



Broad Agency Announcement  
Innovative Systems for Military Missions  
Tactical Technology Office  
HR001117S0014  
June 12, 2017

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**PART I: OVERVIEW INFORMATION**

- **Federal Agency Name** – Defense Advanced Research Projects Agency (DARPA), Tactical Technology Office(TTO)
- **Funding Opportunity Title** – Innovative Systems for Military Missions
- **Announcement Type** – Initial Announcement
- **Funding Opportunity Number** – HR001117S0014
- **Catalog of Federal Domestic Assistance Numbers (CFDA)** –12.910 Research and Technology Development
- **Dates** –
  - Posting Date: 12 June, 2017
  - Proposal Due Date: 12 June, 2018
  
- **Concise description of the funding opportunity** – The Tactical Technology Office of the Defense Advanced Research Projects Agency is soliciting executive summaries, white papers and proposals for advanced research, development and demonstration of innovative systems for military missions.
- **Anticipated individual awards** – Multiple awards are anticipated.
- **Types of instruments that may be awarded** -- Procurement (FAR-based) contract, grant, cooperative agreement or other transaction.
- **Agency contact** – The BAA Coordinator for this effort can be reached via: [HR001117S0014@darpa.mil](mailto:HR001117S0014@darpa.mil)

DARPA/Tactical Technology Office ATTN:  
HR001117S0014  
675 North Randolph Street  
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## **PART II: FULL TEXT OF ANNOUNCEMENT**

### **I. Funding Opportunity Description**

The Defense Advanced Research Projects Agency (DARPA) often selects its research efforts through the Broad Agency Announcement (BAA) process. The BAA will first appear on the Federal Business Opportunities (FedBizOpps) website, <http://www.fbo.gov/>, and Grants.gov website at <http://www.grants.gov/>. It will then appear on the agency website, <http://www.darpa.mil/work-with-us/opportunities>. The following information is for those wishing to respond to the BAA.

#### **A. Program Overview**

The Tactical Technology Office (TTO) of the Defense Advanced Research Projects Agency (DARPA) is soliciting executive summaries, white papers and proposals for advanced research, development and demonstration of innovative systems for military missions. Innovative systems are platforms, weapons, integrated systems or critical systems components that often incorporate emerging advanced technologies and enable revolutionary improvements to the capability, efficiency and effectiveness of the military.

This solicitation focuses on the very high payoff, high risk development, integration, demonstration, and evaluation of innovative systems or critical systems components enabled by, and incorporating, new or emerging technologies. Proposed efforts must also show significant promise to provide the U.S. military with revolutionary new mission capabilities, enable significant increases in mission effectiveness, or dramatically reduce system costs.

TTO's mission is to develop prototype platforms, systems, and technologies which explore, design, develop, and test revolutionary military capabilities. Whether on the ground, at sea, in the air, in space, or bridging these domains, TTO platforms and systems are intended to create or prevent strategic and tactical surprise by placing revolutionary new capabilities in the hands of U.S. forces, and to drive potential adversaries to field costly countermeasures or accept U.S. advantage. Innovative system concepts of interest to TTO typically address emerging technical opportunities, advanced systems concepts, emergent threats, or new technology-enabled concepts of operation.

TTO seeks to "invert the cost equation," by forcing adversaries to expend substantial resources to counter U.S. capabilities inside adversary acquisition cycle timelines. To be successful, TTO stresses the overwhelming importance of finding ways to simultaneously reduce the cost of developing, testing, fielding, and sustaining weapon systems, while drastically shortening the amount of time between identifying a warfighter need and deploying a capability to the field.

For all domains, TTO favors agile time-to-market driven approaches for systems development, which explicitly employ "design-to-cost" methods and whenever possible, leverage commercial capabilities. TTO strongly encourages respondents to adopt a complete systems engineering approach, which addresses life-cycle costs and impacts on logistics when considering mission application.

In addition, respondents should include consideration of TTO's focus on cross-cutting capabilities, examples of which include:

- Agile hardware and software development to promote rapid prototyping;
- Cooperative autonomy (e.g., manned/unmanned teaming);
- Cross-domain collaboration, integration, data sharing, and distributed command and control;
- Innovative power and propulsion schemes; and
- Disruptive architectural concepts leveraging commercial capabilities to reduce both investment and recurring costs and greatly compress the cycle of innovation.

TTO adheres to DARPA's mission of developing breakthrough technologies in advance of stated military requirements. As such, TTO is explicitly not interested in approaches or technologies that offer incremental or evolutionary advancements beyond state-of-the-art.

## **B. TTO Focus Areas**

### **1. Ground Systems**

Threats facing ground forces continue to grow in scale, speed, complexity, sophistication, and ubiquity of location, especially as operations encroach into increasingly urban and densely populated areas. Existing ground based systems suffer a multitude of challenges including distributing operations across expanding areas and domains; fighting for control and use of the electromagnetic spectrum; leveraging autonomy for decision-making and awareness; surviving kinetic and cyber engagements; and effectively applying lethal effects and efficiently scaling size, weight, and power (SWaP) for endurance.

TTO seeks breakthrough systems and technologies to define the next generation of ground combat systems and dramatically enhance the capabilities of the soldier and squad by an order of magnitude. TTO is interested in enhancing the lethality, mobility, logistics, performance, health, and survivability of individual soldiers and the capability to operate as small units in complex environments. TTO is interested in the aggregate performance improvement of the combat squad in the conduct of their mission to include mobility, robotics/unmanned systems, weapons, sensing, and communications. TTO also seeks advanced lethality, protection, autonomy, and propulsion concepts for manned and unmanned vehicle systems. TTO has special interest in platform systems that leverage the advantages of speed, non-attribution, and surprise in tactical environments, and by applying precise, concentrated force against high-value targets.

### **2. Maritime Systems**

TTO is interested in new technologies that significantly advance the functionality, performance envelope and modalities of current maritime and undersea operations, especially approaches that mitigate the shortcomings of distributed operation while concentrating effects as needed. This includes innovation in multi-platform, cross-domain combined arms to enhance sub-surface and surface maritime presence and operational capability; transformational system designs for tactical operations in dynamic and adverse weather conditions; long-range weapons systems with low latency targeting updates; swarming maritime systems and technologies; and high data rate, reliable, secure communication techniques.

### **3. Air Systems**

TTO is interested in air system technologies that support the full spectrum of cross-

domain combat operations, including hypersonic systems, novel air vehicles, and X-plane demonstrator technologies that encompass air breathing and non-air-breathing propulsion concepts. TTO seeks to develop platforms that support operations executed in a low-profile manner aimed at achieving the advantage of speed in tactical environments, surprise, and the application of overwhelming force against specified targets. TTO is interested in manned-unmanned teaming in collaborative air systems and operations. Technologies that enable an innovative, cost effective and efficient means to detect, track, identify and engage low, slow and small UAVs within operationally relevant environments (urban, tactical, and strategic domains) are also of interest to TTO.

#### **4. Space Systems**

TTO is interested in disrupting the traditional approach to the development and fielding of satellites and other space systems, which historically have resulted in lengthy acquisition cycles and very high cost – reducing our ability to innovate, upgrade, and respond to or deter adversary threats.

