

(U) FY 21-25 Open BAA Framework – Architecture After Next (Stage I)



**ADVANCED SYSTEMS & TECHNOLOGY**

**(U) Fiscal Year 2021 - 2025 OPEN Broad Agency Announcement Framework – Architecture After Next (STAGE i)**

**(U) Version 2.0, 17 November 2021**

**(U) Release Date**:

(U) 17 November 2021

**UNCLASSIFIED//FOR OFFICIAL USE ONLY**

**(U) Released By:**

(U) Jennifer A. Hughes

(U) Contracting Officer

**(U) OPEN BAA FRAMEWORK (STAGE I) – AAN CHANGE MANAGEMENT LOG**

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| --- | --- | --- | --- | --- |
| **VERSION** | **DATE** | **REVISED BY** | **AREA AFFECTED** | **REMARKS** |
| 1.0 | 15 October 2020 | Karen McGrath | All | Initial Release |
| 1.1 | 12 May 2021 | Tamishia Libbett | [Section 5.4.3](#Sec_5_4_3_Quad) | Updated to indicate the required Quad Chart format shall be consistent with Attachment J-3 – OF – Quad Chart Format |
| [Section 5.5.2.1.1(3)](#Sec_5_5_2_1_1) | Deleted; renumbered subsequent item(s) as applicable. |
| [Section 5.5.2.1.3](#Sec_5_5_2_1_3) | Added to account for evaluation criteria identified in Section 6.5.4.1.3. |
| [Section 5.5.2.1.4](#Sec_5_5_2_1_4) | Added to account for evaluation criteria identified in Section 6.5.4.1.4. |
| [Section 6.5.4.1.5](#Sec_6_5_4_1_5) | Added criterion omitted in error. |
| 2.0 | 17 November 2021 | Jennifer Hughes | [Section 2.1](#Section_2_1_Objectives) | Extends Framework through FY25; added paragraph regarding Technology Readiness Levels and AS&T preferred TRL. |
|  |  |  | [Section 3.0](#Section_3_0) | Extends Framework through FY25. |
|  |  |  | [Section 3.3](#Sec_3_3_Ref) | Added to provide reference to the NRO IT-IA-IM Contract Requirements Document. |
|  |  |  | Sections 3.4 – 3.14 | Renumbered based on Section 3.3 insertion accordingly. |
|  |  |  | [Table 2.0](#Table_2_Framework_POC) | Updates the Contracting Officer. |
|  |  |  | [Section 4.7](#Section_4_7) | Extends deadline for proposal submission through 30 September 2025. |
|  |  |  | [Section 5.0](#Section_5) | Extends deadline for proposal submission through 30 September 2025. |
|  |  |  | [Appendix C](#Appendix_C_TRLs) | Added – Technology Readiness Level Definitions. |
|  |  |  | Attachment J-1, AOI | Updated date of Framework through 30 September 2025. |
|  |  |  | Attachment J-2, Cover Page Instructions | Updated date of Framework through 30 September 2025. |
|  |  |  | Attachment J-3, Quad Chart | Updated date of Framework through 30 September 2025. |
| **NOTE**: Process for all Open Framework document version control: Initial version will be 1.0. Identify subsequent versions in the same FY by numerically increasing the number following the decimal, e.g., 1.**1**, 1.**2**, 1.**3**, etc. When an update in the following FY is required, the numerical version will change from **1**.X, to **2**.X, etc. If no changes are required in a given FY, a numerical change is not required. The review of all Open Framework documents occurs at FY-end and documented in requisite Change Management Logs (CMLs) per guidance herein. | | | | |
|  |  |  |  |  |
| **VERSION** | **DATE** | **REVISED BY** | **AREA AFFECTED** | **REMARKS** |
| **—continued from previous page—** | | | | |
|  |  |  | Attachment J-4, Model Contract | Updated. See Attachment J-4 CML. |
|  |  |  | Attachment J-5, CDRLs | Updated. See Attachment J-5 CML. |
| 2.0 | 17 November 2021 | Jennifer Hughes | Attachment J-6, SF 328 | Updated date of Framework through 30 September 2025. |
|  |  |  | Attachment J-7, KPML | Updated date of Framework through 30 September 2025. |
|  |  |  | Attachment J-9, ISSA | Updated. See Attachment J-9 CML. |
|  |  |  | Attachment J-10, University Acknowledgement | Updated name of Contracting Officer and extended Framework through 30 September 2025 where applicable. |
|  |  |  | Attachment J-11, Data Rights Assertions | Updated. See Attachment J-11 CML. |
|  |  |  | Attachment J-12, Vendor PIP | Updated date of Framework through 30 September 2025. |
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# (U) INTRODUCTION

## (U) National Reconnaissance Office Overview

(U) The National Reconnaissance Office (NRO) is a joint Department of Defense (DoD)–Intelligence Community (IC) organization responsible for developing, acquiring, launching, and operating America’s signals, imagery, and communications intelligence satellites. From its very outset, the NRO has been an incubator for innovation characterized by its unique establishment in response to the Soviet launch of Sputnik.

(U) The NRO was created secretly on September 6, 1961 with the purpose of overseeing “all satellite and overflight reconnaissance projects whether overt or covert.” This very important mission to protect the national security of the United States (U.S.) has been principally led through our Vision Statement of *Supra Et Ultra*, which is Latin for “Above and Beyond.” We believe this speaks to the spirit of the men and women of the NRO as it recognizes not only where we operate, but also acknowledges our continued efforts to innovate and push the envelope on what is possible. Using NRO data, the National Security Agency, National Geospatial-Intelligence Agency, and NRO mission partners produce intelligence-collection products for the President, Congress, national policymakers, warfighters, and civil users.

(U) NRO systems provide critical, life-saving national security data to policymakers and warfighters worldwide to—

* (U) Monitor the proliferation of weapons of mass destruction;
* (U) Track international terrorists, drug traffickers, and criminal organizations;
* (U) Develop highly accurate military targeting data and bomb damage assessments;
* (U) Support international peacekeeping and humanitarian relief operations; and
* (U) Assess the impact of natural disasters, i.e., earthquakes, tsunamis, floods, and fires.

(U) The NRO develops *innovative overhead intelligence systems for national security* to support national and tactical customers with economical, enhanced collection, and processing capabilities. Based on core operating principles that include integrity, accountability, mission excellence, and teamwork built on respect and diversity, the NRO is defining the phrase “assured access to space.”

(U) Together with other Defense Department (DD) satellites, NRO systems play a crucial role in providing global communications, precision navigation, early warning of missile launches, potential military aggression, signals intelligence (SIGINT), and near real-time imagery for U.S. forces to support the war on terrorism and other continuing operations.

(U) NRO satellites also support civil customers in response to disaster relief and environmental research. Scientists created a global environment database using NRO imagery to help predict climate change, assess crop production, map habitats of endangered species, track oil spills, and study wetlands. NRO data also forms the basis for products helping depict and assess the devastation in areas affected by natural disasters.

(U) With its vigilance from above, the NRO gives America’s policymakers, intelligence analysts, warfighters, and homeland security specialists the critical information needed to keep America safe, secure, and free.

## (U) Advanced Systems and Technology Directorate Overview

(U) Within the NRO organization, the Advanced Systems and Technology (AS&T) Directorate’s mission is “Technology & Tradecraft for Intelligence Dominance.” AS&T’s vision is “Denying our Adversaries Sanctuary in Time, Space & Spectrum.” The Offices within AS&T—Advanced Systems

Office (ASO), Advanced Technology Office (ATO), and Transformational Systems Program Office (TSPO)—collect and evaluate ideas for new system concepts. ASO develops and delivers new ground and space capabilities and is responsible for managing the AS&T pathfinder, demonstration, ground technology development, and international research and development (R&D) program portfolios. ATO is the focal point for R&D of advanced technology and manages the technology development portfolio across the Technology Enterprise, including identifying investment opportunities, evaluating technology feasibility and utility, maturing promising concepts and technologies, advocating for advanced technology development on behalf of the Applied Groups, and facilitating technology transitions from the Technology Enterprise into acquisition programs. TSPO develops and demonstrates autonomous and self-optimizing small-satellite clusters enabling the realization of Architecture after Next (AAN).

# (U) OPEN BAA FRAMEWORK

## (U) Objectives

(U) The primary objective of AS&T’s multi-Fiscal Year (FY) 2021 – 202~~2~~5 (21-2~~2~~5) Open Broad Agency Announcement (BAA) Framework—AAN is to solicit new and innovative technologies offering significant benefits over existing capabilities or those planned for development within the next several years. The remainder of this document will refer to the Open BAA Framework, AAN as the *Open Framework.* This Open Framework helps AS&T identify and mature technologies enabling fundamentally new or advanced NRO intelligence capabilities and, by using the Open Framework, promotes a wide range of innovative ideas and concepts for further R&D.

(U) The Open Framework is designed to provide disruptive, exponential technologies offering radical breakthroughs resolving some of NRO’s greatest challenges. The principal purpose of the Open Framework is to push the boundary of what is feasible, and AS&T accepts the likelihood a high number of technical failures may occur. Although the desired outcome for every project is its success, the risk tolerant philosophy of this Open Framework means AS&T prefers a high-risk, high potential payoff project fail technically, rather than a low-risk, low potential payoff project succeed and not continue due to a lack of payoff. At the same time, Proposers must accept the potential for failure and realize there is no assured continuation path. Proposers should also understand high technical risk does not equate to unsound scientific and engineering practices. Offers not based upon sound scientific and engineering practices will be rejected.

(U) From early concept to an application of a technology in its final form, the NRO uses the Technical Readiness Level (TRL) methodology for estimating the technology maturity of Critical Technology Elements (CTEs) of a program during the acquisition process. TRLs are based on a scale from 1 to 9 with 9 being the most mature technology. The use of TRLs enables consistent, uniform, discussions of technical maturity across different types of technologies. Coinciding with the AS&T risk tolerant philosophy of this Framework, offers should generally be TRL 2 or TRL 3; [Appendix C – Technology Readiness Level Definitions](#Appendix_C_TRLs) is provided for additional application.

(U) The intent of this Open Framework is to provide major disruption to disciplines aligning with those specific areas of R&D identified in Attachment J-1 – Open Area(s) of Interest (AOI), AAN. Therefore, AS&T underscores the degree of importance placed on concepts and ideas having historically been deemed too “risky” to explore. AS&T wants to collaborate with lead innovators, futurists, thought leaders, radical thinkers, visionaries, and technologists to spearhead the rapid revolution of technologies. AS&T also wants to create an environment tapping into our Nation’s entrepreneurial spirit and incentivizing exponential growth within scientific inquiry and discovery for the benefit of national security. In summary, AS&T wants to:

* (U) Present an opportunity for ***developers not traditionally associated with the NRO*** to participate in building the NRO of the 21st century;
* (U) Provide a ***risk tolerant environment*** to invest in cutting edge technologies and high payoff concepts ***relevant to the NRO’ s mission****; and*
* (U) Foster ***innovation*** and ***provide seed funding*** to push the boundaries of technology and ***dramatically improving our Nation's satellite reconnaissance capabilities***.

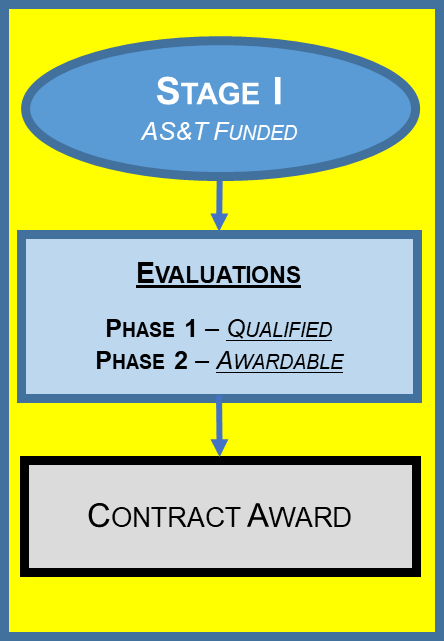
## (U) Open Framework – Three Stages

(U) The Open Framework consists of a three-stage program; see [Figure 1.0, Three Stages](#Fig_1_Three_Phase_Open_Framework), to meeting the aforementioned objectives in [Section 2.1](#Section_2_1_Objectives). Stage I determines, to the extent possible, the technical innovation or research by furthering the study of those offers whose projects could potentially have significant impact to the NRO/AS&T mission. The period of performance is generally between six to twelve months with twelve months being the maximum period allowable. Offers should concentrate on research or R&D, which will significantly contribute to proving the scientific and technical feasibility of the proposed effort, the successful completion of which is a prerequisite for further AS&T support in Stage II. **NOTE**: This Open Framework document is for Stage I offers only and administered by the AS&T Senior Contracting Officer (SCO) until contract award. Upon contract award, administration is transferred to the binned AS&T office assigned.

