Broad Agency Announcement

Ocean of Things

STRATEGIC TECHNOLOGY OFFICE

HR001118S0013

December 19, 2017

TABLE OF CONTENTS

PART I: OVERVIEW INFORMATION

- **Federal Agency Name –** Defense Advanced Research Projects Agency (DARPA), Strategic Technology Office
- **Funding Opportunity Title –** Ocean of Things
- **Announcement Type –** Initial announcement
- **Funding Opportunity Number –** HR001118S0013
- **Catalog of Federal Domestic Assistance Numbers (CFDA) –** Not applicable
- **Dates**
  - Posting Date – December 19, 2017
  - Proposers Day – January 4, 2018
  - Questions Due Date and Time – January 25, 2018, 11:59 PM (Midnight), EST
  - Proposal Abstract Due Date and Time – January 26, 2018, 4:00 PM, EST
  - Proposal Due Date and Time – March 23, 2018 4:00 PM , EDT
  - BAA Closing Date – June 18, 2018
- **Total Funds Expected for Award** – $37,000,000 over two phases
  - Anticipate multiple awards for the design and production of float hardware.
  - Anticipate multiple awards for the data analytics effort.
- **Points of Contact**

  Send questions and comments to the BAA Coordinator:

  HR001118S0013@darpa.mil
  DARPA/STO
  ATTN: HR001118S0013
  675 North Randolph Street
  Arlington, VA 22203-2114

PART II: FULL TEXT OF ANNOUNCEMENT

1. FUNDING OPPORTUNITY DESCRIPTION

This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and 35.016 and 2 CFR § 200.203. Any resultant award negotiations will follow all pertinent law and regulation, and any negotiations and/or awards for procurement contracts will use procedures under FAR 15.4, Contract Pricing, as specified in the BAA.

The Defense Advanced Research Projects Agency (DARPA) is soliciting innovative proposals for Phase 1 of a two-phase effort in the following technical areas:

1) Design, development, and manufacture of low-cost, persistent maritime floats that sense and report relevant data from the physical and operational environment;

2) Development of analytical techniques to process float data and produce mission products (i.e., vessel track reports) from float declarations.

Proposed research should investigate innovative approaches that enable revolutionary advances in science, devices, or systems and innovative approaches to apply existing technology not previously applied to the maritime domain. Specifically excluded is research that primarily results in evolutionary improvements to the existing state of practice.

1.1. PROGRAM OVERVIEW

The complexity of the ocean environment and operations therein has previously encouraged the use of exquisite systems to understand maritime dynamics and activity. The Ocean of Things program is an opportunity to provide affordable ocean sensing at large scales and high resolution. Improved maritime analysis provides detailed understanding of the ocean environment, informs regulatory commitments to protect natural resources, and enables the military to operate more effectively on the high seas.

Ocean of Things provides environmental sensing and operational surveillance missions by composing a distribution of heterogeneous floats. Each float characterizes the physical environment through periodic sampling of local ocean properties, while also reporting significant maritime events. A primary technical objective of the program is to develop edge-processing methods to identify and report the essential information from these “interesting” events within a float’s communication and energy constraints. Ocean of Things will also investigate the selection of sensors and sampling rates to maximize system performance. Additional hardware design efforts will seek to improve float persistence (i.e., motion control, biofouling reduction, and power control).

The stored reports must contain sufficient information for application of advanced processing techniques (e.g., filtering, clustering, and machine learning). Performers must utilize techniques to process this sparse data to develop vessel tracks, characterize vessel behaviors, and identify new signatures and signal associations in the collected data. Finally, Ocean of Things will research methods to visualize coverage, predict performance, and control individual floats to deliver resultant capabilities as a field comprised of thousands of floats.

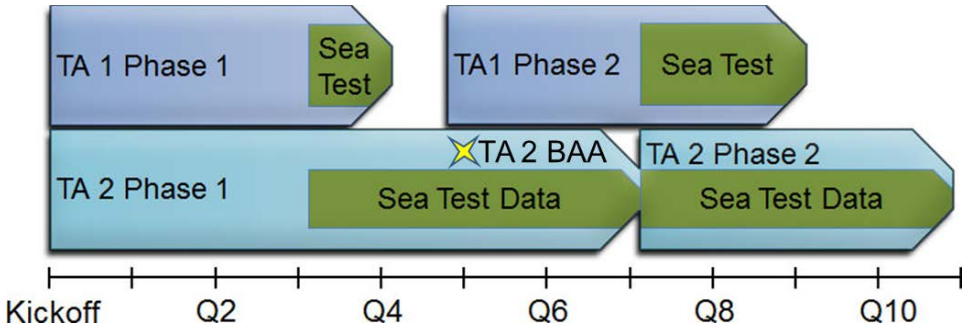


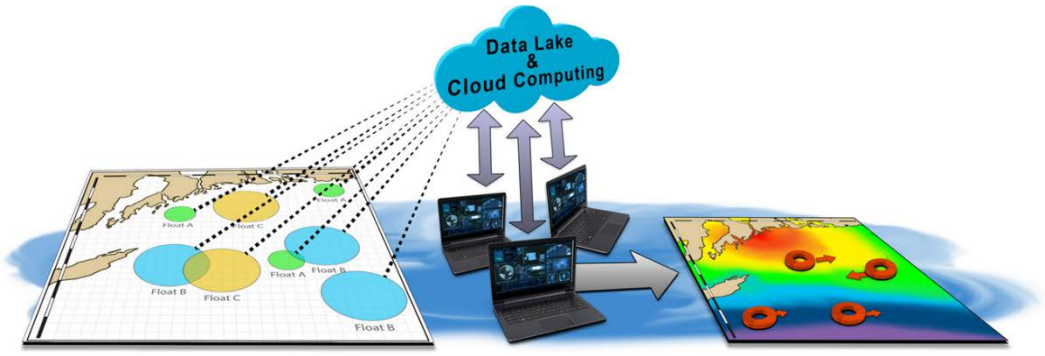
Figure 1 Ocean of Things Program Construct

To achieve these research objectives, DARPA divides the program into two technical efforts executed in two phases depicted in Figure 1. Technical Area 1 (TA 1) includes the design and production of floats, and Technical Area 2 (TA 2) includes the development of advanced data analytics to generate mission products. Phase 1 consists of an initial design effort and proof-of-concept sea test while Phase 2 refines those designs and culminates with an operational sea test demonstration.

1.2. SYSTEM DESCRIPTION

Ocean of Things consists of a large number of persistent, low-cost floats; satellite communications linked to a cloud data storage system; and advanced data analytics. TA 1 performers will develop the float hardware and TA 2 performers will develop data processing techniques. Floats will sense both the physical and operational environment utilizing existing commercial hardware. Small, low-cost floats are necessary to deploy large numbers economically over wide areas at resolutions required to meet program goals, where 50,000 floats can cover approximately one million square kilometers.

Floats characterize the environment by employing a common set of sensors and a single mission sensor across various sensing modalities to detect physical characteristics and activity. A variety of float types – based on the selected mission sensor – comprise an Ocean of Things field with its composite sensor reports, resulting in a large heterogeneous dataset suitable for analysis and generation of relevant mission products.



