



Broad Agency Announcement
Optomechanical Thermal Imaging (OpTIm)
Technical Area (TA) 1
Defense Sciences Office
HR001122S0055
September 1, 2022

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BAA Attachments:

- Attachment A: ABSTRACT SUMMARY SLIDE TEMPLATE
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- Attachment C: PROPOSAL SUMMARY SLIDE TEMPLATE
- Attachment D: PROPOSAL TEMPLATE VOLUME 1: TECHNICAL & MANAGEMENT
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PART I: OVERVIEW INFORMATION

- **Federal Agency Name:** Defense Advanced Research Projects Agency (DARPA), Defense Sciences Office (DSO)
- **Funding Opportunity Title:** Optomechanical Thermal Imaging (OpTIm) Technical Area (TA) 1
- **Announcement Type:** Initial Announcement
- **Funding Opportunity Number:** HR001122S0055
- **Catalog of Federal Domestic Assistance (CFDA) Number(s):** 12.910 Research and Technology Development
- **Dates** (All times listed herein are Eastern Time.)
 - Posting Date: September 1, 2022
 - Proposers Day: September 9, 2022. See Section VIII.A.
 - Abstract Due Date: September 16, 2022, 4:00 p.m.
 - FAQ Submission Deadline: October 25, 2022, 4:00 p.m. See Section VIII.B.
 - Full Proposal Due Date: November 1, 2022, 4:00 p.m.
- **Anticipated Individual Awards:** DARPA anticipates multiple awards.
- **Types of Instruments that May be Awarded:** Procurement contracts, cooperative agreements, or Other Transaction agreements for Prototypes. Award instruments will be limited to procurement contracts and Other Transactions for Proposers whose proposed solution includes Controlled Unclassified Information (CUI).
- **Agency contacts**
 - **Technical POC:** Mukund Vengalattore, Program Manager, DARPA/DSO
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 - **DARPA/DSO Opportunities Website:** <http://www.darpa.mil/work-with-us/opportunities>
- **Teaming Information:** See Section VIII.C for information on teaming opportunities.
- **Frequently Asked Questions (FAQ):** FAQs for this solicitation may be viewed on the DARPA/DSO Opportunities Website. See Section VIII.B for further information.
- **Security:** Unclassified.

PART II: FULL TEXT OF ANNOUNCEMENT

I. Funding Opportunity Description

This Broad Agency Announcement (BAA) constitutes a public notice of a competitive funding opportunity as described in Federal Acquisition Regulation (FAR) 6.102(d)(2) and 35.016, as well as 2 C.F.R. § 200.203. Any resultant negotiations and/or awards will follow all laws and regulations applicable to the specific award instrument(s) available under this BAA, e.g., FAR 15.4 for procurement contracts.

A. Introduction

The Defense Sciences Office (DSO) at the Defense Advanced Research Projects Agency (DARPA) is soliciting innovative research proposals in the area of thermal imaging and infrared detection based on optomechanical sensors. Proposed research should investigate innovative approaches that enable revolutionary science, devices, or systems advances. Specifically excluded is research that primarily results in evolutionary improvements to the existing state of practice.

B. Background

Infrared (IR) detectors underpin a vast application space, including night vision, biochemical spectroscopy, automation, and climate science. Current IR detection techniques rely either on photodetection or thermal detection. While IR photodetectors can, in principle, achieve quantum levels of sensitivity, they require cryogenic cooling to mitigate dark current and other noise sources. In contrast, thermal detectors such as microbolometers can operate at room temperature but offer far lower performance levels. As a result, there is a significant performance gap in IR detection technology between uncooled thermal detectors and cryogenically cooled photodetectors. Further, these detection strategies are often limited by low material responsivity, high levels of electronic noise, fabrication complexities, and other limitations of readout integrated circuits (ROICs).

Alternate paradigms for uncooled IR detection have emerged in recent years based on microelectromechanical resonators and optomechanical resonators. In contrast to bolometers that rely on transducing absorbed IR radiation into changes of electrical resistance, microresonator-based IR detectors transduce absorbed radiation into corresponding frequency shifts of their resonant modes.¹ Detecting IR radiation in this manner offers numerous advantages over conventional uncooled bolometers.

First, extensive efforts by the microelectromechanical systems (MEMS) and optomechanics community have resulted in the development of ultracoherent thin film resonators that exhibit room temperature quality factors in excess of 10^6 - 10^7 in a variety of materials, including crystalline silicon, silicon nitride, silicon carbide, and diamond thin films. The low thermomechanical noise and high isolation from environmental perturbations also lead to

¹ X. C. Zhang et al, Nanomechanical torsional resonators for frequency-shift infrared thermal sensing, Nano Lett. **13**, 1528 (2013).

extremely small (sub-ppb) levels of short-term fractional frequency instability.² These extraordinary thermomechanical properties can be further enhanced through nanotethered membrane resonators³ or acoustic bandgaps⁴ – features that also lead to a lower thermal mass, extremely small thermal conductance close to the fundamental radiative limit,⁵ and fast response times. These attributes naturally lend themselves to high sensitivity IR detection. As an added benefit, several demonstrated material platforms for such high- Q membrane resonators are naturally compatible with established complementary metal-oxide semiconductor (CMOS) fabrication processes, enabling straightforward extension of such sensors to large-scale integrated arrays.⁶ Uncooled resonator arrays have been demonstrated with a pixel pitch as small as 12 μm with Noise Equivalent Power (NEP) as low as 27 $\text{pW}/\text{Hz}^{1/2}$ and sub-millisecond response times for thermal sensing in the 8-12 μm IR spectrum. Notably, this particular demonstration was limited not by the thermomechanical properties of the MEMS resonators but by electronic readout noise.⁷

Second, and related closely to the previous statement, the most commonly studied optomechanical membrane resonators are compatible with all-optical interrogation and quantum-limited measurement techniques. The possibility of harnessing visible- or near-IR optical sources and photodetection technology for the shot-noise-limited measurement of IR-induced resonator frequency shifts may vastly mitigate numerous issues of readout electronic noise, $(1/f)$ noise from electronic components, ROIC fabrication complexity, incompatibility with IR sensor materials, and scalability of the sensor paradigm to large-scale arrays. Further, the near-IR optical properties of the microresonators and all-optical measurement sensitivity can potentially be tailored by using micro- or nanoscale embedded optical cavity architectures^{8,9} and photonic crystals¹⁰ that can be reliably structured into the resonator thin films. This readout technique may also serve as an ‘optical conduit’ between the thin-film IR absorber and the eventual electronic readout circuitry, further isolating the resonator from stray noise sources or cross-talk that may become dominant in a large-scale array.

Third, an under-utilized aspect of thin-film high- Q MEMS or optomechanical resonators is the

² A. N. Cleland and M. L. Roukes, Noise processes in nanomechanical resonators, *J. Appl. Phys.* **92**, 2758 (2002).

³ C. Reinhardt et al, Ultralow-Noise SiN Trampoline resonators for sensing and Optomechanics, *Phys. Rev. X* **6**, 021001 (2017); R. A. Norte et al, Mechanical resonators for Quantum Optomechanics experiments at room temperature, *Phys. Rev. Lett.* **116**, 147202 (2016).

⁴ Y. Tsaturyan et al, Demonstration of suppressed phonon tunneling losses in phononic bandgap shielded membrane resonators for high- Q Optomechanics, *Opt. Exp.* **22**, 6810 (2014).

⁵ C. Zhang et al, Radiative Heat Transfer in Freestanding Silicon Nitride Membranes, *Phys. Rev. Appl.* **14**, 024072 (2021); N. Snell et al, Heat transport in Silicon Nitride Drum Resonators and its influence on Thermal Fluctuation-Induced Frequency Noise, *Phys. Rev. Appl.* **17**, 044019 (2022).

⁶ V. J. Gokhale et al, Uncooled Infrared detectors using Gallium Nitride on Silicon Micromechanical Resonators, *J. MEMS*, **23**, 803 (2014).

⁷ L. Laurent et al, 12- μm -Pitch Electromechanical Resonator for Thermal Sensing, *Phys. Rev. Appl.* **9**, 024016 (2018).

⁸ C. Gartner et al, Integrated optomechanical arrays of two high reflectivity SiN membranes, *Nano Lett.* **18**, 7171 (2018).

