

Broad Agency Announcement

Information Innovation Office (I2O) Office-wide

HR001122S0003

October 26, 2021



Defense Advanced Research Projects Agency

Information Innovation Office

675 North Randolph Street

Arlington, VA 22203-2114

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PART I: OVERVIEW INFORMATION

- **Federal Agency Name:** Defense Advanced Research Projects Agency (DARPA), Information Innovation Office (I2O)
- **Funding Opportunity Title:** I2O Office-wide Broad Agency Announcement (BAA)
- **Announcement Type:** Initial Announcement
- **Funding Opportunity Number:** HR001122S0003
- **Catalog of Federal Domestic Assistance Numbers (CFDA):**
12.910 Research and Technology Development
- **Dates:**
 - Posting Date: October 26, 2021
 - Abstract Due Date: September 23, 2022, 12:00 noon (ET)
 - Proposal Due Date: October 28, 2022, 12:00 noon (ET)
- **Concise Description of Funding Opportunity:** This Broad Agency Announcement (BAA) seeks revolutionary research ideas for topics not being addressed by ongoing I2O programs or other published solicitations. Potential proposers are highly encouraged to review the current I2O programs (<http://www.darpa.mil/about-us/offices/i2o>) and solicitations (<http://www.darpa.mil/work-with-us/opportunities>) to avoid proposing efforts that duplicate existing activities or that are responsive to other published I2O solicitations.
- **Anticipated Individual Awards:** Multiple awards are anticipated. See Part II.
- **Types of Instruments that May be Awarded:** Procurement contracts, grants, cooperative agreements, or Other Transactions.

DARPA welcomes engagement from non-traditional sources in addition to current DARPA performers. For these non-traditional sources, DARPA can use statutory authorities to employ award mechanisms that allow commercial companies to continue using their internal business processes and permits flexibility in negotiating most terms and conditions in any resultant agreement. For example, Other Transaction (OT) for Prototypes could be used when the main focus of the agreement is to create a prototype that the Government may acquire, even when significant research is necessary to create the prototype. DARPA has wide latitude to use this authority, but it has a statutory requirement that the proposer's team needs to either have at least one "non-traditional participant" (an entity that has not had \$50 million or more in defense contracts with the Government in the last year) or to cost-share one-third of the project's costs.

DARPA welcomes your interest and participation and is willing and able to work with a potential performer in coming up with a contracting arrangement that benefits everyone.

- **Agency Contacts:**

- **Technical POC:** BAA Coordinator, DARPA/I2O
- **BAA Email:** HR001122S0003@darpa.mil
- **BAA Mailing Address:**
DARPA/I2O
ATTN: HR001122S0003
675 North Randolph Street
Arlington, VA 22203-2114
- **I2O Solicitation Website:** <http://www.darpa.mil/work-with-us/opportunities>

PART II: FULL TEXT OF ANNOUNCEMENT

I. Funding Opportunity Description

The mission of the Information Innovation Office (I2O) is to ensure enduring advantage for the U.S. and its allies across a broad range of information technologies through the advancement of core technical foundations, as well as the design of novel application concepts based on these foundations. I2O's core technical work ranges from artificial intelligence and data analysis to secure engineering and formal methods. Building on its core technical work, I2O programs also focus on overcoming technical challenges in bringing these technologies to the mission, addressing topics such as network security, cyber and multi-domain operations, human-system interaction, and assured autonomy. I2O programs are organized into four thrust areas:

- a. **Proficient artificial intelligence (AI):** I2O is focused on the exploration and advancement of a full range of AI techniques, including symbolic reasoning, statistical machine learning, grounded cognition, meta-learning, explanation and assurance, and hybrid methods. The office's AI programs focus on increasing cognitive capability, such as enhancing human language understanding, and combining this with increases in robustness and trustworthiness. Programs also focus on human-system partnering where AI-based systems can engage with individuals and teams in ways that are both effective and non-obtrusive. Programs focus additionally on the engineering of trustworthy systems that include diverse AI components. As AI technology continues to evolve rapidly, an emerging I2O focus is next-generation AI. This focus area addresses challenges related to harmonizing symbolic domain models with statistical AI, as well as augmenting systems with meta-cognition, for example, learning how to learn and how to evolve domain abstractions.
- b. **Advantage in cyber operations:** The I2O cyber operations portfolio includes techniques, tools, and frameworks for the full range of cyber operations and involves many layers and stages in systems, from endpoint to endpoint. I2O's research explores network operations analytics, attribution of attacks, applied cryptography – such as secure multi-party computation – graceful-degradation and recovery from attacks, deterrence effects, and social engineering defense. Programs also address challenges related to advancing the capacity of cyber operators through improved data sourcing

and analytics, tools and frameworks, and operator experience design, including environments for command centers and cyber operators.

- c. **Confidence in the information domain:** The information domain has been a focus of military and civil engagement since the dawn of the ages. Totalitarian regimes, for example, have historically used information operations for domestic social control and to exert international influence. The combination of connectivity and modern media has greatly amplified the potential effects on populations, including populations with extensive access to traditional sources of news as well as social media. The information domain has become critical both to stability and to multi-domain operations in modern warfare. I2O programs focus on understanding online activity, building better technical models of strategic and tactical operations in the information domain, developing technologies to support stabilization efforts, and building on these to create improved situational awareness to inform strategic decision-making.
- d. **Resilient, adaptable, and secure systems:** Engineering practices for software-reliant systems have evolved steadily over many decades. Yet, systems remain vulnerable as functional and quality ambitions continue to outpace engineering capability. I2O is focused on creating new techniques, technologies, and tools that can lead to improvements in engineering practice for software-based systems for the military and its supply chain. Programs are addressing a number of challenges in enabling iterative patterns of continuous development with continuous integration and, importantly, with continuous verification and validation (CD/CI/CV). I2O's research efforts focus on topics related to modeling and analysis, toolchain development, support for human developers and analysts, and the capture and management of diverse kinds of engineering evidence, both formal and informal.

I2O may also consider submissions outside these thrust areas if the proposal involves the development of novel software-based capabilities having a promise to provide decisive information advantage for the U.S. and its allies. I2O seeks unconventional software-based approaches that are outside the mainstream, challenge accepted assumptions, and have the potential to radically change established practice. Proposed research should investigate innovative approaches that enable revolutionary advances in software science, technology, or systems. Specifically excluded is research that primarily results in evolutionary improvements to the existing state of the art.

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

For the purposes of this solicitation, only submissions deemed compliant and relevant will receive a detailed scientific review. Compliance and relevance, first and foremost, requires that submissions address one or more of the aforementioned thrust areas and/or propose revolutionary advances in software science, technology, or systems. Additional compliance and relevance

factors include: whether the overall goal of the proposed effort, if achieved, would convey technology significantly beyond the state of the art; whether the timetable for achieving results is appropriate for a mission agency such as DARPA; and whether the cost, scale, and scope of work is commensurate with I2O resources and priorities.

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

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

DARPA BAAs are posted on the System for Award Management, Contract Opportunities website (<https://sam.gov>), the Grants.gov website (grants.gov), or referenced herein.

