



Broad Agency Announcement
Experimental Spaceplane (XS-1)
Tactical Technology Office (TTO)
DARPA-BAA-14-01
November 12, 2013

Contents

Part I: Overview Information.....	3
Part II: Full Text of Announcement.....	5
I. Funding Opportunity Description.....	5
II. Award Information.....	14
III. Eligibility Information.....	16
A. Eligible Applicants.....	17
B. Procurement Integrity, Standards of Conduct, Ethical Considerations, and Organizational Conflicts of Interest.....	18
C. Cost Sharing/Matching.....	19
D. Other Eligibility Criteria.....	19
IV. Application and Submission Information.....	19
A. Address to Request Application Package.....	19
B. Content and Form of Application Submission.....	19
V. Application Review Information.....	31
A. Evaluation Criteria.....	31
B. Review and Selection Process.....	32
VI. Award Administration Information.....	33
A. Selection Notices.....	33
B. Administrative and National Policy Requirements.....	33
C. Reporting.....	38
D. Electronic Systems.....	38
VII. Agency Contacts.....	38
VIII. Other Information.....	39
A. Intellectual Property Procurement Contract Proposers.....	39
B. Non-Procurement Contract Proposers – Noncommercial and Commercial Items (Technical Data and Computer Software).....	40
C. All Proposers – Patents.....	41
D. All Proposers – Intellectual Property Representations.....	41

Part I: Overview Information

- **Federal Agency Name** – Defense Advanced Research Projects Agency (DARPA), Tactical Technology Office (TTO)
- **Funding Opportunity Title** – Experimental Spaceplane (XS-1)
- **Announcement Type** – Initial Announcement
- **Funding Opportunity Number** – DARPA-BAA-14-01
- **Catalog of Federal Domestic Assistance Numbers (CFDA)** – Not applicable
- **Dates**
 - Posting Date: 12 November 2013
 - Questions Due Date: 22 November 2013
 - Proposal Due Date: 16 January 2014
- **Concise description of the funding opportunity:**
 The objective of the Experimental Spaceplane (XS-1) program is to demonstrate a reusable first stage launch vehicle capable of carrying and deploying an upper stage that inserts 3,000 to 5,000 lb. payloads into Low Earth Orbit (LEO), designed for less than \$5M per launch for an operational system. Technologies derived from the XS-1 program will enable routine space launch capabilities with aircraft-like cost, operability and reliability. The long-term intent is for XS-1 technologies to be transitioned to support not only next-generation launch for Government and commercial customers, but also global reach hypersonic and space access aircraft.

Current space launch vehicles are very expensive, have no surge capability and must be contracted years in advance (i.e., long call up times). For example, the U.S. Air Force's Evolved Expendable Launch Vehicle (EELV) and Minotaur IV launch vehicles have dramatically increased in cost since the inception of the programs. In an era of declining budgets and proliferating foreign threats to U.S. air and space assets the need for responsive, affordable access to space is increasingly critical. XS-1 will directly address the need for small payloads launched using low cost and operationally efficient concepts of employment (CONEMPs) based on a "clean pad" approach. Moreover, it will provide a foundation to build upon for larger launch systems in the future.

It is also envisioned that the XS-1 program will mature many of the key technologies and operational processes needed to enable future hypersonic aircraft and space access vehicles. Missions performed by such follow-on vehicles could include hypersonic technology maturation and routine global reach intelligence, surveillance and reconnaissance (ISR) as well as other military applications. The potential to transition XS-1 designs, technology and corresponding operating concepts to future aircraft is an important opportunity for the program.

- **Total amount of money to be awarded:** The planned budget available for performers is \$14M in Phase I, and approximately \$140M as a Phase II/III design-to-cost goal.
- **Anticipated individual awards:** Multiple awards are anticipated in Phase I, in two types: 1) system design tasks, and 2) critical risk reduction tasks. Each Phase I system design task performer may be initially awarded up to \$3.0M, with an option for up to an additional \$1.0M. Each Phase I critical risk reduction task award will be for up to \$1.0M per performer. Toward the end of Phase I, the Government will determine whether to proceed to Phases II/III. If so, one system design performer will be selected to proceed into Phase II. Awards are subject to the availability of funds.
- **Types of instruments that may be awarded:** Procurement contract or other transaction.
- **Any cost sharing requirements:** See Section III.C
- **Agency contact:**
Mr. Jess Sponable
DARPA/TTO
ATTN: BAA-14-01
675 North Randolph Street
Arlington, VA 22203-2114
EMAIL: DARPA-BAA-14-01@darpa.mil

Part II: Full Text of Announcement

I. Funding Opportunity Description

The Defense Advanced Research Projects Agency often selects its research efforts through the Broad Agency Announcement (BAA) process. This BAA is being issued, and any resultant selection will be made, using procedures under Federal Acquisition Regulation (FAR) 35.016. Any negotiations and/or awards will use procedures under FAR 15.4, Contract Pricing, as specified in the BAA. Proposals received as a result of this BAA shall be evaluated in accordance with evaluation criteria specified herein through a scientific review process.

DARPA BAAs are posted on the Federal Business Opportunities (FedBizOpps) website, <http://www.fbo.gov/>. The following information is for those wishing to respond to the BAA.

Program Overview

DARPA is soliciting innovative research proposals for the development and demonstration of responsive space launch capabilities with aircraft-like cost, operability and reliability. The XS-1 program vision is to: 1) break the cycle of escalating space system launch and high satellite costs, 2) mature the technology for affordable, routine space access and global reach aircraft, and 3) deliver a residual capability to rapidly launch, recover, and reconstitute a first stage launch vehicle capable of delivering 3,000 to 5,000 lb. payloads to Low Earth Orbit (LEO) at one tenth the cost of today's launch systems. To accomplish these goals, the program will perform risk reduction and design, then, if approved to proceed to Phases II and III, fabricate and fly an experimental autonomous spaceplane. This reusable hypersonic X-Plane will demonstrate the potential for low cost and high operations tempo military flight systems that can operate in the strategic threat environments of the 21st century, both for next- generation space launch and global reach aircraft.

Program Goals

The goal of the program is to demonstrate the feasibility of a high-speed flight vehicle with an expendable upper stage. This reusable craft would enable capability for launch of small payloads and hypersonic testing, while demonstrating scalability and traceability to future global reach aircraft. XS-1 has the following demonstration goals: fly ten times in ten days, fly to Mach 10 at least once, launch a representative payload to orbit at least once, and be designed to insert a payload of 3,000 to 5,000 pounds to LEO at less than \$5M per launch (assuming greater than 10 flights per year). This is a design-to-cost program to meet the available Phase II/III anticipated funding. Performers are expected to prioritize the goals in service of both the overall program vision and design-to-cost requirements and identify suggested changes for Phases II and III.