⁹ S. Liu et al, Room-temperature fiber tip nanoscale optomechanical Bolometer, *ACS Photonics* **9**, 1586 (2022)

¹⁰ D. Woolf et al, Optomechanical and photothermal interactions in suspended photonic crystal membranes, *Opt. Exp.* **21**, 7258 (2013).

presence of a rich spectrum of spatially and spectrally distinguishable eigenmodes.¹¹ In contrast to estimating absorbed IR radiation via the frequency shift of an isolated mechanical mode, the simultaneous all-optical detection of IR absorption-induced frequency shifts of a large number of resonant eigenmodes enables Frequency-Division multiplexing (FDM) techniques for enhanced signal-to-noise ratio (SNR), common-mode rejection of spurious or uncorrelated noise sources, passive compensation of ambient thermal drifts¹², and other ‘multi-mode’ techniques for improved data acquisition, optimal signal estimation, and enhanced sensitivity.¹³

Fourth, this detection modality is amenable to the incorporation of a wide and diverse range of natural and synthetic materials for narrowband, dynamically tunable, or multispectral IR detection. Intrinsic materials such as black phosphorus,¹⁴ graphene monolayers,¹⁵ bilayers¹⁶ and drumhead resonators;¹⁷ carbon nanotube-based thin film coatings;¹⁸ and nanostructured metamaterials¹⁹ have been shown to exhibit highly selective, tunable, and narrowband IR absorption properties both in the mid-wave (MWIR) and long-wave (LWIR) regions of the IR spectrum that are of particular interest to the OptIM program. Many of these materials are not easily incorporated within existing microbolometers or photodetectors due to fabrication incompatibilities or lack of electronic addressability. However, depositing such materials on an optomechanical resonator ‘backbone’ to create thin-film heterostructures²⁰ can potentially combine the spectral selectivity of these materials with the high sensitivity, frequency-shift modality, and all-optical readout capability of an optomechanical IR sensor – thereby, accessing new regimes of spectrally targeted, dynamically tunable, and multispectral IR detection²¹ with performance levels that are far beyond the current state-of-the-art (SoA).

Lastly, using highly isolated, ultralow-mass drumhead or trampoline resonators for IR detection and the direct transduction of absorbed IR radiation to eigenfrequency shifts can potentially allow for rapid response times and high signal bandwidths – far beyond conventional

¹¹ S. Chakram et al, Dissipation in ultrahigh quality factor SiN membrane resonators, *Phys. Rev. Lett.* **112**, 127201 (2014).

¹² E. Gavartin et al, Stabilization of a linear nanomechanical oscillator to its thermodynamic limit, *Nature Comm.* **4**, 2860 (2013).

¹³ Y. S. Patil et al, Thermomechanical Two-mode squeezing in an ultrahigh-*Q* membrane resonator, *Phys. Rev. Lett.* **115**, 017202 (2015).

¹⁴ Q. Guo et al, Black Phosphorus Mid-Infrared Photodetectors with high gain, *Nano Lett.* **16**, 4648 (2016)

¹⁵ Y. Liao and Y. Zhao, Graphene-based tunable ultra-narrowband mid-infrared TE-polarization absorber, *Opt. Exp.* **25**, 32080 (2017).

¹⁶ Y. Yu et al, Dynamically tunable ultra-narrowband perfect absorbers for the visible-to-infrared range based on a microcavity integrated graphene pair, *Opt. Lett.* **46**, 2236 (2021).

¹⁷ A. Blaikie et al, A fast and sensitive room-temperature graphene nanomechanical bolometer, *Nature Comm.* **10**, 4726 (2019).

¹⁸ V. Gokhale et al, Infrared absorption properties of carbon nanotube/nanodiamond based thin film coatings, *J. MEMS* **23**, 191 (2014).

¹⁹ X. G. Peralta et al, Flexible, large area metamaterials fabricated on thin silicon nitride membranes, *CLEO CFY4* (2008); J. Wei et al, Metamaterial technologies for miniaturized infrared spectroscopy : Light sources, sensors, filters, detectors and integration, *J. Appl. Phys.* **128**, 240901 (2020); J. W. Stewart et al, Nanophotonic Engineering : A new paradigm for spectrally sensitive Thermal photodetectors, *ACS Photonics* **8**, 71 (2021).

²⁰ S. Schmid et al, Single-layer graphene on Silicon Nitride micromembrane resonators, *J. Appl. Phys.* **115**, 054513 (2014).

²¹ J. J. Talghader et al, Spectral selectivity in infrared thermal detection, *Light: Science & Applications*, **1**, e24 (2012).

‘equilibration’ time scales²² observed in conventional bolometers.

In conjunction, these facets augur new regimes of IR detection with performance metrics that represent vast improvements over current uncooled thermal detectors. While each of the above facets of this new IR detection paradigm have been demonstrated in isolation, the OpTIm program seeks innovative proposals to integrate these facets within a single sensor to validate and benchmark a new class of optomechanical IR detectors capable of unprecedented levels of IR-detection sensitivity, signal bandwidth, and spectral selectivity.

C. Program Description/Scope

The OpTIm program seeks to build upon these nascent efforts to demonstrate a new class of room-temperature, integrated optomechanical IR detectors in the MWIR and LWIR regimes with performance metrics that bridge the gap between room temperature microbolometers and cryogenic, quantum-limited IR photodetectors. To this end, OpTIm will explore a diverse space of intrinsic IR-sensitive materials, nano-assembled metamaterials, and heterostructures that combine enhanced IR-absorption, multispectral, or polarization-sensitive IR capabilities with high- Q optomechanical resonator integration and quantum-limited optical readout. Based on this exploration, OpTIm will validate and benchmark the essential elements of this novel IR detection concept; these elements are

- (i) Spectrally tailored narrowband, multispectral or polarization-sensitive IR absorption in high- Q thin-film resonators or heterostructure membrane resonators;
- (ii) IR-induced frequency shifts in the resonator eigenmodes that can be rapidly and accurately determined owing to the high intrinsic quality factors, low thermomechanical noise, low thermal mass, and low fractional frequency instability of these resonators; and
- (iii) All-optical detection of these frequency shifts close to, or at, quantum-limited precision by harnessing visible or near-IR photodetection technology. Such all-optical protocols can potentially circumvent issues of ROIC-induced noise sources, fabrication incompatibilities or related issues that have hampered conventional microbolometer technology.

OpTIm also aims to establish fundamental sensitivity, bandwidth, noise, and performance limits of this new modality of IR detection.

Specifically out-of-scope activities include efforts that primarily result in evolutionary improvements to the existing SoA in IR detection technology; efforts to improve upon current SoA in microbolometer technology via enhancements to readout integrated circuits (ROICs); improvements to microbolometer material growth, fabrication, or other efforts primarily oriented

²² D. K. Efetov et al, Fast thermal relaxation in cavity-coupled graphene bolometers with Johnson Noise readout, *Nature Nano.* **13**, 797 (2018); J. W. Stewart et al, Ultrafast pyroelectric photodetection with on-chip spectral filters, *Nature Mat.* **19**, 158 (2020); N. Morell et al, Optomechanical measurement of thermal transport in two-dimensional MoSe₂ lattices, *Nano Lett.* **19**, 3143 (2019); R. J. Dolleman et al, Optomechanics for thermal characterization of graphene, *Phys. Rev. B* **96**, 165421 (2017).

towards increasing the responsivity of microbolometer materials; and efforts to obtain enhanced IR detection performance via cryogenic or other forms of cooling. Abstracts and proposals that focus on the above-mentioned topics may be determined to be non-conforming, and may be removed from consideration.

D. Program Structure

OpTIm is a 60-month program broken into two phases – a 30-month Phase I base period and a 30-month Phase II option. The program is structured as follows:

- Phase I (30 months) will focus on the validation of the OpTIm device concept. During this period, performers will:
 - Explore, develop and fabricate sensor materials that combine low-noise, high- Q optomechanical properties with tunable, narrowband, or multispectral IR-sensitive absorption characteristics
 - Demonstrate IR-induced modification of resonator eigenmodes in a single-pixel detector with effective area of less than $(100\ \mu\text{m})^2$
 - Characterize the resultant IR sensitivity and IR-spectral characteristics of the detector material/heterostructure
 - Demonstrate Phase I detector metrics: single-pixel noise equivalent power (NEP) $< 1\ \text{pW/Hz}^{1/2}$ and a signal bandwidth $> 10\ \text{kHz}$

Progress under the program will be assessed against the overarching detector attributes of interest to the DoD as outlined in Section C and by how performers address the technical challenges described in Section E. Program reviews will take place at months 13 and 28 to assess performer progress against Phase I metrics and to facilitate DARPA's Phase II selection decisions. Performers who are successful in Phase I may be selected to move on to Phase II.

- Phase II (30 months) is conditional on success in Phase I and will build upon Phase I efforts to
 - Demonstrate all-optical interrogation of the optomechanical detector and optical readout of IR signals from the single-pixel detector developed during Phase I
 - Tune, optimize, and characterize the performance trade space, including detector sensitivity, dynamic range, signal bandwidth, spectral and polarization characteristics, Allan variance of the optomechanical resonator spectrum, and performance metrics for the optical readout (e.g., shot-noise limited frequency resolution)
 - Demonstrate Phase II detector metrics: single-pixel NEP $< 0.1\ \text{pW/Hz}^{1/2}$ and a signal bandwidth $> 100\ \text{kHz}$

The performance trade space may be specific to targeted applications of the IR detector and will be finalized in Phase I through discussions between the performers and DARPA,

as required. These measurements will inform estimates of fundamental sensitivity limits, dominant noise sources, and other aspects of overall detector performance for the OpTIm modality.

