

## **Broad Agency Announcement**

Information Innovation Office (I2O) Office-wide

DARPA-BAA-15-54

August 3, 2015



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**Defense Advanced Research Projects Agency**

Information Innovation Office

675 North Randolph Street

Arlington, VA 22203-2114

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## PART I: OVERVIEW

- **Federal Agency Name:** Defense Advanced Research Projects Agency (DARPA), Information Innovation Office (I2O)
- **Funding Opportunity Title:** I2O Office-wide BAA
- **Announcement Type:** Initial Announcement
- **Funding Opportunity Number:** DARPA-BAA-15-54
- **Catalog of Federal Domestic Assistance Numbers (CFDA):** 12.910 Research and Technology Development
- **Dates**
  - Posting Date: August 3, 2015
  - Abstract Due Date: June 10, 2016, 12:00 noon (ET)
  - Proposal Due Date: August 2, 2016, 12:00 noon (ET)
  - BAA Closing Date: August 2, 2016, 12:00 noon (ET)
- **Concise Description of Funding Opportunity:** This BAA seeks revolutionary research ideas for topics not being addressed by ongoing I2O programs or other published solicitations. Potential proposers are highly encouraged to review the current I2O programs (<http://www.darpa.mil/about-us/offices/i2o>) and solicitations (<http://www.darpa.mil/work-with-us/opportunities>) to avoid proposing efforts that duplicate existing activities or that are responsive to other published I2O solicitations.
- **Anticipated Individual Awards:** Multiple awards are anticipated. See Section II below.
- **Types of Instruments that May be Awarded:** Procurement contracts, grants, cooperative agreements or Other Transactions.
- **BAA POC:** BAA Coordinator, DARPA/I2O
- **BAA Email:** [DARPA-BAA-15-54@darpa.mil](mailto:DARPA-BAA-15-54@darpa.mil)
- **BAA Mailing Address:**

DARPA/I2O  
ATTN: DARPA-BAA-15-54  
675 North Randolph Street  
Arlington, VA 22203-2114

## PART II: FULL TEXT OF ANNOUNCEMENT

### I. FUNDING OPPORTUNITY DESCRIPTION

The Defense Advanced Research Projects Agency (DARPA) is soliciting innovative research proposals of interest to the Information Innovation Office (I2O). I2O develops high-payoff information science and technology to provide a decisive information advantage for the U.S. and its allies. I2O invites research proposals in its thrust areas, described below. I2O may also consider submissions outside these areas if the proposal involves the development of novel software-based capabilities having promise to provide decisive information advantage for the U.S. and its allies.

- Empower the human within the information ecosystem: Exponential improvements in computing power, network bandwidth, and storage density combine with pervasive sensing and measurement technologies to provide new and powerful ways to gain insight into adversary activities and enable quantitative decision making. Realizing this potential requires the development of highly complex yet highly reliable applications, and so I2O creates technologies that empower developers in building and maintaining mission-critical software systems. I2O is also creating techniques, tools, and systems that enable users to obtain the value in data to gain deep understanding of the world around us. Toward this end, I2O develops technologies to enable computing systems to understand human speech and other modes of human communication; derive information contained in diverse media; learn, reason and apply knowledge gained through experience; and respond intelligently to new and unforeseen events. Incorporating these technologies in military systems will enable warfighters to make better decisions in complex, time-critical, battlefield environments; intelligence analysts to make sense of massive, incomplete, and contradictory information; and autonomous systems to operate with high degrees of assurance. I2O empowers the human by creating new ways for humans and computers to work together to achieve levels of performance beyond what either can achieve individually.
- Guarantee trustworthy computing and information: As much of the world's economy has moved into cyberspace, protecting and assuring information flows over networks and across enterprise information systems has become a priority. The current approach to maintaining security relies on the discovery of vulnerabilities and the deployment of patches. This is problematic as new vulnerabilities are often introduced in successive releases and may even be introduced by the patches themselves. I2O aims to change this paradigm through the creation of software that is inherently resilient to attack and computing architectures that can be rapidly restored following an attack. To accomplish this, I2O is supporting research in areas such as formal methods, software diversity, transparency/causality/information flow tracking, and automated cyber response. I2O interests span military systems, embedded systems, critical infrastructure, industrial systems, vehicular systems, the Internet of Things, and enterprise networks. In addition to the availability and reliability of computing systems, I2O is also concerned with the integrity and confidentiality of information. I2O develops privacy-preserving

technologies to ensure that the collective security benefits of big data do not come at the expense of personal privacy, and to protect the proprietary and sensitive information of enterprises and coalition partners. In all of these areas, exploration of offensive methods expands and informs our defensive work by providing a deeper understanding of current and emerging threats, giving realism to our efforts to develop information technologies and systems that we can trust.

I2O seeks unconventional approaches that are outside the mainstream, challenge accepted assumptions, and have the potential to radically change established practice. 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 the art.

I2O collaborates with other DARPA technical offices, in some cases acting as the recipient of significant emerging technologies and, in other cases, serving as a catalyst by identifying relevant new external technology trends. Novel methods are sought to build technical communities and tap into sources of innovation both inside and outside traditional Department of Defense (DoD) performer communities. However, proposers may not propose work: (1) they have already completed, nor (2) for which they have already received funding or a positive funding decision (whether by DARPA or another Government agency). I2O encourages efforts that are creative and agile both in terms of the technologies proposed and in the structure of the approach (e.g., shorter periods of performance).

