



**Broad Agency Announcement**  
**Strategic Technologies**  
**STRATEGIC TECHNOLOGY OFFICE**  
**HR001117S0015**  
March 22, 2017

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## **PART I: OVERVIEW INFORMATION**

- **Federal Agency Name** – Defense Advanced Research Projects Agency (DARPA), Strategic Technology Office
- **Funding Opportunity Title** – Strategic Technologies
- **Announcement Type** –Initial announcement
- **Funding Opportunity Number** – HR001117S0015
- **Catalog of Federal Domestic Assistance Numbers (CFDA) - Not Applicable**
- **Dates**
  - Posting Date: March 22, 2017
  - BAA Closing Date: March 21, 2018
  
- **Anticipated individual awards** - Multiple awards are anticipated.
- **Types of instruments that may be awarded** - Procurement contract, grant, cooperative agreement, or other transaction.
- **Agency contact**
  - Points of Contact  
The BAA Coordinator for this effort may be reached at:  
[HR001117S0015@darpa.mil](mailto:HR001117S0015@darpa.mil)  
DARPA/STO  
ATTN: HR001117S0015  
675 North Randolph Street  
Arlington, VA 22203-2114

## **PART II: FULL TEXT OF ANNOUNCEMENT**

### **1. FUNDING OPPORTUNITY DESCRIPTION**

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

Proposed research should investigate approaches that enable revolutionary advances in science, devices, or systems. DARPA anticipates funding a limited number of proposals under this BAA. Specifically excluded are existing mature solutions and research that primarily results in evolutionary improvements to existing technologies.

#### **1.1 PROGRAM OVERVIEW**

DARPA is seeking innovative ideas and disruptive technologies that provide the U.S. military significant capability improvement to dominate across all scales of conflict intensity. These span highly contested force-on-force conflicts to ambiguous, complex “Gray Zone” conflicts<sup>1</sup>. Technologies should support conflicts that may take place in a range of environments from austere, remote locations to dense megacities. The Strategic Technology Office (STO) focus areas within these broader objectives include: Situation Understanding, Multi-Domain Maneuver, Hybrid Effects, System of Systems (SoS), Maritime Systems, System of System-Enhanced Small Units (SESU), and Foundational Strategic Technologies and Systems.

Research supporting any of STO's broad mission objectives identified in the Funding Opportunity Description above may be submitted under this BAA. Topic areas of specific interest include, but are not limited to, the following:

##### **1.1.1 Situation Understanding**

Dominating future conflicts depends upon situation understanding, the ability of military intelligence experts to answer “who, what, where, when, and why” battlespace questions and to provide weapons-quality estimates of target information such as identity, position, velocity, and configuration. This same capability must extend to Gray Zone conflicts, in which adversaries’ identities and objectives are ambiguous. The situation becomes even more complex in a megacity environment, in which adversaries inter-mix with dense populations and the environment itself is highly complex.

The U.S. military has become accustomed to providing situation understanding by collecting large quantities of Intelligence, Surveillance, and Reconnaissance (ISR) data in permissive environments, such as recent operations in Iraq and Afghanistan, and in processing and exploiting this information with ground-based exploitation and Command and Control (C2)

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<sup>1</sup> American Strategy and the Six Phases of Grief, Paul Scharre, War on the Rocks, October 2016

centers. However, new approaches are needed to provide survivable, standoff ISR in contested environments that is difficult for adversaries to detect, deceive, and counter and to resolve the uncertainty and manage the complexity of Gray Zone and megacity environments.

DARPA is seeking new, innovative methods for finding difficult targets in contested environments that could include combining existing or new sensor modalities, novel in-sensor Automatic Target Recognition (ATR) techniques, new algorithms, and new system concepts and processing techniques. These capabilities may include sensing modalities and signal processing that help avoid or defeat adversary deception and countermeasures. DARPA is also interested in new approaches for the design of low-cost, adaptable sensors that leverage commercial technologies and processes to reduce development time and cost, and increase adaptability and technology refresh rate of sensor systems.

For Gray Zone and megacity environments, DARPA is seeking new, innovative methods to collect and manage sensing in dense, complex environments. Sensors may include capabilities that can be rapidly deployed by small units and may also include exploitation of indigenous sensing and information available in modern urban environments. Information management capability should enable assimilation of this sensor data into models that support detection and planning of Gray Zone activities as well as maneuver in all dimensions of a complex environment, physical, infrastructure and information, and cognitive.

### **1.1.2 Multi-Domain Maneuver**

DARPA is interested in capabilities to enable the warfighter to maneuver successfully across a dynamic, complex, contested battlespace, requiring robust adaptive planning, system control, communications, and navigation capabilities. This capability will enable the U.S. warfighter to manage the complexity of these environments and impose it back against the adversary.

#### **1.1.2.1 Planning and Control**

Warfare is increasingly conducted by networks of platforms, weapons, sensors, and Electronic Warfare (EW) systems. The Battle Management Command & Control (BMC2) of such networks poses complex algorithmic and software challenges, particularly with intermittent connectivity, limited data rates, and robustness against network disruption from electronic and physical attack. Of particular interest are BMC2 technologies and systems for mixtures of manned and unmanned systems. Efforts in this area should develop and incorporate realistic assumptions concerning allocation of functions between human operators and automated systems.

DARPA is also seeking innovative technology to support Gray Zone operational planning. This may include technology that will let operators develop and evaluate multi-domain courses of action (COAs) that employ a wide range of physical, infrastructure, electro-magnetic, cyber, and cognitive domain effects. Of particular interest are novel concepts merging cognitive science and big data analytics to provide planners quantitative tests of their intuition.