(U) Stage II awards will be made to Proposers based on results of their Stage I effort and/or the scientific and technical merit of their Stage II offer. The period of performance is generally 24 months. Stage II is the principal research or R&D effort and is expected to produce a well-defined deliverable prototype. A Stage II Proposer may receive up to one additional, sequential follow-on Stage II award for continued work on the project. **NOTE**: This Open Framework document is for Stage I offers only. Stage II will be administered, as applicable, by the cognizant AS&T office for which the Stage I performance occurred.

(U) Under Stage III and with AS&T assistance, Proposers are required to obtain funding from outside AS&T to develop the prototype into a viable product or non-R&D service for sale within the NRO. Stage III refers to work that derives from, extends, or completes an effort made under prior AS&T funding agreements, but is funded by sources other than AS&T. Stage III work is typically oriented towards the integration of AS&T research or technology into NRO assets. **NOTE**: This Open Framework document is for Stage I offers only. Stage III will be administered, as applicable, by the NRO Directorate/Office invested in continuing the integration of AS&T research and technology.

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**THREE-STAGE Open Framework**

**Evaluations**

Eligible Participants

**Evaluations**

Eligible Participants

**Contract Award**

**Contract Award**

Figure 1.0 – (U) Three-Stage Open Framework

**Figure is Unclassified**

# (U) STAGE I OVERVIEW

(U) **This Open Framework document is for Stage I offers only** ([Figure 2.0](#Fig_2_Phase_1_BAA) – Stage I) and shall be used by Proposers when preparing offers. As depicted in [Figure 2.0](#Fig_2_Phase_1_BAA), Stage I consists of two separate evaluation phases—Phase 1 and Phase 2—leading to contract award based on technical merit and funding availability. Stage I contains 12 attachments and common elements such as offer preparation instructions, submission requirements, and evaluation criteria used consistently across all five AOI opportunities identified in Attachment J-1 – Open AOI, AAN. The Open Framework is available from *30 October 2020* through *30 September 202~~2~~5*.

Contract Award

**Evaluations**

**Phase 1** – *Qualified*

**Phase 2** – *Awardable*

Figure 2.0 – (U) Stage I

**Figure is Unclassified**

(U) **This Open Framework document is for Stage I offers only**. Updates to the Open Framework documentation occurs as needed and uploaded on the classified and unclassified Acquisition Research Center (ARC) websites (see [Table 1.0 – ARC URLs](#Table_1_ARC_URLs)) with an announcement posted on each. An announcement is also posted on the Contract Opportunities page of <https://beta.SAM.gov> (formerly FedBizOps) directing potential Proposers to the unclassified ARC.

|  |  |
| --- | --- |
| UNCLASSIFIED ARC | CLASSIFIED ARC |
| <https://acq.westfields.net> | <https://acq.nro.ic.gov> |
| Table 1.0 – (U) ARC URLs | |
| **Table is Unclassified** | |

## (U) Authority

(U) In accordance with Federal Acquisition Regulation (FAR) 35.016, BAAs are for the acquisition of basic and applied research and that part of development not related to the development of a specific system or hardware procurement. This Open Framework is being utilized to fulfill objectives for scientific study and experimentation directed toward advancing state-of-the art, increasing knowledge, and understanding rather than focusing on a specific system or hardware solution.

## **(U) Anticipated Awards**

(U) Proposers interested in submitting an offer are cautioned that only warranted United States Government (USG) Contracting Officers (COs) can make or announce contract awards or obligate the USG to any agreement involving the expenditure of USG funds.

1. (U) AS&T anticipates awarding single, multiple, or no awards as the result of releasing this Open Framework and Attachment J-1 – Open AOI, AAN although no commitments or promises are made or implied on behalf of the USG. Contract awards may result from the submission of offers that successfully complete both phases of the Stage I evaluation process and meet all price, contract compliance, and security requirements. The USG is not responsible for any funds expended by the Proposer prior to issuance of contract awards.
2. (U) All Stage I awards will be made to Proposers whose offers conform to the Open Framework requirements and whose offers are considered most advantageous to the Government considering all criteria. The USG reserves the right to make awards in some, all, or none of the research areas identified in Attachment J-1 – Open AOI, AAN. Additionally, the USG reserves the right to make a single, multiple, or no award, depending on the technical quality of offers, impact to the NRO, funding availability or limitations, and price reasonableness.

### (U) AS&T conducts an extensive and robust R&D program in coordination with other USG Agencies, Industry, and Academia. Proposers should be aware that the NRO may already be conducting, or have knowledge of others who are conducting efforts similar to a proposed effort. Funding limitations of the current AS&T program generally precludes selecting a proposed effort similar to an effort that is, or has been previously, investigated by the NRO or another organization.

### (U) In certain cases, and with prior approval of the CO, offers not selected for award as part of this Open Framework may be considered for sponsorship elsewhere within the NRO. AS&T may forward these offers to other NRO offices for further review. Offers forwarded to other offices within the NRO have no assurance of an award. These NRO offices may execute individual contracts using their respective COs, CO Technical Representatives (COTRs), and administrative procedures. Offers forwarded to other *AS&T* offices for review are considered competed offers and may be awarded as unfunded requirements found to be both *qualified* and *awardable* during the offer’s evaluation process. Proposers may prohibit an offer from being forwarded outside of this Open Framework by indicating the offer is not to be forwarded [*within the Cover Page*]. Proposers will not be notified of any review outside of this Open Framework unless the offer is selected for award as the result of such a review.

## **(U) References**

(U) The NRO Information Technology (IT), Information Assurance (IA), and Information Management (IM) Contract Requirements Document (CRD) shall be used as a single point of reference to apply IT, IA, and IM requirements on NRO contracts. This document is viewable within the ARC by hovering the cursor over “NRO” in the menu bar and selecting “NRO IT-IA-IM Library” on the high-side ARC only.

## **(U)** **Definitions**

1. (U) **Area(s) of Interest** – Government defined research topic(s) for which offers are desired by the USG and submitted.
2. (U) ***Awardable*** – An offer successfully completing the Stage I, Phase 2 evaluation.
3. (U) **Open BAA** – A solicitation that includes a specified period (usually a broad period) in which offers are due and may be evaluated. Received offers may be periodically grouped together for efficiency and evaluated in batches. For periodic evaluations, technical merit is of more importance than the order in which offers are received.
4. (U) **Federal Laboratory** – As defined in Section 15 U.S. Code (U.S.C.) §3703, means any laboratory, any federally funded research and development center (FFRDC), or any center established under 15 U.S.C. §3705 and §3707 that is owned, leased, or otherwise used by a Federal agency and funded by the Federal Government, whether operated by the Government or by a contractor.
5. (U) **Foreign Nationals** – Also known as Foreign Persons, as defined by 22 Code of Federal Regulations 120.16 means any natural person who is not a lawful permanent resident as defined by 8 U.S.C. §1101(a)(20) or who is not a protected individual as defined by 8 U.S.C. §1324b(a)(3). It also means any foreign corporation, business association, partnership, trust, society or any other entity or group that is not incorporated or organized to do business in the U.S., as well as international organizations, foreign governments and any agency or subdivision of foreign governments (e.g., diplomatic missions).
6. (U) **Lawfully admitted for permanent residence** – The status of having been lawfully accorded the privilege of residing permanently in the U.S. as an immigrant in accordance with the immigration laws, such status not having changed.
7. (U) **Protected individual** – An individual who (A) is a citizen or national of the U.S., or (B) is an alien who is lawfully admitted for permanent residence, is granted the status of an alien lawfully admitted for temporary residence under 8 U.S.C. §1160(a) or 8 U.S.C. §1255a(a)(1), is admitted as a refugee under 8 U.S.C. §1157, or is granted asylum under 8 U.S.C. §1158; but does not include (i) an alien who fails to apply for naturalization within six months of the date the alien first becomes eligible (by virtue of period of lawful permanent residence) to apply for naturalization or, if later, within six months after November 6, 1986, and (ii) an alien who has applied on a timely basis, but has not been naturalized as a citizen within 2 years after the date of the application, unless the alien can establish that the alien is actively pursuing naturalization, except that time consumed in the Service’s processing the application shall not be counted toward the 2-year period.
8. (U) ***Qualified*** – A Stage I, Phase 1 offer retained for a Stage I, Phase 2 evaluation.
9. (U) ***Responsive*** – An offer successfully completing each Stage I compliance check.
10. (U) ***Recommended*** – A Stage I offer forwarded to the Selection Authority for funding.
11. (U) **Sequential Evaluation Method** – Evaluation method characterized by having specific sections of a Stage I offer due or requested in phases. For example, Proposers submit a subset of their offer for Phase 1 and if retained for Phase 2, submit the remaining sections by the requested Phase 2 deadline.
12. (U) **Small business** – As defined under Section 3, Small Business Act (15 U.S.C. 632).

## **(**U) Eligible Participants

(U) The Government seeks the submission of offers from U.S. domestic educational institutions, non-profit and not-for-profit organizations, and private industry. Eligibility for award of a contract under this Open Framework requires Proposers demonstrate:

* (U) Experience with relevant basic and/or applied research areas, and/or;
* (U) Knowledge of overhead reconnaissance systems and associated ground systems to include an understanding of the operational environment into which the technology may be inserted.

(U) Offers may be considered from U.S. based organizations and foreign-owned or controlled companies so long as (1) access to proscribed information is not necessary to perform the resultant contract, and (2) foreign ownership or control does not present an unacceptable security threat.

### (U) Foreign government agencies

### . These agency-types are not eligible to submit offers in response to this Open Framework and Attachment J-1 – Open AOI, AAN.

### (U) FFRDCs

. These agency-types are not eligible to submit offers in response to this Open Framework and Attachment J-1 – Open AOI, AAN (see [Section 3.4.5 Teaming Arrangements](#Sec_3_4_5_Teaming)).

### (U) U.S. Government Agencies

* . These agencies may not submit offers in response to this Open Framework and Attachment J-1 – Open AOI, AAN (see [Section 3.4.5 Teaming Arrangements](#Sec_3_4_5_Teaming)).

### (U) Educational institutions, Non-Profit and Not-for-Profit Organizations, and Private Industry

* . These organization-types may submit offers in response to this Open Framework and Attachment J-1 – Open AOI, AAN and receive contract awards. These organization-types may also team with other Government agencies and FFRDCs provided the *eligible* organization is the prime contractor [developer] and submitting the offer.

### (U) Teaming Arrangements

. Eligible Proposers may propose teaming arrangements with other Government Agencies and FFRDCs so long as the eligible organization is the primary developer. The exception to this opportunity are Aerospace and MITRE Corporation, which, due to their close, ongoing relationship with the NRO, are ineligible to participate in any capacity. Additionally, the USG will not separately fund teaming arrangements in a teaming relationship. The funding method will be a single award to the prime contractor [developer].

## (U) General Standards

(U) Proposers must meet minimum responsibility standards set forth in FAR 9.104-1, *General Standards*. This Open Framework is issued under the provisions of FAR 6.102(d)(2). Contracts awarded in response to offers submitted under this Open BAA – AAN (see [Figure 3.0](#Fig_3_Open_BAA_Solicitation)), are considered the result of competition to the maximum extent practicable within the NRO community.

## (U) Points of Contact

### (U) Open Framework Points of Contact (POC)

. The Open Framework POC serves as the primary POC for this Open Framework and shall receive all communications regarding the submission of questions and offers. Should Proposers have questions regarding this Open Framework, use the ‘Questions and Answers’ Tab located on the ARC Open Framework page, see also [Table 1.0](#Table_3_ARC_URLs). Should this ‘Q&A’ process warrant additional communication, Proposers should contact the Primary or Alternate 1 POC identified in [Table 2.0](#Table_2_Framework_POC). All efforts shall be made to contact the Primary and Alternate 1 POC before contacting the CO.

#### Systems Engineering and Technical Assistance

. When the Primary POC role is held by a SETA Contractor, incoming questions are forwarded to the CO for validation. This Framework POC performs the ‘key strokes’ in accordance with the CO’s validation determination. Similarly, all Government responses to validated questions are approved by the CO prior to the Framework POC posting those responses to the ARC.

