



Broad Agency Announcement
Upward Falling Payloads (UFP)
STRATEGIC TECHNOLOGY OFFICE
DARPA-BAA-13-17
January 11, 2013

TABLE OF CONTENTS

Part One: Overview Information4

Part Two: Full Text of Announcement5

1. FUNDING OPPORTUNITY DESCRIPTION.....5

1.1.1 Program Phases..... 6

1.1.2 Phase 1..... 6

1.1.3 Phase 2..... 9

1.4.1 Phase 3..... 9

1.2 PROGRAM METRICS..... 10

2. AWARD INFORMATION10

3. ELIGIBILITY INFORMATION12

3.1 ELIGIBLE APPLICANTS 12

**3.1.1 Procurement Integrity, Standards of Conduct, Ethical Considerations, and
 Organizational Conflicts of Interest..... 13**

3.2 COST SHARING/MATCHING 13

3.3 OTHER ELIGIBILITY REQUIREMENTS..... 13

3.3.1 Collaborative Efforts 13

4. APPLICATION AND SUBMISSION INFORMATION14

4.1 ADDRESS TO REQUEST APPLICATION PACKAGE 14

4.2 SECURITY AND PROPRIETARY ISSUES 14

4.3 CONTENT AND FORM OF APPLICATION SUBMISSION 16

4.3.1 Abstract and Proposal Information 16

4.3.2 Restrictive Markings on Proposals..... 18

4.4 FORMATTING CHARACTERISTICS..... 18

4.4.1 Proposal Abstract Format (If applicable)..... 18

4.4.2 Proposal Format..... 20

4.5 SUBMISSION DATES AND TIMES..... 26

4.5.1 Abstract and Proposal Submission Deadline 26

4.6 INTERGOVERNMENTAL REVIEW 26

Not Applicable..... 26

4.7 FUNDING RESTRICTIONS..... 26

4.8 OTHER SUBMISSION REQUIREMENTS 26

Not applicable..... 26

5. APPLICATION REVIEW INFORMATION26

5.1 EVALUATION CRITERIA 27

5.1.1 Overall Scientific and Technical Merit 27

5.1.2 Potential Contribution and Relevance to the DARPA Mission 27

5.1.3 Proposer’s Capabilites and/or Related Experience 27

5.1.4 Cost Realism 28

5.2 REVIEW AND SELECTION PROCESS 28

6. Award Administration Information..... 29

6.1 SELECTION NOTICES	29
6.2 ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS.....	29
6.2.1 Meeting and Travel Requirements.....	29
6.2.2 Human Use	29
6.2.3 Animal Use.....	30
6.2.4 Publication Approval.....	31
6.2.5 Export Control	32
6.2.6 Subcontracting	33
6.2.7 Electronic and Information Technology.....	33
6.2.8 Employment Eligibility Verification.....	33
6.2.9 System for Award Management Registration and Universal Identifier Requirements.....	34
6.2.10 Reporting Executive Compensation and First-Tier Subcontract Awards	34
6.2.11 Updates of Information Regarding Responsibility Matters.....	34
6.2.12 Representation by Corporations Regarding Unpaid Delinquent Tax Liability or a Felony Conviction Under Any Federal Law.....	34
6.2.13 Cost Accounting Standards Notice and Certification.....	35
6.2.14 Controlled Unclassified Information on Non-DoD Information Systems	35
6.2.15 Providing Accelerated Payment to Small Business Subcontractors (DEVIATION).....	35
6.3 REPORTING	36
6.4 ELECTRONIC SYSTEMS.....	36
6.4.1 Representations and Certifications	36
6.4.2 Wide Area Work Flow (WAWF).....	36
6.4.3 i-EDISON.....	36
7. Other Information	37
7.1 INTELLECTUAL PROPERTY	37
7.1.1 Procurement Contract Proposers.....	37
7.1.2 NonProcurement Contract Proposers.....	38
8. APPENDIX 1: PROPOSAL SLIDE SUMMARY	40
9. APPENDIX 2: FOUO ADDENDUM AND SECURITY GUIDE REQUEST FORM AND DD 254.....	43
10. APPENDIX 3: Volume 1 cover sheet template	45
11. APPENDIX 4: Volume 2 cover sheet, CHECKLIST AND SAMPLE templateS.....	47
12. APPENDIX 5: CONCEPTUAL DESIGN REVIEW	55

Part One: Overview Information

- **Federal Agency Name** – Defense Advanced Research Projects Agency (DARPA), Strategic Technology Office (STO)
- **Funding Opportunity Title** – Upward Falling Payloads (UFP)
- **Announcement Type** – Initial announcement
- **Funding Opportunity Number** – Broad Agency Announcement (BAA) 13-17
- **Catalog of Federal Domestic Assistance Numbers (CFDA)** - “Not applicable.”
- **Dates**
 - Posting Date: January 11, 2013
 - Proposal Abstract Due Date: February 5, 2013
 - Proposal Due Date: March 12, 2013
 - BAA Closing Date: July 12, 2013
 - Proposers Day: January 25, 2013

Link to Proposers Day Announcement:

https://www.fbo.gov/index?s=opportunity&mode=form&id=1e555e8ec3787f793fa4d34810159ac8&tab=core&_cview=0

- **Agency contact**

The BAA Coordinator for this effort may be reached by electronic mail: DARPA-BAA-13-17@darpa.mil.
DARPA/STO
ATTN: DARPA-BAA-13-17
675 North Randolph Street
Arlington, VA 22203-2114

Part Two: Full Text of Announcement

1. FUNDING OPPORTUNITY DESCRIPTION

The Defense Advanced Research Projects Agency often selects its research efforts through the Broad Agency Announcement (BAA) process. The BAA will appear first on the FedBizOpps website, <http://www.fbo.gov/>. The following information is for those wishing to respond to the BAA.

DARPA is soliciting innovative research proposals in the area of distributed unmanned sensors and systems for maritime applications. Proposed research should investigate innovative approaches that enable revolutionary advances in science, devices, or systems. Specifically excluded is research that primarily results in evolutionary improvements to the existing state of practice.

1.1 PROGRAM OVERVIEW

Cost and complexity limit the number of ships and weapon systems the Navy can support in forward operating areas. This concentration of force structure is magnified as areas of contested environments grow. A natural response is to develop lower-cost unmanned and distributed systems that can deliver effects and situation awareness at a distance. However, power and logistics to deliver these systems over vast ocean areas limit their utility. The Upward Falling Payload (UFP) program intends to overcome these barriers.

UFP will realize a new approach to enable forward deployed unmanned distributed systems that can provide non-lethal effects or situation awareness over large maritime areas. However, the intended approach averts solutions to deploy technology from legacy platforms, or grow the complexity and reach of unmanned systems. Rather, the UFP approach centers on pre-deploying deep-ocean nodes years in advance in forward areas which can be commanded from standoff to launch to the surface. Nearly 50% of the world's oceans are deeper than 4 km which provides a vast area for concealment and storage. As a consequence, the cost to retrieve UFP nodes is asymmetric with the likely cost to produce and distribute them on the seafloor. The concealment of the sea also provides opportunity to surprise maritime targets from below, while its vastness provides opportunity to simultaneously operate across great distances. Getting close to targets without warning, and instantiating distributed systems without delay, are key attributes of UFP capability.

To succeed, the UFP program must be able to demonstrate a system that can: (a) Survive for years under extreme pressure, (b) Reliably be triggered from standoff commands, and (c) Rapidly rise through the water column and deploy a non-lethal payload. Section 1.2, and the limited distribution Metrics Addendum, quantify capability metrics. A multi-phase program is envisioned to design, develop, and demonstrate UFP nodes that overcome these hurdles.

The UFP system is envisioned to consist of three key subsystems: The 'payload' which executes waterborne or airborne applications after begin deployed to the surface; the UFP 'riser' which provides pressure tolerant encapsulation and launch of the payload; and the UFP

communications which triggers the UFP riser to launch. Ideally, these subsystems can be decoupled and separately developed. As such, while the program will need to integrate all three subsystems before completion, the BAA is structured to accept proposals to design and develop single subsystems. Proposals that limit flexibility to integrate subsystems will need clear justification to merit favorable consideration.

For proposals to be considered, eligible proposers (primes) must have evidence of the capability to conduct secret level research at the date of issue for this BAA.

1.1.1 Program Phases

Proposers should bid separable efforts: a base effort referred to as Phase 1, and notional efforts referred to as Phase 2 and Phase 3. Abstract submissions are encouraged prior to submission of full proposals. (More information about Abstracts is found in Section 4.3).

Phase 1 should lead to conceptual designs (see Appendix 5) and feasibility assessments supported through trade studies, analysis, and experimental measurements as needed. The feasibility to achieve UFP communications will be key in deciding to continue with the program.

Phase 2 will serve to develop the major UFP subsystems capable of meeting intermediate metrics based on insights and conceptual designs from Phase 1. This phase should lead to the demonstration of a UFP riser with a payload (referred to as a UFP ‘node’) launched from an intermediate depth using surrogate or simulated communications. Separately, Phase 2 should demonstrate UFP communications capable of achieving intermediate coverage requirements using full depth receivers. Phase 2 subsystems should achieve technology readiness levels (TRL) of 4-5.

Phase 3 will serve to integrate the UFP communications and UFP nodes demonstrated in Phase 2. This integrated system should achieve full depth and communications capability. Performers will need to replicate a sufficient number of UFP nodes to demonstrate a distributed capability scalable to the coverage and endurance requirements of the program. Phase 3 UFP systems should achieve TRL 6.

Detailed cost proposals are required for Phase 1 in accordance with Section 4.4.2.2. Phase 1 should also include technical approaches for the notional Phase 2 and Phase 3 efforts. “Notional” implies that DARPA does not expect to initiate contractual options for Phase 2 and Phase 3 efforts in conjunction with Phase 1 awards. However, the technical approach for the follow-on effort will provide important context, and will be evaluated to ascertain the merits of the trajectory of the Phase 1 effort. Only a rough order of magnitude (ROM) cost proposal is required for notional Phase 2 and Phase 3 efforts.