### **1.1.2.2 Communications and Networking**

The success of military operations depends on assured, secure communications at every military echelon, from the continental U.S. to the forward-deployed warfighter. DARPA seeks system concepts and enabling technologies that will provide assured high-capacity mobile communication capabilities in space, air, ground, sea surface, and underwater environments. This will include systems with and without access to infrastructure. The goal is delivering relevant and timely information to the warfighter anytime and anywhere while denying the same capabilities to our adversaries. Approaches to this goal include developing new system concepts and technologies that improve network availability; increase network capacity and scaling; enable tolerance to network degradation; mitigate extremely high levels of man-made and natural electromagnetic interference; defeat network and RF exploitation techniques; and counter denial of service techniques. Performance and reliability should extend into megacity environments that are characterized by severely degraded propagation lines-of-sight and a very dense, complex spectrum environment with many intentional and unintentional interferers.

Approaches that can potentially mitigate emerging threats exploiting commercially-leveraged technologies are also desired. DARPA is interested in approaches that leverage commercial infrastructure when it is available as well as and those that leverage the capabilities and cost efficiencies of commercial devices, components, processes and applications. These commercial leveraging approaches will need to consider the reliability, robustness, and security of commercial infrastructure, devices, and applications in a military environment. Also of interest are approaches and technologies for preventing or disrupting the adversary's capability for assured communications.

Communication capabilities are of interest for interoperability with coalition partners and other allies. These communications should provide the greatest amount of adaptability and ease of configuration, while protecting operations and the integrity of U.S. networks.

Of special technical interest are approaches for greater spectrum efficiency in complex RF environments; new spectrum use technologies such as dynamic use of space/time, as well as access to new modalities, such as high frequency Radio Frequency (RF) and optical polarization; intra- and cross-modality (radar, communications, and sensing) spectrum access techniques; spatial reuse through higher frequency operations; interference avoidance and tolerance; and large-scale testing of complex RF environments.

### **1.1.2.3 Position, Navigation, and Time (PNT)**

The U.S. military has become increasingly dependent on the Global Positioning System (GPS) for accurate and precise position, navigation, and timing in a wide variety of operational environments. However, as U.S. military operations are increasingly being carried out in areas where GPS is denied, unreliable, or not accessible, military use of GPS has evolved from strategic advantage to vulnerability. GPS access can now be readily blocked by jamming or environmental conditions. Many environments in which our military operates (under heavy foliage, underground, underwater, in buildings, and in cities) have limited or no access to GPS. In addition, evolving mission requirements for EW, communications, and cooperative effects are

challenging the limits of state-of-the-art clocks used in military systems. Current system solutions for providing accurate and precise position, navigation and timing in GPS denied environments are costly, inflexible, and often need an external fix that requires intermittent access to GPS.

DARPA is seeking new technology and systems solutions to provide the U.S. military with accurate and precise PNT independent of GPS. Of particular interest are systems that provide long duration precision and accuracy in position and timing for global synchronization, secure communications, and cooperative effects. Technologies of interest include architectures for ad hoc PNT networks of disparate nodes; sensors and signal processing to enable PNT in adverse environments, including in cities and underground; and new architectures that enable other domains, such as communications, Electronic Warfare, and ISR systems, to support PNT systems. In addition, technologies that enable affordable, compact, and flexible system solutions that can quickly and easily be reconfigured to meet the PNT needs for a broad range of military missions and platforms continue to be of interest.

### **1.1.3 Hybrid Effects**

Dominating in all levels of conflict depends on the ability to deliver precise effects in impact and time. In a highly contested environment, lethal munitions must be delivered precisely against mobile targets from standoff ranges. Doing so also requires the ability to defend U.S. forces and weapon systems from sophisticated adversaries enhanced with highly capable EW solutions. Gray Zone conflict requires delivery of effects that are not only precise in their impact but also do not lead to undesirable escalation. Here, the target may be as much cognitive in terms of gaining influence, as it is physical. Achieving these goals requires a range of hybrid effects that span from kinetic to non-kinetic to information.

Creating specific kinetic effects in contested environments requires the ability to control the electromagnetic spectrum. The proliferation of highly capable RF technology has created a new emphasis on positive control of the electromagnetic (EM) spectrum. Many adversaries are increasing their reliance on RF sensing and communications in order to provide significant improvements to their offensive and defensive systems. This includes short-range tactical communications, long-range C2 communications networks, networked defensive systems, and RF seekers. DARPA is looking for system approaches for active and passive EW techniques in order to counter these advanced networked and agile systems using technologies such as distributed systems, coherent systems, disposable systems providing asymmetric capabilities, and close-in remote sensing coupled with advanced jamming and spoofing.

The EW capabilities that the U.S. military will encounter are also becoming much more sophisticated. Many advanced capabilities that were only available for use by the U.S. military are now available to be used against U.S. military systems. The commercial investments in RF materials, components, and subsystems are immense and the cost threshold to deploy high power, agile systems continues to drop. DARPA is seeking systems concepts and advanced technologies that provide the US military fundamental asymmetries to address these new capabilities. These can include concepts using physical and network solutions, distributed systems, as well as exploitation of precise spectral, time, and position information.

DARPA is also seeking technologies that combine cyber, EM, and EW capabilities. These capabilities may be especially important in a megacity environment to attack or defend infrastructure and to influence the mood and allegiances of a population. Of particular interest are modeling tools that enable tailoring of precise non-kinetic effects, even when target knowledge is highly uncertain.