For the purposes of this solicitation, only submissions deemed relevant will receive a detailed Scientific Review. Relevance first and foremost requires that submissions address one or more of the focus areas described herein. Additional factors considered in determining relevance include: the overall goal of the proposed effort, if achieved, would convey technology significantly beyond the state of the art; the timetable for achieving results is appropriate for a mission agency such as DARPA; and the scope of work is commensurate with I2O priorities.

Submission of abstracts in advance of full proposals is strongly encouraged to ascertain I2O interest in the proposed effort. I2O will respond to abstracts with a letter encouraging or discouraging the submission of a full proposal based on a preliminary assessment of the proposed effort's scientific or technical merit and interest in the technology concept. Abstracts that are not determined to be relevant per the above definition will receive a "No Interest" letter. See Section IV.B.1 for further information related to abstracts.

This Broad Agency Announcement (BAA) is being issued, and any resultant selection will be made, using procedures under Federal Acquisition Regulation (FAR) 35.016. Any negotiations and/or awards will use procedures under FAR 15.4 (or 32 CFR 22 for grants and 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, as applicable, the Grants.gov website (<http://www.grants.gov/>).

Additional information on I2O can be found at (<http://www.darpa.mil/about-us/offices/i2o>).

## **II. AWARD INFORMATION**

### **A. Awards**

DARPA anticipates funding a limited number of proposals under this solicitation. 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 and provide the best value 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, grant, cooperative agreement, or Other Transaction (OT) depending upon the nature of the work proposed, the required degree of interaction between parties, and other factors. In all cases, the Government contracting officer shall have sole discretion to select award instrument type and to negotiate all instrument terms and conditions with selectees. Proposers are advised that, if they propose grants or cooperative agreements, the Government contracting officer may select other award instruments, as appropriate. Publication or other restrictions will be applied, as necessary, if DARPA 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 Section II.B.

### **B. Fundamental Research**

It is Department of Defense (DoD) policy that the publication of products of fundamental research will remain unrestricted to the maximum extent possible. National Security Decision Directive (NSDD) 189 established the national policy for controlling the flow of scientific,

technical, and engineering information produced in federally funded fundamental research at colleges, universities, and laboratories. 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. The Government 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 proposed research is fundamental. For certain research projects, it may be possible that although the research to be performed by the prime proposer is non-fundamental, a subcontractor's tasks may be considered fundamental research. In those cases, it is the prime proposer's responsibility to explain in their proposal why its subcontractor's effort is fundamental research. While proposers should clearly explain the intended results of their research, DARPA shall have sole discretion to determine whether the project is considered fundamental research. Awards for non-fundamental research will include the following statement or similar provision:

There shall be no dissemination or publication, except within and between the contractor and any subcontractors, of information developed under this contract or contained in the reports to be furnished pursuant to this contract without prior written approval of DARPA's Public Release Center (DARPA/PRC). All technical reports will be given proper review by appropriate authority to determine which Distribution Statement is to be applied prior to the initial distribution of these reports by the contractor. With regard to subcontractor proposals for Contracted Fundamental Research, papers resulting from unclassified contracted fundamental research are exempt from prepublication controls and this review requirement, pursuant to DoD Instruction 5230.27 dated October 6, 1987.

When submitting material for written approval for open publication, the contractor/awardee must submit a request for public release to the PRC and include the following information: 1) Document Information: title, author, short plain-language description of technology discussed in the material (approx. 30 words), number of pages (or minutes of video) and type (e.g., briefing, report, abstract, article, or paper); 2) Event

Information: type (e.g., conference, principal investigator meeting, article or paper), date, desired date for DARPA's approval; 3) DARPA Sponsor: DARPA Program Manager, DARPA office, and contract number; and 4) Contractor/Awardee's Information: POC name, e-mail address and phone number. Allow four weeks for processing; due dates under four weeks require a justification. Unusual electronic file formats may require additional processing time. Requests may be sent either to [prc@darpa.mil](mailto:prc@darpa.mil) or 675 North Randolph Street, Arlington VA 22203-2114, telephone (571) 218-4235. See <http://www.darpa.mil/work-with-us/contract-management/public-release> for further information about DARPA's public release process.



### **III. ELIGIBILITY INFORMATION**

#### **A. Eligible Applicants**

All responsible sources capable of satisfying the Government's needs may submit a proposal that shall be considered by DARPA.

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

FFRDCs and Government entities (e.g., Government/National laboratories, military educational institutions, etc.) are subject to applicable direct competition limitations and cannot propose to this solicitation in any capacity unless the following conditions are met.

- FFRDCs must clearly demonstrate that the proposed work is not otherwise available from the private sector and must provide a letter on official letterhead from their sponsoring organization citing the specific authority establishing the FFRDC's eligibility to propose to Government solicitations and compete with industry, and compliance with the terms and conditions in the associated FFRDC sponsor agreement. This information is required for FFRDCs proposing as either prime contractors or subcontractors.
- Government entities must clearly demonstrate that the proposed work is not otherwise available from the private sector and provide documentation citing the specific statutory authority (and contractual authority, if relevant) establishing their eligibility to propose to Government solicitations.