II. Award Information

A. Awards

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

The Government reserves the right to:

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

Proposals selected for award negotiation may result in a procurement contract, grant, cooperative

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

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

B. Fundamental Research

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

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

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

Proposers should indicate in their proposal whether they believe the scope of the research included in their proposal is fundamental or not. While proposers should clearly explain the intended results of their research, the Government shall have sole discretion to determine whether the proposed research shall be considered fundamental and to select the award instrument type. Appropriate language will be included in resultant awards for non-fundamental research to prescribe publication requirements and other restrictions, as appropriate. This language 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 to be performed by a potential awardee is non-fundamental research, its proposed subawardee’s effort may be

fundamental research. It is also possible that the research performed by a potential awardee is fundamental research while its proposed subawardee's effort may be non-fundamental research. In all cases, it is the potential awardee's responsibility to explain in its proposal which proposed efforts are fundamental research and why the proposed efforts should be considered fundamental research.

University or non-profit research institution performance under this solicitation may include effort categorized as fundamental research. In addition to Government support for free and open scientific exchanges and dissemination of research results in a broad and unrestricted manner, the academic or non-profit research performer or recipient, regardless of tier, acknowledges that such research may have implications that are important to U.S. national interests and must be protected against foreign influence and exploitation. As such, the academic or non-profit research performer or recipient agrees to comply with the following requirements:

- (a) The University or non-profit research institution performer or recipient must establish and maintain an internal process or procedure to address foreign talent programs, conflicts of commitment, conflicts of interest, and research integrity. The academic or non-profit research performer or recipient must also utilize due diligence to identify Foreign Components or participation by Senior/Key Personnel in Foreign Government Talent Recruitment Programs and agree to share such information with the Government upon request.
 - i. The above described information will be provided to the Government as part of the proposal response to the solicitation and will be reviewed and assessed prior to award. Generally, this information will be included in the Research and Related Senior/Key Personnel Profile (Expanded) form (SF-424) required as part the proposer's submission through Grants.gov.
 1. Instructions regarding how to fill out the SF-424 and its biographical sketch can be found through Grants.gov.
 - ii. In accordance with USD(R&E) direction to mitigate undue foreign influence in DoD-funded science and technology, DARPA will assess all Senior/Key Personnel proposed to support DARPA grants and cooperative agreements for potential undue foreign influence risk factors. This will be done by evaluating information provided via the SF-424, and any accompanying or referenced documents, in order to identify and assess any associations or affiliations the Senior/Key Personnel may have with foreign strategic competitors or countries that have a history of intellectual property theft, research misconduct, or history of targeting U.S. technology

for unauthorized transfer. DARPA's evaluation takes into consideration the entirety of the Senior/Key Personnel's SF-424, current and pending support, and biographical sketch, placing the most weight on the Senior/Key Person's activities over the last 4 years. The majority of foreign entities lists used to make these determinations are publicly available. The DARPA Countering Foreign Influence Program (CFIP) "Senior/Key Personnel Foreign Influence Risk Rubric" details the various risk ratings and factors. The rubric can be seen at the following link: https://www.darpa.mil/attachments/092021DARPA_CFIPRubric.pdf

- iii. Examples of lists that DARPA leverages to assess potential undue foreign influence factors include, but are not limited to:
1. Executive Order 13959 "Addressing the Threat From Securities Investments That Finance Communist Chinese Military Companies": <https://www.govinfo.gov/content/pkg/FR-2020-11-17/pdf/2020-25459.pdf>
 2. The U.S. Department of Education's College Foreign Gift and Contract Report: [College Foreign Gift Reporting \(ed.gov\)](#)
 3. The U.S. Department of Commerce, Bureau of Industry and Security, List of Parties of Concern: <https://www.bis.doc.gov/index.php/policy-guidance/lists-of-parties-of-concern>
 4. Georgetown University's Center for Security and Emerging Technology (CSET) Chinese Talent Program Tracker: <https://chinatalenttracker.cset.tech>
 5. Director of National Intelligence (DNI) "World Wide Threat Assessment of the US Intelligence Community": [2021 Annual Threat Assessment of the U.S. Intelligence Community \(dni.gov\)](#)
 6. Various Defense Counterintelligence and Security Agency (DCSA) products regarding targeting of US technologies, adversary targeting of academia, and the exploitation of academic experts: <https://www.dcsa.mil/>

DARPA's analysis and assessment of Senior/Key Personnel is compliant with Title VI of the Civil Rights Act of 1964. Information regarding race, color, or national origin is not collected and does not have bearing in DARPA's assessment.

University or non-profit research institutions with proposals selected for negotiation that have been assessed as having high or very high undue foreign influence risk, will be given an opportunity during the negotiation process to mitigate the risk. DARPA reserves the right to request any follow-up information needed to assess risk or mitigation strategies.

iv. Upon conclusion of the negotiations, if DARPA determines, despite any proposed mitigation terms (e.g. mitigation plan, alternative research personnel), the participation of any Senior/Key Research Personnel still represents high risk to the program, or proposed mitigation affects the Government's confidence in proposer's capability to successfully complete the research (e.g., less qualified Senior/Key Research Personnel) the Government may determine not to award the proposed effort. Any decision not to award will be predicated upon reasonable disclosure of the pertinent facts and reasonable discussion of any possible alternatives while balancing program award timeline requirements.

(b) Failure of the academic or non-profit research performer or recipient to reasonably exercise due diligence to discover or ensure that neither it nor any of its Senior/Key Research Personnel involved in the subject award are participating in a Foreign Government Talent Program or have a Foreign Component with an a strategic competitor or country with a history of targeting U.S. technology for unauthorized transfer may result in the Government exercising remedies in accordance with federal law and regulation.

i. If, at any time, during performance of this research award, the academic or non-profit research performer or recipient should learn that it, its Senior/Key Research Personnel, or applicable team members or sub-tier performers on this award are or are believed to be participants in a Foreign Government Talent Program or have Foreign Components with a strategic competitor or country with a history of targeting U.S. technology for unauthorized transfer, the performer or recipient

will notify the Government Contracting Officer or Agreements Officer within 5 business days.

1. This disclosure must include specific information as to the personnel involved and the nature of the situation and relationship. The Government will have 30 business days to review this information and conduct any necessary fact-finding or discussion with the performer or recipient.
2. The Government's timely determination and response to this disclosure may range anywhere from acceptance, to mitigation, to termination of this award at the Government's discretion.
3. If the University receives no response from the Government to its disclosure within 30 business days, it may presume that the Government has determined the disclosure does not represent a threat.

ii. The performer or recipient must flow down this provision to any subtier contracts or agreements involving direct participation in the performance of the research.

(c) Definitions

i. Senior/Key Research Personnel

1. This definition would include the Principal Investigator or Program/Project Director and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the award. These include individuals whose absence from the project would be expected to impact the approved scope of the project.
2. Most often, these individuals will have a doctorate or other professional degrees, although other individuals may be included within this definition on occasion.

ii. Foreign Associations/Affiliations

1. Association is defined as collaboration, coordination or interrelation, professionally or personally, with a foreign government-connected entity where no direct monetary or non-monetary reward is involved.