E. Technical Area Description

As stated in Section C, the OpTIm program aims to validate, characterize, and benchmark a new class of optomechanical IR detectors. This BAA addresses Technical Area 1 (TA1) of the OpTIm program. Performance attributes of specific interest to TA1 are IR sensitivity (represented, for instance, by the NEP), signal bandwidth, and the spectral characteristics of the detector (e.g., spectral selectivity, tunability, multispectral characteristics, etc.) To facilitate the broadest exploration of materials, geometries, and detector strategies within the OpTIm paradigm, the TA1 program metrics have been pared to the minimum required, i.e., IR sensitivity and signal bandwidth. The spectral absorption characteristics are proposer specified with the constraint that proposed solutions target IR detection within the MWIR (2.5 – 5.0 μm) and/or LWIR (8-14 μm).

Successful approaches will explore new materials, optical readout strategies, fabrication strategies and integration approaches to IR detection using the various facets of the OpTIm detector concept articulated in Section B as a guide. Proposers should provide a description of their proposed OpTIm detector and include detail sufficient to enable assessment of the validity of their approach and the experimental feasibility of their proposed device to meet OpTIm program goals and metrics.

This description should include, for instance,

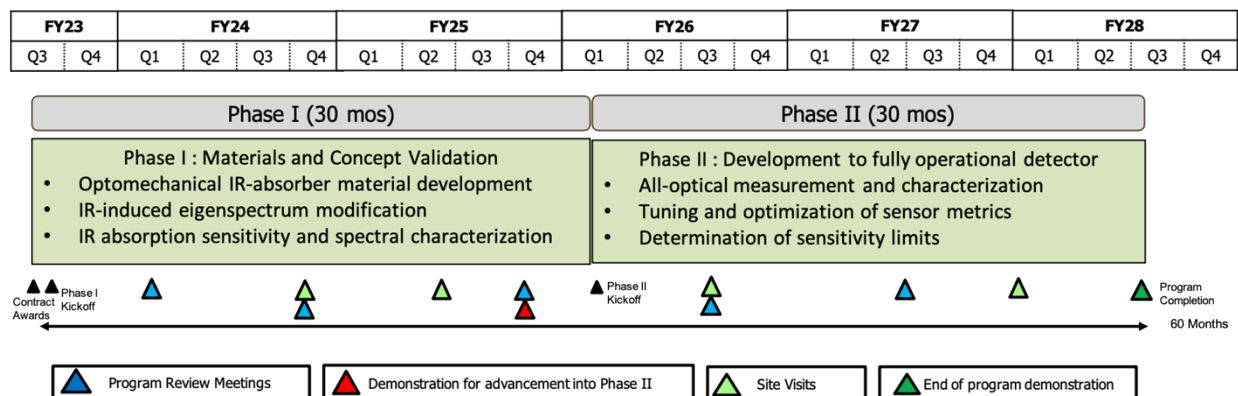
- Optomechanical or MEMS resonator material and geometry: Descriptions should include a brief outline of proposed fabrication routes and estimates of thermomechanical characteristics, eigenspectrum, mechanical quality factors, fractional frequency instability, and thermal properties (thermal capacitance, substrate thermal conductance and radiative thermal conductance). Methods to enable low thermomechanical noise and high isolation from environmental perturbations should be detailed.
- IR-absorber material, nanomaterial, or heterostructure: Description should include a brief outline of proposed fabrication of the absorber or heterostructure on the resonator, possible effects of the heterostructure on the thermomechanical properties of the underlying resonator, and estimates/simulations/discussions of the spectral characteristics of the absorber materials. Pathways to enable fast response times and high IR sensitivity should be detailed and substantiated by initial modeling and simulations.
- Estimated peak IR absorption, spectral detection band (center wavelength λ_0 and spectral extent $\Delta\lambda$) within the MWIR or LWIR spectrum, or similar descriptions for multispectral detection profiles.
- Mechanisms, if any, to enable tunability of the spectral detection band(s).
- Dominant sources of noise, instability, drift effects, and other potential limits to the device concept along with proposed strategies for mitigating these effects.

Proposers should clearly delineate approaches and justifications for meeting the TA1 program goals and metrics. While the entirety of the OpTIm program will focus on demonstration, validation, and characterization of single-pixel detectors, proposers should discuss the potential scalability of their proposed solution to multipixel arrays.

F. Schedule/Milestones

OpTIm is structured to demonstrate, characterize, and benchmark a new class of room-temperature, optomechanical IR detectors relevant to applications of interest to the DoD. Proposers should specify the research and technology development schedule for the full period of performance, split between Phase I and Phase II. The Statement of Work (SOW) should provide a detailed task breakdown, citing specific tasks and interim milestones and metrics, as applicable. Proposers should provide a technical and programmatic strategy that conforms to the entire program schedule and presents an aggressive plan to fully address all program goals, metrics, milestones, and deliverables. The task structure should be consistent across the proposed schedule, Statement of Work, and cost volume.

Program Schedule



A target start date of May 2023 may be assumed for planning purposes. Schedules will be synchronized across performers, as required, and monitored/revised as necessary throughout the program.

All proposals must include the following meetings and travel in the proposed schedule and costs:

- To continue integration and development across the program, foster collaboration between teams, and disseminate program developments, a two-day Principal Investigator (PI) meeting will be held approximately every six months with locations split between the east and west coasts of the United States. For budgeting purposes, plan for nine two-day meetings over the course of 60 months: six meetings in the Washington, D.C., area and three meetings in the San Francisco, California, area.
- Regular teleconference meetings will be scheduled with the Government team for progress reporting as well as problem identification and mitigation. Proposers should

anticipate at least one site visit per phase by the DARPA Program Manager during which they will have the opportunity to demonstrate progress towards agreed-upon milestones.

G. Deliverables

Performers will be expected to provide at a minimum the following deliverables:

- Comprehensive quarterly technical reports due within ten days of the end of the given quarter, describing progress made on the specific milestones as laid out in the SOW.
- A phase completion report submitted within 30 days of the end of each phase, summarizing the research done.
- Other negotiated deliverables specific to the objectives of the individual efforts. These may include registered reports; experimental protocols; publications; data management plan; intermediate and final versions of software libraries, code, and APIs, including documentation and user manuals; and/or a comprehensive assemblage of design documents, models, modeling data and results, and model validation data.
- Reporting as outlined in Section VI.C.

H. Other Program Objectives and Considerations

1. Collaboration

Throughout the course of the program, it is likely to be necessary for all performers—regardless of category—to share relevant information regarding their research and development to support the larger program goals. DARPA expects all program performers to work collaboratively with one another to realize the program objectives outlined herein, so proposers should carefully review the goals for the entire program in order to fully understand the context of each program objective, performer category, and TA within the overall program structure. All proposals should describe plans for ensuring transparency of their processes to enable interactions with other program performers. Proposals that fail to include these plans may be deemed non-conforming and removed from consideration.

II. Award Information

A. General Award Information

DARPA anticipates multiple awards.

The level of funding for individual awards made under this BAA will depend on the quality of the proposals received and the availability of funds. Awards will be made to proposers²³ whose

²³ As used throughout this BAA, “proposer” refers to the lead organization on a submission to this BAA. The proposer is responsible for ensuring that all information required by a BAA--from all team members--is submitted in accordance with the BAA. “Awardee” refers to anyone who might receive a prime award from the Government, including recipients of procurement contracts, cooperative agreements, or Other Transactions. “Subawardee” refers to anyone who might receive a subaward from a prime awardee (e.g., subawardee, consultant, etc.).

proposals are determined to be the most advantageous to the Government, all evaluation factors considered. See Section V for further information.

The Government reserves the right to:

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

Proposals identified for negotiation may result in a procurement contract, cooperative agreement, or Other Transaction (OT), depending upon the nature of the work proposed, the required degree of interaction between parties, and other factors.

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

In accordance with 10 U.S.C. § 4022(f), the Government may award a follow-on production contract or Other Transaction (OT) for any OT awarded under this solicitation if: (1) that participant in the OT, or a recognized successor in interest to the OT, successfully completed the entire prototype project provided for in the OT, as modified; and (2) the OT provides for the award of a follow-on production contract or OT to the participant, or a recognized successor in interest to the OT.

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

program. For more information on publication restrictions, see the section below on Fundamental Research

B. Fundamental Research

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

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

As of the date of publication of this solicitation, the Government expects that program goals as described herein may be met by proposed efforts for fundamental research and non-fundamental research. Some proposed research may present a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense. Based on the anticipated type of proposer (e.g., university or industry) and the nature of the solicited work, the Government expects that some awards will include restrictions on the resultant research that will require the awardee to seek DARPA permission before publishing any information or results relative to the program.