Technical Area 1: Floats of different mission sensor types sense the operational and physical environment

Technical Area 2: Assess and analyze data, define missions and produce mission products

Figure 2 - Graphical System Concept

Each technical area is a separate and distinct effort; however, performers must take a holistic system view and appreciate how decisions in one technical area affect the other. TA 1 proposers must maximize the information collected from the environment through application of a sensor suite within cost and persistence constraints. TA 2 proposers must include how they will apply data analytic techniques to accomplish relevant missions and produce appropriate products in their proposals.

At a minimum, system performance must satisfy both physical and operational environment characterization. Multiple missions within these categories or additional missions supplementary to these two categories are of interest to DARPA. Examples of physical environment characterization include, but are not limited to, sea surface/air temperature, acoustic ambient noise, wind speed, wave dynamics, and float motion. Examples of activity characterization include the generation of vessel tracks, multi-spectral vessel signatures, and vessel behavior.

1.2.1. Technical Area One (TA 1) – Float Development:

Performers will design and produce floats capable of characterizing the physical environment and activity over wide areas while constraining unit cost for large-scale employment. The value of a float is dependent on providing relevant sensing modalities within cost and persistence requirements. Floats must periodically report environmental data (e.g., ocean temperature, sea state, location) and provide timely reports of operational activity. These reports support cloud-based track generation algorithms and data discovery objectives in TA 2. Floats will communicate to the cloud (and receive commands) via Iridium short burst data protocol. The government will fund all Iridium connectivity costs.

Successful TA1 proposals will detail approaches that:

- Design an effective float (see attributes listed below),
- Collaborate with TA 2 performers on sensing methods and signal processing,
- Manufacture 1,500 floats,
- Deliver floats to the government team prior to sea testing,
- Refine float firmware for over the air reprogramming.

Attributes of an effective float:

- Sensors:
  - Physical measurement: Every float contains a common suite of sensors (“hotel”-sensors) that are primarily, but not exclusively, intended for physical environment measurement. Potential hotel sensors measure position, motion, temperature, wind speed, salinity, humidity, and solar intensity.
  - Activity measurement: Every float uses a mission sensor used primarily to collect operational activity. Examples of potential mission sensors include acoustic, magnetic, electro-optical, and RF devices. Effective sensing and reporting support operational missions such as vessel detection, track generation, and signature discrimination. Heterogeneity is important and DARPA expects to deploy a system of floats with different mission sensor types – e.g., 1000 mission sensor A, 1000 mission sensor B, etc.
- Firmware:

  - Signal processing: on-board signal processing that balances the energy constraints of the float with the need to maximize viability of data reported over low-bandwidth communications, while containing sufficient information for advanced TA 2 analysis (e.g., triggering, segmentation, compression, and/or data featurization schemes),
  - Over-the-air reprogrammable,
- Hardware:
  - Float components remain unclassified and non-ITAR restricted,
  - One-man deployable float design, compatible with automated deployment methods (not part of this program),
  - Maritime environment hardening and power conservation strategies achieving float persistence of 12 months,
  - Unit costs < $500 in large-scale production (50,000 units) maximizing use of commercially-available components,
  - Architecture flexibility to accommodate various float sensors and payloads with minimal redesign,
  - Bi-directional communications via Iridium SBD,
- Environmental:
  - Compliance with Executive Order 12114, Endangered Species Act, and Marine Mammal Protection Act. DARPA will conduct Environmental Assessments for all floats. Any proposed solution requiring an Environmental Impact Statement is discouraged without mitigation plan. (i.e., marine mammal entanglement risk),
  - Automated and directed scuttling outside of environmentally sensitive areas, marine protected areas and coastal areas (preventing floats from washing up on shore),
  - Use of materials minimizing impact to the marine environment. Minimize use of hazardous or toxic materials and coatings. Use biodegradable packing materials/floats and negatively buoyant components to extent possible.

1.2.1.1. TA 1 Events

Program Milestones	Phase	Venue	Months After Contract Award
Kick Off	1	DARPA	1
TIM 1	1	SSC, San Diego	2
PDR & QPR	1	Performer Location	3
TIM 2	1	DARPA	5
QPR	1	Performer Location	6
CDR	1	SSC, San Diego	7
Production Option Exercised	1	-	7
Delivery of floats	1	Naval Base Point Loma	9
QPR	1	Performer Location	9
3-month at-sea test	1	SSC, San Diego	9-12
Commence Phase 2	2	-	14
TIM 3	2	SSC, San Diego	16

Delta CDR	2	DARPA	17
Production Option Exercised	2	-	18
Delivery of floats	2	-	21
8-month at-sea test	2	SSC, San Diego	21-29

1.2.1.2. TA 1 Deliverables

Deliverables	Phase	Format	Months After Contract Award
Preliminary Design	1	Slide presentation, annotated	3
Critical/Final Design	1	Slide presentation, annotated	7
Floats	1	Hardware/Firmware	9
Final Report	1	Document	12
Monthly Status Report	All	Document	Monthly
Quarterly Progress Review	All	Slide Presentation, annotated	Quarterly
Final Design	2	Slide presentation, annotated	17
Floats	2	Hardware/Firmware	21
Final Report	2	Document	29

1.2.2. Technical Area Two (TA 2) – Data Analytics:

The data analytics performers will develop cloud-based mission products and devise analytic techniques to process float data. Three focus areas subdivide TA 2:

1. Field Performance & Command and Control (C^2): Visualization of float location, health, and field capability. Predict field performance resulting from anticipated float movement. Provide commands to floats as needed (e.g., scuttle, activate/deactivate sensors, etc.),
2. Track Generation: Automation to associate float declarations, initiate a track report, and discriminate between multiple targets using multi-mode detections,
3. Data Discovery: Identification of novel signatures, new associations in data and new mission products available from the Ocean of Things data set.

TA 2 proposals may address any or all of the three focus areas.
During Phase 1, the data analytics teams will determine the required data density for effective Ocean of Things system performance, which is critical to designing Phase 2 deployment plans.

The below summarizes TA 2 objectives:

- Display float locations, health, and performance by capability and mission,
- Process environmental data for oceanographic and meteorological models,
- Analyze float motion in comparison to existing models to forecast float positions,
- Develop automatic target detection and classification methods for vessel tracks,
- Generate tracks of vessels sensed in the Ocean of Things area of regard,
- Discover new target signatures and new missions capable from Ocean of Things data

- Satisfy other mission requirements as proposed.

The government will provide the cloud-computing architecture consisting of micro-services, containers, and virtual machine technologies. Proposers to TA 2 should plan to operate in a continuous integration environment.