#### Responsibilities

. Upon receipt of Stage I offers, the Open Framework POC completes the requisite compliance reviews and coordinates all phases of the Stage I evaluation process. This includes transferring and uploading offers; notifying AS&T office representatives that offers are available for binning; coordinating the Phase 1 and Phase 2 evaluations; scheduling consensus; documenting consensus decisions; and preparing and transmitting Proposer notifications with CO signature.

|  |  |  |
| --- | --- | --- |
| **Open Framework POC** | **Unsecure Contact Info** | **Secure Contact Info** |
| **PRIMARY – Judy Rogers** | [rogersju@nro.mil](mailto:rogersju@nro.mil) | [rogersju@nro.ic.gov](mailto:rogersju@nro.ic.gov) |
| - SETA Contracts Support | 703-808-0455 | 850-0455 |
| **ALTERNATE 1 – Alexandra Markle** | [markleal@nro.mil](mailto:markleal@nro.mil) | [markleal@nro.ic.gov](mailto:markleal@nro.ic.gov) |
| - Contracts Specialist | 703-808-1319 | 850-1319 |
| **ALTERNATE 2 – Jennifer Hughes** | [hughesje@nro.mil](mailto:hughesje@nro.mil) | [hughesje@nro.ic.gov](mailto:hughesje@nro.ic.gov) |
| - Contracting Officer | 703-808-4264 | 850-4264 |
| Table 2.0 – (U) Framework POC | | |
| **Table is Unclassified** | | |

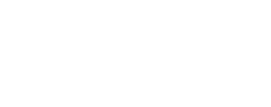
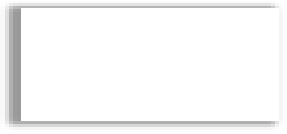
### (U) ARC Technical POC. The ARC Technical POC serves as the primary POC for technical issues regarding the ARC and a Proposer’s ability to access the Open Framework documents. Should a Proposer have technical issues contact the ARC Technical POC identified below in [Table 2.0](#Table_3_ARC_Tech_POC).

|  |  |  |
| --- | --- | --- |
| **ARC Technical POC** | **Unsecure Contact Info** | **Secure Contact Info** |
| **PRIMARY – Colette Mackey** | [colette.mackey@westfields.net](mailto:colette.mackey@westfields.net) | [colette.mackey@ace.svc.nro.ic.gov](mailto:colette.mackey@ace.svc.nro.ic.gov) |
| - Acquisition Consultant (AC) | 703-230-6231 | 855-4248 |
| **ALTERNATE – Eric Schuchard** | [eric.schuchard@westfields.net](mailto:eric.schuchard@westfields.net) | [eric.schuchard@ace.svc.nro.ic.gov](mailto:eric.schuchard@ace.svc.nro.ic.gov) |
| - Acquisition Consultant (AC) | 703-230-6238 | 855-4232 |
| Table 3.0 – (U) ARC Technical POC | | |
| **Table is Unclassified** | | |

## (U) Attachment J-1 – Open AOI, AAN

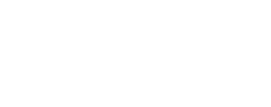
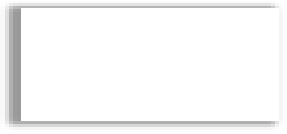
(U) Attachment J-1 – Open AOI, AAN offers five separate acquisition opportunities based on the individual requirements and interest areas of the offices or groups within AS&T. The release of Attachment J-1 – Open AOI, AAN coupled with this Open Framework’s unique documentation constitutes a Request for Proposal (RFP).

(U) This Open Framework provides the overall process for Proposers to prepare responses for evaluation and potential award of a contract. Attachment J-1 – Open AOI, AAN identifies five specific research areas for which AS&T has interest. **TOGETHER**, this Open Framework and Attachment J-1 – Open AOI, AAN form the Open BAA – AAN Solicitation (see [Figure 3.0, Open BAA – AAN Solicitation](#Fig_3_Open_BAA_Solicitation)).

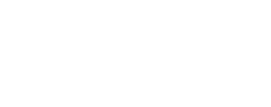
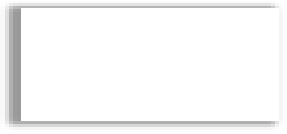


AS&T FY21-25 Open BAA Framework – Architecture

After Next



**Open BAA – AAN Solicitation**



Attachment J-1 – Open AOI, Architecture After Next

Figure 3.0 – (U) Open BAA – AAN Solicitation

**Figure is Unclassified**

## (U) Electronic Process

(U) AS&T uses an electronic process hosted by the Acquisition Center of Excellence (ACE). The ARCs identified in [Table 1.0](#Table_3_ARC_URLs) provide a unique ability for communicating with Industry the release of the Open BAA – AAN Solicitation, maintaining all requisite attachments, receiving and responding to questions, as well as posting announcements. Throughout the availability window of this Open Framework, all documentation and announcements may be found at both the unclassified and classified ARCs.

## (U) Stage I Award Information

### (U) Number of Stage I Awards

. The number of Stage I awards will be consistent with each AS&T office’s R&D budget. Stage I contracts may be awarded anytime during the Open Framework’s period of availability or until which time budget is exhausted.

### (U) Type of Award

. Procurement contracts will be the primary award instrument resulting from Stage I offers selected for award. The Government intends to award Firm-Fixed-Price (FFP)-type contractual arrangements, as described in FAR 16.202, resulting from the successful completion of all evaluation phases and funding availability.

## (U) Stage II Award Information

(U) **INFORMATIONAL PURPOSES ONLY** – Only Stage I awardees are eligible for Stage II awards. AS&T Offices will notify Stage I awardees of their selection to compete in Stage II during Stage I performance or by subsequent notification. Submission of Stage II offers will be in accordance with instructions provided by those cognizant AS&T offices including specific details regarding the due date, content, and submission requirements for all Stage II offers. **NOTE**: This Open Framework documentation is for Stage I only.

## (U) Stage III Award Information

(U) **INFORMATIONAL PURPOSES ONLY** – Only Stage II awardees are eligible for Stage III awards. Other directorates or offices within the NRO interested in continuing the prototype R&D into a viable product or service will notify Stage II awardees of their selection to submit a Stage III offer. Submission of Stage III offers will be in accordance with instructions provided by those cognizant directorates or offices within the NRO including specific details regarding the due date, content, and submission requirements for all Stage III offers. **NOTE**: This Open Framework documentation is for Stage I only.

## (U) Information Technology-Information Assurance-Information Management

(U) If performance of the proposed effort requires access, operation, maintenance, designing, building, and/or acquiring of an information system (IS) processing Classified National Security Information (CNSI), Controlled Unclassified Information (CUI), and/or Unclassified NRO information, the contract will include NAM Clause N52.204-11, *Information Technology-Information Assurance-Information Management (IT-IA-IM) Requirements.* Refer to [Section 3.3](#Sec_3_3_Ref) for additional information.

## (U) Statement of Work

(U) The USG intends to incorporate the Phase 2 Technical and Management Section by reference as the Statement of Work (SOW) for any award resulting from the proposed effort.

# (U) STAGE I SUBMISSION FUNDAMENTALS

## (U) Contract Line Item Numbers (CLINs)

(U) The notional CLIN structure and pricing requirements are identified in [Table 4.0 – CLIN Structure](#Table_4_CLIN_Structure) (see also [Section 4.3, Period of Performance and funding](#Sec_4_3_PoP_Funding)).

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **CLIN** | **Description** | | | **Totals** |
| 0001 | PROGRAM NAME #1–title TBD in accordance with offer dated TBD | | | TBD |
| 0002 | PROGRAM NAME Data, Reviews and Reports in accordance with Attachment J-5—*Open Framework – Contract Data Requirements List (CDRLs)* | | | Not Separately Priced |
|  | | Table 4.0 – (U) CLIN Structure |  | |
| **Table is Unclassified** | | | | |

## (U) Data, Reviews, and Reports

(U) The data, reviews, and reports listed below in [Table 5.0 – Contract Data Requirements List](#Table_5_CDRLs) are deliverable to the Government following award. Contract Data Requirements List (CDRL) numbering is the result of the list being a subset of NRO’s standard CDRL. Proposers may reference Attachment J-5 – Open Framework (OF) CDRL for instructions specific to each item. Proposed travel should consider any meetings required to be held at the Government facility.

|  |  |  |
| --- | --- | --- |
| **CDRL** | **Title** | **Frequency** |
| A008 | Data Accession List (DAL)[[1]](#footnote-1) | Quarterly |
| A021 | Post Award Orientation | One Time |
| A045 | Status Report | Quarterly |
| A050 | Integrated Program Management Report | Monthly |
| A057 | Monthly Status Report | Monthly |
| B015 | Software Design Specification (SWDS) (If Applicable) | See CDRL |
| B019 | Computer Program End Item Documentation (If Applicable) | See CDRL |
| E038 | Algorithm Description Document (ADD) | ONE/R |
| R018 | Contract Registration/Compliance Artifacts (Compliance and Data Protection Plan – Contract (C&DPP-C)) | As required |
| S012 | Final Report | Twice |
| Table 5.0 – (U) Contract Data Requirements List | | |
| **Table is Unclassified** | | |

## (U) Period of Performance and Funding

(U) Proposed efforts shall have a period of performance not to exceed 12-months with not to exceed values (in U.S. dollars) of $2.0 million.

## (U) Invoice Submission

(U) Invoices shall be delivered no later than the 10th day of the current month, reference Attachment J-4 – OF – Model Contract, Section G, clause N52.232-003, *Instructions for Requesting Contract Payment* for specific invoicing instructions.

## (U) ARC Account/Registration

(U) ARC registration is not required for this Open BAA – AAN Solicitation. However, all announcements regarding the Open BAA – AAN Solicitation will be placed on both ARCs, see [Table 1.0 – ARC URLs](#Table_1_ARC_URLs).

## (U) Multiple Offers

(U) Proposers may submit multiple offers in response to the Open BAA – AAN Solicitation. However, Proposers submitting multiple offers must have adequate resources available for preparing equally as many complete offers for submission in Phase 2.

## (U) Timely Submission

(U) It is the Proposer’s responsibility to verify Phase 1 offers submitted electronically are complete and properly delivered no later than 30 September 202~~2~~5. Phase 2 offers shall adhere to the submission requirements as indicated in the notification request. Confirmation emails will be sent to the Proposer [sender] upon successful receipt of all documentation submitted to the USG in support of Stage I offers.

## (U) Restrictive Markings

(U) Offers must contain all applicable restrictive markings, e.g., proprietary markings and security markings. DO NOT use the security marking of “CONFIDENTIAL” to mean Proposer proprietary. All offers shall indicate limitations on the disclosure of the Proposer’s information contained within its’ contents as requested in [Section 5.4.1 – Cover Page](#Sec_5_4_1_Cover). Proposers are cautioned that portions of an offer may be subject to release under terms of the Freedom of Information Act, 5 U.S.C. 552. Proposers are also cautioned to provide referenced sources when graphics, statements, etc., are not of their own work or development. Referenced sources shall be provided as separate appendices to the respective section but will not be counted towards the page limitations.

## (U) Proprietary Data

(U) Records or data bearing restrictive legends may be included in offers. Proprietary data the Proposer submits for evaluation purposes **ONLY** must be so identified. Proposers shall also identify technical data contained in the offer having limited rights. The USG requires, at a minimum, Government Purpose Rights (GPR). In the absence of such identification, the USG assumes to have Unlimited Rights (UR) to all technical data in the offer. The USG has UR to anything first produced because of a USG contract.

## (U) Classified Offers

(U) Classified offers shall be portion marked appropriately, prepared, and submitted in accordance with applicable U.S. National Security policies and guidance documents for collateral and SCI to include the following:

* (U) The National Industrial Security Program Operating Manual (NISPOM) (DoD 5220.22-M);
* (U) The NISPOM Supplement (DoD 5220.22-M-Sup 1) for SCI activities;
* (U) Executive Order (E.O.) 13526;
* (U) The Integrated NRO Classification Guide;
* (U) The NRO Security Manual (NSM); and
* (U) Other applicable IC Directives (ICDs) and Executive Orders.

# (U) STAGE I SUBMISSION GUIDELINES

(U) This Open Framework is designed to reduce the time and cost associated with preparing formal offers. Proposers are required to submit all sections as separate documents via electronic mail to the Primary and Alternate 1 Open Framework POC identified in [Table 2.0](#Table_2_Framework_POC). Offers submitted by any other means will be disregarded.

(U) Proposers may submit offers at any time during the open period for submission. The offer submission date shall not exceed the Open Framework’s availability end date of *30 September 20~~2~~5*. Offers may be submitted after the release of the Open BAA – AAN Solicitation. The Government will not wait for receipt of additional offers to start its evaluation and make awards; because of this process, offers are not ranked.

(U) Stage I consists of a two-phase submission process. Phase 1 requires the submission of three sections for evaluation; see [Table 6.0 – Phase 1 Submission Requirements](#Table_6_Stage_1_Submission). Upon completion of the Phase 1 evaluations, if offers are deemed *qualified*, Proposers may be invited to submit the remaining sections for a Phase 2 evaluation; see [Table 7.0 – Phase 2 Submission Requirements](#Table_7_Stage_2_Submission). Upon completion of Phase 2 evaluations, offers deemed *awardable* receive a Price, Contract Compliance, and Security Evaluation. Offers successfully completing the Price, Contract Compliance, and Security Evaluations are submitted to the Selection Authority (SA) with a recommendation for award and funding. Stage I awards may be made at this time and upon completion of the SA’s Evaluation Selection Decision Memorandum (ESDM) and funding availability. However, the Government reserves the right to remove Attachment J-1 – Open AOI, AAN any time prior to the expiration of this Open Framework’s availability period if budget has been exhausted because of cumulative awards.

