdened Labor Rate	Overhead	G&A	Burdened Labor Rate
Totals:					

Indirect Costs (%)	
Indirect Rate	
1. G&A	
2. Overhead	
3. Fringe	
4. Subcontractor Burden Rate	

SECTION 8: EVALUATION CRITERIA FOR CONTRACT AWARDS

The Government reserves the right to make awards based on all, some, or none of the proposals received. Proposals will not be evaluated against each other since they are not submitted in accordance with a common work statement.
The Government will evaluate technical proposals in accordance with this section through a peer or scientific review process. Technical proposals will be evaluated for an overall technical capability that is feasible, viable, and desirable and describes a project that provides a solution in an Area of Interest listed in Section 4. Technical evaluation factors are as follows:

1. **Feasibility (Overall Scientific and Technical Merit)** – solution to problem statement is technically possible. This criterion measures whether the technology exists or is likely to be developed in the scope of the proposed effort.

2. **Viability** – solution to problem statement is compatible with DOD constraints, technical environments, and other organizational requirements. This criterion addresses the likelihood of transition (adoption of the offeror's solution) by measuring whether DOD could easily adopt the solution.

3. **Desirability** – solution is responsive to a problem statement. This criterion addresses likelihood of transition by measuring whether end users are likely to adopt the offeror's solution.

4. **Past Performance, Capabilities and Recent, Related Experience** - the offeror has relevant experience and expertise, including technical papers and research, published and unpublished, that document the technical ideas and projects upon which the proposed research is based and current and previous recent work that indicates likelihood that the offeror can successfully accomplish the proposed research. Offerors are advised that the Government may use information gained from any source known to the Government to evaluate past performance, provided such information is recent (within the past 3 years).

In the case of an offeror without a record of relevant past performance or for whom information on past performance is not available, the offeror will not be evaluated favorably or unfavorably on past performance.

Technical proposals for non- innovative, marginal improvements are inappropriate under this BAA and will receive no further consideration.

Evaluation Rating Scheme

Proposals will be assigned a rating based on the adjectival ratings below.
In accordance with FAR 35.007 (f), the Contracting officer, in addition to the evaluation factors for technical competence shall consider, as appropriate, management capability (including cost management techniques), experience and past performance, subcontracting practices, and any other significant evaluation criteria (e.g., unrealistically low-cost estimates in proposals for cost-reimbursement or fixed-price incentive contracts).

Factor 1 – Overall Scientific and Technical Merit (Feasibility)
The offerors' proposal must explain the proposed research project and methodology in sufficient detail to establish that the proposed technical approach is innovative, feasible, and comprehensive and that the proposed technical team has the expertise and experience to accomplish the proposed tasks. Task descriptions and associated technical elements must be complete and in a logical sequence with all proposed deliverables clearly defined and directed toward a final outcome that achieves the proposed goal(s). The proposal must identify major technical risks and present clearly defined and feasible mitigation efforts

Highly Acceptable (HA): The proposal presents a thorough approach and understanding of requirements.
The approach employs technology that is at Technology Readiness Level (TRL) 4 or higher.
Proposed information technology shows good knowledge of FedRAMP requirements and strongly addresses cybersecurity, including independence from foreign actors.
Submission contains some strengths that demonstrate the ability of the offeror to *meet or exceed* applicable program objectives as provided for in the BAA Area of Interest.

Acceptable (A): The proposal includes an adequate approach and understanding of the requirements.
The approach employs technology that may require moderate additional development.
Proposed information technology shows some knowledge of FedRAMP requirements and minimally addresses cybersecurity, including independence from foreign actors.
The response includes at least the minimum level of information requested in the BAA and may contain strengths, weaknesses, or deficiencies. Any weaknesses are not so substantial as to adversely offset identified strengths.

Not Acceptable (NA): Proposal does not demonstrate a satisfactory approach or understanding of the requirements.
The approach employs technology that may require moderate to significant additional development. Proposed information technology shows little or no knowledge of FedRAMP requirements and does not adequately address cybersecurity, including independence from foreign actors.
The response demonstrates little to no understanding of the objectives of the BAA Area of Interest.

Factor 2 – Viability

The proposed effort is viable and likely to transition into an operational capability. The offeror demonstrates an understanding of working with DLA and DoD and of relevant DLA and DoD policy. Information technology included in the proposed effort addresses cybersecurity requirements and show awareness of specific requirements (e.g., FedRAMP) for IT in the Federal Government, DoD, and DLA.

