

Broad Agency Announcement

Learning with Less Labels (LwLL)

HR001118S0044

August 6, 2018



Defense Advanced Research Projects Agency

Information Innovation Office

675 North Randolph Street

Arlington, VA 22203-2114

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PART I: OVERVIEW INFORMATION

- **Federal Agency Name:** Defense Advanced Research Projects Agency (DARPA), Information Innovation Office (I2O)
- **Funding Opportunity Title:** Learning with Less Labels (LwLL)
- **Announcement Type:** Initial Announcement
- **Funding Opportunity Number:** HR001118S0044
- **Catalog of Federal Domestic Assistance Numbers (CFDA):** 12.910 Research and Technology Development
- **Dates**
 - Posting Date: August 6, 2018
 - Proposers Day: July 13, 2018
 - Abstract Due Date: August 21, 2018, 12:00 noon (ET)
 - Proposal Due Date: October 2, 2018, 12:00 noon (ET)
 - BAA Closing Date: October 2, 2018, 12:00 noon (ET)
- **Anticipated Individual Awards:** DARPA anticipates multiple awards under this solicitation.
- **Types of Instruments that May be Awarded:** Procurement contracts, cooperative agreements or Other Transactions
- **Agency Contacts**
 - **Technical POC:** Wade Shen, Program Manager, DARPA/I2O
 - **BAA Email:** LwLL@darpa.mil
 - **BAA Mailing Address:**
DARPA/I2O
ATTN: HR001118S0044
675 North Randolph Street
Arlington, VA 22203-2114
 - **I2O Solicitation Website:** <http://www.darpa.mil/work-with-us/opportunities>

PART II: FULL TEXT OF ANNOUNCEMENT

I. Funding Opportunity Description

DARPA is soliciting innovative research proposals in the area of machine learning and artificial intelligence. Proposed research should investigate innovative approaches that enable revolutionary advances in science, devices, or systems. Specifically excluded is research that primarily results in evolutionary improvements to the existing state of practice.

This Broad Agency Announcement (BAA) is being issued, and any resultant selection will be made, using procedures under Federal Acquisition Regulation (FAR) 6.102(d)(2) and 35.016. Any negotiations and/or awards will use procedures under FAR 15.4 (or 32 CFR § 200.203 for cooperative agreements). Proposals received as a result of this BAA shall be evaluated in accordance with evaluation criteria specified herein through a scientific review process.

DARPA BAAs are posted on the Federal Business Opportunities (FBO) website (<https://www.fbo.gov/>) and the Grants.gov website (<http://www.grants.gov/>).

The following information is for those wishing to respond to this BAA.

A. Introduction/Background

In supervised machine learning (ML), the ML system learns by example to recognize things, such as objects in images or speech. Humans provide these examples to ML systems during their training in the form of labeled data. With enough labeled data, we can generally build accurate pattern recognition models.

The problem is that training accurate models currently requires lots of labeled data. For tasks like machine translation, speech recognition or object recognition, deep neural networks (DNNs) have emerged as the state of the art, due to the superior accuracy they can achieve. To gain this advantage over other techniques, however, DNN models need more data, typically requiring 10^9 or 10^{10} labeled training examples to achieve good performance.

The commercial world has harvested and created large sets of labeled data for training models. These datasets are often created via crowdsourcing: a cheap and efficient way to create labeled data. Unfortunately, crowdsourcing techniques are often not possible for proprietary or sensitive data. Creating data sets for these sorts of problems can result in 100x higher costs and 50x longer time to label.

To make matters worse, machine learning models are brittle, in that their performance can degrade severely with small changes in their operating environment. For instance, the performance of computer vision systems degrades when data is collected from a new sensor and new collection viewpoints. Similarly, dialog and text understanding systems are very sensitive to changes in formality and register. As a result, additional labels are needed after initial training to adapt these models to new environments and data collection conditions. For many problems, the labeled data required to adapt models to new environments approaches the amount required to train a new model from scratch.

B. Program Description

The goal of this program is to make the process of training machine learning models more efficient by reducing the amount of labeled data required to build a model by six or more orders of magnitude, and by reducing the amount of data needed to adapt models to new environments to tens to hundreds of labeled examples.

In order to achieve the massive reductions of labeled data needed to train accurate models, the Learning with Less Labels program (LwLL) will divide the effort into two technical areas (TAs). TA1 will focus on the research and development of learning algorithms that learn and adapt efficiently; and TA2 will formally characterize machine learning problems and prove the limits of learning and adaptation.

TA1: Learn and Adapt Efficiently

The goal of TA1 is to develop learning algorithms that: (1) reduce the amount of labeled data required to build a model from scratch by at least a factor of 10^6 ; and (2) adapt to new environments with hundreds of labeled examples. These algorithms can make use of as much unlabeled data as they wish and they may choose specific examples for labeling. The resulting algorithms may make use of existing models developed with publicly available corpora or pre-existing data (labeled and/or unlabeled) from publicly available datasets (which specific datasets will be allowed will be determined in advance of challenge problem evaluations). Algorithms must work autonomously. This means that given a dataset, algorithms must be able to automatically determine which exemplars they would like to have labeled, select from existing corpora or existing models for potential transfer, and create models of a given task without human intervention. Algorithms can create data as part of this process, but they cannot manually create labels.

In order to achieve these ambitious goals, it is likely that new methods will be needed to focus on salient aspects of input data while reducing nuisance variation, and to exploit unlabeled data via implicit or indirect supervision will be needed. DARPA anticipates advances in methods such as meta-learning, automated (and potentially distant) transfer learning, reinforcement learning, active learning, unsupervised or semi-supervised learning, and/or k-shot learning. Novel combinations of these techniques may be needed to achieve program performance targets. That said, any approach that can meet program objectives is in scope, including those not listed above. To support TA1 performers, DARPA will curate and make available to program performers a corpus of at least four hundred machine learning problems and associated models.

TA1 techniques will be evaluated on an annual basis against a set of challenge problems such as computer vision, video recognition, and/or machine translation. These evaluation events will test the ability of TA1 algorithms to train models from scratch (task TA1.1) and adapt existing models to a new domain (TA1.2). For any given challenge, active labeling methods can be used to decide which examples will receive labels. DARPA will define the training and adaptation tasks and will provide guidelines and restrictions on data usage (e.g., subsets of the supplied corpus that can be used for a given challenge problem) for each annual evaluation.

TA2: Limits of Machine Learning and Adaptation

The goal of TA2 is to formally prove limits on the amount of labeled data needed to solve a given machine learning problem. To do this, methods are needed to formally characterize machine learning problems, both in terms of their decision difficulty and the true complexity of the data from which decisions are made. The resulting characterizations should enable the proof of limits on training and adaptation for different classes of machine learning problems, different models, and different kinds of data associated with said problems. DARPA seeks theories that prove tight bounds on learning in the presence of transfer and meta-transfer learning. The scope of this TA includes extensions to PAC (Probably Approximately Correct) learning theory (and variants) or alternative formalisms to prove tight class-specific problem bounds (e.g., extensions to VC theory), and statistical theory needed to characterize data complexity (e.g., extensions to Johnson-Lindenstrauss) and domain mismatch.

TA2 theories will be applied during annual evaluations to provide upper-bound estimates on performance of challenge problems as defined by DARPA. We anticipate refinement of program characterization and theories based on interactions with TA1 systems during annual evaluation events.

C. Program Structure

The period of performance for LwLL will be 36 months. The timeline for this program is shown in *Figure 1*. LwLL is divided into two phases, each 18 months in duration. Evaluations will be held every 12 months and at the end of each phase (i.e., an additional end-of-first-phase evaluation will occur at the 18-month point of the program timeline). While teams are required to submit systems individually for evaluation, teams are also encouraged to work with each other to build better systems through combined submissions during program evaluations. Between evaluations, the program will hold a series of collaboration events to allow performer teams to explore cross-team techniques and prepare for program evaluations. Program performance targets for each phase are detailed in *Figure 2* and *Figure 3*.

For TA1, the objectives of Phase 1 are a 10^3 x reduction in required training data when building models from scratch, and adaptation with thousands of examples. These objectives will be evaluated on image object detection and classification. The final objectives for TA1 match the program's overall goal: 10^6 x reduction in labeled data needed to build a model from scratch and 10^2 labeled examples needed to adapt to new environments. TA1 performers will need to prove minimal performance loss with respect to current state of the art, and must demonstrate this on all three challenge problems by the end of each phase of the program.

The objectives described in TA2 will be evaluated based on the tightness of provable bounds, and number and quality of peer-refereed articles for each of the topical areas listed in *Figure 3*.

