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SOSSEC | THE SYSTEM
OF SYSTEMS
CONSORTIUM

SOSSEC 10-Step Process for Project Proposals under the Army Homeland Defense (HLD) Other Transaction Agreement

2016-08-23

THE 10-STEP PROJECT PROPOSAL PROCESS

Step 1.

SOSSEC Early Involvement

- SOSSEC, Inc. gets involved during the exploratory /acquisition planning phase with potential Government customer/sponsor to:
 - Properly educate potential customers regarding purpose and limitations of OTAs
 - Ensure the requirement fits within the scope of the SOSSEC OTA
 - Establish clear understanding of both the process and the roles/responsibilities of all the parties from start to finish
 - Ensure realistic expectations to customer's usual initial inquiry regarding lead-time to project-level agreement award and funding obligation :
 - *"How long will it take to obligate my monies?"*
 - Gain *early* Government customer confidence in SOSSEC Consortium, SOSSEC Inc. and the OTA Process
 - SOSSEC *"face to face"* interaction with government customer usually the most effective means of communication and establishing mutual understanding
- Communicate the process (Request for White Paper and Request for Project Proposal) and the estimated proposal submission and project award timelines
- Impress upon the Government customer how the OTA process and practices can efficiently and effectively foster competition between the SOSSEC Consortium members resulting in enhanced technological solutions

Step 2.

Government Customer Submission to ARDEC's OTA Program Mgr.: (includes SOO, MIPR, ARDEC Form 255)

A Statement Objective (SOO) is what is initially required whether the OTA project award process is initiated by a Request for White Papers (RWP) or a Request for Project Proposals (RPP).

Statement of Objective (SOO) Key Elements:

- Provides the *Background* of the Government Organization and specific Program Office's mission, a *Summary* of what the technological gaps and issues the Government is seeks to improve and, a *Discussion* of the actual prototype deliverable and project's objective(s).
- It is important that the SOO discusses how the Prototype(s) will **enhance the mission effectiveness of military personnel and the supporting platforms, systems, components, or materials proposed to be acquired or developed by DoD, or Improvement of platforms, systems, components, or materials in use by the Armed Services.**

- It should be noted that a prototype requirement can be determined to be within scope of the OTA but, not eligible for project award if, the effort is not considered a new, separate and distinct requirement or the effort duplicates work conducted under a previous OTA project.

Examples of Statements of Objectives (SOO)

Sample #1

Project: Content Level Security (CLS) Prototype

Summary:

The Government seeks proposals for establishing a set of core solutions aimed at increasing the survivability, effectiveness, and efficiency of cyber weapons systems and command and control solutions employed by the US Air Force. The solutions should range from technology pilots, analyses and assessments, to initial operational capabilities within the agency. The solutions must address defensive cyber protection, military command and control operations, continuity of operations for mission critical command and control solutions, alignment of technological solutions against command and control requirements, interoperability of services, and workforce skills relative to the command and control mission. The solutions should support early achievement of initial operational capabilities and support an expanding user community.

Background:

The United States Air Force, in conjunction with the Department of Defense (DoD) and Intelligence Community (IC), has a need to find and share information within their individual organizations and across the federal enterprise. Two key capabilities to enable this sharing are the capability to publish or register information within catalogs or indexes and the capability for authorized users to search over those catalogs to find relevant content. There is also a need to provide discovery, important governance processes and business rules over the processes of publishing and discovering information. The prototype must operate in conjunction with Enterprise Level Security (ELS) in order to make sure that only authoritative information is published and that users have sufficient insight into the availability of information, even in some cases when they are not currently authorized to access that information.