At the present time, DARPA does not consider 15 U.S.C. § 3710a to be sufficient legal authority to show eligibility. For some entities, 10 U.S.C. § 2539b may be the appropriate statutory starting point; however, specific supporting regulatory guidance, together with evidence of agency approval, will still be required to fully establish eligibility.

DARPA will consider 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. Procurement Integrity, Standards of Conduct, Ethical Considerations and Organizational Conflicts of Interest (OCIs)**

Current Federal employees are prohibited from participating in particular matters involving conflicting financial, employment, and representational interests (18 U.S.C. §§ 203, 205, and 208). Prior to the start of proposal evaluation, the Government will assess potential conflicts of interest (COIs) and will promptly notify the proposer if any appear to exist. The Government

assessment does not affect, offset, or mitigate the proposer's responsibility to give full notice and planned mitigation for all potential organizational conflicts, as discussed below.

In accordance with FAR 9.5 and without prior approval or a waiver from the DARPA Director, a contractor cannot simultaneously provide scientific, engineering, and technical assistance (SETA) or similar support and be a technical performer. As part of the proposal submission (not required for abstracts), all members of a proposed team (prime proposers, proposed subcontractors and consultants) must affirm whether they (individuals and organizations) are providing SETA or similar support to any DARPA technical office(s) through an active contract or subcontract. Affirmations must state which office(s) the proposer and/or proposed subcontractor/consultant supports and must provide prime contract number(s). All facts relevant to the existence or potential existence of OCIs must be disclosed. The disclosure shall include a description of the action the proposer has taken or proposes to take to avoid, neutralize, or mitigate such conflict. If, in the sole opinion of the Government after full consideration of the circumstances, a proposal fails to fully disclose potential conflicts of interest and/or any identified conflict situation cannot be effectively mitigated, the proposal will be rejected without technical evaluation and withdrawn from further consideration for award.

If a prospective proposer believes a conflict of interest exists or may exist (whether organizational or otherwise) or has a question as to what constitutes a conflict, a summary of the potential conflict should be sent to [DARPA-BAA-15-54@darpa.mil](mailto:DARPA-BAA-15-54@darpa.mil) before preparing a proposal and mitigation plan.

### **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).

## 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 letter encouraging or discouraging the submission of a full proposal based on a preliminary assessment of the proposed effort's scientific or technical merit and interest in the technology concept. Abstracts that are not determined to be relevant to I2O will receive a "No Interest" letter. If DARPA does not recommend submission of a full proposal, "Discourage" responses will include detailed feedback regarding the rationale for this decision. Responses will be sent by email to the technical point of contact listed on the cover sheet. DARPA will attempt to reply within 30 calendar days of receipt. A favorable response to an abstract is not an assurance that a full proposal on the abstract's topic will ultimately be selected for award negotiation. All proposals will be reviewed irrespective of comments or feedback provided in response to the abstract.

**Abstract Format:** Abstracts shall not exceed a maximum of 10 pages 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.

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."

- **Technical Plan:** Describe clearly what is being proposed and what difference it will make (qualitatively and quantitatively) if successful. Outline and address all technical challenges inherent in the approach and possible solutions for overcoming potential problems. 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. State whether this is the first solicitation to which this capability/technology has been proposed.
- **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.
- **Statement of Work, Cost and Schedule:** Provide the principal work activities, appropriate specific milestones (quantitative, if possible) at intermediate stages of the project to demonstrate progress, and a brief plan for accomplishment of the milestones. Provide a cost estimate for resources over the proposed timeline of the project. 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 Volume 2: Cost Proposal.

Proposers are encouraged to submit concise, but descriptive, proposals. Specific examples of problems, approaches, or goals are preferred to qualitative generalities. The Government will not consider pages in excess of the page count limitation, as described herein. Proposals with fewer than the maximum number of pages will not be penalized. Information incorporated into Volume 2: Cost Proposal which is not related to cost will not be considered.

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.

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 25 pages, 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.

Volume 1 must include the following components:

#### **i. Cover Sheet:** Include the following information.

- Label: “Proposal: Volume 1”
- BAA number (DARPA-BAA-15-54)
- 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), grant, cooperative agreement or OT.<sup>1</sup>
- 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 120 days)
- Data Universal Numbering System (DUNS) number<sup>2</sup>
- Taxpayer identification number<sup>3</sup>
- Commercial and Government Entity (CAGE) code<sup>4</sup>
- Proposer’s reference number (if any)

#### **ii. Table of Contents**

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<sup>1</sup> Information on award instruments can be found at [http://www.darpa.mil/work-with-us/opportunities/Contract\\_Management/Contract\\_Management](http://www.darpa.mil/work-with-us/opportunities/Contract_Management/Contract_Management).

<sup>2</sup> 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). See Section VI.B.8. for further information.

<sup>3</sup> See <http://www.irs.gov/businesses/small/international/article/0,,id=96696,00.html> for information on requesting a TIN. Note, requests may take 1 business day to 1 month depending on the method (online, fax, mail).