Highly Acceptable (HA): The proposed effort is strongly relevant to DLA's mission.
Offeror(1) has significant prior experience as a DLA or DOD contractor, or (2) has demonstrated a clear understanding of the nuances of working with the government and the level of effort, need for adaptability to changes in policy, and regulatory hurdles involved.
The proposed approach is structured to address such challenges and has a high probability that the results will ultimately transition to an operational capability.
Risk to DLA is considered low.

Acceptable (A): The proposed effort demonstrates some relevance to DLA's mission. Offeror (1) has some prior experience as a DLA or DOD contractor, or (2) has demonstrated some understanding of the nuances of working with the government and the level of effort, need for adaptability to changes in policy, and regulatory hurdles involved. The proposed approach is

structured to address such challenges and has a moderate probability that the results will ultimately transition to an operational capability.
Risk to DLA is low.

Not Acceptable (NA): Response is marginally relevant or not relevant to DLA's mission or does not demonstrate an understanding of the objectives of the Area of Interest.
Offeror (1) has little or no prior experience as a DLA or DOD contractor, and/ or (2) has demonstrated little understanding of the nuances of working with the government and the level of effort, need for adaptability to changes in policy, and regulatory hurdles involved, or has not adequately structured the proposed approach to address such challenges. The proposed effort has a low probability of ultimately transitioning to an operational capability.
Risk to DLA is considered high.

Factor 3 – Desirability
The proposed solution offers clear benefits to DLA and has characteristics such as low barriers to transition, simplicity, ease of use, physical dimensions, etc. that make it likely to be adopted.

Highly Acceptable (HA): The proposed effort appears likely to yield results that have significant characteristics such as simplicity, ease of use, physical dimensions, process improvement, etc., that make adoption highly likely.
Risk to DLA is considered low.

Acceptable (A): The proposed effort appears likely to yield results that have some characteristics such as simplicity, ease of use, physical dimensions, process improvement, etc., that may make adoption likely.
Risk to DLA is low.

Not Acceptable (NA): The proposed effort appears to have low likelihood of being adopted because it lacks characteristics such as simplicity, ease of use, physical dimensions, process improvement, etc., that tend to make adoption likely.
Risk to DLA is considered high.

Overall Consensus Ratings

Factor 4 – Past Performance, Capabilities, and Recent, Related Experience
Proposals will be evaluated based on the degree to which they provide information pertaining to prior significant and related work experience or expertise in the technical areas of interest, and how that expertise will be beneficial to this program

Highly Acceptable (HA) Response demonstrates high satisfactory experience which is relevant (within the last three years) to an area of research interest in the BAA. Response demonstrates high satisfactory past performance in implementing or sustaining systems or processes which are like those being proposed. Response demonstrates high satisfactory overall past performance as it relates to meeting technical, schedule, cost and/or other

objectives/requirements. There is high probability of successfully accomplishing the DLA requirement based on experience and past performance.

Acceptable (A): Response demonstrates some generally satisfactory experience which is relevant (within the last three years) to an area of research interest in the BAA. Response demonstrates some satisfactory past performance in implementing or sustaining systems or processes which are like those being proposed. Response generally demonstrates some satisfactory overall past performance as it relates to meeting technical, schedule, cost and/or other objectives/requirements. There is a reasonable probability of successfully accomplishing the DLA requirement based on experience and past performance.

Not Acceptable (NA): Response demonstrates generally unsatisfactory overall experience interest in the BAA, and unsatisfactory experience in implementing or sustaining systems or processes to those being proposed. Generally, demonstrates unsatisfactory overall past performance. Low or no probability of successfully accomplishing the DLA requirement based on past performance.

Neutral: The offeror has no relevant record of past performance. Offerors will not be rated favorably or unfavorably.

Factor 5: Cost Realism

A cost realism analysis will be performed in accordance with FAR 15.404-1(d) *Cost realism analysis*. Realism will be based on an evaluation of the offeror's cost proposal to determine whether the estimated cost elements are realistic for the work to be performed; reflect a clear understanding of the requirements and are consistent with the offeror's technical proposal.

Although cost or price is not normally the controlling factor in selecting a contractor to perform R&D, it shall not be disregarded in arriving at a selection that best satisfies the Government's requirement at a fair and reasonable cost.

Consensus Ratings (Overall rating)

Acceptable (A): Response addresses the minimal level of information requested in the BAA.