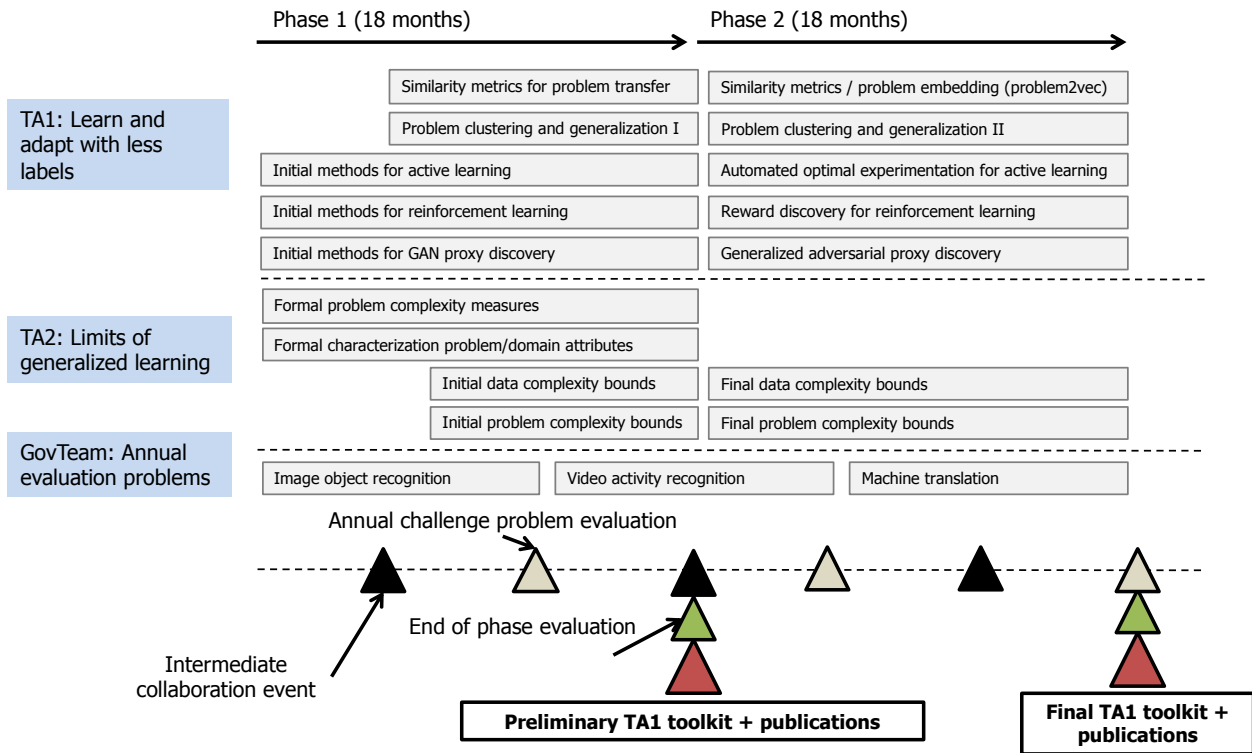


Figure 1: Program Schedule

| Challenges | Phase 1 | | Phase 2 | |
|--|---------------|---------------|---------------|---------------|
| | Train (TA1.1) | Adapt (TA1.2) | Train (TA1.1) | Adapt (TA1.2) |
| Object detection¹ Train: LSVRC (open) Adapt: TBD Metric: mAP @ # labels | 80% @ 10^5 | 80% @ 10^3 | 80% @ 10^2 | 80% @ 10^2 |
| Object classification² Train: LSVRC (open) Adapt: TBD Metric: mAP @ # labels | 97% @ 10^6 | 97% @ 10^3 | 97% @ 10^3 | 97% @ 10^2 |
| Activity recognition³ Train: TRECVID MED task Adapt: TBD Metric: mAP @ # labels | | | 41% @ 10^3 | 41% @ 10^2 |
| Machine translation⁴ Train: OpenMT task Adapt: TBD Metric: BLEU @ # labels | | | 47% @ 10^3 | 47% @ 10^2 |

Figure 2: Program Goals for TA1 (accuracy @ N labeled examples. See terms here^{1,2,3,4})

¹ LSVRC = ImageNet Large Scale Visual Recognition Challenge

² mAP = Mean Average Precision

³ TRECVID MED = NIST TREC Video Multimedia Event Detection

⁴ BLEU = BiLingual Evaluation Understudy metric

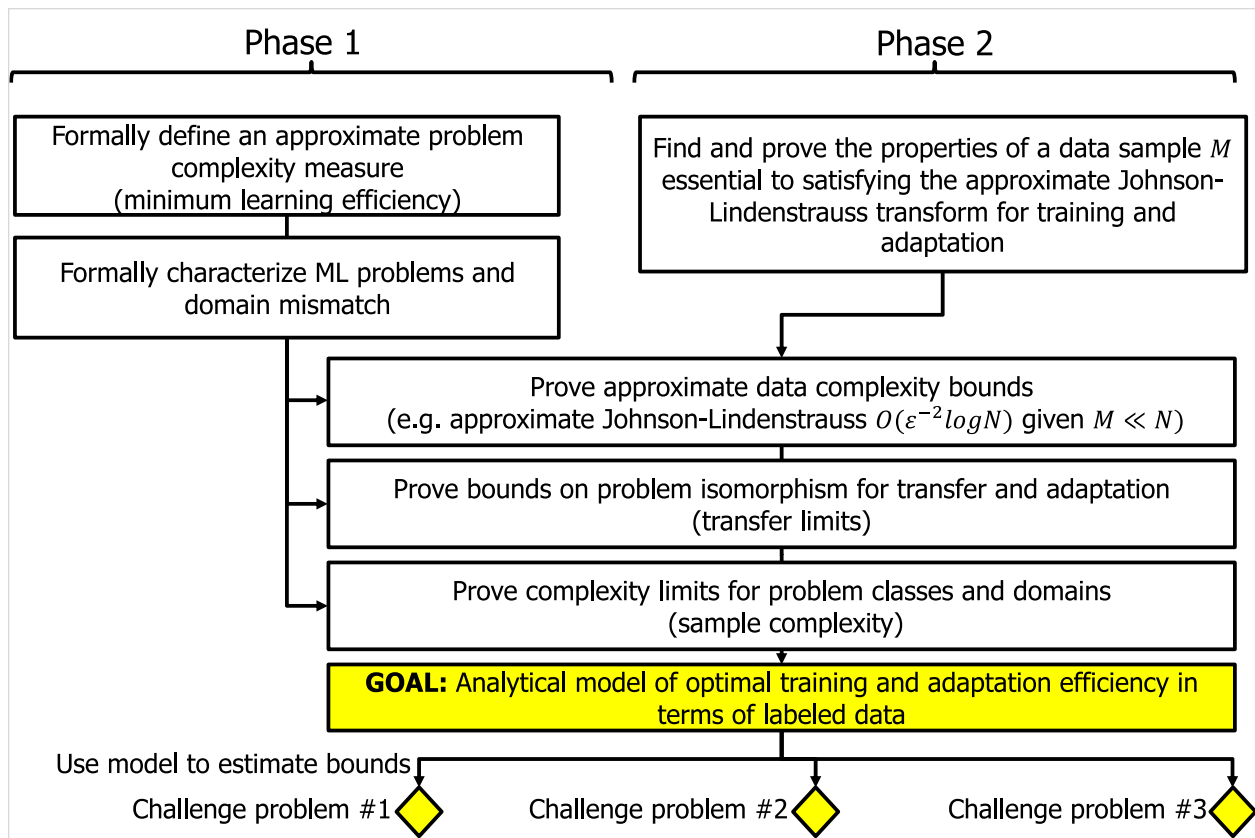


Figure 3: Program Goals for TA2

D. Schedule, Milestones and Evaluation

The program will conduct a series of annual evaluations and collaboration events in the greater Washington DC area as shown in the schedule (see *Figure 1*). These events will last 2 weeks and will be conducted in every summer and winter (timed to the academic calendar). In addition to these events, semi-annual site visits (at or near performer locations) will be conducted by DARPA management to assess intermediate progress.

E. Deliverables

The Government anticipates receiving the following deliverables throughout the program:

- Any technical papers covering work funded by LwLL;
- Any data created during program work on program challenge problems;
- Commented source code, any other necessary data, and documentation (including at a minimum a user manual and a detailed software design document) for all software developed under this program;
- Quarterly technical status reports detailing progress made, tasks accomplished, major risks, planned activities, trip summaries, changes to key personnel, and any potential issues or problem areas that require the attention of the Government Team must be provided within 10 days after the end of each month;
- Monthly financial status reports must be provided within 10 days after the end of each month;

- A final phase report for each program phase that must concisely summarize the effort conducted, technical achievements, and remaining technical challenges, and will be due one calendar month after the end of each phase; and
- A final report at the end of the overall period of performance that summarizes the project

Award instrument type may alter this list.

F. Government-furnished Property/Equipment/Information

In order to support program evaluations (annual and end-of-phase), the Government will make available training data and adaptation data with associated labels. Government furnished information will be made available as indicated below:

- For TA1 performers who intend to do active labeling or active learning, an application programming interface (API)/mechanism for requesting labels for specific examples will be accessible during (and after) evaluations for each challenge problem. This API will be made available for testing and integration two months prior to the first evaluation.
- Datasets and problems derived from open, on-line data sources such as OpenML, kaggle, dataverse, and NIST evaluations, etc. will also be available to LwLL performers for meta-learning and transfer learning purposes at program kickoff. These datasets and any corresponding models cover more than 400 problems across multiple domains and multiple tasks.

G. Intellectual Property

The program will emphasize creating and leveraging open source technology and architecture. Intellectual property rights asserted by proposers are strongly encouraged to be aligned with open source regimes. See Section VI.B.1 for more details on intellectual property.

A key goal of the program is to create open algorithms that enable future applied research efforts to make use of the results of this program. This includes the ability to easily add, remove, substitute, and modify software components. This will facilitate rapid innovation by providing a base for future users or developers of program technologies and deliverables. Therefore, it is desired that all noncommercial software (including source code), software documentation, hardware designs and documentation, and technical data generated by the program be provided as deliverables to the Government, with a minimum of Government Purpose Rights (GPR), as lesser rights may adversely impact the lifecycle costs of affected items, components, or processes.

II. Award Information

A. Awards

Multiple awards are anticipated. The level of funding for individual awards made under this solicitation has not been predetermined and will depend on the quality of the proposals received and the availability of funds. Awards will be made to proposers whose proposals are determined to be the most advantageous to the Government, all factors considered, including the potential contributions of the proposed work, overall funding strategy, and availability of funding. See Section V for further information.

The Government reserves the right to:

- select for negotiation all, some, one, or none of the proposals received in response to this solicitation;
- make awards without discussions with proposers;
- conduct discussions with proposers if it is later determined to be necessary;
- segregate portions of resulting awards into pre-priced options;
- accept proposals in their entirety or to select only portions of proposals for award;
- fund proposals in increments and/or with options for continued work at the end of one or more phases;
- request additional documentation once the award instrument has been determined (e.g., representations and certifications); and
- remove proposers from award consideration should the parties fail to reach agreement on award terms within a reasonable time or the proposer fails to provide requested additional information in a timely manner.

Proposals selected for award negotiation may result in a procurement contract, cooperative agreement, or Other Transaction (OT) depending upon the nature of the work proposed, the required degree of interaction between parties, and other factors.

Proposers looking for innovative, commercial-like contractual arrangements are encouraged to consider requesting Other Transactions. To understand the flexibility and options associated with Other Transactions, consult <http://www.darpa.mil/work-with-us/contract-management#OtherTransactions>.

In accordance with 10 U.S.C. § 2371b(f), the Government may award a follow-on production contract or Other Transaction (OT) for any OT awarded under this BAA if: (1) that participant in the OT, or a recognized successor in interest to the OT, successfully completed the entire prototype project provided for in the OT, as modified; and (2) the OT provides for the award of a follow-on production contract or OT to the participant, or a recognized successor in interest to the OT.

In all cases, the Government contracting officer shall have sole discretion to select award instrument type, regardless of instrument type proposed, and to negotiate all instrument terms and conditions with selectees. DARPA will apply publication or other restrictions, as necessary, if it determines that the research resulting from the proposed effort will present a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense. Any award resulting from such a determination will include a requirement for DARPA permission before publishing any information or results on the

program. For more information on publication restrictions, see the section below on Fundamental Research.