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

- (a) The University or non-profit research institution performer or recipient must establish and maintain an internal process or procedure to address foreign talent programs, conflicts of commitment, conflicts of interest, and research integrity. The academic or non-profit research performer or recipient must also utilize due diligence to identify Foreign Components or participation by Senior/Key Personnel in Foreign Government Talent Recruitment Programs and agree to share such information with the Government upon request.
 - i. The above described information will be provided to the Government as part of the proposal response to the solicitation and will be reviewed and assessed prior to award. Generally, this information will be included in the Research and Related Senior/Key Personnel Profile (Expanded) form (SF-424) required as part the proposer’s submission through Grants.gov.
 1. Instructions regarding how to fill out the SF-424 and its biographical sketch can be found through Grants.gov.
 - ii. In accordance with USD(R&E) direction to mitigate undue foreign influence in DoD-funded science and technology, DARPA will assess all Senior/Key

Personnel proposed to support DARPA grants and cooperative agreements for potential undue foreign influence risk factors relating to professional and financial activities. This will be done by evaluating information provided via the SF-424, and any accompanying or referenced documents, in order to identify and assess any associations or affiliations the Senior/Key Personnel may have with foreign strategic competitors or countries that have a history of intellectual property theft, research misconduct, or history of targeting U.S. technology for unauthorized transfer. DARPA's evaluation takes into consideration the entirety of the Senior/Key Personnel's SF-424, current and pending support, and biographical sketch, placing the most weight on the Senior/Key Person's professional and financial activities over the last 4 years. The majority of foreign entities lists used to make these determinations are publicly available. The DARPA Countering Foreign Influence Program (CFIP) "Senior/Key Personnel Foreign Influence Risk Rubric" details the various risk ratings and factors. The rubric can be seen at the following link:

<https://www.darpa.mil/attachments/092021DARPA CFIP Rubric.pdf>

iii. Examples of lists that DARPA leverages to assess potential undue foreign influence factors include, but are not limited to:

1. Executive Order 13959 "Addressing the Threat From Securities Investments That Finance Communist Chinese Military Companies": <https://www.govinfo.gov/content/pkg/FR-2020-11-17/pdf/2020-25459.pdf>
2. The U.S. Department of Education's College Foreign Gift and Contract Report: [College Foreign Gift Reporting \(ed.gov\)](https://www.ed.gov/collegereports)
3. The U.S. Department of Commerce, Bureau of Industry and Security, List of Parties of Concern: <https://www.bis.doc.gov/index.php/policy-guidance/lists-of-parties-of-concern>
4. Georgetown University's Center for Security and Emerging Technology (CSET) Chinese Talent Program Tracker: <https://chinatalenttracker.cset.tech>
5. Director of National Intelligence (DNI) "World Wide Threat Assessment of the US Intelligence Community": [2021 Annual Threat Assessment of the U.S. Intelligence Community \(dni.gov\)](https://www.dni.gov/2021-Annual-Threat-Assessment-of-the-US-Intelligence-Community)
6. Various Defense Counterintelligence and Security Agency (DCSA) products regarding targeting of US technologies, adversary targeting of academia, and the exploitation of academic experts: <https://www.dcsa.mil/>

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

University or non-profit research institutions with proposals selected for negotiation that have been assessed as having high or very high undue foreign influence risk, will be given an opportunity during the negotiation process to

mitigate the risk. DARPA reserves the right to request any follow-up information needed to assess risk or mitigation strategies.

- iv. Upon conclusion of the negotiations, if DARPA determines, despite any proposed mitigation terms (e.g. mitigation plan, alternative research personnel), the participation of any Senior/Key Research Personnel still represents high risk to the program, or proposed mitigation affects the Government's confidence in proposer's capability to successfully complete the research (e.g., less qualified Senior/Key Research Personnel) the Government may determine not to award the proposed effort. Any decision not to award will be predicated upon reasonable disclosure of the pertinent facts and reasonable discussion of any possible alternatives while balancing program award timeline requirements.
- (b) Failure of the academic or non-profit research performer or recipient to reasonably exercise due diligence to discover or ensure that neither it nor any of its Senior/Key Research Personnel involved in the subject award are participating in a Foreign Government Talent Program or have a Foreign Component with an a strategic competitor or country with a history of targeting U.S. technology for unauthorized transfer may result in the Government exercising remedies in accordance with federal law and regulation.
 - i. If, at any time, during performance of this research award, the academic or non-profit research performer or recipient should learn that it, its Senior/Key Research Personnel, or applicable team members or subtier performers on this award are or are believed to be participants in a Foreign Government Talent Program or have Foreign Components with a strategic competitor or country with a history of targeting U.S. technology for unauthorized transfer , the performer or recipient will notify the Government Contracting Officer or Agreements Officer within 5 business days.
 - 1. This disclosure must include specific information as to the personnel involved and the nature of the situation and relationship. The Government will have 30 business days to review this information and conduct any necessary fact-finding or discussion with the performer or recipient.
 - 2. The Government's timely determination and response to this disclosure may range anywhere from acceptance, to mitigation, to termination of this award at the Government's discretion.
 - 3. If the University receives no response from the Government to its disclosure within 30 business days, it may presume that the Government has determined the disclosure does not represent a threat.
 - ii. The performer or recipient must flow down this provision to any subtier contracts or agreements involving direct participation in the performance of the research.

(c) Definitions

- i. Senior/Key Research Personnel
 - 1. This definition would include the Principal Investigator or Program/Project Director and other individuals who contribute to the

scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the award. These include individuals whose absence from the project would be expected to impact the approved scope of the project.

2. Most often, these individuals will have a doctorate or other professional degrees, although other individuals may be included within this definition on occasion.

ii. Foreign Associations/Affiliations

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

iii. Foreign Government Talent Recruitment Programs

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

- e. Many, but not all, of these programs aim to incentivize the targeted individual to physically relocate to the foreign state. Of particular concern are those programs that allow for continued employment at U.S. research facilities or receipt of U.S. Government research funding while concurrently receiving compensation from the foreign state.
- 3. Foreign Government Talent Recruitment Programs DO NOT include:
 - a. Research agreements between the University and a foreign entity, unless that agreement includes provisions that create situations of concern addressed elsewhere in this section,
 - b. Agreements for the provision of goods or services by commercial vendors, or
 - c. Invitations to attend or present at conferences.
- iv. Conflict of Interest
 - 1. A situation in which an individual, or the individual's spouse or dependent children, has a financial interest or financial relationship that could directly and significantly affect the design, conduct, reporting, or funding of research.
- v. Conflict of Commitment
 - 1. A situation in which an individual accepts or incurs conflicting obligations between or among multiple employers or other entities.
 - 2. Common conflicts of commitment involve conflicting commitments of time and effort, including obligations to dedicate time in excess of institutional or funding agency policies or commitments. Other types of conflicting obligations, including obligations to improperly share information with, or withhold information from, an employer or funding agency, can also threaten research security and integrity and are an element of a broader concept of conflicts of commitment.
- vi. Foreign Component
 - 1. Performance of any significant scientific element or segment of a program or project outside of the U.S., either by the University or by a researcher employed by a foreign organization, whether or not U.S. government funds are expended.
 - 2. Activities that would meet this definition include, but are not limited to:
 - a. Involvement of human subjects or animals;
 - b. Extensive foreign travel by University research program or project staff for the purpose of data collection, surveying, sampling, and similar activities;
 - c. Collaborations with investigators at a foreign site anticipated to result in co-authorship;

- d. Use of facilities or instrumentation at a foreign site;
- e. Receipt of financial support or resources from a foreign entity; or
- f. Any activity of the University that may have an impact on U.S. foreign policy through involvement in the affairs or environment of a foreign country.

3. Foreign travel is not considered a Foreign Component.

vii. Strategic Competitor

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

Proposers should indicate in their proposal whether they believe the scope of the research included in their proposal is fundamental or not. While proposers should clearly explain the intended results of their research, the Government shall have sole discretion to determine whether the proposed research shall be considered fundamental and to select the award instrument type. Appropriate language will be included in resultant awards for non-fundamental research to prescribe publication requirements and other restrictions, as appropriate. This language can be found at <http://www.darpa.mil/work-with-us/additional-baa>.

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

III. Eligibility Information

A. Eligible Applicants

All responsible sources capable of satisfying the Government's needs may submit a proposal for DARPA's consideration.

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

a. FFRDCs

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

subawardees. FFRDC proposals that do not include these elements may be deemed non-conforming and removed from consideration.

b. Government Entities

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

c. Authority and Eligibility

At the present time, DARPA does not consider 15 U.S.C. § 3710a to be sufficient legal authority to show eligibility. While 10 U.S.C. § 4892 may be the appropriate statutory starting point for some entities, specific supporting regulatory guidance, together with evidence of agency approval, will still be required to fully establish eligibility. DARPA will consider FFRDC and Government Entity eligibility submissions on a case-by-case basis; however, the burden to prove eligibility for all team members rests solely with the proposer.