#### **1.1.4 System of Systems (SoS)**

DARPA is interested in technologies to enable U.S. forces to acquire separate targeting, maneuver, and strike capabilities, and then rapidly integrate them into bespoke teams of manned and unmanned platforms. By imposing complexity on the enemy, and exploiting smaller signatures of unmanned platforms, SoS teams will increase the lethality and survivability of penetrating U.S. forces. They will also reduce life cycle system costs. Sensing, strike, and mission systems integrated into today's monolithic platforms will spread across more affordable unmanned platforms; and the cost to upgrade stand-alone systems will be far less than tightly integrated systems.

DARPA seeks innovative integration technologies that enable rapid distributed, heterogeneous force composition, including tools to analyze candidate SoS architectures and recommend force packages for specific missions. Novel technology is also of interest that yields interoperable systems without the need for costly, inflexible open standards. These technologies should enable force integration by rapid, automated generation interfaces between systems. These technologies should also minimize the threat from an expanded cyber attack surface and may incorporate deliberate cyber defense capability.

As also discussed above, a SoS cannot practically be fielded without decentralized control, likely with a high degree of autonomy, and agile communications. Technology that supports these capabilities is of interest. Offerings may also include new technology to accelerate validation and verification of a new SoS, potentially to extend as far as real-time, in situ software performance monitoring technology that bypass the need for traditional software testing and enable new degrees of autonomy.

Rapid SoS composition should not be limited only to software integration and message interoperability. Offerings may include concepts for rapid integration, re-configuration, and custom design and fabrication of new hardware systems. Technology to support SoS logistics is also of interest. Interests here include sensing and information technology to aid in the movement, storage, and maintenance of distributed, heterogeneous systems and supporting training technology.

DARPA is also seeking innovative technology to compress the time scale for system integration and SoS composition down to operationally relevant times (weeks to months), ideally enabling force composition at the operational campaign planning level. Technologies of this nature may eventually enable a commander to lay out a battle plan, the output of which is a completely new mission capability.

### **1.1.5 Maritime Systems**

While all of the technology interest areas discussed above may apply to the maritime domain, the size of the ocean and the environmental challenges of the surface-subsurface boundary pose unique challenges. DARPA is interested in innovative ideas for maritime networked operations in contested environments. Maritime networked systems must provide cost leverage and a high degree of adaptability to address new threats or missions. Ubiquitous, survivable communications and networking concepts that are extendable throughout the subsurface, surface, and air domains are of interest. Innovative ideas in ubiquitous communications and networking for the undersea domain are especially important to the integration of operations.

DARPA is interested in developing SoS methodologies to help maintain and enhance U.S. maritime superiority using distributed and disaggregated systems as force multipliers for scarce capital assets and potentially to project power from the undersea. This includes simulation tools to assess feasibility and conduct system trades in a mission context. Feasibility and affordability of these systems requires efficient and survivable delivery methods for off-board assets – network elements, sensors and effects packages - and novel delivery approaches are of interest. DARPA is interested in the use of autonomy at the end nodes and management tools at the network level to reduce the operator burden for these systems.

### **1.1.6 System of Systems-Enhanced Small Units (SESU)**

Future U.S. land forces are increasingly likely to face an adversary force that is overwhelmingly superior in size and armament. DARPA is interested in system and SoS capabilities that could enable a small unit (~200 soldiers, corresponding materiel footprint, and limited rear-echelon support) to defeat or at least deter and delay this overwhelming adversary.

DARPA is seeking force composition and integration technologies for land-based SESU manned and unmanned forces, with particular focus on integrating communications and navigation technologies for coordinated use on SoS platforms. Interests also include technology that enables manned/unmanned multi-mission operations.

To support more efficient manned/unmanned operations, as well as SESU operations in complex environments, DARPA is interested in new human-interface technologies that let operators simultaneously control an unmanned platform while carrying and using a weapon. New technologies will give SESU forces the ability to make cyber strikes or call for indirect cyber and information “fires,” attack more sophisticated EM targets, and employ kinetic and non-kinetic weapons that yield hybrid effects.

Innovative technologies are also sought to enable highly coordinated interoperability with host nation forces. Partner forces may range from formal host nation military partners to informal paramilitary militias to other partners who can provide delaying or information-gathering support. Technology should include both safe, secure, reliable communications, as well as the planning tools to integrate these various partners into coordinated operations, including aids to span cultural and language differences.

### **1.1.7 Foundational Strategic Technologies and Systems**

DARPA is seeking innovative ideas for systems and SoS incorporating disruptive technologies that offer significant potential capability improvement across multiple STO focus areas as described above. This could include technologies that would enable dramatic reduction in size, weight, power, or cost of systems, technologies that allow for adaptability and/or rapid refresh, technologies that offer the potential for significant advances in system level performance, and approaches to demonstrating the military utility of these systems and technologies. This can include aperture, components, hardware, firmware, software, or power mechanisms to reduce size, weight, power, cost, enable multiple modes, and simplify porting of signal processing waveforms and capabilities amongst multiple platforms with varying constraints, means to manage and control modes of operation, and/or means to collect performance information from multiple networks.

## **2. AWARD INFORMATION**

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

The Government reserves the right to select for negotiation all, some, one, or none of the proposals received in response to this solicitation, and to make awards without discussions with proposers. The Government also reserves the right to conduct discussions if it is later determined to be necessary. If warranted, portions of resulting awards may be segregated into pre-priced options. Additionally, DARPA reserves the right to accept proposals in their entirety or to select only portions of proposals for award. In the event that DARPA desires to award only portions of a proposal, negotiations may be opened with that proposer. The Government reserves the right to fund proposals in phases with options for continued work, as applicable. The Government reserves the right to request any additional, necessary documentation once it makes the award instrument determination. Such additional information may include but is not limited to Representations and Certifications (see Section 6.2.8., “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, and the proposer fails to timely provide requested additional information. Proposals identified for negotiation may result in a procurement contract, grant, cooperative agreement, or other transaction, depending upon the nature of the work proposed, the required degree of interaction between parties, whether or not the research is classified as Fundamental Research, and other factors.