B. Fundamental Research

It is DoD policy that the publication of products of fundamental research will remain unrestricted to the maximum extent possible. National Security Decision Directive (NSDD) 189 defines fundamental research as follows:

‘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.

As of the date of publication of this BAA, the Government expects that program goals as described herein may be met by proposers intending to perform fundamental research and does not anticipate applying publication restrictions of any kind to individual awards for fundamental research that may result from this BAA. Notwithstanding this statement of expectation, the Government is not prohibited from considering and selecting research proposals that, while perhaps not qualifying as fundamental research under the foregoing definition, still meet the BAA criteria for submissions. If proposals are selected for award that offer other than a fundamental research solution, the Government will either work with the proposer to modify the proposed statement of work to bring the research back into line with fundamental research or else the proposer will agree to restrictions in order to receive an award.

Proposers should indicate in their proposal whether they believe the scope of the research included in their proposal is fundamental or not. While proposers should clearly explain the intended results of their research, the Government shall have sole discretion to select award instrument type and to negotiate all instrument terms and conditions with selectees. Appropriate clauses will be included in resultant awards for non-fundamental research to prescribe publication requirements and other restrictions, as appropriate. This clause can be found at <http://www.darpa.mil/work-with-us/additional-baa>.

For certain research projects, it may be possible that although the research being performed by the awardee is restricted research, a subawardee may be conducting fundamental research. In those cases, it is the awardee’s responsibility to explain in their proposal why its subawardee’s effort is fundamental research

C. Disclosure of Information and Compliance with Safeguarding Covered Defense Information Controls

The following provisions and clause apply to all solicitations and contracts; however, the definition of “controlled technical information” clearly exempts work considered fundamental research and therefore, even though included in the contract, will not apply if the work is fundamental research.

DFARS 252.204-7000, “Disclosure of Information”

DFARS 252.204-7008, “Compliance with Safeguarding Covered Defense Information Controls”

DFARS 252.204-7012, “Safeguarding Covered Defense Information and Cyber Incident Reporting”

The full text of the above solicitation provision and contract clauses can be found at <http://www.darpa.mil/work-with-us/additional-baa#NPRPAC>.

Compliance with the above requirements includes the mandate for proposers to implement the security requirements specified by National Institute of Standards and Technology (NIST) Special Publication (SP) 800-171, “Protecting Controlled Unclassified Information in Nonfederal Information Systems and Organizations” (see <https://doi.org/10.6028/NIST.SP.800-171r1>) that are in effect at the time the BAA is issued.

For awards where the work is considered fundamental research, the contractor will not have to implement the aforementioned requirements and safeguards; however, should the nature of the work change during performance of the award, work not considered fundamental research will be subject to these requirements.

III. Eligibility Information

A. Eligible Applicants

DARPA welcomes engagement from all responsible sources capable of satisfying the Government's needs, including academia (colleges and universities); businesses (large, small, small disadvantaged, etc.); other organizations (including non-profit); entities (foreign, domestic, and government); FFRDCs; minority institutions; and others.

DARPA welcomes engagement from non-traditional sources in addition to current DARPA performers.

1. Federally Funded Research and Development Centers (FFRDCs) and Government Entities

a. FFRDCs

FFRDCs are subject to applicable direct competition limitations and cannot propose to this BAA in any capacity unless they meet the following conditions: (1) FFRDCs must clearly demonstrate that the proposed work is not otherwise available from the private sector. (2) FFRDCs must provide a letter on official letterhead from their sponsoring organization citing the specific authority establishing their eligibility to propose to Government solicitations and compete with industry, and their compliance with the associated FFRDC sponsor agreement's terms and conditions. This information is required for FFRDCs proposing to be awardees or subawardees.

b. Government Entities

Government Entities (e.g., Government/National laboratories, military educational institutions, etc.) are subject to applicable direct competition limitations. Government entities must clearly demonstrate that the work is not otherwise available from the private sector and provide written documentation citing the specific statutory authority and contractual authority, if relevant, establishing their ability to propose to Government solicitations.

c. Authority and Eligibility

At the present time, DARPA does not consider 15 U.S.C. § 3710a to be sufficient legal authority to show eligibility. While 10 U.S.C. § 2539b may be the appropriate statutory starting point for some entities, specific supporting regulatory guidance, together with evidence of agency approval, will still be required to fully establish eligibility. DARPA will consider FFRDC and Government entity eligibility submissions on a case-by-case basis; however, the burden to prove eligibility for all team members rests solely with the proposer.

2. Foreign Participation

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.

B. Organizational Conflicts of Interest

FAR 9.5 Requirements

In accordance with FAR 9.5, proposers are required to identify and disclose all facts relevant to potential OCIs involving the proposer's organization and *any* proposed team member (subawardee, consultant). Under this Section, the proposer is responsible for providing this disclosure with each proposal submitted to the BAA. The disclosure must include the proposer's, and as applicable, proposed team member's OCI mitigation plan. The OCI mitigation plan must include a description of the actions the proposer has taken, or intends to take, to prevent the existence of conflicting roles that might bias the proposer's judgment and to prevent the proposer from having unfair competitive advantage. The OCI mitigation plan will specifically discuss the disclosed OCI in the context of each of the OCI limitations outlined in FAR 9.505-1 through FAR 9.505-4.

Agency Supplemental OCI Policy

In addition, DARPA has a supplemental OCI policy that prohibits contractors/performers from concurrently providing Scientific Engineering Technical Assistance (SETA), Advisory and Assistance Services (A&AS) or similar support services and being a technical performer. Therefore, as part of the FAR 9.5 disclosure requirement above, a proposer must affirm whether the proposer or *any* proposed team member (subawardee, consultant) is providing SETA, A&AS, or similar support to any DARPA office(s) under: (a) a current award or subaward; or (b) a past award or subaward that ended within one calendar year prior to the proposal's submission date.

If SETA, A&AS, or similar support is being or was provided to any DARPA office(s), the proposal must include:

- The name of the DARPA office receiving the support;
- The prime contract number;
- Identification of proposed team member (subawardee, consultant) providing the support; and
- An OCI mitigation plan in accordance with FAR 9.5.

Government Procedures

In accordance with FAR 9.503, 9.504 and 9.506, the Government will evaluate OCI mitigation plans to avoid, neutralize or mitigate potential OCI issues before award and to determine whether it is in the Government's interest to grant a waiver. The Government will only evaluate OCI mitigation plans for proposals that are determined selectable under the BAA evaluation criteria and funding availability.

The Government may require proposers to provide additional information to assist the Government in evaluating the proposer's OCI mitigation plan.

If the Government determines that a proposer failed to fully disclose an OCI; or failed to provide the affirmation of DARPA support as described above; or failed to reasonably provide additional information requested by the Government to assist in evaluating the proposer's OCI mitigation plan, the Government may reject the proposal and withdraw it from consideration for award.

C. Cost Sharing/Matching

Cost sharing is not required; however, it will be carefully considered where there is an applicable statutory condition relating to the selected funding instrument (e.g., OTs under the authority of 10 U.S.C. § 2371).

D. Other Eligibility Requirements

Each proposal submitted in response to this BAA shall address only one technical area. Organizations may submit multiple proposals to any one TA, or they may propose to multiple TAs. The decision as to which proposal to consider for award is at the discretion of the Government; however, there are no conflicts between technical areas.

IV. Application and Submission Information

A. Address to Request Application Package

This document contains all information required to submit a response to this solicitation. No additional forms, kits, or other materials are needed except as referenced herein. No request for proposal (RFP) or additional solicitation regarding this opportunity will be issued, nor is additional information available except as provided at the Federal Business Opportunities website (<https://www.fbo.gov>), the Grants.gov website (<http://www.grants.gov/>), or referenced herein.

B. Content and Form of Application Submission

1. Abstracts

Proposers are highly encouraged to submit an abstract in advance of a proposal to minimize effort and reduce the potential expense of preparing an out of scope proposal. The abstract provides a synopsis of the proposed project, including brief answers to the following questions:

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

DARPA will respond to abstracts with a statement as to whether DARPA is interested in the idea. If DARPA does not recommend the proposer submit a full proposal, DARPA will provide feedback to the proposer regarding the rationale for this decision. Regardless of DARPA's response to an abstract, proposers may submit a full proposal. DARPA will review all full proposals submitted using the published evaluation criteria and without regard to any comments resulting from the review of an abstract.

Abstract Format: Abstracts shall not exceed a maximum of four (4) pages per technical area (maximum of 8 pages if submitting to TA1 and TA2), including the cover sheet and all figures, tables, and charts. The page limit does not include a submission letter (optional).

All pages shall be formatted for printing on 8-1/2 by 11-inch paper with 1-inch margins and font size not smaller than 12 point. Font sizes of 8 or 10 point may be used for figures, tables, and charts. Document files must be in .pdf, .odx, .doc, .docx, .xls, or .xlsx formats. Submissions must be written in English. All pages should be numbered.

Abstracts must include the following components:

- **Cover Sheet:** Provide the administrative and technical points of contact (name, address, phone, email, lead organization). Include the BAA number, title of the proposed project, primary subcontractors, estimated cost, duration of the project, and the label "Abstract."
- **Goals and Impact:** Describe what is being proposed and what difference it will make (qualitatively and quantitatively) if successful. Describe the innovative aspects of the project in the context of existing capabilities and approaches, clearly delineating the

relationship of this work to any other projects from the past and present.

- **Technical Plan:** Outline and address all technical challenges inherent in the approach and possible solutions for overcoming potential problems. Provide appropriate specific milestones (quantitative, if possible) at intermediate stages of the project to demonstrate progress.
- **Capabilities/Management Plan:** Provide a brief summary of expertise of the team, including subcontractors and key personnel. Identify a principal investigator for the project and include a description of the team’s organization including roles and responsibilities. Describe the organizational experience in this area, existing intellectual property required to complete the project, and any specialized facilities to be used as part of the project. List Government-furnished property, facilities, or data assumed to be available. If desired, include a brief bibliography with links to relevant papers, reports, or resumes of key performers. Do not include more than two resumes as part of the abstract. Resumes count against the abstract page limit.
- **Statement of Work, Cost and Schedule:** Provide a cost estimate for resources over the proposed timeline of the project, broken down by year. Include labor, materials, a list of deliverables and delivery schedule. Provide cost estimates for each subcontractor (may be a rough order of magnitude).

2. Proposals

Proposals consist of Volume 1: Technical and Management Proposal (including mandatory Appendix A and optional Appendix B); Volume 2: Cost Proposal; the Level of Effort Summary by Task Excel spreadsheet; and the PowerPoint summary slide.