Not Acceptable (NA): Response did not address the minimal level of information requested in the BAA.

ATTACHMENT A: WHITE PAPER TEMPLATE

Use of this template is mandatory for all White Paper submissions to this BAA. This document must include all components described herein and must be submitted in .pdf format. All submissions must be written in English and all pages shall be formatted for printing on 8-1/2 by 11-inch paper with 1-inch margins and font size not smaller than 12-point. Font sizes of 8 or 10 point may be used for figures, tables, and charts.

White Papers shall not exceed 6 pages (1 page cover sheet + 1-page executive summary + 4-page Project Summary).

Page limit includes:	Page limit does NOT include:
Cover Sheet	Bibliography (Optional)
All figures, tables, charts	Technical Papers (Optional)
Executive Summary	
Project Summary	

<PROPOSER ORGANIZATION LOGO>

DLA SDD

R&D BAA

White Paper Cover Sheet

Project Title:	
Proposer Organization:	
Technical Point of Contact (POC)	Name: Mailing Address: Telephone: Email:
Administrative POC	Name: Mailing Address: Telephone: Email:
Other Team Members (subcontractors and consultants), if known/applicable	Technical POC Name: Organization: Technical POC Name: Organization:
Estimated Total Cost (Base + Options)	$
Estimated Period of Performance	
Identify any other solicitation(s) to which this concept has been proposed	

Executive Summary

[Provide a synopsis of the proposed project *in one page or less* by succinctly conveying its main objective, key innovations, expected impact, and other unique aspects.]

Project Summary

Goals and Impact

[Describe what is being proposed and what difference it will make (qualitatively and quantitatively) if successful. Describe the innovative aspects of the project in the context of existing capabilities and approaches, clearly delineating the relationship of this work to any other projects from the past and present.]

Technical Plan

[Provide answers to the following questions:

- What is the proposed work attempting to accomplish or do?
- How is it done today, and what are the limitations and challenges?
- Who will benefit and what will the impact be if the work is successful?
- How much will it cost, and how long will it take?

Outline and address technical challenges inherent in the approach and possible solutions for overcoming potential problems. Provide appropriate measurable milestones (quantitative if possible) at intermediate stages of the project to demonstrate progress, and a plan for achieving the milestones.]

Capabilities and Management Plan

[Provide a summary of expertise and prior significant and related research and work experience of the team, including sub-awardees and key personnel, in the selected Area of Interest. While teaming arrangements do not need to be finalized at the time of White Paper submission, mention of potential teaming or collaboration arrangements is highly encouraged. Identify a principal investigator for the project and include a description of the team's organization including roles and responsibilities.]

Cost and Schedule

[Provide a rough order of magnitude price and notional schedule over the entire program, broken down by Government Fiscal Year]

Bibliography (Optional)

[Provide a brief (no more than 2 pages) bibliography with *links* to relevant papers, references, reports, resumes of key team members, etc.]

ATTACHMENT B: SMALL BUSINESS SUBCONTRACTING PLAN

For proposed contract awards exceeding $750,000.00 large businesses and non-profits (including educational institutions) shall provide a Small Business Subcontracting Plan that contains all elements required by the most recent versions of FAR 19.704, FAR 52.219-9 and DFARS 252.219-7003. The Plan must be submitted as an attachment to the Proposal Adequacy Checklist and will not be included in the page count. If a company has a Master or Individual Subcontracting Plan, as described in FAR 19.701 or a Comprehensive Subcontracting Plan 29 described in DFARS 219.702, a copy of the Plan shall also be submitted as an attachment to the Proposal Adequacy Checklist in attachment C.

Plans will be reviewed for adequacy, ensuring that the required information, goals, and assurances are included. If an apparent successful offeror fails to negotiate a Plan acceptable to the contracting officer within the time limit prescribed by the contracting officer, the offeror will be ineligible for award. Offerors shall propose a plan that ensures small businesses (inclusive of SDBs, WOSBs, HUBZone,VOSBs and SDVOSBs) will have the maximum practicable opportunity to participate in contract performance consistent with efficient performance.