<sup>4</sup> A CAGE Code identifies companies doing or wishing to do business with the Federal Government. See Section VI.B.8 for further information.

**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. If applicable, identify other Government solicitations to which this technology has been proposed and whether a funding decision is still pending.

**iv. Goals and Impact:** Describe what the proposed team is trying to achieve and the 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 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. 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 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.

Also include a table of key individual time commitments as follows:

Key Individual	Project	Status (Current, Pending, Proposed)	2015	2016	2017
Individual Name 1	Proposed DARPA Project	Proposed	xx hours	xx hours	xx hours
	Project Name 1	Current	n/a	n/a	n/a
	Project Name 2	Pending	xx hours	n/a	n/a
Individual Name 2	Proposed DARPA Project	Proposed	n/a	xx hours	xx hours

**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 the following five sections:

1. A general description of the objective.
2. A detailed description of the approach to be taken to accomplish each defined task/subtask.
3. Identification of the primary organization responsible for task execution (prime contractor, subcontractor(s), consultant(s)), by name.
4. A measurable milestone, (e.g., a deliverable, demonstration, or other vent/activity that marks task completion).
5. A definition of all deliverables (e.g., data, reports, software) to be provided to the Government in support of the proposed tasks/subtasks.

**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. Cost Summary:** Provide the cost summary as described in Section IV.B.2.b.ii.

**xii. 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.3.

**(8). Representations Regarding Unpaid Delinquent Tax Liability or a Felony Conviction under Any Federal Law:** Per Section VI.B.11, complete the following statements.

(a) The proposer represents that it 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.

(b) The proposer represents that it 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:** Per Section VI.B.12, 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](http://www.whitehouse.gov/omb/procurement_casb).

If this section is not applicable, state “NONE”.

## **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:** Provide a single-page summary broken down by fiscal year listing cost totals for labor, materials, other direct charges (ODCs), indirect costs (overhead, fringe, general and administrative (G&A), etc.), and any proposed fee for the project. Include costs for each task in each year of the project by prime and major subcontractors, total cost and proposed cost share, if applicable.

**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 or Defense Contract Audit Agency (DCAA) approved rates.
- (2). Indirect Costs:** Identify all indirect cost rates (such as fringe benefits, labor overhead, material overhead, G&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.

The proposer is responsible for the compilation and submission of all subcontractor/consultant cost proposals. Proposal submissions will not be considered complete until the Government has received all subcontractor/consultant cost proposals.

Proprietary subcontractor/consultant cost proposals may be included as part of Volume 2 or emailed separately to [DARPA-BAA-15-54@darpa.mil](mailto:DARPA-BAA-15-54@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.

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

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

- (1). Proposals for \$700,000 or more:** 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 \$650,000 or more:** Pursuant to Section 8(d) of the Small Business Act (15 USC § 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 a DCAA-approved 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 for Prototypes (845 OT) Agreement:** Proposers must indicate whether they qualify as a nontraditional Defense contractor<sup>5</sup>, 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.

### **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

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<sup>5</sup> For definitions and information on 845 OT agreements see <http://www.darpa.mil/work-with-us/contract-management> and “Other Transactions (OT) Guide For Prototype Projects,” dated January 2001 (as amended) at <http://www.acq.osd.mil/dpap/Docs/otguide.doc>.

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**

DARPA anticipates that most submissions received under this solicitation will be unclassified; however, classified submissions will be accepted. Classified submissions must be appropriately and conspicuously marked with the proposed classification level and declassification date. Use classification and marking guidance provided by the DoD Information Security Manual (DoDM 5200.1, Volumes 1-4) and the National Industrial Security Program Operating Manual (DoD 5220.22-M). When marking information previously classified by another Original Classification Authority (OCA), also use the applicable security classification guides. Classified submissions must indicate the classification level of not only the submitted materials, but also the anticipated classification level of the award document.

If a proposer believes a submission contains classified information (as defined by Executive Order 13526), but requires DARPA to make a final classification determination, the information must be marked and protected as though classified at the appropriate classification level (as defined by Executive Order 13526). Submissions requesting DARPA to make a final classification determination shall be marked as follows:

“CLASSIFICATION DETERMINATION PENDING. Protect as though classified \_\_\_\_\_ *[insert the recommended classification level, e.g., Confidential, Secret, or Top Secret].*”

Proposers submitting classified proposals or requiring access to classified information during the lifecycle of the project shall ensure all industrial, personnel, and information system processing security requirements (e.g., facility clearance, personnel security clearance, certification and accreditation) are in place and at the appropriate level, and any foreign ownership control and influence issues are mitigated prior to submission or access. Proposers must have existing, approved capabilities (personnel and facilities) prior to award to perform research and development at the classification level proposed. Additional information on these subjects is at <http://www.dss.mil>.

Classified submissions will not be returned. The original of each classified submission received will be retained at DARPA, and all other copies destroyed. A destruction certificate will be provided if a formal request is received by DARPA within 5 days of notification of non-selection.

If a determination is made that the award instrument may result in access to classified

information, a DD Form 254, "DoD Contract Security Classification Specification," will be issued by DARPA and attached as part of the award. A DD Form 254 will not be provided to proposers at the time of submission. For reference, the DD Form 254 template is available at <http://www.dtic.mil/whs/directives/forms/eforms/dd0254.pdf>.