2. Affiliation is defined as collaboration, coordination, or interrelation, professionally or personally, with a foreign government-connected entity where direct monetary or non-monetary reward is involved.
- iii. Foreign Government Talent Recruitment Programs
 1. In general, these programs will include any foreign-state-sponsored attempt to acquire U.S. scientific-funded research or technology through foreign government-run or funded recruitment programs that target scientists, engineers, academics, researchers, and entrepreneurs of all nationalities working and educated in the U.S.
 2. Distinguishing features of a Foreign Government Talent Recruitment Program may include:
 - a. Compensation, either monetary or in-kind, provided by the foreign state to the targeted individual in exchange for the individual transferring their knowledge and expertise to the foreign country.
 - b. In-kind compensation may include honorific titles, career advancement opportunities, promised future compensation or other types of remuneration or compensation.
 - c. Recruitment, in this context, refers to the foreign-state-sponsor's active engagement in attracting the targeted individual to join the foreign-sponsored program and transfer their knowledge and expertise to the foreign state. The targeted individual may be employed and located in the U.S. or in the foreign state.
 - d. Contracts for participation in some programs that create conflicts of commitment and/or conflicts of interest for researchers. These contracts include, but are not limited to, requirements to attribute awards, patents, and projects to the foreign institution, even if conducted under U.S. funding, to recruit or train other

talent recruitment plan members, circumventing merit-based processes, and to replicate or transfer U.S.-funded work in another country.

- e. Many, but not all, of these programs aim to incentivize the targeted individual to physically relocate to the foreign state. Of particular concern are those programs that allow for continued employment at U.S. research facilities or receipt of U.S. Government research funding while concurrently receiving compensation from the foreign state.

3. Foreign Government Talent Recruitment Programs DO NOT include:

- a. Research agreements between the University and a foreign entity, unless that agreement include provisions that create situations of concern addressed elsewhere in this section,
- b. Agreements for the provision of goods or services by commercial vendors, or
- c. Invitations to attend or present at conferences.

iv. Conflict of Interest

- 1. A situation in which an individual, or the individual's spouse or dependent children, has a financial interest or financial relationship that could directly and significantly affect the design, conduct, reporting, or funding of research.

v. Conflict of Commitment

- 1. A situation in which an individual accepts or incurs conflicting obligations between or among multiple employers or other entities.
- 2. Common conflicts of commitment involve conflicting commitments of time and effort, including obligations to dedicate time in excess of institutional or funding agency policies or commitments. Other types of conflicting obligations, including obligations

to improperly share information with, or withhold information from, an employer or funding agency, can also threaten research security and integrity and are an element of a broader concept of conflicts of commitment.

- vi. Foreign Component
 - 1. Performance of any significant scientific element or segment of a program or project outside of the U.S., either by the University or by a researcher employed by a foreign organization, whether or not U.S. government funds are expended.
 - 2. Activities that would meet this definition include, but are not limited to:
 - a. Involvement of human subjects or animals;
 - b. Extensive foreign travel by University research program or project staff for the purpose of data collection, surveying, sampling, and similar activities;
 - c. Collaborations with investigators at a foreign site anticipated to result in co-authorship;
 - d. Use of facilities or instrumentation at a foreign site;
 - e. Receipt of financial support or resources from a foreign entity; or
 - f. Any activity of the University that may have an impact on U.S. foreign policy through involvement in the affairs or environment of a foreign country.
 - 3. Foreign travel is not considered a Foreign Component.

- vii. Strategic Competitor
 - 1. A nation, or nation-state, that engages in diplomatic, economic or technological rivalry with the United States where the fundamental strategic interests of the U.S. are under threat.

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

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

DFARS 252.204-7000, “Disclosure of Information”

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

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

The full text of the above solicitation provision and contract clauses can be found at

<http://www.darpa.mil/work-with-us/additional-baa#NPRPAC>.

Compliance with the above requirements includes the mandate for proposers to implement the security requirements specified by National Institute of Standards and Technology (NIST) Special Publication (SP) 800-171, “Protecting Controlled Unclassified Information in Nonfederal Information Systems and Organizations” (see

<https://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-171r2.pdf>) and DoDI

8582.01 that are in effect at the time the solicitation is issued.

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

III. Eligibility Information

A. Eligible Applicants

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

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

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

a. FFRDCs

FFRDCs are subject to applicable direct competition limitations and cannot propose to this solicitation 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, that (a) cites the specific authority establishing their eligibility to propose to Government solicitations and compete with industry, and (b) certifies the FFRDC’s compliance with the associated FFRDC sponsor agreement’s terms and

conditions. These conditions are a requirement for FFRDCs proposing to be awardees or subawardees.

b. Government Entities

Government Entities (e.g., Government/National laboratories, military educational institutions, etc.) are subject to applicable direct competition limitations. Government Entities must clearly demonstrate that the work is not otherwise available from the private sector and provide written documentation citing the specific statutory authority and contractual authority, if relevant, establishing their ability to propose to Government solicitations and compete with industry. This information is required for Government Entities proposing to be awardees or subawardees.

c. Authority and Eligibility

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

2. Foreign Participation

Non-U.S. organizations and/or individuals may participate to the extent that such participants comply with any necessary nondisclosure agreements, security regulations, export control laws, and other governing statutes applicable under the circumstances.

B. Organizational Conflicts of Interest

FAR 9.5 Requirements

In accordance with FAR 9.5, proposers are required to identify and disclose all facts relevant to potential OCIs involving the proposer’s organization and *any* proposed team member (subawardee, consultant). Under this Section, the proposer is responsible for providing this disclosure with each proposal submitted to the solicitation. 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 solicitation evaluation criteria and funding availability.

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

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

C. Cost Sharing/Matching

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

IV. Application and Submission Information

A. Address to Request Application Package

This 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 technical point of contact listed herein. No request for proposal (RFP) or additional solicitation regarding this opportunity will be issued, nor is additional information available except as provided at the System for Award Management, Contract Opportunities website (<https://sam.gov>), the Grants.gov website (grants.gov), or referenced herein.

PROPOSERS ARE CAUTIONED THAT FAILURE TO FOLLOW THE BAA'S PROPOSAL PREPARATION (PROPOSAL FORMAT, CONTENT, ETC.) AND/OR SUBMITTAL INSTRUCTIONS MAY RESULT IN A NEGATIVE EVALUATION AND/OR PROPOSAL MAY BE REJECTED.

B. Content and Form of Application Submission

1. Abstracts

Proposers are highly encouraged to submit an abstract in advance of a proposal to minimize effort and reduce the potential expense of preparing an out of scope proposal. The abstract

provides a synopsis of the proposed project, including brief answers to the following questions:

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

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

Abstract Format: Abstracts shall not exceed a maximum of 10 pages including the cover sheet and all figures, tables, and charts. The page limit does not include a submission letter (optional).