All pages shall be formatted for printing on 8-1/2 by 11-inch paper with 1-inch margins, single-line spacing, and a font size not smaller than 12 point. Font sizes of 8 or 10 point may be used for figures, tables, and charts. Document files must be in .pdf, .odx, .doc, .docx, .xls, or .xlsx formats. Submissions must be written in English. All pages of Volume 1 should be numbered.

A summary slide of the proposed effort, in PowerPoint format, should be submitted with the proposal. A template slide is provided as an attachment to the BAA. Submit this PowerPoint file in addition to Volumes 1 and 2 of your full proposal, and the Level of Effort Summary by Task Excel spreadsheet. This summary slide does not count towards the total page count.

Reminder – Each proposal submitted in response to this BAA shall address only one TA. Organizations may submit multiple proposals to any one TA, or they may propose to multiple TAs.

Proposals not meeting the format prescribed herein may not be reviewed.

a. Volume 1: Technical and Management Proposal

The maximum page count for Volume 1 is 30 pages for proposals addressing one technical area and 40 pages for proposals addressing both technical areas, including all figures, tables,

and charts but not including the cover sheet, table of contents or appendices. A submission letter is optional and is not included in the page count. Appendix A does not count against the page limit and is mandatory. Appendix B does not count against the page limit and is optional. Additional information not explicitly called for here must not be submitted with the proposal, but may be included in the bibliography in Appendix B. Such materials will be considered for the reviewers' convenience only and not evaluated as part of the proposal.

Volume 1 must include the following components:

i. Cover Sheet: Include the following information.

- Label: “Proposal: Volume 1”
- BAA number (HR001118S0044)
- Technical Area
- Proposal title
- Lead organization (prime contractor) name
- Type of organization, selected from the following categories: Large Business, Small Disadvantaged Business, Other Small Business, HBCU, MI, Other Educational, or Other Nonprofit
- Technical point of contact (POC) including name, mailing address, telephone, and email
- Administrative POC including name, mailing address, telephone number, and email address
- Award instrument requested: procurement contract (specify type), cooperative agreement or OT.⁵
- Total amount of the proposed effort
- Place(s) and period(s) of performance
- Other team member (subcontractors and consultants) information (for each, include Technical POC name, organization, type of organization, mailing address, telephone number, and email address)
- Proposal validity period (minimum 180 days)
- Data Universal Numbering System (DUNS) number⁶
- Taxpayer identification number⁷
- Commercial and Government Entity (CAGE) code⁸
- Proposer's reference number (if any)

ii. Table of Contents

⁵ Information on award instruments can be found at <http://www.darpa.mil/work-with-us/contract-management>.

⁶ The DUNS number is used as the Government's contractor identification code for all procurement-related activities. Go to <http://fedgov.dnb.com/webform/index.jsp> to request a DUNS number (may take at least one business day). For further information regarding this subject, please see www.darpa.mil/work-with-us/additional-baa for further information.

⁷ See <http://www.irs.gov/businesses/small/international/article/0,,id=96696,00.html> for information on requesting a TIN. Note, requests may take from 1 business day to 1 month depending on the method (online, fax, mail).

⁸ A CAGE Code identifies companies doing or wishing to do business with the Federal Government. For further information regarding this subject, please see www.darpa.mil/work-with-us/additional-baa.

iii. Executive Summary: Provide a synopsis of the proposed project, including answers to the following questions:

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

The executive summary should include a description of the key technical challenges, a concise review of the technologies proposed to overcome these challenges and achieve the project's goal, and a clear statement of the novelty and uniqueness of the proposed work.

iv. Innovative Claims and Deliverables: Describe the innovative aspects of the project in the context of existing capabilities and approaches, clearly delineating the uniqueness and benefits of this project in the context of the state of the art, alternative approaches, and other projects from the past and present. Describe how the proposed project is revolutionary and how it significantly rises above the current state of the art.

Describe the deliverables associated with the proposed project and any plans to commercialize the technology, transition it to a customer, or further the work. Discuss the mitigation of any issues related to sustainment of the technology over its entire lifecycle, assuming the technology transition plan is successful.

v. Technical Plan: Outline and address technical challenges inherent in the approach and possible solutions for overcoming potential problems. Demonstrate a deep understanding of the technical challenges and present a credible (even if risky) plan to achieve the project's goal. Discuss mitigation of technical risk. Provide appropriate measurable milestones (quantitative if possible) at intermediate stages of the project to demonstrate progress and a plan for achieving the milestones.

vi. Management Plan: Provide a summary of expertise of the proposed team, including any subcontractors/consultants and key personnel who will be executing the work. Resumes count against the proposal page limit so proposers may wish to include them in Appendix B. Identify a principal investigator (PI) for the project. Provide a clear description of the team's organization including an organization chart that includes, as applicable, the relationship of team members; unique capabilities of team members; task responsibilities of team members; teaming strategy among the team members; and key personnel with the amount of effort to be expended by each person during the project. Provide a detailed plan for coordination including explicit guidelines for interaction among collaborators/subcontractors of the proposed project. Include risk management approaches. Describe any formal teaming agreements that are required to execute this project. List Government-furnished materials or data assumed to be available.

vii. Personnel, Qualifications, and Commitments: List key personnel (no more than one page per person), showing a concise summary of their qualifications, discussion of previous accomplishments, and work in this or closely related research areas. Indicate the level of effort in terms of hours to be expended by each person during each contract

year and other (current and proposed) major sources of support for them and/or commitments of their efforts. DARPA expects all key personnel associated with a proposal to make a substantial time commitment to the proposed activity, and the proposal will be evaluated accordingly. It is DARPA’s intention to put key personnel conditions into the awards, so proposers should not propose personnel that are not anticipated to execute the award.

Include a table of key individual time commitments as follows:

| Key Individual | Project | Status (Current, Pending, Proposed) | Hours on Project | |
|----------------|----------------|--|------------------|---------|
| | | | Phase 1 | Phase 2 |
| Name 1 | LwLL | Proposed | x | x |
| | Project Name 1 | Current | x | x |
| | Project Name 2 | Pending | n/a | x |
| Name 2 | LwLL | Proposed | x | x |
| | Project Name 3 | Proposed | x | x |

viii. Capabilities: Describe organizational experience in relevant subject area(s), existing intellectual property, or specialized facilities. Discuss any work in closely related research areas and previous accomplishments.

ix. Statement of Work (SOW): The SOW must provide a detailed task breakdown, citing specific tasks and their connection to the interim milestones and metrics, as applicable. Each year of the project should be separately defined. The SOW must not include proprietary information. For each defined task/subtask, provide:

- A general description of the objective.
- A detailed description of the approach to be taken to accomplish each defined task/subtask.
- Identification of the primary organization responsible for task execution (prime contractor, subcontractor[s], consultant[s]), by name.
- A measurable milestone, (e.g., a deliverable, demonstration, or other event/activity that marks task completion).
- A definition of all deliverables (e.g., data, reports, software) to be provided to the Government in support of the proposed tasks/subtasks.
- Identify any tasks/subtasks (by the prime or subcontractor) that will be accomplished at a university and believed to be fundamental research.

x. Schedule and Milestones: Provide a detailed schedule showing tasks (task name, duration, work breakdown structure element as applicable, performing organization), milestones, and the interrelationships among tasks. The task structure must be consistent with that in the SOW. Measurable milestones should be clearly articulated and defined in time relative to the start of the project.

xi. Appendix A: This section is mandatory and must include all of the following components. If a particular subsection is not applicable, state “NONE”.

(1). Team Member Identification: Provide a list of all team members including the

prime, subcontractor(s), and consultant(s), as applicable. Identify specifically whether any are a non-US organization or individual, FFRDC and/or Government entity. Use the following format for this list:

| Individual Name | Role (Prime, Subcontractor or Consultant) | Organization | Non-US? | | FFRDC or Govt? |
|-----------------|---|--------------|---------|------|----------------|
| | | | Org. | Ind. | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

- (2). Government or FFRDC Team Member Proof of Eligibility to Propose:** If none of the team member organizations (prime or subcontractor) are a Government entity or FFRDC, state “NONE”.

If any of the team member organizations are a Government entity or FFRDC, provide documentation (per Section III.A.1) citing the specific authority that establishes the applicable team member’s eligibility to propose to Government solicitations to include: 1) statutory authority; 2) contractual authority; 3) supporting regulatory guidance; and 4) evidence of agency approval for applicable team member participation.

- (3). Government or FFRDC Team Member Statement of Unique Capability:** If none of the team member organizations (prime or subcontractor) are a Government entity or FFRDC, state “NONE”.

If any of the team member organizations are a Government entity or FFRDC, provide a statement (per Section III.A.1) that demonstrates the work to be performed by the Government entity or FFRDC team member is not otherwise available from the private sector.

- (4). Organizational Conflict of Interest Affirmations and Disclosure:** If none of the proposed team members is currently providing SETA or similar support as described in Section III.B, state “NONE”.

If any of the proposed team members (individual or organization) is currently performing SETA or similar support, furnish the following information:

| Prime Contract Number | DARPA Technical Office supported | A description of the action the proposer has taken or proposes to take to avoid, neutralize, or mitigate the conflict |
|-----------------------|----------------------------------|---|
| | | |
| | | |

- (5). Intellectual Property (IP):** If no IP restrictions are intended, state “NONE”. The Government will assume unlimited rights to all IP not explicitly identified as having less than unlimited rights in the proposal.

For all technical data or computer software that will be furnished to the Government with other than unlimited rights, provide (per Section VI.B.1) a list describing all proprietary claims to results, prototypes, deliverables or systems supporting and/or necessary for the use of the research, results, prototypes and/or deliverables. Provide documentation proving ownership or possession of appropriate licensing rights to all patented inventions (or inventions for which a patent application has been filed) to be used for the proposed project. Use the following format for these lists:

| NONCOMMERCIAL | | | | |
|---|--|---------------------|--------------------------|---------------------------------------|
| Technical Data and/or Computer Software To be Furnished With Restrictions | Summary of Intended Use in the Conduct of the Research | Basis for Assertion | Asserted Rights Category | Name of Person Asserting Restrictions |
| (List) | (Narrative) | (List) | (List) | (List) |
| (List) | (Narrative) | (List) | (List) | (List) |

| COMMERCIAL | | | | |
|---|--|---------------------|--------------------------|---------------------------------------|
| Technical Data and/or Computer Software To be Furnished With Restrictions | Summary of Intended Use in the Conduct of the Research | Basis for Assertion | Asserted Rights Category | Name of Person Asserting Restrictions |
| (List) | (Narrative) | (List) | (List) | (List) |
| (List) | (Narrative) | (List) | (List) | (List) |

- (6). Human Subjects Research (HSR):** If HSR is not a factor in the proposal, state “NONE”.