### **C. Submission Dates and Times**

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

For proposal submissions requesting grants or cooperative agreements, Section IV.E.1.c, you must request your control number via email at [DARPA-BAA-15-54@darpa.mil](mailto:DARPA-BAA-15-54@darpa.mil).

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 12:00 noon (ET) on June 10, 2016. Abstracts received after this time will not be reviewed.

#### **2. Proposals**

The proposal package--full proposal (Volume 1 and 2) and, as applicable, proprietary subcontractor cost proposals and/or classified appendices to unclassified proposals--must be submitted per the instructions outlined herein and received by DARPA no later than August 2, 2016, at 12:00 noon (ET). Submissions received after this time and date 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. *Email submissions 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 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](mailto: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 [DARPA-BAA-15-54@darpa.mil](mailto:DARPA-BAA-15-54@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.*

#### **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](mailto: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 [DARPA-BAA-15-54@darpa.mil](mailto:DARPA-BAA-15-54@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.*

### **c. Proposals Requesting a Grant or Cooperative Agreement**

Proposers requesting grants or cooperative agreements may submit proposals through one of the following methods: (1) mailed directly to DARPA; or (2) electronic upload per the instructions at <http://www.grants.gov/applicants/apply-for-grants.html>. Grant or cooperative agreement proposals may not be submitted through any other means.

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.



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.*

Technical support for the Grants.gov website may be reached at 1-800-518-4726 and [support@grants.gov](mailto:support@grants.gov). Questions regarding submission contents, format, deadlines, etc. should be emailed to [DARPA-BAA-15-54@darpa.mil](mailto:DARPA-BAA-15-54@darpa.mil).

## **2. Classified Submission Instructions**

Classified materials must be submitted in accordance with the guidelines outlined herein and must not be submitted electronically by any means, including the electronic web-based system or Grants.gov, as described above. Classified submissions must be transmitted per the classification guidance provided by the DoD Information Security Manual (DoDM 5200.1, Volumes 1-4) and the National Industrial Security Program Operating Manual (DoDM 5220.22-M). If submissions contain information previously classified by another Original Classification Authority (OCA), proposers must also follow any applicable Security Classification Guides (SCGs) when transmitting their documents. Applicable SCGs must be included to ensure the submission is protected at the appropriate classification level.

### **a. Confidential and Collateral Secret Information**

Classified information at the Confidential or Secret level must be submitted by one of the following methods:

- Hand carried by an appropriately cleared and authorized courier to DARPA. Prior to traveling, the courier must contact the DARPA Classified Document Registry (CDR) at 703-526-1055 to coordinate arrival and delivery.

or

- Mailed by U.S. Postal Service Registered Mail or Express Mail.

All classified information will be enclosed in opaque inner and outer covers and double wrapped. The inner envelope must be sealed and plainly marked with the assigned classification and addresses of both sender and addressee.

The inner envelope must be addressed to:

Defense Advanced Research Projects Agency  
ATTN: I2O BAA Coordinator  
Reference: DARPA-BAA-15-54  
675 North Randolph Street  
Arlington, VA 22203-2114

The outer envelope must be sealed without identification as to the classification of its contents and addressed to:

Defense Advanced Research Projects Agency  
Security and Intelligence Directorate, Attn: CDR  
675 North Randolph Street  
Arlington, VA 22203-2114

**b. Top Secret (TS) Information**

TS information must be hand carried, by appropriately cleared and authorized courier(s), to DARPA. Prior to traveling, the courier(s) must contact the DARPA CDR at 703-526-1055 for instructions.

**c. Special Access Program (SAP) Information**

SAP information must be transmitted by approved methods only. Prior to submission, contact the DARPA Special Access Program Control Office at 703-526-4052 for instructions.

**d. Sensitive Compartmented Information (SCI)**

SCI must be transmitted by approved methods only. Prior to submission, contact the DARPA Special Security Office at 703-526-4052 for instructions.

## 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 feasible, achievable, complete and supported by a proposed technical team that has the expertise and experience to accomplish the proposed tasks. 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.
- *Potential Contribution and Relevance to the DARPA Mission:* The potential contributions of the proposed project are relevant to the national technology base. Specifically, DARPA's mission is to maintain the technological superiority of the U.S. military and prevent technological surprise from harming national security by sponsoring revolutionary, high-payoff research that bridges the gap between fundamental discoveries and their application. 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 offered and demonstrate the proposer's practical understanding of the effort.* The proposed costs are based on realistic assumptions, reflect a sufficient understanding of the technical goals and objectives of the solicitation, and are consistent with the proposer's technical/management approach (to include the proposed SOW). The costs for the prime and subcontractors/consultants 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).

### B. Review and Selection Process

DARPA policy is to ensure impartial, equitable, and comprehensive proposal evaluations and to select proposals that meet DARPA technical, policy, and programmatic goals.

Qualified Government personnel will conduct a scientific and technical review of each conforming proposal and (if necessary) convene panels of experts in the appropriate areas. 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 appropriate nondisclosure agreements/requirements.