1.1.2 Phase 1

For Phase 1, DARPA intends to make multiple awards. The expected period of performance is 9-12 months with expected awards anticipated to occur before June 30, 2013. Proposals should

describe approaches for trade analysis, technology assessment, and measurements that will show feasibility to justify follow-on development, and which will culminate in a conceptual design (see Appendix 5). Proposals are sought in three technical areas where each area maps to each of the three subsystems:

Technical Area 1: UFP Communications. Proposals should identify approach(es) for UFP communications, and plans to develop conceptual designs and performance expectations. This can be done with modeling, simulation, and measurements (archival or new) that serve to validate assumptions in link budgets. Given that the cost of a false trigger to launch a UFP may be high, proposals and subsequent studies should establish an operating point for true and false trigger probability. Proposals should describe the strategies and risks for achieving this operating point, and how the Phase 1 analysis will permit assessing the feasibility to retire these risks in Phase 2. Error rates will depend on the number of nodes and years of listening. Implicit in the UFP coverage requirement is the need to wake and trigger any node contained in the area. Overt communications that operate within the coverage area, and which are vulnerably exposed are acceptable but less attractive than methods that permit standoff from outside of the coverage area, or which have a low-probability of intercept. Approaches that are multi-modal, which allow for more than one method for commanding UFP nodes, and which are interoperable with a range of legacy systems are favored. However, such robustness should be balanced against growth in SWaP and cost. Conceptual designs should include key technology such as transmitters, UFP receivers, and methods for health monitoring.

Technical Area 2: UFP risers. Proposals should describe an approach leading to a conceptual design for payload encapsulation and efficient ascent (speed and slant) through the water column that is reliable after years of dormancy. Conceptual designs should strive to minimize integration needs by providing pressure-tolerant containment of 1-atm payloads. Payloads are expected to be self-contained units that fit in sizes from: A-size, <17” sphere, or other volumes and shapes. The overall UFP riser is expected to be larger than the payload size*. UFP risers should be designed to balance the flexibility of hosting a range of possible payloads against the UFP riser cost, ease of deployment, and capability to ascend. UFP risers are not required to provide power to the payloads or mechanisms for their further placement after delivery to the surface. Also, UFP risers need only include simple but well defined interfaces for wake up and health reporting. to a communications receiver subsystem (Technology Area 1). As UFP risers are part of a distributed system, the proposal should address strategies to trade cost, size, weight, and power (SWaP) to arrive at the conceptual design. Cost will constrain the number of UFPs affordably distributed to achieve the desired coverage. Size and weight will affect methods of launch to the surface and insertion to the seafloor.

Technical Area 3: UFP Payload. Proposals should identify a UFP payload with compelling military or humanitarian utility in forward maritime environments. Examples include waterborne or airborne cameras, sensors, decoys, network nodes, beacons, jammers, obscurants, or other useful technology possibly hosted by mobile, drifting, station-keeping, or fixed platforms. The proposal should outline planned trade analysis and assessment culminating in a conceptual design with estimated expected performance. Payloads are

expected to include, and be encapsulated, in a container of size: A-size, <17” sphere, or other dimension but need not be pressure tolerant*. They are also expected to reliably launch or operate after being released to the water surface after years of dormancy. As UFP payloads are part of a distributed system, the proposal should address trades in cost, size, weight, and power (SWaP), and number of payloads required to affordably achieve the desired coverage. Proposals should highlight expected performance and cost advantages of the payload application relative to current approaches (or technically feasible future variants). Applications that highlight the benefits of surprise, rapid distribution, or the ability to gain target proximity will be favored over those that do not since these applications uniquely benefit from the UFP approach. Payload applications and target details may vary widely, and proposals may draw upon classified data from a full range of classified sources. As such, proposals should cite sources of classification guidance used but not covered in the UFP security classification guide.

Proposals may include more than one technical area, but the technical and cost proposal should organized the effort into distinct and separable tasks. Any synergistic cost savings resulting from an award of more than one technical area should be summarized.

Proposals should describe any requirements for government-furnished data needed to conduct analysis, and the impact if not provided. The cost and ease by which the government can acquire the data will be a factor for evaluating the practicality of the proposed study.

Proposals should include planning to support a kickoff, mid-term, and final “principal investigator” (PI) meeting to share progress and plans with the government and other performers. Performers will not be required to share proprietary and budgeting information, but DARPA expects the exchange of classified information (secret) during such interactions. For estimation purposes, proposals should assume Phase 1 PI meetings will be held at DARPA.

Final reporting for Phase 1 must include: (1) A conceptual UFP conceptual subsystem(s) design document with supporting analysis and expected performance, (2) Interface and design requirements imposed across subsystems for integration, and (3) plans and requirements for future Phase 2 and Phase 3 development that address findings in Phase 1. The reporting may fall under one or multiple technical areas. Regardless of the scope of reporting, specific assumptions about critical dependencies between the major subsystems should be addressed.

Prior to the end of Phase 1, DARPA intends to issue an open BAA for Technical Area 3. For Technical Area 1 and 2, the intent is to solicit follow-on proposals for Phase 2 and 3 from the Phase 1 Technical Area 1 and 2 performers. However, the Government reserves the right to issue an open solicitation for follow-on effort in these technical areas if deemed in the best interest of the program. Phase 2 and Phase 3 proposals should not be proposed as a Phase 1 deliverable.

*Sizes are defined as follows:

1. “A-size” is a cylinder of inner diameter of 4 7/8” and length 36”.

1.1.3 Phase 2

The notional Phase 2 effort must be completed by Q2FY16. Proposals to this BAA for Technical Area 1 and Area 2 must describe the approach for designing and developing the conceptual designs realized in Phase 1. The proposed approach should include latitude to account for refinements based on findings from the Phase 1 effort.

The culmination of Phase 2 will lead to the demonstration of: (1) a communication subsystem capable of waking up UFP nodes from standoff, and (2) a UFP node launched from the seafloor. Intermediate Phase 2 requirements are found in the limited distribution Metrics Addendum. For planning purposes, proposals for Technical Area 2 (riser) should presume that DARPA will provide a payload (or equivalent surrogate) to be integrated into the UFP riser which should be demonstrated in Q3FY15 and in Q2FY16. No integration is planned between the UFP node and UFP communications subsystems during Phase 2. (Proposal for communication methods that are depth-independent may propose plans to command shallower-depth UFP nodes in Phase 2).

Phase 2 will involve at-sea testing for development and demonstration. Proposals must include descriptions of expected government-furnished equipment and services (GFE and GFS) needed to conduct any at-sea testing as well as ROM estimates for the government to procure such GFE and GFS. Performers must provide ships and procure or develop as much test equipment as needed where clear cost advantages do not exist for the government to procure such items separately.

While proposals may include a range of developmental testing, for planning purposes the government expects to support two major demonstration sea tests in the Western Pacific for Phase 2. Opportunities for at-sea testing in the Western Pacific are estimated to occur during Q3FY15 and Q2FY16. These tests will include one research vessel shared by multiple performers, and should be assumed as GFS. While Western Pacific testing is a likely venue, demonstrations in the Atlantic, off of Hawaii, or other areas may be adequate for some applications and more cost effective for the government. Performers should indicate and rationalize alternative testing venues for consideration if applicable.

Final reporting for the Phase 2 effort must include: Updated Phase 3 subsystem designs if any, updated Phase 3 plans for development, integration and demonstration, and a summary of Phase 2 testing results and lessons learned.

1.4.1 Phase 3

The notional Phase 3 effort should be completed by Q3FY17 and should serve to integrate all key subsystems. The technical approach should include latitude to account for refinements based on Phase 2 progress.

For Phase 3 effort, UFP nodes will need to operate at full depth, and communications will need to achieve the full coverage requirements. After integrating systems, the program will need to replicate UFP nodes to demonstrate a distributed capability. Proposals must clarify the ease with which integration is feasible without undue burden on the government. Proposals should describe

the proposer's capability to perform technology integration, and should highlight risks associated with dependencies between relevant subsystems.

Phase 3 will involve at-sea testing for development and demonstration. Proposals must include descriptions of government-furnished equipment and services (GFE and GFS) needed to conduct any at-sea testing. Performers must provide ships and procure or develop as much test equipment as needed where clear cost advantages do not exist for the government to procure such items separately.

While proposals may include a range of developmental testing, for estimation purposes the government expects to support at least one major sea test in the Western Pacific for Phase 3 in Q3FY17. While Western Pacific testing is a likely venue, demonstrations in the Atlantic, off of Hawaii, or other areas may be adequate for some applications. Performers should indicate and rationalize alternative testing venues for consideration if applicable.

At the completion of Phase 3, all hardware should be delivered to the government, and all final reports should provide detailed documentation for the government to assess capability and replicate the system technology.

1.2 PROGRAM METRICS

In order for the Government to evaluate the effectiveness of a proposed solution in achieving the stated program objectives, proposers should note that the Government hereby promulgates the following program metrics that may serve as the basis for determining whether satisfactory progress is being made to warrant continued funding of the program. Although the following program metrics are specified, proposers should note that the government has identified these goals with the intention of bounding the scope of effort, while affording the maximum flexibility, creativity, and innovation in proposing solutions to the stated problem.

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

Successful completion of the program will realize the ability to command UFP nodes stored in the deep ocean (> 6km) to deploy and create non-lethal effects, sensing, or other compelling functions of military or humanitarian utility to any point over a large coverage area supportive of regional operations with low latency (hours), and without notice, over an enduring system lifetime (years). A limited distribution Metrics Addendum to this BAA provides specific metrics. Qualified bidders should request the addendum by following instructions in Section 4.2 and review prior to submitting an abstract or proposal.

2. AWARD INFORMATION

Multiple awards are possible. The amount of resources made available under this BAA will depend on the quality of the proposals received and the availability of funds. Anticipated awards for Phase 1 are expected to be between \$500,000-\$1,000,000 for Technical Area 1, less than \$500,000 for Technical Area 2, and less than \$250,000 for Technical Area 3.

For Phase 2, DARPA expects, but is not bound, to award \$27M across all awards. For Phase 3, DARPA expects, but is not bound, to award \$20M across all awards. These estimates include awards across all three technical areas. Proposals are not constrained to the limits of expected funds, and should not constrain ambitious and compelling proposals. However, additional burden is on the proposer to make the case for exceeding these expectations. Technical and cost proposals should organize planned effort into separable tasks to maximize flexibility in awarding contracts while identifying any synergistic cost savings resulting from an award of more than one technical area.