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

Abstracts must include the following components:

- **Cover Sheet:** Provide the administrative and technical points of contact (name, address, phone, email, lead organization). Include the BAA number, title of the proposed project, primary subcontractors, estimated cost, duration of the project, and the label "Abstract."
- **Goals and Impact:** Describe what is being proposed and what difference it will make (qualitatively and quantitatively) if successful. Describe the innovative aspects of the project in the context of existing capabilities and approaches, clearly delineating the relationship of this work to any other projects from the past and present.
- **Technical Plan:** Outline and address all technical challenges inherent in the approach and possible solutions for overcoming potential problems. Provide appropriate specific milestones (quantitative, if possible) at intermediate stages of the project to demonstrate progress.
- **Capabilities/Management Plan:** Provide a brief summary of expertise of the team, including subcontractors and key personnel. Identify a principal investigator for the project and include a description of the team's organization including roles and responsibilities. Describe the organizational experience in this area, existing intellectual property required to complete the project, and any specialized facilities to be used as part of the project. List Government-furnished property, facilities, or data assumed to be available. If desired, include a brief bibliography with links to relevant papers, reports, or resumes of key performers. Do not include more than two resumes as part of the abstract. Resumes count against the abstract page limit.

- **Cost and Schedule:** Provide a cost estimate for resources over the proposed timeline of the project, broken down by year. Include labor, materials, a list of deliverables and delivery schedule. Provide cost estimates for each subcontractor (may be a rough order of magnitude).

2. Proposals

All proposals must be in the format stated herein. Proposals consist of Volume 1: Technical and Management Proposal (including mandatory Appendix A and optional Appendix B); Volume 2: Cost Proposal; and the PowerPoint summary chart.

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

A summary slide of the proposed effort, in PowerPoint format, should be submitted with the proposal. A template slide (Office-wide BAA Proposal Summary Chart Template) is provided as an attachment to the BAA. Submit this PowerPoint file in Volume 2 of your full proposal.

Proposals not meeting the format prescribed herein may be found non-compliant.

a. Volume 1: Technical and Management Proposal

The maximum page count for Volume 1 is 25 pages, including all figures, tables and charts. The cover sheet, table of contents and appendices are excluded from the page count. Proposers should note Appendix A does not count against the page limit; however, it is **mandatory** and is required in the submission of Volume 1, Appendix B does not count against the page limit and is optional.

Further, a submission letter is optional and is excluded from the page count. Additional information not explicitly called for herein is discouraged. If the proposer chooses to provide additional information, that information must be included in Appendix B. Such materials will be considered for the reviewers' convenience only and not evaluated as part of the proposal.

Volume 1 must include the following components:

i. Cover Sheet: Include the following information.

- Label: "Proposal: Volume 1"
- BAA number (HR001122S0003)
- Proposal title
- Lead organization (prime contractor) name
- Type of organization, selected from the following categories: Large Business, Small Disadvantaged Business, Other Small Business, Historically Black Colleges and Universities, Military Institution, Other Educational, or Other Nonprofit

- Technical point of contact (POC) including name, mailing address, telephone number, and email address
- Administrative POC including name, mailing address, telephone number, and email address
- Award instrument requested: procurement contract (specify cost/price structure), grant, cooperative agreement or OT.¹
- Total amount of the proposed effort
- Place(s) and period(s) of performance
- Other team member (subcontractors and consultants) information (for each, include Technical POC name, organization, type of organization, mailing address, telephone number, and email address)
- Proposal validity period (minimum 120 calendar days)
- Data Universal Numbering System (DUNS) number²
- Taxpayer Identification Number (TIN)³
- Commercial and Government Entity (CAGE) code⁴
- Proposer's reference number (if any)

ii. Table of Contents

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

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

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

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

¹ Information on award instruments can be found at <http://www.darpa.mil/work-with-us/contract-management>.

² The DUNS number is used as the Government's contractor identification code for all procurement-related activities. Go to <http://fedgov.dnb.com/webform/index.jsp> to request a DUNS number (may take at least one business day). For further information regarding this subject, please see www.darpa.mil/work-with-us/additional-baa for further information.

³ See <https://www.irs.gov/Individuals/International-Taxpayers/Taxpayer-Identification-Numbers-TIN> for information on requesting a TIN. Note, requests may take from 1 business day to 1 month depending on the method (online, fax, mail).

⁴ A CAGE Code identifies companies doing or wishing to do business with the Federal Government. For further information regarding this subject, please see www.darpa.mil/work-with-us/additional-baa.

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

v. Technical Plan: Outline and address technical challenges inherent in the approach and possible solutions for overcoming potential problems. Demonstrate a deep understanding of the technical challenges and present a credible (even if risky) plan to achieve the project’s goal. Discuss mitigation of technical risk. List Government-furnished materials or data assumed to be available.

vi. Management Plan: Provide a summary of expertise of the proposed team, including any subcontractors/consultants and key personnel who will be executing the work. Identify a principal investigator (PI) for the project. Provide a clear description of the team’s organization including an organization chart that illustrates, as applicable, the relationship of team members; unique capabilities of team members; task responsibilities of team members; teaming strategy among the team members; and key personnel with the amount of effort to be expended by each person during the project. Provide a detailed plan for coordination including explicit guidelines for interaction among collaborators/subcontractors of the proposed project. Include risk management approaches. Describe any formal teaming agreements that are required to execute this project.

vii. Personnel, Qualifications, and Commitments: List key personnel (no more than one page per person), showing a concise summary of their qualifications, discussion of previous accomplishments, and work in this or closely related research areas. Indicate the level of effort in terms of hours to be expended by each person during each contract year and other (current and proposed) major sources of support for them and/or commitments of their efforts. The proposer should include a table of key individual time commitments as follows:

Key Individual	Project	Status (Current, Pending, Proposed)	Hours on Project		
			Phase 1	Phase 2	Phase 3
Name 1	Program name	Proposed	X	x	x
	Project Name 1	Current	X	x	n/a
	Project Name 2	Pending	n/a	x	x
Name 2	Program Name	Proposed	X	x	x
	Project Name 3	Proposed	X	x	x

DARPA expects all key personnel associated with a proposal to make a substantial time commitment to the proposed activity and the proposal will be evaluated accordingly. It is DARPA’s intention to put key personnel conditions into the awards, so proposers should not propose personnel that are not anticipated to execute the award. The proposer should note, official resumes are considered additional information and therefore count against the Volume 1 page count. If the proposers wishes to include official resumes, they should be included in Appendix B.

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

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

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

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

xi. Appendix A: This section is mandatory and must include all of the following components. If a particular subsection is not applicable, state “NONE.” There is no page limit on Appendix A.

(1). Individual Team Member Identification: Provide a list of all individual team members including the prime, subcontractor(s), and consultant(s), as applicable. Identify specifically whether any are a non-US organization or individual, FFRDC and/or Government entity. Use the following format for this list:

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

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

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

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

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

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

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

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

The proposer should note submission of the above table does not preclude the proposers’ responsibility to submit an OCI mitigation plan in accordance with Section III.B, Organizational Conflicts of Interest.

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

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

NONCOMMERCIAL				
Technical Data and/or	Summary of	Basis for	Asserted	Name of Person

Computer Software To be Furnished With Restrictions	Intended Use in the Conduct of the Research	Assertion	Rights Category	Asserting Restrictions
(List)	(Narrative)	(List)	(List)	(List)
(List)	(Narrative)	(List)	(List)	(List)

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

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

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

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

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

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

Please also complete the following statements.