The review process identifies proposals that meet the established criteria and are, therefore,

selectable for negotiation of funding awards by the Government. Selections under this solicitation will be made on the basis of the evaluation criteria listed above. Proposals that are determined to be selectable will not necessarily receive awards. Selections may be made at any time during the period of solicitation.

DARPA will review all proposals without regard to feedback resulting from abstract review. Proposals are evaluated individually, not rated competitively against other proposals because they are not submitted in accordance with a common work statement. For purposes of evaluation, a proposal is defined to be the document and supporting materials as described in Section IV.

Failure to comply with the submission procedures may result in the submission not being evaluated. No submissions, classified or unclassified, will be returned. After proposals have been evaluated and selections made, the original of each proposal will be retained at DARPA. Hard copies will be destroyed.

## **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. Notifications 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 a minimum of Government Purpose Rights (GPR) to technical data / software developed through DARPA sponsorship.

If proposers desire to use proprietary software or technical data or both as the basis of their proposed approach, in whole or in part, and will assert less than unlimited rights, 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.

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 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.

## **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.xii.(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 noncommercial 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.xii.(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 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.xii.(5).

## **2. Human Subjects Research (HSR)**

All research selected for funding involving human subjects, to include the use of human biological specimens and human data, must comply with Federal regulations for human subjects protection. Further, research involving human subjects that is conducted or supported by the DoD must comply with 32 CFR 219, "Protection of Human Subjects" and DoD Instruction 3216.02, "Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research."<sup>6</sup>

Institutions awarded funding for research involving human subjects must provide documentation of a current Assurance of Compliance with Federal regulations for human subjects protection, such as a Department of Health and Human Services, Office of Human Research Protection Federal Wide Assurance.<sup>7</sup> All institutions engaged in human subjects research, to include subcontractors, must have a valid Assurance. In addition, all personnel involved in human subjects research must provide documentation of completion of HSR training.

For all research that will involve human subjects in the first year or phase of the project, the institution must submit evidence of or a plan for review by an Institutional Review Board (IRB) as part of the proposal. The IRB conducting the review must be the IRB identified on the institution's Assurance of Compliance. The protocol, separate from the proposal, must include a detailed description of the research plan, study population, risks and benefits of study participation, recruitment and consent process, data collection, and data analysis. The designated IRB should be consulted for guidance on writing the protocol. The informed consent document must comply with 32 CFR 219.116. A valid Assurance of Compliance with human subjects protection regulations and evidence of appropriate training by all

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<sup>6</sup> <http://www.dtic.mil/whs/directives/corres/pdf/321602p.pdf>

<sup>7</sup> <http://www.hhs.gov/ohrp>

investigators and personnel should accompany the protocol for review by the IRB.

In addition to a local IRB approval, a headquarters-level human subjects administrative review and approval is required for all research conducted or supported by the DoD. The Army, Navy, or Air Force office responsible for managing the award can provide guidance and information about their component's headquarters-level review process. Confirmation of a current Assurance of Compliance and appropriate human subjects protection training is required before headquarters-level approval can be issued.

The time required to complete the IRB review/approval process will vary depending on the complexity of the research and the level of risk to study participants. The IRB approval process can last 1 to 3 months, followed by a DoD review that could last 3 to 6 months. Ample time should be allotted to complete the approval process. DoD/DARPA funding cannot be used toward HSR until all approvals are granted.

### **3. Animal Use**

Award recipients performing research, experimentation, or testing involving the use of animals shall comply with the rules on animal acquisition, transport, care, handling, and use as outlined in:

- 9 CFR Parts 1-4, Department of Agriculture regulation that implements the Animal Welfare Act of 1966, as amended (7 USC §§ 2131-2159);
- National Institutes of Health Publication No. 86-23, "Guide for the Care and Use of Laboratory Animals" (8th Edition); and
- DoD Instruction 3216.01, "Use of Animals in DoD Programs."

For projects anticipating animal use, proposals should briefly describe plans for Institutional Animal Care and Use Committee (IACUC) review and approval. Animal studies in the program will be expected to comply with the "Public Health Service Policy on Humane Care and Use of Laboratory Animals."<sup>8</sup>

All award recipients must receive approval by a DoD-certified veterinarian, in addition to IACUC approval. No animal studies may be conducted using DoD/DARPA funding until the U.S. Army Medical Research and Materiel Command (USAMRMC) Animal Care and Use Review Office (ACURO) or other appropriate DoD veterinary office(s) grant approval. As a part of this secondary review process, the recipient will be required to complete and submit an ACURO Animal Use Appendix.<sup>9</sup>

### **4. Export Control**

Per DFARS 225.7901-4, all procurement contracts resultant from this solicitation will include the DFARS Export Control clause (252.225-7048). Language similar to DFARS Clause 252.225-7048 may be incorporated into OTs and other awards as deemed appropriate.

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<sup>8</sup> <http://grants.nih.gov/grants/olaw/olaw.htm>

<sup>9</sup> [https://mrmc.amedd.army.mil/index.cfm?pageid=Research\\_Protections.acuroAnimalAppendix](https://mrmc.amedd.army.mil/index.cfm?pageid=Research_Protections.acuroAnimalAppendix)



## **5. 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 USC § 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.