## (U) Delivery Instructions

(U) Offer submissions vary depending upon the classification of the offer. This Open Framework accepts both classified and unclassified offers. Classified offers shall be portion marked appropriately in accordance with the current Integrated NRO Classification Guide. To the maximum extent possible, offers shall be submitted using the NRO-sponsored Contractor Wide Area Network (CWAN) even if the proposed offer is unclassified. However, if any section of an offer is classified, Proposers must submit the classified offer section(s) via CWAN.

### (U) Unclassified

. Proposers without access to CWAN shall submit unclassified offers to the Primary and Alternate 1 Open Framework POC identified in [Table 2.0 – Open Framework POC](#Table_2_Framework_POC) using electronic mail. AS&T Contracts determines the date/time receipt of offers by using the date/time stamp of Microsoft Exchange and confirms receipt back to the Proposer [sender] using electronic mail.

### (U) Confidential, Secret, Top Secret and Sensitive Compartmented Information (SCI)

. Proposers with access to the NRO CWAN shall submit classified offers to the Primary and Alternate 1 Open Framework POC identified in [Table 2.0 – Open Framework POC](#Table_2_Framework_POC) using CWAN. AS&T Contracts determines the date/time receipt of offers by using the date/time stamp of Microsoft Exchange and confirms receipt to the Proposer [sender] using electronic mail.

### (U) CWAN Access

. Requests for access to CWAN by Proposers without current CWAN access will not be considered.

## (U) Submission Requirements

(U) In accordance with the delivery instructions in [Section 5.1](#Sec_5_1_Delivery_Instructions), Proposers shall submit offers electronically using electronic mail. Electronic submission shall be accomplished using single file uploads for each section of the offer. Proposers may submit one or more emails to complete the submission of the requisite sections, e.g., one email per section, multiple emails with varying sections attached, etc. Files shall not be encrypted, locked, or password protected. Individual files cannot exceed 10 MB and uploaded files shall be in the following format(s) in accordance with [Table 6.0](#Table_6_Stage_1_Submission) (Phase 1) and [Table 7.0](#Table_7_Stage_2_Submission) (Phase 2) below:

* (U) Microsoft Word (\*.docx, compatible with Microsoft Office 2016);
* (U) Microsoft PowerPoint (\*.pptx, compatible with Microsoft Office 2016);
* (U) Microsoft Excel (\*.xlsx, compatible with Microsoft Office 2016); or
* (U) Portable Document Format (\*.pdf).

## (U) Format Instructions

(U) All offers shall be in English and use the standard font-type of Times New Roman in the standard font-size of 12-point. Typesetting, font compression, and other techniques reducing character size or spacing are not permitted and considered a deliberate attempt to circumvent page limitations. This also applies to altering standard paragraph line spacing. No pen-and-ink changes are allowed. Two-column presentation and using boldface type for paragraph headings or color is permitted.

(U) The font-size in graphics shall be no smaller than 8-point. There are no restrictions to the number of graphics, figures, or tables in any of the sections. However, graphics, figures, and tables will be included in the page count. Offers including large amounts of text in graphics, figures, or tables may be construed as a deliberate attempt to circumvent character count limits and may result in rejection of the offer based on being *non-responsive* to the solicitation.

**(U) Phase 1** = *Qualified Determination*

## (U) Phase 1 – Section Submission Instructions

(U) Proposers are encouraged to reference [Table 6.0 – Phase 1 Submission Requirements](#Table_6_Stage_1_Submission) when preparing Phase 1 responses. Section submission requirements for Phase 1 include a Cover Page, Introduction Section, and a Quad Chart as detail in the below table.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Ref** | **Title** | **# of Pages** | **Submission Format** | **Atch** |
| [5.4.1](#Sec_5_4_1_Cover) | Cover Page | 2 | MS Word | J-2 |
| [5.4.2](#Sec_5_4_2_Intro) | Introduction Section | 1 | MS Word | N/A |
| [5.4.3](#Sec_5_4_3_Quad) | Quad Chart Section | 1 | MS PowerPoint | J-3 |
| Table 6.0 – (U) Phase 1 Submission Requirements | | | | |
| **Table is Unclassified** | | | | |

### (U) Cover Page

. A Cover Page is required for Phase 1 but is not evaluated. The Cover Page is used for administrative purposes ONLY. However, each Proposer shall identify any limitations placed on the Disclosure of Information contained within that specific offer. Proposers shall provide, as part of the Phase 1 submittal, all the information requested for the Cover Page as indicated in Attachment J-2 – OF – Cover Page Instructions. Proposers shall not include offer content required in other documents or sections of the offer, i.e., Technical and Management, Price, etc., in the Cover Page Section. The Cover Page has a 2-page limit and shall comply with the standard font-type, standard font-size, preferred submission format of Microsoft Word (\*.docx, compatible with Microsoft Office 2016) in accordance with [Table 6.0](#Table_6_Stage_1_Submission), and Attachment J-2 – OF – Cover Page Instructions.

### (U) Introduction Section

. An Introduction Section is required for Phase 1 and should briefly discuss the proposed technology concept, its potential benefits, and the objectives of the effort. Proposers shall not include offer content required in other documents or sections of the offer, i.e., Technical and Management, Price, etc., in the Introduction Section. This section has a 1-page limit and may include graphics, figures, or tables. Including large amounts of text in graphics, figures, or tables may be construed as a deliberate attempt to circumvent page limitations and may result in rejection of the proposed effort as being *non-responsive* to the solicitation. The Introduction Section shall comply with the standard font-type, standard font-size, and preferred submission format identified in [Table 6.0](#Table_6_Stage_1_Submission).

#### (U) Overall Description

. This subsection shall describe and discuss:

#### (U) The objective(s) and performance characteristics of the proposed effort.

#### (U) The work associated with the proposed effort, e.g., algorithm development, prototyping, modeling, simulation, architecture definition, and chip design, etc.

#### (U) The challenges of the general technology area and the specific technology to be investigated.

#### (U) Potential Impact to the NRO

. This subsection shall describe and discuss:

#### (U) The potential impact and benefit(s) to the NRO’s mission.

#### (U) Compare and contrast the proposed effort to the state-of-the-art.

#### (U) Innovativeness of the Effort

. This subsection shall:

#### (U) Indicate any potential commercial or other Government agency use or development.

#### (U) Provide an overview of the current state of research related to the proposed effort; describe and discuss how the proposed effort presents new and innovative research.

### (U) Quad Chart

. A Quad Chart is required for Phase 1 and has a 1-page limit. Graphics, figures, or tables may be included in the Quad Chart but shall adhere to the ~~standard font-type, standard font-size, preferred submission format in accordance with~~ [~~Table 6.0~~](#Table_6_Stage_1_Submission)~~, and adhere to~~ Attachment J-3 – OF – Quad Chart Format. Do not provide any text in the “notes” section within PowerPoint. This will be considered a deliberate attempt to circumvent the page limitations. The Quad Chart shall include:

* Objective(s)
* Expected Results/Benefits
* Performance Metrics
* Comparison to the state of the art
* Technology Readiness Levels
* Graphic depiction of proposed effort
* Performance Obstacles

**THIS SECTION INTENTIONALLY LEFT BLANK**

**(U) Phase 2** = *Awardability Determination*

## (U) Phase 2 – Section Submission Instructions

(U) Proposers submitting Phase 1 offers receiving a *qualified* determination are notified by the CO in writing using electronic mail. This notification also requests those Proposers submit the remaining sections of their offer for a Phase 2 evaluation as shown in [Table 7.0 – Phase 2 Submission Requirements](#Table_7_Stage_2_Submission).

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Ref** | **Title** | **# of Pages** | **Submission Format** | **Atch** |
| [5.5.1](#Sec_5_3_1_Transmittal) | Transmittal Letter | Unlimited | MS Word or PDF | N/A |
| [5.5.2](#Sec_5_3_2_Tech_Mgmt) | Technical / Management Section | 15 | MS Word | N/A |
| [5.5.3](#Sec_5_5_3_Price_Comply) | Price & Contract Compliance Section | Unlimited | MS Word | N/A |
| [5.5.4](#Sec_5_5_4_Security) | Security Section | Unlimited | MS Word | N/A |
| [5.5.5](#Sec_5_5_5_SF328) | SF 328, Certificate Pertaining to Foreign Interests | Per Template | MS Word or PDF | J-6 |
| [5.5.6](#Sec_5_5_6_KPML) | Key Personnel & Management List (KPML) | Per Template | MS Word or PDF | J-7 |
| [5.5.7](#Sec_5_5_7_Sample_Kt) | Model Contract | Unlimited | MS Word or PDF | J-4 |
| [5.5.8](#Sec_5_5_8_ISSA) | Information Security Self-Assessment (ISSA) | Unlimited | MS Word or PDF | J-9 |
| [5.5.9](#Sec_5_5_9_Univ) | University Acknowledgement Statement | Unlimited | MS Word or PDF | J-10 |
| [5.5.10](#Sec_5_5_10_Data_Rights) | Data Rights Assertions | Per Template | MS Word or PDF | J-11 |
| [5.5.11](#Sec_5_5_11_Vendor_PIP) | Vendor Payment Information Plan | Unlimited | PDF | J-12 |
| [5.5.12](#Sec_5_5_12_Appendices) | Appendices | Unlimited | MS Word or PDF | N/A |
| Table 7.0 – (U) Phase 2 Submission Requirements | | | | |
| **Table is Unclassified** | | | | |

### (U) Transmittal Letter

. The Transmittal Letter is required for Phase 2 and will be used in the evaluation of contract compliance. Proposers shall not include offer content required in other documents or sections of the offer, i.e., Technical and Management, Price, etc., in the Transmittal Letter. The Transmittal Letter has no page limitations but shall comply with standard font-type, standard font-size, and the preferred submission format in accordance with [Table 7.0](#Table_7_Stage_2_Submission). Transmittal Letters shall include the following:

#### (U) Offer Validity Statement

#### . The Transmittal Letter must contain a declaration stating the offer is valid for 180-days from the date the offer was received by the Government.

#### (U) Exceptions to Model Contract

. Proposers shall state any exceptions to the contractual terms and conditions to Attachment J-4 – OF – Model Contract (in accordance with the specified format in Section K of Attachment J-4 – OF – Model Contract, under N52.227-004, *Identification and Assertion of Use, Release, or Disclosure Restrictions*). The Government will not consider new exceptions to the terms and conditions identified after offer submission. If no exceptions are taken, the Proposer shall include an acceptance statement of the anticipated contract provisions and proposed contract schedule.

#### (U) Fundamental Research

. The Proposer shall state whether the proposed effort is or is not fundamental research. Fundamental research means basic and applied research in science and engineering—the results of which ordinarily are published and shared broadly within the scientific community, as distinguished from proprietary research and from industrial development, design, production, and product utilization, the results of which ordinarily are restricted for proprietary or national security reasons.

#### (U) POC

. The Proposer shall include the Contracts POC and Technical POC for the proposed effort; specifically, include the names, telephone numbers, email addresses, and business addresses of persons authorized to discuss technical and contractual questions relating to the offer. Proposers are reminded to be cognizant of the effort’s classification and provide the names of individuals with appropriate clearances. If the effort is classified, please include secure contact information.

#### (U) Business Address

* . The Proposer shall provide the complete business address and the corporate name for use on any resultant award along with the remittance address (if different from that provided above in [Section 5.5.1.4](#Sec_5_5_1_4_Ktr_POCs)).

#### (U) NRO Contractor Responsibility Watch List (CRWL)

. Proposers shall self-identify themselves, or any proposed subcontractor(s) listed on the NRO CRWL and NRO Subcontract Consent Registry (SCR). Proposers on the CRWL, or proposing subcontractors who are on the CRWL or SCR, must submit documentation describing how the responsibility issue(s) placing the parties on the CRWL or SCR have been resolved and why those issue(s) will not affect performance in the event of selection for award. Although the NRO CRWL is only accessible by NRO CO’s, Proposers can determine which companies are listed by consulting the NRO SCR document on the classified ARC website by hovering the cursor over “NRO” in the menu bar, scrolling down to click “NRO Acquisition Manual (NAM)”. From here, click once on “Consent (Subcontract Consent Registry)”. On the right side of the navigation window, the most recent SCR document is presented; double-click the document, then select either “open”, “save”, or “cancel”. Proposers without access to the classified ARC may contact the Framework POC to verify the companies listed.