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

Awards under this BAA will be made to proposers on the basis of the evaluation criteria listed below (see section labeled “Application Review Information”, Sec. 5.), and program balance to provide overall value to the Government. Proposals identified for negotiation may result in a procurement contract depending upon the nature of the work proposed, the required degree of interaction between parties, and other factors. The Government reserves the right to request any additional, necessary documentation once it makes the award instrument determination. Such additional information may include but is not limited to Representations and Certifications. The Government reserves the right to remove proposers from award consideration should the parties fail to reach agreement on award terms, conditions and cost/price within a reasonable time or the proposer fails to timely provide requested additional information.

As of the date of publication of this BAA, DARPA expects that program goals for this BAA cannot be met by proposers intending to perform 'fundamental research,' i.e., 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. Therefore, DARPA anticipates restrictions on the resultant research. Notwithstanding this statement of expectation, DARPA recognizes that proposed research solutions could be of either a fundamental or restricted nature. Proposers should indicate in their proposal whether they believe the nature of the research included in their proposal is fundamental or restricted, with the understanding that in all cases, the DARPA contracting officer shall have sole discretion to select award instrument type and to negotiate all instrument provisions with selectees. See Section 6.2.4 for further information on fundamental, non-fundamental and restricted research.

3. ELIGIBILITY INFORMATION

3.1 ELIGIBLE APPLICANTS

All responsible sources capable of satisfying the Government's needs may submit a proposal that shall be considered by DARPA. Historically Black Colleges and Universities (HBCUs), Small Businesses, Small Disadvantaged Businesses and Minority Institutions (MIs) are encouraged to submit proposals and join others in submitting proposals; however, no portion of this announcement will be set aside for these organizations' participation due to the impracticality of reserving discrete or severable areas of this research for exclusive competition among these entities.

Federally Funded Research and Development Centers (FFRDCs) and Government entities (Government/National laboratories, military educational institutions, etc.) are subject to applicable direct competition limitations and cannot propose to this BAA in any capacity unless they address the following conditions. FFRDCs must clearly demonstrate that the proposed work is not otherwise available from the private sector AND must also provide a letter on letterhead from their sponsoring organization citing the specific authority establishing their eligibility to propose to government solicitations and compete with industry, and compliance with the associated FFRDC sponsor agreement and terms and conditions. This information is required for FFRDCs proposing to be prime or subcontractors. 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 (as well as, where relevant, contractual authority) establishing their ability to propose to Government solicitations. At the present time, DARPA does not consider 15 U.S.C. 3710a to be sufficient legal authority to show eligibility. 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 eligibility submissions on a case-by-case basis; however, the burden to prove eligibility for all team members rests solely with the Proposer.

Foreign participants and/or individuals may participate to the extent that such participants comply with any necessary Non-Disclosure Agreements, Security Regulations, Export Control Laws, and other governing statutes applicable under the circumstances. See Section 4.2 "Security and Proprietary Issues" regarding the proposers capabilities to perform research and development at the classification level they propose.

Applicants considering classified submissions (or requiring access to classified information during the life-cycle of the program) shall ensure all industrial, personnel, and information system processing security requirements are in place and at the appropriate level (e.g., Facility Clearance (FCL), Personnel Security Clearance (PCL), certification and accreditation (C&A)) and any Foreign Ownership Control and Influence (FOCI) issues are mitigated prior to such submission or access. Additional information on these subjects can be found at: www.dss.mil.

3.1.1 Procurement Integrity, Standards of Conduct, Ethical Considerations, and Organizational Conflicts of Interest

Current federal employees are prohibited from participating in particular matters involving conflicting financial, employment, and representational interests (18 USC 203, 205, and 208). The DARPA Program Manager for this BAA is Andrew Coon. Once the proposals have been received, and prior to the start of proposal evaluations, the Government will assess potential conflicts of interest and will promptly notify the Proposer if any appear to exist. (Please note, the Government assessment does NOT affect, offset, or mitigate the Proposer's own duty to give full notice and planned mitigation for all potential organizational conflicts, as discussed below.)

Without prior approval or a waiver from the DARPA Director, in accordance with FAR 9.503, a Contractor cannot simultaneously provide scientific, engineering, technical assistance (SETA) or similar support and also be a technical performer. Therefore, all Proposers as well as proposed subcontractors and consultants must affirm whether they (their organizations and individual team members) are providing SETA or similar support to any DARPA technical office(s) through an active contract or subcontract. All affirmations must state which office(s) the Proposer, subcontractor, consultant, or individual supports and identify the prime contract number(s). Affirmations shall be furnished at the time of proposal submission. All facts relevant to the existence or potential existence of organizational conflicts of interest (FAR 9.5) must be disclosed. The disclosure must include a description of the action the Proposer has taken or proposes to take to avoid, neutralize, or mitigate such conflict. If in the sole opinion of the Government after full consideration of the circumstances, a proposal fails to fully disclose potential conflicts of interest and/or any identified conflict situation cannot be effectively mitigated, the proposal will be rejected without technical evaluation and withdrawn from further consideration for award.

If a prospective Proposer believes that any conflict of interest exists or may exist (whether organizational or otherwise) or has questions on what constitutes a conflict of interest, the Proposer should promptly raise the issue with DARPA by sending his/her contact information and a summary of the potential conflict to the BAA mailbox before time and effort are expended in preparing a proposal and mitigation plan.

3.2 COST SHARING/MATCHING

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

3.3 OTHER ELIGIBILITY REQUIREMENTS

3.3.1 Collaborative Efforts

Collaborative efforts/teaming are encouraged.

4. APPLICATION AND SUBMISSION INFORMATION

4.1 ADDRESS TO REQUEST APPLICATION PACKAGE

This solicitation contains all information required to submit a proposal. Except the FOUO addendum, no additional forms, kits, or other materials are needed. This notice, with the FOUO addendum, constitutes the total BAA. No additional information is available, nor will a formal Request for Proposal (RFP) or additional solicitation regarding this announcement be issued. Requests for same will be disregarded.

4.2 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.

The effort being solicited by this BAA involves access to or generation of classified information. Security classification guidance via a DD Form 254, "DoD Contract Security Classification Specification," is provided as an attachment to the BAA for the benefit of supporting classified proposal submissions. While unclassified proposals may be submitted, proposers should review the security classification guide before submitting their proposal. All awarded contracts will require a Form DD254 to permit access classified information.

Proposers choosing to submit a classified proposal from other classified sources must first receive permission from the respective Original Classification Authority in order to use their information in replying to this BAA. Applicable classification guide(s) should also be submitted to ensure the proposal is protected at the appropriate classification level.

A formal request for 13-17 Security Classification Guide (SCG) may be submitted by filling out the SCG and Classified Data Request Form (found in APPENDIX 2 to this BAA) and emailing the request form to DARPA-BAA-13-17@darpa.mil with subject line titled "Request DARPA-BAA-13-17 SCG and Classified Data."

Proposers are encouraged to submit this request no later than February 15, 2013, to allow for adequate time for delivery of the classified material. The DARPA-BAA-13-17 SCG and Classified Data Request Form is the only method of request that will be accepted. All requestors will receive a confirmation email with a delivery tracking number. Prior to receipt of any classified information, proof of facility clearance level (FCL) must be validated by the Program Security POC before any classified documentation on the BAA is sent to the performer.

No classified addendum exists with this BAA. Classified information prepared for industry day, and subsequent question and answer feedback which is classified, will be distributed via the SCG and Data Request Form.

Please specify on APPENDIX 2 if you need the entire packet in paper form only, all other packets will be sent as a FOUO CD with a classified addendum. Proposers must demonstrate

ability to receive and access DoD Collateral Secret material. All appropriate security safeguards must exist prior to receiving the classified addendum. For proposals to be considered, eligible proposers must have at least a secret facility clearance at the date of issue for this BAA, and evidence of the capability to conduct secret level research.

Classified submissions shall 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)

Classified submissions shall be in accordance with the following guidance:

Confidential and Secret Collateral Information: Use classification and marking guidance provided by previously issued security classification guides, the DoD Information Security Manual (DoDM 5200.01, Volumes 1 - 4), and the National Industrial Security Program Operating Manual (DoD 5220.22-M) when marking and transmitting information previously classified by another Original Classification Authority. Classified information at the Confidential and Secret level may be submitted via ONE of the two following methods:

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

OR

2. Mailed via appropriate U.S. Postal Service methods (e.g., (USPS) Registered Mail or USPS Express Mail). All classified information will be enclosed in opaque inner and outer covers and double wrapped. The inner envelope shall be sealed and plainly marked with the assigned classification and addresses of both sender and addressee.

The inner envelope shall be addressed to:

Defense Advanced Research Projects Agency
ATTN: Strategic Technology Office (STO)
Reference: DARPA-BAA-13-17
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

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

Special Access Program (SAP) Information: SAP information must be transmitted via approved methods. Prior to transmitting SAP information, contact the DARPA SAPCO at 703-526-4052 for instructions.

Sensitive Compartmented Information (SCI): SCI must be transmitted via approved methods. Prior to transmitting SCI, contact the DARPA Special Security Office (SSO) at 703-526-4052 for instructions.

Proprietary Data: All proposals containing proprietary data should have the cover page and each page containing proprietary data clearly marked as containing proprietary data. It is the Proposer's responsibility to clearly define to the Government what is considered proprietary data.

Proposers must have existing and in-place prior to execution of an award, approved capabilities (personnel and facilities) to perform research and development at the classification level they propose. It is the policy of DARPA to treat all proposals as competitive information, and to disclose their contents only for the purpose of evaluation. Proposals will not be returned. The original of each proposal received will be retained at DARPA and all other non-required copies destroyed. A certification of destruction may be requested, provided the formal request is received at this office within 5 days after unsuccessful notification.

4.3 CONTENT AND FORM OF APPLICATION SUBMISSION

4.3.1 Abstract and Proposal Information

Proposers are strongly encouraged to submit a proposal abstract in advance of a proposal. This procedure is intended to minimize unnecessary effort in proposal preparation and review. The time and date for submission of proposal abstracts is specified in Section 4.5.1 below. Late abstracts will not be reviewed. DARPA will acknowledge receipt of the submission and assign a control number that should be used in all further correspondence regarding the proposal abstract.