## **6. Employment Eligibility Verification**

Per FAR 22.1802, recipients of FAR-based procurement contracts must enroll as Federal contractors in E-verify<sup>10</sup> and use the system to verify employment eligibility of all employees assigned to the award. All resultant contracts from this solicitation will include the clause at FAR 52.222-54, "Employment Eligibility Verification." This clause will not be included in grants, cooperative agreements, or OTs.

## **7. Additional Requirements and Responsibilities relating to Alleged Crimes by or against Contractor Personnel in Iraq and Afghanistan**

In accordance with FAR 1.108(d), the following clause will be used in all contracts performed in Iraq or Afghanistan. Such contracts are defined as "contracts with the Department of Defense, a subcontract at any tier issued under such a contract, or a task order or delivery order at any tier issued under such contract, including a contract, subcontract, or task order or delivery order issued by another Government agency for the Department of Defense, if the contract, subcontract, or task order or delivery order involves work performed in Iraq or Afghanistan for a period longer than 14 days."

(a) The contractor shall report to the appropriate investigative authorities, identified in paragraph (c) below, any alleged offenses under—

- (1) The Uniform Code of Military Justice (10 USC § 47) applicable to contractors serving with or accompanying an armed force in the field during a declared war or a contingency operation; or
- (2) The Military Extraterritorial Jurisdiction Act (18 USC § 212).

(b) The contractor shall provide to all contractor personnel who will perform work on a contract in Iraq or Afghanistan, before beginning such work, information on the following:

- (1) How and where to report an alleged crime described in paragraph (a) of this clause.
- (2) Where to seek victim and witness protection and assistance available to contractor personnel in connection with an alleged offense described in paragraph (a) of this clause.

(c) The appropriate investigative authorities to which suspected crimes shall be reported include the following officials –

- (i) US Army Criminal Investigations Division at  
<http://www.cid.army.mil/reportacrime.html>

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<sup>10</sup><http://www.uscis.gov/e-verify>

- (ii) Air Force Office of Special Investigations at <http://www.osi.af.mil/library/index.asp>
  - (iii) Navy Criminal Investigative Service at <http://www.ncis.navy.mil/Pages/publicdefault.aspx>; or
  - (iv) the command of any supported military element or the command of any base.
- (d) Personnel seeking whistleblower protection from reprisals for reporting criminal acts shall seek guidance through the DoD Inspector General hotline at (800) 424-9098 or [www.dodig.mil/HOTLINE/index.html](http://www.dodig.mil/HOTLINE/index.html). Personnel seeking other forms of victim or witness protection should contact the nearest military law enforcement office.

## **8. System for Award Management (SAM) Registration and Universal Identifier Requirements**

Unless the proposer is exempt from this requirement, as per FAR 4.1102 or 2 CFR 25.110, as applicable, all proposers must be registered in the SAM and have a valid DUNS number prior to submitting a proposal. All proposers must provide their DUNS number in each proposal they submit. All proposers must maintain an active SAM registration with current information at all times during which they have an active Federal award or proposal under consideration by DARPA. Information on SAM registration is available at <http://www.sam.gov>.

Note that new registrations can take an average of 7-10 business days to process in SAM. SAM registration requires 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).

## **9. Reporting Executive Compensation and First-Tier Subcontract Awards**

Per FAR 4.1403, FAR-based procurement contracts valued at \$25,000 or more will include the clause at FAR 52.204-10, "Reporting Executive Compensation and First-Tier Subcontract Awards." A similar award term will be used in grants and cooperative agreements.

## **10. Updates of Information Regarding Responsibility Matters**

Per FAR 9.104-7(c), all contracts valued at \$500,000 or more, where the contractor has current active Federal contracts and grants with total value greater than \$10,000,000, will include FAR clause 52.209-9, "Updates of Publicly Available Information Regarding Responsibility Matters."

## **11. Representation by Corporations Regarding Unpaid Delinquent Tax Liability or a Felony Conviction under Any Federal Law – Fiscal Year 2014 Appropriations (Deviation 2014-O0004)**

In accordance with section 101(a) of Division A of the Continuing Appropriations Act, 2014 (Pub. L. 113-46), none of the funds made available by that Act for DoD (including Military

Construction funds) may be used to enter into a contract with any corporation that: (1) 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, where the awarding agency is aware of the unpaid tax liability, unless the agency has considered suspension or debarment of the corporation and made a determination that this further action is not necessary to protect the interests of the Government; or (2) was convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency is aware of the conviction, unless the agency has considered suspension or debarment of the corporation and made a determination that this action is not necessary to protect the interests of the Government. Each proposer must complete and return the representations outlined in Section IV.B.2.a.xii.(8) with their proposal submission.

## **12. Cost Accounting Standards (CAS) Notices and Certification**

Per FAR 52.230-2, any procurement contract in excess of \$700,000 resulting from this solicitation will be subject to the requirements of the Cost Accounting Standards Board (48 CFR 99), except those contracts which are exempt as specified in 48 CFR 9903.201-1. 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](http://www.whitehouse.gov/omb/procurement_casb).

