

**OFFICE OF NET ASSESSMENT
BROAD AGENCY ANNOUNCEMENT
HQ0034-23-BAA-0001**

**Amendment 001
24 April 2024**

This publication constitutes a Broad Agency Announcement (BAA) in accordance with (IAW) Federal Acquisition Regulation (FAR) 6.102(d) (2) and Part 35.016. A formal Request for Proposal (RFP), solicitation and/or additional information regarding this announcement will not be issued. This BAA is issued by Washington Headquarters Services, Acquisition Directorate (WHS/AD) on behalf of the Office of the Secretary of Defense, Office of Net Assessment (OSD/NA). The community of interest for this BAA is the OSD/NA.

WHS/AD will not issue paper copies of this announcement. The government reserves the right to select all, some, or none of the proposals for award in response to this announcement. The government reserves the right to fund all, some, or none of the proposals received under this BAA. The government provides no funding for direct reimbursement of proposal development costs.

Technical and Cost Proposals (or any other material) submitted in response to this BAA will not be returned. WHS/AD will treat all proposals as sensitive competitive information and disclose their contents only for the purposes of evaluation.

I. ELIGIBILITY INFORMATION

This BAA is open to all profit and non-profit businesses as well as institutions of higher education. All entities may submit a proposal for consideration by the government. Non-U.S. organizations and/or individuals may participate to the extent that such participants comply with any necessary nondisclosure agreements, security regulations, export control laws, and other governing statutes applicable under the circumstances. See Section V.D.6. All offerors must be registered in the System for Award Management (SAM). Information on SAM registration is available at <https://sam.gov/>.

II. GENERAL INFORMATION

- A. Agency Name:**
Washington Headquarters Service Acquisition Directorate (WHS/AD) 4800 Mark Center Drive Alexandria, VA 22350
- B. Research Opportunity Title and Program Name:**
Research and Studies for OSD/NA
- C. Research Opportunity Number:**
HQ0034-ONA-23-BAA-0001
- D. Response Dates:**
Proposals will be accepted for a period of five (5) years from June 14, 2023 through June

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13, 2028. See Section VIII for proposal submission cut-off dates.

E. Questions and Communications:

All questions must be sent via email to the following WHS/AD mailbox:
whs.pentagon.ad.mbx.net-assessment@mail.mil

III. RESEARCH OPPORTUNITY DESCRIPTION

OSD/NA develops and coordinates independent net assessments of the standing, trends, and long-term prospects of U.S. military capabilities and national potential in comparison with those of other countries or groups of countries to identify emerging or future threats or opportunities for the United States. Priority is given to assessing aspects of the security environment and parts of the world that are likely to change in the future, and that may present threats or opportunities to the United States and its competitive position. Assessments may focus on specific theaters, regions, functions, mission areas, major weapons categories, doctrine, etc., as well as on demographic, economic, and political developments that may affect the power, potential, and strategies of nations.

Additional information about OSD/NA is available at: <https://www.defense.gov/About/office-of-the-secretary-of-defense/office-of-net-assessment/>

A. Areas of Interest:

OSD/NA seeks proposals that respond to the following areas of interest. Proposals may be considered that undertake comprehensive approaches to one or more of the following areas, or that investigate one or more aspect(s) or case(s) that belong to the broader areas listed below:

1. Future Naval Warfare:

OSD/NA is interested in proposals to study the changing character of military competition on and under the surface of the sea. The increasing sophistication and proliferation of long-range anti-ship sensing and strike systems may make surface naval vessels considerably more vulnerable over the decades ahead. This may affect not just U.S. forces, but any nation seeking to project or sustain naval power. In the undersea domain, trends in instrumentation and the development of infrastructure may change the character of the undersea competition and may have an impact on the current U.S. superiority in undersea warfare. Of particular interest is an assessment of the future undersea competition accounting for current and emerging trends in nation-state and non-nation-state objectives, associated operating concepts, and advances in commercial, scientific, and military technology. This could include studies that illuminate future strategic opportunities and vulnerabilities, or the potential for new or expanded Department of Defense (DOD) roles in the undersea environment.

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2. Proliferated World:

OSD/NA is interested in proposals exploring heuristic, future security environments marked by varying degrees of nuclear proliferation. Of specific interest are the effect of greater nuclear proliferation on the U.S. government's ability to execute its overall national security policy, the ability of the U.S. military to accomplish missions assigned to it, the role of ballistic missile defense/air defense, the viability and role of U.S. nuclear forces, and the continued ability of the United States to deter aggression against the homeland, our forces, and our allies. Of additional interest is the influence of greater nuclear proliferation on the military programs (including nuclear) of third actors, changes (if any) in risk perception/management by key players in regional military balances, changes in deterrent postures and practices of regional powers, and changes in the dynamics of conflict. OSD/NA is also interested in general trends in nuclear weapons technology and operational concepts, as well as the effects of nuclear weapons on national strategies.