If the proposed work will involve human subjects, provide evidence of or a plan for review by an institutional review board (IRB). For further information on this subject, see Section VI.B.2.

- (7). Animal Use:** If animal use is not a factor in the proposal, state “NONE”.

If the proposed research will involve animal use, provide a brief description of the plan for Institutional Animal Care and Use Committee (IACUC) review and approval. For further information on this subject, see Section VI.B.2.

- (8). Representations Regarding Unpaid Delinquent Tax Liability or a Felony Conviction under Any Federal Law:** For further information regarding this subject, please see www.darpa.mil/work-with-us/additional-baa.

Please also complete the following statements.

(1) The proposer is [] is not [] a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability,

(2) The proposer is [] is not [] a corporation that was convicted of a felony criminal violation under a Federal law within the preceding 24 months.

- (9). Cost Accounting Standards (CAS) Notices and Certification:** For any proposer who submits a proposal which, if accepted, will result in a CAS-compliant contract, must include a Disclosure Statement as required by 48 CFR 9903.202. The disclosure forms may be found at http://www.whitehouse.gov/omb/procurement_casb.

If this section is not applicable, state “NONE”. For further information regarding this subject, please see www.darpa.mil/work-with-us/additional-baa.

xii. Appendix B: If desired, include a brief bibliography to relevant papers, reports, or resumes. Do not include technical papers. This section is optional, and the materials will not be evaluated as part of the proposal review.

b. Volume 2 - Cost Proposal

This volume is mandatory and must include all the listed components. No page limit is specified for this volume.

The cost proposal should include a working spreadsheet file (.xls or equivalent format) that provides formula traceability among all components of the cost proposal. The spreadsheet file should be included as a separate component of the full proposal package. Costs must be traceable between the prime and subcontractors/consultants, as well as between the cost proposal and the SOW.

Pre-award costs will not be reimbursed unless a pre-award cost agreement is negotiated prior to award.

i. Cover Sheet: Include the same information as the cover sheet for Volume 1, but with the label “Proposal: Volume 2.”

ii. Cost Summary Tables: Provide a single-page summary table broken down by fiscal year listing cost totals for labor, materials, other direct charges (ODCs), indirect costs (overhead, fringe, general and administrative [G&A]), and any proposed fee for the project. Include costs for each task in each fiscal year of the project by prime and major subcontractors, total cost and proposed cost share, if applicable. Provide a second table containing the same information broken down by project phase.

iii. Cost Details: For each task, provide the following cost details by month. Include supporting documentation describing the method used to estimate costs. Identify any cost sharing.

(1) Direct Labor: Provide labor categories, rates and hours. Justify rates by providing examples of equivalent rates for equivalent talent, past commercial or Government rates from a Government audit agency such as the Defense Contract Audit Agency (DCAA), the Office of Naval Research (ONR), the Department of Health and Human Services (DHHS), etc.

(2) Indirect Costs: Identify all indirect cost rates (such as fringe benefits, labor overhead, material overhead, G&A or F&A, etc.) and the basis for each.

(3) Materials: Provide an itemized list of all proposed materials, equipment, and supplies for each year including quantities, unit prices, proposed vendors (if known), and the basis of estimate (e.g., quotes, prior purchases, catalog price lists, etc.). For proposed equipment/information technology (as defined in FAR 2.101) purchases equal to or greater than \$50,000, include a letter justifying the purchase. Include any requests for Government-furnished equipment or information with cost estimates (if applicable) and delivery dates.

(4) Travel: Provide a breakout of travel costs including the purpose and number of trips, origin and destination(s), duration, and travelers per trip.

(5) Subcontractor/Consultant Costs: Provide above info for each proposed subcontractor/consultant. Subcontractor cost proposals must include interdivisional work transfer agreements or similar arrangements. If the proposer has conducted a cost or price analysis to determine reasonableness, submit a copy of this along with the subcontractor proposal.

The proposer is responsible for the compilation and submission of all subcontractor/consultant cost proposals. At a minimum, the submitted cost volume must contain a copy of each subcontractor or consultant non-proprietary cost proposal (i.e., cost proposals that do not contain proprietary pricing information such as rates, factors, etc.) Proprietary subcontractor/consultant cost proposals may be included as part of Volume 2. Proposal submissions will not be considered complete unless the Government has received all subcontractor/consultant cost proposals.

If proprietary subcontractor/consultant cost proposals are not included as part of Volume 2, they may be emailed separately to LwLL@darpa.mil. Email messages must include "Subcontractor Cost Proposal" in the subject line and identify the principal investigator, prime proposer organization and proposal title in the body of the message. Any proprietary subcontractor or consultant proposal documentation which is not uploaded to BAAT as part of the proposer's submission or provided by separate email shall be made immediately available to the Government, upon request, under separate cover (i.e., mail, electronic/email, etc.), either by the proposer or by the subcontractor/consultant organization.

Please note that a rough order of magnitude (ROM) or similar budgetary estimate is not considered a fully qualified subcontract cost proposal submission. Inclusion of a ROM or similar budgetary estimate, or failure to provide a subcontract proposal, will result in the full proposal being deemed non-compliant.

(6) ODCs: Provide an itemized breakout and explanation of all anticipated other direct costs.

iv. Proposals Requesting a Procurement Contract: Provide the following information where applicable.

(1) Proposals exceeding the Certified Cost or Pricing threshold defined in the FAR/DFARS: Provide “certified cost or pricing data” (as defined in FAR 2.101) or a request for exception in accordance with FAR 15.403.

(2) Proposals for \$700,000 or more: Pursuant to Section 8(d) of the Small Business Act (15 U.S.C. § 637(d)), it is Government policy to enable small business and small disadvantaged business concerns to be considered fairly as subcontractors to organizations performing work as prime contractors or subcontractors under Government contracts, and to ensure that prime contractors and subcontractors carry out this policy. In accordance with FAR 19.702(a)(1) and 19.702(b), prepare a subcontractor plan, if applicable. The plan format is outlined in FAR 19.704.

(3) Proposers without an adequate cost accounting system: If requesting a cost-type contract, provide the DCAA Pre-award Accounting System Adequacy Checklist to facilitate DCAA’s completion of an SF 1408. Proposers without an accounting system considered adequate for determining accurate costs must complete an SF 1408 if a cost type contract is to be negotiated. To facilitate this process, proposers should complete the SF 1408 found at <http://www.gsa.gov/portal/forms/download/115778> and submit the completed form with the proposal. To complete the form, check the boxes on the second page, then provide a narrative explanation of your accounting system to supplement the checklist on page one.

v. Proposals Requesting an Other Transaction Agreement: Proposers must indicate whether they qualify as a nontraditional Defense contractor⁹, have teamed with a nontraditional Defense contractor, or are providing a one-third cost share for this effort. Provide information to support the claims.

Provide a detailed list of milestones including: description, completion criteria, due date, and payment/funding schedule (to include, if cost share is proposed, contractor and Government share amounts). Milestones must relate directly to accomplishment of technical metrics as defined in the solicitation and/or the proposal. While agreement type (fixed price or expenditure based) will be subject to negotiation, the use of fixed price milestones with a payment/funding schedule is preferred. Proprietary information must not be included as part of the milestones.

c. Level of Effort Summary by Task Spreadsheet

Provide a one-page table summarizing estimated level of effort per task (in hours) broken out by senior, mid-level, and junior personnel, in the format shown below in Figure 4. Also include dollar-denominated estimates of travel, materials, and equipment. For this table,

⁹ For definitions and information on an OT agreement see <http://www.darpa.mil/work-with-us/contract-management>.

consider materials to include the cost of any data sets or software licenses proposed. For convenience, an Excel template is available for download along with the BAA. Submit the Level of Effort Summary Excel file (do not convert the Excel file to pdf format) in addition to Volumes 1 and 2 of your full proposal. This Excel file does not count towards the total page count.