DARPA will respond to abstracts with a statement as to whether DARPA is interested in the idea. DARPA will attempt to reply to abstracts via letter within fifteen (15) calendar days of receipt. Should a proposer be discouraged from submitting a full proposal, the letter must contain feedback for the proposer regarding the rationale for the decision not to recommend a full proposal be submitted. Abstracts will be reviewed in the order they are received. Early submissions of abstracts and full proposals are strongly encouraged because selections may be made at any time during the period of solicitation. Regardless of DARPA's response to an abstract, proposers may submit a full proposal. DARPA will review all full proposals submitted

using the published evaluation criteria and without regard to any comments resulting from the review of an abstract.

Proposers are required to submit proposals by the time and date specified in the BAA in order to be considered during the initial round of selections. DARPA may evaluate proposals received after this date for a period up to 180 days from date of posting on FedBizOpps. Ability to review late submissions remains contingent on availability of funds.

The typical proposal should express a consolidated effort in support of one or more related technical concepts or ideas. Disjointed efforts should not be included into a single proposal.

Restrictive notices notwithstanding, proposals may be handled, for administrative purposes only, by a support contractor. This support contractor is prohibited from competition in DARPA technical research and is bound by appropriate nondisclosure requirements. Proposals and/or proposed abstracts may not be submitted by fax or e-mail; any so sent will be disregarded.

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

For Proposal Abstracts Being Submitted as Hard Copies/On CD-ROM (if applicable):

An original and number of copies requested, but no more than nine (9) copies of the proposal abstract and two (2) electronic copies of the abstract [in PDF (preferred)] on a CD-ROM shall be submitted.

Upon review, DARPA will provide written feedback on the likelihood of a proposal being selected.

For Proposals (Not Abstracts) Being Submitted as Hard Copies/On CD-ROM ONLY:

Proposers not submitting proposal abstracts must submit an original and one copy of the proposal and two (2) electronic copy of the proposal [in PDF (preferred)] on a CD-ROM. Each CD-ROM must be clearly labeled with DARPA-BAA-13-17, proposer organization, proposal title (short title recommended), and Copy _ of 2.

Address PPT slides as separate file on the CD, hard copy of slides included with proposal submission

All administrative correspondence and questions on this solicitation, including requests for information on how to submit a proposal abstract or proposal to this BAA, should be directed to the administrative address, DARPA-BAA-13-17@darpa.mil. DARPA intends to use electronic mail and fax for correspondence regarding DARPA-BAA-13-17. Proposals may not be submitted by fax or e-mail; any so sent will be disregarded. DARPA encourages use of the Internet for retrieving the BAA and any other related information that may subsequently be provided.

4.3.2 Restrictive Markings on Proposals

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

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

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

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

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

Markings like "Company Confidential" or other phrases that may be confused with national security classifications shall be avoided. See Section 6.0, for additional information.

4.4 FORMATTING CHARACTERISTICS

4.4.1 Proposal Abstract Format (If applicable)

Proposal abstracts are encouraged in advance of proposals in order to provide potential proposers with a rapid response to minimize unnecessary effort. Proposal abstracts should follow the same general format as described for Volume I under PROPOSAL FORMAT (see below), but include ONLY Sections I and II. The cover sheet should be clearly marked "PROPOSAL ABSTRACT" and the total length should not exceed 3 pages, excluding cover page and official transmittal letter. All pages shall be printed on 8-1/2 by 11 inch paper with type not smaller than 12 point. Smaller font may be used for figures, tables and charts. The page limitation for proposal abstracts includes all figures, tables, and charts. No formal transmittal letter is required. All proposal abstracts must be written in English.

4.4.1.1 {1} Cover sheet to include:

1. BAA number
2. Technical area (see Sec 1.1)
3. Lead Organization Submitting proposal
4. Type of business, selected among the following categories: "LARGE BUSINESS," "SMALL DISADVANTAGED BUSINESS," "OTHER SMALL BUSINESS," "HBCU," "MI," "OTHER EDUCATIONAL," or "OTHER NONPROFIT"

5. Contractor's reference number (if any)
6. Other team members (if applicable) and type of business for each
7. Abstract title
8. Technical point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available)
9. Administrative point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available)
10. Funds requested from DARPA for each phase proposed and the total proposed cost; and the amount of cost share (if any)
11. Date abstract was prepared.

4.4.1.2 Executive Summary:

Includes a title and an abstract that provides a concise statement of work and basic approaches to be used. This should be on a separate page and in a form suitable for release under the Freedom of Information Act, 5 U.S.C. 552, as amended.

4.4.1.3 Summary of Innovative Claims for the Proposed Research:

Succinctly describe the uniqueness and benefits of the proposed approach relative to the current state-of-art and alternative approaches.

4.4.1.4 Summary of Technical Approach:

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

4.4.1.5 Organization and Teaming Chart:

A clearly defined organization chart for the program team that includes, as applicable:

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

4.4.1.6 Summary of Deliverables and Approach to Intellectual Property:

Deliverables associated with the proposed research and the plans and capability to accomplish technology transition and commercialization. Include in this section all proprietary claims to results, prototypes, intellectual property, or systems supporting and/or necessary for the use of the research, results, and/or prototype. If there are no proprietary claims, this should be stated. This section should list all technical data, computer software, or computer software documentation to be provided with other than unlimited rights in accordance with DFARS Clause 252.227-7017 IDENTIFICATION AND ASSERTION OF USE, RELEASE, OR DISCLOSURE RESTRICTIONS (JUNE 1995).

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

4.4.2 Proposal Format

All proposals must be in the format given below. Nonconforming proposals may be rejected without review. Proposals shall consist of two volumes. All pages shall be printed on 8-1/2 by 11 inch paper with type not smaller than 12 point. Smaller font may be used for figures, tables and charts. The page limitation for proposals includes all figures, tables, and charts. Volume I, Technical and Management Proposal, may include an attached bibliography of relevant technical papers or research notes (published and unpublished) which document the technical ideas and approach upon which the proposal is based. Copies of not more than three (3) relevant papers can be included with the submission. The bibliography and attached papers are not included in the page counts given below. The submission of other supporting materials along with the proposals is strongly discouraged and will not be considered for review. Maximum page lengths for each section are shown in braces {##} below. All proposals must be written in English.

4.4.2.1 Volume I, Technical and Management Proposal

Section I. Administrative {No more than 2 pages}

- A. Cover sheet to include:
 - (1) BAA number
 - (2) Technical area
 - (3) Lead Organization Submitting proposal
 - (4) Type of business, selected among the following categories: “LARGE BUSINESS”, “SMALL DISADVANTAGED BUSINESS”, “OTHER SMALL BUSINESS”, “HBCU”, “MI”, “OTHER EDUCATIONAL”, OR “OTHER NONPROFIT”
 - (5) Contractor’s reference number (if any)
 - (6) Other team members (if applicable) and type of business for each
 - (7) Proposal title
 - (8) Technical point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available)
 - (9) Administrative point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available), total funds requested from DARPA, and the amount of cost share (if any) and
 - (10) Date proposal was submitted.
- B. Official transmittal letter.

Section II. Summary of Proposal {No more than 5 pages}

- A. Innovative claims for the proposed research. This section is the centerpiece of the proposal and should succinctly describe the uniqueness and benefits of the proposed approach relative to the current state-of-art alternate approaches.
- B. Deliverables associated with the proposed research and the plans and capability to accomplish technology transition and commercialization. Include in this section all proprietary claims to the results, prototypes, intellectual property, or systems supporting

and/or necessary for the use of the research, results, and/or prototype. If there are not proprietary claims, this should be stated.

- C. Cost, schedule and measurable milestones for the proposed research, including estimates of cost for each task in each year of the effort delineated by the prime and major subcontractors, total cost and company cost share, if applicable. **Note: Measurable milestones should capture key development points in tasks and should be clearly articulated and defined in time relative to start of effort.** These milestones should enable and support a decision for the next part of the effort. Additional interim non-critical management milestones are also highly encouraged at a regular interval.
- D. Technical rationale, technical approach, and constructive plan for accomplishment of technical goals in support of innovative claims and deliverable production. (In the proposal, this section should be supplemented by a more detailed plan in Section III.)
- E. General discussion of other research in this area.
- F. A clearly defined organization chart for the program team which includes, as applicable: (1) the programmatic relationship of team member; (2) the unique capabilities of team members; (3) the task of responsibilities of team members; (4) the teaming strategy among the team members; and (5) the key personnel along with the amount of effort to be expended by each person during each year.
- G. A three slide summary of the proposal in PowerPoint that quickly and succinctly indicates the concept overview, key innovations, expected impact, and other unique aspects of the proposal. The format for the summary slides is included as APPENDIX 1 to this BAA and does not count against the page limit.

Section III. Detailed Proposal Information {No more than 15 pages}

- A. Statement of Work (SOW) - In plain English, clearly define the technical tasks/subtasks to be performed, their durations, and dependencies among them. The page length for the SOW will be dependent on the amount of the effort. For each task/subtask, provide:
 - A general description of the objective (for each defined task/activity);
 - A detailed description of the approach to be taken to accomplish each defined task/activity);
 - Identification of the primary organization responsible for task execution (prime, sub, team member, by name, etc.);
 - The completion criteria for each task/activity - a product, event or milestone that defines its completion.
 - Define all deliverables (reporting, data, reports, software, etc.) to be provided to the Government in support of the proposed research tasks/activities.

Reporting Deliverable(s)		
Deliverable	Description	Date/Frequency
(List)	(List)	(List)

Technical Deliverable(s)		
Deliverable	Description	Date/Frequency
(List)	(List)	(List)

Commercial Rights			
Technical Data Computer Software To be Furnished With Restrictions	Basis for Assertion	Asserted Rights Category	Name of Person Asserting Restrictions
(List)	(List)	(List)	(List)

IP Claims				
Rights Category	Applicable to Commercial Computer Data (CD) or Technical Data (TD)	Criteria for Applying Rights Category	Permitted uses within Government	Permitted uses outside Government
(List)	(List)	(Narrative)	(List)	(List)

Note: It is recommended that the SOW be developed so that each Phase of the program is separately defined. Do not include any proprietary information in the SOW.