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

In all cases, the Government contracting officer shall have sole discretion to select award instrument type, regardless of instrument type proposed, and to negotiate all instrument terms

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

## **2.1 FUNDAMENTAL RESEARCH**

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

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

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

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

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

## **3. ELIGIBILITY INFORMATION**

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

### **3.1 ELIGIBLE APPLICANTS**

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

##### **3.1.1.1 FFRDCs**

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

##### **3.1.1.2 Government Entities**

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

##### **3.1.1.3 Authority and Eligibility**

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

#### **3.1.2 Non-U.S. Organizations**

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

#### **3.1.3 Applicants Considering Classified Submissions**

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

## **3.2 ORGANIZATIONAL CONFLICTS OF INTEREST**

### FAR 9.5 Requirements

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

### Agency Supplemental OCI Policy

In addition, DARPA has a supplemental OCI policy that prohibits contractors/performers from concurrently providing Scientific Engineering Technical Assistance (SETA), Advisory and Assistance Services (A&AS) or similar support services and being a technical performer. Therefore, as part of the FAR 9.5 disclosure requirement above, a proposer must affirm whether the proposer or *any* proposed team member (subawardee, consultant) is providing SETA, A&AS, or similar support to any DARPA office(s) under: (a) a current award or subaward; or (b) a past award or subaward that ended within one calendar year prior to the proposal's submission date.

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

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

### Government Procedures

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

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

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

### **3.3 COST SHARING/MATCHING**

Cost sharing is not required; however, it will be carefully considered where there is an applicable statutory condition relating to the selected funding instrument. Cost sharing is encouraged where there is a reasonable probability of a potential commercial application related to the proposed research and development effort.

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

### **3.4 OTHER ELIGIBILITY REQUIREMENTS**

#### **3.4.1 Collaborative Efforts**

Collaborative efforts/teaming are encouraged.

## **4. APPLICATION AND SUBMISSION INFORMATION**

### **4.1 ADDRESS TO REQUEST APPLICATION PACKAGE**

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

### **4.2 CONTENT AND FORM OF APPLICATION SUBMISSION**

#### **4.2.1 Security And Proprietary Issues**

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

**Prior to sending any classified submissions, performers must provide advance notification to the BAA Coordinator via [HR001117S0015@darpa.mil](mailto:HR001117S0015@darpa.mil). For instructions on how to provide advanced notification at an unclassified level, refer to Section 4.2.2.**

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

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

**a. Proprietary Information**

Proposers are responsible for clearly identifying proprietary information. Submissions containing proprietary information must have the cover page and each page containing such information clearly marked with a label such as “Proprietary”. NOTE: “Confidential” is a classification marking used to control the dissemination of U.S. Government National Security Information as dictated in Executive Order 13526 and should not be used to identify proprietary business information.

**b. Security Information**

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

If a submission contains Classified National Security Information as defined by Executive Order 13526, the information must be appropriately and conspicuously marked with the proposed classification level and declassification date. Similarly, when the classification of a submission is in question, the submission must be appropriately and conspicuously marked with the proposed classification level and declassification date. Submissions requiring DARPA to make a final classification determination shall be marked as follows:

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

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

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

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

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

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

**Confidential and Secret Information**

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

Confidential and Secret classified information may be submitted via ONE of the two following methods:

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

OR

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

The inner envelope shall be addressed to:

Defense Advanced Research Projects Agency  
ATTN: Strategic Technology Office  
Reference: HR001117S0015  
675 North Randolph Street  
Arlington, VA 22203-2114

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

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

**Top Secret Information**

Use classification, handling, and marking guidance provided by previously issued SCGs, the DoD Information Security Manual (DoDM 5200.01, Volumes 1 - 4), and the National

Industrial Security Program Operating Manual, including the Supplement Revision 1, (DoD 5220.22-M and DoD 5200.22-M Sup. 1). Top Secret information must be hand-carried by an appropriately cleared and authorized courier to the DARPA CDR. Prior to traveling, the courier shall contact the DARPA CDR at 703-526-4052 to coordinate arrival and delivery.

**Sensitive Compartmented Information (SCI)**

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

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

**Special Access Program (SAP) Information**

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

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

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

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

**4.2.2 Executive Summary, Abstract, and Proposal Information**

For all responses to this BAA, the responder must clearly identify the technical topic area(s) the proposed effort seeks to address.

In order to reduce the administrative burden on proposers and the Government and in an attempt to mitigate unnecessary costs associated with the generation of proposals that are not of interest

to DARPA/STO, described herein is the Government's process for submittal of information for evaluation. Any responsible proposer is encouraged to respond.

Proposers are strongly encouraged to submit an executive summary prior to proposal abstracts or full proposals. The recommended order of submissions is executive summary, abstract, proposal. Please note it is not mandatory to submit an executive summary and/or abstract before submitting a full proposal. This procedure is intended to minimize unnecessary effort in proposal preparation and review. The time and date for submissions is specified in Section 4.4.1 below. DARPA will acknowledge receipt of the submission and assign a control number that should be used in all further correspondence regarding the submission.