Discussion:

The Government seeks proposals for a prototype to rapidly modernize content level security technology infrastructure.

a) Initial Prototype Assessment/Design

A comprehensive end-to-end content level security combines and integrates Air Force Enterprise Level Security, with automated content meta-data tagging capabilities, desktop authoring tools, Content Management Systems, and Information rights management, and Enterprise Search capabilities. The government seeks an assessment to identify/incorporate best fit GOTS/COTS prototype that addresses:

- Information Rights Management Service (IRM)

- Automated Metadata Population Service (AMPS)
- Content Management System (CMS)
- Enterprise Search Service

b) Content Level Security Prototype

- Develop a content level security prototype solution that integrates AF Enterprise Level Security SAML-based authorization with the ability to dynamically control access to content within and outside the DoD firewalls. The solution should provide content authors with the ability to create and associate relevant and domain-specific data tags through both manual and automated methods at the point of saving the content. Metadata should be stored in Metadata Directory service in a DDMS compliant format. Furthermore, the generated metacard and the information asset need to be cryptographically linked so that a change in either one will be noticed and obvious.
- The solution should also provide data managers with the ability to define access policies using natural language in terms of domain vocabularies and identity claims. Access policies should be made available to content authors to manually apply against content. Access policies should also extend into the Information Rights Management system to secure the content wherever it resides. The Information Rights Management System will integrate with ELS such that content consumers can obtain authoritative identity claims needed to decrypt IRM-secured content.
- The prototype solution should support the early achievement of initial operating capability and be designed around a multi-tenant, scalable, service oriented architecture facilitating spiral development and ease of evolution, expansion and refinement, with scalability to support an expanding user community.

Sample #2 (another acceptable SOO format)

Project: XYZ Study/Analysis and Prototype Development

1. Background:

- The US Air Force is sponsoring a combined industry, government and Federally Funded Research and Development Center (FFRDC) working group to collaboratively develop a recommended specification and prototype advanced battle management architecture.
- Central to the working group is the establishment of a government-owned Open System Architecture (OSA) specification for XXXXX
- Future Air Force mission systems will utilize the framework to XXXXX
- Furthermore, the specification must be relevant across a broad spectrum of mission areas and nodes, but focused primarily XXXXX

2. Government Intent:

- The USAF is seeking a prototypical architecture that simplifies integration of new software components, enables affordable hardware technology refresh and capability upgrade, and reduces the overall weapons system lifecycle cost. The scope of this Statement of Objective (SOO) covers XYZ Working Group Phase I:

Reference Specification Development. Technical task description for XYZ Phase II: Prototyping & Demonstration will be included in a different SOW and is intended to be a follow-on effort to Phase I that will...

- The working group will use a systems engineering process to define, demonstrate, evaluate, mature, and document a reference specification/prototype architecture for a next-generation BM capability.

3. Scope:

- This SOO defines the requirements for the contractor to assist the USAF in the development of the reference specification.
- Figure 3.1

4. Working Group Tasks:

- Task 1: Working Group Governance Structure, Schedule and Milestones
- The team shall collaboratively create a governance structure to include.....
- The industry team shall put in place....
- The group shall also craft a working group defined process, rules, controls....
- Efforts shall culminate in prototypical architecture design

5. Schedule:

6. Deliverables:

1. Final Technical Report and documenting XYZ which discusses as a minimum the following:
 - This report will provide a concise and factual discussion of significant accomplishment(s) and progress during the year covered by the report. Each of the topics described below shall be addressed for the project performed:
 - A comparison of actual accomplishments with the goals and objectives of the project established for the period.
 - Reasons why established goals and objectives were not met, if appropriate.
 - A cumulative chronological list of written publications in technical journals. Include those in press as well as manuscripts in preparation and planned for later submission. Indicate likely journals, authors and titles.
 - Papers presented at meetings, conferences, seminars, etc.
 - New discoveries, inventions or patent disclosures and specific applications stemming from the individual project provided that such disclosure shall not compromise the rights of the inventor.

2. Recommended Interface Control Documents

3. Concept Demonstration:

7. Projected Improvements: It is anticipated that the following improvements will be the result from this prototyping effort: (Insert Improvements Anticipated)