#### (U) Organizational Conflicts of Interest (OCI)

* . Proposers shall state any known OCI issues resulting from the award of the respective offer. If no OCI concerns exist, Proposers shall provide a statement indicating *‘no known or perceived OCI issues’* exist.

#### (U) Government Furnished Equipment (GFE) or Information (GFI)

#### . The Transmittal Letter shall explicitly acknowledge either a) no Government furnished personnel, equipment, information, material, labor, or facilities are required for the effort or b) agreements with appropriate Government agencies are already in place to provide the requisite personnel, equipment, information, material, labor, or facilities. AS&T will not furnish personnel, equipment, information, material, labor, or facilities for any project awarded under this Open Framework. The information provided shall accurately reflect the information provided in the Price and Contract Compliance Section discussed herein.

### (U) Technical and Management Section

. A Technical and Management Section is required for Phase 2. The Technical and Management Section shall not exceed fifteen (15) pages, including all graphics, figures, and/or tables and shall adhere to the standard font-type, standard font-size, and preferred submission format in accordance with [Table 7.0](#Table_7_Stage_2_Submission). There are no restrictions regarding the number of graphics, figures, or tables a Proposer may include in the Technical and Management Section. However, graphics, figures, and tables will be included in the page count.

(U) The Government intends to incorporate the proposed Technical and Management Section, by reference, as the SOW for any contract resulting from successful offers ([Section 3.13](#Sec_3_13_SOW)). Technical and Management Sections determined unclassified by the Proposer shall contain the word **UNCLASSIFIED** in the headers and footers of the document.

(U) The Technical and Management Section shall fully discuss and describe the technical and management approaches for the proposed effort according to the following:

#### (U) Technical

. The technical portion shall fully discuss and describe the technical background and approach for the proposed effort and indicate how the proposed objective(s) and performance characteristics will be achieved.

##### *(U) Approach*

. This subsection shall describe and discuss:

1. (U) The technical approach proposed and how it will achieve the proposed objective(s).
2. (U) Alternative approaches considered, if any, and why the selected approach is most appropriate for the identified objective(s).
3. ~~(U) The~~ ~~background, theory, simulation, modeling, experimental data, or other sound engineering and scientific practices or principles that support achieving the project objective(s).~~
4. (U) The expected improvement over the best technical capabilities available using appropriate metrics.

##### (U) Task Descriptions

. This subsection shall:

1. (U) Identify and provide a description for each of the tasks and sub-tasks representing work to be performed.
2. (U) Discuss how the identified tasks and sub-tasks interrelate with each other in terms of schedule and outcomes.
3. (U) Discuss why the identified tasks and sub-tasks are appropriate and sufficient for the identified approach and indicate how accomplishment of each task relates to achieving the overall project objective(s).

##### (U) Research

. This subsection shall:

1. (U) Discuss the degree to which the effort presents new and novel research.
2. (U) Compare and contrast the proposed effort to the state-of-the-art using appropriate metrics and supporting background information.

##### (U) Theory

. This subsection shall discuss the background, theory, simulation, modeling, experimental data, or other sound engineering and scientific practices or principles that support achieving the project objective(s).

##### (U) Technical Risk

. This subsection shall identify and discuss:

1. (U) Any potential technical issues and risks, e.g., the approach requires a never before demonstrated fabrication technique or greater than previously demonstrated sub-component performance, etc.
2. (U) Appropriate mitigation techniques and plans for each identified issue and risk, as applicable.

#### (U) Management

. The management portion shall fully discuss and describe how the project will be managed.

*(U) Schedule*

. This subsection shall:

1. (U) Provide a schedule for the proposed effort including major milestones.
2. (U) Indicate how the schedule relates to the proposed tasks and objectives.
3. (U) Indicate when all deliverables will be delivered.
4. (U) Discuss why the schedule is realistic, appropriate, and complete for the proposed effort.

##### (U) Organization

. This subsection shall:

1. (U) Describe how the team will be organized to accomplish the project objective(s) and tasks. Include relevant organizational charts and organizational teaming charts, as applicable.
2. (U) Indicate roles and responsibilities of teaming organizations, e.g., consultant, or subcontractor, and the lead organization for each of the project tasks (from [Section 5.5.2.1.2](#Sec_5_5_2_1_2_Tasks), above).
3. (U) Identify key personnel, describe their qualifications, explain how their qualifications relate to the proposed effort, and indicate their roles and responsibilities for each of the project tasks. No more than two (2) individuals shall be identified as key personnel.

### (U) Price and Contract Compliance Section

(U) A proposed Price and Contract Compliance Section is required for Phase 2 submissions. The proposed price shall be in U.S. dollars. The Price and Contract Compliance Section has no length, graphic, figure, or table restrictions but shall adhere to the standard font-type, standard font-size, and preferred submission format provided above in [Table 7.0](#Table_7_Stage_2_Submission).

#### (U) Price Reasonableness

#### . Price shall include the total price ONLY, i.e., fully loaded price, along with a narrative explaining how the Proposer arrived at that final price.

#### (U) Contract Compliance

. Contract Compliance includes a review of the following—

1. (U) Transmittal Letter;
2. (U) Consistency of overall project staffing to proposed price;
3. (U) Key personnel;
4. (U) Proposed deliverables, if applicable;
5. (U) SIGINT Compliance requirements, as applicable;
6. (U) Attachment J-11 – OF – Data Rights Assertions;
7. (U) Attachment J-12 – OF – Vendor Payment Information Plan; and
8. (U) Other administrative issues.

### (U) Security Section

. A Security Section is required for Phase 2 submissions. The Security Section has no page limitations but shall adhere to the standard font-type, standard font-size, and preferred submission format in accordance with [Table 7.0](#Table_7_Stage_2_Submission). The Security Section may include graphics, figures, or tables with no restrictions to the quantity Proposers may include. The Security Section shall fully discuss and describe the security requirements for the proposed effort permitting the overall Security Risk Assessment. At a minimum, the Security Section shall include:

#### (U) Classification Levels

. This subsection shall indicate the current or proposed security classification and/or SCI compartmentation of the following:

1. (U) Overall project;
2. (U) Underlying technology;
3. (U) Proposer’s association with the NRO; and
4. (U) Association of the technology/project with the NRO.

**(U) NOTE**: Proposers may view NRO Directive 100-37, Security of Controlled Unclassified NRO Information on Non-Government, Non-NRO Information Systems, and NRO Directive 100-2, For Official Use Only (FOUO) Information Handling by going to either the unclassified or classified ARC (see [Table 1.0 – ARC URLs](#Table_1_ARC_URLs)), then under the “NRO” tab, selecting the “NRO Contract Security Library Folder”. These documents are not approved for public release and shall not be stored on non-NRO information systems.

#### (U) Personnel and Facilities (For classified offers)

. This subsection shall discuss the availability and commitment of personnel with adequate security clearances (with appropriate SCI accesses as needed) and the required facilities (complete address of the facility(s) to include SCIF ID number) where work on this effort is to be performed. More specifically, include the following information regarding personnel and facilities:

1. (U) Include an organizational commitment for staffing the effort with personnel, by name and social security number, having the appropriate clearances and/or SCI accesses.

**NOTE**: Obtaining TOP SECRET clearances for personnel who do not currently possess a TOP SECRET clearance can take an extended period. Since the period of performance of any effort awarded in response to an AOI release is 24-months, this Open Framework will not support requests for new TOP SECRET clearances for any personnel. Requests for new SECRET/ Collateral clearances and SCI access for personnel with current TOP SECRET clearances will be considered.

1. (U) Identify the location(s) where any classified work will take place and identify which U.S. Government agency holds security cognizance of the location(s). Due to time considerations, this Open Framework will not support requests for accreditation of new TOP SECRET and/or SCI facilities.
2. (U) Identify the Information System(s) (IS) to be used for processing classified work and identify which USG agency holds security cognizance of the IS. Due to time considerations, this Open Framework will not support requests for accreditation of new TOP SECRET and/or SCI IS.
3. (U) Summarize the information requested below in [Table 8.0 – Classification and SCIF Information](#Table_8_Class_SCIF_Info) as indicated—

|  |  |
| --- | --- |
| **Item** | **Information Requested** |
| Overall Classification of the Project Proposed |  |
| SCIF Location |  |
| SCIF Accrediting Agency |  |
| SCIF Accreditation Expiration |  |
| Table 8.0 – (U) Classification and SCIF Information | |
| **Table is Unclassified** | |

#### (U) Automated Information Services (AIS). This subsection shall discuss the AIS and communications to support the effort in a timely and acceptable manner at the appropriate level of classification. For CWAN include asset numbers.

#### (U) Security Management Plan (For classified offers). This subsection shall either provide a security plan describing how all security requirements, for any classified effort, will be complied with, or submit a copy of the security plan on file with the NRO. The security plan shall describe the approach to executing a security program compliant with NRO security policies, procedures, directives, security classification guides (SCGs), and all automated information systems security requirements. Responses deviating from NRO policy/directives/ SCGs, and protection strategy should be thoroughly explained. The Proposer’s security approach must identify, at a minimum, the following:

* 1. (U) Security management structure and/or organization, including the Security Officer and Information Systems Security Officer for this program.
  2. (U) How critical program information (CPI) and other sensitive program information will be protected.
  3. (U) Decomposition of effort into discrete tasks. For each task, identify the classification of information and materials generated based on classification guidance, presence of CPI, the proposed security environment work will be performed, and any mitigations.
  4. (U) Describe how unclassified and classified activities are integrated.
  5. (U) Cover stories with the associated execution strategies, methods of obscuration, and perception management.
  6. (U) How administrative program information, such as contract documents, invoices, procurement records, is managed, shared, and transmitted to avoid unclassified indicators of classified activities.
  7. (U) A list of the vendors and subcontractors as well as measures to be taken when dealing with interfaces not fully briefed to program activities (subcontractors, vendors, uncleared persons within program, etc.).
  8. (U) Compliance with the disclosure of Ownership or Control by a Foreign Government clause, to include submission of a current SF 328, *Certificate Pertaining to Foreign Interests* (Attachment J-6 – OF – SF 328).
  9. (U) Describe the approach to identifying and containing security incidents (to include data spills).
  10. (U) Supply chain risk management approach (if applicable).

#### (U) Protection of NRO FOUO Information on Non-NRO Systems.

#### The evaluation of a Proposer’s ability to protect NRO FOUO information on non-NRO systems will be based on a review of the Proposers’ completed Attachment J-9 – OF – Information Security Self-Assessment (ISSA) Form for NRO FOUO Information Processing and Protection. The ISSA is based on the requirements contained in NRO Directive 100-37, Security of Controlled Unclassified NRO Information on Non-Government, Non-NRO Information Systems; NRO Directive 100-2 FOUO Information Handling; NRO Information Assurance Standards Document (IASD) Rev. C; and, NIST Special Publication 800-171, Protecting Controlled Unclassified Information in Nonfederal Information Systems and Organizations.

### (U) Standard Form 328, *Certificate Pertaining to Foreign Interests*

. A Standard Form (SF) 328, *Certificate Pertaining to Foreign Interests* is required for Phase 2 submissions. The SF 328 shall be included with all offers except those submitted by public, state-owned academic institutions. To satisfy submission for this document, Educational Institutions shall upload one document for the requirement stating the following—“Educational Institution – this document is not required.” The document shall comply with standard font-type, standard font-size, and the preferred submission format of Microsoft Word (\*.docx, compatible with Microsoft Office 2016).

(U) Proposers requiring access to or utilizing proscribed information to perform an NRO contract or subcontract must submit a SF 328. Proscribed information is defined as classified information, Communications Security (COMSEC) information except classified keys for secure terminal equipment, Restricted Data as defined in the U.S. Atomic Energy Act of 1954, Special Access Program (SAP) information, or SCI. The SF 328 has no length restrictions. The Government defers to the template font-type and font-size. However, the preferred submission format shall be in accordance with [Table 7.0](#Table_7_Stage_2_Submission).

### (U) Key Personnel and Management List

. A Key Personnel and Management List (KPML) is required for Phase 2 submissions. Proposers shall include a KPML with all offers except those offers submitted by public, state-owned academic institutions. To satisfy submission for this document, Educational Institutions shall upload one document for the requirement stating the following—“Educational Institution – this document is not required.” The document shall comply with standard font-type, standard font-size, and the preferred submission format of Microsoft Word (\*.docx, compatible with Microsoft Office 2016). The Government defers to the template font-type and font-size (Attachment J-7 – OF – KPML); however, the preferred submission format shall be in accordance with [Table 7.0](#Table_7_Stage_2_Submission). The KPML has no length restrictions.