3. Future Space Warfare:

OSD/NA is interested in space as an area of military competition that is undergoing significant change. The growing role of commercial space assets, many replicating traditional military capabilities, is opening this domain to new competitors. Other powers are also developing substantial government space programs with major, though uncertain, military implications. OSD/NA is interested in studies and analyses of the changing competition, possible scenarios, and the characteristics of new and emerging competitors as they relate to the use of space as an area of military competition.

4. Sustaining Current Areas of U.S. Advantage:

OSD/NA is interested in diagnoses of specific areas of military competition in which the United States has or might plausibly develop a position of considerable competitive advantage. This includes assessments of trends (technological, political, economic, military, diplomatic, and others) that may fundamentally change the character of the competition or substantially alter the competitive position of the United States or other actors. OSD/NA is also interested in analyses of emerging areas of military competition in which the United States may want to develop positions of advantage, as well as strategies that the DOD might plausibly pursue.

5. History:

OSD/NA is interested in studies on historical topics of interest to the DOD, with a particular emphasis on military history and strategy. This includes but is not limited to the history of specific campaigns, both ancient and modern, particularly in Asia or the Middle East; histories of ancient empires; histories of religious warfare; and histories of the development of new technologies, strategies, operational concepts, and doctrine.

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6. Precision Strike:

OSD/NA is interested in studies, wargames, and other analytic efforts exploring the potential future maturation and proliferation of technologies and concepts associated with precision strike, including reconnaissance, command and control, and weapon delivery systems of both long and short-range. OSD/NA is interested in efforts that examine how the maturation and proliferation of precision strike may bring changes in the character of warfare over the next 20-40 years, as well as the strategic implications of these changes in warfare for the United States and for potential competitors. Also of specific interest are emerging trends in active and passive missile defenses, particularly as they relate to defending military assets against large salvos of offensive weapons, such as high-speed precision missiles, unmanned systems, and swarms. OSD/NA is also interested in assessments of possible competitors who may enter the precision strike competition, including their strengths, weaknesses, and their ambitions in this emerging area of military competition.

7. Economics:

OSD/NA is interested in the study of economics in peace and war. This area includes studies of the economic conditions and constraints affecting relative military power, including the economic burden of military and other strategic activities on the United States and its major competitors, allies, and partners; methods of estimating comparative future trends in major power economic capacity and military spending; and improved cross-national comparisons of the size of military and related programs. OSD/NA is also interested in the economic dimension of military crises and warfare, including the character of economic warfare in a range of contexts and the implications for the United States, allies, and adversaries. More specifically, OSD/NA has a particular interest in analyses of the impact of interruptions in trade, novel forms of technology control, and other measures that might be taken as part of future economic warfare. OSD/NA is also interested in the ability of the United States and potential adversaries to harness domestic and global power to generate sustained combat forces during a protracted war.

8. Wargames:

OSD/NA is interested in innovative approaches to design and execute wargames that explore the competition between peer and near-peer competitors. OSD/NA is interested in new gaming formats that expand understanding of, and interactions between, modern and emerging warfare areas such as information, cyber, and space operations. OSD/NA is interested in several different styles and types of gaming formats, depending on the nature of the question under examination. OSD/NA desires games that effectively match structure, adjudication, processes, visualization, and data capture to the level of rigor appropriate to the understanding of the problems.

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9. Information Dimension of Warfare:

OSD/NA is interested in studies, wargames, and other analyses addressing the role and value of information in military conflict. This interest encompasses the concepts and theories associated with the evolution of battle networks as integrated systems of sensors, analytics, and strike. ONA is interested in studies of how such battle networks have operated in previous conflicts and the operational approaches and organizational concepts that have been attempted by various militaries, as well as assessments of the possible character of battle networks in future conflicts, including how such networks may function in different warfare domains and comparative analyses of how different militaries might develop and exploit such networks. OSD/NA is also interested in the information aspect of warfare construed more broadly, including long-term trends in the role and value of information in warfare, as well as forecasts addressing how the character of warfare may change as the information dimension of conflict becomes more prominent.