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

Unclassified executive summaries, abstracts, and proposals sent in response to HR00117S0015 may be submitted via DARPA's BAA Website (<https://baa.darpa.mil>). Proposals may not be submitted by fax or email; any so sent will be disregarded. Note: If an account has already been created for the DARPA BAA Website, this account may be reused. If no account currently exists for the DARPA BAA Website, visit the website to complete the two-step registration process. Submitters will need to register for an Extranet account (via the form at the URL listed above) and wait for two separate e-mails containing a username and temporary password. After accessing the Extranet, submitters may then create an account for the DARPA BAA website (via the "Register your Organization" link along the left side of the homepage), view submission instructions, and upload/finalize the proposal. Proposers using the DARPA BAA Website may encounter heavy traffic on the submission deadline date; it is highly advised that submission process be started as early as possible.

All unclassified concepts submitted electronically through DARPA's BAA Website must be uploaded as zip files (.zip or .zipx extension). The final zip file should be no greater than 50 MB in size. Only one zip file will be accepted per submission, and submissions not uploaded as zip files will be rejected by DARPA.

Technical support for DARPA's BAA Website may be reached at [BAAT\\_Support@darpa.mil](mailto:BAAT_Support@darpa.mil), and is typically available during regular business hours, (9:00 AM- 5:00 PM EST Monday - Friday).

Classified submissions and proposals requesting assistance instruments (grants or cooperative agreements) should NOT be submitted through DARPA's BAA Website (<https://baa.darpa.mil>), though proposers will likely still need to visit <https://baa.darpa.mil> to register their organization

(or verify an existing registration) to ensure the BAA office can verify and finalize their submission.

#### **4.2.3 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.

#### **4.2.4 Disclosure of Information and Compliance with Safeguarding Covered Defense Information Controls**

Unless a proposer is performing strictly fundamental research, all proposers receiving FAR-based Procurement Contracts under this BAA shall be compliant with the following:

DFARS 252.204-7000, "Disclosure of Information"

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

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

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

Compliance with the above requirements includes the mandate for proposers to implement the security requirements specified by National Institute of Standards and Technology (NIST) Special Publication (SP) 800-171, "Protecting Controlled Unclassified Information in Nonfederal Information Systems and Organizations" (see <https://doi.org/10.6028/NIST.SP.800-171r1>) that

are in effect at the time the BAA is issued, or as authorized by the Contracting Officer, not later than December 31, 2017.

### **4.3 FORMATTING CHARACTERISTICS**

#### **4.3.1 Executive Summary Format**

All submissions must be in the following format – nonconforming submissions may be rejected without further review. The executive summary should be clearly marked "EXECUTIVE SUMMARY" and the total length shall not exceed one (1) page. A page is defined as being no larger than 8.5" by 11.0". (Accordion-style foldouts will be counted as multiple pages equivalent to the expanded size.) Proposals must be written in English, and with 1" margins (left, right, top, and bottom) on each page and contain no smaller than 12-point font type. The page limitation for executive summaries includes all point of contact information, figures, tables, and charts. Do not submit additional copies of the same executive summary for different technical topic areas. If an executive summary applies to more than one area, simply indicate that fact.

#### **4.3.2 Proposal Abstract Format**

Proposal abstracts are encouraged in advance of proposals in order to provide potential proposers with a rapid response to minimize unnecessary effort. Proposal abstracts should follow the format provided below. The cover sheet should be clearly marked "PROPOSAL ABSTRACT" and the total length should not exceed 6 pages, excluding cover page and official transmittal letter. All pages shall be printed on 8.5" by 11.0" paper and contain no smaller than 12-point font type. Smaller font may be used for figures, tables and charts. The page limitation for proposal abstracts includes all figures, tables, and charts. No formal transmittal letter is required. All proposal abstracts must be written in English.

##### 4.3.2.1. Cover sheet to include:

1. BAA number
2. Technical area (see Sec 1.1)
3. Lead Organization Submitting proposal
4. Type of organization, selected among the following categories: "LARGE BUSINESS," "SMALL DISADVANTAGED BUSINESS," "OTHER SMALL BUSINESS," "HBCU," "MI," "OTHER EDUCATIONAL," or "OTHER NONPROFIT"
5. Contractor's reference number (if any)
6. Other team members (if applicable) and type of organization for each
7. Abstract title
8. Technical point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available)
9. Administrative point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available)
10. Estimated funds requested from DARPA for each phase proposed and the total estimated proposed cost; and the amount of cost share (if any)
11. Date abstract was prepared.

Abstracts may be structured as you wish. Here is one example of an abstract structure. You may wish to only accept the technical portions and eliminate the teaming/org chart, funding information, and discussion of other research off. The proposer may choose any combination of suggested portions listed below; however, the total length must not exceed 6 pages.

4.3.2.2 Executive Summary:

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

4.3.2.3 Summary of Innovative Claims for the Proposed Research:

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

4.3.2.4 Summary of Technical Approach:

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

4.3.2.5 Organization and Teaming Chart:

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

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

4.3.2.6 Summary of Deliverables and Approach to Intellectual Property:

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

4.3.2.7 Summary of Estimated Cost, Schedule, and Milestones:

Summarize, in table form, estimated cost, schedule, and milestones for the proposed research.

4.3.2.8 Discussion of Other Research:

Compare the proposed effort with other ongoing research in this area. Describe the advantages and disadvantages of the proposed effort in comparison with other relevant research.