| SOW Task | Duration (months) | Intensity (hrs/mo) | Labor Hours for Prime | | | | | | Labor Hours for Subcontractor/Consultants | | | | | | Total | |
|--|-------------------|--------------------|-----------------------|--------------|--------------|--------------|--------------|--------------|---|------------------|--------------|----------|--------------|---------|-----------------|-------------------|
| | | | Sr | Skill set(s) | Mid | Skill set(s) | Jr | Skill set(s) | Total | SubC-Sr | Skill set(s) | SubC-Mid | Skill set(s) | SubC-Jr | | Skill set(s) |
| 1.1.0 <Phase 1 Task 1 name> | 7 | 135 | 240 | | 680 | | 24 | | 944 | - | | | | | 200 | 1,144 |
| 1.1.1 <Subtask 1.1.1 name> | 4 | 90 | 80 | | 280 | | - | | 360 | | | | | | 200 | 560 |
| 1.1.2 <Subtask 1.1.2 name> | 3 | 195 | 160 | | 400 | | 24 | | 584 | | | | | | - | 584 |
| 1.2.0 <Phase 1 Task 2 name> | 6 | 385 | 108 | | 400 | | 1,800 | | 2,308 | 1,400 | | | | | - | 3,708 |
| 1.2.1 <Subtask 1.2.1 name> | 3 | 656 | 48 | | 320 | | 1,600 | | 1,968 | 600 | | | | | - | 2,568 |
| 1.2.2 <Subtask 1.2.2 name> | 3 | 113 | 60 | | 80 | | 200 | | 340 | 800 | | | | | - | 1,140 |
| : | : | : | : | | : | | : | | : | : | | | | | : | : |
| Phase 1 Total Hours | | | 348 | | 1,080 | | 1,824 | | 3,252 | 1,400 | | | | | 200 | 4,652 |
| Phase 1 Costs <i>First column is prime, second is total subcontractor, third is total consultant, fourth is total</i> | | | | | | | | | \$ 44,000 | \$ 12,000 | | | | | \$ 2,000 | \$ 58,000 |
| | | | | | | | | | \$ 8,000 | \$ - | | | | | \$ - | \$ 8,000 |
| 2.1.0 <Phase 2 Task 1 name> | 8 | 100 | 176 | | 560 | | 64 | | 800 | 100 | | | | | 100 | 1,000 |
| 2.1.1 <Subtask 2.1.1 name> | 7 | 51 | 96 | | 240 | | 24 | | 360 | 100 | | | | | 100 | 560 |
| 2.1.2 <Subtask 2.1.2 name> | 4 | 110 | 80 | | 320 | | 40 | | 440 | - | | | | | - | 440 |
| 2.2.0 <Phase 2 Task 2 name> | 6 | 417 | 180 | | 520 | | 1,800 | | 2,500 | 1,240 | | | | | - | 3,740 |
| 2.2.1 <Subtask 2.2.1 name> | 4 | 435 | 140 | | 400 | | 1,200 | | 1,740 | 400 | | | | | - | 2,140 |
| 2.2.2 <Subtask 2.2.2 name> | 4 | 190 | 40 | | 120 | | 600 | | 760 | 840 | | | | | - | 1,600 |
| : | : | : | : | | : | | : | | : | : | | | | | : | : |
| Phase 2 Total Hours | | | 356 | | 1,080 | | 1,864 | | 3,300 | 1,340 | | | | | 100 | 4,640 |
| Phase 2 Costs <i>First column is prime, second is total subcontractor, third is total consultant, fourth is total</i> | | | | | | | | | \$ 47,000 | \$ 12,000 | | | | | \$ 2,000 | \$ 61,000 |
| | | | | | | | | | \$ - | \$ - | | | | | \$ - | \$ 4,000 |
| 3.1.0 <Phase 3 Task 1 name> | 9 | 71 | 120 | | 400 | | 120 | | 640 | 100 | | | | | 100 | 840 |
| 3.1.1 <Subtask 3.1.1 name> | 3 | 93 | 40 | | 200 | | 40 | | 280 | 100 | | | | | 100 | 480 |
| 3.1.2 <Subtask 3.1.2 name> | 6 | 60 | 80 | | 200 | | 80 | | 360 | - | | | | | - | 360 |
| 3.2.0 <Phase 3 Task 2 name> | 6 | 460 | 160 | | 800 | | 1,800 | | 2,760 | 1,200 | | | | | - | 3,960 |
| 3.2.1 <Subtask 3.2.1 name> | 4 | 370 | 80 | | 400 | | 1,000 | | 1,480 | 600 | | | | | - | 2,080 |
| 3.2.2 <Subtask 3.2.2 name> | 3 | 427 | 80 | | 400 | | 800 | | 1,280 | 600 | | | | | - | 1,880 |
| : | : | : | : | | : | | : | | : | : | | | | | : | : |
| Phase 3 Total Hours | | | 280 | | 1,200 | | 1,920 | | 3,400 | 1,300 | | | | | 100 | 4,800 |
| Phase 3 Costs <i>First column is prime, second is total subcontractor, third is total consultant, fourth is total</i> | | | | | | | | | \$ 48,000 | \$ 12,000 | | | | | \$ 2,000 | \$ 62,000 |
| | | | | | | | | | \$ - | \$ - | | | | | \$ - | \$ - |
| Project Total Hours | | | 984 | | 3,360 | | 5,608 | | 9,952 | 4,040 | | | | | 400 | 14,092 |
| Total Project Costs <i>First column is prime, second is total subcontractor, third is total consultant, fourth is total</i> | | | | | | | | | \$ 139,000 | \$ 36,000 | | | | | \$ 6,000 | \$ 181,000 |
| | | | | | | | | | \$ 12,000 | \$ - | | | | | \$ - | \$ 12,000 |

Figure 4: Example level-of-effort summary table. Numbers illustrate roll-ups and subtotals. The SubC column captures all subcontractor hours and the Conslt column captures all consultant hours. The Skill set(s) columns should indicate an area of expertise (e.g., engineer, software developer, data scientist, subject matter expert).

d. Summary Slide

The submission of a PowerPoint slide summarizing the proposed effort is mandatory. A template PowerPoint slide will be provided on the Federal Business Opportunities (FedBizOpps) website as an attachment. Submit the PowerPoint file (do not convert PowerPoint file to pdf format) in addition to Volumes 1 and 2 of your full proposal. This summary slide does not count towards the total page count.

3. Proprietary and Classified Information

DARPA policy is to treat all submissions as source selection information (see FAR 2.101 and 3.104) and to disclose the contents only for the purpose of evaluation. Restrictive notices notwithstanding, during the evaluation process, submissions may be handled by support contractors for administrative purposes and/or to assist with technical evaluation. All DARPA support contractors performing this role are expressly prohibited from performing DARPA-sponsored technical research and are bound by appropriate nondisclosure agreements.

a. Proprietary Information

Proposers are responsible for clearly identifying proprietary information. Submissions containing proprietary information must have the cover page and each page containing such information clearly marked.

b. Classified Information

Classified submissions (classified technical proposals or classified appendices to unclassified proposals) addressing TA1 or TA2 will not be accepted under this solicitation.

C. Submission Dates and Times

Proposers are warned that submission deadlines as outlined herein are strictly enforced. Note: some proposal requirements may take from 1 business day to 1 month to complete. See the proposal checklist in Section VIII.D for further information.

When utilizing the DARPA BAA Submission Website, as described below in Section IV.E.1 below, a control number will be provided at the conclusion of the submission process. This control number should be used in all further correspondence regarding your abstract/proposal submission.

For proposal submissions requesting cooperative agreements, Section IV.E.1.c, you must request your control number via email at LwLL@darpa.mil. Please note that the control number will not be issued until after the proposal due date and time.

Failure to comply with the submission procedures outlined herein may result in the submission not being evaluated.

1. Abstracts

Abstracts must be submitted per the instructions outlined herein and received by DARPA no later than **August 21, 2018, at 12:00 noon (ET)**. Abstracts received after this date and time will not be reviewed.

2. Proposals

The proposal package -- full proposal (Volume 1, 2, Level of Effort Summary Spreadsheet, and PowerPoint Summary Slide) and, as applicable, proprietary subcontractor cost proposals - must be submitted per the instructions outlined herein and received by DARPA no later than **October 2, 2018, at 12:00 noon (ET)**. Submissions received after this date and time will not be reviewed.

D. Funding Restrictions

Not applicable.

E. Other Submission Requirements

1. Unclassified Submission Instructions

Proposers must submit all parts of their submission package using the same method; submissions cannot be sent in part by one method and in part by another method nor should

duplicate submissions be sent by multiple methods. Emailed submissions of abstracts or full proposals will not be accepted.

a. Abstracts

DARPA/I2O will employ an electronic upload submission system (<https://baa.darpa.mil/>) for all UNCLASSIFIED abstract responses under this solicitation. *Abstracts should not be submitted via Email or Grants.gov.*

First time users of the DARPA BAA Submission Website must complete a two-step account creation process at <https://baa.darpa.mil/>. The first step consists of registering for an Extranet account by going to the above URL and selecting the “Account Request” link. Upon completion of the online form, proposers will receive two separate emails; one will contain a user name and the second will provide a temporary password. Once both emails have been received, proposers must go back to the submission website and log in using that user name and password. After accessing the Extranet, proposers must create a user account for the DARPA BAA Submission Website by selecting the “Register Your Organization” link at the top of the page. The DARPA BAA Submission Website will display a list of solicitations open for submissions. Once a proposer’s user account is created, they may view instructions on uploading their abstract.

Proposers who already have an account on the DARPA BAA Submission Website may simply log in at <https://baa.darpa.mil/>, select this solicitation from the list of open DARPA solicitations, and proceed with their abstract submission. Note: Proposers who have created a DARPA BAA Submission Website account to submit to another DARPA Technical Office’s solicitations do not need to create a new account to submit to this solicitation.

All submissions submitted electronically through DARPA's BAA website must be uploaded as zip files (.zip or .zipx extension). The final zip file should contain only the files requested herein and must not exceed 50 MB in size. Only one zip file will be accepted per submission. Note: Submissions not uploaded as zip files will be rejected by DARPA.

Please note that all submissions MUST be finalized, meaning that no further editing will be possible, when submitting through the DARPA BAA Submission Website in order for DARPA to be able to review your submission. If a submission is not finalized, the submission will not be deemed acceptable and will not be reviewed.

Website technical support may be reached at Action@darpa.mil and is typically available during regular business hours (9:00 AM – 5:00 PM ET, Monday-Friday). Questions regarding submission contents, format, deadlines, etc., should be emailed to LwLL@darpa.mil.

Since abstract submitters may encounter heavy traffic on the web server, they should not wait until the day abstracts are due to request an account and/or upload the submission. Abstracts should not be submitted via Email or Grants.gov. Any abstracts submitted by Email or Grants.gov will not be accepted or reviewed.

b. Proposals Requesting a Procurement Contract or Other Transaction

DARPA/I2O will employ an electronic upload submission system (<https://baa.darpa.mil/>) for UNCLASSIFIED proposals requesting award of a procurement contract or Other Transaction under this solicitation.

First time users of the DARPA BAA Submission Website must complete a two-step account creation process at <https://baa.darpa.mil/>. The first step consists of registering for an Extranet account by going to the above URL and selecting the “Account Request” link. Upon completion of the online form, proposers will receive two separate emails; one will contain a user name and the second will provide a temporary password. Once both emails have been received, proposers must go back to the submission website and log in using that user name and password. After accessing the Extranet, proposers must create a user account for the DARPA BAA Submission Website by selecting the “Register Your Organization” link at the top of the page. The DARPA BAA Submission Website will display a list of solicitations open for submissions. Once a proposer’s user account is created, they may view instructions on uploading their proposal.

Proposers who already have an account on the DARPA BAA Submission Website may simply log in at <https://baa.darpa.mil/>, select this solicitation from the list of open DARPA solicitations, and proceed with their proposal submission. Note: Proposers who have created a DARPA BAA Submission Website account to submit to another DARPA Technical Office’s solicitations do not need to create a new account to submit to this solicitation.

All submissions submitted electronically through DARPA's BAA website must be uploaded as zip files (.zip or .zipx extension). The final zip file should contain only the files requested herein and must not exceed 50 MB in size. Only one zip file will be accepted per submission. Note: Submissions not uploaded as zip files will be rejected by DARPA.

Please note that all submissions MUST be finalized, meaning that no further editing will be possible, when submitting through the DARPA BAA Submission Website in order for DARPA to be able to review your submission. If a submission is not finalized, the submission will not be deemed acceptable and will not be reviewed.

Website technical support may be reached at Action@darpa.mil and is typically available during regular business hours (9:00 AM – 5:00 PM ET, Monday-Friday). Questions regarding submission contents, format, deadlines, etc. should be emailed to LwLL@darpa.mil.

Since proposers may encounter heavy traffic on the web server, they should not wait until the day proposals are due to request an account and/or upload the submission. Full proposals should not be submitted via Email. Any full proposals submitted by Email will not be accepted or evaluated.

c. Proposals Requesting a Cooperative Agreement

Proposers requesting cooperative agreements must submit proposals through one of the following methods: (1) electronic upload per the instructions at <https://www.grants.gov/applicants/apply-for-grants.html>; or (2) hard-copy mailed directly to

DARPA. If proposers intend to use Grants.gov as their means of submission, then they must submit their entire proposal through Grants.gov; applications cannot be submitted in part to Grants.gov and in part as a hard-copy. Proposers using Grants.gov do not submit hard-copy proposals in addition to the Grants.gov electronic submission.