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

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

- (9). Cost Accounting Standards (CAS) Notices and Certification:** For any proposer who submits a proposal which, if accepted, will result in a CAS-compliant contract, must include a Disclosure Statement as required by 48 CFR 9903.202. The disclosure forms may be found at https://www.whitehouse.gov/wp-content/uploads/2017/11/CASB_DS-1.pdf.

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

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

b. Volume 2 - Cost Proposal

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

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

The Government strongly encourages that proposers use the provided MS Excel™ DARPA Standard Cost Proposal Spreadsheet in the development of their cost proposals. A customized cost proposal spreadsheet may be an attachment to this solicitation. If not, the spreadsheet can be found on the DARPA website at <http://www.darpa.mil/work-with-us/contract-management> (under “Resources” on the right-hand side of the webpage). All tabs and tables in the cost proposal spreadsheet should be developed in an editable format with calculation formulas intact to allow traceability of the cost proposal. This cost proposal spreadsheet should be used by the prime organization and all subcontractors. In addition to using the cost proposal spreadsheet, the cost proposal still must include all other items required in this announcement that are not covered by the editable spreadsheet. Subcontractor cost proposal spreadsheets may be submitted directly to the Government by the proposed subcontractor via e-mail to the address in Part I of this solicitation. **Using the provided cost proposal spreadsheet will assist the Government in a rapid analysis of your proposed costs and, if your proposal is selected for a potential award, speed up the negotiation and award execution process.**

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

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

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

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

(1) Direct Labor: Provide labor categories, rates and hours. Justify rates by providing examples of equivalent rates for equivalent talent, past commercial or

Government rates from a Government audit agency such as the Defense Contract Audit Agency (DCAA), the Office of Naval Research (ONR), the Department of Health and Human Services (DHHS), etc.

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

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

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

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

The proposer is responsible for the compilation and submission of all subcontractor/consultant cost proposals. At a minimum, the submitted cost volume must contain a copy of each subcontractor or consultant non-proprietary cost elements (i.e. rates, factors, etc.). Proprietary subcontractor/consultant cost proposals should be included as part of Volume 2.

If proprietary subcontractor/consultant cost proposals are not included as part of Volume 2, they shall be emailed separately to HR001122S0003@darpa.mil. Email messages must include "Subcontractor Cost Proposal" in the subject line and identify the principal investigator, prime proposer organization and proposal title in the body of the message.

Please note that a Rough Order of Magnitude (ROM) or similar budgetary estimate does not constitute a fully qualified subcontract cost proposal and therefore submission of such will result in the entire prime proposal being deemed non-compliant.

(6) Other Direct Costs (ODCs): ODCs, to include material and equipment, should be itemized with costs. Proposer must provide supporting rationale justifying the relevancy of the items to the proposed project and explain how the proposed costs/budget was developed. More specifically, equipment costs must be justified with supporting documentation (i.e., vendor quote, past/recent purchase order, catalog price lists, etc.).

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

(1) Proposals exceeding the Certification of Cost or Pricing Threshold:

Provide “certified cost or pricing data” (as defined in FAR 2.101) or a request for exception in accordance with FAR 15.403. Please note: (a) “Cost or Pricing Data” as defined in FAR 15.403-4 shall be required if the proposer is seeking a procurement contract per the referenced threshold, unless the proposer requests and is granted an exception from the requirement to submit cost or pricing data. Per DoD Class Deviation 2022-O0001, dated 07 October 2021, the threshold for obtaining certified cost and pricing data is \$2,000,000. Per DFARS 215.408(5), DFARS 252.215-7009, Proposal Adequacy Checklist, applies to all proposers/proposals seeking a FAR-based award (contract).

(b) In accordance with DFARS 215.403-1(4)(D), DoD has waived cost or pricing data requirements for nonprofit organizations (including educational institutions) on cost-reimbursement-no-fee contracts. In such instances where the waiver stipulated at DFARS 215.403-1(4)(D) applies, proposers shall submit information other than cost or pricing data to the extent necessary for the Government to determine price reasonableness and cost realism; and cost or pricing data from subcontractors that are not nonprofit organizations when the subcontractor’s proposal exceeds the cost and pricing data threshold at FAR 15.403-4(a)(1).

(c) Per Section 873 of the FY2016 National Defense Authorization Act (Pub L. 114-92), “Pilot Program For Streamlining Awards For Innovative Technology Projects,” small businesses and nontraditional defense contractors (as defined therein) are alleviated from submission of certified cost and pricing data for new contract awards valued at less than \$7,500,000. In such instances where this “waiver” applies, proposers seeking a FAR-based contract shall submit information other than certified cost or pricing data to the extent necessary for the Government to determine price reasonableness and cost realism; and certified cost or pricing data from subcontractors that are not small businesses or nontraditional defense contractors when such subcontract proposals exceed the cost and pricing data threshold at FAR 15.403-4(a)(1).

(d) “Cost or pricing data” are not required if the proposer proposes an award instrument other than a procurement contract (i.e., cooperative agreement, grant, or other transaction).

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

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

v. Proposals Requesting an Other Transaction for Prototypes (OT) Agreement:

Proposers must indicate whether they qualify as a nontraditional Defense contractor⁵, have teamed with a nontraditional Defense contractor, or are providing a one-third cost share for this effort. Provide information to support the claims.

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

3. 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. Prior to sending any classified submissions, performers must provide advance notification to the BAA Coordinator via HR001122S0003@darpa.mil and the I2O Program Security Officer (PSO) at I2OSecurity@darpa.mil.

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

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 business days after notification that a proposal was not selected.

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

⁵ For definitions and information on OT agreements see <http://www.darpa.mil/work-with-us/contract-management#OtherTransactions>.

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

b. Security Information

DARPA anticipates that submissions received under this BAA will be unclassified. However, should a proposer wish to submit classified information, an unclassified email must be sent to the BAA and I2O Security mailbox requesting submission instructions from the I2O PSO.

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

Classified submissions shall be transmitted in accordance with the following guidance. Additional information on the subjects discussed in this section may be found at <https://www.dcsa.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].*”

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 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 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.

C. Submission Dates and Times

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

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

For proposal submissions requesting grants/cooperative agreements, Section IV.D.1.c, you may request your control number via email at HR001122S0003@darpa.mil. Please note that the control number will not be issued until after the proposal due date and time.

Failure to comply with the submission procedures outlined herein may result in the submission being found non-compliant.

Abstracts may be submitted at any time while this BAA is open but must be submitted, per the instructions outlined herein, and received by DARPA no later than September 23, 2022 at 12:00 noon (ET). Abstracts received after this date and time will not be reviewed

1. Abstracts

Abstracts may be submitted at any time while this BAA is open but must be submitted, per the instructions outlined herein, and received by DARPA no later than **September 23, 2022 at 12:00 noon (ET)**. Abstracts received after this date and time will not be reviewed.

2. Proposals

The proposal package -- full proposal (Volumes 1 and 2) and, as applicable, proprietary subcontractor cost proposals, classified appendices to unclassified proposals -- may be submitted at any time while this BAA is open but must be submitted, per the instructions outlined herein and received by DARPA no later than **October 28, 2022 at 12:00 noon (ET)**. Proposal submissions received after this date and time will not be reviewed.