1.2.2.1. TA 2 Events

Program Milestones	Phase	Venue	Months After Contract Award
Kick Off	1	DARPA	1
TIM 1	1	SSC, San Diego	2
PDR & QPR	1	Performer Location	3
TIM 2	1	DARPA	5
QPR	1	Performer Location	6
CDR	1	SSC, San Diego	7
QPR	1	Performer Location	9
3-month at-sea test	1	SSC, San Diego	9-12
Data Exploitation	1	-	9-21
QPRs	1	Performer Location	12, 18
TIM 3 and QPR	1	SSC, San Diego	16
Delta CDR	1	DARPA	17
Final Phase 1 Report	1	DARPA	21
Commence Phase 2	2	-	21
8-month at-sea test	2	SSC, San Diego	21-29

1.2.2.2. TA 2 Deliverables

Deliverables	Phase	Format	Months After Contract Award
List of missions, preliminary design & agile sprint story	1	Slide presentation, annotated	3
List of missions, critical/final design & software architecture	1	Slide presentation, annotated	7
Final Report, software and user document	1	Document, source code, & executables	21
Biweekly Sprint Status	All	Phone Con	Biweekly
Monthly status report	All	Document	Monthly
Quarterly progress review	All	Slide Presentation, annotated	Quarterly
Final design & agile sprint story	2	Slide presentation, annotated	17
Final Report, software and user document	2	Document, source code, & executables	31

1.3. PROGRAM PHASING

The Ocean of Things program includes two phases. Phase 1 consists of an initial design effort and proof-of-concept sea test while Phase 2 refines those designs and culminates with an operational sea test demonstration, as depicted in Figure 1 above. Phase 1 proposals must include a ROM for Phase 2; Phase 1 performers will receive guidance on submitting Phase 2 proposals at the end of Phase 1.

1.3.1. Phase 1

Phase 1 performers will develop the initial designs for float sensing capabilities (both float hardware and firmware) and the data analytic software approaches to complete battlespace-sensing missions. Phase 1 will include two TIMs and a preliminary and critical design review. CDR will occur seven months after contract award.

While separate tasks, TA 1 and TA 2 will work closely together during the design portion of Phase 1. TA 1 teams are solely responsible for sensor selection and sensor signal processing. Successful TA 1 teams will design sensor and signal processing techniques that allow for detailed environment sensing within the cost and SWAP design constraints of the floats. TA 2 teams will be solely responsible for the software/algorithm design and associated missions and products extracted from the TA 1 float reports.

Each TA 1 team will manufacture 1,500 floats on a fixed price option and deliver to the test team for at sea demonstration. TA 1 proposals should indicate anticipated manufacturing rates achievable in each phase. For proposal purposes, include shipping costs to Naval Base Point Loma, San Diego CA. TA 1 performers will end Phase 1 at the conclusion of the 3-month sea test.

Prior to the sea-test, TA 2 teams will refine algorithmic approaches using simulated or archived data. Proposers must specify any data desired as GFI in proposals. TA 2 performers will validate algorithmic approaches with at-sea data and perform analysis on the data set to determine system performance limitations and Phase 2 demonstration parameters.

1.3.2. Phase 2

TA 1: Phase 2 float development (TA 1) will be open only to Phase 1 performers; however, DARPA reserves the right to issue a new BAA.

TA 2: The government will issue a BAA for Phase 2 proposals in TA 2 near the end of Phase 1 work (approximately 15 months ACA). Close cooperation between TA 1 and TA 2 continues as both teams discover improved sensing and data analytic techniques.

Phase 2 will commence with a refined design phase, including a fixed price option for the total production of 15,000 floats across all performers and culminates with an at sea demonstration at operational spacing as determined in Phase 1.

1.4. PROGRAM METRICS

In order for the Government to evaluate the achievement of program objectives, proposers should consider the following program metrics. These metrics may serve as the basis for determining the adequacy of progress made to warrant continued funding of the program.

Proposals should cite the quantitative and qualitative success criteria that the proposed effort will achieve by the time of each Phase's program metric measurement.

1.4.1. Technical Area 1 Performance Metrics

Performance Metrics TA 1 (Float Development)				
	Phase 1		Phase 2	
Metric	**Threshold**	**Goal**	**Threshold**	**Goal**
Mission sensor types	≥ 3	≥ 5	≥ 4	≥ 7
Sensor signal processing	Compress collected data	Extract relevant features from data	Compress relevant target data	Extract relevant features from target data
	Collect sufficient data for track generation	Optimize data collection for track generation	Collect sufficient data to classify behaviors	Optimize data collection to classify behaviors
Deployment Reliability	≥ 80% 24 hours after launch	≥ 95% 24 hours after launch	≥ 75% 2 weeks after launch	≥ 90% 2 weeks after launch
Float C^2	Over-the-air float firmware updates		Command of effects payloads	
Form factor	One-man deployable (<22kg)	≤ 672 cu. In (Vol of "A" size)	≤ 672 cu. In (Vol of "A" size)	< "A/2"-size (4-7/8" x 18" cylinder)
Unit cost	< $1,000	< $500	< $750	< $500
Operating life	3 months	6 months	6 months	12 months
Survival	≥ 50% reach operating life	≥ 70% reach operating life	≥ 50% reach operating life	≥ 70% reach operating life
Manufacturing rate	≥ 35 floats / day	≥ 50 floats / day	≥ 150 floats / day	≥ 200 floats / day
Float modularity	Support variety of sensors		Support variety of sensors and effectors	
Biofouling	Resistant to biofouling		Improvement on Phase 1 performance	
Operational persistence	Reduce drifting motion	Control drifting motion	Improvement on Phase 1 performance	

1.4.2. Technical Area 2 Performance Metrics

Performance Metrics TA 2 (Data Analytics)				
	Phase 1		Phase 2	
Metric	**Threshold**	**Goal**	**Threshold**	**Goal**

Field performance prediction	Now-cast	24-hour forecast	72-hour forecast	120-hour forecast
Multi-target discrimination	2 targets on orthogonal tracks	2 targets on ~60° divergent tracks	Clustered targets 2 or more	Clustered targets 4 or more
Track initiation:	≤ 8 geo-separated[1] reports	≤ 5 geo-separated reports	≤ 4 geo-separated reports	≤ 3 geo-separated reports
	Single sensor	≥ 2 sensor types	≥ 2 sensor types	≥ 3 sensor types
Track continuity	≥ 30% avg. float hold time	≥ 60% avg. float hold time	≥ 50% avg. float hold time	≥ 85% avg. float hold time
Track association:	75% if same sensor modality	75% if same sensor modality	75% if same sensor modality	90% if same sensor modality
	-	25% if different sensor modality	25% if different sensor modality	50% if different sensor modality
Data discovery	Automatic recognition of known phenomena		Recognition of new phenomena	
Additional Missions	Technical performance measures for additional missions shall be detailed in proposals[2]			

2. AWARD INFORMATION

2.1. GENERAL AWARD INFORMATION

DARPA anticipates multiple awards. The amount of resources made available under this BAA will depend on the quality of the proposals received and the availability of funds.

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 discussion 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.

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 6.2.10., "Representations and Certifications"). The Government reserves the right to remove proposers from award consideration should the parties fail to reach agreement on award terms, conditions, and/or

[1] Note: Geo-separate means two or more floats that are not co-located and provide ≥ 20° bearing difference to target.

[2] Note: DARPA strongly desires innovation in additional mission capabilities beyond track generation and target behavior characterization. Proposals must detail mission specifications and technical performance measures for each additional mission proposed.

cost/price within a reasonable time, and the proposer fails to timely provide requested additional information. 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.

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

2.2. FUNDAMENTAL RESEARCH

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

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

As of the date of publication of this BAA, the Government expects that program goals as described herein either cannot be met by proposers intending to perform fundamental research or the proposed research is anticipated to present a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense. Therefore, the Government anticipates restrictions on the resultant research that will require the awardee to seek DARPA permission before publishing any information or results relative to the program.
Proposers should indicate in their proposal whether they believe the scope of the research included in their proposal is fundamental or not. While proposers should clearly explain the intended results of their research, the Government shall have sole discretion to select award instrument type and to negotiate all instrument terms and conditions with selectees. Appropriate clauses will be included in resultant awards for non-fundamental research to prescribe publication requirements and other restrictions, as appropriate. This clause can be found at http://www.darpa.mil/work-with-us/additional-baa.