Successful demonstration of these goals will provide a proof-of-concept for responsive space launch capabilities. Flying ten times in ten days will demonstrate aircraft-like operability and requires a “clean pad” model along with rapid recovery and reconstitution, thus creating a new paradigm for routine space operations. The ability to launch a payload to orbit at less than \$5M will represent approximately a 10X cost reduction compared to Minotaur IV capabilities, with potential for further reductions using scaled-up systems. Flying to Mach 10 or greater will reduce both the size and cost of the expendable upper stage and result in aero-thermal environments enabling the acquisition of much-needed data for future hypersonic development. Delivering a launch capability for responsive payloads will provide an immediate operational benefit to military, civil, and commercial stakeholders.

It should be noted that \$5M per orbital launch is a target goal for an operational system. This includes direct launch costs (fuel, labor), expendable upper stage(s) (not including the payload), and amortized indirect costs, all assuming at least 10 flights per year.

Phase I of the program will consist of two tasks:

- 1) System design, and
- 2) Critical risk reduction

A minimum of one award for system design is expected. Performers may submit proposals for critical risk reduction tasks irrespective of whether or not they intend to be prime performers for system design. DARPA intends for the technologies developed and demonstrated in the performance of critical risk reduction tasks to be integrated into system designs by the Preliminary Design Review (PDR). At the end of Phase I, system design performers will recommend to the Government what technologies and products from critical risk reduction tasks should be incorporated in their Phase II/III designs. Separate awards for critical risk reduction are not planned for Phase II/III. It is incumbent on critical risk reduction performers to collaborate with system design performers to encourage the incorporation of their technologies, knowledge, and understanding in system design efforts. The Government may hold periodic collaboration meetings to facilitate these efforts.

DARPA seeks innovative proposals that assess alternative technical approaches from the perspectives of feasibility, performance, system design and development cost, operational cost, and suitability for transition to follow-on applications. At a minimum, the Government recommends the performers examine the following critical technical and business case trades with respect to their XS-1 design.

Transition Opportunities: The XS-1 flight demonstration will support near-term transition opportunities for launching small payloads per the program goals. Performers shall identify how they will structure the program to credibly support transitioning the technology to military, civil and commercial users. Performers shall also consider additional transition opportunities in developing their designs, including how the XS-1 demonstrator could support future hypersonic testing and a future space access aircraft.

Vehicle Design and Integration: Air vehicle design should be developed with a prudent mix of near-term and advanced technologies. The focus should be successful integration of the subsystems with credible design-to-cost goals.

Propulsion System: The use of off-the-shelf propulsion versus accepting some developmental risk needs to be fully assessed.

Materials, Structures and Thermal Protection: The use of advanced materials and arrangements for propellant tanks, airframe structure, and thermal protection systems can potentially reduce weight, but the specific choices need to be assessed against robustness, cost, and transition needs.

Autonomous Operations: System development should identify and trade incorporation of autonomous operations processes, technologies, and approaches developed in the aviation and space sectors. Autonomy must be as pervasive as possible in order to expedite employment, recovery, and reconstitution.

Flight Operations: Participating in early trades to identify the preferred flight test range will facilitate the development of a safe and affordable flight test program. Future flight operations should be designed with a clear path from flight testing and development to minimal-manpower operational employment.

Program Plan

XS-1 will be a demonstration vehicle that will prove concept feasibility and demonstrate the critical enabling technologies and operations for next generation spaceplanes. The focus of the program is the overall system design, the reusable first stage vehicle, and the operations concepts that are integral to the spaceplane architecture. The challenge is developing an X-Plane program that satisfies the program goals within the cost constraints by using near-term and advanced technology and operations.

In order to achieve the challenging objectives of the XS-1 program, performers are expected to conduct their program activities with capable, experienced, creative, and effective personnel teams. Lean management and systems engineering principles will be employed by DARPA and should be employed by performer teams. The goal is to empower personnel while minimizing management overhead associated with both Government and internal performer company processes. Performers' personnel teams are expected to execute a flexible, adaptive, and streamlined program where decisions can be made expediently based on technical merit, programmatic merit, and up-to-date information without rigid and inflexible adherence to traditional top-down program management models.

The XS-1 program will be conducted in three phases. The system design from Phase I must support Phase II/III.

- Phase I: Initial Design and Risk Reduction
- Phase II: Final Design, Fabrication, and Integration Assembly and Test
- Phase III: Flight Test Campaign

Phase I is intended to evaluate the technical feasibility and methods for approaching, achieving, or exceeding the objective performance goals. During the first phase, one or more proposals may be selected to 1) develop the XS-1 demonstration concept, 2) identify core component technologies, 3) conduct critical risk reduction, and 4) develop a technology maturation plan that allows flight demonstration and validation of system capabilities. Only those performers that receive Phase I prime contracts may be invited to submit updated proposals. Based on the results of Phase I and funding availability, if the Government pursues Phases II/III, then Phase I prime performers will be given updated proposal guidance at the end of month nine. Submission of proposals to Phases II/III is optional, and associated proposal preparation costs will not be reimbursed.

Each phase will progressively mature the design and the technologies required to achieve the performance goals described above. Figure 1 illustrates the technical approach and program timeline with anticipated major milestones highlighted. The following sections describe the specific technical objectives of each phase.

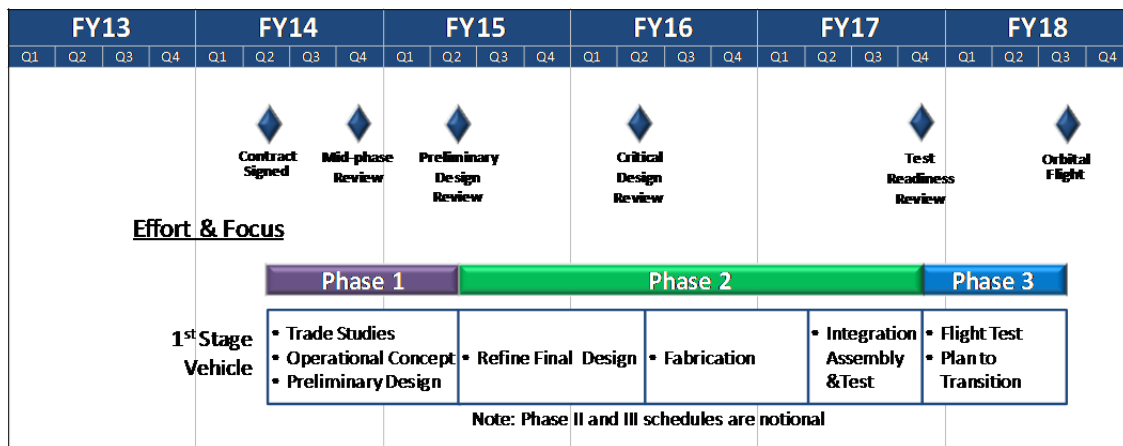


Figure 1. XS-1 Program Schedule

Phase I: Preliminary Design and Risk Reduction

Phase I will be a 13-month effort focused on developing the XS-1 demonstration concept, identifying core component technologies, conducting critical risk reduction, and developing a technology maturation plan that allows flight demonstration and validation of system capabilities. During Phase I, system design performers will be required to hold a mid-phase Conceptual Design and System Requirements Review. Performers must also deliver a Technology Maturation Plan (TMP), address airworthiness and safety certification (Government and/or commercial), and identify candidate upper stage vehicles and representative payloads to demonstrate the XS-1 program goals. System-level requirements will be defined and traced to the subsystems, risks will be identified with mitigation strategies planned, and the selection of mature subsystem technologies

for risk reduction will be integrated into the preliminary design. Phase I will culminate in a tailored Preliminary Design Review (PDR) with a final TMP.