As a baseline, Offerors shall, to the best extent possible, propose realistic goals to ensure small business participation in accordance with the current or most recent fiscal year subcontracting goals found on the DoD Office of Small Business Program website at: https://business.defense.gov/About/Goals-and-Performance/. Please refer to the website for most accurate list of goals. If proposed goals are below the statutory requirements, then the offeror shall include in the Plan a viable written explanation as to why small businesses are unable to be utilized and what attempts were taken to ensure that small business were given the opportunity to participate in the effort to the maximum extent practicable.

a. Subcontracting Resources -

Subcontracting can be a good way to participate in the contracting process. The following is a list of potential resources that may assist in locating potential subcontracting partners/opportunities/resources:

*Companies Participating in DoD Subcontracting Program Report - https://business.defense.gov/Acquisition/Subcontracting/Subcontracting-For-Small-Business/

*DoD OSBP Prime Contractors and Subcontractors with Subcontracting Plans - https://business.defense.gov/Acquisition/Subcontracting/Subcontracting-For-Small-Business/

*DefenseLink ≥ $7.0 M Award Notices - https://www.defense.gov/News/Contracts/

*SBA Dynamic Small Business Search - https://web.sba.gov/pro-net/search/dsp_dsbs.cfm

*Electronic Subcontracting Reporting System (eSRS) - https://www.esrs.gov/

*DLA SBIR/STTR Search – Website or Brochure - https://www.dla.mil/Portals/104/Documents/SmallBusiness/Small%20Business%20-%20SBIP%20-%20January%202020.pdf?ver=2019-12-27-081121-487

*DoD Procurement Technical Assistance Centers (PTAC) - https://www.aptac-us.org/

*U.S. Small Business Administration (SBA) Subcontracting Opportunities Directory - https://www.sba.gov/document/support-directory-federal-government-prime-contractors-subcontracting-plans

*U.S. Small Business Administration Subcontracting Network (SubNet) - https://eweb1.sba.gov/subnet/client/dsp_Landing.cfm

In accordance with FAR 5.206 Notices of Subcontracting Opportunities, the following entities may transmit a notice to the GPE to seek competition for subcontracts, to increase participation by qualified HUBZONE small business, small, small disadvantaged, women-owned small business, veteran-owned small business, and service-disabled veteran-owned small business concerns, and to meet established subcontracting plan goals:

(1) A contractor awarded a contract exceeding the simplified acquisition threshold that is likely to result in the award of any subcontracts.

(2) A subcontractor or supplier, at any tier, under a contract exceeding the simplified acquisition threshold, that has a subcontracting opportunity exceeding $15,000.

The notices must describe:

- The business opportunity
- Any prequalification requirements; and
- Where to obtain technical data needed to respond to the requirement

In addition, another place prime contractors may post solicitations or sources sought notices for small business is the U.S. SBA SUB-Net: https://eweb.sba.gov/gls/dsp_sbabanner.cfm. The SUB-Net database provides a listing of subcontracting solicitations and opportunities posted by large prime contractors and other non-federal organizations.

ATTACHMENT C: PROPOSAL ADEQUACY CHECKLIST

PROPOSAL ADEQUACY CHECKLIST
DFARS 252.215-7009

	REFERENCES	SUBMISSION ITEM	PROPOSAL PAGE No.	If not provided EXPLAIN (may use continuation pages)
		GENERAL INSTRUCTIONS		
1.	FAR 15.408, Table 15-2, Section I Paragraph A	Is there a properly completed first page of the proposal per FAR 15.408 Table 15-2 I.A or as specified in the solicitation?		
2.	FAR 15.408, Table 15-2, Section I Paragraph A (7)	Does the proposal identify the need for Government-furnished material/tooling/test equipment? Include the accountable contract number and contracting officer contact information if known.		
3.	FAR 15.408, Table 15-2, Section I Paragraph A (8)	Does the proposal identify and explain notifications of noncompliance with Cost Accounting Standards Board or Cost Accounting Standards (CAS); any proposal inconsistencies with your disclosed practices or applicable CAS; and inconsistencies with your established estimating and accounting principles and procedures?		
4.	FAR 15.408, Table 15-2, Section I, Paragraph C (1) FAR 2.101, "Cost or pricing data"	Does the proposal disclose any other known activity that could materially impact the costs? This may include, but is not limited to, such factors as— (1) Vendor quotations; (2) Nonrecurring costs; (3) Information on changes in production methods and in production or purchasing volume; (4) Data supporting projections of business prospects and objectives and related operations costs; (5) Unit-cost trends such as those associated with labor efficiency; (6) Make-or-buy decisions; (7) Estimated resources to attain business goals; and (8) Information on management decisions that could have a significant bearing on costs.		
5.	FAR 15.408, Table 15-2, Section I Paragraph B	Is an Index of all certified cost or pricing data and information accompanying or identified in the proposal provided and appropriately referenced?		
6.	FAR 15.403-1(b)	Are there any exceptions to submission of certified cost or pricing data pursuant to FAR 15.403-1(b)? If so, is supporting documentation included in the proposal? (Note questions 18-20.)		