8. Government Rights:

- All data/information associated with the project, ICDs, and written software interfaces shall be non-proprietary and carry unlimited government rights as these items represent a potential data package for.....
9. Period of Performance: xx Months
 10. Program Office Estimate: \$XXXXX
 11. Place of Performance:
 12. Government Furnished Information and/or Equipment available for use: Identify Specifics (Location and Equipment)
 13. Base Support to be provided: Identify Locations, Equipment, and approval of Base Commander
 14. Government Point of Contact: name, email address, telephone number
 15. Security Requirements: A DD Form 254, "DEPARTMENT OF DEFENSE CONTRACT SECURITY CLASSIFICATION SPECIFICATION" specifying the Clearance and Safeguarding and Facility Safeguarding requirements of this Project along with all other pertinent requirements will be provided to ARDEC along with the SOO. At this time it is anticipated that the project will require Top Secret SCI clearances and below. The contractor will store and have access to classified documents and generate classified information on computer systems at its facility up to the SECRET and FOCAL POINT Level
 16. OPSEC Plan or COMSEC Plan requirement:
 17. Prototype to be developed/delivered in support of a weapon system:
 - Identify both prototype(s) to be developed and weapon system(s) supported, if any, and how the prototype deliverable will enhance the mission effectiveness of military personnel and the supporting platforms, systems, components, or materials proposed to be acquired or developed by DoD, or Improvement of platforms, systems, components, or materials in use by the Armed Services.

Sample #3

Project: CAS Analysis and Prototyping

- The Air Force requested project to be performed under the SOSSEC Consortium OTA Technical Area 3 is a new, separate and distinct requirement.
- No other OTA Projects have been conducted that duplicate this specific requirement.

Background:

- Joint Publication 3-09.3 "Close Air Support (CAS)" dated July 2009 is in the process of undergoing the first major revisions in over 3 years.

- As such, DoD is responsible for validating the proposed revised tactics and techniques and providing substantial recommendations prior to final JCS approval.
- The final draft to revise the current Joint Publication 3-90.3 has been distributed for user recommendations prior to final approval of the Chairman of the Joint Chiefs of Staff.
- This important publication sets forth joint doctrine to govern the activities and performance of the Armed Forces of the United States in joint operations and provides the doctrinal basis for interagency coordination and for US military involvement in multinational operations. It provides military guidance for
- This project will focus on a variety of prototypes that are not simply intended to gather data. It is the analysis of such data and the results of testing that is expected to result in improvements and possible modifications to both attack aircraft hardware and validate/improve recommended new Joint Pub tactics.

Requirement:

- Prototype Development to support collection/analyses of data necessary for Air Force to provide required field recommendations and validation of the new Joint Publication.
- To meet Air Force's obligation to the Joint Chiefs of Staff, specific Prototypes must be developed that can properly assist in the collection and analyses.
- The purpose of this requirement is for a contractor to perform specific, focused research and, to develop prototypes to demonstrate technologies and new tactics that directly support AF's present need in the area of Joint Pub validation.
- Research and prototypical development shall support efforts related to data links, targeting and communication systems, digitally aided close air support systems, global stores management and communications systems, sensors, Cockpit display , GUI technologies and ultimately many proposed new aspects of close air support.

Specific Deliverable:

- The Prototype hardware deliverables and the evaluation of the data will be used to support the Joint Pub requirement/and more specifically the data will be analyzed to support the sufficiency of the prototypes and whether the prototypes meet their intended purpose.
- A critical aspect of the project is for new proposed Joint Pub requirements to be prototyped.
- The results of the evaluation of the new proposed prototypes may be used to modify present United States of America's military aircraft commonly used in support of CAS.
- Also required is the design, development of two MER (mechanical ejector rack) Prototypes and development of new audio/video recording prototypes capable of enhancing AF's ability to validate the proposed new Joint Pub requirements. The audio/visual prototype recorders developed will be used to provide more accurate

documentation of events and enhance the ability to more accurately capture data for this specific requirement and also to be used in the future by AF to incrementally improve future joint tactics missions.

- Additionally, the modified MERs will be developed to meet the present shortfall, the results of which may translate to possible important modifications to attack aircraft.
- The prototypical rack needs to be developed and integrated so AF can maximize ordnance delivery capability of U.S. military aircraft.
- The audio/video recording prototype, integrated into the aircraft, will be evaluated during mission execution to determine its use for future requirements and capabilities.
- All Prototypes will be a deliverable under the Project.

Acceptance Testing:

- Demonstrate and validate the Prototypes through a variety of representative exercises conducted at three CONUS locations.
- Prototypes will be judged based on the fidelity of the data analyzed. Prototypes should gather data valuable to AF's ability to accurately analyze the validity of the new tactics, techniques and procedures resulting from the new Joint Publication's procedures.