For certain research projects, it may be possible that although the research being performed by the awardee is restricted research, a subawardee may be conducting fundamental research. In

those cases, it is the awardee's responsibility to explain in their proposal why its subawardee's effort is fundamental research

3. ELIGIBILITY INFORMATION

3.1. ELIGIBLE APPLICANTS

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

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

3.1.1.1. 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.

3.1.1.2. 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.

3.1.1.3. 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.

3.1.2. Non-U.S. Organizations

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.

3.1.3. Applicants Considering Classified Submissions

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.

3.2. 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.

3.3. 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. Cost sharing is encouraged where there is a reasonable probability of a potential commercial application related to the proposed research and development effort.

For more information on potential cost sharing requirements for Other Transactions for Prototype, see http://www.darpa.mil/work-with-us/contract-management#OtherTransactions.

3.4. OTHER ELIGIBILITY CRITERIA

3.4.1. Collaborative Efforts

Collaborative efforts/teaming are encouraged.

4. APPLICATION AND SUBMISSION INFORMATION

4.1. ADDRESS TO REQUEST APPLICATION PACKAGE

This announcement, any attachments, and any references to external websites herein constitute the total solicitation. If proposers cannot access the referenced material posted in the announcement found at http://www.darpa.mil, contact the administrative contact listed herein.

4.2. CONTENT AND FORM OF APPLICATION SUBMISSION

4.2.1. Security and Proprietary Issues

NOTE: If proposals are classified, the proposals must indicate the classification level of not only the proposal itself, but also the anticipated award document classification level.

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 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

Classified submissions shall be transmitted 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 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.

DARPA anticipates that all submissions received under this BAA will be unclassified. However, should a proposer wish to submit classified information in support of a TA 2 submission, that proposer must submit an *unclassified* email to the BAA mailbox requesting submission instructions from the Technical Office PSO. Security classification guidance and direction via a Security Classification Guide (SCG) and/or DD Form 254, "DoD Contract Security Classification Specification," will be provided at that time.

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:

- Hand-carried by an appropriately cleared and authorized courier to the DARPA CDR. Prior to traveling, the courier shall contact the DARPA Classified Document Registry (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.

  The inner envelope shall be addressed to:

  Defense Advanced Research Projects Agency
  ATTN: Strategic Technology Office, Ms. Jacqueline Croat, STO PSR
  Reference: HR0011180013
  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 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 that will be provided by the Technical Office Program Security Officer (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).*

4.2.2. Proposal Abstract Information

Separate proposals for TA 1 and TA 2 are required. Organizations may propose to both technical areas, but only via separate proposals. Proposers are strongly encouraged to submit a proposal abstract in advance of a proposal. This procedure is intended to minimize unnecessary effort in proposal preparation and review. The time and date for submission of proposal abstracts is specified in Section 4.4.1 below. DARPA will acknowledge receipt of the submission and assign a control number that should be used in all further correspondence regarding the proposal abstract.

Unclassified abstracts sent in response to HR001118S0013 may be submitted via DARPA's BAA Website (https://baa.darpa.mil). Note: If an account has already been created for the DARPA BAA Website, this account may be reused. If no account currently exists for the DARPA BAA Website, 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 proposal abstract. Proposers using the DARPA BAA Website may encounter heavy traffic on the submission deadline date; proposers should start this process as early as possible.

Technical support for DARPA's BAA Website may be reached at BAAT_Support@darpa.mil, and is typically available during regular business hours, Eastern Time.

4.2.3. Proposal Information

Separate proposals for TA 1 and TA 2 are required. Organizations may propose to both technical areas, but only via separate proposals. The typical proposal 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 proposal.

Restrictive notices notwithstanding, proposals may be handled, for administrative purposes only, by a support contractor. This support contractor is prohibited from competition in DARPA

technical research and is bound by appropriate nondisclosure requirements. Proposals and/or proposed abstracts may not be submitted by fax or e-mail; any so sent will be disregarded.

Proposals not meeting the format described in the BAA may not be reviewed.

Unclassified full proposals sent in response to HR001118S0013 may be submitted via DARPA's BAA Website (https://baa.darpa.mil). Note: If an account has already been created for the DARPA BAA Website, this account may be reused. If no account currently exists for the DARPA BAA Website, 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 proposal. Proposers using the DARPA BAA Website may encounter heavy traffic on the submission deadline date; proposers should start this process as early as possible.

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.

Classified submissions and proposals requesting assistance instruments 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.

Technical support for DARPA's BAA Website may be reached at BAAT_Support@darpa.mil, and is typically available during regular business hours, Eastern Time.

DARPA will acknowledge receipt of the unclassified submission and assign a control number that should be used in all further correspondence regarding the submission.

Submissions will not be returned. The original 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 at this office within 5 days after notification that a proposal was not selected.

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 mailed separately, according to the instructions outlined in the "Security Information" section above. If a classified proposal may not be partitioned into classified and unclassified portions, then submit according to the instructions outlined in the "Security Information" section above.

When a proposal includes a classified portion, and when able according to security guidelines, we ask that proposers send an e-mail to HR001118S0013@darpa.mil as notification that there is a classified portion to the proposal. When sending the classified portion via mail according to the instructions outlined in the "Security Information" section above, proposers should submit six (6) hard copies of the classified portion of their proposal and two (2) CD-ROMs containing the classified portion of the proposal as a single searchable Adobe PDF file. Please ensure that all CDs are well-marked. Each copy of the classified portion must be clearly labeled with HR001118S0013, proposer organization, proposal title, and copy _ of _.

All administrative correspondence and questions on this solicitation, including requests for information on how to submit a proposal to this BAA, should be directed to one of the administrative addresses below; e-mail is preferred.

BAA Administrator
E-mail: HR001118S0013@darpa.mil

DARPA/STO
ATTN: HR001118S0013
675 North Randolph Street
Arlington, VA 22203-2114
Office Website: http://www.darpa.mil/about-us/offices/sto
Opportunities Page: http://www.darpa.mil/work-with-us/opportunities

DARPA intends to use electronic mail for correspondence regarding HR001118S0013. Proposals and proposal abstracts may not be submitted by fax or e-mail; any so sent will be disregarded. DARPA encourages use of the Internet for retrieving the BAA and any other related information that may subsequently be provided.

4.2.4. Restrictive Markings on Proposals

All proposals should clearly indicate limitations on the disclosure of their contents. Proposers who include in their proposals data that they do not want disclosed to the public for any purpose, or used by the Government except for evaluation purposes, shall-

(1) Mark the title page with the following legend:

> This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed-in whole or in part-for any purpose other than to evaluate this proposal. If, however, a contract is awarded to this proposer as a result of, or in connection with, the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets [insert numbers or other identification of sheets]; and

(2) Mark each sheet of data it wishes to restrict with the following legend:

Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal.

Markings like "Company Confidential" or other phrases that may be confused with national security classifications shall be avoided.