### **4.3.3 Proposal Format**

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

#### 4.3.3.1 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 organization, selected among the following categories: “LARGE BUSINESS”, “SMALL DISADVANTAGED BUSINESS”, “OTHER SMALL BUSINESS”, “HBCU”, “MI”, “OTHER EDUCATIONAL”, OR “OTHER NONPROFIT”
  - (5) Proposer’s reference number (if any)
  - (6) Other team members (if applicable) and type of organization for each
  - (7) Proposal title
  - (8) Technical point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available)
  - (9) Administrative point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available)
  - (10) Date proposal was submitted
  - (11) Total funds requested from DARPA, and the amount of cost share (if any)
  
- B. Official transmittal letter

##### Section II. Summary of Proposal {No more than 14 pages}

- A. Innovative claims for the proposed research. This section is the centerpiece of the proposal and should succinctly describe the uniqueness and benefits of the proposed approach relative to the current state-of-art alternate approaches.
- B. Deliverables associated with the proposed research and the plans and capability to accomplish technology transition and commercialization. Include in this section all proprietary claims to the results, prototypes, intellectual property, or systems supporting and/or necessary for the use of the research, results, and/or prototype. If there are not proprietary claims, this should be stated.

- C. Technical rationale, technical approach, and constructive plan for accomplishment of technical goals in support of innovative claims and deliverable production. (In the proposal, this section should be supplemented by a more detailed plan in Section III.)
- D. General discussion of other research in this area.
- E. A clearly defined organization chart for the program team which includes, as applicable: (1) the programmatic relationship of team member; (2) the unique capabilities of team members; (3) the task of responsibilities of team members; (4) the teaming strategy among the team members; and (5) the key personnel along with the amount of effort to be expended by each person during each year.
- F. A three slide summary of the proposal in PowerPoint that quickly and succinctly indicates the concept overview, key innovations, expected impact, and other unique aspects of the proposal. The format for the summary slides is included as APPENDIX 1 to this BAA and does not count against the page limit.

**Section III. Detailed Proposal Information** {No more than 30 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 count 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.

<b>Reporting Deliverables</b>	
<b>Item</b>	<b>Date/Frequency</b>
<b>(LIST)</b>	<b>(LIST)</b>

<b>Tech Deliverables</b>		
<b>Item</b>	<b>Deliverable Date</b>	<b>Deliverable Location</b>
<b>(LIST)</b>	<b>(LIST)</b>	<b>(LIST)</b>

<b>IP Claims</b>	<b>(LIST)</b>
<b>Data Restrictions</b>	<b>(LIST)</b>

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

**Do not include any proprietary information in the SOW.**

- B. Description of the results, products, transferable technology, and expected technology transfer path enhancing that of Section II. B. This should also address mitigation of life-cycle and sustainment risks associated with transitioning intellectual property for U.S. military applications, if applicable. See also Section 8.1 “Intellectual Property.”
- C. Detailed technical rationale enhancing that of Section II.
- D. Detailed technical approach enhancing and completing that of Section II.
- E. Comparison with other ongoing research indicating advantages and disadvantages of the proposed effort.
- F. 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. The milestones must not include proprietary information.

Section IV. Additional Information {No more than 20 pages}

A brief bibliography of relevant technical papers and research notes (published and unpublished) which document the technical ideas upon which the proposal is based. These papers or research notes will not be formally reviewed against the evaluation criteria, but should allow technical understanding of the claims made. Copies of not more than three (3) relevant papers can be included in the submission.

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

All proposers, including FFRDCs, must submit the following:

Cover sheet to include:

- (1) BAA number;
- (2) Technical area;
- (3) Lead Organization Submitting proposal;

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

Proposers without an accounting system considered adequate for determining accurate costs must complete an SF 1408 if a cost type contract is to be negotiated. To facilitate this process, proposers should complete the SF 1408 found at <http://www.gsa.gov/portal/forms/download/115778> and submit the completed form with the proposal. To complete the form, check the boxes on the second page, then provide a narrative explanation of your accounting system to supplement the checklist on page one. For more information, please see [http://www.dcaa.mil/preaward\\_accounting\\_system\\_adequacy\\_checklist.html](http://www.dcaa.mil/preaward_accounting_system_adequacy_checklist.html).

The Government strongly encourages that tables included in the cost proposal also be provided in an editable (e.g., MS Excel) format with calculation formulas intact to allow traceability of the cost proposal numbers across the prime and subcontractors. This includes the calculations and adjustments that are utilized to generate the Summary Costs from the source labor hours, labor costs, material costs, etc. input data. The Government prefers receiving cost data as Excel files; however, this is not a requirement. If the PDF submission differs from the Excel submission, the PDF will take precedence. Each copy must be clearly labeled with the DARPA BAA number, proposer organization, and proposal title (short title recommended).

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

- (1) total program cost broken down by major cost items to include:
  - i. direct labor, including individual labor categories or persons, with associated labor hours and numbered direct labor rates
  - ii. If consultants are to 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.
  - v. Other Direct Costs – Should be itemized with costs or estimated costs. Backup documentation will be submitted to support proposed costs. An explanation of any estimating factors, including their derivation and application, must be provided. Please include a brief description of the proposers' procurement method to be used
- (2) major program tasks by fiscal year
- (3) an itemization of major subcontracts and equipment purchases, to include: a cost proposal as detailed as the Proposer's cost proposal
- (4) an itemization of any information technology (IT) purchase, as defined in FAR Part 2.101
- (5) a summary of projected funding requirements by month
- (6) the source, nature, and amount of any industry cost-sharing. Where the effort consists of multiple portions which could reasonably be partitioned for purposes of funding, these should be identified as options with separate cost estimates for each
- (7) identification of pricing assumptions of which may require incorporation into the resulting award instrument (e.g., use of Government Furnished Property/Facilities/Information, access to Government Subject Matter Expert/s, etc.)