Weapon System Supported:

- CAS operations being undertaken support multiple aircraft, the most predominant ones being A-10s, F-16s, AV-8B Harrier, and F-15E Strike Eagles.

Air Force JTACs must have a firm understanding of Joint and Allied CAS policies and procedures, and US and Foreign aircraft that may engage in CAS

Attachments to SOO:

MIPR: In addition to forwarding the MIPR to the Government Financial Manager, Draft or Final MIPR should be attached to SOO submitted to the Government OTA PM (***MIPR:** See **Step 5** for MIPR Instructions.)

Security Requirements:

- **DD Form 254:** Must complete the ARDEC Form 255 (Section II.a.) to specify individual OTA Project's Security Requirements. The government project manager must fill out the attached form and submit with the SOO and MIPR.
- **ARDEC Form 255** will be the basis for the final DD Form 254, "Department of Defense Contract Security Classification Specification" specifying the Clearance and Safeguarding requirements and the customer's specific guidelines of the project should be included with the SOO.

ARDEC Form DD 255 Applicable Section:

1. Inclusion of this signed security review form is required in all SOSSEC OTA project requirement's packages.
2. The original requesting activity's Point of Contact (POC) (i.e. Government Customer) must identify the minimum expected access and security requirements which will drive the completion of the remaining sections of this form.
3. If the answers to Section II.a are all "NOs" then only the Government Customer requesting/originating signature (at the end of Section II.a) is required.
4. If Section II.a. contains a "YES" answer in one of the four functional area (AT, IA, INFOSEC, OPSEC) then the requesting/originating (at the end of Section II.a) and the Government Customer's functional security officer must sign the ARDEC Form 255.

Section II. If the proposed SOSSEC OTA Project is expected to involve the actions or access to complete the project, check a "YES" and also check the "PWS" Block. If this type of action or access is not required check "NO." A "NO" answer means this action or access is not required to fulfill the project requirements.

II.a. ORIGINATING / REQUESTING ACTIVITY CONSIDERATIONS:

In order to perform project _____ the contractor must do the following:
("YES" answer requires further coordination with the appropriate organization or security discipline).

FOOTNOTES:

1. (AT) Contract requires employees to work on a DoD CONUS Installation with CAC access and/or installation badge.	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> PWS	1,3, 4,5,6,9, 10,11,12
2. (AT) Contract requires employees to work or deploy OCONUS on DoD Installation with CAC access and/or installation badge.	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> PWS	1,2,3,4,5,6, 7, 8,9, 10, 11,12
3. (AT) Contract requires employees to work OCONUS (location not on a DoD Installation).	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> PWS	2, 4, 7, 8
4. (AT) Contract requires employees to build or occupy a structure meeting Unified Facility Criteria (UFCs) for AT (DoD Minimum Antiterrorism Standoff and Standards for Buildings). (UFC 4-010-01 and -02)	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> PWS	Add PWS
5. (AT) Contract involves storing of <input type="checkbox"/> HAZMAT, and/or <input type="checkbox"/> Arms Ammunition & Explosives (AA&E).	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> PWS	16
6. (IA) Contractor IT equipment and/or network is required to meet Defense Information Assurance Certification and Accreditation Process (DIACAP) for transmitting and storing sensitive or classified U.S. Government information.	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> PWS	9, 10,11, 12, 13
7. (IA) Contractor employees need a CAC to access, encrypt or transmit FOUO or Controlled Unclassified Information (CUI).	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> PWS	9, 10, 11, 12,
8. (IA) Contract involves issuance of CAC for IT network access.	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> PWS	9,10, 11,12
9. (INFOSEC) Contract requires contractor use of COMSEC equipment.	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> PWS	9,10,11,12,13
10. (INFOSEC) Contract involves classified information system processing.	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> PWS	9,10,11,12,13
11. (INFOSEC) Contract involves export of FOUO or CUI.	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> PWS	9, 13.a.
12. (INFOSEC) Contractor will be required to handle, access or store FOUO or CUI at their contractor location.	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> PWS	14
13. (INFOSEC) Contractor will be required to handle, access or store Confidential, Secret or Top Secret information at their contractor location.	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> PWS	13, 14, 15
14. (OPSEC) Contract will require contractor to publish documents or prepare audio visual media at the public release level.	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> PWS	14,15
15. (OPSEC) Contract requires access to Essential Elements of Friendly Information (EEFI) and/or Critical Information List (CIL).	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> PWS	14, 15
16. (OPSEC) Contract requires <input type="checkbox"/> access to or <input type="checkbox"/> development of an OPSEC Plan.	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> PWS	14,15
17. (TECH PROTECT) Contract requires access to Critical Program Information.	<input type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> PWS	14, 15, 13.b.
18. (FDO) ITAR Clause (Mandatory inclusion)	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> NO	<input type="checkbox"/> PWS	13.a
19.				