Each Phase I system design task performer may be initially awarded up to \$3.0M, with an option for up to an additional \$1.0M. Proposers seeking to obtain the \$1M of optional system design funding in Phase I must indicate what tasks would be performed with this funding, how these tasks would contribute additional depth and/or breadth to the baseline Phase I deliverables, and how these tasks would enhance the outcome of subsequent phases. If proposed and included in the Phase I award, the Government, at its sole discretion, will determine whether or not to exercise the option for a given performer.

The success of the XS-1 program hinges upon robust, lightweight, and low-cost technologies that permit reusability in a high operations tempo environment with minimal recuperative downtime and component refurbishment or replacement. A non-exhaustive list of subsystem areas that may benefit from critical risk reduction includes:

- Propulsion systems
- Thermal protection systems
- Composite structures and tanks
- Upper stages
- Clean pad/minimal infrastructure operations

Critical risk reduction tasks for the development of entirely new concepts and technologies will not be excluded; however, proposers should note that the program is focusing on being able to demonstrate an X-plane. Therefore, technologies that have undergone risk reduction should have sufficient maturity for integration into the Phase II/III vehicle.

A. Top level objectives for Phase I include:

1) System Design Tasks

1. Conduct detailed technology trade studies in areas such as propulsion, first and second stage vehicle sizing, lightweight structures and subsystems, advanced TPS, and streamlined clean pad ground operations.
2. Develop a conceptual design for the XS-1 demonstration system including detailed structural analysis and mass properties.
3. Identify and/or trade designs of candidate upper stages.
4. Conduct a mid-phase Conceptual Design and Systems Requirements Review.
5. Develop a Technology Maturation Plan.
6. Identify an approach to support airworthiness and safety certification for the flight demonstration with a clear path to an operational capability.
7. Conduct a Preliminary Design Review tailored for commercial practices.

2) Critical Risk Reduction Tasks

1. Develop, model, analyze, test, and document technologies and processes in order to reduce the risk associated with their incorporation into the system design.
2. Conduct a Mid-phase Risk Reduction Review.
3. Conduct a Final Risk Reduction Review.

B. Key Milestone Description for Phase I:

Mid-phase Conceptual Design and System Requirements Review will be used to focus and tailor requirements on the performer's design. The type of propulsion system and general vehicle parameters, such as weight and size limits, should be defined. Key subsystems should be defined to the extent of determining availability of technology and impact on weight and payload requirements. System Requirements should be identified along with scalability and traceability to transition opportunities. System design, reliability, maintainability, and operability to meet program goals will be reviewed.

Technology Maturation Plan will define the team's overall approach to mitigating risk and maturing their XS-1 design. The TMP should define the risk reduction, technology, process development, and system operations activities that must be conducted to validate the performer's XS-1 design. The plan will also address rough order of magnitude (ROM) cost and schedule for these activities, as well as identify any external government research and development (R&D) activities that are critical to maturing the XS-1 vehicle. The TMP will explicitly address the following:

- Risk management process
- Risk assessment results
 - Critical technologies and system attributes identified
- Risk reduction activities
 - Major risk reduction events and activities defined, including success metrics
- Phase II/III program plan
 - Integrated Master Schedule (IMS) and Rough Order of Magnitude cost for Phase II/III

The TMP will provide an integrated basis for all risk reduction activities that will be performed during Phases II and III, culminating in system flight test during Phase III. The TMP will: 1) identify and assess critical technologies and system attributes that constitute the major technical and system integration risks on the program; 2) identify major risk reduction tests and demonstrations required to validate the ability to achieve the XS-1 performance goals, culminating with an XS-1 demonstration in Phase III; and 3) define credible intermediate performance objectives (success criteria) associated with each of these critical tests and demonstrations.

Preliminary Design Review will be a tailored formal review which will ensure that the performer's design is ready to proceed into detailed design. The design will be evaluated

to determine if stated performance requirements can be met within program cost, schedule, risk, and other system constraints. The intent is to enable a detailed program plan and costing for the remaining phases and provide guidance for the detailed design effort with few significant changes. The PDR will look at two types of products: technical and programmatic.

Phase I Final Report will be a full report that details all of the Phase I activities and captures the top-level results of all technology trade studies, design performance analyses, and the design evolution of the first stage concepts.

Mid-phase Risk Reduction Review will be used to focus and tailor the performer's risk reduction efforts.

Final Risk Reduction Review will be a tailored formal review that details all the risk reduction activities performed, and provides a plan for incorporation of the technologies into subsequent phases of the program.

C. Phase I Schedule and Deliverables:

The Government plans for quarterly Program Management Reviews and monthly Technical Interchange Meetings (TIMs) as required. In general, the TIMs will be conducted via teleconferences unless specific subjects require face-to-face meetings. The contractor shall propose a tailored review process that gives the Government adequate insight while enabling a streamlined fast track management process. Based on the results of Phase I and funding availability, if the Government pursues Phases II/III, then Phase I prime performers will be given updated proposal guidance at the end of month nine. Submission of proposals to Phases II/III is optional, and associated proposal preparation costs will not be reimbursed. If requested, such proposals will be due 30 days prior to the end of Phase I. The following section recommends a potential schedule and deliverables.

Phase I Schedule:	Program Meetings/Deliverables:
Month 0	Contract Award / Kickoff
Month 6	Mid-phase Conceptual Design and System Requirements Review for system design task performers.
Month 6	Mid-phase Risk Reduction Review for risk reduction task performers.
Month 9	Technology Interchange Meeting, Deliver draft Technology Maturation Plan
Month 12	Final Risk Reduction Review for task performers.
Month 12	PDR for system design performers.

Month 13	Phase I Final Report and Technology Maturation Plan.
----------	--

Phase II: Final Design, Fabrication, and Integration Assembly and Test (IA&T)

Phase II is notionally a 30-month effort focused on refining the XS-1 demonstration concept through the Critical Design Review (CDR), performing adequate risk reduction through component ground testing, proceeding into fabrication, performing integration, assembly, and test of the first stage, and completing the Test Readiness Review. Periodic Technology Transition Meetings with industry are expected in Phases II and III.