2. Other Applicants

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

B. Organizational Conflicts of Interest

FAR 9.5 Requirements

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

Agency Supplemental OCI Policy

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

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

Government Procedures

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

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

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

Include any OCIs affirmations and disclosures in Attachment G: VOLUME 3:
ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS.

C. Cost Sharing/Matching

Cost sharing is not required; however, it will be carefully considered where there is an applicable statutory condition relating to the selected funding instrument (e.g., OTs under the authority of 10 U.S.C. § 4021). Cost sharing is encouraged where there is a reasonable probability of a potential commercial application related to the proposed research and development effort.

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

IV. Application and Submission Information

Prior to submitting a full proposal, proposers are *strongly encouraged* to first submit an abstract as described below. This process allows a proposer to ascertain whether the proposed concept is (1) applicable to the OptIm BAA and (2) currently of interest. For the purposes of this BAA, applicability is defined as follows:

- The proposed concept is applicable to the technical areas described herein.
- The proposed concept is important to DSO's current investment portfolio.
- The proposed concept investigates an innovative approach that enables revolutionary advances, i.e., will not primarily result in evolutionary improvements to the existing state of practice.
- The proposed work has not already been completed (i.e., the research element is complete but manufacturing/fabrication funds are required).
- The proposer has not already received funding or a positive funding decision for the proposed concept (whether from DARPA or another Government agency).

Abstracts and full proposals that are not found to be applicable to the OpTIm BAA as defined above may be deemed non-conforming²⁴ and removed from consideration. All abstracts and full proposals must provide sufficient information to assess the validity/feasibility of their claims as well as comply with the requirements outlined herein for submission formatting, content and transmission to DARPA. Abstracts and full proposals that fail to do so may be deemed non-conforming and removed from consideration. Proposers will be notified of non-conforming determinations via letter.

A. Address to Request Application Package

This document contains all information required to submit a response to this solicitation. No additional forms, kits, or other materials are needed except as referenced herein. No request for proposal or additional solicitation regarding this opportunity will be issued, nor is additional information available except as provided at the SAM.gov website (<https://sam.gov/>), the Grants.gov website (<http://www.grants.gov/>), or referenced herein.

B. Content and Form of Application Submission

1. Abstract Information and Formatting

As stated above, proposers are strongly encouraged to submit an abstract in advance of a full proposal to minimize effort and reduce the potential expense of preparing an out of scope proposal. All proposers are required to use Attachment A: ABSTRACT SUMMARY SLIDE TEMPLATE and Attachment B: ABSTRACT TEMPLATE provided with this solicitation on <https://sam.gov/> and <http://www.grants.gov>. Attachment A: ABSTRACT SUMMARY SLIDE TEMPLATE described herein must be in .ppt, .pptx or .pdf format and should be attached as a separate file to this document.

The abstract provides a synopsis of the proposed project by including the following information:

- The proposed technical approach
- The technical rationale supporting the ability to achieve the metrics
- The technical and programmatic risks
- The makeup of the technical team (including the facilities and any proposed subcontractors)
- High-level cost and schedule
- Availability of proposed staff

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

Proposers should note that a favorable response to an abstract is not a guarantee that a proposal

²⁴ "Conforming" is defined as having been submitted in accordance with the requirements outlined herein

based on the abstract will ultimately be selected for award negotiation.

While it is DARPA policy to attempt to reply to abstracts within thirty calendar days, proposers to this solicitation may anticipate a response within approximately three weeks. These official notifications will be sent via email to the Technical POC and/or Administrative POC identified on the abstract coversheet.

2. Full Proposal Information and Formatting

a. Proposal Volumes

Full proposals must consist of all 3 volumes described below. To assist in proposal development, templates for these volumes are posted as attachments to this solicitation on <https://sam.gov/>. The templates are specific to each volume, as outlined below.

Full proposals requesting a procurement contract or Other Transaction (OT) must use the following attachments in each volume:

- **Volume 1**
 - Attachment C: PROPOSAL SUMMARY SLIDE TEMPLATE
 - Attachment D: PROPOSAL TEMPLATE VOLUME 1: TECHNICAL & MANAGEMENT
- **Volume 2²⁵**
 - Attachment E: PROPOSAL TEMPLATE VOLUME 2: COST
 - Attachment F: MS Excel™ DARPA COST PROPOSAL SPREADSHEET
- **Volume 3**
 - Attachment G: PROPOSAL TEMPLATE VOLUME 3: ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS

Full proposals requesting cooperative agreement must use the following attachments in addition to the Grants.gov application package:

- **Volume 1**
 - Attachment C: PROPOSAL SUMMARY SLIDE TEMPLATE
 - Attachment D: PROPOSAL TEMPLATE VOLUME 1: TECHNICAL & MANAGEMENT
- **Volume 2^{26*}**
 - Attachment F: MS Excel™ DARPA COST PROPOSAL SPREADSHEET
- **Volume 3**

²⁵ All costs included in Volume 2 Attachments E and F must be expressed in US Dollars (USD).

²⁶ All costs included in Volume 2 Attachment F and those submitted in Section L of the SF 424 Research & Related Budget form via Grants.gov must be expressed in US Dollars (USD).

- Attachment G: PROPOSAL TEMPLATE VOLUME 3: ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS

* Full proposals requesting a cooperative agreement do not need to include Attachment E. Instead, Budget Justification should be provided as Section L of the SF 424 Research & Related Budget form provided via <http://www.grants.gov> (see section IV.E.1.c for additional details). The Budget Justification should include the following information for the recipient and all subawardees:

- **Direct Labor (sections A and B)** - Detail the total number of persons and their level of commitment for each position listed as well as which specific tasks (as described in the SOW) they will support.
- **Equipment (section C)** - Provide an explanation for listed requested equipment exceeding \$5,000, properly justifying why it is required to meet the objectives of the program.
- **Travel (section D)** - Provide the purpose of the trip, number of trips, number of days per trip, departure and arrival destinations, number of people, etc. Only travel required to achieve the program goals and metrics will be allowed.
- **Other Direct Costs (section F)** - Provide a justification for the items requested and an explanation of how the estimates were obtained.
- **Participant/Trainee Support Costs (section E)** - Provide details on Tuition/ Fees/ Health Insurance, Stipends, Travel and Subsistence costs.

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

All proposers are required to use the appropriate templates based on the type of award requested. Templates are provided as attachments to this solicitation on <https://sam.gov> and <http://www.grants.gov>. Full Proposals that do not include the appropriate attachments as detailed here may be deemed non-conforming and may not be evaluated.

b. DARPA Embedded Entrepreneur Initiative (EEI)

Awardees pursuant to this solicitation may be eligible to participate in the DARPA Embedded Entrepreneurship Initiative (EEI) during the award’s period of performance. EEI is a limited

scope program offered by DARPA, at DARPA's discretion, to a small subset of awardees. The goal of DARPA's EEI is to increase the likelihood that DARPA-funded technologies take root in the U.S. and provide new capabilities for national defense. EEI supports DARPA's mission "to make pivotal investments in breakthrough technologies and capabilities for national security" by accelerating the transition of innovations out of the lab and into new capabilities for the Department of Defense (DoD). EEI investment supports development of a robust and deliberate Go-to-Market strategy for selling technology product to the government and commercial markets and positions DARPA awardees to attract U.S. investment. The following is for informational and planning purposes only and does not constitute solicitation of proposals to the EEI.

There are three elements to DARPA's EEI: (1) A Senior Commercialization Advisor (SCA) from DARPA who works with the Program Manager (PM) to examine the business case for the awardee's technology and uses commercial methodologies to identify steps toward achieving a successful transition of technology to the government and commercial markets; (2) Connections to potential industry and investor partners via EEI's Investor Working Groups; and (3) Additional funding on an awardee's contract for the awardee to hire an embedded entrepreneur to achieve specific milestones in a Go-to-Market strategy for transitioning the technology to products that serve both defense and commercial markets. This embedded entrepreneur's qualifications should include business experience within the target industries of interest, experience in commercializing early stage technology, and the ability to communicate and interact with technical and non-technical stakeholders. Funding for EEI is typically no more than \$250,000 per awardee over the duration of the award. An awardee may apportion EEI funding to hire more than one embedded entrepreneur, if achieving the milestones requires different expertise that can be obtained without exceeding the awardee's total EEI funding. The EEI effort is intended to be conducted concurrent with the research program without extending the period of performance.

EEI Application Process:

After receiving an award under the solicitation, awardees interested in being considered for EEI should notify their DARPA Program Manager (PM) during the period of performance. Timing of such notification should ideally allow sufficient time for DARPA and the awardee to review the awardee's initial transition plan, identify milestones to achieve under EEI, modify the award, and conduct the work required to achieve such milestones within the original award period of performance. These steps may take 18-24 months to complete, depending on the technology. If the DARPA PM determines that EEI could be of benefit to transition the technology to product(s) the Government needs, the PM will refer the performer to DARPA Commercial Strategy.