Originating / Requesting Activity Signature: I have reviewed the requirements of the contract, identified the required access to sensitive, FOUO or classified access and associated AT and security issues, and the SOW/PWS must include all applicable security requirements listed above.

Printed Name:

Signature:

Phone Number:

Date:

Step 3. Scope Determination

- Scope depends the nature of the work and end product
- The OTA is limited to research, developmental and prototyping work
- Strictly Sustainment or Maintenance of a system would not be within scope. However, something like :
 - “ research, analysis, and prototype development to lead to global communications architecture improvements and to enable the Air Force to connect multiple intelligence platforms to the Distributed Common Ground System quicker and more efficiently.....” could be within scope.
- SOSSEC and ARDEC review to ensure work is within scope of the OTA
- ARDEC Program Manager submits a Statement to support AO Determination & Finding
- ARDEC OTA Program Manager forwards to the Army Contracting office, the Government Customer’s SOO with an assessment as to why the project is within scope of the OTA. This ARDEC OTA PM input is used to support the AO’s (PCO) Determination & Finding
- Key aspect of scope determination:
 - Prototype projects under OT Authority should be directly relevant to
 - Enhancing the mission effectiveness of military personnel and the supporting platforms, systems, components, or materials proposed to be acquired or developed by DoD, or Improvement of platforms, systems, components, or materials in use by the Armed Services.
 - Work can be determined within scope of OTA but, not eligible for award if effort not considered a new, separate and distinct requirement
 - Cannot duplicate work conducted under a previous OTA project

Step 4. Identify Prototype

SOSSEC works with the ARDEC OTA PM to ensure the project as described in the SOO identifies prototyping activity

- A prototype is an early sample or model built to test a concept or process or to act as a thing to be replicated or learned from.
- It is a term used in a variety of contexts, including semantics, design, electronics, and software programming.

- A prototype is designed to test and trial a new design to enhance precision by system analysts and users.
- Prototyping serves to provide specifications for a real, working system rather than a theoretical one.
- Engineers use their experience to tailor the prototype according to the specific unknowns still present in the intended designed.
 - For example, some prototypes are used to confirm and verify consumer interest in a proposed design whereas other prototypes will attempt to verify the performance or suitability of a specific design approach.
 - A prototype is not necessarily physical it can be Training/tactics, structured process, etc.

Step 5.

Transfer of Funds from Government Customer to ARDEC

The Military Interdepartmental Purchase Request (MIPR) (DD Form 448) is one of the primary vehicles for funding customer requirements.

- Determining proper use of “fund type”:
 - Always keep in mind the cognizant Government customer’s/sponsor’s Financial Manager (FM) has fiscal responsibility for the funds. The FM is responsible to ensure that appropriated funds are used only for needs that arise in the year(s) of the appropriation’s obligation and are used only for the purposes and programs for which the appropriation was made.
- There are four important phases of an Appropriation’s “life cycle”: Committed, Obligated, Expired and Canceled.
 - Customer’s Funds are obligated once a project is awarded to SOSSEC on the OTA
- The following MIPR instructions are provided to the Government customer’s Financial Managers:

Army/ARDEC OTA MIPR Instructions (subject to change)

- Contract Number: OTA# W15QKN-12-9-1006
- Please send a split MIPR via email to PICA_mantrac@conus.army.mil with copy to:
- ARDEC FM:
- CAT I: Reimbursable (\$k reimbursable fee) - 4% of contract value(\$ amount CAT II)
- CAT II: Direct Cite (\$k to be funded on contract)
 - Address as follows:
 - US Army ARDEC
RDAR-FMO
Building 93, 4th Floor
Picatinny Arsenal, NJ 07806-5000

- Along with a brief statement of work/funding purpose, please put the following in the text of the MIPR:
 - Contract Specialist:
 - ARDEC Technical POC:
 - ARDEC Financial POC:
 - Cost Center: ELB1
 - Period of Performance: ____ months
 - Requested start date of the project: (month/year) :
 - Funds desired/required obligation date: _____
 - Funds must be expended by: _____
 - Prime Contractor: SOSSEC, Inc.
 - Contractual vehicle: SOSSEC Consortium OTA

Note: ARDEC interagency code is "1A" should you need to identify it on the MIPR.