TTO’s focus on affordable, rapid fielding of space platforms includes: hyper-resilient space architectures based on emerging commercial systems; highly autonomous satellites and constellations incorporating robotics; approaches that radically reduce launch costs and improve throughput, especially for small systems (i.e., less than 1,000 kilograms); novel, low-cost approaches to obtain persistent, global coverage of the earth and near-earth space; improved survivability of individual space assets; approaches to improving space situational awareness and command and control that integrate with the air, maritime, and ground domains; and high-performance power generation and propulsion capabilities for launch systems, satellites, and other platforms, enabling freedom of movement between air and space domains and across orbital regimes.

#### **5. Cross-Domain Systems**

TTO is interested in technologies, which address the “seams” between domains that potential adversaries may target. TTO is investing in approaches that aim to dramatically improve this integration, focusing on demonstrations and programs, which validate revolutionary precision engagement capabilities. This includes: the development of persistent, global surveillance architectures; real-time data updates, at scale; provision of real-time, decision quality information; and the demonstration of novel approaches that support rapid and affordable integration.

TTO is interested in swarm technologies to enhance cross-domain (air, ground, maritime, space) combat operations including: collaborative manned and unmanned guidance, control, and artificial intelligence; swarm behavior that enables cooperative cross-cueing techniques for enhanced navigation, localization, and targeting; and model-based approaches to autonomy, including swarming, counter-swarming, multi-platform coordination, and multi-modal human interaction optimized for operations within complex environments.

## **II. Award Information**

### **A. General Award Information**

Multiple awards are anticipated. The amount of resources made available under this BAA will depend on the quality of the proposals received and the availability of funds. In general,

initial awards are anticipated to be for less than \$1 million and less than 18 months duration, although options that follow the base effort may also be proposed.

The Government reserves the right to select for negotiation all, some, one, or none of the proposals received in response to this solicitation and to make awards without discussions with proposers. The Government also reserves the right to conduct discussions if it is later determined to be necessary. If warranted, portions of resulting awards may be segregated into pre-priced options. Additionally, DARPA reserves the right to accept proposals in their entirety or to select only portions of proposals for award. In the event that DARPA desires to award only portions of a proposal, negotiations may be opened with that proposer. The Government reserves the right to fund proposals in phases with options for continued work, as applicable.

Awards under this BAA will be made to proposers on the basis of the evaluation criteria listed below (see section labeled “Application Review Information,” Section V.), and program balance to provide overall value to the Government. The Government reserves the right to request any additional, necessary documentation once it makes the award instrument determination. Such additional information may include but is not limited to Representations and Certifications (see Section VI.B.4, “Representations and Certifications”). The Government reserves the right to remove proposals from award consideration, should the parties fail to reach agreement on award terms, conditions, and/or cost/price within a reasonable time, or the proposer fails to provide requested additional information in a timely manner. Proposals identified for negotiation may result in a procurement contract, grant, cooperative agreement, or other transaction, depending upon the nature of the work proposed, the required degree of interaction between parties, whether or not the research is classified as Fundamental Research, and other factors. Any requests for or assumptions regarding Government Furnished Equipment (GFE) or Government Furnished Information (GFI) should be clearly stated in the proposal.

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

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

## **B. Fundamental Research**

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

‘Fundamental research’ means basic and applied research in science and engineering, the results of which ordinarily are published and shared broadly within the scientific community, as distinguished from proprietary research and from industrial development, design, production, and product utilization, the results of which ordinarily are restricted for proprietary or national security reasons.

As of the date of publication of this BAA, the Government cannot identify whether the work under this BAA may be considered fundamental research and may award both fundamental and non-fundamental research.

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

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

### **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**

##### **a) FFRDCs**

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

All proposers are expected to address transition; transition is part of the evaluation criteria in Section V.A. However, given their special status, FFRDCs should describe how and when a proposed technology/system will transition to which Non-FFRDC organization(s).



### **b) Government Entities**

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

### **c) Authority and Eligibility**

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

## **2. Non-U.S. Organizations and/or Individuals**

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.

## **3. Classified Proposals**

For classified proposals, applicants will ensure all industrial, personnel, and information systems processing security requirements are in place and at the appropriate level (e.g., Facility Clearance Level (FCL), Automated Information Security (AIS), Certification and Accreditation (C&A), and any Foreign Ownership Control and Influence (FOCI) issues are mitigated prior to submission. Additional information on these subjects can be found at <http://www.dss.mil>.

## **B. Organizational Conflicts of Interest**

### FAR 9.5 Requirements

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

### Agency Supplemental OCI Policy

In addition, DARPA has a supplemental OCI policy that prohibits contractors/performers from concurrently providing Scientific Engineering Technical Assistance (SETA), Advisory and Assistance Services (A&AS) or similar support services and being a technical performer. Therefore, as part of the FAR 9.5 disclosure requirement above, a proposer must affirm whether

the proposer or *any* proposed team member (subawardee, consultant) is providing SETA, A&AS, or similar support to any DARPA office(s) under: (a) a current award or subaward; or (b) a past award or subaward that ended within one calendar year prior to the proposal's submission date.

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

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

#### Government Procedures

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

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

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

#### **C. Cost Sharing/Matching**

Cost sharing is not required; however, it will be carefully considered where there is an applicable statutory condition relating to the selected funding instrument (e.g., for any Other Transactions under the authority of 10 U.S.C. §2371b). Cost sharing is encouraged where there is a reasonable probability of a potential commercial application related to the proposed research and development effort.

### **IV. Application and Submission Information**

#### **A. Address to Request Application Package**

This solicitation contains all information required to submit a proposal. No additional forms, kits, or other materials are needed. This notice constitutes the total solicitation. No additional information is available, except as provided at FBO.gov or Grants.gov, nor will a formal Request for Proposal (RFP) or additional solicitation regarding this announcement be issued. Requests for the same will be disregarded.

#### **B. Content and Form of Application Submission**

Proposers are strongly encouraged to submit an executive summary and, if encouraged, a white paper in advance of a full proposal. A DARPA Program Manager may contact you to further discuss the idea in your executive summary or white paper. This procedure is intended

to minimize unnecessary effort and cost in proposal preparation and review.

Regardless of DARPA's response to an executive summary or a white paper, proposers may submit a full proposal. DARPA will review all full proposals submitted using the published evaluation criteria and without regard to any comments resulting from the review of an executive summary or white paper.

All submissions must be written in English with type not smaller than 12-point font. A page is defined as being no larger than an electronically formatted page of 8.5" by 11.0" with type not smaller than 12 point. Smaller font may be used for figures, tables, and charts. Copies of all documents submitted must be clearly labeled with the DARPA BAA number, proposer organization, and proposal title/proposal short title.

All unclassified concepts submitted electronically through DARPA's BAA Website must be uploaded as zip files (.zip or .zipx extension). The final zip file should be no greater than 50 MB in size. Only one zip file will be accepted per submission, and submissions not uploaded as zip files will be rejected by DARPA. (Please note that the electronic submission form refers to a "proposal abstract," which means the white paper described in this document).