- B. Description of the results, products, transferable technology, and expected technology transfer path enhancing that of Section II. B. This should also address mitigation of life-cycle and sustainment risks associated with transitioning intellectual property for U.S. military applications, if applicable. See also Section 7.1 “Intellectual Property.”
- C. Detailed technical rationale enhancing that of Section II.
- D. Detailed technical approach enhancing and completing that of Section II.
- E. Comparison with other ongoing research indicating advantages and disadvantages of the proposed effort.
- F. Discussion of proposer’s previous accomplishments and work in closely related research areas.
- G. Description of the facilities that would be used for the proposed effort. This section should address how safeguarding of materials will be handled at each facility to include classified materials when applicable.
- H. Detail support enhancing that of Section II, including formal teaming agreements which are required to execute this program.
- I. Cost schedules and measurable milestones for the proposed research, including estimates of cost for each task in each year of the effort delineated by the primes and major subcontractors, total cost, and any company cost share. **Note: Measurable milestones should capture key development points in tasks and should be clearly articulated and defined in time relative to start of effort.** These milestones should enable and support a decision for the next part of the effort. Additional interim non-critical management milestones are also highly encouraged at regular intervals. Where the effort

consists of multiple portions which could reasonably be partitioned for purposes of funding, these should be identified as options with separate cost estimates for each. Additionally, proposals should clearly explain the technical approach (es) that will be employed to meet or exceed each program metric and provide ample justification as to why the approach (es) is/are feasible.

Section IV. Additional Information {No Page Limit}

A brief bibliography of relevant technical papers and research notes (published and unpublished) which document the technical ideas upon which the proposal is based. Copies of not more than three (3) relevant papers can be included in the submission.

4.4.2.2 Volume II, Cost Proposal – {No Page Limit}

Cover sheet to include:

- (1) BAA number;
- (2) Technical area;
- (3) Lead Organization Submitting proposal;
- (4) Type of business, selected among the following categories: “LARGE BUSINESS”, “SMALL DISADVANTAGED BUSINESS”, “OTHER SMALL BUSINESS”, “HBCU”, “MI”, “OTHER EDUCATIONAL”, OR “OTHER NONPROFIT”;
- (5) Contractor’s reference number (if any);
- (6) Other team members (if applicable) and type of business for each;
- (7) Proposal title;
- (8) Technical point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available);
- (9) Administrative point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), and electronic mail (if available);
- (10) Award instrument requested: cost-plus-fixed-fee (CPFF), cost-award—no fee, cost sharing contract – no fee, or other type of procurement contract (*specify*);
- (11) Place(s) and period(s) of performance;
- (12) Total proposed cost separated by basic award and option(s) (if any);
- (13) Name, address, and telephone number of the proposer’s cognizant Defense Contract Management Agency (DCMA) administration office (*if known*);
- (14) Name, address, and telephone number of the proposer’s cognizant Defense Contract Audit Agency (DCAA) audit office (*if known*);
- (15) Date proposal was prepared;
- (16) DUNS number;
- (17) TIN number; and
- (18) Cage Code;
- (19) Subcontractor Information; and
- (20) Proposal validity period
- (21) Any Forward Pricing Rate Agreement, other such approved rate information, or such other documentation that may assist in expediting negotiations (if available).

For proposers without a DCAA-approved cost accounting system who are proposing negotiation of a cost-type contract, SF 1408 must be completed and submitted with your proposal in order

for your submission to be deemed conforming to this solicitation. The SF 1408 form can be found at

<https://www.acquisition.gov/far/html/FormsStandard41.html>. Note that nonconforming proposals may be rejected without review.

Detailed cost breakdown to include:

(1) total program cost broken down by major cost items to include:

- i. direct labor, including individual labor categories or persons, with associated labor hours and numbered direct labor rates
- ii. If consultants are to be used, proposer must provide consultant agreement or other document which verifies the proposed loaded daily/hourly rate
- iii. Indirect costs including Fringe Benefits, Overhead, General and Administrative Expense, Cost of Money, etc. (Must show base amount and rate)
- iv. Travel – Number of trips, number of days per trip, departure and arrival destinations, number of people, etc (example below). Group by similar departure and destination locations.

# of Trips	Depart from	Destination	Purpose	# Days	# people	Total Costs
(List)	(List)	(List)	(List)	(List)	(List)	(List)

- v. Other Direct Costs – Should be itemized with costs or estimated costs. Backup documentation should be submitted to support proposed costs (example below).

Base Effort

Other Direct Costs (ODC)	Costs
(List)	(List)

Option 1

Other Direct Costs (ODC)	Costs
(List)	(List)

(2) major program tasks by fiscal year

(3) an itemization of major subcontracts and equipment purchases, to include: a cost proposal as detailed as the Proposer’s cost proposal; the subcontractor’s cost proposal can be provided in a sealed envelope with the Proposer’s cost proposal.

Materials should be specifically itemized with costs or estimated costs (example below).

Base Effort Material Costs:

Materials	Costs
(List)	(List)

Option 1 Material Costs:

Materials	Costs
(List)	(List)

An explanation of any estimating factors, including their derivation and application, shall be provided. Please include a brief description of the Proposers' procurement method to be used;

- (4) an itemization of any information technology (IT) purchase, as defined in FAR Part 2.101;
- (5) a summary of projected funding requirements by month; and
- (6) the source, nature, and amount of any industry cost-sharing. Where the effort consists of multiple portions which could reasonably be partitioned for purposes of funding, these should be identified as options with separate cost estimates for each
- (7) identification of pricing assumptions of which may require incorporation into the resulting award instrument (e.g., use of Government Furnished Property/Facilities/Information, access to Government Subject Matter Expert/s, etc.)
- (8) Cost Proposal Summary table:

Base Period

Direct Labor Category	Hours	Cost
(List)	(List)	(List)
Total	Total	Total

Option 1:

Direct Labor Category	Hours	Cost
(List)	(List)	(List)
b	Total	Total

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

The Government requests and recommends that tables included in the cost proposal also be provided in MS Excel™ format with calculations formulae intact to allow traceability of the cost proposal numbers across the prime and subcontractors. If the PDF submission differs from the Excel submission, the PDF will take precedence. Each copy must be clearly labeled with the DARPA BAA number, proposer organization, and proposal title (short title recommended).

The Government also requests and recommends that the Cost Proposal include MS Excel file(s) that provide traceability between the Bases of Estimates (BOEs) and the proposed costs across all elements and phases. This includes the calculations and adjustments that are utilized to generate the Summary Costs from the source labor hours, labor costs, material costs, etc. input data. It is requested that the costs and Subcontractor proposals be readily traceable to the Prime Cost Proposal in the provided MS Excel file(s). The Government prefers receiving cost data as Excel files; however, this is not a requirement.

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

4.5 SUBMISSION DATES AND TIMES

4.5.1 Abstract and Proposal Submission Deadline

The proposal abstract (original and designated number of hard and electronic copies) must be submitted to DARPA/STO, 675 North Randolph Street, Arlington, VA 22203-2114 (Attn.: BAA 13-17) on or before 4:00 p.m., local time, February 5, 2013. Proposal abstracts received after this time and date may not be reviewed.

The full proposal (original and designated number of hard and electronic copies) must be submitted to DARPA/STO, 675 North Randolph Street, Arlington, VA 22203-2114 (Attn.: BAA 13-17) on or before 4:00 p.m., local time, March 12, 2013, in order to be considered during the initial round of selections; however, proposals received after this deadline may be received and evaluated up to six months (180 days) from date of posting on FedBizOpps. Full proposals submitted after the due date specified in the BAA may be selected contingent upon the availability of funds.

DARPA will post a consolidated Question and Answer list in response to any relevant and/or BAA clarification question(s) after January 23, 2013, before full proposals are due. In order to receive a response to your question, submit your question by January 18, 2013 to the DARPA-BAA-13-17@darpa.mil mailbox.

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

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

4.6 INTERGOVERNMENTAL REVIEW

Not Applicable.

4.7 FUNDING RESTRICTIONS

Not applicable.

4.8 OTHER SUBMISSION REQUIREMENTS

Not applicable.

5. APPLICATION REVIEW INFORMATION

5.1 EVALUATION CRITERIA

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

5.1.1 Overall Scientific and Technical Merit

The proposed technical approach is feasible, achievable, complete and supported by a proposed technical team that has the expertise and experience to lead and to accomplish the proposed tasks. Task descriptions and associated technical elements provided are complete and in a logical sequence with all proposed deliverables clearly defined such that a final product that achieves the goal can be expected as a result of award. The proposal clearly identifies major technical risks and clearly defines feasible planned mitigation strategies and efforts to address those risks. The proposal identifies quantifiable technical goals, and can trace these goals to the capability metrics of coverage, latency, depth, and endurance defined for the program. The proposal clearly explains the technical approach(es) that will be employed to meet or exceed these goals with ample justification as to why the approach(es) is / are feasible. The proposal addresses success criteria with particular emphasis on system cost. For payload proposals, proposals should highlight expected performance and cost advantages of the specific application relative to current approaches (or technically feasible future variants). Other factors to be considered will include the structure, clarity, and responsiveness to the statement of work; the quality of proposed deliverables; and the linkage of the statement of work, technical approach(es), risk mitigation plans, costs, and deliverables of the prime contractor and all subcontractors through a logical, well structured, and traceable technical plan.

5.1.2 Potential Contribution and Relevance to the DARPA Mission

The potential contributions of the proposed effort with relevance to the national technology base will be evaluated. Specifically, DARPA's mission is to maintain the technological superiority of the U.S. military and prevent technological surprise from harming our national security by sponsoring revolutionary, high-payoff research that bridges the gap between fundamental discoveries and their application.

5.1.3 Proposer's Capabilities and/or Related Experience

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

5.1.4 Cost Realism

The objective of this criterion is to establish that the proposed costs are realistic for the technical and management approach offered, as well as to determine the proposer's practical understanding of the effort. The proposal will be reviewed to determine if the costs proposed are based on realistic assumptions, reflect a sufficient understanding of the technical goals and objectives of the BAA, and are consistent with the proposer's technical approach (to include the proposed Statement of Work). At a minimum, this will involve review, at the prime and subcontract level, of the type and number of labor hours proposed per task as well as the types and kinds of materials, equipment and fabrication costs proposed. It is expected that the effort will leverage all available relevant prior research in order to obtain the maximum benefit from the available funding. For efforts with a likelihood of commercial application, appropriate direct cost sharing may be a positive factor in the evaluation. The evaluation criterion recognizes that undue emphasis on cost may motivate proposers to offer low-risk ideas with minimum uncertainty and to staff the effort with junior personnel in order to be in a more competitive posture. DARPA discourages such cost strategies.