A. Top level objectives for Phase II include:

1. Develop a detailed design for the XS-1 demonstration system.
2. Develop a tailored Master Test Plan for Phase III.
3. Develop an Airworthiness Certification Plan.
4. Conduct risk reduction activities.
5. Conduct a Critical Design Review.
6. Fabricate the XS-1 Vehicle.
7. Upper stage integration.
8. Conduct Integration Assembly and Test.
9. Conduct a Flight Readiness Review (FRR).

B. Key Milestone Description for Phase II:

Critical Design Review is a tailored multi-disciplined technical review to ensure that the demonstration system is ready for fabrication, integration, assembly, and test. The design will be evaluated to determine if stated performance requirements can be met within program cost, schedule, risk, and other system constraints. Subsystem milestone definition will be the responsibility of the performer. The CDR will also consist of reviewing the design documentation that is involved with the tailored airworthiness plan.

Test Readiness Review is a multi-disciplined technical review conducted to ensure the system is ready to proceed into the formal flight testing phase.

Phase II Final Report and Engineering Data includes a full report that details all of the Phase II activities, capturing the top-level results of all technology trade studies, design performance analyses, and the design evolution of the first stage, upper stage, and component technologies. Engineering data consists of data files, in the performer's preferred formats, that are necessary to understand and model the vehicle system.

C. Phase II Schedule and Deliverables:

Phase II Schedule:	Program Meeting/Deliverables:
Month 25	CDR and progression into Fabrication
Month 25	Upper stage selection complete
Month 37	Start of first stage IA&T
Month 43	Final Flight Readiness Review, Final Report, and Engineering Data

Phase III: System Testing, Flight Testing and Demonstration of the XS-1 System

Phase III is notionally a 9-month effort focused on system testing and successful demonstration of the XS-1 system.

A. Top level objectives for Phase III include:

1. Obtain airworthiness approval.
2. Conduct Test Readiness Reviews as needed.
3. Conduct pre-flight tests.
4. Conduct First Flight.
5. Perform envelope expansion testing.
6. Perform rapid flight operation testing (10 flights in 10 days).
7. Fly to at least Mach 10.
8. Orbital Launch.

B. Key Milestone Description for Phase III:

First Flight is the successful functional checkout flight of the XS-1 system.

Rapid Flight Ops Testing is the successful demonstration of the XS-1 system flying 10 times within 10 consecutive days. There are no specific Mach number or trajectory requirements for rapid flight ops testing.

Mach 10 Flight is the successful demonstration of the XS-1 system flying to a speed equal to or greater than Mach 10.

Orbital Launch is the successful launch (upper stage payload is TBD) of a payload into Low Earth Orbit (LEO).

Final XS-1 Program Report and Test and Engineering Data details the activities performed in all phases of the program. Details regarding Phase III activities will include: top-level results of all testing; changes required to the vehicle's design and operational processes as well as lessons learned over the course of the test program; and a

comparison of actual performance to projected performance, with explanations regarding any significant discrepancies between projected and actual performance. Test and Engineering Data consists of flight test data files and any updated data files (in performer's preferred formats) necessary to understand and model the vehicle system.

C. Phase III Schedule and Deliverables:

Flight Readiness Reviews are expected to be conducted prior to the execution of every major section of the flight test program (First Flight, Envelope Expansion, Rapid Operation, Orbital Launch, and Mach 10 Flight). Additionally, the flight test team is expected to perform daily pre- and post-flight test ops meetings. All flight tests are to be included within the Phase II/III design-to-cost goal.

Phase III Schedule:	Program Meeting/Deliverables:
Month 44	First Flight
Month 48	Rapid Operations Test (10 flights in 10 days)
Month 50	Mach 10 Flight
Month 51	Orbital Launch Flight
Month 52	Final XS-1 Program Report and Test and Engineering Data

II. Award Information

A. 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 at the end of one or more of the phases.

Awards under this BAA will be made to proposers on the basis of the evaluation criteria listed below (see section labeled "Application Review Information", Sec. V.), and program balance to provide overall value to the Government. The Government reserves the right to request any additional, necessary documentation once it makes the award instrument determination. Such additional information may include but is not limited to

Representations and Certifications. The Government reserves the right to remove proposers from award consideration should the parties fail to reach agreement on award terms, conditions and cost/price within a reasonable time or the proposer fails to provide requested additional information in a timely fashion. Proposals identified for negotiation may result in a procurement contract 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.

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

B. Fundamental Research

It is DoD policy that the publication of products of fundamental research will remain unrestricted to the maximum extent possible. National Security Decision Directive (NSDD) 189 established the national policy for controlling the flow of scientific, technical, and engineering information produced in federally funded fundamental research at colleges, universities, and laboratories. The Directive defines fundamental research as follows:

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

As of the date of publication of this BAA, the Government expects that program goals as described herein either cannot be met by proposers intending to perform fundamental research or the proposed research is anticipated to present a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense. Therefore, the Government anticipates restrictions on the resultant research that will require the contractor to seek DARPA permission before publishing any information or results relative to the program.

Proposers should indicate in their proposal whether they believe the scope of the research included in their proposal is fundamental or not. While proposers should clearly explain the intended results of their research, the Government shall have sole discretion

to select award instrument type and to negotiate all instrument terms and conditions with selectees. Appropriate clauses will be included in resultant awards for non-fundamental research to prescribe publication requirements and other restrictions, as appropriate.

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

The following statement or similar provision will be incorporated into any resultant non-fundamental research procurement contract or other transaction:

There shall be no dissemination or publication, except within and between the contractor and any subcontractors, of information developed under this contract or contained in the reports to be furnished pursuant to this contract without prior written approval of DARPA's Public Release Center (DARPA/PRC). All technical reports will be given proper review by appropriate authority to determine which Distribution Statement is to be applied prior to the initial distribution of these reports by the contractor. With regard to subcontractor proposals for Contracted Fundamental Research, papers resulting from unclassified contracted fundamental research are exempt from prepublication controls and this review requirement, pursuant to DoD Instruction 5230.27 dated October 6, 1987.

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

III. Eligibility Information

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

A. Eligible Applicants

1. Historically Black Colleges and Universities (HBCUs), Small Businesses, Small Disadvantaged Businesses and Minority Institutions (MIs) are encouraged to submit proposals and join others in submitting proposals; however, no portion of this announcement will be set aside for these organizations' participation due to the impracticality of reserving discrete or severable areas of this research for exclusive competition among these entities.
2. Federally Funded Research and Development Centers (FFRDCs) and Government entities (e.g., Government/National laboratories, military educational institutions, etc.) are subject to applicable direct competition limitations and cannot propose to this BAA in any capacity unless they 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 and terms and conditions. This information is required for FFRDCs proposing to be prime contractors or subcontractors. Government entities must clearly demonstrate that the work is not otherwise available from the private sector and provide written documentation citing the specific statutory authority and contractual authority, if relevant, establishing their ability to propose to Government solicitations. At the present time, DARPA does not consider 15 U.S.C. § 3710a to be sufficient legal authority to show eligibility. While 10 U.S.C. § 2539b may be the appropriate statutory starting point for some entities, specific supporting regulatory guidance, together with evidence of agency approval, will still be required to fully establish eligibility. DARPA will consider FFRDC eligibility submissions on a case-by-case basis; however, the burden to prove eligibility for all team members rests solely with the proposer.