Classified submissions and proposals requesting assistance instruments (grants or cooperative agreements) should NOT be submitted through DARPA's BAA Website (<https://baa.darpa.mil>), though proposers will likely still need to visit <https://baa.darpa.mil> to register their organization (or verify an existing registration) to ensure the BAA office can verify and finalize their submission. Additionally, an *unclassified* e-mail must be sent to the BAA mailbox requesting submission instructions for a classified proposal. Please see section IV.B.4.(b) for information regarding classified and partially classified submissions.

For a proposal that includes both classified and unclassified information, the proposal may be separated into an unclassified portion and a classified portion. The proposal should use the unclassified portion to the maximum extent reasonable. The unclassified portion can be submitted through the DARPA BAA Website, per the instructions above. The classified portion must be submitted separately, according to the instructions outlined in section IV.B.4.(b).

All administrative correspondence and questions on this solicitation, including requests for information on how to submit an executive summary, white paper, or full proposal to this BAA, should be directed to [HR001117S0014@darpa.mil](mailto:HR001117S0014@darpa.mil).

Technical support for DARPA's BAA Website may be reached at [BAAT\\_Support@darpa.mil](mailto:BAAT_Support@darpa.mil) and is typically available during regular business hours, (9:00 AM - 5:00 PM Eastern Time Monday - Friday). Please be sure to send a Courtesy Copy (CC) to the HR001117S0014 mailbox at [HR001117S0014@darpa.mil](mailto:HR001117S0014@darpa.mil). Proposers using the DARPA BAA Website may encounter heavy traffic on the submission deadline date; it is highly advised that the submission process be started as early as possible.

### **1. Executive Summary Format**

Executive summaries are encouraged in advance of submitting white papers and full proposals in order to provide potential proposers with a rapid response to minimize unnecessary effort. Proposers should specifically and clearly address the innovation of their proposed system or subsystem component development, the scientific or technical basis for innovative claims, and the impact of the proposed development on military mission capabilities, efficiency, or effectiveness. The executive summary should be clearly marked “EXECUTIVE SUMMARY,” and the total length shall not exceed one (1) page. All executive summary submissions must be written in narrative form. No formal transmittal letter is required, but submissions must include the organization name, submission title, and technical POC information (e-mail and mailing address). All executive summaries must be written in English.

### **2. White Paper Format**

White paper submissions are encouraged in advance of full proposals in order to provide potential proposers with a rapid response and to minimize unnecessary effort. White papers should follow the same content guideline as described in Sections I and II of Volume I, Technical and Management Proposal (see Section IV.B.3). The cover sheet should be clearly marked “WHITE PAPER,” and the total length should not exceed six (6) pages, excluding cover page, official transmittal letter, and quad chart. The page limitation for white papers includes all figures, tables, and charts. No formal transmittal letter is required. All white papers must be written in English. The white paper must include a statement of the anticipated Rough Order of Magnitude (ROM) cost and the anticipated duration of the proposed effort.

### **3. Proposal Format**

All full proposals must be in the format given below. Nonconforming proposals may be rejected without review. Proposals shall consist of two volumes: 1) Volume I, Technical and Management Proposal (composed of three parts), and 2) Volume II, Cost Proposal. The maximum page limit for Volume I is 30 pages (40 pages if the proposal dollar value is > \$1 million). Bracketed numbers by each section listed below denote page limits. The page limitation for full proposals includes all figures, tables, and charts.

Volume I, Technical and Management Proposal, described below, may include an attached bibliography of relevant technical papers or research notes (published and unpublished), which document the technical ideas and approach upon which the proposal is based. Copies of not more than three (3) relevant papers may be included with the submission. The bibliography and attached papers are not included in the page counts given below. The submission of other supporting materials along with the proposals is strongly discouraged and will not be considered for review.

Ensure that each section provides the detailed discussion of the proposed work necessary to enable an in-depth review of the specific technical and managerial issues. Specific attention must be given to addressing both risk and payoff of the proposed work that make it desirable to DARPA.

**a) Volume I, Technical and Management Proposal**

**Section I: Administrative**

- (a) Cover Sheet to include {no page limit}:
- (1) BAA number (HR001117S0014);
  - (2) Proposal title;
  - (3) Technical area;
  - (4) Lead Organization submitting proposal;
  - (5) Type of organization, selected among the following categories: “LARGE BUSINESS,” “SMALL DISADVANTAGED BUSINESS,” “OTHER SMALL BUSINESS,” “HBCU,” “MI,” “OTHER EDUCATIONAL,” OR “OTHER NONPROFIT”;
  - (6) Other team members (if applicable) and type of organization for each;
  - (7) Technical point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available);
  - (8) Administrative point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available);
  - (9) Total funds requested from DARPA, and the amount of cost share (if any); and
  - (10) Award instrument requested: cost-plus-fixed-fee (CPFF), cost-contract – no fee, cost sharing contract – no fee, or other type of procurement contract (specify), grant, cooperative agreement, or other transaction;
  - (11) Place(s) and period(s) of performance;
  - (12) Summary of the costs of the proposed research, including total base cost, estimates of base cost in each year of the effort, estimates of itemized options in each year of the effort, and cost sharing if relevant;
  - (13) Name, address, and telephone number of the proposer’s cognizant Defense Contract Management Agency (DCMA) administration office (if known);
  - (14) Name, address, and telephone number of the proposer’s cognizant Defense Contract Audit Agency (DCAA) audit office (if known);
  - (15) Date proposal was prepared;
  - (16) DUNS number;
  - (17) TIN number;
  - (18) Cage code (lead organization);
  - (19) Proposal validity period (minimum 180 days);
  - (20) Affirmation of existing SETA support contacts (see Part III, Section B). If none, state “none”;
  - (21) Affirmation of Human Subject Research. If none, state “none”;
  - (22) Affirmation of Animal Research. If none, state “none”;
  - (23) Statement of Unique Capability Provided by Government or Government- Funded Team Member {no page limit};
  - (24) Per Section III.A – Eligible Applicants, proposals that include Government or Government-funded entities (i.e., FFRDC’s, National laboratories, etc.) as prime, subcontractor or team member, shall provide a statement that clearly demonstrates the work being provided by the Government or Government- funded entity team member is not otherwise available from the private sector. If none of the team members belongs to a Government or Government-funded entity, then the proposer should state “Not Applicable.”