Submissions: Proposers must submit the three forms listed below.

SF 424 Research and Related (R&R) Application for Federal Assistance, available on the Grants.gov website at https://apply07.grants.gov/apply/forms/sample/RR_SF424_2_0-V2.0.pdf. *This form must be completed and submitted.*

To evaluate compliance with Title IX of the Education Amendments of 1972 (20 U.S.C. A§ 1681 Et. Seq.), the Department of Defense is using the two forms below to collect certain demographic and career information to be able to assess the success rates of women who are proposed for key roles in applications in science, technology, engineering, or mathematics disciplines. Detailed instructions for each form are available on Grants.gov.

Research and Related Senior/Key Person Profile (Expanded), available on the Grants.gov website at https://apply07.grants.gov/apply/forms/sample/RR_KeyPersonExpanded_2_0-V2.0.pdf. *This form must be completed and submitted.*

Research and Related Personal Data, available on the Grants.gov website at https://apply07.grants.gov/apply/forms/sample/RR_PersonalData_1_2-V1.2.pdf. *Each applicant must complete the name field of this form, however, provision of the demographic information is voluntary. Regardless of whether the demographic fields are completed or not, this form must be submitted with at least the applicant's name completed.*

Grants.gov requires proposers to complete a one-time registration process before a proposal can be electronically submitted. If proposers have not previously registered, this process can take between three business days and four weeks if all steps are not completed in a timely manner. See the Grants.gov user guides and checklists at <http://www.grants.gov/web/grants/applicants/applicant-resources.html> for further information.

Once Grants.gov has received an uploaded proposal submission, Grants.gov will send two email messages to notify proposers that: (1) their submission has been received by Grants.gov; and (2) the submission has been either validated or rejected by the system. It may take up to two business days to receive these emails. If the proposal is rejected by Grants.gov, it must be corrected and re-submitted before DARPA can retrieve it (assuming the solicitation has not expired). If the proposal is validated, then the proposer has successfully submitted their proposal and Grants.gov will notify DARPA. Once the proposal is retrieved by DARPA, Grants.gov will send a third email to notify the proposer. The proposer will then receive an email from DARPA acknowledging receipt and providing a control number.

To avoid missing deadlines, proposers should submit their proposals to Grants.gov in advance of the proposal due date, with sufficient time to complete the registration and submission processes, receive email notifications and correct errors, as applicable.

For more information on submitting proposals to Grants.gov, visit the Grants.gov submissions page at <http://www.grants.gov/web/grants/applicants/apply-for-grants.html>.

Proposers electing to submit cooperative agreement proposals as hard copies must complete the SF 424 R&R form (Application for Federal Assistance, Research and Related) available on the Grants.gov website http://apply07.grants.gov/apply/forms/sample/RR_SF424_2_0-V2.0.pdf.

Proposers choosing to mail hard copy proposals to DARPA must include one paper copy and one electronic copy (e.g., CD/DVD) of the full proposal package. Technical support for the Grants.gov website may be reached at 1-800-518-4726 and support@grants.gov. Questions regarding submission contents, format, deadlines, etc. should be emailed to LwLL@darpa.mil.

V. Application Review Information

A. Evaluation Criteria

Proposals will be evaluated using the following criteria listed in descending order of importance: Overall Scientific and Technical Merit; Potential Contribution and Relevance to the DARPA Mission; and Cost Realism.

– *Overall Scientific and Technical Merit:*

The proposed technical approach is innovative, feasible, achievable, and complete.

The task descriptions and associated technical elements are complete and in a logical sequence, with all proposed deliverables clearly defined such that a viable attempt to achieve project goals is likely as a result of award. The proposal identifies major technical risks and clearly defines feasible mitigation efforts.

Proposer should also take note to the information provided in Part II, Section I, as DARPA will also look at how a proposer addresses the technical challenges relevant to each TA, as well as view how key personnel will work on those challenges.

– *Potential Contribution and Relevance to the DARPA Mission:*

The potential contributions of the proposed effort are relevant to the national technology base. Specifically, DARPA's mission is to make pivotal early technology investments that create or prevent strategic surprise for U.S. National Security.

This includes considering the extent to which any proposed intellectual property restrictions will potentially impact the Government's ability to transition the technology.

– *Cost Realism:*

The proposed costs are realistic for the technical and management approach and accurately reflect the technical goals and objectives of the solicitation. The proposed costs are consistent with the proposer's Statement of Work and reflect a sufficient understanding of the costs and level of effort needed to successfully accomplish the proposed technical approach. The costs for the prime proposer and proposed subawardees are substantiated by the details provided in the proposal (e.g., the type and number of labor hours proposed per task, the types and quantities of materials, equipment and fabrication costs, travel and any other applicable costs and the basis for the estimates).

B. Review and Selection Process

The review process identifies proposals that meet the evaluation criteria described above and are, therefore, selectable for negotiation of awards by the Government. DARPA policy is to ensure impartial, equitable, comprehensive proposal evaluations and to select proposals that meet DARPA technical, policy, and programmatic goals. If necessary, panels of experts in the appropriate areas will be convened. As described in Section IV, proposals must be deemed conforming to the solicitation to receive a full technical review against the evaluation criteria; proposals deemed non-conforming will be removed from consideration.

DARPA will conduct a scientific/technical review of each conforming proposal. Conforming proposals comply with all requirements detailed in this BAA; proposals that fail to do so may be deemed non-conforming and may be removed from consideration. Proposals will not be evaluated against each other since they are not submitted in accordance with a common work statement. DARPA's intent is to review proposals as soon as possible after they arrive; however, proposals may be reviewed periodically for administrative reasons.

Selections may be made at any time during the period of solicitation. Pursuant to FAR 35.016, the primary basis for selecting proposals for award negotiation shall be technical, importance to agency programs, and fund availability. Conforming proposals based on a previously submitted abstract will be reviewed without regard to feedback resulting from review of that abstract. Furthermore, a favorable response to an abstract is not a guarantee that a proposal based on the abstract will ultimately be selected for award negotiation. Proposals that are determined selectable will not necessarily receive awards.

For evaluation purposes, a proposal is defined to be the document and supporting materials as described in Section IV.B. Subject to the restrictions set forth in FAR 37.203(d), input on technical aspects of the proposals may be solicited by DARPA from non-Government consultants/experts who are strictly bound by the appropriate non-disclosure requirements. No submissions, classified or unclassified, will be returned.

VI. Award Administration Information

A. Selection Notices

After proposal evaluations are complete, proposers will be notified as to whether their proposal was selected for award negotiation as a result of the review process. Notification will be sent by email to the technical and administrative POCs identified on the proposal cover sheet. If a proposal has been selected for award negotiation, the Government will initiate those negotiations following the notification.

B. Administrative and National Policy Requirements

1. Intellectual Property

Proposers should note that the Government does not own the intellectual property of technical data/computer software developed under Government contracts; it acquires the right to use the technical data/computer software. Regardless of the scope of the Government's rights, performers may freely use their same data/software for their own commercial purposes (unless restricted by U.S. export control laws or security classification). Therefore, technical data and computer software developed under this solicitation will remain the property of the performers, though DARPA desires to have a minimum of Government Purpose Rights (GPR) to technical data/computer software developed through DARPA sponsorship.

The program will emphasize creating and leveraging open source technology and architecture. Intellectual property rights asserted by proposers are strongly encouraged to be aligned with open source/open architecture regimes.

Proposers expecting to use, but not to deliver, commercial open source tools or other materials in implementing their approach may be required to indemnify the Government against legal liability arising from such use.

All references to "Unlimited Rights" or "Government Purpose Rights" are intended to refer to the definitions of those terms as set forth in the Defense Federal Acquisition Regulation Supplement (DFARS) Part 227.

a. Intellectual Property Representations

All proposers must provide a good-faith representation of either ownership or possession of appropriate licensing rights to all other intellectual property to be used for the proposed project. Proposers must provide a short summary for each item asserted with less than unlimited rights that describes the nature of the restriction and the intended use of the intellectual property in the conduct of the proposed research. If proposers desire to use proprietary software or technical data or both as the basis of their proposed approach, in whole or in part, they should: (1) clearly identify such software/data and its proposed particular use(s); (2) explain how the Government will be able to reach its program goals (including transition) within the proprietary model offered; and (3) provide possible nonproprietary alternatives in any area that might present transition difficulties or increased risk or cost to the Government under the proposed proprietary solution.

b. Patents

All proposers must include documentation proving ownership or possession of appropriate licensing rights to all patented inventions to be used for the proposed project. If a patent application has been filed for an invention, but it includes proprietary information and is not publicly available, a proposer must provide documentation that includes: the patent number, inventor name(s), assignee names (if any), filing date, filing date of any related provisional application, and summary of the patent title, with either: (1) a representation of invention ownership, or (2) proof of possession of appropriate licensing rights in the invention (i.e., an agreement from the owner of the patent granting license to the proposer).

c. Procurement Contracts

- **Noncommercial Items (Technical Data and Computer Software):** Proposers requesting a procurement contract must list all noncommercial technical data and computer software that it plans to generate, develop, and/or deliver, in which the Government will acquire less than unlimited rights and to assert specific restrictions on those deliverables. In the event a proposer does not submit the list, the Government will assume that it has unlimited rights to all noncommercial technical data and computer software generated, developed, and/or delivered, unless it is substantiated that development of the noncommercial technical data and computer software occurred with mixed funding. If mixed funding is anticipated in the development of noncommercial technical data and computer software generated, developed, and/or delivered, proposers should identify the data and software in question as subject to GPR. In accordance with DFARS 252.227-7013, “Rights in Technical Data - Noncommercial Items,” and DFARS 252.227-7014, “Rights in Noncommercial Computer Software and Noncommercial Computer Software Documentation,” the Government will automatically assume that any such GPR restriction is limited to a period of 5 years, at which time the Government will acquire unlimited rights unless the parties agree otherwise. The Government may use the list during the evaluation process to evaluate the impact of any identified restrictions and may request additional information from the proposer, as may be necessary, to evaluate the proposer’s assertions. Failure to provide full information may result in a determination that the proposal is not compliant with the solicitation. A template for complying with this request is provided in Section IV.B.2.a.xi.(5).