The proposer should include supporting cost and pricing information in sufficient detail to substantiate the summary cost estimates and should include a description of the method used to estimate costs and supporting documentation. Per FAR 15.403-4, certified cost or pricing data shall be required if the proposer is seeking a procurement contract award per the referenced threshold, unless the proposer requests and is granted an exception from the requirement to submit cost or pricing data. Certified cost or pricing data are not required if the proposer proposes an award instrument other than a procurement contract (e.g., other transaction.)

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.

All proprietary subcontractor proposal documentation, prepared at the same level of detail as that required of the prime and which cannot be uploaded with the proposed prime contractor's

proposal), shall be provided to the Government either by the prime contractor or by the subcontractor organization when the proposal is submitted. Subcontractor proposals submitted to the Government by the prime contractor should be submitted in a sealed envelope that the prime contractor will not be allowed to view. The subcontractor must provide the same number of hard copies and/or electronic proposals as is required of the prime contractor.

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

All proposers requesting an Other Transaction for Prototypes (OT) agreement must include a detailed list of milestones. Each milestone must include the following: milestone description, completion criteria, due date, and payment/funding schedule (to include, if cost share is proposed, contractor and Government share amounts). It is noted that, at a minimum, milestones should relate directly to accomplishment of program technical metrics as defined in the BAA and/or the proposer's proposal. Agreement type, fixed price or expenditure based, will be subject to negotiation by the Agreements Officer. Do not include proprietary data.

#### **4.4 SUBMISSION DATES AND TIMES**

##### **4.4.1 Executive Summary, Abstract, and Proposal Submission Deadline**

The executive summary, abstract, and/or proposal must be submitted via the DARPA BAA website OR received via hard copy on or before 4:00 p.m., EST, March 21, 2018. Submissions received after this time and date may not be reviewed.

#### **4.5 FUNDING RESTRICTIONS**

Not applicable.

#### **4.6 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; and 5.1.3 Cost Realism.

##### **5.1.1 Overall Scientific and Technical Merit**

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

Task descriptions and associated technical elements provided are complete and in a logical sequence with all proposed deliverables clearly defined such that a final product that achieves the goal can be expected as a result of award. The proposal clearly identifies major technical risks and clearly defines feasible planned mitigation strategies and efforts to address those risks. The proposal clearly explains the technical approach(es) that will be employed to meet or exceed each program goal and system metric listed in Section 1.2 and provides ample justification as to why the approach(es) is feasible. The Government will also consider the structure, clarity, and responsiveness to the statement of work; the quality of proposed deliverables; and the linkage of the statement of work, technical approach(es), risk mitigation plans, costs, and deliverables of the prime 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 are relevant to the national technology base. Specifically, DARPA's mission is to make pivotal early technology investments that create or prevent strategic surprise for U.S. National Security.

In addition, the evaluation will take into consideration the extent to which the proposed technical deliverables and intellectual property (IP) rights will potentially impact the Government's ability to transition technology.

### **5.1.3 Cost Realism**

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

It is expected that the effort will leverage all available relevant prior research in order to obtain the maximum benefit from the available funding. For efforts with a likelihood of commercial application, appropriate direct cost sharing may be a positive factor in the evaluation. 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**

DARPA will conduct a scientific/technical review of each conforming proposal. Conforming proposals comply with all requirements detailed in this BAA; proposals that fail to do so may be deemed non-conforming and may be removed from consideration. Proposals will not be evaluated against each other since they are not submitted in accordance with a common work

statement. DARPA's intent is to review proposals as soon as possible after they arrive; however, proposals may be reviewed periodically for administrative reasons

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

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

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

## **6. AWARD ADMINISTRATION INFORMATION**

### **6.1 SELECTION NOTICES AND NOTIFICATIONS**

#### **6.1.1 Executive Summaries**

DARPA will respond to executive summaries with a letter of "Interest" or "No Interest" in the topic, based on relevance to the STO mission and interest in the technology topic. A letter of interest will encourage the submission of an abstract. A letter of no interest will discourage the submission of an abstract. Regardless of DARPA's response to an executive summary, proposers may submit an abstract or full proposal.

#### **6.1.2 Abstracts**

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

### **6.1.3 Proposals**

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

## **6.2 ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

### **6.2.1 Meeting And Travel Requirements**

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

### **6.2.2 FAR and DFARS Clauses**

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

### **6.2.3 Human Research Subjects/Animal Use**

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

### **6.2.4 Grant Abstract**

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

### **6.2.5 Subcontracting**

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

### **6.2.6 Electronic And Information Technology**

All electronic and information technology acquired or created through this BAA must satisfy the accessibility requirements of Section 508 of the Rehabilitation Act (29 U.S.C § 794d)/FAR 39.2.

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

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

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

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

### **6.2.9 Terms and Conditions**

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

### **6.2.10 Representations and Certifications**

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

## **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.

## **6.4 ELECTRONIC SYSTEMS**

### **6.4.1 Wide Area Work Flow (WAWF)**

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

### **6.4.2 i-EDISON**

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

## **7. AGENCY CONTACTS**

Administrative, technical or contractual questions should be sent via e-mail to HR001117S0015@darpa.mil. All requests must include the name, email address, and phone number of a point of contact.

### Points of Contact

The BAA Coordinator for this effort may be reached at:

[HR001117S0015@darpa.mil](mailto:HR001117S0015@darpa.mil)

DARPA/STO

ATTN:HR001117S0015

675 North Randolph Street

Arlington, VA 22203-2114

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

## **8. OTHER INFORMATION**

### **8.1 INTELLECTUAL PROPERTY**

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

#### **8.1.1 Procurement Contract**

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

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

#### **8.1.2 Nonprocurement Contract**

Proposers responding to this BAA requesting a Grant, Cooperative Agreement, Technology Investment Agreement, or Other Transaction for Prototypes shall follow the applicable rules and

regulations governing these various award instruments, but, in all cases, should appropriately identify any potential restrictions on the Government's use of any Intellectual Property contemplated under the award instrument in question. This includes both Noncommercial Items and Commercial Items. Proposers are encouraged use a format similar to that described in Paragraph a. above. If no restrictions are intended, then the proposer should state "NONE."