- (b) Table of Contents {no page limit}

Section II: Summary of Proposal {4}

*Note: The Summary of Proposal should not have any unique information not contained in the Detailed Proposal Information.*

- (a) **Innovation:** Succinctly describe the uniqueness and benefits of the proposed research relative to the current state-of-art or alternate approaches. Provide a basic description of the scientific or technical basis for the innovative claims.
- (b) **Results:** Provide a short description of the results, products, transferable technology, and transition path.
- (1) Include in this section all proprietary claims to the results, prototypes, intellectual property, or systems supporting and/or necessary for the use of the research, results, and/or prototype. If there are no proprietary claims, this should be stated. For forms to be completed regarding intellectual property, see Section IV.B.4.i of this BAA. There will be no page limit for the listed forms.
- (a) **Technical Rationale:** Provide a short description of the impact of the proposed development on military mission capabilities, efficiency, or effectiveness.
- (1) This section is not intended to expand on the military utility of your concept. The purpose of this section is to explain why the specific technical approach you chose is superior to other technical approaches.
- (2) Proposers responding to this BAA must submit a separate list of all technical data or computer software that will be furnished to the Government with other than unlimited rights. The Government will assume unlimited rights if proposers fail to identify any intellectual property restrictions in their proposals.
- (a) **Technical Approach:** Provide a short description of the technical approach and constructive plan for accomplishment of technical goals in support of innovative claims and deliverable production.
- (b) **Experience:** Describe the unique capabilities of project and corporate team members. Describe the proposer's previous accomplishments and work in closely related research areas.
- (c) **Cost:** Cost, schedule and measurable milestones for the proposed research, including estimates of cost for each task in each year of the effort delineated by the prime and major subcontractors, total cost and company cost share, if applicable. (Note: Measurable milestones should capture key development points in tasks and should be clearly articulated and defined in time relative to start of effort.)
- (d) **Quad Chart:** Include in PowerPoint format a quad chart that reflects the content and claims in the proposal. The quadrants should be as follows: (1) proposal picture in the upper left-hand quadrant; (2) proposal description in the upper right-hand quadrant; (3) proposal military impact in the lower left-hand quadrant; and (4) proposal budget and schedule. For full proposals the quad chart will serve as the fourth page.

Section III: Detailed Proposal Information {26 or 36 if proposal is more than one million dollars}

- (a) **Statement of Work (SOW):** In plain English, clearly define the technical tasks/subtasks to be performed, their durations, and dependencies among them. The page length for the SOW will be dependent on the amount of the effort. For each task/subtask, provide the following.
- i. Objectives: Provide a general description of the proposal technical objective and a general description of each major task/activity. Provide a detailed description of the uniqueness and benefits of the proposed innovation relative to the current state-of-the-art in DoD, Industry and Academia as applicable.
  - ii. Technical Approach:
    1. Provide a detailed description of the approach to be taken to accomplish each major task/activity in support of innovative claims and deliverable production.
    2. Provide a top-level schedule for the major tasks.
    3. Where the effort could reasonably be partitioned into an initial and future phases, the future phases should be identified as options.
  - iii. Exit Criteria: Describe the exit criteria for each major task/activity such as a product, event or milestone that defines its completion.
  - iv. Deliverables: Define all deliverables (reporting, data, reports, hardware, software, technology, products, etc.) to be provided to the Government in support of the proposed tasks/activities.

*Note: It is recommended that the SOW be developed so that each phase of the project is distinct and does not overlap. **The SOW is not included as part of the Volume I page limit.** Do not include any proprietary information in the SOW.*

(b) **Technical Rationale:**

- i. Provide the technical rationale for the objective requirement, including technology advancements and value-added to DoD capabilities.
  - ii. Provide technical rationale, scientific basis, and any supporting analysis for the technical approach for each major task/activity.
  - iii. Provide a comparison of the technical objectives and technical approach with other ongoing research and existing state-of-the-art, indicating advantages and disadvantages of the proposed effort.
- (c) **Risk: Risk and Risk Reduction.**
- i. Provide an initial list of critical technology risk areas.
  - ii. Describe the formal process for identifying and tracking the risk elements that translate into critical and unique technologies, processes and system attributes associated with technology objective.
  - iii. For each proposed risk reduction task:
    1. Provide a detailed discussion of the technical objectives of each of the proposed risk reduction task as well as quantifiable success metrics.
    2. Describe the technical approach for each risk reduction task.
    3. Describe the value of performing the risk reduction activities during the initial phase, as opposed to deferring them until future phases.
  - iv. Describe the process for identifying and evaluating applicable technologies available from other Government and industry R&D programs.

(d) **Results:**

- i. Describe the results, products, transferable technology and expected technology

- transfer/transition paths.
- ii. Provide a description of all proprietary claims to the results, prototypes, intellectual property, or systems. If there are no proprietary claims, this should be stated. For forms to be completed regarding intellectual property, see Section IV.B.4.i
    - Intellectual Property. There will be no page limit for the listed forms.
- (e) **Experience:** A clearly defined organization chart for the program team which includes, as applicable: (1) the programmatic relationship of team member; (2) the unique capabilities of team members; (3) the task of responsibilities of team members; (4) the teaming strategy among the team members; and (5) the key personnel along with the amount of effort to be expended by each person during each year. DARPA requires key personnel identified in the proposal to be assigned as proposed, and the resulting contract/agreement will indicate no substitution shall be made without prior approval of the Government. Describe the unique capabilities of project and corporate team members. Describe the proposer's previous accomplishments and work in closely related research areas.
- (f) **Facilities:** Provide a description of any unique facilities necessary for execution of the proposed effort that would be used for the proposed effort.
- (g) **Organization:**
- i. Describe the programmatic relationship of corporate team members.
  - ii. Describe the responsibilities of corporate and project team members.
  - iii. Describe the teaming strategy among the team members.
  - iv. Identify the key personnel by name and include descriptions of their roles.
  - v. Submit a clearly defined organization chart for the project team.
- (h) **Project Management:**
- i. Management Plan:
    - 1. Describe program management process that will be utilized to obtain the technical objective.
    - 2. Include a description of how the team will function and share technical and financial information among the team members and with the Government.
    - 3. Provide short resumes for the key personnel in key disciplines/risk areas.
  - ii. Schedule: Provide a detailed integrated schedule of all initial phase activities, including risk reduction tasks. Proposals below \$1 million should provide an Integrated Master Schedule (IMS) at a minimum at WBS Level 2. Proposals that exceed \$1 million should provide an IMS at WBS Level 3.
    - 1. Measurable critical milestones should occur every two (2) to three (3) months after start of effort. Additional interim non-critical management milestones are also highly encouraged at regular intervals.
    - 2. Top-level schedules are required for optional phases and should be based on the proposer's initial risk reduction strategy.
    - 3. Include key events and demonstrations as appropriate for the technology concept.
      - a. An electronic copy of the IMS in MS Project shall be included with proposal submittals.
    - 4. All tasks in the IMS shall be linked and the ability to display the critical path shall be implemented.

## b) Volume II, Cost Proposal



Section I. Administrative

All proposers, including FFRDCs, must submit the following:

Cover sheet (to include):

- (1) BAA number (HR001117S0014);
- (2) Proposal title;
- (3) Technical area;
- (4) Lead Organization submitting proposal;
- (5) Type of organization selected among the following categories: "LARGE BUSINESS," "SMALL DISADVANTAGED BUSINESS," "OTHER SMALL BUSINESS," "HBCU," "MI," "OTHER EDUCATIONAL," OR "OTHER NONPROFIT";
- (6) Proposer's reference number (if any);
- (7) All team members, their Cage Code(s) (if applicable) and type of organization for each;
- (8) Technical point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available);
- (9) Administrative point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), and electronic mail (if available);
- (10) Award instrument requested: cost-plus-fixed-fee (CPFF), cost-contract—no fee, cost sharing contract – no fee, or other type of procurement contract (specify), grant, cooperative agreement, or Other Transaction;
- (11) Place(s) and period(s) of performance;
- (12) Total proposed cost separated by basic award and option(s) (if any);
- (13) Name, address, and telephone number of the proposer's cognizant Defense Contract Management Agency (DCMA) administration office (if known);
- (14) Name, address, and telephone number of the proposer's cognizant Defense Contract Audit Agency (DCAA) audit office (if known);
- (15) Date proposal was prepared;
- (16) DUNS number;
- (17) TIN number;
- (18) CAGE Code;
- (19) Subawardee Information; and
- (20) Proposal validity period.