All proposers are expected to address transition (see section of BAA of proposal format under IV.B); transition is part of the evaluation criteria in section V.A. However, given their special status, FFRDCs should describe how and when a proposed

technology/system will transition to which Non-FFRDC organization(s).

3. Due to security requirements associated with XS-1, only U.S. entities who are capable of receiving, processing, and storing export-controlled information associated with this effort are eligible for award. Foreign participants and/or individuals may participate as subcontractors or consultants to the extent that such participants comply with necessary security regulations, export control laws, International Traffic in Arms Regulations (ITAR), and other governing statutes applicable under the circumstances. Since DARPA does not intend to provide export controlled data to any international participants, proposers are reminded that implementation of applicable agreements and licenses is the responsibility of the proposer.

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

Current federal employees are prohibited from participating in particular matters involving conflicting financial, employment, and representational interests (18 U.S.C. §§ 203, 205, and 208). Once the proposals have been received, and prior to the start of proposal evaluations, the Government will assess potential conflicts of interest and will promptly notify the proposer if any appear to exist. The Government assessment does NOT affect, offset, or mitigate the proposer's responsibility to give full notice and planned mitigation for all potential organizational conflicts, as discussed below.

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

If a prospective proposer believes a conflict of interest exists or may exist (whether organizational or otherwise) or has questions on what constitutes a conflict of

interest, the proposer should send his/her contact information and a summary of the potential conflict to DARPA-BAA-14-01@darpa.mil before time and effort are expended in preparing a proposal and mitigation plan.

C. Cost Sharing/Matching

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

D. Other Eligibility Criteria

1. Collaborative Efforts

Collaborative efforts/teaming are encouraged. Specific content, communications, networking, and team formation are the sole responsibility of the participants.

IV. Application and Submission Information

A. Address to Request Application Package

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

B. Content and Form of Application Submission

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.

The Government anticipates proposals submitted under this BAA will be unclassified. However, if a proposal is submitted as “Classified National Security Information” as defined by Executive Order 13526, then the information must be marked and protected as though classified at the appropriate classification level and then submitted to DARPA for a final classification determination.

Security classification guidance via a DD Form 254, “DoD Contract Security Classification Specification,” will not be provided at this time, since DARPA is soliciting ideas only. After reviewing the incoming proposals, if a determination is made that the

award instrument may result in access to classified information; a DD Form 254 will be issued and attached as part of the award.

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

Classified submissions shall be appropriately and conspicuously marked with the proposed classification level and declassification date. Submissions requiring DARPA to make a final classification determination shall be marked as follows:

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

Classified submissions shall be in accordance with the following guidance:

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

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

OR

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

The inner envelope shall be addressed to:

Defense Advanced Research Projects Agency
ATTN: TTO
Reference: DARPA-BAA-14-01
675 North Randolph Street
Arlington, VA 22203-2114

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

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

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

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

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

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

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

2. Proposal Submission Information

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

Proposals may not be submitted by fax or e-mail; any so sent will be disregarded.

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

Proposers must submit an original and four (4) additional copies of the proposal, as well as two (2) electronic copies of the proposal in PDF on CD/DVD, with each

CD/DVD considered a single electronic copy. No additional copies should be sent. Each copy must be clearly labeled with DARPA-BAA-14-01, proposer organization, proposal title (short title recommended), and Copy X of X.

All administrative correspondence and questions on this solicitation, including requests for information on how to submit a proposal to this BAA, should be directed to DARPA-BAA-14-01@darpa.mil. DARPA intends to use electronic mail for correspondence regarding DARPA-BAA-14-01. Proposals may not be submitted by fax or e-mail; any so sent will be disregarded. DARPA encourages use of the Internet for retrieving the BAA and any other related information that may subsequently be provided.

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. It is suggested that Volume I, Technical and Management Proposal, 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. Should such a bibliography be provided, the references should be cited in the proposal text where appropriate. Electronic copies of all unpublished papers and notes cited must be included within a subdirectory of the submitted CDs/DVDs. When not otherwise prohibited by copyright restrictions, electronic copies of cited publications that are fifty (50) pages or fewer should also be provided within a subdirectory of the submitted CDs/DVDs. The bibliography and included papers are not included in the page counts given below.

An executive summary brief in PowerPoint format that reflects the content and claims in the proposal shall be provided on the two submitted CD/DVDs, as well as in the four hard copies of the proposal. A template for the brief has been provided as an addendum to this BAA. The Government strongly encourages that figures utilized in the proposal be provided as high-quality images, in their original formats when possible, and included separately within a subdirectory of the CD/DVDs. The submission of other supporting materials along with the proposals is strongly discouraged and will not be considered for review. Section II of Volume I, Technical and Management Proposal, shall not exceed 25 pages total. Section III of Volume I shall not exceed 35 pages total, excluding the Proposer's Statement of Work (SOW) and Integrated Master Schedule (IMS). All pages that exceed the maximum page limit specified will be removed and will not be reviewed or considered in the evaluation. Recapitulation of Volume I, Section II material in Volume I, Section III should be minimal. The Cost Proposal (Volume II) does not have a page limit. Maximum page lengths, if any, for each subsection are shown in braces { } below. All proposals must be written in English.

Ensure that each section provides the detailed discussion of the proposed work necessary to enable an in-depth review of the specific technical and managerial issues.

Specific attention must be given to addressing both risk and payoff of the proposed work that make it desirable to DARPA.

a. Volume I, Technical and Management Proposal

Section I. Administrative

- A. Cover Sheet {no page limit} to include:
 - (1) BAA number (DARPA-BAA-14-01);
 - (2) Technical area;
 - (3) Lead Organization submitting proposal;
 - (4) Type of business, selected among the following categories: “LARGE BUSINESS”, “SMALL DISADVANTAGED BUSINESS”, “OTHER SMALL BUSINESS”, “HBCU”, “MI”, “OTHER EDUCATIONAL”, OR “OTHER NONPROFIT”;
 - (5) Proposer’s reference number (if any);
 - (6) Other team members (if applicable) and type of business for each;
 - (7) Proposal title;
 - (8) Technical point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available);
 - (9) Administrative point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available);
 - (10) Total funds requested from DARPA, and the amount of cost share (if any);
AND
 - (11) Date proposal was submitted.
- B. Official transmittal letter.
- C. {Not included in page count} Table of Contents, which should be keyed to the page numbers of the proposal sections.
- D. {Not included in page count} Additional front matter, such as List of Figures, List of Acronyms, etc. if desired.
- E. Organizational Conflict of Interest Affirmations and Disclosure {no page limit}
Per the instructions in Section III.B above, if any member of the proposed team (prime proposers, proposed subcontractors, and consultants) IS providing SETA or similar support, as described, to any DARPA technical office(s) through an active contract or subcontract (regardless of which DARPA technical office is being supported), they must provide documentation: (1) stating which office(s) the proposer, subcontractor. Consultant, and/or individual supports; (2) identify the prime contract numbers; AND (3) include a description of the action the proposer has taken or proposes to take to avoid, neutralize, or mitigate the conflict.