10. Machine Intelligence:

OSD/NA is interested in better understanding possible future developments in the design of intelligent agents, and especially machine learning, automated reasoning, human-computer interaction, and robotics. OSD/NA is interested in how possible advances and their diffusion might shape the character of future warfare or create competitive advantage for the United States or other actors. This includes how such advancements may function in different warfare domains, how advancements may affect the information aspect of war, what new sources of military advantage might be created, and comparative analyses of how different militaries might exploit capabilities enabled by machine intelligence.

11. Biotechnology:

OSD/NA is interested in better understanding possible future developments in the biological or life sciences, and especially areas such as synthetic biology, genetic engineering, and our understanding of human cognition. In particular, OSD/NA is interested in assessments of what might be possible in these fields, what possible developments may be most important, how the United States and its principal competitors are faring in the most critical areas, and what new sources of strategic or operational advantage might be created if advances and deployments in these areas take place. In addition to direct effects on future warfare, OSD/NA is also interested in areas of national competition such as biotechnology's effect on energy, critical mineral supply, strategic health and wellness, and design of novel materials. OSD/NA is also interested in barriers and enablers of biotechnology development, to include technical, bureaucratic, systemic, political, academic, normative or societal, and economic factors.

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12. The United States as a Competitor:

OSD/NA is interested in analyses of whether, how, and which broad characteristics of U.S. society (e.g., people, culture, governance, free market, technological practices, etc.) are sources of strategic advantage or vulnerability, especially in the context of protracted competitions with other great powers. This includes diagnoses of how those characteristics have changed over time, historical analysis of their effect on other nations, and examination of the prospect and effect of shifts in long standing assumptions (domestic or foreign) about these characteristics. OSD/NA is also interested in strategies the United States could pursue to exploit its advantages or mitigate its vulnerabilities.

13. Additional Research Topics:

Proposals on other germane topics may be of interest. These proposals could address aspects of the future security environment or possible alternative futures that may affect the shape and character of geostrategic competition. OSD/NA is also interested in analyses that compare the standing, trends, and prospects of U.S. and foreign military capabilities and military potential. Proposals may assess underlying factors, such as comparative defense budgeting and demographic trends, with important effects on those issues and those that are not covered in the topics listed above.

IV. AWARD INFORMATION

A. Period of Performance:

The period of performance of the awards typically ranges from one to five years. Options will be considered at the government's discretion. The exercise of option periods is not guaranteed and will be considered at the government's discretion.

B. Award Agreement:

The type of funding instrument selected by the government will be a contract, grant, cooperative agreement, or other transaction agreement (OTA). Multiple awards are anticipated. Contract awards will be consistent with 10 U.S.C. § 4001, 10 U.S.C. § 4141, and 10 U.S.C. § 4024. All contract types and funding arrangements are at the discretion of the government.

The preferred contract type is a firm fixed priced level of effort contract with reimbursable expenses for allowable travel and other direct costs (ODCs).

Offerors who desire to submit a stream of related proposals or multiple proposals in different BAA areas of interest throughout the life of the BAA solicitation may propose an Indefinite Delivery Indefinite Quantity (IDIQ) type contractual arrangement. The IDIQ proposal must be submitted separately from the proposals for IDIQ delivery and/or

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task orders. If an IDIQ contract is awarded, only proposals submitted as delivery and/or task orders under this BAA and in accordance with the proposal submission schedule under Section VIII will be considered for award.

V. PROPOSAL SUBMISSION

A. Electronic Submission:

Proposals must be submitted via email to: whs.pentagon.ad.mbx.net-assessment@mail.mil.

WHS/AD will acknowledge receipt of all submissions. Hard copies will not be accepted.

The email subject heading for a proposal submission must specify the BAA area(s) of interest (e.g., "Proposal for Future Naval Warfare").

A proposal may address more than one BAA area of interest. Offerors must submit separate emails for each proposal submission. Multiple submissions are acceptable.

Proposals must be received via email no later than 1 p.m. (ET) on the due dates listed in the proposal submission schedule under Section VIII. Proposals must state the proposal submission due date and the BAA area(s) of interest.

B. Validity of Proposals:

Proposals shall be valid for a minimum period of 12 months or longer from the date of submission deadline. Proposals must state the validity period.

C. Content and Format of Proposals:

1. Proposal Markings:

Proposals submitted in response to this BAA must be unclassified. Proposal submissions will be protected from unauthorized disclosure in accordance with FAR 15.207(b), applicable law, and DOD regulations. Offerors must appropriately mark each page of their submission that contains proprietary information. The proposal must include a severable Statement of Work (SOW), which contains only unclassified information and no proprietary restrictions, and previous work/writing sample.