Section II. Detailed Cost Proposal

*Note: Nonconforming proposals may be rejected without review.*

**(a) Supporting Cost and Pricing Data:**

- i. The proposer should include supporting cost and pricing information in sufficient detail to substantiate the summary cost estimates and should include a description of the method used to estimate costs and supporting documentation. The Government strongly encourages that tables included in the cost proposal also be provided in an editable (e.g., MS Excel) format with calculation formulas intact to allow traceability of the cost proposal numbers across the prime and subcontractors.

- ii. The awardee is responsible for compiling and providing all subawardee proposals for the Procuring Contracting Officer (PCO).
- iii. Subawardee proposals should include Interdivisional Work Transfer Agreements (ITWA) or similar arrangements.
- iv. All proprietary subawardee proposal documentation, prepared at the same level of detail as that required of the awardee's proposal and that cannot be uploaded with the proposed awardee's proposal, shall be provided to the Government either by the awardee or by the subawardee organization by e-mail ([HR001117S0014@darpa.mil](mailto:HR001117S0014@darpa.mil)) when the proposal is submitted.
- v. Where the effort consists of multiple portions that could reasonably be partitioned for purposes of funding, these should be identified as options with separate cost estimates for each.
- vi. For IT and equipment purchases, include a letter stating why the proposer cannot provide the requested resources from its own funding.
- vii. Each copy must be clearly labeled with the DARPA BAA number, proposer organization, and proposal title (short title recommended).

**(b) Cost Breakdown Information and Format:** Detailed cost breakdown to include the following.

- i. Provide the total program cost and costs broken down by initial phase and options.
- ii. Provide costs broken down for the initial phase, including at a minimum:
  - 1. Direct labor, including labor categories and man-hours, and labor rates;
  - 2. Cost by the prime and major subcontractors;
  - 3. Cost by major risk/activity;
  - 4. Materials;
  - 5. Other Direct Costs (ODCs) (e.g., travel, equipment, etc.);
  - 6. Overhead/Indirect charges, and rates used to calculate overhead/indirect costs;
  - 7. Provide the source, nature, and amount of any industry cost-sharing.
- iii. Identify the pricing assumptions that may require incorporation into the resulting award instrument (e.g., use of Government Furnished Property/facilities/ Information, access to Government Subject Matter Expert/s, etc.).
- iv. Supporting Cost Data. Supporting cost and pricing information
  - 1. Provide sufficient detail to substantiate the summary cost estimates above.
  - 2. Include a description of the method used to estimate costs and supporting documentation.
  - 3. All proprietary subcontractor proposal documentation, prepared at the same level of detail as that required of the prime and which cannot be uploaded with the proposed prime contractor's proposal, shall be provided to the Government either by the prime contractor or by the subcontractor organization by e-mail ([HR001117S0014@darpa.mil](mailto:HR001117S0014@darpa.mil)) when the proposal is submitted. The subject line of the e-mail shall contain the lead organization's proposal title, lead organization name, lead organization proposal submission date, and subcontractor name.
  - 4. Cost Notes:
    - A. Per FAR 15.403-4, certified cost or pricing data shall be required if the

proposer is seeking a procurement contract award per the referenced threshold, unless the proposer requests and is granted an exception from the requirement to submit cost or pricing data. Certified cost or pricing data are not required if the proposer proposes an award instrument other than a procurement contract (e.g., a grant, cooperative agreement, or other transaction.)

- B. The Government may award either a Federal Acquisition Regulation (FAR) based contract or an Other Transaction for Prototype (OT) agreement for prototype system development.

All proposers requesting an Other Transaction (OT) for Prototypes must include a detailed list of milestones. Each milestone must include the following: milestone description, completion criteria, due date, and payment/funding schedule (to include, if cost share is proposed, contractor and Government share amounts). It is noted that, at a minimum, milestones should relate directly to accomplishment of program technical metrics as defined in the BAA and/or the proposer's proposal. Agreement type, fixed price or expenditure based, will be subject to negotiation by the Agreements Officer. Do not include proprietary data. If the proposer requests award of an OT for Prototype as a non-traditional contractor, information must be included in the cost proposal to support the claim. The term non-traditional defense contractor, with respect to a transaction authorized under section 2371b, means an entity that is not currently performing and has not performed, for at least the one-year period preceding the solicitation of sources by the Department of Defense for the procurement or transaction, any contract or subcontract for the Department of Defense that is subject to full coverage under the cost accounting standards prescribed pursuant to section 1502 of title 41 and the regulations implementing such section.

#### **4. Additional Proposal Information**

##### **a) Proprietary Markings**

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 with a label such as "Proprietary." NOTE: "Confidential" is a classification marking used to control the dissemination of U.S. Government National Security Information as dictated in Executive Order 13526 and should not be used to identify proprietary business information.

##### **b) Security Information**

DARPA anticipates that submissions received under this BAA will be unclassified. However, should a proposer wish to submit classified information, an *unclassified* e-mail must be sent to the BAA mailbox to request submission instructions.

Classified submissions shall be transmitted and marked in accordance with the following guidance. Additional information on the subjects discussed in this section may be found at <http://www.dss.mil/>.

If a submission contains Classified National Security Information or the suspicion of such, as defined by Executive Order 13526, the information must be appropriately and conspicuously marked with the proposed classification level and declassification date. Similarly,

when the classification of a submission is in question, the submission must be appropriately and conspicuously marked with the proposed classification level and declassification date.

Submissions requiring 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., Top Secret, Secret or Confidential)”

*NOTE: Classified submissions must indicate the classification level of not only the submitted materials, but also the classification level of the anticipated award.*

Proposers submitting classified information must have, or be able to obtain prior to contract award, cognizant security agency approved facilities, information systems, and appropriately cleared/eligible personnel to perform at the classification level proposed. All proposer personnel performing Information Assurance (IA)/Cybersecurity related duties on classified Information Systems shall meet the requirements set forth in DoD Manual 8570.01-M (Information Assurance Workforce Improvement Program).

Proposers choosing to submit classified information from other collateral classified sources (i.e., sources other than DARPA) must ensure (1) they have permission from an authorized individual at the cognizant Government agency (e.g., Contracting Officer, Program Manager); (2) the proposal is marked in accordance with the source Security Classification Guide (SCG) from which the material is derived; and (3) the source SCG is submitted along with the proposal.

Security classification guidance and direction via a Security Classification Guide (SCG) and/or DD Form 254, “DoD Contract Security Classification Specification,” will not be provided at this time, since DARPA is soliciting ideas only. If a determination is made that the award instrument may result in access to classified information, a SCG and/or DD Form 254 will be issued by DARPA and attached as part of the award.