4.3. FORMATTING CHARACTERISTICS

4.3.1. Proposal Abstract Format

Proposal abstracts are encouraged in advance of proposals in order to provide potential proposers with a rapid response to minimize unnecessary effort. Proposal abstracts should follow the format provided below. The cover sheet should be clearly marked “PROPOSAL ABSTRACT” and the total length should not exceed 3 pages (exception: TA 2 abstract limit is increased to 4 pages if abstract encompasses all three focus areas), excluding cover page and official transmittal letter. All pages shall be printed on 8-1/2 by 11 inch paper with type not smaller than 12 point. Smaller font may be used for figures, tables and charts. The page limitation for proposal abstracts includes all figures, tables, and charts. No formal transmittal letter is required. All proposal abstracts must be written in English.

4.3.1.1. {Does not count toward page count} Cover sheet to include:

1. BAA number
2. Technical area (see Sec 1.1)
3. Lead Organization Submitting proposal
4. Type of organization, selected among the following categories: "LARGE BUSINESS," "SMALL DISADVANTAGED BUSINESS," "OTHER SMALL BUSINESS," "HBCU," "MI," "OTHER EDUCATIONAL,” or "OTHER NONPROFIT"
5. Proposer’s reference number (if any)
6. Other team members (if applicable) and type of organization for each
7. Abstract title
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), electronic mail (if available)
10. Estimated funds requested from DARPA for each phase proposed and the total estimated proposed cost; and the amount of cost share (if any)
11. Date abstract was prepared.

Abstracts may be structured as you wish. Here is one example of an abstract structure. The proposer may choose any combination of suggested portions listed below; however, the total length must not exceed 3 pages (4 pages if proposing for all focus areas of TA 2).

4.3.1.2 Executive Summary:

Includes a title and an abstract that provides a concise summary of work to be performed and basic approaches to be used.

4.3.1.3 Summary of Innovative Claims for the Proposed Research:
Succinctly describe the uniqueness and benefits of the proposed approach relative to the current state-of-art and alternative approaches.

4.3.1.4 Summary of Technical Approach:
The technical rationale, technical approach, and constructive plan for accomplishments of technical goals in support of innovative claims and deliverable production should be summarized.

4.3.1.5 Organization and Teaming Chart:
A clearly defined organization chart for the program team that includes, as applicable:

1. programmatic relationship of team members;
2. unique capabilities of team members;
3. task responsibilities of team members;
4. teaming strategy among the team members;
5. key personnel along with the amount of effort to be expended by each person during each year.

4.3.1.6 Summary of Deliverables and Approach to Intellectual Property:
Deliverables associated with the proposed research and the plans and capability to accomplish technology transition and commercialization. Include in this section all proprietary claims to 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. This section should list all technical data, computer software, or computer software documentation to be provided with other than unlimited rights in accordance with DFARS Clause 252.227-7017 IDENTIFICATION AND ASSERTION OF USE, RELEASE, OR DISCLOSURE RESTRICTIONS (JUNE 1995).

4.3.1.7 Summary of Estimated Cost, Schedule, and Milestones:
Summarize, in table form, estimated cost, schedule, and milestones for the proposed research.

4.3.1.8 Discussion of Other Research:
Compare the proposed effort with other ongoing research in this area. Describe the advantages and disadvantages of the proposed effort in comparison with other relevant research.

4.3.2. Proposal Format

All proposals must be in the format given below. Nonconforming proposals may be rejected without review. Proposals shall consist of two volumes. All pages shall be printed on 8-1/2 by 11 inch paper with type not smaller than 12 point. Smaller font may be used for figures, tables and charts. The page limitation for proposals includes all figures, tables, and charts. Volume I, Technical and Management Proposal, 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. These papers or research notes will not be formally reviewed against the evaluation criteria, but should allow technical understanding of the claims made. Copies of not more than three (3) relevant papers may be included with the submission.

The submission of other supporting materials along with the proposals is strongly discouraged and will not be considered for review. Maximum page lengths for each section are shown in brackets { } below. All proposals must be written in English.

4.3.2.1 Volume I, Technical and Management Proposal

Section I. Administrative (Cover Sheet (see Appendix 3) and Official transmittal letter) {No more than 2 pages}

Section II. Summary of Proposal {No more than 8 pages}

A. Innovative claims for the proposed research. This section is the centerpiece of the proposal and should succinctly describe the uniqueness and benefits of the proposed approach relative to the current state-of-art alternate approaches.
B. Deliverables associated with the proposed research and the plans and capability to accomplish technology transition and commercialization. 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 not proprietary claims, this should be stated.
C. Technical rationale, technical approach, and constructive plan for accomplishment of technical goals in support of innovative claims and deliverable production. (In the proposal, this section should be supplemented by a more detailed plan in Section III.)
D. General discussion of other research in this area.
E. 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.
F. A three slide summary of the proposal in PowerPoint that quickly and succinctly indicates the concept overview, key innovations, expected impact, and other unique aspects of the proposal. The format for the summary slides is included as APPENDIX 1 to this BAA and does not count against the page limit.

Section III. Detailed Proposal Information {No more than 20 pages for TA-1 proposals, and no more than 25 pages for TA-2 proposals}

A. Statement of Work (SOW) - Clearly define the technical tasks/subtasks to be performed in each phase of the program, their durations, and dependencies among them. . For each task/subtask, provide:
    - A general description of the objective (for each defined task/activity);
    - A detailed description of the approach to be taken to accomplish each defined task/activity);
    - Identification of the primary organization responsible for task execution (prime, sub, team member, by name, etc.);
    - The completion criteria for each task/activity - a product, event or milestone that defines its completion.
    - Clearly identify any tasks/subtasks (to be performed by either an awardee or subawardee) that will be accomplished on-campus at a university, if applicable.

- Define all deliverables (reporting, data, reports, software, etc.) to be provided to the Government in support of the proposed research tasks/activities.

Reporting Deliverables	
Item	**Date/Frequency**
(LIST)	**(LIST)**

Tech Deliverables		
Item	**Deliverable Date**	**Deliverable Location**
(LIST)	**(LIST)**	**(LIST)**

IP Claims	**(LIST)**
Data Restrictions	**(LIST)**

Note: It is recommended that the SOW be developed so that each Phase of the program is separately defined.

Do not include any proprietary information in the SOW.

B. Description of the results, products, transferable technology, and expected technology transfer path enhancing that of Section II. B. This should also address mitigation of life-cycle and sustainment risks associated with transitioning intellectual property for U.S. military applications, if applicable. See also Section 8.1 “Intellectual Property.”
C. Detailed technical rationale enhancing that of Section II.
D. Detailed technical approach enhancing and completing that of Section II.
E. Comparison with other ongoing research indicating advantages and disadvantages of the proposed effort.
F. Identify key risks inherent to the proposed approach and methods to mitigate them.
G. Discussion of proposer’s previous accomplishments and work in closely related research areas.
H. Any additional Government Furnished Equipment, Information, or Resources requested by the proposer.
I. Description of the facilities that would be used for the proposed effort. This section should address how safeguarding of materials will be handled at each facility to include classified materials when applicable.
J. Detail support enhancing that of Section II, including formal teaming agreements which are required to execute this program.
K. Cost schedules and measurable milestones for the proposed research, including estimates of cost for each task in each year of the effort delineated by the proposed awardee and major subawardees, total cost, and any company cost share. **Note: Measurable milestones should capture key development points in tasks and should be clearly articulated and defined in time relative to start of effort.** These milestones should

enable and support a decision for the next part of the effort. Additional interim non-critical management milestones are also highly encouraged at regular intervals. Where the effort consists of multiple portions which could reasonably be partitioned for purposes of funding, these should be identified as options with separate cost estimates for each. Additionally, proposals should clearly explain the technical approach(es) that will be employed to meet or exceed each program metric and provide ample justification as to why the approach(es) is/are feasible. The milestones must not include proprietary information.