ARDEC CATEGORY I Reimbursable Funds

- The Government customer/sponsor should be made aware early in the planning phase that ARDEC receives an Agency Fee from the customer.
 - ARDEC's Agency Fee is used to pay for their cost of operation: presently 4% of the project's acquisition price
 - Army allows ARDEC to receive an agency fee from government customers funded by direct appropriations to support the center's operations

Step 6.

Request for White Paper (RWP) and Request for Project Proposal (RPP)

- Army Contracting Command and ARDEC submit a Request for White Paper (RWP) and/or a Request for Project Proposal (RPP) to SOSSEC, Inc.
- SOSSEC Inc. competitively solicits members' ideas and solutions via posts on the SOSSEC Consortium website
- Normal due date for proposal(s) submission of either a RWP or RPP:
 - Consortium Members to SOSSEC, Inc.: 9 to 13 calendar days from posting
 - SOSSEC, Inc. to the Government OTA Agreements Officer: 10 to 14 calendar days from posting

Step 7.

Non Traditional Contractor Involvement in Each OTA Project

OTAs require Non-traditional Defense Contractor participation "*to a significant extent*" in a prototype project as an alternative to a *one third cost-sharing*. Specifically:

Non-traditional Defense Contractors and Small Businesses

- Each Project awarded under an OTA must meet one of the following criteria:

- 1) There is at least one non-traditional defense contractor participating to a significant extent in the prototype project;
- 2) All significant participants in the transaction other than the Federal Government are *small businesses* **OR** *non-traditional defense contractors*; and
- 3) At least one third of the total cost of the prototype projects is to be paid out of funds provided by parties to the transaction other than the Federal Government

- It should be noted that “*significant*” is **not** defined in the statute.
- It is important to note that each project award is judged on its own merits.

COST SHARING

The Government will assess the extent of expected participation by non-traditional defense contractors to determine whether the statutory cost share will be required. This assessment will be made against each individual project / project selected for award under issued RPPs. If at any time during the period of performance of a particular project / project there is no nontraditional defense contractor participating to a significant extent in the project, the government will require that at least one third of the total cost of the prototype project is paid out of funds provided by parties to the project other than the Federal Government.

“Non-traditional defense contractor” Definition

The definition of “non-traditional defense contractor” is as follows:

- An entity that is not currently performing and has not performed, for at least the one-year period preceding the solicitation of sources by the Department of Defense for the procurement or transaction, any contract or subcontract for the Department of Defense that is subject to **the full coverage under the Cost Accounting Standards (CAS)** prescribed pursuant to Section 1502 of title 41 and the regulations implementing such section.

Small Businesses participation in OTAs:

- The traditional/nontraditional delineation is irrelevant to contractors deemed “small businesses”
- The law expanded and encouraged the participation of small businesses in OTA prototype projects by requiring the use of either a small businesses or Non-traditional Defense Contractors as the significant participants in an OTA project.
- All small businesses representing themselves as Non-traditional Defense Contractors should ensure that contracts on which they performed during the previous year were not subject to full CAS coverage.

Significant Involvement Defined

- These nontraditional defense contractors can be at the prime level, team members, subcontractors, lower tier vendors, or “intra-company” business units; provided the business unit makes a significant contributions to the prototype project (i.e., is a key participant).

- Examples of what might be considered a significant contribution includes supplying new key technology or products, accomplishing a significant amount of the effort, or in some other way causing a material reduction in the cost or schedule or increase in the performance.

Step 8.

Consortium Member Submits Technical (SOW), Cost Proposal, and Warranties and Representations to SOSSEC, Inc.