5.2 REVIEW AND SELECTION PROCESS

Evaluation of proposals will be accomplished through a scientific/technical review of each proposal. Proposals will not be evaluated against each other since they are not submitted in accordance with a common work statement. DARPA's intent is to review proposals as soon as possible after they arrive; however, proposals may be reviewed periodically for administrative reasons.

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

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

For evaluation purposes, a proposal is the document described in "Proposal Format", Section 4.4.2. Other supporting or background materials submitted with the proposal will be considered for the reviewer's convenience only and not considered as part of the proposal.

Restrictive notices notwithstanding, proposals may be handled for administrative purposes by support contractors. These support contractors are prohibited from competition in DARPA technical research and are bound by appropriate non-disclosure requirements.

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.

It is the policy of DARPA to treat all proposals as competitive information and to disclose their contents only for the purpose of evaluation. No proposals will be returned. Upon completion of the source selection process, the original of each proposal received will be retained at DARPA and all other copies will be destroyed.

6. Award Administration Information

6.1 SELECTION NOTICES

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

6.2 ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

6.2.1 Meeting and Travel Requirements

There will be a program kickoff meeting in the Arlington, VA vicinity and all key participants are required to attend. Performers should also anticipate regular program-wide PI meetings and periodic site visits at the Program Manager's discretion to the Arlington, VA vicinity.

6.2.2 Human Use

All research involving human subjects, to include use of human biological specimens and human data, selected for funding must comply with the federal regulations for human subject protection. Further, research involving human subjects that is conducted or supported by the DoD must comply with 32 CFR 219, Protection of Human Subjects (http://www.access.gpo.gov/nara/cfr/waisidx_07/32cfr219_07.html) and DoD Directive 3216.02, Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research (<http://www.dtic.mil/whs/directives/corres/pdf/321602p.pdf>).

Institutions awarded funding for research involving human subjects must provide documentation of a current Assurance of Compliance with Federal regulations for human subject protection, for example a Department of Health and Human Services, Office of Human Research Protection Federal Wide Assurance (<http://www.hhs.gov/ohrp>). All institutions engaged in human subject research, to include subcontractors, must also have a valid Assurance. In addition, personnel involved in human subjects research must provide documentation of completing appropriate training for the protection of human subjects.

For all proposed research that will involve human subjects in the first year or phase of the project, the institution must provide evidence of or a plan for review by an Institutional Review

Board (IRB) upon final proposal submission to DARPA. The IRB conducting the review must be the IRB identified on the institution's Assurance. The protocol, separate from the proposal, must include a detailed description of the research plan, study population, risks and benefits of study participation, recruitment and consent process, data collection, and data analysis. Consult the designated IRB for guidance on writing the protocol. The informed consent document must comply with federal regulations (32 CFR 219.116). A valid Assurance along with evidence of appropriate training all investigators should all accompany the protocol for review by the IRB.

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

The amount of time required to complete the IRB review/approval process may vary depending on the complexity of the research and/or the level of risk to study participants. Ample time should be allotted to complete the approval process. The IRB approval process can last between one to three months, followed by a DoD review that could last between three to six months. No DoD/DARPA funding can be used towards human subjects research until ALL approvals are granted.

6.2.3 Animal Use

Any Recipient performing research, experimentation, or testing involving the use of animals shall comply with the rules on animal acquisition, transport, care, handling, and use in: (i) 9 CFR parts 1-4, Department of Agriculture rules that implement the Laboratory Animal Welfare Act of 1966, as amended, (7 U.S.C. 2131-2159); and (ii) the guidelines described in National Institutes of Health Publication No. 86-23, "Guide for the Care and Use of Laboratory Animals"; (iii) DoD Directive 3216.01, "Use of Laboratory Animals in DoD Program."

For submissions containing animal use, proposals should briefly describe plans for Institutional Animal Care and Use Committee (IACUC) review and approval. Animal studies in the program will be expected to comply with the PHS Policy on Humane Care and Use of Laboratory Animals, available at <http://grants.nih.gov/grants/olaw/olaw.htm>.

All Recipients must receive approval by a DoD certified veterinarian, in addition to an IACUC approval. No animal studies may be conducted using DoD/DARPA funding until the USAMRMC Animal Care and Use Review Office (ACURO) or other appropriate DoD veterinary office(s) grant approval. As a part of this secondary review process, the Recipient will be required to complete and submit an ACURO Animal Use Appendix, which may be found at https://mrmc-www.army.mil/index.cfm?pageid=Research_Protections.acuro&rn=1.

6.2.4 Publication Approval

It is the policy of the Department of Defense that the publication of products of fundamental research will remain unrestricted to the maximum extent possible. The definition of Contracted Fundamental Research is:

“Contracted Fundamental Research includes [research performed under] grants and contracts that are (a) funded by budget category 6.1 (Basic Research), whether performed by universities or industry or (b) funded by budget category 6.2 (Applied Research) and performed on-campus at a university. The research shall not be considered fundamental in those rare and exceptional circumstances where the applied research effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the contract or grant.” Such research is referred to by DARPA as “Restricted Research.”

Pursuant to DoD policy, research performed under grants and contracts that are (a) funded by budget category 6.2 (Applied Research) and NOT performed on-campus at a university or (b) funded by budget category 6.3 (Advanced Research) does not meet the definition of fundamental research. Publication restrictions will be placed on all such research.

Research to be performed as a result of this BAA is expected to be Non-fundamental. DARPA permission must be received before publishing any information or results relative to the program. Other restrictions may also apply.

Proposers are advised if they propose grants or cooperative agreements, DARPA may elect to award other award instruments due to the need to apply publication or other restrictions. DARPA will make this election if it determines that the research resulting from the proposed program 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 and will be considered Restricted Research.

For certain research projects, it may be possible that although the research being performed by the Prime Contractor is Restricted Research, a subcontractor may be conducting Contracted Fundamental Research. In those cases, it is the Prime Contractor’s responsibility to explain in their proposal why its subcontractor’s effort is Contracted Fundamental Research.

The following same or similar provision will be incorporated into any resultant Restricted Research or Non-Fundamental Research procurement contract:

(a) There shall be no dissemination or publication, except within and between the Contractor and any subcontractors, of information developed under this contract or contained in the reports to be furnished pursuant to this contract without prior written approval of the DARPA’s Public Release Center (DARPA/PRC). All technical reports will be given proper review by appropriate authority to determine which Distribution Statement is to be applied prior to the initial

distribution of these reports by the Contractor. With regard to subcontractor proposals for Contracted Fundamental Research, papers resulting from unclassified contracted fundamental research are exempt from prepublication controls and this review requirement, pursuant to DoD Instruction 5230.27 dated October 6, 1987.

(b) When submitting material for written approval for open publication as described in subparagraph (a) above, the Contractor must submit a request for public release request to the DARPA PRC and include the following information: 1) Document Information: document title, document author, short plain-language description of technology discussed in the material (approx 30 words), number of pages (or minutes of video) and document type (briefing, report, abstract, article, or paper); 2) Event Information: event type (conference, principle investigator meeting, article or paper), event date, desired date for DARPA's approval; 3) DARPA Sponsor: DARPA Program Manager, DARPA office, and contract number; and 4) Contractor's Information: POC name, e-mail and phone. Allow four weeks for processing; due dates under four weeks require a justification. Unusual electronic file formats may require additional processing time. Requests can be sent either via e-mail to prc@darpa.mil or via 675 North Randolph Street, Arlington VA 22203-2114, telephone (571) 218-4235. Refer to http://www.darpa.mil/NewsEvents/Public_Release_Center/Public_Release_Center.aspx information about DARPA's public release process.

6.2.5 Export Control

The following clause will be included in all procurement contracts as deemed appropriate:

(a) *Definition.* “Export-controlled items,” as used in this clause, means items subject to the Export Administration Regulations (EAR) (15 CFR Parts 730-774) or the International Traffic in Arms Regulations (ITAR) (22 CFR Parts 120-130). The term includes:

1) “Defense items,” defined in the Arms Export Control Act, 22 U.S.C. 2778(j)(4)(A), as defense articles, defense services, and related technical data, and further defined in the ITAR, 22 CFR Part 120.

2) “Items,” defined in the EAR as “commodities”, “software”, and “technology,” terms that are also defined in the EAR, 15 CFR 772.1.

(b) The Contractor shall comply with all applicable laws and regulations regarding export-controlled items, including, but not limited to, the requirement for contractors to register with the Department of State in accordance with the ITAR. The Contractor shall consult with the Department of State regarding any questions relating to compliance with the ITAR and shall consult with the Department of Commerce regarding any questions relating to compliance with the EAR.

(c) The Contractor's responsibility to comply with all applicable laws and regulations regarding export-controlled items exists independent of, and is not established or limited by, the information provided by this clause.

(d) Nothing in the terms of this contract adds, changes, supersedes, or waives any of the requirements of applicable Federal laws, Executive orders, and regulations,

including but not limited to—

- (1) The Export Administration Act of 1979, as amended (50 U.S.C. App. 2401, *et seq.*);
 - (2) The Arms Export Control Act (22 U.S.C. 2751, *et seq.*);
 - (3) The International Emergency Economic Powers Act (50 U.S.C. 1701, *et seq.*);
 - (4) The Export Administration Regulations (15 CFR Parts 730-774);
 - (5) The International Traffic in Arms Regulations (22 CFR Parts 120-130);
- and (6) Executive Order 13222, as extended;

(e) The Contractor shall include the substance of this clause, including this paragraph (e), in all subcontracts.

6.2.6 Subcontracting

Pursuant to Section 8(d) of the Small Business Act (15 U.S.C. 637(d)), it is the policy of the Government to enable small business and small disadvantaged business concerns to be considered fairly as subcontractors to contractors performing work or rendering services as prime contractors or subcontractors under Government contracts, and to assure that prime contractors and subcontractors carry out this policy. Each proposer who submits a contract proposal and includes subcontractors is required to submit a subcontracting plan in accordance with FAR 19.702(a) (1) and (2) should do so with their proposal. The plan format is outlined in FAR 19.704.