- **Commercial Items (Technical Data and Computer Software):** Proposers requesting a procurement contract must list all commercial technical data and commercial computer software that may be included in any deliverables contemplated under the research project, and assert any applicable restrictions on the Government’s use of such commercial technical data and/or computer software. In the event a proposer does not submit the list, the Government will assume there are no restrictions on the Government’s use of such commercial items. The Government may use the list during the evaluation process to evaluate the impact of any identified restrictions and may request additional information from the proposer to evaluate the proposer’s assertions. Failure to provide full information may result in a determination that the proposal is not compliant with the solicitation. A template for complying with this request is provided in Section IV.B.2.a.xi.(5).

d. Other Types of Awards

Proposers responding to this solicitation requesting an award instrument other than a procurement contract shall follow the applicable rules and regulations governing those award instruments, but in all cases proposers should appropriately identify any potential restrictions on the Government's use of any intellectual property contemplated under those award instruments in question. This includes both noncommercial items and commercial items. The Government may use the list as part of the evaluation process to assess the impact of any identified restrictions and may request additional information from the proposer to evaluate the proposer's assertions. Failure to provide full information may result in a determination that the proposal is not compliant with the solicitation. A template for complying with this request is provided in Section IV.B.2.a.xi.(5).

2. Human Research Subjects/Animal Use

Proposers that anticipate involving Human Research Subjects or Animal Use must comply with the approval procedures detailed at <http://www.darpa.mil/work-with-us/additional-baa>.

3. Electronic and Information Technology

All electronic and information technology acquired through this solicitation must satisfy the accessibility requirements of Section 508 of the Rehabilitation Act (29 U.S.C. § 794d) and FAR 39.2. Each project involving the creation or inclusion of electronic and information technology must ensure that: (1) Federal employees with disabilities will have access to and use of information that is comparable to the access and use by Federal employees who are not individuals with disabilities; and (2) members of the public with disabilities seeking information or services from DARPA will have access to and use of information and data that is comparable to the access and use of information and data by members of the public who are not individuals with disabilities.

4. System for Award Management (SAM) and Universal Identifier Requirements

All proposers must be registered in SAM unless exempt per FAR 4.1102. FAR 52.204-7, "System for Award Management" and FAR 52.204-13, "System for Award Management Maintenance" are incorporated into this BAA. See <http://www.darpa.mil/work-with-us/additional-baa> for further information.

International entities can register in SAM by following the instructions in this link:

https://www.fsd.gov/fsd-gov/answer.do?sysparm_kbid=dbf8053adb119344d71272131f961946&sysparm_search=KB0013221.

Note that new registrations can take an average of 7-10 business days to process in SAM. SAM registration may require the following information:

- DUNS number
- TIN
- CAGE Code. If a proposer does not already have a CAGE code, one will be assigned during SAM registration.
- Electronic Funds Transfer information (e.g., proposer's bank account number, routing

number, and bank phone or fax number).

C. Reporting

1. Technical and Financial Reports

The number and types of technical and financial reports required under the contracted project will be specified in the award document and will include, as a minimum, monthly financial status reports and a yearly status summary. A final report that summarizes the project and tasks will be required at the conclusion of the performance period for the award. The reports shall be prepared and submitted in accordance with the procedures contained in the award document.

2. Representations and Certifications

If a procurement contract is contemplated, prospective awardees will need to be registered in the SAM database prior to award and complete electronic annual representations and certifications consistent with FAR guidance at 4.1102 and 4.1201; the representations and certifications can be found at www.sam.gov. Supplementary representations and certifications can be found at <http://www.darpa.mil/work-with-us/additional-baa>.

3. Wide Area Work Flow (WAWF)

Unless using another means of invoicing, performers will be required to submit invoices for payment directly at <https://wawf.eb.mil>. If applicable, WAWF registration is required prior to any award under this solicitation.

4. Terms and Conditions

A link to the DoD General Research Terms and Conditions for Grants and Cooperative Agreements and supplemental agency terms and conditions can be found at <http://www.darpa.mil/work-with-us/contract-management#GrantsCooperativeAgreements>.

5. FAR and DFARS Clauses

Solicitation clauses in the FAR and DFARS relevant to procurement contracts and FAR and DFARS clauses that may be included in any resultant procurement contracts are incorporated herein and can be found at www.darpa.mil/work-with-us/additional-baa.

See also Section II.C regarding the disclosure of information and compliance with safeguarding covered defense information controls (for FAR-based procurement contracts only).

6. i-Edison

Award documents will contain a requirement for patent reports and notifications to be submitted electronically through the i-Edison Federal patent reporting system at <http://s-edison.info.nih.gov/iEdison>.

7. Controlled Unclassified Information (CUI) on Non-DoD Information Systems

Further information on Controlled Unclassified Information on Non-DoD Information Systems is incorporated herein can be found at www.darpa.mil/work-with-us/additional-baa.

VII. Agency Contacts

DARPA will use email for all technical and administrative correspondence regarding this solicitation.

- **Technical POC:** Wade Shen, Program Manager, DARPA/I2O
- **Email:** LwLL@darpa.mil
- **Mailing address:**
DARPA/I2O
ATTN: HR001118S0044
675 North Randolph Street
Arlington, VA 22203-2114
- **I2O Solicitation Website:** <http://www.darpa.mil/work-with-us/opportunities>

VIII. Other Information

A. Frequently Asked Questions (FAQs)

Administrative, technical, and contractual questions should be sent via email to LwLL@darpa.mil. All questions must be in English and must include the name, email address, and the telephone number of a point of contact.

DARPA will attempt to answer questions in a timely manner; however, questions submitted within 7 days of closing may not be answered. If applicable, DARPA will post FAQs to <http://www.darpa.mil/work-with-us/opportunities>.

B. Collaborative Efforts/Teaming

DARPA desires to receive comprehensive, quality responses to this solicitation. To facilitate strong, collaborative teaming efforts and business relationships, a website (<https://www.schafertmd.com/darpa/i2o/lwll/teaming/>) has been established. Specific content, communications, networking, and team formation are the sole responsibility of the participants. Neither DARPA nor the DoD endorses the destination web site or the information and organizations contained therein, nor does DARPA or the DoD exercise any responsibility at the destination. This website is provided consistent with the stated purpose of this solicitation.

C. Proposers Day

The LwLL Proposers Day was held on July 13, 2018, in Arlington, VA. The special notice regarding the LwLL Proposers Day, DARPA-SN-18-60, can be found at https://www.fbo.gov/index?s=opportunity&mode=form&id=3f255bc43c88d5006ed20cee13e97062&tab=core&_cvview=0.

For further information regarding the LwLL Proposers Day, including slides from the event, please see <http://www.darpa.mil/work-with-us/opportunities> under HR001118S0044.

D. Submission Checklist

The following items apply prior to proposal submission. Note: some items may take up to 1 month to complete.

| ✓ | Item | BAA Section | Applicability | Comment |
|---|---|-------------|---------------------------|---|
| | Abstract | IV.B.1 | Optional, but recommended | Conform to stated page limit. |
| | Obtain DUNS number | IV.B.2.a.i | Required of all proposers | The DUNS Number is the Federal Government's contractor identification code for all procurement-related activities. See http://fedgov.dnb.com/webform/index.jsp to request a DUNS number. Note: requests may take at least one business day. |
| | Obtain Taxpayer Identification Number (TIN) | IV.B.2.a.i | Required of all proposers | A TIN is used by the Internal Revenue Service in the administration of tax laws. See http://www.irs.gov/businesses/small/international/article/0,,id=96696,00.html for information on requesting a TIN. Note: requests may take from 1 business day to 1 month depending on the method (online, fax, mail). |
| | Register in the System for Award | VI.B.4 | Required of all proposers | The SAM combines Federal procurement systems and the Catalog of Federal Domestic Assistance into one system. See |

| | | | | |
|--|--|----------|--|--|
| | Management (SAM) | | | www.sam.gov for information and registration. Note: new registrations can take an average of 7-10 business days. SAM registration requires the following information: -DUNS number -TIN -CAGE Code. A CAGE Code identifies companies doing or wishing to do business with the Federal Government. If a proposer does not already have a CAGE code, one will be assigned during SAM registration. -Electronic Funds Transfer information (e.g., proposer's bank account number, routing number, and bank phone or fax number). |
| | Ensure eligibility of all team members | III | Required of all proposers | Verify eligibility, as applicable, for in accordance with requirements outlined in Section 3. |
| | Register at Grants.gov | IV.E.1.c | Required for proposers requesting cooperative agreements | Grants.gov requires proposers to complete a one-time registration process before a proposal can be electronically submitted. If proposers have not previously registered, this process can take between three business days and four weeks if all steps are not completed in a timely manner. See the Grants.gov user guides and checklists at http://www.grants.gov/web/grants/applicants/applicant-resources.html for further information. |

The following items apply as part of the submission package:

| ✓ | Item | BAA Section | Applicability | Comment |
|---|---|-------------|---------------------------|---|
| | Volume 1 (Technical and Management Proposal) | IV.B.2 | Required of all proposers | Conform to stated page limits and formatting requirements. Include all requested information. |
| | Appendix A | IV.B.2.a.xi | Required of all proposers | <ul style="list-style-type: none"> -Team member identification - Government/FFRDC team member proof of eligibility - Organizational conflict of interest affirmations - Intellectual property assertions - Human subjects research - Animal use - Unpaid delinquent tax liability/felony conviction representations -CASB disclosure, if applicable |
| | Volume 2 (Cost Proposal) | IV.B.2.b | Required of all proposers | <ul style="list-style-type: none"> - Cover Sheet - Cost summary - Detailed cost information including justifications for direct labor, indirect costs/rates, materials/equipment, subcontractors/consultants, travel, ODCs - Cost spreadsheet file (.xls or equivalent format) - If applicable, list of milestones for OTs - Subcontractor plan, if applicable - Subcontractor cost proposals - Itemized list of material and equipment items to be purchased with vendor quotes or engineering estimates for material and equipment more than \$50,000 - Travel purpose, departure/arrival destinations, and sample airfare |
| | Level of Effort Summary by Task Excel spreadsheet | IV.B.2.c | Required of all proposers | A template LoE Excel file will be provided on the FedBizOpps website as an attachment. Submit the LoE Excel file (do not convert Excel file to pdf format). |
| | PowerPoint Summary Slide | IV.B.2.d | | A template PowerPoint slide will be provided on the FedBizOpps website as an attachment. Submit the PowerPoint file (do not convert PowerPoint file to pdf format). |

For information concerning agency level protests see <http://www.darpa.mil/work-with-us/additional-baa#NPRPAC>.