### (U) Model Contract

. Educational institutions, non-profit and not-for-profit organizations, and private industry are required to complete Attachment J-4 – OF – Model Contract and shall be included with Phase 2 submissions as depicted in [Table 7.0](#Table_7_Stage_2_Submission).

(U) This section has no page limit restrictions however; the document shall adhere to the standard font-type, standard font-size, and preferred submission format in accordance with [Table 7.0](#Table_7_Stage_2_Submission)and Attachment J-4 – OF – Model Contract. The Model Contract will be evaluated for compliance with the guidance below. The following items shall be completed and submitted within Attachment J-4 – OF – Model Contract submission:

#### (U) Section I – N52.209-003, Organizational Conflicts of Interest

* 1. Provide OCI Mitigation Plan and Checklist, if applicable.
  2. If no OCI, Proposers shall provide a statement in the transmittal letter indicating there are ‘no known or perceived OCI issues’.

#### (U) Section K – Representations, Certifications, and Other Statements of Proposers

. The requirement in Section K is to complete all requested data.

#### (U) Terms and Conditions

. Attachment J-4 – OF – Model Contract contains the required clauses, terms, and conditions for all Proposers. There will be minor deviations for universities, non-profit organizations, not-for-profit organizations, and classified contracts. The deviations are detailed below.

##### (U) Universities

. The following clauses will be changed:

* (U) FAR 52.232-17, *Interest* does not apply and will be removed.
* (U) FAR 52.249-2, *Termination for Convenience of the Government (Fixed-Price)*, will be replaced with FAR 52.249-5, Termination for Convenience of the Government (Educational and Other Nonprofit Institutions).
* (U) NAM 52.204-009, *Release of Contract Information*, will be replaced with NAM 52.204-009, Alternate 1.

(U) Non-Profit and Not for Profit Organizations

. The following clauses will be changed in the contract:

* + (U) FAR 52.232-17, *Interest*, does not apply and will be removed.
  + (U) FAR 52.249-2, *Termination for Convenience of the Government (Fixed-Price)*, will be replaced with FAR 52.249-5, *Termination for Convenience of the Government (Educational and Other Nonprofit Institutions)*.

(U) Classified Contracts

. Classified contracts or those requiring access to national security information shall include the following clauses in the final contract:

* (U) N52.204-001, *Security Requirements*.
* (U) N52.204-002, *Oral Attestation of Security Responsibilities*.
* (U) N52.204-005, *Protection Against Compromising Emanations*.
* (U) N52.204-010, *Information System Access*.
* (U) N52.204-011, *Information Technology-Information Assurance-Information Management Requirements*.
* (U) N52.204-012, *Industry Partner Access*.

(U) The resulting contract will include Attachment J-8 – OF – Defense Department (DD) Form 254, *Contract Security Classification Specification*.

**NOTE**: (U) All other contracts deemed Unclassified//FOUO will be held to the “Security of Controlled but Unclassified NRO Information” which will become a contract attachment (reference Attachment J-9 – OF – ISSA Form for NRO FOUO Information Processing and Protection).

### (U) Information Security Self-Assessment Form

. Attachment J-9 – OF – ISSA Form for NRO FOUO Information Processing and Protection is required for Phase 2 submissions. The award of contracts are contingent upon successful review of an ISSA.

(U) The ISSA Form has no length restrictions. The Government defers to the template font-type and font-size in accordance with Attachment J-9 – OF – ISSA Form but shall adhere to the preferred submission format, in accordance with [Table 7.0](#Table_7_Stage_2_Submission). Proposers selected for contract award shall be required to protect all work up to and including the final deliverable at the FOUO level, at a minimum.

(U) Educational institutions whose offers are considered fundamental research as defined in [Section 5.5.1.3](#Sec_5_5_1_3_Fundamental) are exempt from this requirement.

### (U) University Acknowledgement Statement

. According to E.O. 12333, as amended, paragraph 2.7, Elements of the IC are authorized to enter into contracts or arrangements for the provision of goods or services with academic institutions only with the consent of appropriate officials of the institution. Attachment J-10 – OF – University Acknowledgement Statement is required for Phase 2 submissions.

(U) The University Acknowledgement Statement is required for offer submissions when a U.S. academic organization is the prime contractor, subcontractor, or consultant at any tier of the team. Please merge all acknowledgement statements into one file for submission via electronic mail. The statement must be signed by an appropriate senior official from the institution, typically the President, Chancellor, Provost, or other appropriately designated official.

### (U) Data Rights Assertions

. Attachment J-11 – OF – Data Rights Assertions is required for Phase 2 submissions. If no assertions are made or Attachment J-11 – OF – Data Rights Assertions is left blank, the Government assumes it has “unlimited rights” to all noncommercial technical data and noncommercial computer software delivered under any resultant contract. The Government defers to the template font-type and font-size; however, the preferred submission format shall be in accordance with [Table 7.0](#Table_7_Stage_2_Submission).

### (U) Vendor Payment Information Plan

. Attachment J-12 – OF – Vendor Payment Information Plan (PIP) is required for Phase 2 submissions. The PIP has no page limitations however; the document shall adhere to the standard font-type, standard font-size, and preferred submission format in accordance with [Table 7.0](#Table_7_Stage_2_Submission).

### (U) Appendices

. Appendices are required for Phase 2. Appendices shall be included at the end of each section and submitted in accordance with the correlating section’s requirements. Appendices shall include a list of acronyms, glossary of terms, and/or source references. There is no page limitation on appendices; however, the document shall adhere to the standard font-type, standard font-size, and preferred submission format identified in [Table 7.0](#Table_7_Stage_2_Submission).

# (U) OFFER EVALUATION PROCESS

(U) Stage I offers are evaluated in the order received, on a competitive basis, and contract awards may occur any time throughout the availability period. Adequate price competition is expected therefore certified cost or pricing data will not be required with submission. Offers will be initially screened to determine responsiveness. Offers passing this initial screening will be reviewed to determine which office in AS&T best aligns with the proposed offer. Once binned, offers are technically evaluated in Phase 1 by the assigned office to determine which offers are *qualified*. Offers deemed *qualified* progress to Phase 2. Offers deemed *awardable* following the Phase 2 evaluation receive a Security Evaluation and Price/Contract Compliance Evaluation; see [Figure 4.0 – Evaluation Process](#Fig_4_Eval_Process).

(U) The primary basis for selecting proposed projects shall be technical, importance to NRO programs, and funds availability as measured by the criteria described below. All offers submitted in response to this Open Framework and Attachment J-1 – Open AOI, AAN shall follow the two-phase evaluation process described herein.

(U) It is NRO policy to treat all offers as source selection sensitive information before award and only disclose the contents for evaluation purposes. All Proposers must indicate in the Cover Page Section of each offer submission any limitations placed on the Disclosure of Information contained within that specific offer (see [Section 5.4.1](#Sec_5_4_1_Cover)).

(U) Offers are evaluated on the technical merit and relevance of the specific research proposed as it relates to the Attachment J-1 – Open AOI, AAN objectives, and criteria described below, rather than against other offers since individual offers are not based on a common work statement.

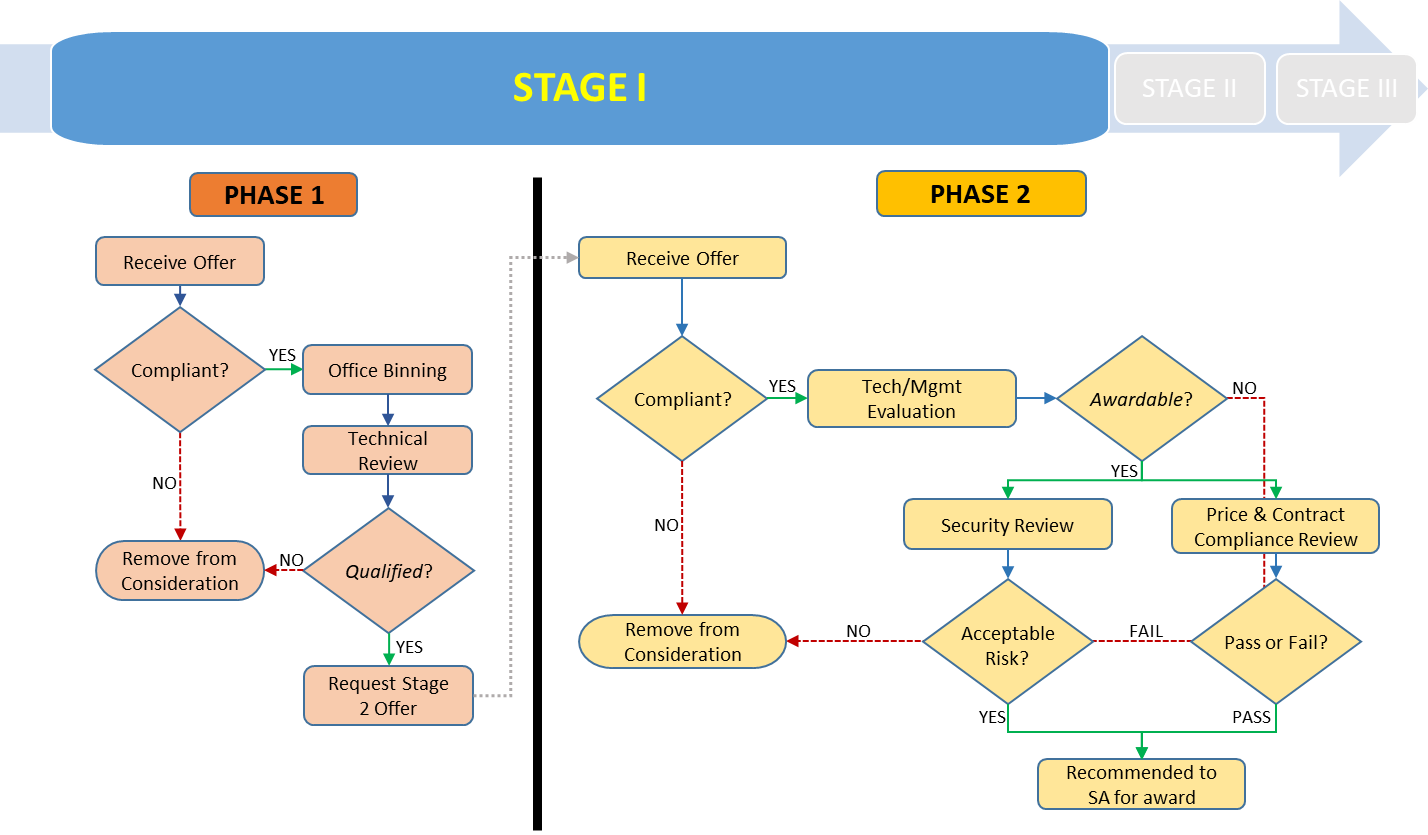


Figure 4.0 – (U) Evaluation Process

**Figure is Unclassified**

## (U) Initial Compliance Review

(U) This compliance review is Administrative ONLY and occurs before *any* proposed effort advances to the Phase 0 – Office Binning. Additionally, a Compliance Review occurs a second time prior to commencing the Phase 2 evaluation.

### (U) Upon receipt of offers, the Open Framework POC complete the Initial Compliance Review. The offer(s) are reviewed for completeness, duplication, and compliance with page count limitations and format. Offers determined non-compliant may not be awarded. The Initial Compliance Review of Phase 1 offers determine if each section is—

* **(U) Complete** – Offer contains all required sections and cover page information.
* **(U) Incomplete** – Offer is missing one or more sections, or the required cover page information. For incomplete offers, the CO will determine, on a case-by-case basis, whether to withdraw the offer or provide an opportunity to complete the offer.
* **(U) Duplicative** – Offer content is the same as another offer submitted by the same Proposer. Potential duplicate offers are administratively examined in detail to verify the offers are in fact duplicates of each other. In the case of verified duplicate offers, the Proposer will be informed of the duplicate offer and its administrative withdrawal from evaluation.
* **(U) Over Count** – Offer has one or more sections exceeding the allocable page count. Offers containing sections exceeding the allocable page count will be evaluated, not rejected as *non-responsive*. Sections of the offer with excess pages will be truncated. Text will be added to the truncated section(s) indicating it was truncated and how many pages in excess. The excess pages will not be evaluated. Proposers are cautioned not to exceed the allocable page count in any section.

(U) Offers successfully completing the Initial Compliance Review are deemed *responsive* and advance to the Phase 0 binning process.

## (U) Phase 0 – Office Binning

(U) During the Phase 0 – Office Binning, one representative from ASO, ATO, and TSPO reviews each Phase 1 offer to determine which AS&T office best aligns with the proposed project. Each Office Representative uses Appendix C: Phase 0 – Office Binning to record their office determination for each Phase 1 offer. If a Binning Determination cannot be made, the CO will conduct a virtual meeting with all of the Office Representatives to discuss the rationale behind the binning selections for that specific offer and make a final binning determination. Successfully binned offers advance to the Phase 1 evaluation. Introduction and Quad Chart Sections having multiple research areas are assigned to all respective offices prior to commencing the Phase 1 evaluation.