6.2.7 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 Subpart 39.2. Each proposer who submits a proposal involving the creation or inclusion of electronic and information technology must ensure that Federal employees with disabilities will have access to and use of information that is comparable to the access and use by Federal employees who are not individuals with disabilities and members of the public with disabilities seeking information or services from DARPA will have access to and use of information and data that is comparable to the access and use of information and data by members of the public who are not individuals with disabilities.

6.2.8 Employment Eligibility Verification

As per FAR 22.1802, recipients of FAR-based procurement contracts must enroll as Federal Contractors in E-verify and use E-Verify to verify employment eligibility of all employees

assigned to the award. All resultant contracts from this solicitation will include FAR 52.222-54, “Employment Eligibility Verification.” This clause will not be included in grants, cooperative agreements, or Other Transactions.

6.2.9 System for Award Management Registration and Universal Identifier Requirements

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

DARPA cannot make an assistance award to a proposer until the proposer has provided a valid DUNS number and has maintained an active SAM registration with current information.

6.2.10 Reporting Executive Compensation and First-Tier Subcontract Awards

The FAR clause 52.204-10, “Reporting Executive Compensation and First-Tier Subcontract Awards,” will be used in all procurement contracts valued at \$25,000 or more. A similar award term will be used in all grants and cooperative agreements.

6.2.11 Updates of Information Regarding Responsibility Matters

FAR clause 52.209-9, Updates of Publicly Available Information Regarding Responsibility Matter, will be included in all contracts valued at \$500,000 where the contractor has current active Federal contracts and grants with total value greater than \$10,000,000.

6.2.12 Representation by Corporations Regarding Unpaid Delinquent Tax Liability or a Felony Conviction Under Any Federal Law

Each proposer must complete and return the representations in DFARS 252.209-7998 (Representation Regarding Conviction of a Felony Criminal) and 252.209-7999 (Representation by Corporations Regarding an Unpaid Delinquent Tax Liability or Felony Conviction under any Federal Law) with their proposal submission.

6.2.13 Cost Accounting Standards Notice and Certification

As per FAR 52.230-2, any procurement contract in excess of \$700,000 resulting from this solicitation will be subject to the requirements of the Cost Accounting Standards Board (48 CFR Chapter 99), except those contracts which are exempt as specified in 48 CFR 9903.201-1. Any offeror submitting a proposal which, if accepted, will result in a cost accounting standards (CAS) compliant contract, must submit representations and a Disclosure Statement as required by 48 CFR 9903.202 detailed in FAR 52.230-2.

6.2.14 Controlled Unclassified Information on Non-DoD Information Systems

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

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

6.2.15 Providing Accelerated Payment to Small Business Subcontractors (DEVIATION)

The following clause, which implements the temporary policy provided by OMB Policy Memorandum M-12-16, Providing Prompt Payment to Small Business Subcontractors, dated July 11, 2012, will be used in all FAR based awards:

- (a) Upon receipt of accelerated payments from the Government, the contractor is required to make accelerated payments to small business subcontractors to the maximum extent practicable after receipt of a proper invoice and all proper documentation from the small business subcontractor.

- (b) Include the substance of this clause, including this paragraph (b), in all subcontracts with small business concerns.
- (c) The acceleration of payments under this clause does not provide any new rights under the Prompt Payment Act.

6.3 REPORTING

The number and types of reports will be specified in the award document, but will include as a minimum monthly financial status reports. The reports shall be prepared and submitted in accordance with the procedures contained in the award document and mutually agreed on before award. Reports and briefing material will also be required as appropriate to document progress in accomplishing program metrics. A Final Report that summarizes the project and tasks will be required at the conclusion of the performance period for the award, notwithstanding the fact that the research may be continued under a follow-on vehicle. Reference 4.4.1.6 for a sample list for complying with this request.

6.4 ELECTRONIC SYSTEMS

6.4.1 Representations and Certifications

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

6.4.2 Wide Area Work Flow (WAWF)

Unless using another approved electronic invoicing system, performers will be required to submit invoices for payment directly via the Internet/WAWF at <http://wawf.eb.mil>. Registration to WAWF will be required prior to any award under this BAA.

6.4.3 i-EDISON

The award document for each proposal selected for funding will contain a mandatory requirement for patent reports and notifications to be submitted electronically through i-Edison (<http://s-edison.info.nih.gov/iEdison>).

6.5 AGENCY CONTACTS

Administrative, technical or contractual questions should be sent via e-mail to DARPA-BAA-13-17@darpa.mil. If e-mail is not available, fax questions to fax number, Attention: DARPA-BAA13-17. All requests must include the name, email address, and phone number of a point of contact.

The technical POC for this effort
electronic mail: DARPA-BAA-13-17@darpa.mil.
DARPA/Office
ATTN: BAA 13-17
675 North Randolph Street
Arlington, VA 22203-2114

7. Other Information

7.1 INTELLECTUAL PROPERTY

7.1.1 Procurement Contract Proposers

7.1.1.1 Noncommercial Items (Technical Data and Computer Software)

Proposers responding to this BAA requesting a procurement contract to be issued under the FAR/DFARS, shall identify all noncommercial technical data, and noncommercial computer software that it plans to generate, develop, and/or deliver under any proposed award instrument in which the Government will acquire less than unlimited rights, and to assert specific restrictions on those deliverables. Proposers shall follow the format under DFARS 252.227-7017 for this stated purpose. In the event that proposers do not submit the list, the Government will assume that it automatically has “unlimited rights” to all noncommercial technical data and noncommercial computer software generated, developed, and/or delivered under any award instrument. If mixed funding is anticipated in the development of noncommercial technical data, and noncommercial computer software generated, developed, and/or delivered under any award instrument, then proposers should identify the data and software in question, as subject to Government Purpose Rights (GPR). In accordance with DFARS 252.227-7013 Rights in Technical Data - Noncommercial Items, and DFARS 252.227-7014 Rights in Noncommercial Computer Software and Noncommercial Computer Software Documentation, the Government will automatically assume that any such GPR restriction is limited to a period of five (5) years in accordance with the applicable DFARS clauses, at which time the Government will acquire “unlimited rights” unless the parties agree otherwise. Proposers are advised that the Government will use the list during the source selection evaluation process to evaluate the impact of any identified restrictions, and may request additional information from the proposer, as may be necessary, to evaluate the proposer’s assertions. If no restrictions are intended, then the proposer should state “NONE.” It is noted an assertion of “NONE” indicates that the Government has “unlimited rights” to all noncommercial technical data and noncommercial computer software

delivered under the award instrument, in accordance with the DFARS provisions cited above. Failure to provide full information may result in a determination that the proposal is not compliant with the BAA – resulting in nonselectability of the proposal.

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

NONCOMMERCIAL				
Technical Data Computer Software To be Furnished With Restrictions	Summary of Intended Use in the Conduct of the Research	Basis for Assertion	Asserted Rights Category	Name of Person Asserting Restrictions
(LIST)	(NARRATIVE)	(LIST)	(LIST)	(LIST)

7.1.1.2 Commercial Items (Technical Data and Computer Software)

Proposers responding to this BAA requesting a procurement contract to be issued under the FAR/DFARS, shall identify all commercial technical data, and commercial computer software that may be embedded in any noncommercial deliverables contemplated under the research effort, along with any applicable restrictions on the Government’s use of such commercial technical data and/or commercial computer software. In the event that proposers do not submit the list, the Government will assume that there are no restrictions on the Government’s use of such commercial items. The Government may use the list during the source selection evaluation process to evaluate the impact of any identified restrictions, and may request additional information from the proposer, as may be necessary, to evaluate the proposer’s assertions. If no restrictions are intended, then the proposer should state “NONE.” Failure to provide full information may result in a determination that the proposal is not compliant with the BAA – resulting in nonselectability of the proposal.

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

COMMERCIAL			
Technical Data Computer Software To be Furnished With Restrictions	Basis for Assertion	Asserted Rights Category	Name of Person Asserting Restrictions
(LIST)	(LIST)	(LIST)	(LIST)

7.1.2 NonProcurement Contract Proposers

7.1.2.1 Noncommercial and Commercial Items (Technical Data and Computer Software)

Proposers responding to this BAA requesting an Other Transaction for Prototype shall follow the applicable rules and regulations governing that instrument, but in all cases should appropriately identify any potential restrictions on the Government’s use of any Intellectual Property

contemplated under that award instrument. This includes both Noncommercial Items and Commercial Items. Although not required, proposers may use a format similar to that described in Paragraphs 1.a and 1.b above. The Government may use the list during the source selection evaluation process to evaluate the impact of any identified restrictions, and may request additional information from the proposer, as may be necessary, to evaluate the proposer's assertions. If no restrictions are intended, then the proposer should state "NONE." Failure to provide full information may result in a determination that the proposal is not compliant with the BAA – resulting in nonselectability of the proposal.

7.1.2.2 All Proposers – Patents

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

7.1.2.3 All Proposers-Intellectual Property Representations

Provide a good faith representation that you either own or possess appropriate licensing rights to all other intellectual property that will be utilized under your proposal for the DARPA program. Additionally, proposers shall provide a short summary for each item asserted with less than unlimited rights that describes the nature of the restriction and the intended use of the intellectual property in the conduct of the proposed research.

8. APPENDIX 1: PROPOSAL SLIDE SUMMARY

Proposal slides should be delivered in Power Point format. The templates below use green text to provide instructions, or serve to be replaced by proposals specifics.

Organization Name Concept

- **Concise statement of what is being proposed here**
 - Payoff
 - Challenge(s), insights, and innovative claims

- **Concise statement of key elements of approach here**
 - These should be concisely mirror the statement of work
 - Phase 1 description
 - Phase 2 Option description
 - Phase 3 Option description

<Tahoma font, single slide, no fonts less that 12 point excluding graphics>

System or subsystem conceptualization

Additional figure as needed:
schedule, key technical component, etc.

1

Organization Name Deliverables

- **Intellectual Property Claims:** List deliverables provided to the government with proprietary claims and the rational for the restrictions. If none, the simply enter "All deliverables are provided to the government without restrictions."
 - <Note: Tahoma font, can use more than one slide , no fonts less that 12 point.>

Tech Deliverables (Base):

Item	Date/ Frequency
List specific hardware, software, or non-reporting deliverables here. Add rows as needed	

Reporting Deliverables (Base):

Report	Date/ Frequency
All reporting deliverables	e.g., date, monthly, ...