Section IV. Additional Information {No more than 12 pages}
A brief bibliography of relevant technical papers and research notes (published and unpublished) which document the technical ideas upon which the proposal is based. These papers or research notes will not be formally reviewed against the evaluation criteria, but should allow technical understanding of the claims made. Copies of not more than three (3) relevant papers can be included in the submission.

4.3.2.2 Volume II, Cost Proposal – {No Page Limit}
All proposers, including FFRDCs, must submit the following:
Cover sheet to include:

(1) BAA number;
(2) Technical area;
(3) Lead Organization Submitting proposal;
(4) Type of organization, selected among the following categories: "LARGE BUSINESS", "SMALL DISADVANTAGED BUSINESS", "OTHER SMALL BUSINESS", "HBCU", "MI", "OTHER EDUCATIONAL", OR "OTHER NONPROFIT";
(5) Proposer's reference number (if any);
(6) Other team members (if applicable) and type of organization for each;
(7) Proposal title;
(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-free (CPFF), cost-contract—no fee, cost sharing contract – no fee, or other type of procurement contract (*specify*), 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;
(20) Proposal validity period.

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 subawardees. This includes the calculations and adjustments that are utilized to generate the Summary Costs from the source labor hours, labor costs, material costs, etc. input data. The Government prefers receiving cost data as Excel files; however, this is not a requirement. If the PDF submission differs from the Excel submission, the PDF will take precedence. Each copy must be clearly labeled with the DARPA BAA number, proposer organization, and proposal title (short title recommended).

The Government also strongly encourages that the proposer provide a detailed cost breakdown to include:

(1) total program cost broken down by major cost items to include:
   i. direct labor, including individual labor categories or persons, with associated labor hours and numbered direct labor rates
   ii. If consultants are to used, proposer must provide consultant agreement or other document which verifies the proposed loaded daily/hourly rate
   iii. Indirect costs including Fringe Benefits, Overhead, General and Administrative Expense, Cost of Money, etc. (Must show base amount and rate)
   iv. Travel – Number of trips, number of days per trip, departure and arrival destinations, number of people, etc.
   v. Other Direct Costs – Should be itemized with costs or estimated costs. Backup documentation will be submitted to support proposed costs. An explanation of any estimating factors, including their derivation and application, must be provided. Please include a brief description of the proposers' procurement method to be used
(2) major program tasks by fiscal year
(3) an itemization of major subcontracts and equipment purchases, to include: a cost proposal as detailed as the Proposer's cost proposal
(4) an itemization of any information technology (IT) purchase, as defined in FAR Part 2.101
(5) a summary of projected funding requirements by month
(6) the source, nature, and amount of any industry cost-sharing. Where the effort consists of multiple portions which could reasonably be partitioned for purposes of funding, these should be identified as options with separate cost estimates for each
(7) identification of pricing assumptions of which 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.)

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. **Tables included in the cost proposal shall be in an editable (e.g. MS Excel) format with calculation formulas intact.** NOTE: If PDF submissions differ from the Excel submission, the PDF will take precedence.

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., other transaction).

Subawardee Proposals

The awardee is responsible for compiling and providing all subawardee proposals for the Procuring Contracting Officer (PCO). Subawardee proposals should include Interdivisional Work Transfer Agreements (ITWA) or similar arrangements. Where the effort consists of multiple portions which could reasonably be partitioned for purposes of funding, these should be identified as options with separate cost estimates for each. NOTE: for IT and equipment purchases, include a letter stating why the proposer cannot provide the requested resources from its own funding.

All proprietary subawardee proposal documentation, prepared at the same level of detail as that required of the awardee's proposal and which cannot be uploaded with the proposed awardee's proposal, shall be provided to the Government either by the awardee or by the subawardee organization when the proposal is submitted. Subawardee proposals submitted to the Government by the proposed awardee should be submitted in a sealed envelope that the proposed awardee will not be allowed to view. The subawardee must provide the same number of hard copies and/or electronic proposals as is required of the awardee.

Other Transaction Requests

All proposers requesting an Other Transaction for Prototypes (OT) agreement 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.

NOTE: PROPOSERS ARE CAUTIONED THAT PROPOSALS MAY BE REJECTED IF SUBMITTAL INSTRUCTIONS ARE NOT FOLLOWED.

4.4. SUBMISSION DATES AND TIMES

4.4.1. Proposal Abstract Submission Deadline

The proposal abstract must be submitted via the DARPA BAA website on or before 4:00 p.m., EST, January 26, 2018. Proposal abstracts received after this time and date may not be reviewed.

4.4.2. Full Proposal Submission Deadline

The full proposal must be submitted via the DARPA BAA website on or before 4:00 P.M. EDT March 23, 2018, in order to be considered during the initial round of selections; however,

proposals received after this deadline may be received and evaluated up to six months (180 days) from date of posting on FedBizOpps (https://www.fbo.gov). Full proposals submitted after the due date specified in the BAA or due date otherwise specified by DARPA after review of proposal abstracts may be selected contingent upon the availability of funds. Proposers are warned that the likelihood of available funding is greatly reduced for proposals submitted after the initial closing date deadline. Failure to comply with the submission procedures may result in the submission not being evaluated.

DARPA will acknowledge receipt of complete submissions via email and assign control numbers that should be used in all further correspondence regarding proposals.

DARPA will post a consolidated Question and Answer list in response to any relevant and/or BAA clarification question(s) after February 19, 2018, before final full proposals are due. In order to receive a response to your question, submit your question by January 25, 2018 to HR001118S0013@darpa.mil.

4.5. FUNDING RESTRICTIONS

Not Applicable.

4.6. OTHER SUBMISSION REQUIREMENTS

Not applicable.

5. APPLICATION REVIEW INFORMATION

5.1. EVALUATION CRITERIA

DARPA evaluates proposals using the following criteria, listed in descending order of importance: 5.1.1 Overall Scientific and Technical Merit; 5.1.2 Potential Contribution and Relevance to the DARPA Mission; 5.1.3 Proposer's Capabilities and/or Related Experience; and 5.1.4 Cost and Schedule Realism.

5.1.1. Overall Scientific and Technical Merit

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

Task descriptions and associated technical elements provided are complete and in a logical sequence with all proposed deliverables clearly defined such that a final product that achieves the goal can be expected as a result of award. The proposal clearly identifies major technical risks and clearly defines feasible planned mitigation strategies and efforts to address those risks. The proposal clearly explains the technical approach(es) that will be employed to meet or exceed each program goal and system metric listed in Section 1.2 and provides ample justification as to why the approach(es) is feasible. TA 1 proposals should clearly substantiate float unit cost and future unit cost reductions due to economic order purchases and performer's ability to achieve desired float manufacturing rates. The Government will also consider the structure, clarity, and responsiveness to the statement of work; the quality of proposed deliverables; and the linkage of the statement of work, technical approach(es), risk mitigation plans, costs, and deliverables of

the prime awardee and all subawardees through a logical, well structured, and traceable technical plan.