D. Other Submission Requirements

1. Unclassified Submission Instructions

Proposers must submit all parts of their submission package using the same method; submissions cannot be sent in part by one method and in part by another method nor should duplicate submissions be sent by multiple methods. Emailed submissions of abstracts or full proposals will not be accepted.

a. Abstracts

DARPA/I2O will employ an electronic upload submission system (<https://baa.darpa.mil/>) for all UNCLASSIFIED abstract responses under this solicitation.

First time users of the DARPA BAA Submission Website must complete a two-step account creation process at <https://baa.darpa.mil/>. The first step consists of registering for an Extranet account by going to the above URL and selecting the “Account Request” link on the right side of the page, using the Chrome browser. Upon completion of the online form, proposers will receive two separate emails; one will contain a user name and the second will provide a temporary password. Once both emails have been received, proposers must go back to the submission website and log in using that user name and password. After accessing the Extranet, proposers must create a user account for the DARPA BAA

Submission Website by selecting the “Register Your Organization” link at the top of the page. The DARPA BAA Submission Website will display a list of solicitations open for submissions. Once a proposer’s user account is created, they may view instructions on uploading their abstract.

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

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

Please note that all submissions MUST be finalized, meaning that no further editing will be possible, when submitting through the DARPA BAA Submission Website in order for DARPA to be able to review your submission. If a submission is not finalized, the submission will not be accepted nor reviewed.

Website technical support may be reached at Action@darpa.mil and is typically available during regular business hours (9:00 AM – 5:00 PM ET, Monday-Friday). Questions regarding submission contents, format, deadlines, etc. should be emailed to HR001122S0003@darpa.mil.

Since abstract submitters may encounter heavy traffic on the web server, they should not wait until the day abstracts are due to request an account and/or upload the submission.

Abstracts should not be submitted via Email or Grants.gov. Any abstracts submitted by Email or Grants.gov will not be accepted or reviewed.

b. Proposals Requesting a Procurement Contract or Other Transaction

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

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

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

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

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

Website technical support may be reached at Action@darpa.mil and is typically available during regular business hours (9:00 AM – 5:00 PM ET, Monday-Friday). Questions regarding submission contents, format, deadlines, etc. should be emailed to HR001122S0003@darpa.mil.

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

c. Proposals Requesting a Grant or Cooperative Agreement

Proposers requesting grants or cooperative agreements must submit proposals through one of the following methods: (1) electronic upload per the instructions at <https://www.grants.gov/applicants/apply-for-grants.html> (DARPA-preferred); or (2) hard-copy mailed directly to DARPA. If proposers intend to use Grants.gov as their means of submission, then they must submit their entire proposal through Grants.gov; applications cannot be submitted in part to Grants.gov and in part as a hard-copy. Proposers using Grants.gov do not submit hard-copy proposals in addition to the Grants.gov electronic submission.

Grants.gov requires proposers to complete a one-time registration process before a proposal can be electronically submitted. If proposers have not previously registered, this process can take between three (3) business days and four weeks if all steps are not completed in a timely manner. See the Grants.gov user guides and checklists at <https://www.grants.gov/web/grants/applicants.html> for further information.

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

successfully submitted their proposal and Grants.gov will notify DARPA. Once the proposal is retrieved by DARPA, Grants.gov will send a third email to notify the proposer. If requested by the proposer, a DARPA proposal control number for the grant/cooperative agreement submission can be provided following the due date and time for the proposals. This control number should be used in all further correspondence regarding this submission.

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

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

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

Submissions: In addition to the volumes and corresponding attachments requested elsewhere in this solicitation, proposers must also submit the three forms listed below.

Form 1: SF 424 Research and Related (R&R) Application for Federal Assistance, available on the Grants.gov website at https://apply07.grants.gov/apply/forms/sample/RR_SF424_2_0-V2.0.pdf. *This form must be completed and submitted.*

To evaluate compliance with Title IX of the Education Amendments of 1972 (20 U.S.C. § 1681 et.seq.), the Department of Defense (DoD) is collecting certain demographic and career information to be able to assess the success rates of women who are proposed for key roles in applications in science, technology, engineering or mathematics disciplines. In addition, the National Defense Authorization Act (NDAA) for FY 2019, Section 1286, directs the Secretary of Defense to protect intellectual property, controlled information, key personnel, and information about critical technologies relevant to national security and limit undue influence, including foreign talent programs by countries that desire to exploit United States' technology within the DoD research, science and technology, and innovation enterprise. This requirement is necessary for all research and research-related educational activities. The DoD is using the two forms below to collect the necessary information to satisfy these requirements. Detailed instructions for each form are available on Grants.gov.

Form 2: The Research and Related Senior/Key Person Profile (Expanded) form, available on the Grants.gov website at https://apply07.grants.gov/apply/forms/sample/RR_KeyPersonExpanded_3_0-V3.0.pdf, will be used to collect the following information for all senior/key personnel, including Project Director/Principal Investigator and Co-Project Director/Co-Principal Investigator, whether or not the individuals' efforts under the project are funded by the DoD. The form includes 3 parts: the main form administrative information, including the Project Role, Degree Type and Degree Year; the biographical sketch; and the current and pending support. The biographical sketch and current and pending support are to be provided as attachments:

- Biographical Sketch: Mandatory for Project Directors (PD) and Principal Investigators (PI), optional, but desired, for all other Senior/Key Personnel. The biographical sketch should include information pertaining to the researchers:

- Education and Training.
- Research and Professional Experience.
- Collaborations and Affiliations (for conflict of interest).
- Publications and Synergistic Activities.
- Current and Pending Support: Mandatory for all Senior/Key Personnel including the PD/PI. This attachment should include the following information:
 - A list of all current projects the individual is working on, in addition to any future support the individual has applied to receive, regardless of the source.
 - Title and objectives of the other research projects.
 - The percentage per year to be devoted to the other projects.
 - The total amount of support the individual is receiving in connection to each of the other research projects or will receive if other proposals are awarded.
 - Name and address of the agencies and/or other parties supporting the other research projects
 - Period of performance for the other research projects.

Additional senior/key persons can be added by selecting the “Next Person” button at the bottom of the form. Note that, although applications without this information completed may pass Grants.gov edit checks, if DARPA receives an application without the required information, DARPA may determine that the application is incomplete and may cause your submission to be rejected and eliminated from further review and consideration under the solicitation. DARPA reserves the right to request further details from the applicant before making a final determination on funding the effort.

Form 3: Research and Related Personal Data, available on the Grants.gov website at https://apply07.grants.gov/apply/forms/sample/RR_PersonalData_1_2-V1.2.pdf. *Each applicant must complete the name field of this form, however, provision of the demographic information is voluntary. Regardless of whether the demographic fields are completed or not, this form must be submitted with at least the applicant’s name completed.*

Technical support for the Grants.gov website may be reached at 1-800-518-4726 and support@grants.gov. Questions regarding submission contents, format, deadlines, etc. should be emailed to HR001122S0003@darpa.mil.