## **13. Controlled Unclassified Information (CUI) on Non-DoD Information Systems**

CUI refers to unclassified information that does not meet the standard for National Security Classification but is pertinent to the national interests of the United States or to the important interests of entities outside the Federal Government and under law or policy requires: (1) protection from unauthorized disclosure, (2) special handling safeguards, or (3) prescribed limits on exchange or dissemination. All non-DoD entities doing business with DARPA are expected to adhere to the following procedural safeguards, in addition to any other relevant Federal or DoD specific procedures, for submission of any proposals to DARPA and any potential business with DARPA:

- Do not process DARPA CUI on publicly available computers or post DARPA CUI to publicly available webpages or websites that have access limited only by domain or Internet protocol restriction.
- Ensure that all DARPA CUI is protected by a physical or electronic barrier when not under direct individual control of an authorized user and limit the transfer of DARPA CUI to subcontractors or teaming partners with a need to know and commitment to this level of protection.
- Ensure that DARPA CUI on mobile computing devices is identified and encrypted and all communications on mobile devices or through wireless connections are protected and encrypted.
- Overwrite media that has been used to process DARPA CUI before external release or disposal.

## **14. Safeguarding of Unclassified Controlled Technical Information**

Per DFARS 204.7300, the DFARS clause at 252.204-7012 (Safeguarding of Unclassified Controlled Technical Information), applies to this solicitation and all resultant contracts.

### **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**

In accordance with FAR 4.1201, prospective proposers shall complete electronic annual representations and certifications at <http://www.sam.gov>.

#### **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. 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>.

## VII. AGENCY CONTACTS

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

- **POC:** BAA Coordinator, DARPA/I2O
- **Email:** [DARPA-BAA-15-54@darpa.mil](mailto:DARPA-BAA-15-54@darpa.mil)
- **Mailing address:**  
DARPA/I2O  
ATTN: DARPA-BAA-15-54  
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 [DARPA-BAA-15-54@darpa.mil](mailto:DARPA-BAA-15-54@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. 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	VI.B.8	Required of all proposers	The DUNS Number is the Federal Government's contractor identification code for all procurement-related activities. See <a href="http://fedgov.dnb.com/webform/index.jsp">http://fedgov.dnb.com/webform/index.jsp</a> to request a DUNS number. Note: requests may take at least one business day.
	Obtain Taxpayer Identification Number (TIN)	VI.B.8	Required of all proposers	A TIN is used by the Internal Revenue Service in the administration of tax laws. See <a href="http://www.irs.gov/businesses/small/international/article/0,,id=96696,00.html">http://www.irs.gov/businesses/small/international/article/0,,id=96696,00.html</a> 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 Management (SAM)	VI.B.8	Required of all proposers	The SAM combines Federal procurement systems and the Catalog of Federal Domestic Assistance into one system. See <a href="http://www.sam.gov">www.sam.gov</a> 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).
	Register in E-Verify	VI.B.6	Required for proposers requesting procurement contracts	E-Verify is a web-based system that allows businesses to determine the eligibility of their employees to work in the United States. See <a href="http://www.uscis.gov/e-verify">http://www.uscis.gov/e-verify</a> for information and registration.
	Ensure representations and certifications are up to date	VI.C.2	Required of all proposers	Federal provisions require entities to represent/certify to a variety of statements ranging from environmental rules compliance to entity size representation. See <a href="http://www.sam.gov">http://www.sam.gov</a> for information.
	Ensure eligibility of all team members	III	Required of all proposers	Verify eligibility in accordance with requirements outlined in Section III.

	Register at Grants.gov	IV.E.1.c	Required for proposers requesting grants or 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 <a href="http://www.grants.gov/web/grants/applicants/applicant-resources.html">http://www.grants.gov/web/grants/applicants/applicant-resources.html</a> for further information.
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The following items apply as part of the submission package:

✓	Item	BAA Section	Applicability	Comment
	Volume 1 (Technical and Management Proposal)	IV.B.2.a	Required of all proposers	Conform to stated page limits and formatting requirements. Include all requested information.
	Appendix A	IV.B.2.a.xii	Required of all proposers	<ul style="list-style-type: none"> <li>-Team member identification</li> <li>- Government/FFRDC team member proof of eligibility</li> <li>- Organizational conflict of interest affirmations</li> <li>- Intellectual property assertions</li> <li>- Human subjects research</li> <li>- Animal use</li> <li>- Unpaid delinquent tax liability/felony conviction representations</li> <li>-CASB disclosure, if applicable</li> </ul>
	Volume 2 (Cost Proposal)	IV.B.2.b	Required of all proposers	<ul style="list-style-type: none"> <li>- Cover Sheet</li> <li>- Cost summary</li> <li>- Cost details including justifications for direct labor, indirect costs/rates, materials/equipment, subcontractors/consultants, travel, ODCs</li> <li>- Cost spreadsheet file (.xls or equivalent format)</li> <li>- If applicable, list of milestones for 845 OTs</li> <li>- Subcontractor plan, if applicable</li> <li>- Subcontractor cost proposals</li> <li>- Itemized list of material and equipment items to be purchased with vendor quotes or engineering estimates for materials/equipment exceeding \$50,000</li> <li>- Travel purpose, departure/arrival destinations, and sample airfare</li> </ul>