5.1.2. Potential Contribution and Relevance to the DARPA Mission

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

5.1.3. Proposer's Capabilities and/or Related Experience

The proposer's prior experience in similar efforts must clearly demonstrate 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.

5.1.4. Cost and Schedule 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. The evaluation criterion 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.

The proposed schedule aggressively pursues performance metrics in the shortest timeframe and accurately accounts for that timeframe. The proposed schedule identifies and mitigates any potential schedule risk.

5.2. REVIEW AND SELECTION PROCESS

It is the policy of DARPA to ensure impartial, equitable, comprehensive proposal evaluations based on the evaluation criteria listed in Section 5 and to select the source (or sources) whose offer meets the Government's technical, policy, and programmatic goals.

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

Award(s) will be made to proposers whose proposals are determined to be the most advantageous to the Government, all factors considered, including the potential contributions of the proposed work to the overall research program and the availability of funding for the effort.

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.

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.

6. AWARD ADMINISTRATION INFORMATION

6.1. SELECTION NOTICES AND NOTIFICATIONS

6.1.1. Abstracts

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

6.1.2. Proposals

As soon as the evaluation of a proposal is complete, the proposers will be notified that 1) the proposal has been selected for funding pending contract negotiations, or 2) the proposal has not been selected. These official notifications will be sent via email to the Technical POC and/or Administrative POC identified on the proposal coversheet.

6.2. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

6.2.1. Meeting and Travel Requirements

There will be a program kickoff meeting in the Arlington, VA vicinity 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 to the Arlington, VA vicinity.

Proposers shall include within the content of their proposal details and costs of any travel or meetings they deem to be necessary throughout the course of the effort, to include periodic status reviews by the government.

6.2.2. 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.

6.2.3. 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.

6.2.4. Human Research Subjects/Animal Use

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

6.2.5. 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.

6.2.6. Small Business Subcontracting Plan

Pursuant to Section 8(d) of the Small Business Act (15 U.S.C. § 637(d)) and FAR 19.702(a)(1), each proposer who submits a contract proposal and includes subcontractors might be required to submit a subcontracting plan with their proposal. The plan format is outlined in FAR 19.704.

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

All electronic and information technology acquired or created through this BAA must satisfy the accessibility requirements of Section 508 of the Rehabilitation Act (29 U.S.C § 749d)/FAR 39.2.

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

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

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

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

6.2.10. Representations and Certifications

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

.

6.3. REPORTING

The number and types of reports will be specified in the award document, but will include at a minimum monthly 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.

6.4. ELECTRONIC SYSTEMS

6.4.1. Wide Area Work Flow (WAWF)

Performers will be required to submit invoices for payment directly to https://wawf.eb.mil, unless an exception applies.

6.4.2. 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).

7. AGENCY CONTACTS

Administrative, technical or contractual questions should be sent via e-mail to HR001118S0013@darpa.mil. All requests must include the name, email address, and phone number of a point of contact.

Points of Contact
The BAA Coordinator for this effort may be reached at:
HR001118S0013@darpa.mil
DARPA/STO
ATTN: HR001118S0013
675 North Randolph Street
Arlington, VA 22203-2114

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

8. OTHER INFORMATION

8.1. INTELLECTUAL PROPERTY

All proposers must provide a good faith representation that the proposer either owns or possesses the appropriate licensing rights to all intellectual property that will be utilized under the proposed effort.

8.1.1. PROCUREMENT CONTRACT

Proposers responding to this BAA requesting procurement contracts will need to complete the certifications at DFARS 252.227-7017. See http://www.darpa.mil/work-with-us/additional-baa for further information. If no restrictions are intended, the proposer should state “none.” The table below captures the requested information:

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)

8.1.2. NONPROCUREMENT CONTRACTS

Proposers responding to this BAA requesting an Other Transaction for Prototypes 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 the award instrument in question. This includes both Noncommercial Items and Commercial Items. Proposers are encouraged use a format similar to that described in Section 8.1.1. above. If no restrictions are intended, then the proposer should state "NONE."

9. APPENDIX 1: PROPOSAL SLIDE SUMMARY

Organization Name Schedule/Cost

Base	**# Months**	**$##M**
Option 1	**## Months**	**$##M**
Program Total	**##Months**	**$##M**

- **Proposed award type [i.e. Cost Plus Fixed Fee (CPFF), Cost Plus Award Fee (CPAF), Cost Plus Incentive Fee (CPIF), Fixed Firm Price (FFP), etc.]**

10. APPENDIX 2: VOLUME 1 COVER SHEET TEMPLATE

Volume I, Technical and Management Proposal
Cover Sheet

(1) BAA Number: _____
(2) Technical Area: _____
(3) Lead Organization Submitting Proposal:_____

(4) Type of Organization, selected among the following categories: “LARGE BUSINESS”, “SMALL DISADVANTAGED BUSINESS”, “OTHER SMALL BUSINESS, “HBCU”, “MI”, “OTHER EDUCATIONAL”, OR “OTHER NONPROFIT”

(5) Other team members (if applicable) and type of organization for each:
Company 1 (Other Small Business)
Company 2 (Large Business)
Company 3 (Large Business)
University (Other Educational)

(6) Proposer’s reference number (if any):_____

(7) Proposal Title: _____
Proposal directed to the attention of (if applicable):_____

(8) Technical point of contact to include:
Salutation, last name first name
Street Address
Street Address 2
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
Street Address 2
City, State, Zip Code
Telephone, Fax (if available)
Electronic mail (if available)

(10) Date proposal submitted: _____

(11) Total funds requested from DARPA, and the amount of cost share (if any): _____

11. APPENDIX 3: VOLUME 2 COVER SHEET, CHECKLIST AND SAMPLE TEMPLATES

Volume II, Cost Proposal
Cover Sheet

(1) BAA Number: _____
(2) Technical Area: _____
(3) Lead Organization Submitting Proposal: _____

(4) Type of Organization, selected among the following categories: “LARGE BUSINESS”, “SMALL DISADVANTAGED BUSINESS”, “OTHER SMALL BUSINESS, “HBCU”, “MI”, “OTHER EDUCATIONAL”, OR “OTHER NONPROFIT”

(5) Other team members (if applicable) and type of organization for each:
Company 1 (Other Small Business)
Company 2 (Large Business)
Company 3 (Large Business)
University (Other Educational)

(6) Proposer’s reference number (if any):_____

(7) Proposal Title: _____
Proposal directed to the attention of (if applicable):_____

(8) Technical point of contact to include:	(9) Administrative point of contact to include:
Salutation, last name first name	Salutation, last name first name
Street Address	Street Address
Street Address 2	Street Address 2
City, State, Zip Code	City, State, Zip Code
Telephone, Fax (if available)	Telephone, Fax (if available)
Electronic mail (if available)	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), or other transaction

(11) Place and period of performance: _____

(12) Total proposed cost separated by basic award and option(s) (if any): _____

(13) Proposer’s Cognizant Defense Contract Management Agency (DCMA), Defense Contract Audit Agency (DCAA) Information:

DCMA Administration Office (if known):	DCAA Audit Office (if known):
Salutation, last name first name	Salutation, last name first name
Street Address	Street Address
Street Address 2	Street Address 2

City, State, Zip Code
Telephone, Fax (if available)

City, State, Zip Code
Telephone, Fax (if available)

(14) Any Forward Pricing Rate Agreement, other such approved rate information, or such other documentation that may assist in expediting negotiations (if available).