- SOSSEC works closely with members to ensure White Paper responses and Detailed Proposals are fully compliant and in accordance with the Government's Information for proposal preparation instructions in each solicitation.
- Cost Proposals should be Firm Fixed Price and the offeror should propose Milestones (with projected dollar values) for invoicing purposes.
- Technical and Cost Proposals must be sufficiently supported for SOSSEC, Inc. to perform a detailed Cost/Price Analysis and determine fair and reasonableness of the proposed price.
- Sample Statement of Work format:
- "Title of Proposed Effort" which is described using terms related to the purpose of the OTAs, i.e. Research, Developmental and Prototyping (Recommend the word "prototype" be used in title)
- Glossary of Abbreviations and Acronyms.
 - 1.0 STATEMENT OF WORK.
 - 2.0 PURPOSE.
 - 3.0 Scope of work.
 - 3.1 Reference Architecture: Integrating XYZ into the existing Enterprise ABC Architecture
 - 3.2 Maximizing the Utility of GMTI Data.
 - 4.0 Program Management
 - 5.0 Deliverables/Milestones
 - 6.0 Contract Data Requirements List (CDRL)
 - 7.0 Conclusion.

Nontraditional Contractor Warranties and Representations

- Each offeror in response to an RWP and/or RPP must represent the following regarding traditional/nontraditional status:
- Prime Contractor. Based on the foregoing definition of a nontraditional defense contractor, the Prime Contractor (insert Organization Name) for the proposed project is a traditional defense contractor is a nontraditional defense contractor. (check one)

- Prime Contractor with Nontraditional Defense Contractor. Based on the foregoing definition of a nontraditional defense contractor, (insert Organization Name) is a nontraditional defense contractor and will provide a critical contribution to the Prime Contractor for the proposed prototype project.
- White Paper responses and Detailed Project Proposals must:
 - List key technologies, products and/or processes that the nontraditional defense contractor will provide that are critical to the successful completion of the proposed prototype project.
 - White Papers response typically do not require a detailed cost proposal, just a ROM. At the Request for Project Proposal phase of the process, a detailed cost proposal is required and should be submitted in the recommended SOSSEC format and include SOSSEC'S required level of cost information. Each proposal should include a Milestone Delivery/Payment Schedule that aligns with the cost proposal in the following format:

MILESTONE PAYMENT SCHEDULE					
		(A)	(B)	(A+B)	
Milestone	Deliverables	Member Amount	SOSSEC Fee	Total (\$) Milestone	Delivery Date
	(EXAMPLES OF MILESTONE DELIVERABLES)				(in terms of months after project award)
1	Prototype Implementation Plan (IMP/IMS)				1
2	Prototype Preliminary Design/Solution				2
3	Prototype Conceptual Design				3
4	Initial Design Assessment/Evaluation				4
5	Complete Prototype Model, Pre-Demonstration				5
6	Prototype Functional/Performance Demo Test Plan	-	-	-	6
7	Perform Functional Testing Demo of Prototype Models		-	-	7
8	Functional Test Analysis Report				8
9	Prototype Field Demonstration Test Plan				9
10	Submit Updated Prototype for Field Demo Testing				10
11	Field Test Analysis Report				11
12	Final Prototype				12
13	User Documentation and Final Technical Report				13
Total of Milestone Amounts for all Project Tasks					
(and Total Project Price)					

ROUNDING: All Amounts must be rounded to the nearest dollar

Step 9. Proposal Evaluation

- The OTA PM and AO requests the Government Customer/Sponsor Perform a Technical Evaluation and provide as a minimum a narrative for each of the White Paper responses and detailed Technical Proposals received in response to a project announcement
- SOSSEC, Inc. performs a Cost/Price Analysis (and make a Fair and Reasonable Price Determination) of each SOSSEC Consortium members' cost proposal
- The OTA Program Manager requests the Government customer/sponsor Technical POC evaluate the White Paper submissions and Technical Proposals and quantitative and qualitative aspects of the cost proposal according to specific standard instructions:

Army Standard Basis of Project Selection:

Request for White Paper:

- If the initial step in the project award process is a Request for White Paper (RWP), the Army issues the RWPs through the CAO, SOSSEC Inc., for each technology gap identified to be funded.
- If the process allows, there may be an opportunity for a Preliminary Vector Check where the Consortium Members are encouraged to discuss their proposed novel idea or innovative solution with the Government Technical POC.
- Consortium Members submission of White Paper Response provide technical detail limited to approximately 5 to 7 pages along with a ROM price.