7.	FAR 15.408, Table 15-2, Section I Paragraph C(2)(i)	Does the proposal disclose the judgmental factors applied and the mathematical or other methods used in the estimate, including those used in projecting from known data?		
8.	FAR 15.408, Table 15-2, Section I Paragraph C(2)(ii)	Does the proposal disclose the nature and amount of any contingencies included in the proposed price?		
9.	FAR 15.408 Table 15-2, Section II, Paragraph A or B	Does the proposal explain the basis of all cost estimating relationships (labor hours or material) proposed on other than a discrete basis?		
10.	FAR 15.408, Table 15-2, Section I Paragraphs D and E	Is there a summary of total cost by element of cost and are the elements of cost cross-referenced to the supporting cost or pricing data? (Breakdowns for each cost element must be consistent with your cost accounting system, including breakdown by year.)		
11.	FAR 15.408, Table 15-2, Section I Paragraphs D and E	If more than one Contract Line-Item Number (CLIN) or subcontract Line-Item Number (sub-CLIN) is proposed as required by the RFP, are there summary total amounts covering all line items for each element of cost and is it cross-referenced to the supporting cost or pricing data?		
12.	FAR 15.408, Table 15-2, Section I Paragraph F	Does the proposal identify any incurred costs for work performed before the submission of the proposal?		
13.	FAR 15.408, Table 15-2, Section I Paragraph G	Is there a Government forward pricing rate agreement (FPRA)? If so, the offeror shall identify the official submittal of such rate and factor data. If not, does the proposal include all rates and factors by year that are utilized in the development of the proposal and the basis for those rates and factors?		

COST ELEMENTS				
MATERIALS AND SERVICES				
14.	FAR 15.408, Table 15-2, Section II Paragraph A	Does the proposal include a consolidated summary of individual material and services, frequently referred to as a Consolidated Bill of Material (CBOM), to include the basis for pricing? The offeror's consolidated summary shall include raw materials, parts, components, assemblies, subcontracts, and services to be produced or performed by others, identifying as a minimum the item, source, quantity, and price.		
SUBCONTRACTS (Purchased materials or services)				
15.	DFARS 215.404-3	Has the offeror identified in the proposal those subcontractor proposals, for which the contracting officer has initiated or may need to request field pricing analysis?		
16.	FAR 15.404-3(c) FAR 52.244-2	Per the thresholds of FAR 15.404-3(c), Subcontract Pricing Considerations, does the proposal include a copy of the applicable subcontractor's certified cost or pricing data?		

17.	FAR 15.408, Table 15-2, Note 1; Section II Paragraph A	Is there a price/cost analysis establishing the reasonableness of each of the proposed subcontracts included with the proposal? If the offeror's price/cost analyses are not provided with the proposal, does the proposal include a matrix identifying dates for receipt of subcontractor proposal, completion of fact finding for purposes of price/cost analysis, and submission of the price/cost analysis?		
		EXCEPTIONS TO CERTIFIED COST OR PRICING DATA		
18.	FAR 52.215-20 FAR 2.101, "commercial item"	Has the offeror submitted an exception to the submission of certified cost or pricing data for commercial items proposed either at the prime or subcontractor level, in accordance with provision 52.215-20? a. Has the offeror specifically identified the type of commercial item claim (FAR 2.101 commercial item definition, paragraphs (1) through (8)), and the basis on which the item meets the definition? b. For modified commercial items (FAR 2.101 commercial item definition paragraph (3)); did the offeror classify the modification(s) as either— i. A modification of a type customarily available in the commercial marketplace (paragraph (3)(i)); or ii. A minor modification (paragraph (3)(ii)) of a type not customarily available in the commercial marketplace made to meet Federal Government requirements not exceeding the thresholds in FAR 15.403-1(c)(3)(iii)(B)? c. For proposed commercial items "of a type", or "evolved" or modified (FAR 2.101 commercial item definition paragraphs (1) through (3)), did the contractor provide a technical description of the differences between the proposed item and the comparison item(s)?		
19.		[Reserved]		
20.	FAR 15.408, Table 15-2, Section II Paragraph A (1)	Does the proposal support the degree of competition and the basis for establishing the source and reasonableness of price for each subcontract or purchase order priced on a competitive basis exceeding the threshold for certified cost or pricing data?		
		INTERORGANIZATIONAL TRANSFERS		
21.	FAR 15.408, Table 15-2, Section II Paragraph A. (2)	For inter-organizational transfers proposed at cost, does the proposal include a complete cost proposal in compliance with Table 15-2?		
22.	FAR 15.408, Table 15-2, Section II Paragraph A (1)	For inter-organizational transfers proposed at price in accordance with FAR 31.205-26(e), does the proposal provide an analysis by the prime that supports the exception from certified cost or pricing data in accordance with FAR 15.403-1?		
		DIRECT LABOR		
23.	FAR 15.408, Table 15-2, Section II Paragraph B	Does the proposal include a time phased (i.e., monthly, quarterly) breakdown of labor hours, rates and costs by category or skill level? If labor is the allocation base for indirect costs, the labor cost		