Tech Deliverables (Option X):

Item	Date/ Frequency
List specific hardware, software, or non-reporting deliverables here. Add rows as needed	

Reporting Deliverables (Option X):

Report	Date/ Frequency
All reporting deliverables	e.g., date, monthly, ...

2

Organization Name Data Rights

Data Rights			
Technical Data To be Furnished With Restrictions	Basis for Assertion	Asserted Rights Category	Name of Entity Asserting Restrictions
e.g. software	e.g. developed at private expense or other rationale	e.g. government purpose rights, restricted rights, limited rights, SBIR Rights	

<Note: Tahoma font, can use more than one slide, no fonts less than 12 point.>

3

Organization Name Schedule/Cost

Proposed contract type (\$M): i.e., Cost Plus Fixed Fee (CPFF), Cost plus award fee (CPAF), Cost Plus Incentive Fee (CPIF), Fixed Firm Price (FFP), etc.

Base	A months	\$xxx M
Option X	B months	\$xxx M
TOTAL	C months	\$xxx M

<add rows or columns as needed>



	Base	Option X	Total
Prime Labor^(Burdened)	\$xxx M	\$xxx M	\$xxx M
Prime Travel Cost			
Sub Cost			
Prime ODC			
Prime Materials			
Fee (Y%)			
Total			

<Tahoma font, single slide, no fonts less than 12 point. Use notes view to provide tips and guidance of how to validate these numbers from the cost proposal. i.e., page numbers, tabs, filenames, etc. >

4

**9. APPENDIX 2: FOUO ADDENDUM AND SECURITY GUIDE REQUEST
FORM AND DD 254**

APPENDIX 2: DARPA-BAA-13-17 FOUO ADDENDUM AND SECURITY GUIDE
REQUEST FORM AND DD254

Date: _____

Company Name: _____

Company Address (Unclassified): _____

Company Address (Classified): _____

Attn: (Choose Security or Document Control)

Point of Contact Name: _____

POC Phone Number: _____

POC E-mail: _____

DUNS Number (for FOUO Addendum & SCG only) _____

CAGE Code (for Classified Proposals) _____

Security or FSO Phone Number: _____

Security or FSO e-mail: _____

Security or FSO Fax Number: _____

REQUESTING:

Check here if requesting for only to receive the FOUO Addendum and Security Guide. Requestors must provide a DUNS number (registered with the Central Contractor Registry, <https://www.bpn.gov/ccr/>) or a cage code.

Check here if requesting to receive the FOUO Addendum, Security Guide **AND** a DD254 Form to submit a Classified Proposal.

10. APPENDIX 3: VOLUME 1 COVER SHEET TEMPLATE

**Volume I, Technical and Management Proposal
Cover Sheet**

(1) Lead Organization Submitting Proposal: _____

(2) Type of Business, selected among the following categories: "LARGE BUSINESS", "SMALL DISADVANTAGED BUSINESS", "OTHER SMALL BUSINESS", "HBCU", "MI", "OTHER EDUCATIONAL", OR "OTHER NONPROFIT"

(3) Other team members (if applicable) and type of business for each:

Company 1 (Other Small Business)

Company 2 (Large Business)

Company 3 (Large Business)

University (Other Educational)

(4) Contractor's reference number (if any): _____

(5) Proposal Title: _____

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

(6) Technical point of contact to include:

Salutation, last name first name

Street Address

Street Address 2

City, State, Zip Code

Telephone, Fax (if available)

Electronic mail (if available)

(7) Administrative point of contact to include:

Salutation, last name first name

Street Address

Street Address 2

City, State, Zip Code

Telephone, Fax (if available)

Electronic mail (if available)

(8) Date proposal submitted: _____

**11. APPENDIX 4: VOLUME 2 COVER SHEET, CHECKLIST AND
SAMPLE TEMPLATES**

**Volume II, Cost Proposal
Cover Sheet**

(1) Lead Organization Submitting Proposal: _____

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

(3) Other team members (if applicable) and type of business for each:

Company 1 (Other Small Business)

Company 2 (Large Business)

Company 3 (Large Business)

University (Other Educational)

(4) Contractor’s reference number (if any): _____

(5) Proposal Title: _____

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

(6) Technical point of contact to include:

Salutation, last name first name

Street Address

Street Address 2

City, State, Zip Code

Telephone, Fax (if available)

Electronic mail (if available)

(7) Administrative point of contact to include:

Salutation, last name first name

Street Address

Street Address 2

City, State, Zip Code

Telephone, Fax (if available)

Electronic mail (if available)

(8) Award Instrument Requested: cost-plus-fixed-fee (CPFF), cost-contract – no fee, cost sharing contract – no fee, or other type of procurement contract (specify)

(9) Place and period of performance: _____

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

DCMA Administration Office (if known):

Salutation, last name first name

Street Address

Street Address 2

City, State, Zip Code

Telephone, Fax (if available)

DCAA Audit Office (if known):

Salutation, last name first name

Street Address

Street Address 2

City, State, Zip Code

Telephone, Fax (if available)

(11) DUNS number: _____

(12) TIN (Tax Information Number): _____

(13) Cage Code: _____

(14) Proposal Validity Period: _____

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

(16) Date proposal submitted: _____

**Volume II, Cost Proposal
Checklist and Sample Templates**

The following checklist and sample templates are provided to assist the proposer in developing a complete and responsive cost volume. Full instructions appear in Section 4.4.2.2 beginning on Page 50 of DARPA-BAA-13-17.

1. Are all items from Section Volume II, Cost Proposal of DARPA-BAA-13-17 included on your Cost Proposal cover sheet?

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

If reply is “No”, please explain:

2. Does your Cost Proposal include (1) a summary cost buildup by Phase, (2) a summary cost buildup by Year, and (3) a detailed cost buildup of for each Phase that breaks out each task and shows the cost per month?

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

If reply is “No”, please explain:

3. Does your cost proposal (detailed cost buildup #3 above in item 2) show a breakdown of the major cost items listed below:

Direct Labor (Labor Categories, Hours, Rates)

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

Indirect Costs/Rates (i.e., overhead charges, fringe benefits, G&A)

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

Materials and/or Equipment

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

Subcontracts/Consultants

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

Other Direct Costs

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

Travel

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

If reply is “No”, please explain:

4. Have you provided documentation for proposed costs related to travel, to include purpose of trips, departure and arrival destinations and sample airfare?

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

If reply is “No”, please explain:

5. Does your cost proposal include a complete itemized list of all material and equipment items to be purchased (a priced bill-of-materials (BOM))?

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

If reply is “No”, please explain:

6. Does your cost proposal include vendor quotes or written engineering estimates (basis of estimate) for all material and equipment with a unit price exceeding \$5000?

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

If reply is “No”, please explain:

7. Does your cost proposal include a clear justification for the cost of labor (written labor basis-of-estimate (BOE)) providing rationale for the labor categories and hours proposed for each task?

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

If reply is “No”, please explain:

8. Do you have subcontractors/consultants? If YES, continue to question 9. If NO, skip to question 13.

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

9. Does your cost proposal include copies of all subcontractor/consultant technical (to include Statement of Work) and cost proposals?

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

If reply is “No”, please explain:

10. Do all subcontract proposals include the required summary buildup, detailed cost buildup, and supporting documentation (SOW, Bill-of-Materials, Basis-of-Estimate, Vendor Quotes, etc.)?

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

If reply is “No”, please explain:

11. Does your cost proposal include copies of consultant agreements, if available?

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

If reply is “No”, please explain:

12. If requesting a FAR-based contract, does your cost proposal include a tech/cost analysis for all proposed subcontractors?

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

If reply is “No”, please explain:

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

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

If reply is “No”, please explain:

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

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

If reply is “No”, please explain:

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

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

If reply is “No”, please explain:

SAMPLE – SUMMARY PROPOSAL BUDGET (One per Phase)

SAMPLE: COST ELEMENT SUMMARY

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

Phase 2 Option			
BASE	RATE	AMOUNT	TOTAL PROPOSED AMOUNT
Hours			
	\$	\$	
		\$	
\$	%	\$	
\$	%	\$	
		\$	
		\$	
\$	%	\$	
		\$	
\$	%	\$	
		\$	
		\$	
\$	%	\$	
		\$	
		\$	
\$	%	\$	
		\$	
		\$	

SAMPLE: SUBCONTRACTORS & CONSULTANTS PRICE SUMMARY

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

12. APPENDIX 5: CONCEPTUAL DESIGN REVIEW

Objective:

Conceptual Design Review: The CoDR establishes the technical vision, fundamental principles, and preliminary allocation baseline (hardware, software, human/support systems) with underlying architectures to assess the feasibility of an Upward Falling Payload (UFP) subsystem. A successful review is based on the UFP subsystem conceptual design, results from peer reviews, and plans for development, and testing and evaluation. These elements must form a satisfactory basis for establishing system requirements and a comprehensive risk management approach to proceed into a detailed design phase (initiated in Phase 2). Conceptual designs shall ultimately describe the underlying physical principles, physical and functional design elements, burden, costs, and other pertinent aspects of the UFP subsystem. Conceptual designs shall also include expected performance in terms of Technical Performance Measures (TPMs) and Measures of Effectiveness (MOEs) with descriptions of underlying measurements or prediction tools. The performer shall also define primary risk areas and associated R&D required to overcome these risks.

CoDR Guidance:

- Include a description of the scientific objective and approach.
- Describe the design approaches considered, the concept selected, and the underlying rational.
- Provide a Risk Management and Mitigation Plan (RMMP).

Tailored Products:

- Program Goals & Approach
 - o Program scientific objective
 - o Scientific (physics/physiological/cognitive) basis for approach
- Statement of Assumptions
- Review of Concepts Considered
 - o Review of analysis, experiments, or bread-board design efforts to inform concept selection
 - o Strengths
 - o Weakness
 - o Summary and rationale for selection
- System Functional Requirements
- Initial System Conceptual Design
 - o Block diagrams
 - o System elements
 - o Initial definition of states and modes
 - o GFI/GFE list
- Success Requirements
 - o Elements essential for successful completion
 - o Impact of marginal failure in the design performance on the scientific objectives
- R&D Requirements

- Identify R&D needed to meet specifications of the design
- R&D plan/Technology Maturation Plan
- Risk Management Update
 - Initial RMMP
 - Final results of all Phase 1 risk reduction activities presented

ROM estimates for Phases 2 and 3