Classified submissions shall be in accordance with the following guidance:

### **Confidential, Secret, and Top Secret Information**

Use transmission, classification, handling, and marking guidance provided by previously issued SCGs, the DoD Information Security Manual (DoDM 5200.01, Volumes 1 - 4), and the National Industrial Security Program Operating Manual, including the Supplement Revision 1 (DoD 5220.22-M and DoD 5200.22-M Sup. 1), when submitting Confidential, Secret, and/or Top Secret classified information.

### **Confidential and Secret**

Confidential and Secret classified information may be submitted via ONE of the two following methods to the mailing address listed in the contact information in Part I of this BAA:

- Hand-carried by an appropriately cleared and authorized courier to the DARPA Classified Document Registry (CDR). Prior to traveling, the courier shall contact the DARPA CDR at 703-526-4052 to coordinate arrival and delivery.

OR

- Mailed via U.S. Postal Service (USPS) Registered Mail or USPS Express Mail. All classified information will be enclosed in opaque inner and outer covers and double-wrapped. The inner envelope shall be sealed and plainly marked with the assigned classification and addresses of both sender and addressee. Senders should mail to the mailing address listed in the contact information herein.

The inner envelope shall be addressed to:

Defense Advanced Research Projects Agency ATTN:  
DARPA/TTO  
Reference: HR001117S0014  
675 North Randolph Street Arlington,  
VA 22203-2114

The outer envelope shall be sealed with no identification as to the classification of its contents and addressed to:

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

### **Top Secret Information**

Top Secret information must be hand-carried by an appropriately cleared and authorized courier to the DARPA CDR. Prior to traveling, the courier shall contact the DARPA CDR at 703-526-4052 to coordinate arrival and delivery.

### **Sensitive Compartmented Information (SCI)**

SCI must be marked, managed and transmitted in accordance with DoDM 5105.21 Volumes 1 - 3. Questions regarding the transmission of SCI may be sent to the DARPA Technical Office Program Security Officer (PSO) via the BAA mailbox or by contacting the DARPA Special Security Officer (SSO) at 703-812-1970.

Successful proposers may be sponsored by DARPA for access to SCI. Sponsorship must be aligned to an existing DD Form 254 where SCI has been authorized. Questions regarding SCI sponsorship should be directed to the DARPA Personnel Security Office at 703-526-4543.

### **Special Access Program (SAP) Information**

SAP information must be marked in accordance with DoDM 5205.07 Volume 4 and transmitted by specifically approved methods which will be provided by the Technical Office PSO or their staff.

Proposers choosing to submit SAP information from an agency other than DARPA are required to provide the DARPA Technical Office PSO written permission from the source material's cognizant Special Access Program Control Officer (SAPCO) or designated representative. For clarification regarding this process, contact the DARPA Technical Office PSO via the BAA mailbox or the DARPA SAPCO at 703-526-4102.

Additional SAP security requirements regarding facility accreditations, information security, personnel security, physical security, operations security, test security, classified transportation plans, and program protection planning may be specified in the DD Form 254.

*NOTE: prior to drafting the submission, if use of SAP Information Systems is to be proposed, proposers must first obtain an Authorization-to-Operate from the DARPA Technical Office PSO (or other applicable DARPA Authorization Official) using the Risk Management Framework (RMF) process outlined in the Joint Special Access Program (SAP) Implementation Guide (JSIG), Revision 3, dated October 9, 2013 (or successor document).*

**c) Disclosure of Information and Compliance with Safeguarding Covered Defense Information Controls**

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

DFARS 252.204-7000, "Disclosure of Information"

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

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

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

Compliance with the above requirements includes the mandate for proposers to implement the security requirements specified by National Institute of Standards and Technology (NIST) Special Publication (SP) 800-171, "Protecting Controlled Unclassified Information in Nonfederal Information Systems and Organizations" (see <https://doi.org/10.6028/NIST.SP.800-171r1>) that are in effect at the time the BAA is issued, or as authorized by the Contracting Officer, not later than December 31, 2017.

For awards where the work is considered fundamental research, the contractor will not have to implement the aforementioned requirements and safeguards; however, should the nature

of the work change during performance of the award, work not considered fundamental research will be subject to these requirements.

**d) Human Research Subjects/Animal Use**

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

**e) Approved Cost Accounting System Documentation**

Proposers that do not have a Cost Accounting Standards (CAS) compliant accounting system considered adequate for determining accurate costs that are negotiating a cost-type procurement contract must complete an SF 1408. For more information on CAS compliance, see <http://www.dcaa.mil/cas.html>. 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. For more information, see [http://www.dcaa.mil/preaward\\_accounting\\_system\\_adequacy\\_checklist.html](http://www.dcaa.mil/preaward_accounting_system_adequacy_checklist.html).

**f) Small Business Subcontracting Plan**

Pursuant to Section 8(d) of the Small Business Act (15 U.S.C. § 637(d)), it is the policy of the Government to enable small business and small disadvantaged business concerns to be considered fairly as subcontractors to contractors performing work or rendering services as prime contractors or subcontractors under Government contracts, and to assure that prime contractors and subcontractors carry out this policy. Each proposer who submits a contract proposal and includes subcontractors is required to submit a subcontracting plan in accordance with FAR 19.702(a)(1) and should do so with their proposal. The plan format is outlined in FAR 19.704.

**g) Section 508 of the Rehabilitation Act (29 U.S.C. § 749d)/FAR 39.2**

All electronic and information technology acquired through this solicitation must satisfy the accessibility requirements of Section 508 of the Rehabilitation Act (29 U.S.C. § 794d) and FAR 39.2. Each proposer who submits a proposal involving the creation or inclusion of electronic and information technology must ensure that 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 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.

**h) Grant Abstract**

Per Section 8123 of the Department of Defense Appropriations Act, 2015 (Pub. L. 113-235), all grant awards must be posted on a public website in a searchable format. To comply with this requirement, proposers requesting grant awards must submit a maximum one (1) page abstract that may be publicly posted and explains the program or project to the public. The proposer should sign the bottom of the abstract confirming the information in the abstract is approved for public release. Proposers are advised to provide both a signed PDF copy, as well as

an editable (e.g., Microsoft word) copy. Abstracts contained in grant proposals that are not selected for award will not be publicly posted.

**i) Intellectual Property**

**A. Noncommercial Items (Technical Data and Computer Software)**

Proposers responding to this BAA requesting a procurement contract to be issued under the FAR/DFARS shall identify all noncommercial technical data and noncommercial computer software that it plans to generate, develop, and/or deliver under any proposed award instrument in which the Government will acquire less than unlimited rights, and to assert specific restrictions on those deliverables. Proposers shall follow the format under DFARS 252.227-7017 for this stated purpose. In the event that proposers do not submit the list, the Government will assume that it automatically has “unlimited rights” to all noncommercial technical data and noncommercial computer software generated, developed, and/or delivered under any award instrument, unless it is substantiated that development of the noncommercial technical data and noncommercial computer software occurred with mixed funding. If mixed funding is anticipated in the development of noncommercial technical data and noncommercial computer software generated, developed, and/or delivered under any award instrument, then proposers should identify the data and software in question, as subject to Government Purpose Rights (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 five (5) years in accordance with the applicable DFARS clauses, at which time the Government will acquire “unlimited rights” unless the parties agree otherwise. Proposers are advised that the Government will 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. If no restrictions are intended, then the proposer should state “NONE.” It is noted an assertion of “NONE” indicates that the Government has “unlimited rights” to all noncommercial technical data and noncommercial computer software delivered under the award instrument, in accordance with the DFARS provisions cited above. Failure to provide full information may result in a determination that the proposal is not compliant with the BAA – resulting in nonselectability of

NONCOMMERCIAL				
Technical Data 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)

the proposal.