**9. APPENDIX 1: PROPOSAL SLIDE SUMMARY**

<b>Organization Name</b> Concept
<b>Describe How It Works / Innovative Claims</b>

<b>Organization Name</b> Contract/Proposal Specifics
<ul style="list-style-type: none"><li><input type="checkbox"/> <b>Intellectual Property</b></li><li><input type="checkbox"/> <b>Data rights summary</b></li><li><input type="checkbox"/> <b>Deliverables</b></li></ul>

<b>Organization Name Schedule/Cost</b>		
<b>Base</b>	<b># Months</b>	<b>##M</b>
<b>Option 1</b>	<b>## Months</b>	<b>##M</b>
<b>Option 2</b>	<b>## Months</b>	<b>##M</b>
<b>Program Total</b>	<b>## Months</b>	<b>##M</b>

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

**10. APPENDIX 2: VOLUME 1 COVER SHEET TEMPLATE**

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

- (1) BAA Number: \_\_\_\_\_
- (2) Technical Area: \_\_\_\_\_
- (3) Lead Organization Submitting Proposal: \_\_\_\_\_
- (4) Type of Organization, selected among the following categories: “LARGE BUSINESS”, “SMALL DISADVANTAGED BUSINESS”, “OTHER SMALL BUSINESS”, “HBCU”, “MI”, “OTHER EDUCATIONAL”, OR “OTHER NONPROFIT”
- (5) Other team members (if applicable) and type of organization for each:  
Company 1 (Other Small Business)  
Company 2 (Large Business)  
Company 3 (Large Business)  
University (Other Educational)
- (6) Contractor’s reference number (if any): \_\_\_\_\_
- (7) Proposal Title: \_\_\_\_\_  
Proposal directed to the attention of (if applicable): \_\_\_\_\_
- (8) Technical point of contact to include:  
Salutation, last name first name  
Street Address  
Street Address 2  
City, State, Zip Code  
Telephone, Fax (if available)  
Electronic mail (if available)
- (9) Administrative point of contact to include:  
Salutation, last name first name  
Street Address  
Street Address 2  
City, State, Zip Code  
Telephone, Fax (if available)  
Electronic mail (if available)
- (10) Date proposal submitted: \_\_\_\_\_
- (11) Total funds requested from DARPA, and the amount of cost share (if any): \_\_\_\_\_

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

**Volume II, Cost Proposal  
Cover Sheet**

- (1) BAA Number: \_\_\_\_\_
- (2) Technical Area: \_\_\_\_\_
- (3) Lead Organization Submitting Proposal: \_\_\_\_\_
- (4) Type of Organization, selected among the following categories: “LARGE BUSINESS”, “SMALL DISADVANTAGED BUSINESS”, “OTHER SMALL BUSINESS”, “HBCU”, “MI”, “OTHER EDUCATIONAL”, OR “OTHER NONPROFIT”
- (5) Other team members (if applicable) and type of organization for each:  
Company 1 (Other Small Business)  
Company 2 (Large Business)  
Company 3 (Large Business)  
University (Other Educational)
- (6) Contractor’s reference number (if any): \_\_\_\_\_
- (7) Proposal Title: \_\_\_\_\_  
Proposal directed to the attention of (if applicable): \_\_\_\_\_
- |  |   |
|--|---|
| (8) Technical point of contact to include: | (9) Administrative point of contact to include: |
| Salutation, last name first name           | Salutation, last name first name                |
| Street Address                             | Street Address                                  |
| Street Address 2                           | Street Address 2                                |
| City, State, Zip Code                      | City, State, Zip Code                           |
| Telephone, Fax (if available)              | Telephone, Fax (if available)                   |
| Electronic mail (if available)             | Electronic mail (if available)                  |
- (10) Award Instrument Requested: cost-plus-fixed-fee (CPFF), cost-contract – no fee, cost sharing contract – no fee, or other type of procurement contract (specify), or other transaction
- (11) Place and period of performance: \_\_\_\_\_
- (12) Total proposed cost separated by basic award and option(s) (if any): \_\_\_\_\_
- (13) Proposer’s Cognizant Defense Contract Management Agency (DCMA), Defense Contract Audit Agency (DCAA) Information:
- |  |                                  |
|--|----------------------------------|
| DCMA Administration Office (if known): | DCAA Audit Office (if known):    |
| Salutation, last name first name       | Salutation, last name first name |
| Street Address                         | Street Address                   |

Street Address 2  
City, State, Zip Code  
Telephone, Fax (if available)

Street Address 2  
City, State, Zip Code  
Telephone, Fax (if available)

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

(15) Date proposal submitted: \_\_\_\_\_

(16) DUNS number: \_\_\_\_\_

(17) TIN (Tax Information Number): \_\_\_\_\_

(18) CAGE Code: \_\_\_\_\_

(19) Subcontractor Information: \_\_\_\_\_

(20) Proposal validity period: \_\_\_\_\_

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

**The following checklist and sample templates are provided to assist the proposer in developing a complete and responsive cost volume. Full instructions appear in Section 4.3.2.2 beginning on Page 22. This worksheet must be included with the coversheet of the Cost Proposal.**

1. Are all items from Section 4.3.2.2 (Volume II, Cost Proposal) of HR001117S00015 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.