If all members of the proposed team (prime proposers, proposed subcontractors, and consultants) ARE NOT currently providing SETA support as described, then the proposer should simply state “NONE.”

If in the sole opinion of the Government after full consideration of the circumstances, a proposal fails to fully disclose potential conflicts of interest and/or any identified conflict situation cannot be effectively mitigated, the proposal will be rejected without technical evaluation and withdrawn from further consideration for award.

F. Human Subjects Research {no page limit}

For all proposed research that will involve human subjects in the first year or phase of the project, the institution must provide evidence of or a plan for review by an Institutional Review Board (IRB) upon final proposal submission to DARPA as part of their proposal, prior to being selected for funding. For further information on this subject, see Section VI.B.2 below. If human subjects research is not a factor in a proposal, then the proposer should state “NONE.”

G. Animal Use {no page limit}

For projects anticipating animal use, proposals should briefly describe plans for Institutional Animal Care and Use Committee (IACUC) review and approval. For further information on this subject, see Section VI.B.3 below. If animal use is not a factor in a proposal, then the proposer should state “NONE.”

H. Statement of Unique Capability Provided by Government or Government-Funded Team Member {no page limit}

Per Section III.A.2. – Eligible Applicants, proposals which include Federally Funded Research and Development Centers (FFRDCs) and/or Government entities (i.e., Government/National laboratories, military educational institutions, etc.) as prime, subcontractor, consultant, or team member must provide a statement which clearly demonstrates the work being provided by the FFRDC or Government entity member is not otherwise available from the private sector. For further information on this subject, see Section III.A.2 above. If none of the team members belongs to an FFRDC or Government entity, then the proposer should state “Not Applicable.”

I. Government of Government-funded Team Member Eligibility {no page limit}

Per Section III.A.2. – Eligible Applicants, proposals which include Federally Funded Research and Development Centers (FFRDCs) and/or Government entities (i.e., Government/National laboratories, military educational institutions, etc.) as prime, subcontractor, consultant, or team member shall provide documentation citing the specific authority which establishes they are eligible to propose to Government solicitations. 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 and terms and conditions. This information is required for FFRDCs proposing to be prime contractors or subcontractors. Government entities must provide written documentation citing the specific statutory authority and contractual authority, if relevant, establishing their ability to propose to Government solicitations. If no such entities are involved, then the proposer should state “NONE.”

Section II. Summary of Proposal

- 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 no proprietary claims, this should be stated. For forms to be completed regarding intellectual property, see Section VIII. There will be no page limit for the listed forms.
- 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. DARPA requires key personnel identified in the proposal to be assigned as proposed, and the resulting contract/agreement will indicate no substitution shall be made without prior approval of the Government.

Section III. Detailed Proposal Information

- A. Statement of Work (SOW) - In plain English, clearly define the technical tasks/subtasks to be performed, their durations, and dependencies among them. The page length for the SOW will be dependent on the amount of the effort. This section will define the tasks to be performed to WBS level 3 (or more detailed if desired). The SOW must not include proprietary information. 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; and
- Clearly identify any tasks/subtasks (prime or subcontracted) that will be accomplished on-campus at a university.

Note: The SOW should also include a notional SOW for Phase II/III. This notional SOW must include the same level of detail required for Phase I (see above). However, it is for program planning purposes and may be revised subsequently with submission of the Phase II/III proposal.

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 VIII. “Intellectual Property.”
- C. Detailed technical approach enhancing and completing that of Section II. The analytical methods, assumptions, and parameters used to arrive at the conclusions should be documented such that the technical bases of the proposal can be well-understood and assessed. It is also suggested that for in-depth analysis done using numerical software tools, such as computational fluid dynamics (CFD), heat transfer, finite element analysis (FEA), trajectory analysis, dynamics, etc., the specific application(s)/code(s) and version(s) that were used be documented as well.
- D. Comparison with other ongoing research indicating advantages and disadvantages of the proposed effort.
- E. Discussion of proposer’s previous accomplishments and work in closely related research areas.
- F. Description of the facilities that would be used for the proposed effort.
- G. Detail support enhancing that of Section II, including formal teaming agreements which are required to execute this program.
- H. 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. Phases II/III costs are notional and may be revised subsequently in the Phase II/III proposal. (Note: Measurable milestones should capture key development points in tasks and should be clearly articulated and defined in time relative to start of effort.) 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 page limit}

A brief bibliography of relevant technical papers and research notes (published and unpublished) which document the technical ideas upon which the proposal is based is suggested, but not required.

b. Volume II, Cost Proposal – {No Page Limit}

All proposers, including FFRDCs, must submit the following:

Cover sheet to include:

- (1) BAA number (DARPA-BAA-14-01);
- (2) Technical area;
- (3) Lead Organization submitting proposal;
- (4) Type of business, selected among the following categories: “LARGE BUSINESS”, “SMALL DISADVANTAGED BUSINESS”, “OTHER SMALL BUSINESS”, “HBCU”, “MI”, “OTHER EDUCATIONAL”, OR “OTHER NONPROFIT”;
- (5) Proposer’s reference number (if any);
- (6) Other team members (if applicable) and type of business for each;
- (7) Proposal title;
- (8) Technical point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available);
- (9) Administrative point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), and electronic mail (if available);
- (10) Award instrument requested: cost-plus-fixed-fee (CPFF) cost-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; and
- (20) Proposal validity period.

Note that nonconforming proposals may be rejected without review.

For proposers without a DCAA-approved cost accounting system who are proposing negotiation of a cost-type contract, DCAA must complete an SF 1408.

To facilitate this process, complete the SF 1408 found at <http://www.gsa.gov/portal/forms/download/115778> and submit the completed form with your proposal. Proposals requesting a cost-type contract without this form may be deemed non-conforming to this solicitation. The Government recognizes that this form is intended for an auditor to use when evaluating a contractor's cost accounting system. However, your preliminary responses to the questions will expedite the DCAA accounting system review. 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.

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 proposer shall provide a detailed cost breakdown for Phase 1 to include: (1) cost broken down by major cost items (direct labor, including labor categories; subcontracts; materials; other direct costs, overhead charges, etc.) and further broken down by task and phase; (2) major program tasks by fiscal year; (3) an itemization of major subcontracts and equipment purchases; (4) an itemization of any information technology (IT) purchase, as defined in FAR 2.101; (5) a summary of projected funding requirements by month; and (6) the source, nature, and amount of any industry cost-sharing; and (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 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.