DARPA Commercial Strategy will then contact the performer, assess fitness for EEI, and in consultation with the DARPA technical office, determine whether to invite the performer to participate in the EEI. Factors that are considered in determining fitness for EEI include DoD/Government need for the technology; competitive approaches to enable a similar capability or product; risks and impact of the Government's being unable to access the technology from a sustainable source; Government and commercial markets for the technology; cost and affordability; manufacturability and scalability; supply chain requirements and barriers; regulatory requirements and timelines; Intellectual Property and Government Use Rights, and available funding.

Invitation to participate in EEI is at the sole discretion of DARPA and subject to program balance and the availability of funding. EEI participants' awards may be subsequently modified bilaterally to amend the statement of work to add negotiated EEI tasks, provide funding, and specify a milestone schedule which will include measurable steps necessary to build, refine, and execute a Go-to-Market strategy aimed at delivering new capabilities for national defense. Milestone examples are available at: <https://www.darpa.mil/work-with-us/contract-management>.

Awardees under this solicitation are eligible to be considered for participation in EEI, but selection for award under this solicitation does not imply or guarantee participation in EEI.

3. Proprietary Information

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

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

Proposers and awardees are subject to the DoD requirements related to protection of CUI and CTI IAW Executive Order 13556, *Controlled Unclassified Information*, DFARS 252.204-7000, *Disclosure of Information*, DFARS 252.204-7012, *Safeguarding Covered Defense Information and Cyber Incident Reporting*, DoD Instruction 5200.48, *Controlled Unclassified Information*, DoD Instruction 8582.01, *Security of Non-DoD Information Systems Processing Unclassified Nonpublic DoD Information*. See <http://www.darpa.mil/work-with-us/additional-baa> for additional guidance on protecting CUI on Non-DoD Information Systems.

CUI is defined as unclassified information that requires safeguarding or dissemination controls, pursuant to and consistent with applicable law, regulations, and Government-wide policies.

Controlled Technical Information (CTI) is defined as technical information with military or space application that is subject to controls on its access, use, reproduction, modification, performance, display, release, disclosure, or dissemination. The term CTI does not include information that is lawfully publicly available without restrictions.

DoD considers "technical information" to be technical data or computer software, as those terms are defined in Defense Federal Acquisition Regulation Supplement clause 252.227-7013, "Rights in Technical Data - Noncommercial Items" (48 CFR 252.227-7013). Examples of technical information include research and engineering data; engineering drawings and associated lists; specifications, standards, process sheets, manuals, technical reports, technical orders, catalog-item identifications, data sets, studies and analyses and related information; and computer software code. Note that such technical information may or may not be controlled (i.e., CTI), depending on whether it has military or space application.

As part of Attachment D: PROPOSAL TEMPLATE VOLUME 1: TECHNICAL & MANAGEMENT, the proposer should include a statement of work with a breakdown of all

research tasks and subtasks and indicate the proposed classification for each. For all tasks and subtasks proposed to be unclassified, proposers should distinguish between work proposed to be Fundamental Research versus work proposed to be CUI. Proposers will provide a short explanation for why each subtask should be categorized as Fundamental Research or CUI.

If CUI tasks are proposed in the statement of work, proposers must provide a plan for protecting Controlled Unclassified Information as part of Attachment G: PROPOSAL TEMPLATE VOLUME 3: ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS, Section 8.

CTI is to be marked “DISTRIBUTION C. Distribution authorized to U.S. Government agencies and their contractors; Critical Technology; [current date]. Other requests for this document shall be referred to DARPA, DSO” in accordance with Department of Defense Instruction 5203.24, “Distribution of Statements on Technical Documents.”

5. Security Information

DARPA anticipates that submissions received under this BAA will be unclassified. However, should a proposer wish to submit classified information, an *unclassified* email must be sent to the BAA mailbox requesting submission instructions from the DARPA/DSO Program Security Officer (PSO).

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

C. Submission Dates and Times

Proposers are warned that submission deadlines as outlined herein are in Eastern Time and will be strictly enforced. When planning a response to this solicitation, proposers should take into account that some parts of the submission process may take from one business day to one month to complete (e.g., registering for a SAM.gov Unique Entity Identifier (UEI) number or Taxpayer Identification Number (TIN)).

DARPA will acknowledge receipt of *complete* submissions via email and assign identifying numbers that should be used in all further correspondence regarding those submissions. If no confirmation is received within two business days, please contact the BAA Administrator at OpTIm@darpa.mil to verify receipt.

1. Abstracts

Abstracts must be submitted per the instructions outlined herein *and received by DARPA* no later than the due date and time listed in Part One: Overview Information. Abstracts received after this time and date may not be reviewed.

2. Full Proposals

Full proposal packages as detailed in Section IV.B.2 above, and, as applicable, proprietary subawardee cost proposals and classified appendices to unclassified proposals, must be

submitted per the instructions outlined herein *and received by DARPA* no later than the due date and time listed in Part One: Overview Information. Proposals received after this time and date may not be reviewed.

D. Funding Restrictions

Not applicable.

E. Other Submission Requirements

1. Unclassified Submission Instructions

Proposers must submit all parts of their submission package using the same method; submissions cannot be sent in part by one method and in part by another method nor should duplicate submissions be sent by multiple methods. Email submissions will not be accepted. Failure to comply with the submission procedures outlined herein may result in the submission being deemed non-conforming and withdrawn from consideration.

a. Abstracts

DARPA/DSO will employ an electronic upload submission system (<https://baa.darpa.mil/>) for all UNCLASSIFIED abstracts sent in response to this solicitation. *Abstracts must not be submitted via Grants.gov or email.* Note: If an account has recently been created for the DARPA BAA website, this account may be reused. Accounts are typically disabled and eventually deleted following 75-90 days of inactivity – if you are unsure when the account was last used, it is recommended that you create a new account. If no account currently exists for the DARPA BAA website, visit the website to complete the two-step registration process. Submitters will need to register for an Extranet account (by clicking “Create New Account” at the URL listed above) and wait for two separate e-mails containing a username and temporary password. After accessing the Extranet, submitters may then create an account for the DARPA BAA website (via the “Register your Organization” link along the left side of the homepage), view submission instructions, and upload/finalize the proposal. Note: Even if a submitter’s organization has an existing registration, each user submitting a proposal must create their own Organization Registration.

All abstracts submitted electronically through DARPA’s BAA website must be uploaded as zip archives (i.e., files with a .zip or .zipx extension). The final zip archive should be no greater than 100 MB in size. Only one zip archive will be accepted per submission - subsequent uploads for the same submission will overwrite previous uploads, and submissions not uploaded as zip archives will be rejected by DARPA.

Proposers using the DARPA BAA website may encounter heavy traffic on the submission deadline date; proposers should start this process as early as possible. Technical support for the DARPA BAA Submission website is available during regular business hours, Monday – Friday, 9:00 a.m. – 5:00 p.m. Requests for technical support must be emailed to BAAT_Support@darpa.mil with a copy to OpTIm@darpa.mil. Questions regarding submission contents, format, deadlines, etc. should be emailed to OpTIm@darpa.mil. Questions/requests for support sent to any other email address may result in delayed/no response.

b. Proposals Requesting a Procurement Contract or Other Transaction

Proposers requesting procurement contracts or Other Transactions may submit full proposals through ONE of the following methods: (1) electronic upload (DARPA-preferred); or (2) direct mail/hand-carry.

i. Electronic Upload

DARPA/DSO encourages proposers to submit UNCLASSIFIED proposals via the DARPA BAA Submission website at <https://baa.darpa.mil>. Note: If an account has recently been created for the DARPA BAA website, this account may be reused. Accounts are typically disabled and eventually deleted following 75-90 days of inactivity – if you are unsure when the account was last used, it is recommended that you create a new account. If no account currently exists for the DARPA BAA website, visit the website to complete the two-step registration process. Submitters will need to register for an Extranet account (by clicking “Create New Account” at the URL listed above) and wait for two separate e-mails containing a username and temporary password. After accessing the Extranet, submitters may then create an account for the DARPA BAA website (via the “Register your Organization” link along the left side of the homepage), view submission instructions, and upload/finalize the proposal. Note: Even if a submitter’s organization has an existing registration, each user submitting a proposal must create their own Organization Registration.

All unclassified proposals submitted electronically through DARPA’s BAA website must be uploaded as zip archives (i.e., files with a .zip or .zipx extension). The final zip archive should be no greater than 100 MB in size. Only one zip archive will be accepted per submission - subsequent uploads for the same submission will overwrite previous uploads, and submissions not uploaded as zip archives will be rejected by DARPA.