A sample list for complying with this request is as follows:

**B. Commercial Items (Technical Data and Computer Software)**

Proposers responding to this BAA requesting a procurement contract to be issued under the FAR/DFARS shall identify all commercial technical data and commercial computer software that may be embedded in any noncommercial deliverables contemplated under the research effort, along with any applicable restrictions on the Government’s use of such commercial



technical data and/or commercial computer software. In the event that proposers do not submit the list, the Government will assume that 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, as may be necessary, to evaluate the proposer’s assertions. If no restrictions are intended, then the proposer should state “NONE.” Failure to provide full information may result in a determination that the proposal is not compliant with the BAA – resulting in nonselectability of the proposal.

A sample list for complying with this request is as follows:

COMMERCIAL				
Technical Data 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)

**C. Non-Procurement Contract Proposers – Noncommercial and Commercial Items (Technical Data and Computer Software)**

Proposers responding to this BAA requesting a Grant, Cooperative Agreement, Technology Investment Agreement, or Other Transaction for Prototype shall follow the applicable rules and regulations governing these various 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. Although not required, proposers may use a format similar to that described in Paragraphs 1.a and 1.b above.

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. If no restrictions are intended, then the proposer should state “NONE.” Failure to provide full information may result in a determination that the proposal is not compliant with the BAA – resulting in nonselectability of the proposal.

**D. All Proposers –Patents**

Include documentation proving your ownership of or possession of appropriate licensing rights to all patented inventions (or inventions for which a patent application has been filed) that will be utilized under your proposal for the DARPA program. If a patent application has been filed for an invention that your proposal utilizes, but the application has not yet been made publicly available and contains proprietary information, you may provide only the patent number, inventor name(s), assignee names (if any), filing date, filing date of any related provisional application, and a summary of the patent title, together with either: (1) a representation that you own the invention, or (2) proof of possession of appropriate licensing rights in the invention.

**E. All Proposers – Intellectual Property Representations**

Provide a good faith representation that you either own or possess appropriate

licensing rights to all other intellectual property that will be utilized under your proposal for the DARPA program. Additionally, proposers shall 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.

**j) System for Award Management (SAM) and Universal Identifier Requirements**

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

**5. Submission Information**

Executive summaries, white papers, and proposals sent in response to HR001117S0014 should be submitted via DARPA’s BAA Website (<https://baa.darpa.mil>). Executive summaries, white papers, and proposals may not be submitted by fax or e-mail; any so sent will be disregarded. DARPA intends to use electronic mail for correspondence and encourages use of the Internet for retrieving the BAA and any other related information that may subsequently be provided. DARPA will acknowledge receipt of all submissions and assign an identifying control number that should be used in all further correspondence regarding the submission.

*Note: if an account has already been created, it may be reused. If no account currently exists, visit the website to complete the two-step registration process. Submitters will need to register for an Extranet account (via the form at the URL listed above) and wait for two separate e-mails containing a username and temporary password. After accessing the Extranet, submitters may then create an account for the DARPA BAA Website (via the “Register your Organization” link along the left side of the homepage), view submission instructions, and upload/finalize the submission.*

Executive summaries, white papers, and full proposals must be submitted on or before 4:00 p.m. Eastern Time, 12 June, 2018. Full proposals submitted after this time and date may not be evaluated. The ability to review and select proposals submitted after the initial round deadline specified in the BAA or due date otherwise specified by DARPA will be contingent on availability of funds. DARPA may evaluate executive summaries, white papers, and proposals received after this date for a period up to one year (365 days) from the date of posting on FedBizOpps and Grants.gov.

Submissions will not be returned. An electronic copy of each submission received will be retained at DARPA and all other non-required copies destroyed. A certification of destruction may be requested, provided the formal request is received by DARPA within 5 days after notification that a proposal was not selected.

**a) Grant Submission**

Proposers requesting grants or cooperative agreements may submit proposals through one of the following methods: (1) hard copy 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. If proposers intend to use Grants.gov as their means of submission, then they must submit their entire proposal through Grants.gov; applications cannot be submitted in part to Grants.gov and in part as a hard-copy. Proposers using the Grants.gov do not submit paper proposals in addition to the Grants.gov electronic submission.

- (1) **Grants.gov Submissions:** Grants.gov requires proposers to complete a one-time registration process before a proposal can be electronically submitted. First time registration can take between three business days and four weeks. For more information about registering for Grants.gov, see <http://www.darpa.mil/work-with-us/additional-baa>.
- (2) **Hard-copy Submissions:** Proposers electing to submit grant or cooperative agreement proposals as hard copies must complete the SF 424 R&R form (Application for Federal Assistance,) available on the Grants.gov website [http://apply07.grants.gov/apply/forms/sample/RR\\_SF424\\_2\\_0-V2.0.pdf](http://apply07.grants.gov/apply/forms/sample/RR_SF424_2_0-V2.0.pdf)
- (3) For Proposers Requesting Procurement Contracts or OTs and Submitting to a DARPA-approved Proposal Submissions Website [**NOT to be used for fully classified BAAs**]

Technical support for Grants.gov submissions may be reached at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov).

#### **6. Funding Restrictions**

Not applicable.

#### **7. Other Submission Requirements**

Not applicable.

### **V. Application Review Information**

#### **A. Evaluation Criteria**

All proposals will first be evaluated as “Relevant” or “Not Relevant” under evaluation criterion (2). Proposals must first be deemed “Relevant” to the DARPA/TTO mission in order to receive a full review. Proposals deemed “Not Relevant” to the DARPA/TTO mission will receive a “Non-Responsive” letter.

Relevant proposals will be evaluated using the following criteria, listed in descending order of importance:

#### **1. Overall Scientific and Technical Merit**

The proposed technical approach is innovative, feasible, achievable, and complete. The proposed technical team has the expertise and experience to accomplish the proposed tasks. Task descriptions and associated technical elements provided are complete and in a logical sequence with all proposed deliverables clearly defined such that a final outcome that achieves the goal can be expected as a result of award. The proposal identifies major technical risks and planned mitigation efforts are clearly defined and feasible.

## **2. Potential Contribution and Relevance to the DARPA/TTO Mission**

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

The proposer will be evaluated on their capability to transition the technology to the research, industrial, and/or operational military communities in such a way as to enhance U.S. defense. In addition, this evaluation will take into consideration the extent to which the proposed intellectual property (IP) rights will potentially impact the Government's ability to transition the technology to the research, industrial, and operational military communities.