Supporting cost and pricing information in sufficient detail to substantiate the summary cost estimates in B. above. Include a description of the method used to estimate costs and supporting documentation. Note: “cost or pricing data”, as defined in FAR 2.101, shall be required if the proposer is seeking a procurement contract award of \$700,000 or greater unless the proposer requests an exception from the requirement to submit cost or pricing data. “Cost or pricing data” are not required if the proposer proposes an award instrument other than a procurement contract (e.g., other transaction). All proprietary subcontractor proposal documentation, prepared at the same level of detail as that required of the prime 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.

The Government may award either a Federal Acquisition Regulation (FAR) based contract or an Other Transaction Authority for Prototypes (OTA) agreement for prototype system development proposals. Proposers interested in receiving an OTA and where cost share is required are asked to submit proposal responses that accommodate both options. The Government must be able to determine that the amount of the agreement is fair and reasonable and determine the final type of award to negotiate. Without complete cost volumes, it may not be possible to thoroughly understand what is being offered. For information on 845 Other Transaction Authority for Prototypes (OTA) agreements, refer to http://www.darpa.mil/Opportunities/Contract_Management/Other_Transactions_and_Technology_Investment_Agreements.aspx.

All proposers requesting an 845 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; however, it is noted that the Government prefers use of fixed price milestones with a payment/funding schedule to the maximum extent possible. Do not include proprietary data. If the proposer requests award of an 845 OT agreement as a nontraditional defense contractor, as so defined in the OSD guide entitled “Other

Transactions (OT) Guide For Prototype Projects” dated January 2001 (as amended) (<http://www.acq.osd.mil/dpap/Docs/otguide.doc>), information must be included in the cost proposal to support the claim. Additionally, if the proposer requests award of an 845 OT agreement, without the required one-third (1/3) cost share, information must be included in the cost proposal supporting that there is at least one non-traditional defense contractor participating to a significant extent in the proposed prototype project. For more information on 845 Other Transaction for Prototypes (OT) agreements, refer to http://www.darpa.mil/Opportunities/Contract_Management/Other_Transactions_and_Technology_Investment_Agreements.aspx.

6. Submission Dates and Times

a. Proposal Date

The proposal (original and designated number of hard and electronic copies) must be received at DARPA/TTO, 675 North Randolph Street, Arlington, VA 22203-2114 (Attn.: DARPA- BAA-14-01) on or before, 16 January 2014, 12:00PM EST, in order to be considered during the initial round of selections; however, proposals received after this deadline may be received and evaluated up to six months (180 days) from date of posting on FedBizOpps. The ability to review and select proposals submitted after the initial round deadline will be contingent on availability of funds. Proposers are warned that the likelihood of available funding is greatly reduced for proposals submitted after the initial closing date deadline. Failure to comply with the submission procedures may result in the submission not being evaluated.

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

DARPA will post a consolidated Question and Answer response after 2 December 2013, before final proposals are due. In order to receive a response to your question, submit your question by 22 November 2013 to DARPA-BAA-14-01@darpa.mil.

7. Funding Restrictions

Not applicable.

8. Other Submission Requirements

An executive brief in PowerPoint format shall be provided as a separate file within the electronic CD/DVD submission. The brief must consist of three slides matching the content and claims in the proposal:

- Overview of the proposal in graphical format that effectively and succinctly conveys through visual means the main objective, key innovations, expected impact, and unique aspects of the proposal. The use of “penta” and “quad” chart formats is discouraged.

- Technical summary of capabilities and related metrics for the proposed concept in tabular format.
- Cost summary of the proposal in tabular format.

To assist proposers in preparing a compliant response, a PowerPoint template in the desired format is provided as an addendum on the DARPA-BAA-14-01 FedBizOpps page.

V. Application Review Information

A. Evaluation Criteria

Proposals will be evaluated using the following criteria, listed in descending order of importance: (a) Overall Scientific and Technical Merit; (b) Potential Contribution and Relevance to the DARPA Mission, including Plans and Capability to Accomplish Technology Transition; (c) Proposer's Capabilities and/or Related Experience, (d) Cost Realism; and (e) Schedule Realism.

(a) Overall Scientific and Technical Merit

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

(b) Potential Contribution and Relevance to the DARPA Mission, including Plans and Capability to Accomplish Technology Transition

The potential contributions of the proposed effort are relevant to the national technology base. Specifically, DARPA's mission is to maintain the technological superiority of the U.S. military and prevent technological surprise from harming national security by sponsoring revolutionary, high-payoff research that bridges the gap between fundamental discoveries and their application. Furthermore, the proposer clearly demonstrates its capability, plans, and commitment to transition the technology to the industrial, Government, and/or research communities. Industrial/commercial transition approaches are an integral part of the program's value. Government transition customers may include the civil, operational military, and intelligence communities. In addition, the evaluation will take into consideration the extent to which the proposed intellectual property (IP) rights will potentially impact the Government's ability to transition the technology, not just to Government customers, but also to the entrepreneurial and industrial sectors.

(c) Proposer's Capabilities and/or Related Experience

The proposer's prior experience in similar efforts clearly demonstrates an ability to deliver products that meet the proposed technical performance within the proposed

budget and schedule. The proposed team has the expertise to manage the cost and schedule. Similar efforts completed/ongoing by the proposer in this area are fully described including identification of other Government sponsors.

(d) Cost Realism

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

(e) Schedule Realism

The proposer can realistically achieve the Key Milestones outlined in the BAA, Part II, Section I, as well as any additional milestones presented in the proposal, within a timeframe comparable to the schedule in Part II, Section I. The proposer's schedule identifies any potential risk, allocating sufficient time to address the risk and recover from any failures.

B. Review and Selection Process

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

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

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

personnel will conduct reviews and (if necessary) convene panels of experts in the appropriate areas.

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

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

Subject to the restrictions set forth in FAR 37.203(d), input on technical aspects of the proposals may be solicited by DARPA from non-Government consultants /experts who are strictly bound by the appropriate non-disclosure requirements.

VI. Award Administration Information

A. Selection Notices

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

B. Administrative and National Policy Requirements

1. Meeting and Travel Requirements

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

2. Human Subjects Research

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

Institutions awarded funding for research involving human subjects must provide documentation of a current Assurance of Compliance with Federal regulations for human subjects protection, such as a Department of Health and Human Services, Office of Human Research Protection Federal Wide Assurance (<http://www.hhs.gov/ohrp>). All

institutions engaged in human subjects research, to include subcontractors, must also hold a valid Assurance. In addition, all personnel involved in human subjects research must provide documentation of completion of human subjects research training.