Proposers using the DARPA BAA website may encounter heavy traffic on the submission deadline date; proposers should start this process as early as possible. Technical support for the DARPA BAA Submission website is available during regular business hours, Monday – Friday, 9:00 a.m. – 5:00 p.m. Requests for technical support must be emailed to BAAT_Support@darpa.mil with a copy to OpTIm@darpa.mil. Questions regarding submission contents, format, deadlines, etc. should be emailed to OpTIm@darpa.mil. Questions/requests for support sent to any other email address may result in delayed/no response.

ii. Direct Mail/Hand-carry

Proposers electing to submit procurement contract or Other Transaction proposals via direct mail or hand-carried must provide one paper copy and one electronic copy on CD or DVD of the full proposal package. All parts of the proposal package must be mailed or hand-carried in a single delivery to the address noted in Section VII below.

c. Proposals Requesting a Cooperative Agreement

Proposers requesting cooperative agreements must submit proposals through one of the following methods: (1) electronic upload per the instructions at <https://www.grants.gov/applicants/apply-for-grants.html> (DARPA-preferred); or (2) hard-copy mailed directly to DARPA. If proposers intend to use Grants.gov as their means of submission,

then they must submit their entire proposal through Grants.gov; applications cannot be submitted in part to Grants.gov and in part as a hard-copy. Proposers using Grants.gov do not submit hard-copy proposals in addition to the Grants.gov electronic submission.

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

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

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

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

- Biographical Sketch: Mandatory for Project Directors (PD) and Principal Investigators (PI), optional, but desired, for all other Senior/Key Personnel. The biographical sketch should include information pertaining to the researchers:
 - Education and Training.
 - Research and Professional Experience.
 - Collaborations and Affiliations (for conflict of interest).
 - Publications and Synergistic Activities.
- Current and Pending Support: Mandatory for all Senior/Key Personnel including the PD/PI. This attachment should include the following information:
 - A list of all current projects the individual is working on, in addition to any future support the individual has applied to receive, regardless of the source.
 - Title and objectives of the other research projects.

- The percentage per year to be devoted to the other projects.
- The total amount of support the individual is receiving in connection to each of the other research projects or will receive if other proposals are awarded.
- Name and address of the agencies and/or other parties supporting the other research projects
- Period of performance for the other research projects.

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

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

i. Electronic Upload

DARPA encourages cooperative agreement proposers to submit their proposals via electronic upload at <http://www.grants.gov/web/grants/applicants/apply-for-grants.html>. Proposers electing to use this method must complete a one-time registration process on Grants.gov before a proposal can be electronically submitted. *If proposers have not previously registered, this process can take up to four weeks* so registration should be done in sufficient time to ensure it does not impact a proposer’s ability to meet required submission deadlines. Registration requirements and instructions are outlined at <http://www.grants.gov/web/grants/register.html>.

Carefully follow the DARPA submission instructions provided with the solicitation application package on Grants.gov. Only the required forms listed therein (e.g., SF-424 and Attachments form) should be included in the submission. *NOTE: Grants.gov does not accept zipped or encrypted proposals.*

Once Grants.gov has received an uploaded proposal submission, Grants.gov will send two email messages to notify proposers that: (1) the proposal has been received by Grants.gov; and (2) the proposal has been either validated or rejected by the system. *It may take up to two business days to receive these emails.* If the proposal is validated, then the proposer has successfully submitted their proposal. If the proposal is rejected, the submission must be corrected, resubmitted and revalidated before DARPA can retrieve it. If the solicitation is no longer open, the rejected proposal cannot be resubmitted. Once the proposal is retrieved by DARPA, Grants.gov will send a third email to notify the proposer. DARPA will send a final confirmation email as described in Section IV.C.

To avoid missing deadlines, Grants.gov recommends that proposers submit their proposals to

Grants.gov 24-48 hours in advance of the proposal due date to provide sufficient time to complete the registration and submission process, receive email notifications and correct errors, as applicable.

Technical support for Grants.gov submissions may be reached at 1-800-518-4726 or support@grants.gov.

ii. Direct Mail/Hand-carry

Proposers electing to submit cooperative agreement proposals via direct mail or hand-carried must provide one paper copy and one electronic copy on CD or DVD of the full proposal package. Proposers must complete the SF 424 R&R form (Application for Federal Assistance, Research and Related) provided at Grants.gov as part of the opportunity application package for this BAA and include it in the proposal submission. All parts of the proposal package must be mailed or hand-carried to the address noted in Section VII below.

V. Application Review Information

A. Evaluation Criteria

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

- **Overall Scientific and Technical Merit**

The proposed technical approach is innovative, feasible, achievable, and complete. The proposed technical team 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. The proposed schedule aggressively pursues performance metrics in an efficient time frame that accurately accounts for the anticipated workload.

- **Potential Contribution and Relevance to the DARPA Mission**

The potential contributions of the proposed effort bolster the national security technology base and support DARPA's mission to make pivotal early technology investments that create or prevent technological surprise. The proposed intellectual property restrictions (if any) will not significantly impact the Government's ability to transition the technology.

- **Cost and Schedule Realism**

The proposed costs and schedule are realistic for the technical and management approach and accurately reflect the technical goals and objectives of the solicitation. All proposed labor, material, and travel costs are necessary to achieve the program metrics, consistent with the proposer's statement of work and reflect a sufficient understanding of the costs and level of effort needed to successfully accomplish the proposed technical approach. The costs for the prime proposer and proposed subawardees are substantiated by the details provided in the proposal

(e.g., the type and number of labor hours proposed per task, the types and quantities of materials, equipment and fabrication costs, travel and any other applicable costs and the basis for the estimates). The proposed schedule aggressively pursues performance metrics in an efficient time frame that accurately accounts for the anticipated workload. The proposed schedule identifies and mitigates any potential schedule risk.

B. Review and Selection Process

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

The review process identifies proposals that meet the evaluation criteria described above and are, therefore, selectable for negotiation of awards by the Government. DARPA policy is to ensure impartial, equitable, comprehensive proposal evaluations and to select proposals that meet DARPA technical, policy, and programmatic goals. Proposals that are determined selectable will not necessarily receive awards (see Section II). Selections may be made at any time during the period of solicitation. For evaluation purposes, a proposal is defined to be the document and supporting materials as described in Section IV.

1. Handling of Source Selection Information

DARPA policy is to treat all submissions as source selection information (FAR 2.101 and 3.104), and to only disclose their contents to authorized personnel. Restrictive notices notwithstanding, submissions may be handled by support contractors for administrative purposes and/or to assist with technical evaluation. All DARPA support contractors performing this role are expressly prohibited from performing DARPA-sponsored technical research and are bound by appropriate nondisclosure agreements. Subject to the restrictions set forth in FAR 37.203(d), DARPA may also request input on technical aspects of the proposals from other non-Government consultants/experts who are strictly bound by the appropriate non-disclosure requirements.

Submissions will not be returned. The original of each submission received will be retained at DARPA and all other non-required copies destroyed. A certification of destruction may be requested via email to the BAA mailbox, provided the formal request is received within 5 days after being notified of submission status.

C. Countering Foreign Influence Program (CFIP)

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

See Section II.B(a) – (c) for additional information on the CFIP process.

D. Federal Awardee Performance and Integrity Information (FAPIIS)

Following the review and selection process described above, but prior to making an award above the simplified acquisition threshold (FAR 2.101), DARPA is required²⁷ to review and consider any information available through the designated integrity and performance system (currently FAPIIS). Selectees have the opportunity to comment on any information about themselves entered in the database. DARPA will consider any comments and other information in FAPIIS or other systems prior to making an award.

VI. Award Administration Information

A. Selection Notices

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

B. Administrative and National Policy Requirements

1. Solicitation Provisions and Award Clauses, Terms and Conditions

Solicitation provisions relevant to DARPA BAAs are listed on the Additional BAA Content page on DARPA’s website at www.darpa.mil/work-with-us/additional-baa. This page also lists award clauses that, depending on their applicability, may be included in the terms and conditions of awards resultant from DARPA solicitations. This list is not exhaustive and the clauses, terms and conditions included in a resultant award will depend on the nature of the research effort, the specific award instrument, the type of awardee, and any applicable security or publication restrictions.

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

The above information serves to put potential proposers and awardees on notice of proposal requirements and award terms and conditions to which they may have to adhere.

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

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

²⁷ Per 41 U.S.C. § 2313, as implemented by FAR 9.103 and 2 CFR § 200.205.

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

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

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

3. Representations and Certifications

In accordance with FAR 4.1102 and 4.1201, proposers requesting a procurement contract must complete electronic annual representations and certifications at <https://www.sam.gov/>.

In addition, all proposers are required to submit for all award instrument types supplementary DARPA-specific representations and certifications at the time of proposal submission. See <http://www.darpa.mil/work-with-us/rebs-certs> for further information on required representation and certification depending on your requested award instrument.

4. Intellectual Property

Proposers should note that the Government does not own the intellectual property or technical data/computer software developed under Government contracts. The Government acquires the right to use the technical data/computer software. Regardless of the scope of the Government's rights, awardees may freely use their same data/software for their own commercial purposes (unless restricted by U.S. export control laws or security classification). Therefore, technical data and computer software developed under this solicitation will remain the property of the awardees, though DARPA will have, at a minimum, Government Purpose Rights (GPR) to technical data and computer software developed through DARPA sponsorship.