## (U) Phase 1 – Qualified Determination

(U) During the Phase 1 – *Qualified* Determination, the Technical and Management Evaluation (TME) Team determine if the assigned offers are *qualified* for advancement to the Phase 2 – Awardability Determination. Only the Introduction and Quad Chart Sections are evaluated in Phase 1. Offers are evaluated on their own merit and not compared to each other. For the Introduction and Quad Chart Sections to receive a *qualified* determination, each section shall have sufficient technical merit based on the below criteria.

### (U) Phase 1 – Technical Evaluation Criteria

. The criteria below is applied during the Phase 1 – *Qualified* Determination:

#### (U) Impact to the NRO/AS&T’s mission

#### . The degree to which the proposed effort addresses its applicability and potential impact to the NRO/AS&T mission. Offers for concepts or technologies providing dramatic improvement through new mission capabilities directly solving critical intelligence problems or address technology needs are of interest.

#### (U) Responsiveness of the proposed effort to the AOI

. The degree to which the proposed effort addresses and responds to Attachment J-1 – Open AOI, AAN.

#### (U) Uniqueness and Innovativeness of the proposed effort

#### . The degree to which the proposed effort compares to the state of the art, presents unique and innovative research and development as well as how the proposed effort advances the state of the art.

(U) Proposers are strongly cautioned the Introduction must address **all three** of the above criteria. Failure to address **all three** areas may result in the offer being eliminated from further consideration.

(U) For the Phase 1 – *Qualified* Determination, impact to the NRO/AS&T’s mission is the most important criteria. Responsiveness to the AOI is the next most important. The uniqueness and innovativeness of the proposed effort is least important.

(U) Once the evaluators complete their evaluation of the same offer, the Open Framework POC facilitates a virtual consensus for compiling the results of the individual evaluations into one report and make a final determination regarding if the offer is *qualified* for the Phase 2 evaluation. All TME members completing Phase 1 evaluations will participate in virtual consensus. Due to recent real-world events regarding Corona Virus Disease 2019 (COVID-19), mandatory guidelines for social distancing have been implemented and face-to-face meetings are not permitted. Therefore, to meet these unique real-world requirements, virtual consensus will occur, *still* with 100 percent participation, until which time mandated guidelines are lifted or modified. *Qualified* offers are selected by a vote of the TME members. At least 50 percent of the TME members must recommend an offer be retained for advancement to Phase 2. The Open Framework POC records the consensus determination(s), prepares, and distributes notifications.

### (U) Phase 1 Results

. Upon completion of the Phase 1 *Qualified* Determination, three possible outcomes exists.

#### Retain for Phase 2 Evaluation

. Phase 1 offers receiving a *qualified* determination advance to Phase 2 and are notified by the CO via electronic mail and invited to submit the Phase 2 portion of their offers. Each Proposer has 30-days from the date of notification to submit the required section identified in [Table 7.0](#Table_7_Stage_2_Submission) to the Government.

#### Eliminate

. Offers found lacking sufficient technical merit upon conclusion of Phase 1 evaluations are eliminated from further award consideration and notified by electronic mail.

#### Eliminate but Forward

. Offers found lacking sufficient technical merit in support of the AS&T mission and AAN may be forwarded to other NRO offices or directorates for consideration. In this situation, Proposers are notified of their elimination from further award consideration by electronic mail. Proposers are not informed if their offer is forwarded. However, if Proposers provided instruction to not forward offers in the Cover Page, the USG will adhere to this direction. If the office or directorate in receipt of the Phase 1 offer finds interest in the technology or research, staff from that office or directorate will contact the Proposer directly for additional information.

## (U) Phase 2 Compliance Review

(U) This compliance review is administrative ONLY and occurs before *any* Phase 2 evaluation occurs. Upon receipt of Phase 2 offers, the Open Framework POC completes the Phase 2 Compliance Review similar to the compliance review discussed in [Section 6.1](#Sec_6_1_Compliance_Stage_1). Offers successfully completing this Compliance Review are deemed *responsive* and advance to Phase 2.

## (U) Phase 2 – Awardability Determination

(U) Phase 2 TMEs determine which offers, if any, are *awardable*. Offers are evaluated on their own merits and will not be compared to each other. Each TME team member completes the evaluation of the same offer before starting the evaluation of another offer. Only offers deemed *awardable* receive a Price, Contract, and Security Evaluation. Technical merit is significantly more important than management merit during Phase 2.

### (U) Consensus

. Once all TME team members complete the evaluation of an offer, the Open Framework POC facilitates a virtual consensus for compiling the results of the individual evaluations into one report, and determine if the offer is *awardable*. All TME members must participate in the virtual consensus. *Awardable* offers are selected by a vote of the TME members. At least 50 percent of the TME members must recommend an offer be *awardable* for advancement in the evaluation process.

### (U) Ratings and Score

. The Evaluation Team Lead (ETL) guides the discussion among the TME members, as required, to determine the consensus score for an offer. The consensus score will be either the average score of the TME members or an adjusted score based on the consensus discussion. Rationale for consensus scores adjusted from the average score must be documented.

### (U) Technical and Management Ratings

. (U) The Technical and Management Section is most important and should have sufficient detail fully describing the proposed project and address the below technical and management criteria. For the Phase 2 evaluation, the technical criteria in [Section 6.4.4.1](#Sec_6_4_4_1_Tech) is weighted significantly higher than the management criteria in [Section 6.4.4.2](#Sec_6_4_4_2_Mgmt). The technical and management criteria will be evaluated using the ratings described in [Table 9.0 – Technical and Management Ratings](#Table_9_Tech_Mgmt_Ratings).

|  |  |
| --- | --- |
| **RATING** | **DESCRIPTION** |
| **Excellent**  **10** | The offer substantially exceeds expectations. The Proposer has more than met all needs, schedules, experience levels, and approaches, which is the best that could be proposed by a qualified Proposer. |
| **Good**  **7, 8, 9** | The offer exceeds expectations. The Proposer has met all and surpassed some of the needs, schedules, experience levels, and approaches. |
| **Acceptable**  **4, 5, 6** | The offer meets expectations. The Proposer has adequately met needs, schedules, experience levels, and approaches. Inadequacies or limitations are offset by better performance in other areas. |
| **Marginal**  **1, 2, 3** | The offer does not adequately meet expectations. The Proposer has met some, but not all, needs, schedules, experience levels, and approaches. Inadequacies or limitations are mostly offset by better performance in other areas. |
| **Unsatisfactory**  **0** | The offer does not meet expectations. Most needs, schedules, experience levels, and approaches have not been adequately met. Inadequacies or limitations are not offset by better performance in other areas. |
| Table 9.0 – (U) Technical and Management Ratings | |
| **Table is Unclassified** | |

### (U) Technical and Management Criteria

. The Technical and Management Section is evaluated and scored on how well the criteria below are addressed. The Technical and Management Section receives a numerical score at conclusion of the evaluation.

#### (U) Technical.

##### (U) Identifies and discusses the technical approach to be used to achieve the stated objective(s) and discusses alternative approaches, if any, and why the selected technical approach is the most appropriate for accomplishing the indicated objective(s).

##### (U) Identifies appropriate tasks and subtasks that represent work to be performed to accomplish the indicated objective(s), and provides a description and discussion for each of the tasks and subtasks indicating the work to be performed, how they interrelate with each other and why they are appropriate and complete for the identified technical approach.

##### (U) Discusses the degree to which the effort presents new and novel research, and compares and contrasts the proposed effort to the state-of-the-art using appropriate metrics and supporting background information.

##### (U) Presents and discusses adequate theory, simulation, modeling, experimental data, or other sound engineering and scientific practices and principles that support reaching the project objective(s).

(U) Identifies and discusses any potential technical issues or risks, e.g., the approach required of a never before demonstrated fabrication technique, greater than previously demonstrated sub-component performance, etc., and indicated appropriate mitigation techniques and plans, if any.

#### (U) Management.

##### (U) Presents a realistic, time-staged project schedule identifying and reflecting key events, including deliverables, and depicts the project tasks and subtasks.

##### (U) Defines the roles and responsibilities of individuals and, if any, teaming organizations. Discusses how the qualifications of key personnel relate to the proposed effort. Indicates who is responsible for each task or subtask, i.e., individual by name or position or teaming organization.

## (U) Price and Contract Compliance Evaluation

(U) For those offers deemed *awardable* after the Phase 2 TME, a Price and Contract Compliance Evaluation is conducted.

### (U) Price Reasonableness

. Proposed cost is evaluated for price reasonableness (price analysis). The evaluation of price results is a Pass/Fail determination based on price reasonableness. An unreasonably priced offer, as determined by the CO, cannot receive a contract award. The proposed price must be in U.S. dollars ($) and must be less than or equal to two million U.S. dollars.

### (U) Contract Compliance

. Contract Compliance also receives a Pass/Fail determination. A contractually noncompliant offer, determined by the CO, cannot receive an award. In addition to the data provided in the Transmittal Letter, the following information shall be addressed as requested in [Section 5.3.3.2.](#Sec_5_3_3_2_Compliance) The factors considered in the Contract Compliance Evaluation are—

#### (U) Personnel

. Overall staffing must be consistent with the proposed price.

#### (U) Deliverables

Proposed deliverables must be consistent with the proposed price. This generally limits the deliverables to meetings, reports, and software or hardware prototypes. Finished products are normally beyond the scope of this Open Framework. The minimum required deliverables are outlined in [Section 4.2](#Sec_4_2_CDRLs) and [Table 5.0](#Table_5_CDRLs). Offers may indicate deliverables beyond the minimum required.

#### (U) Government Furnished Equipment or Information (GFE/GFI)

. AS&T does not furnish equipment, information, material, labor, or facilities. Offers requiring AS&T to furnish equipment, information, material, labor, or facilities may not be selected for funding. Offers may include agreements previously coordinated with other Government offices or organizations for GFE/GFI, but must include the agreement(s) in the offer.

#### (U) Exceptions to the Model Contract Terms and Conditions

. Proposers submitting exceptions to the Model Contract Terms and Conditions are assessed for reasonableness. Excessive proposed exceptions, or proposed exceptions impairing the Government’s ability to administer the contract effectively, may result in an offer being identified as not reasonable and eliminated from further evaluation.

#### (U) Data Rights Assertions

. Data rights and rationale asserted by an Offeror will be assessed to ensure the Government is receiving reasonable value for the offered price. Excessive asserted data rights, or asserted data rights diminishing the Government’s value to an unreasonable level, may result in a proposal being identified as not reasonable and eliminated from further evaluation.

#### (U) SIGINT Compliance

. When work performed under an NRO contract requires access to raw or un-minimized SIGINT data, all contractor personnel who access or may have access to *that* data must comply with the contractual requirements established by the NRO SIGINT Compliance Program for protecting U.S. and Second Party person information (reference NRO Directive 80-7, Signals Intelligence Compliance). The Proposer shall maintain currency in all applicable SIGINT Compliance training to include annual Intelligence Oversight (IO) training. In addition, and when applicable per AOI, the contractor shall submit CDRL R018, Compliance and Data Protection Plan - Contract (C&DPP-C) (see Attachment J-5 – OF – CDRL, CDRL R018).

#### (U) Other Administrative Issues

. Offers will be assessed for any other potential administrative issues impairing the Government’s ability to administer the contract effectively. Issues identified may result in an offer being deemed not reasonable and eliminated from consideration.

## (U) Security Evaluation

(U) For those offers deemed *awardable* after the Phase 2 TME, a Security Evaluation is conducted using the below criteria. The Security Section receives a risk level determination and focuses on the proposed classification levels, security clearances of proposed personnel, adequacy of facilities, Automated Information Services (AIS), Security Management Plan, protection of NRO FOUO Information on non-NRO systems, and an overall Security Risk Assessment. The Security Section must describe the Proposer’s ability and approach to comply with the security requirements of *this* Open Framework.

### (U) Personnel

. The availability and commitment of personnel with adequate security clearances (with appropriate SCI access as required), to support the effort in a timely and acceptable manner at the appropriate level of classification.

### (U) Facilities

. The availability and commitment of required facilities (complete address of the facility(ies) to include Sensitive Compartmented Information Facility (SCIF) Identification (ID) Number where work on this effort is to be performed, Automated Information Services (AIS), and communications to support the effort in a timely and acceptable manner at the appropriate level of classification. For CWAN, include asset numbers.