		must be summarized in order that the applicable overhead rate can be applied.		
24.	FAR 15.408, Table 15-2, Section II Paragraph B	For labor Basis of Estimates (BOEs), does the proposal include labor categories, labor hours, and task descriptions, (e.g., Statement of Work reference, applicable CLIN, Work Breakdown Structure, rationale for estimate, applicable history, and time-phasing)?		
25.	FAR subpart 22.10	If covered by the Service Contract Labor Standards statute (41 U.S.C. chapter 67), are the rates in the proposal in compliance with the minimum rates specified in the statute?		
		INDIRECT COSTS		
26.	FAR 15.408, Table 15-2, Section II Paragraph C	Does the proposal indicate the basis of estimate for proposed indirect costs and how they are applied? (Support for the indirect rates could consist of cost breakdowns, trends, and budgetary data.)		
		OTHER COSTS		
27.	FAR 15.408, Table 15-2, Section II Paragraph D	Does the proposal include other direct costs and the basis for pricing? If travel is included does the proposal include number of trips, number of people, number of days per trip, locations, and rates (e.g., airfare, per diem, hotel, car rental, etc.)?		
28.	FAR 15.408, Table 15-2, Section II Paragraph E	If royalties exceed $1,500 does the proposal provide the information/data identified by Table 15-2?		
29.	FAR 15.408, Table 15-2, Section II Paragraph F	When facilities capital cost of money is proposed, does the proposal include submission of Form CASB-CMF or reference to an FPRA/FPRP and show the calculation of the proposed amount?		
		FORMATS FOR SUBMISSION OF LINE-ITEM SUMMARIES		
30.	FAR 15.408, Table 15-2, Section III	Are all cost element breakdowns provided using the applicable format prescribed in FAR 15.408, Table 15-2 III? (Or alternative format if specified in the request for proposal)		
31.	FAR 15.408, Table 15-2, Section III Paragraph B	If the proposal is for a modification or change order, have cost of work deleted (credits) and cost of work added (debits) been provided in the format described in FAR 15.408, Table 15-2.III.B?		
32.	FAR 15.408, Table 15-2, Section III Paragraph C	For price revisions/redeterminations, does the proposal follow the format in FAR 15.408, Table 15-2.III.C?		
		OTHER		
33.	FAR 16.4	If an incentive contract type, does the proposal include offeror proposed target cost, target profit or fee, share ratio, and, when applicable, minimum/maximum fee, ceiling price?		
34.	FAR 16.203-4 and FAR 15.408 Table 15-2, Section II, Paragraphs A, B, C, and D	If Economic Price Adjustments are being proposed, does the proposal show the rationale and application for the economic price adjustment?		

35.	FAR 52.232-28	If the offeror is proposing Performance-Based Payments did the offeror comply with FAR 52.232-28?		
36.	FAR 15.408(n) FAR 52.215-22 FAR 52.215-23	Excessive Pass-through Charges– Identification of Subcontract Effort: If the offeror intends to subcontract more than 70% of the total cost of work to be performed, does the proposal identify: (i) the amount of the offeror's indirect costs and profit applicable to the work to be performed by the proposed subcontractor(s); and (ii) a description of the added value provided by the offeror as related to the work to be performed by the proposed subcontractor(s)?		