For all proposed research that will involve human subjects in the first year or phase of the project, the institution must provide evidence of or a plan for review by an Institutional Review Board (IRB) upon final proposal submission to DARPA as part of their proposal, prior to being selected for funding. The IRB conducting the review must be the IRB identified on the institution's Assurance of Compliance with human subjects protection regulations. The protocol, separate from the proposal, must include a detailed description of the research plan, study population, risks and benefits of study participation, recruitment and consent process, data collection, and data analysis. It is recommended that you consult the designated IRB for guidance on writing the protocol. The informed consent document must comply with federal regulations (32 CFR 219.116). A valid Assurance of Compliance with human subjects protection regulations along with evidence of completion of appropriate human subjects research training by all investigators and personnel involved with human subjects research should accompany the protocol for review by the IRB.

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

The time required to complete the IRB review/approval process varies depending on the complexity of the research and the level of risk involved with the study. The IRB approval process can last between one and three months, followed by a DoD review that could last between three and six months. Ample time should be allotted to complete the approval process. DoD/DARPA funding cannot be used towards human subjects research until ALL approvals are granted.

3. Animal Use

Award recipients performing research, experimentation, or testing involving the use of animals shall comply with the rules on animal acquisition, transport, care, handling, and use as outlined in: (i) 9 CFR parts 1-4, Department of Agriculture rules that implement the Animal Welfare Act of 1966, as amended, (7 U.S.C. § 2131-2159); (ii) National Institutes of Health Publication No. 86-23, "Guide for the Care and Use of Laboratory Animals" (8th Edition); (iii) DoD Instruction 3216.01, "Use of Animals in DoD Programs."

For projects anticipating animal use, proposals should briefly describe plans for Institutional Animal Care and Use Committee (IACUC) review and approval. Animal

studies in the program will be expected to comply with the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals, available at <http://grants.nih.gov/grants/olaw/olaw.htm>.

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

4. Export Control

Per DFARS 225.7901-4, all procurement contracts, other transactions and other awards, as deemed appropriate, resultant from this solicitation will include the DFARS Export Control clause (252.225-7048).

5. Subcontracting

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

6. Electronic and Information Technology

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

7. Employment Eligibility Verification

As per FAR 22.1802, recipients of FAR-based procurement contracts must enroll as federal contractors in E-verify and use the system to verify employment eligibility of all employees assigned to the award. All resultant contracts from this solicitation will include FAR 52.222-54, “Employment Eligibility Verification.” This clause will not be included in grants, cooperative agreements, or Other Transactions.

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

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

Information on SAM registration is available at www.sam.gov.

9. Reporting Executive Compensation and First-Tier Subcontract Awards

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

10. Updates of Information Regarding Responsibility Matters

Per FAR 9.104-7(c), FAR clause 52.209-9, Updates of Publicly Available Information Regarding Responsibility Matters, will be included in all contracts valued at \$500,000 or more where the contractor has current active Federal contracts and grants with total value greater than \$10,000,000.

11. Representations by Corporations Regarding an Unpaid Delinquent Tax Liability or a Felony Conviction under any Federal Law – Fiscal Year 2013 Appropriations (Deviation 2013-O0010)

- (a) In accordance with sections 8112 and 8113 of Division C and sections 514 and 515 of Division E of the Consolidated and Further Continuing Appropriations Act, 2013, (Pub. L. 113-6), none of the funds made available by that Act for DoD (including Military Construction Funds) may be used to enter into a contract with any corporation that –

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

agency is aware of the unpaid tax liability, unless the agency has considered suspension or debarment of the corporation and made a determination that this further action is not necessary to protect the interests of the Government; or

(2) Was convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency is aware of the conviction, unless the agency has considered suspension or debarment of the corporation and made a determination that this action is not necessary to protect the interests of the Government.

(b) The Offeror represents that –

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

(2) It is ☐ is not ☐ a corporation that was convicted of a felony criminal violation under a Federal law within the preceding 24 months.

12. Cost Accounting Standards (CAS) Notices and Certification

As per FAR 52.230-2, any procurement contract in excess of \$700,000 resulting from this solicitation will be subject to the requirements of the Cost Accounting Standards Board (48 CFR 99), except those contracts which are exempt as specified in 48 CFR 9903.201-1. Any proposer submitting a proposal which, if accepted, will result in a CAS compliant contract, must submit representations and a Disclosure Statement as required by 48 CFR 9903.202 detailed in FAR 52.230-2. The disclosure forms may be found at http://www.whitehouse.gov/omb/procurement_casb.

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

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

Do not process DARPA CUI on publicly available computers or post DARPA CUI to publicly available webpages or websites that have access limited only by domain or Internet protocol restriction.

Ensure that all DARPA CUI is protected by a physical or electronic barrier when not under direct individual control of an authorized user and limit the transfer of DARPA CUI to subcontractors or teaming partners with a need to know and commitment to this level of protection.

Ensure that DARPA CUI on mobile computing devices is identified and encrypted and all communications on mobile devices or through wireless connections are protected and encrypted.

Overwrite media that has been used to process DARPA CUI before external release or disposal.

C. 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. At least one copy of each report will be delivered to DARPA and not merely placed on an internet site.

D. Electronic Systems

i. Representations and Certifications

In accordance with FAR 4.1201, prospective proposers shall complete electronic annual representations and certifications at www.sam.gov.

ii. Wide Area Work Flow (WAWF)

Unless using another means of invoicing, performers will be required to submit invoices for payment directly to <https://wawf.eb.mil>. Registration in WAWF will be required prior to any award under this BAA.

iii. i-Edison

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

VII. Agency Contacts

Administrative, technical, or contractual questions should be sent via e-mail to DARPA-BAA-14-01@darpa.mil. All requests must include the name, email address, and phone number of a point of contact.

Points of Contact:

Mr. Jess Sponable
DARPA/TTO
ATTN: BAA-14-01
675 North Randolph Street
Arlington, VA 22203-2114
EMAIL: DARPA-BAA-14-01@darpa.mil

VIII. Other Information

A. Intellectual Property Procurement Contract Proposers

1. Noncommercial Items (Technical Data and Computer Software)

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

a determination that the proposal is not compliant with the BAA – resulting in nonselectability of the proposal.

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

NONCOMMERCIAL

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

2. Commercial Items (Technical Data and Computer Software)

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

COMMERCIAL

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

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

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

Proposers responding to this BAA requesting an Other Transaction for Prototype shall follow the applicable rules and regulations governing these various award instruments, but in all cases should appropriately identify any potential restrictions on the Government's use of any Intellectual Property contemplated under those award instruments in question. This includes both Noncommercial Items and Commercial Items. Although not required, proposers may use a format similar to that described in Paragraphs 1.a and 1.b above. The Government may use the list during the evaluation

process to evaluate the impact of any identified restrictions, and may request additional information from the proposer, as may be necessary, to evaluate the proposer's assertions. If no restrictions are intended, then the proposer should state "NONE." Failure to provide full information may result in a determination that the proposal is not compliant with the BAA – resulting in nonselectability of the proposal.

C. All Proposers – Patents

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

D. All Proposers – Intellectual Property Representations

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