Selection of Meritorious Ideas for Comprehensive Proposal:

- Government identifies proposed White Paper solutions that have merit.
- Members with meritorious ideas/solutions are asked to submit detailed tech/cost proposals via a Request for Project Proposal (RPP).
- The criteria used to select the most promising/meritorious white paper responses will vary based on the Government customer's requirement.

Request for Project Proposal:

Technical Evaluation:

- Technical Benefit Evaluation Sub Factors
- The overall Technical Benefit Merit Rating will be based on an integrated assessment of the below Technical Benefit Evaluation Sub Factors. Each Technical Benefit Evaluation Sub Factor will receive an adjectival rating of Excellent, Good, Fair and Poor. Based on these adjectival ratings, an overall Technical Benefit Factor Rating will be determined using an adjectival rating as follows:

- Excellent +/-, Good +/-, Fair +/- and Poor +/-.
 - The four Technical Benefit Evaluation Sub Factors are listed in decreasing order of importance:
 - Ability to address a specific technology gap objective area.
 - Comprehensiveness of schedule and plans.
 - Personnel, facility and resource plans.
 - Non-traditional Defense Contractor Involvement.

Cost Assessment:

SOSSEC, Inc.'s and the Government Customer's Responsibilities

- Cost/Price Analysis of the Offeror's Research Area proposal will be performed by SOSSEC, Inc., Consortium Management Firm. SOSSEC, Inc. will evaluate the cost proposal for completeness, reasonableness, and realism of the proposed costs. SOSSEC, Inc., or the Government through SOSSEC, Inc., may make adjustments to the cost of the total proposed project as deemed necessary to reflect what they assess the project should cost. These adjustments shall consider the task undertaken and technical approach proposed. These adjustments may include upward or downward adjustments to proposed labor hours, labor rates, quantity and price of equipment/materials, travel, burden rates and profit/fee.
- The cost proposal must be consistent with information provided in the technical proposal (i.e., BOEs, costs, cost share, dates, etc.).
- The Cost Proposal Format section of the proposal must include a breakout of the total cost proposed by cost element for each new year of the program. In addition, proposals should be broken out by offerors business year. Supporting data and justification for labor, equipment/ material, team member/subcontractor, consultants, travel, other direct costs, and indirect costs used in developing the cost breakdown must also be included.
- The cost proposal will include the "sample composite labor hour worksheet" if specifically by SOSSEC in requested in the RPP proposal preparation instructions.
- Cost must be broken out by task and individual cost element.
- The Offeror must provide sufficient details to allow full understanding of and justification for the proposed costs and all the quantitative and qualitative aspects of the proposal.
- The Government Technical Evaluation will evaluate and comment on the quantitative and qualitative aspects of Offeror's proposed direct labor categories, skill mix and hours to perform total proposed project.
- The technical evaluation should also evaluate/ comment on any Offeror proposed Work Breakdown Structure (WBS) for specific project tasks, milestones and deliverables.

- The technical evaluation shall review/ comment on any proposed travel, materials and requested Government Furnished Property, Government Furnished Information or requested Base Support requirements of the Offerors proposal.
- SOSSEC, Inc. will take into consideration exceptions taken in the Government Technical Evaluation during negotiations of the total project price.

Step 10. Project Award

- The Government Agreements Officer awards the OTA Project-level Agreement to SOSSEC, Inc. based on the selected SOSSEC Member's acceptable Technical and Cost Proposal.
- After SOSSEC receives specific direction from the Agreements Officer and an OTA modification funding the specific project, SOSSEC, Inc. issues a sub-contract agreement to the selected Consortium Member
- Subcontract Terms and Conditions:
 - Subcontract incorporates, by reference, applicable OTA Articles
 - Articles flow down from SOSSEC OTA to subcontract
 - Articles in full text on SOSSEC Consortium website
 - DD Form 254 and/or applicable OPSEC requirements
 - DD Form 1423 Data Deliverables
 - Milestone Delivery Schedule/Invoice and Payment Instructions