If proposers desire to use proprietary computer software or technical data or both as the basis of their proposed approach, in whole or in part, they should: (1) clearly identify such software/data and its proposed particular use(s); (2) explain how the Government will be able to reach its program goals (including transition) within the proprietary model offered; and (3) provide possible nonproprietary alternatives in any area that might present transition difficulties or increased risk or cost to the Government under the proposed proprietary solution. Proposers expecting to use, but not to deliver, commercial open source tools or other materials in implementing their approach may be required to indemnify the Government against legal liability arising from such use.

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

a. Intellectual Property Representations

All proposers must provide a good faith representation of either ownership or possession of appropriate licensing rights to all other intellectual property to be used for the proposed project. Proposers must provide a short summary for each item asserted with less than unlimited rights that describes the nature of the restriction and the intended use of the intellectual property in the conduct of the proposed research. See Attachment G: PROPOSAL TEMPLATE VOLUME 3: ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS, Section 4.

b. Patents

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

c. Procurement Contracts

i. Noncommercial Items (Technical Data and Computer Software)

Proposers requesting a procurement contract must list all noncommercial technical data and computer software that it plans to generate, develop, and/or deliver, in which the Government will acquire less than unlimited rights and to assert specific restrictions on those deliverables. In the event a proposer does not submit the list, the Government will assume that it has unlimited rights to all noncommercial technical data and computer software generated, developed, and/or delivered, unless it is substantiated that development of the noncommercial technical data and computer software occurred with mixed funding. If mixed funding is anticipated in the development of noncommercial technical data and computer software generated, developed, and/or delivered, proposers should identify the data and software in question as subject to GPR. In accordance with DFARS 252.227-7013, “Rights in Technical Data - Noncommercial Items,” and DFARS 252.227-7014, “Rights in Noncommercial Computer Software and Noncommercial Computer Software Documentation,” the Government will automatically assume that any such GPR restriction is limited to a period of 5 years, at which time the Government will acquire unlimited rights unless the parties agree otherwise. The Government may use the list during the evaluation process to evaluate the impact of any identified restrictions and may request additional information from the proposer, as may be necessary, to evaluate the proposer’s assertions. Failure to provide full information may result in a determination that the proposal is non-conforming. A template for complying with this request is provided in Attachment G: PROPOSAL TEMPLATE VOLUME 3: ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS, Section 4.

ii. Commercial Items (Technical Data and Computer Software)

Proposers requesting a procurement contract must list all commercial technical data and commercial computer software that may be included in any noncommercial deliverables contemplated under the research project and assert any applicable restrictions on the Government’s use of such commercial technical data and/or computer software. In the event a

proposer does not submit the list, the Government will assume there are no restrictions on the Government's use of such commercial items. The Government may use the list during the evaluation process to evaluate the impact of any identified restrictions and may request additional information from the proposer to evaluate the proposer's assertions. Failure to provide full information may result in a determination that the proposal is non-conforming. A template for complying with this request is provided in Attachment G: PROPOSAL TEMPLATE VOLUME 3: ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS, Section 4.

d. Other Types of Awards

Proposers requesting an award instrument other than a procurement contract shall follow the applicable rules and regulations governing those award instruments, but in all cases should appropriately identify any potential restrictions on the Government's use of any intellectual property contemplated under those award instruments. This includes both noncommercial items and commercial items. The Government may use the list as part of the evaluation process to assess the impact of any identified restrictions and may request additional information from the proposer, to evaluate the proposer's assertions. Failure to provide full information may result in a determination that the proposal is non-conforming. A template for complying with this request is provided in Attachment G: PROPOSAL TEMPLATE VOLUME 3: ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS, Section 4.

5. Program-generated Data

Data are increasingly the key product of research and engineering endeavors. To ensure the reproducibility of results and access to source data for future research, awardees will be required to maintain and deliver any data generated during award performance ("program-generated data") that is needed to accomplish these goals. Awardees shall be expected to document both the proprietary and non-proprietary products of their research to ensure the retention and potential reusability of this information. This may include:

- Raw unprocessed data, software source code and executables, build scripts, process sequence, programmatic communication and other collaboration activities
- Data sets: rarified, experimental, test and measurement data
- Design of experiments and simulations
- Models or simulations (computational or mathematical)
- Recordings of various physical phenomena (including images, videos, sensor data, etc.)
- Access to and use of institutional, organizational or scientific community repositories and archives

When possible, DARPA may share some or all of the program-generated data with the broader research community as open data (with permission to access, reuse, and redistribute under appropriate licensing terms where required) to the extent permitted by applicable law and regulations (e.g., privacy, security, rights in data, and export control). DARPA plans to enable reproducibility of results through data sharing and to establish (or contribute to) digital collections that can advance this and other scientific fields.

6. Human Subjects Research (HSR)/Animal Use

Proposers that anticipate involving human subjects or animals in the proposed research must comply with the approval procedures detailed at <http://www.darpa.mil/work-with-us/additional-baa>, to include providing the information specified therein as required for proposal submission.

7. Electronic Invoicing and Payments

Awardees will be required to submit invoices for payment electronically via Wide Area Work Flow (WAWF), accessed through the Procurement Integrated Enterprise Environment at <https://piee.eb.mil/>, unless an exception applies. Registration in WAWF is required prior to any award under this BAA.

8. Electronic and Information Technology

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

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

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

DFARS 252.204-7000, “Disclosure of Information”

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

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

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

Compliance with the above requirements includes the mandate for proposers to implement the security requirements specified by National Institute of Standards and Technology (NIST) Special Publication (SP) 800-171, “Protecting Controlled Unclassified Information in Nonfederal Information Systems and Organizations” (see <https://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-171r2.pdf>) and DoDI 8582.01 that are in effect at the time the solicitation is issued.

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

C. Reporting

1. Technical and Financial Reports

The number and types of technical and financial reports required under the award will be specified in the award document and may include monthly financial reports, monthly technical reports and/or a yearly status summary. A final report that summarizes the project and tasks will be required at the conclusion of the performance period for the award. The reports shall be prepared and submitted in accordance with the procedures contained in the award document.

2. Patent Reports and Notifications

All resultant awards will contain a mandatory requirement for patent reports and notifications to be submitted electronically through i-Edison (<https://public.era.nih.gov/iedison>).

VII. Agency Contacts

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

- **Technical POC:** Mukund Vengalattore, Program Manager, DARPA/DSO
- **BAA Email:** OpTIm@darpa.mil
- **BAA Mailing Address:**

DARPA/DSO
ATTN: HR001122S0055
675 North Randolph Street
Arlington, VA 22203-2114

- **DARPA/DSO Opportunities Website:** <http://www.darpa.mil/work-with-us/opportunities>

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

VIII. Other Information

A. Proposers Day

The OpTIm Proposers Day will be webcast on September 9, 2022 from 10:00AM to 5:00PM. Advance registration is required for the webcast. See DARPA-SN-22-54 posted at <https://sam.gov/> for all details. Participation in the OpTIm Proposers Day or viewing the webcast is voluntary and is not required to propose to this solicitation.

Lightning Talks

Attendees at the OpTIm Proposers Day may be afforded the opportunity to give a brief, 3-minute oral presentation during the webcast outlining their interests and capabilities. The purpose of these presentations is to facilitate teaming discussions among the attendees. Upon registering, attendees may indicate if they would like to give an oral presentation. Due to limited availability, DARPA will accept submissions on a first-come, first-served basis and does not guarantee that these requests to brief will be fulfilled. Submitted briefing materials should use the template provided via the registration website and are limited to a single, PDF-format slide, which should be appropriate for public release, as they will be shared with the session via webcast. The slide must be submitted to OpTIm@darpa.mil by 4:00PM on September 6, 2022. DARPA will contact submitters upon receipt of their slide with additional guidance for the webcast.

B. Frequently Asked Questions (FAQs)

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

DARPA will attempt to answer questions in a timely manner; however, questions submitted within 10 days of the proposal due date may not be answered. DARPA will post an FAQ list at: <http://www.darpa.mil/work-with-us/opportunities>. The list will be updated on an ongoing basis until the BAA expiration date as stated in Part I.

C. Collaborative Efforts/Teaming

DARPA highly encourages teaming before proposal submission and, as such, will facilitate the formation of teams with the necessary expertise. Interested parties should submit a one-page profile including the following information:

- Contact information to include name, organization, email, telephone number, mailing address, organization website (if applicable).
- A brief description of the proposer's technical competencies.
- Desired expertise from other teams, if applicable.

All profiles must be emailed to OpTIm@darpa.mil no later than 4:00PM September 6, 2022. Following the deadline, the consolidated teaming profiles will be sent via email to the proposers who submitted a valid profile. Specific content, communications, networking, and team formation are the sole responsibility of the participants. Neither DARPA nor the DoD endorses the information and organizations contained in the consolidated teaming profile document, nor does DARPA or the DoD exercise any responsibility for improper dissemination of the teaming profiles. Teams need not be finalized at the time of abstract submission.