2. Proposal Title:

Proposal titles shall be descriptive of the project tasks and not a copy of the BAA title and/or BAA areas of interests.

3. Proposal Format:

Each proposal submission must contain a Technical Proposal and Price Proposal.

4. Page Count:

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The Technical Proposal must not exceed 30 pages. There is no page limit for the Price Proposal.

5. File Format:

The Technical Proposal must be submitted in Microsoft Word. The Price Proposal must be submitted in Microsoft Excel. Excel spreadsheets must include formulas. Proposal files must not be zipped or otherwise condensed. All submissions must be in English with minimum 12-point font. Smaller font may be used for figures, tables, and charts. Copies of all documents submitted must be clearly labeled with the OSD/NA BAA number, offeror, and proposal title/proposal short title. All monetary references in the proposal shall be in U.S. Dollars.

D. Technical Proposal:

The Technical Proposal must not include cost data. The Technical Proposal must include the following sections, at a minimum, with each section starting on a new page.

1. Title Page:

The title page is not included in page limitations. This must include the words “Technical Proposal” and the following information:

- BAA Number;
- Proposal Title;
- Submission Date;
- Organization Name (address, CAGE code, Unique Entity ID, organization type, and business size, if applicable);
- Principal Investigator(s) (name, phone, and email);
- Business Contact (name, phone, and email);
- Project Duration;
- Proposal Validity; and
- BAA Area(s) of Interest

2. Technical Approach and Deliverables:

The Technical Proposal must contain a detailed description of the technical approach planned, results targeted, and products to be delivered. Offerors shall highlight experience in relevant efforts with similar resources and their ability to manage the proposed effort. Deliverable descriptions (e.g., Manuscript, Report, Wargame), proposed word counts, and anticipated delivery schedule must be included and clearly identified for each proposed period of performance.

3. Statement of Work:

Technical Proposals must include a severable self-standing SOW without any proprietary restrictions, which may be included in the award instrument. The SOW

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shall clearly define the technical tasks/subtasks to be performed, their durations, and dependencies among them. For each task/subtask, provide:

- a. A general description of the objective (for each defined task/activity);
- b. A detailed description of the approach to be taken to accomplish each defined task/activity;
- c. The completion criteria for each task/activity - a deliverable, product, event or milestone that defines its completion; and
- d. Define all deliverables (for each period of performance) to be provided to the government in support of the proposed research tasks/activities.

The SOW must not include price data.

4. Qualifications:

The technical proposal shall include a discussion of previous accomplishments and work in this, or closely related areas, and the qualifications of the investigators. Senior/key research personnel (see definition) resumes should be attached to the proposal and will not count toward the page limitations.

- a. Senior/Key Research Personnel: This definition includes the Principal Investigator or Program/Project Director and other individuals who contribute to the analytic development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the award. These include individuals whose absence from the project would be expected to impact the approved scope of the project.

5. Previous Work/Writing Sample:

Offerors must submit one sample of an unaltered previous work in similar scope and effort. Previous work may be redacted as needed, but not altered. The previous work must be included at the end of the Technical Proposal and will not count toward the page limitations. If more than one sample is submitted, the government will only consider the first file attached to the proposal. No other previous work submitted will be reviewed as part of evaluation criterion 2 (see Section VI.2). Offerors that do not have a previous work sample will not be impacted negatively. Offerors must explain why a previous work sample is not submitted.

6. Foreign Entity:

Offerors must report all individuals expected to be involved on the project that are considered a Foreign National as defined below. Offerors may be asked to provide additional information during negotiations in order to assess the offeror's ability to comply with contractual requirements, such as export controls and security clearance requirements. Prior to award, the government may withdraw from negotiations at any time for any reason to include matters of national security (Foreign Persons, foreign influence or ownership, inability to clear the firm or personnel for security clearances, or other related issues).

- a. Definitions

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- (i) Foreign Nationals (also known as Foreign Persons) as defined by 22 CFR 120.16 are 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 US, as well as international organizations, foreign governments and any agency or subdivision of foreign governments (e.g., diplomatic missions).
- (ii) "Lawfully admitted for permanent residence" means the status of having been lawfully accorded the privilege of residing permanently in the US as an immigrant in accordance with the immigration laws, such status not having changed.
- (iii) "Protected individual" means an individual who (A) is a citizen or national of the US, 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 Section 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.