Countering Foreign Influence Program (CFIP)

DARPA’s CFIP is an adaptive risk management security program designed to help protect the critical technology and performer intellectual property associated with DARPA’s research projects by identifying the possible vectors of undue foreign influence. The CFIP team will create risk assessments of all proposed Senior/Key Personnel selected for negotiation of a fundamental research grant or cooperative agreement award. The CFIP risk assessment process will be conducted separately from the DARPA scientific review process and adjudicated prior to final award.

d. Proposals Requesting a Technology Investment Agreement

Proposers requesting Technology Investment Agreements (TIA) awarded under 10 U.S.C. 2371 must include the completed form indicated below. This requirement only applies only to those who expect to receive a TIA as their ultimate award instrument.

The National Defense Authorization Act (NDAA) for FY 2019, Section 1286, directs the Secretary of Defense to protect intellectual property, controlled information, key personnel, and information about critical technologies relevant to national security and limit undue influence, including foreign talent programs by countries that desire to exploit United States' technology within the DoD research, science and technology, and innovation enterprise. This requirement is necessary for all research and research-related educational activities. The DoD is using the form below to collect the necessary information to satisfy these requirements.

The Research and Related Senior/Key Person Profile (Expanded) form, available on the Grants.gov website at https://apply07.grants.gov/apply/forms/sample/RR_KeyPersonExpanded_3_0-V3.0.pdf, will be used to collect the following information for all senior/key personnel, including Project Director/Principal Investigator and Co-Project Director/Co-Principal Investigator, whether or not the individuals' efforts under the project are funded by the DoD. The form includes 3 parts: the main form administrative information, including the Project Role, Degree Type and Degree Year; the biographical sketch; and the current and pending support. The biographical sketch and current and pending support are to be provided as attachments:

- Biographical Sketch: Mandatory for Project Directors (PD) and Principal Investigators (PI), optional, but desired, for all other Senior/Key Personnel. The biographical sketch should include information pertaining to the researchers:
 - Education and Training.
 - Research and Professional Experience.
 - Collaborations and Affiliations (for conflict of interest).
 - Publications and Synergistic Activities.
- Current and Pending Support: Mandatory for all Senior/Key Personnel including the PD/PI. This attachment should include the following information:
 - A list of all current projects the individual is working on, in addition to any future support the individual has applied to receive, regardless of the source.
 - Title and objectives of the other research projects.
 - The percentage per year to be devoted to the other projects.
 - The total amount of support the individual is receiving in connection to each of the other research projects or will receive if other proposals are awarded.
 - Name and address of the agencies and/or other parties supporting the other research projects
 - Period of performance for the other research projects.

Additional senior/key persons can be added by selecting the “Next Person” button at the bottom of the form. Note that, although applications without this information completed may pass Grants.gov edit checks, if DARPA receives an application without the required information, DARPA may determine that the application is incomplete and may cause your

submission to be rejected and eliminated from further review and consideration under the solicitation. DARPA reserves the right to request further details from the applicant before making a final determination on funding the effort.

2. Classified Submission Instructions

Classified materials must be submitted in accordance with the guidelines outlined herein and must not be submitted electronically by any means, including the electronic web-based system or Grants.gov, as described above. 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.

If submissions contain information previously classified by another Office of Contract Administration (OCA), proposers must also follow any applicable SCGs when transmitting their documents. Applicable classification guide(s) must be included to ensure the submission is protected at the appropriate classification level.

- **Confidential and 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 when submitting Confidential and/or Secret classified information.

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 Classified Document Registry (CDR). Prior to traveling, the courier shall contact the I2O PSO at I2OSecurity@darpa.mil 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: Information Innovation Office Program Security Officer
Reference: HR001122S0003
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

a. Top Secret (TS) Information

Use 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. 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 I2O PSO at I2OSecurity@darpa.mil to coordinate arrival and delivery.

b. 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 I2O PSO @ I2OSecurity@darpa.mil

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.

c. Special Access Program (SAP) Information

SAP information must be marked in accordance with DoDM 5205.07 Volume 4 and transmitted by specifically approved methods in accordance with DoD Manual 5205.07 Volume 1, which will be provided by the I2O PSO or their staff.

Proposers choosing to submit SAP information from an agency other than DARPA are required to provide the I2O 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 I2O PSO at I2OSecurity@darpa.mil.

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: All proposals containing Special Access Program (SAP) information must be processed on a SAP information technology (SAP IT) system that has received an Approval-to-Operate (ATO) from the I2O PSO, or other applicable DARPA SAP IT Authorizing Official. The SAP IT system ATO will be based upon the Risk Management Framework (RMF) process outlined in the Joint Special Access Program Implementation Guide (JSIG), current version, (or successor document).

(Note: A SAP IT system is any SAP IT system that requires an ATO. It can range from a single laptop/tablet up to a local and wide area networks.)

The Department of Defense mandates the use of a component's SAP enterprise system unless a compelling reason exists to use a non-enterprise system. The DARPA Chief Information Officer (CIO) must approve any performer proposal to acquire, build, and operate a non-enterprise SAP IT system during the awarded period of performance. Use of the DARPA SAP enterprise system, SAVANNAH, does not require CIO approval. SAP IT disposition procedures must be approved by the DARPA Senior Authorizing Official, or SAPCO, IAW the OSD SAPCO Memorandum, "Disposition of DoD Special Access Program Information Technology Devices," July 27, 2017.

V. Application Review Information

A. Evaluation Criteria

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

– *Overall Scientific and Technical Merit:*

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

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

Proposer should also take note to the information provided in Section I, as DARPA will also look at how a proposer addresses the technical challenges relevant to each thrust area (Proficient artificial intelligence; Advantage in cyber operations; Confidence in the information domain; Resilient, adaptable, and secure systems; or another novel software-based capability), as well as view how key personnel will work on those challenges.

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

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

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

– *Cost Realism:*

The proposed costs are realistic for the technical and management approach and accurately reflect the technical goals and objectives of the solicitation. The proposed costs are consistent with the proposer's Statement of Work and reflect a sufficient understanding of the costs and level of effort needed to successfully accomplish the proposed technical approach. The costs for the prime proposer and proposed subawardees are substantiated by the details provided in the proposal (e.g., the type and number of

labor hours proposed per task, the types and quantities of materials, equipment and fabrication costs, travel and any other applicable costs and the basis for the estimates).

B. Review and Selection Process

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

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

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

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

VI. Award Administration Information

A. Selection Notices

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

B. Administrative and National Policy Requirements

1. Intellectual Property

Proposers should note that the Government does not own the intellectual property of technical data/computer software developed under Government contracts; it acquires the right to use the

technical data/computer software. Regardless of the scope of the Government's rights, performers may freely use their same data/software for their own commercial purposes (unless restricted by U.S. export control laws or security classification). Therefore, technical data and computer software developed under this solicitation will remain the property of the performers, though DARPA desires to have a minimum of Government Purpose Rights (GPR) to noncommercial technical data/computer software developed through DARPA sponsorship.