## **3. Cost Realism**

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

It is expected that the effort will leverage all available relevant prior research in order to obtain the maximum benefit from the available funding. For efforts with a likelihood of commercial application, appropriate direct cost sharing may be a positive factor in the evaluation. DARPA recognizes that undue emphasis on cost may motivate proposers to offer low-risk ideas with minimum uncertainty and to staff the effort with junior personnel in order to be in a more competitive posture. DARPA discourages such cost strategies.

## **4. Realism of Proposed Schedule**

The proposed schedule aggressively pursues performance metrics in an efficient time frame that accurately accounts for the anticipated workload. The proposed schedule identifies and mitigates any potential schedule risk.

## **5. Proposer's Capabilities and/or Related Experience**

The proposer's prior experience in similar efforts clearly demonstrates an ability to deliver products that meet the proposed technical performance within the proposed budget and schedule. The proposed team has the expertise to manage the cost and schedule. Similar efforts completed/ongoing by the proposer in this area are fully described including identification of other Government sponsors.

## **B. Review and Selection Process**

### **1. Review Process**

It is the policy of DARPA to ensure impartial, equitable, comprehensive proposal evaluations based on the evaluation criteria listed in Section V.A and to select the source (or

sources) whose offer meets the Government's technical, policy, and programmatic goals. Pursuant to FAR 35.016, the primary basis for selecting proposals for acceptance shall be technical, importance to agency programs, and fund availability. In order to provide the desired evaluation, qualified Government personnel will conduct reviews and (if necessary) convene panels of experts in the appropriate areas.

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

The typical submission should express a consolidated effort in support of one or more related technical concepts or ideas. Disjointed efforts should not be included into a single submission. All classified concepts mailed via appropriate U.S. Postal Service (USPS) methods (e.g., USPS Registered Mail or USPS Express Mail) are to be submitted separately. Multiple submissions submitted in the same package shall not be reviewed.

Award(s) will be made to proposers whose proposals are determined to be the most advantageous to the Government, consistent with instructions and evaluation criteria specified in the BAA herein, and availability of funding.

## **2. Handling of Source Selection Information**

DARPA policy is to treat all submissions as source selection information (see FAR 2.101 and 3.104), and to disclose their contents only for the purpose of evaluation. Restrictive notices notwithstanding, during the evaluation process, submissions may be handled by support contractors for administrative purposes and/or to assist with technical evaluation. All DARPA support contractors performing this role are expressly prohibited from performing DARPA-sponsored technical research and are bound by appropriate nondisclosure agreements. Subject to the restrictions set forth in FAR 37.203(d), input on technical aspects of the proposals may be solicited by DARPA from non-Government consultants/experts who are strictly bound by the appropriate non-disclosure requirements.

## **3. Federal Awardee Performance and Integrity Information (FAPIIS)**

Per 41 U.S.C. 2313, as implemented by FAR 9.103 and 2 CFR § 200.205, prior to making an award above the simplified acquisition threshold, DARPA is required to review and consider any information available through the designated integrity and performance system (currently FAPIIS). Awardees have the opportunity to comment on any information about themselves entered in the database, and DARPA will consider any comments, along with other information in FAPIIS or other systems prior to making an award.

## **VI. Award Administration Information**

### **A. Selection Notices**

DARPA will attempt to reply to executive summaries and white papers in writing within thirty (30) calendar days of receipt. DARPA will attempt to reply to proposals via the same method within forty-five (45) days.

#### **1. Executive Summaries**

DARPA will respond to executive summaries with a letter of “Interest” or “No Interest” in the topic, based on relevance to the TTO mission and interest in the technology topic. A letter of interest will encourage the submission of a white paper. These official notifications will be sent via e-mail to the Technical POC and/or Administrative POC identified in the submission.

#### **2. White Papers**

TTO will respond to white papers with a letter encouraging or discouraging the submission of a full proposal, based on the proposed effort’s relevance to the TTO mission, a preliminary assessment of the scientific or technical merit, and interest in the technology concept. These official notifications will be sent via e-mail to the Technical POC and/or Administrative POC identified in the submission. If TTO does not recommend the proposer submit a full proposal, TTO will provide feedback to the proposer regarding the rationale for this decision. Regardless of TTO’s response to a white paper, proposers may submit a full proposal. TTO will review all full proposals submitted using the published evaluation criteria and without regard to any comments resulting from the review of a white paper.

A favorable response to an executive summary or white paper is not an assurance that a full proposal on the executive summary or white paper’s topic will ultimately be selected for award.

#### **3. Proposals**

All full proposals must first be determined to be “Relevant” under the evaluation criterion “Potential Contribution and Relevance to the DARPA/TTO Mission” in order to receive a full review in accordance with section V.A. Proposals that are determined to be “Not Relevant” to the DARPA/TTO mission will receive a “Non-Responsive” letter.

As soon as the evaluation of a proposal is complete, the proposer will be notified that (1) the proposal has been selected for funding pending award negotiations, in whole or in part, or (2) the proposal has not been selected. These official notifications will be sent via e-mail to the Technical POC and/or Administrative POC identified on the proposal coversheet.

### **B. Administrative and National Policy Requirements**

#### **1. Meeting and Travel Requirements**

There will be a kickoff meeting and all key participants are required to attend. Performers should also anticipate regular program-wide PI Meetings and periodic site visits at the Program Manager’s discretion.

## 2. FAR and DFARS Clauses

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

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

Controlled Unclassified Information (CUI) refers to unclassified information that does not meet the standards 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 protection from unauthorized disclosure, special handling safeguards, or 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 subawardees 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.

## 4. Representations and Certifications

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

## 5. Terms and Conditions

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

## C. Reporting

The number and types of reports will be specified in the award document, but will include as a minimum monthly technical and financial status reports. The reports shall be

prepared and submitted in accordance with the procedures contained in the award document and mutually agreed on before award. Reports and briefing material will also be required as appropriate to document progress in accomplishing program metrics. A Final Report that summarizes the project and tasks will be required at the conclusion of the performance period for the award, notwithstanding the fact that the research may be continued under a follow-on vehicle. At least one copy of each report will be delivered to DARPA and not merely placed on a SharePoint site.

#### **D. Electronic Systems**

##### **1. Wide Area Work Flow (WAWF)**

Performers will be required to submit invoices for payment directly to <https://wawf.eb.mil>, unless an exception applies. Performers must register in WAWF prior to any award under this BAA.

##### **2. i-Edison**

The award document for each proposal selected for funding will contain a mandatory requirement for patent reports and notifications to be submitted electronically through i-Edison (<https://public.era.nih.gov/iedison>).

#### **VII. Agency Contacts**

Administrative, technical, or contractual questions should be sent via e-mail to [HR001117S0014@darpa.mil](mailto:HR001117S0014@darpa.mil). All requests must include the name, e-mail address, and phone number of a point of contact.

The Technical POC for this effort is:  
Dr. Fred G. Kennedy  
Deputy Director, DARPA/TTO

The BAA Coordinator may be reached at:  
[HR001117S0014@darpa.mil](mailto:HR001117S0014@darpa.mil)  
DARPA/TTO  
ATTN: HR001117S0014  
675 North Randolph Street  
Arlington, VA 22203-2114

#### **VIII. Other Information**

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