E. Price Proposal:

The Price Proposal must include a detailed breakdown of all costs by cost category and calendar/fiscal year. The Price Proposal shall provide a breakdown of chargeable costs based strictly on deliverables, and costs should be distributed among those deliverables appropriately. The following cost areas shall be included, if applicable, for derivation of pricing:

1. Direct Labor:

Individual labor category or person, with associated labor hours and fully burdened direct labor rates. A breakout clearly identifying the individual labor categories with associated labor hours and direct labor rates, as well as a detailed Basis-of-Estimate narrative description of the methods used to estimate labor costs;

2. Travel:

Destination, number of trips, number of days per trip, departure and arrival destinations, number of people, etc. Travel receipts must be submitted, and travel expenses logged in the ODCs and Travel Expenses Worksheet (provided by the

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government upon contract award) at the time of invoice submission. The offeror must confirm if travel is anticipated to accomplish any portion of the project. If so, the offeror shall confirm the possibility of Outside Continental United States (OCONUS) / Continental United States (CONUS) travel in the event of potential travel restrictions. If travel is required, the offeror shall provide a detailed contingency plan on how the requirement will be accomplished in the event government-imposed travel restrictions prevent OCONUS/CONUS travel, attendance to workshops, and/or in-person briefings during the period of performance.

3. ODCs:

ODCs must be itemized with estimated costs. Substantiating documentation for ODCs, regardless of dollar value, must be submitted and logged in the ODCs and Travel Expenses Worksheet (provided by the government upon contract award) at the time of invoice submission.

- a. Consultants:** Offerors may propose consultant services IAW FAR 31.203-33. Consultant services may include, but are not limited to, those services rendered by persons who are members of a particular profession or possess a special skill, who are not employed by the offeror, and may provide valuable and pertinent advice generally drawn from a high degree of broad administrative, professional, or technical knowledge or experience. The offeror must provide documentation as specified in FAR 31.205-33(f) at the time of invoice submission, to include details of the consultant agreement(s), consultant invoices or billings, and consultant work products and related documents. When consultants are proposed to be used in the performance of the contract, indicate the specific project or area in which such services are to be used. Identify each consultant, number of hours or days to be used and the consultant's rate per hour or day. State the basis of said rate and provide justification and analysis of the acceptability of the consultant's rate.

VI. PROPOSAL EVALUATION

All proposal submissions will be evaluated through a technical/price decision process with technical considerations being more important than price. Although price is of less importance than the technical factors combined, it will be considered in the overall evaluation. The degree of its importance will increase with the degree of equality of the proposals in relation to the other factors on which selection is to be based, or when the price is so significantly high as to diminish the value of the technical superiority to the government.

Evaluation Criteria 1-3 are listed in descending order of priority. Any sub-criteria listed under a particular criterion are of equal importance to each other.

1) Criteria 1:

Potential contribution and relevance to ONA's mission and DOD concerns

- a.** Importance of the topic and degree of innovation
- b.** Feasibility and soundness of the technical approach

2) Criteria 2:

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Offeror's capabilities, related experience, and past performance, including the qualifications, capabilities, and experience of the proposed personnel

- a. The quality of technical personnel proposed
- b. The offeror's experience in relevant efforts with similar resources and ability to manage the proposed effort

3) Criteria 3:

Price analysis for the reasonableness of the proposed price

- a. Total price relative to benefit
- b. Reasonableness of price levels for facilities and staffing

VII. NEGOTIATION AND AWARD OF PROPOSALS

The government may award proposals with or without negotiations. The government may ask for additional information/clarification of the proposal at the discretion of the government. Awards may be made subject to availability of funds IAW FAR 232.18, Availability of Funds and FAR 232.19, Availability of Funds for the Next Fiscal Year.

No further awards will be made after June 13, 2028, or sooner if this BAA solicitation is amended to change the final date. Proposals submitted in response to this BAA will not be returned. The government is not required to inform or notify any offeror of the unselected/unaccepted proposals.

VIII. SCHEDULE OF PROPOSAL SUBMISSION DATES

2023

- a) October 15, 2023

2024

- b) January 15, 2024
- c) April 15, 2024
- d) July 5, 2024
- e) October 5, 2024

2025

- f) January 5, 2025
- g) April 5, 2025
- h) July 5, 2025
- i) October 5, 2025

2026

- j) January 5, 2026
- k) April 5, 2026
- l) July 5, 2026
- m) October 5, 2026

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2027

- n) January 5, 2027
- o) April 5, 2027
- p) July 5, 2027
- q) October 5, 2027

2028

- r) January 5, 2028
- s) April 5, 2028
- t) June 13, 2028