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

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

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

a. Intellectual Property Representations

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

b. Patents

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

c. Procurement Contracts

- **Noncommercial Items (Technical Data and Computer Software):** Proposers requesting a procurement contract must list all noncommercial technical data and computer software that it plans to generate, develop, and/or deliver, in which the Government will acquire less than unlimited rights and to assert specific restrictions on those deliverables. In the event a proposer does not submit the list,

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

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

d. Other Types of Awards

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

2. Human Subjects Research (HSR)/Animal Use

Proposers that anticipate involving human subjects or animals in the proposed research must comply with the approval procedures detailed at <http://www.darpa.mil/work-with->

[us/additional-baa](#), to include providing the information specified therein as required for proposal submission.

3. Electronic and Information Technology

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

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

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

International entities can register in SAM by following the instructions in this link: https://www.fsd.gov/sys_attachment.do?sys_id=c08b64ab1b4434109ac5ddb6bc4bcbb8.

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

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

5. Publication of Grant Awards

Per Section 8123 of the Department of Defense Appropriations Act, 2015 (Pub. L. 113-235), all grant awards must be posted on a public website in a searchable format. To comply with this requirement, proposers requesting grant awards must submit a maximum one (1) page abstract that may be publicly posted and explains the program or project to the public. The proposer should sign the bottom of the abstract confirming the information in the abstract is approved for public release. Proposers are advised to provide both a signed PDF copy, as well as an editable (e.g., Microsoft word) copy. Abstracts contained in grant proposals that are not selected for award will not be publicly posted.

C. Reporting

1. Technical and Financial Reports

The number and types of technical and financial reports required under the applicable award instrument will be specified in the award document, and will include, at a minimum,

monthly financial status reports and a yearly status summary. A final report that summarizes the project and tasks will be required at the conclusion of the performance period for the award. The reports shall be prepared and submitted in accordance with the procedures contained in the award document.

2. Representations and Certifications

In accordance with FAR 4.1102 and 4.1201, proposers requesting a procurement contract must complete electronic annual representations and certifications at <https://www.sam.gov/>. In addition, all proposers are required to submit for all award instrument types supplementary DARPA-specific representations and certifications at the time of proposal submission. See <http://www.darpa.mil/work-with-us/rebs-certs> for further information on required representation and certification depending on your requested award instrument.

3. Wide Area Work Flow (WAWF)

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

4. Terms and Conditions

For terms and conditions specific to grants and/or cooperative agreements, see the DoD General Research Terms and Conditions (latest version) at <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/grants-proposal/grants-terms-conditions> and the supplemental DARPA-specific terms and conditions at <http://www.darpa.mil/work-with-us/contract-management#GrantsCooperativeAgreements>.

5. Solicitation Provisions and Award Clauses, Terms and Conditions

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

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

6. i-Edison

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

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

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

VII. Agency Contacts

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

- **Technical POC:** BAA Coordinator, DARPA/I2O
- **Email:** HR001122S0003@darpa.mil
- **Mailing address:**
 DARPA/I2O
 ATTN: HR001122S0003
 675 North Randolph Street
 Arlington, VA 22203-2114
- **I2O Solicitation Website:**
<http://www.darpa.mil/work-with-us/opportunities?tFilter=&oFilter=3&sort=date>

VIII. Other Information

A. Frequently Asked Questions (FAQs)

Administrative, technical, and contractual questions should be sent via email to HR001122S0003@darpa.mil. All questions must be in English and must include the name, email address, and the telephone number of a point of contact.

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

B. Protests

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

C. Submission Checklist

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

✓	Item	BAA Section	Applicability	Comment
	Abstract	IV.B.1	Optional, but recommended	Conform to stated page limit.
	Obtain DUNS number	IV.B.2.a.i	Required of all proposers	The DUNS Number is the Federal Government's contractor identification code for all procurement-related activities. See http://fedgov.dnb.com/webform/index.jsp to request a DUNS number. Note: requests may take at least one business day.
	Obtain Taxpayer Identification Number (TIN)	IV.B.2.a.i	Required of all proposers	A TIN is used by the Internal Revenue Service in the administration of tax laws. See https://www.irs.gov/Individuals/International-Taxpayers/Taxpayer-Identification-Numbers-TIN for information on requesting a TIN. Note: requests

✓	Item	BAA Section	Applicability	Comment
				may take from 1 business day to 1 month depending on the method (online, fax, mail).
	Register in the System for Award Management (SAM)	VI.C.5	Required of all proposers	The SAM combines Federal procurement systems and the Catalog of Federal Domestic Assistance into one system. See https://sam.gov/portal/SAM/##11#1 for information and registration. Note: new registrations can take an average of 7-10 business days. SAM registration requires the following information: -DUNS number -TIN -CAGE Code. A CAGE Code identifies companies doing or wishing to do business with the Federal Government. If a proposer does not already have a CAGE code, one will be assigned during SAM registration. -Electronic Funds Transfer information (e.g., proposer's bank account number, routing number, and bank phone or fax number).
	Ensure eligibility of all team members	III	Required of all proposers	Verify eligibility, as applicable, for in accordance with requirements outlined in Section 3.
	Register at Grants.gov	IV.D.1.c	Required for proposers requesting grants or cooperative agreements	Grants.gov requires proposers to complete a one-time registration process before a proposal can be electronically submitted. If proposers have not previously registered, this process can take between three business days and four weeks if all steps are not completed in a timely manner. See the Grants.gov user guides and checklists at https://www.grants.gov/web/grants/applicants.html for further information.

The following items apply as part of the submission package:

✓	Item	BAA Section	Applicability	Comment
	Volume 1 (Technical and Management Proposal)	IV.B.2	Required of all proposers	Conform to stated page limits and formatting requirements. Include all requested information.
	Appendix A	IV.B.2.a.xi	Required of all proposers	-Team member identification -Government/FFRDC team member proof of eligibility - Organizational conflict of interest affirmations - Intellectual property assertions - Human subjects research - Animal use - Unpaid delinquent tax liability/felony conviction representations -CASB disclosure, if applicable
	Appendix B	IV.B.2.a.xii	Optional of all proposers	- Appendix B does not count against the page limit - A brief bibliography to relevant papers, reports, or resumes - Do not include technical papers - The materials in Appendix B will not be evaluated as part of the proposal review
	Volume 2 (Cost Proposal)	IV.B.2.b	Required of all proposers	- Cover Sheet - Cost summary - Detailed cost information including justifications for direct labor, indirect costs/rates, materials/equipment, subcontractors/consultants,

✓	Item	BAA Section	Applicability	Comment
				travel, ODCs - Cost spreadsheet file (.xls or equivalent format) - If applicable, list of milestones for 845 OTs - Subcontractor plan, if applicable Subcontractor cost proposals - Itemized list of material and equipment items to be purchased with vendor quotes or engineering estimates for material and equipment more than \$50,000 - Travel purpose, departure/arrival destinations, and sample airfare
	PowerPoint Summary Slide	IV.B.2.d	Required of all proposers	A template PowerPoint slide will be provided on the Beta.Sam.Gov website as an attachment. Submit the PowerPoint file (do not convert PowerPoint file to pdf format).
	<u>Representations and Certifications</u>	VI.D.2	Required of all proposers	Submit supplementary DARPA-specific representations and certifications at the time of proposal submission. See http://www.darpa.mil/work-with-us/rep-cert for further information on required representation and certification depending on your requested award instrument.