### (U) Security Management Plan

. This section shall describe the approach to executing a security program compliant with the current version of the NRO Security Manual and/or the National Industrial Security Program Operating Manual (NISPOM), or NISPOM Supplement (DoD 5220.22-M Sup 1), and expressed management commitment to Security appropriate to the classification of this effort. Responses that deviate from NRO policy/directives/SCGs and protection strategy should be thoroughly explained. The Proposer’s security approach must identify, at a minimum, the following:

1. (U) Security management structure and/or organization, including the Security Officer and Information Systems Security Officer for this program.
2. (U) How critical program information (CPI) and other sensitive program information will be protected.
3. (U) Decomposition of effort into discrete tasks. For each task, identify the classification of information and materials generated based on classification guidance, presence of CPI, the proposed security environment work will be performed, and any mitigations.
4. (U) Describe how unclassified and classified activities are integrated.
5. (U) Cover stories with the associated execution strategies, methods of obscuration, and perception management.
6. (U) How administrative program information, such as contract documents, invoices, procurement records, is managed, shared, and transmitted to avoid unclassified indicators of classified activities.
7. (U) A list of the vendors and subcontractors as well as measures to be taken when dealing with interfaces not fully briefed to program activities (subcontractors, vendors, uncleared persons within program, etc.).
8. (U) Compliance with the disclosure of Ownership or Control by a Foreign Government clause, to include submission of a current SF 328, *Certificate Pertaining to Foreign Interests* (see Attachment J-6 – OF – SF 328).
9. (U) Describe the approach to identify and contain security incidents including data spills.
10. (U) Supply chain risk management approach (if applicable).

### (U) Protection of NRO FOUO Information on Non-NRO Systems

. Evaluation of an Proposer’s ability to protect NRO FOUO information on non-NRO systems will be based on a review of the Proposer’s completed Information Security Self- Assessment (ISSA) for NRO FOUO Information Processing and Protection (see Attachment J-9 – OF – ISSA Form). The ISSA is based on requirements contained in NRO Directive 100-37, Security of Controlled Unclassified NRO Information on Non-Government, Non-NRO Information Systems; NRO Directive 100-2 FOUO Information Handling; NRO Information Assurance Standards Document (IASD) Rev. C; and, NIST Special Publication 800-171, Protecting Controlled Unclassified Information in Nonfederal Information Systems and Organizations.

### (U) Overall Security Risk Assessment

. An overall security risk assessment will be made to determine the level of risk that awarding a contract will have on protecting NRO security interests. All awardable offers will receive an overall security risk assessment in accordance with [Table 10.0](#Table_10_Security_Risk_Ratings), below, along with potential mitigations. Offers with a HIGH overall security risk assessment will be identified as not *awardable*.

| **Risk Rating** | **Definition** |
| --- | --- |
| **HIGH**  **(Red)** | Proposed security operations, procedures, and personnel clearances do not mitigate risk to mission success and are not compliant with program requirements. Low confidence the Proposer’s proposed security plan is robust and minimizes compromise of classified relationships and technical characteristics of the program. Program success is not likely. The Proposer’s offer is unacceptable, thereby nullifying possible award. |
| **MODERATE (Green)** | Proposed security operations, procedures, and personnel clearances partially mitigate risk to mission success and are mostly compliant with program requirements. Moderate confidence the Proposer’s proposed security plan is robust and minimizes compromise of classified relationships and technical characteristics of the program. Program success is likely only with Proposer corrective action and Government verification of corrective actions. |
| **LOW**  **(Blue)** | Proposed security operations, procedures, and personnel clearances substantially mitigate risk to mission success and are compliant with program requirements. High confidence the Proposer’s proposed security plan is robust and minimizes compromise of classified relationships and technical characteristics of the program. Program success is very likely. |
| Table 10.0 – (U) Security Risk Ratings | |
| **Table is Unclassified** | |

(U) The potential exists for uncleared and unknown Proposers to complete the evaluation process successfully, and be selected for award of a contract. Proposers selected for an award in this situation shall require additional security screenings to minimize security risks.

# (U) INTEGRATION

(U) Once all evaluations are complete, the CO and ETLs utilize the TME Team scores and integrate the results with those of the security, price, and contract compliance evaluations. Once the results are consolidated, the CO and ETLs determine, based upon all evaluation input, if the offer is recommended for award.

# (U) RECOMMENDATION FOR AWARD

(U) In all instances, the USG reserves the right to select all, some, or none of the offers received in response to this Open BAA Framework and Attachment J-1 – Open AOI, AAN and make award.

## (U) Selection Decision

(U) All SA decisions are made following the Integration Meeting. If the SA conducted a preliminary review of offers and interim results during Phase 1, he or she may reverse a consensus decision to retain or eliminate any offer with supporting justification documented in the ESDM.

(U) The SA reviews the evaluation results, determines if a contract be awarded, and authorizes funding. The SA conveys the selection decision to the CO in the ESDM. The SA documents the ESDM and approves the selection rationale presented in the ESDM by scribing their signature.

## (U) Outstanding Issues

(U) All outstanding security and contract compliance issues must be resolved before presenting the Award Recommendation and Briefing to the SA. However, the SA will be notified if any security checks or contract compliance issues are not favorable, at which time the SA may make the determination to not award.

# (U) NOTIFICATION

(U) Following the SA’s award decision(s), all Proposers will be notified by electronic mail of the NRO’s decision. Notification letters will be sent to the email addresses listed on the Cover Page submitted with the offer. Proposers bear the responsibility of ensuring POC are accurate throughout the submission, evaluation, and award notification period.

(U) Unsuccessful Proposer Notification Letters will include general comments pertaining to why an offer was not selected. No information outside of that contained in the Unsuccessful Notification Letter will be provided and **debriefings will not be given**.

# (U) AWARD

(U) Project initiation is dependent upon the award of contracts. Awards will be made to Proposers whose offer conforms to this Open Framework and Attachment J-1 – Open AOI, AAN, and whose offer is considered most advantageous to the Government, considering all criteria. The USG reserves the right to make a single award, multiple awards, or no awards for the research area(s) listed in the Attachment J-1 – Open AOI, AAN depending on the technical quality of offers, funding availability, or limitations, and price reasonableness. Offers selected for award will be awarded and executed via standard contracting procedures.

## (U) Sanitized Technical and Management Section

(U) Upon notification of award, successful Proposers will be required to submit a sanitized Technical and Management Section removing proprietary markings (if applicable). Successful Proposers will be required to email these documents within five (5) days of notification. A contract may be forfeited if documents are not received within five (5) days.

## (U) Project Start Date

(U) The contract award date, as well the project start date are dependent upon FY funding availability. If funds are not initially available, contract award(s) will be made as soon as funds are available. Additionally, in the event of a continuing resolution, awardees may receive partial and/or incremental funding.

## (U) Multiple Offers

(U) Should a Proposer be successful with selection for award of more than one offer, it is the Government’s intent to incorporate the second and subsequent awards into the initial contract vehicle as a new CLIN. The overall administrative burden encountered if each offer awarded was a separate contract award is reduced by adding a new CLIN to the existing contract.

# (U) QUESTIONS

(U) General questions concerning this Open Framework should be addressed to the Open Framework POC identified in [Table 2.0](#Table_2_Framework_POC). Questions concerning technical aspects of this Open Framework, e.g. creating an ARC account should be addressed to the ARC Technical POC identified in [Table 3.0](#Table_2_ARC_Tech_POCs).

(U) The Government will accept questions to ensure offers address specific Open Framework requirements. Q&A’s will be answered via the ARC websites and the originator of all questions will remain anonymous. Proprietary information should not be included in questions submitted.

Appendix A – (U) List of Open Framework Attachments in Section J

1. (U) Open Area(s) of Interest – Architecture after Next
2. (U) OF – Cover Page Instructions
3. (U) OF – Quad Chart Format
4. (U) OF – Model Contract
5. (U) OF – Contract Data Requirements Listing (CDRLs)
6. (U) OF – Standard Form 328 – Certificate Pertaining to Foreign Interests
7. (U) OF – Key Personnel & Management List
8. (U) OF – Sample Contract Security Classification Specification (DD 254)
9. (U) OF – Information Security Self-Assessment (ISSA) Form for NRO FOUO Information Processing and Protection
10. (U) OF – University Acknowledgement Statement
11. (U) OF – Data Rights Assertions
12. (U) OF – Vendor Payment Information Plan

Appendix B – (U) Open Framework Acronym List

|  |  |
| --- | --- |
| **Acronym** | **Description** |
| AC | Acquisition Consultant |
| ACE | Acquisition Center of Excellence |
| AIS | Automated Information Services |
| AOI | Area(s) of Interest |
| ARC | Acquisition Research Center |
| AS&T | Advanced Systems and Technology |
| ASO | Advanced Systems Office |
| ATO | Advanced Technology Office |
| BAA | Broad Agency Announcement |
| C | Confidential |
| C&DPP-C | Compliance and Data Protection Plan – Contract |
| CAGE | Commercial and Government Entity |
| CBL | Contractor Bidder’s Library |
| CDRL | Contract Data Requirements List |
| CLIN | Contract Line Item Number |
| CML | Change Management Log |
| CO | Contracting Officer |
| COMSEC | Communications Security |
| COTR | Contracting Officer’s Technical Representative |
| CS | Contract Specialist |
| CWAN | Contractor Wide-Area Network |
| DAL | Data Accession List |
| DD | Defense Department |
| D/OC | Director, Office of Contracts |
| DoD | Department of Defense |
| E.O. | Executive Order |
| EMC2 | Enterprise Management and Consolidation of CDRLs |
| ESO | Evaluation and Selection Organization |
| ESP | Evaluation and Selection Plan |
| FAR | Federal Acquisition Regulation |
| FFP | Firm-Fixed Price |
| FFRDC | Federally Funded Research and Development Centers |
| FOB | Freight on Board |
| FOCI | Foreign Ownership, Control, or Influence |
| FOUO | For Official Use Only |
|  | |
|  | |
|  |  |
| **Acronym** | **Description** |
| FY | Fiscal Year |
| GFE | Government Furnished Equipment |
| GFI | Government Furnished Information |
| GFP | Government Furnished Property |
| GSSA | Government Sources Sought Announcement |
| GWAN | Government Wide-Area Network |
| IA | Information Assurance |
| IC | Intelligence Community |
| ICD | Intelligence Community Directive |
| IM | Information Management |
| IRRG | Information Review and Release Group |
| ISSA | Information Security Self-Assessment |
| IT | Information Technology |
| JWICS | Joint Worldwide Intelligence Communications System |
| KPML | Key Personnel & Management List |
| MIPR | Military Interdepartmental Purchase Request |
| NAM | NRO Acquisition Manual |
| ND | NRO Directive |
| NDA | Non-Disclosure Agreement |
| NISPOM | National Industrial Security Program Operations Manual |
| NMIS | NRO Management Information System |
| NMN | No Middle Name |
| NRO | National Reconnaissance Office |
| NSM | NRO Security Manual |
| NSP | Not Separately Priced |
| NTE | Not To Exceed |
| OBSC | Open BAA Steering Committee |
| OC | Office of Contracts |
| OCI | Organizational Conflict of Interest |
| ODC | Other Direct s |
| OGC | Office of General Counsel |
| PIP | Payment Information Plan |
| PKI | Public Key Infrastructure |
| PM | Program Manager |
| PMR | Program Management Review |
|  |  |
|  |  |
| **Acronym** | **Description** |
| POC | Point of Contact |
| PoP | Period of Performance |
| PPO | Plans and Programs Office |
| PSO | Program Security Officer |
| Q&A | Questions & Answers |
| RCA | Request for Contract Action |
| RFP | Request for Offer |
| SA | Selection Authority |
| S | Secret |
| SAB | Selection Advisory Board |
| SAP | Special Access Program |
| SCI | Sensitive Compartmented Information |
| SCIF | Sensitive Compartmented Information Facility |
| SCO | Senior Contracting Officer |
| SDM | Selection Decision Memorandum |
| SF | Standard Form |
| SIGINT | Signals Intelligence |
| SOA | State-of-the-Art |
| SOW | Statement of Work |
| SSAN | Social Security Administration Number |
| STE | Secure Terminal Equipment |
| TBD | To Be Determined |
| TME | Technical and Management Evaluator |
| TMEL | Technical and Management Evaluator Lead |
| TRL | Technology Readiness Level |
| TS | Top Secret |
| URL | Universal Resource Locator |
| US | United States |
| USC | United States Code |
| USG | United States Government |
| **Table is Unclassified** | |

Appendix C – (U) Technology Readiness Level Definitions

1. (U) Per NAM 27.7103-3(g)((3) “The DAL is not required in research and development study efforts less than $500,000 and with a period of performance less than 12 months (e.g., Director’s Innovation Initiative) and may be excluded from this requirement when the only deliverables are status and technical reports.” [↑](#footnote-ref-1)