(15) Date proposal submitted: _____

(16) DUNS number: _____

(17) TIN (Tax Information Number):_____

(18) CAGE Code: _____

(19) Subawardee Information: _____

(20) Proposal validity period: _____

Volume II, Cost Proposal
Checklist and Sample Templates

The following checklist and sample templates are provided to assist the proposer in developing a complete and responsive cost volume. Full instructions appear in Section 4.3.2.2 beginning on Page 27 of HR001118S0013. This worksheet must be included with the coversheet of the Cost Proposal.

1. Are all items from Section 4.3.2.2 (Volume II, Cost Proposal) of HR001118S0013 included on your Cost Proposal cover sheet?
   ○ **YES** ○ **NO** **Appears on Page(s)** [Type text]
   If reply is "No", please explain:

2. Does your Cost Proposal include (1) a summary cost buildup by Phase, (2) a summary cost buildup by Year, and (3) a detailed cost buildup of for each Phase that breaks out each task and shows the cost per month?
   ○ **YES** ○ **NO** **Appears on Page(s)** [Type text]

   If reply is "No", please explain:

3. Does your cost proposal (detailed cost buildup #3 above in item 2) show a breakdown of the major cost items listed below:
   Direct Labor (Labor Categories, Hours, Rates)
   ○ **YES** ○ **NO** **Appears on Page(s)** [Type text]

   Indirect Costs/Rates (i.e., overhead charges, fringe benefits, G&A)
   ○ **YES** ○ **NO** **Appears on Page(s)** [Type text]

   Materials and/or Equipment
   ○ **YES** ○ **NO** **Appears on Page(s)** [Type text]

   Subcontracts/Consultants
   ○ **YES** ○ **NO** **Appears on Page(s)** [Type text]

   Other Direct Costs
   ○ **YES** ○ **NO** **Appears on Page(s)** [Type text]

   Travel
   ○ **YES** ○ **NO** **Appears on Page(s)** [Type text]

   If reply is "No", please explain:

4. Have you provided documentation for proposed costs related to travel, to include purpose of trips, departure and arrival destinations and sample airfare?
   ○ **YES** ○ **NO** **Appears on Page(s)** [Type text]

If reply is "No", please explain:

5. Does your cost proposal include a complete itemized list of <u>all</u> material and equipment items to be purchased (a priced bill-of-materials (BOM))?
   ○ **YES** ○ **NO** **Appears on Page(s)** [Type text]

   If reply is "No", please explain:

6. Does your cost proposal include vendor quotes or written engineering estimates (basis of estimate) for <u>all</u> material and equipment with a unit price exceeding $5000?
   ○ **YES** ○ **NO** **Appears on Page(s)** [Type text]

   If reply is "No", please explain:

7. Does your cost proposal include a clear justification for the cost of labor (written labor basis-of-estimate (BOE)) providing rationale for the labor categories and hours proposed for each task?
   ○ **YES** ○ **NO** **Appears on Page(s)** [Type text]

   If reply is "No", please explain:

8. Do you have other team members? If YES, continue to question 9. If NO, skip to question 13.
   ○ **YES** ○ **NO** **Appears on Page(s)** [Type text]

9. Does your cost proposal include copies of all team members technical (to include Statement of Work) and cost proposals?
   ○ **YES** ○ **NO** **Appears on Page(s)** [Type text]

   If reply is "No", please explain:

10. Do all subawardee proposals include the required summary buildup, detailed cost buildup, and supporting documentation (SOW, Bill-of-Materials, Basis-of-Estimate, Vendor Quotes, etc.)?
    ○ **YES** ○ **NO** **Appears on Page(s)** [Type text]

    If reply is "No", please explain:

11. Does your cost proposal include copies of consultant agreements, if available?
    ○ **YES** ○ **NO** **Appears on Page(s)** [Type text]

    If reply is "No", please explain:

12. If requesting a FAR-based contract, does your cost proposal include a tech/cost analysis for all proposed subcontractors?
    ○ **YES** ○ **NO** **Appears on Page(s)** [Type text]

    If reply is "No", please explain:

13. Have all team members (prime and subawardees) who are considered a Federally Funded Research & Development Center (FFRDC), included documentation that clearly demonstrates work is not otherwise available from the private sector AND provided a letter on letterhead from the sponsoring organization citing the specific authority establishing their eligibility to propose to government solicitations and compete with industry, and compliance with the associated FFRDC sponsor agreement and terms and conditions.

○ **YES** ○ **NO** **Appears on Page(s)** [Type text]

If reply is "No", please explain:

14. Does your proposal include a response regarding Organizational Conflicts of Interest?

○ **YES** ○ **NO** **Appears on Page(s)** [Type text]

If reply is "No", please explain:

15. Does your proposal include a completed Data Rights Assertions table/certification?

○ **YES** ○ **NO** **Appears on Page(s)** [Type text]

If reply is "No", please explain:

SAMPLE – SUMMARY PROPOSAL BUDGET (One per Phase)

SAMPLE: COST ELEMENT SUMMARY

Phase 1				Phase 2 ROM			
COST ELEMENT	**BASE**	**RATE**	**AMOUNT**	**BASE**	**RATE**	**AMOUNT**	**TOTAL PROPOSED AMOUNT**
DIRECT LABOR (List each direct labor category separately)	Hours	$	$	Hours	$	$	
TOTAL DIRECT LABOR			$			$	
FRINGE BENEFITS	$	%	$	$	%	$	
TOTAL LABOR OVERHEAD	$	%	$	$	%	$	
SUBAWARDEE(S), CONSULTANT(S) (List Each Separately)			$			$	
MATERIALS & EQUIPMENT			$			$	
MATERIAL OVERHEAD	$	%	$	$	%	$	
TRAVEL			$			$	
OTHER DIRECT COSTS (ODC)			$			$	
General and Administrative (G&A)	$	%	$	$	%	$	
Independent Research and Development (IR&D)/Bid and Proposal (B&P)	$	%	$	$	%	$	
SUBTOTAL COSTS			$			$	
COST OF MONEY (See DD Form 1861)			$			$	
TOTAL COST			$			$	
PROFIT/FEE	$	%	$	$	%	$	
TOTAL PRICE/COST			$			$	
GOVERNMENT SHARE			$			$	
RECIPIENT SHARE (if applicable)			$			$	

SAMPLE: SUBAWARDEES & CONSULTANTS PRICE SUMMARY

A	B	C	D	E	F
Subawardee or Consultant Name	SOW Tasks to be performed*	Type of Award	Subawardee of Consultant Quoted Price	Cost Proposed by Prime for the Subawardee or Consultant	Difference (Column D - Column E) IF APPLICABLE
TOTALS					
* Identify Statement of Work, Milestone or Work Breakdown Structure paragraph or provide a narrative explanation as an addendum to this Table that describes the effort to be performed.					