



**Broad Agency Announcement**  
**Research Infrastructure for Trauma with Medical**  
**Observations (RITMO)**  
**BIOLOGICAL TECHNOLOGIES OFFICE**  
**HR001122S0043**  
**June 28, 2022**

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## PART I: OVERVIEW INFORMATION

- **Federal Agency Name** – Defense Advanced Research Projects Agency (DARPA), Biological Technologies Office (BTO)
- **Funding Opportunity Title** – Research Infrastructure for Trauma with Medical Observations (RITMO)
- **Announcement Type** – Initial Announcement
- **Funding Opportunity Number** – HR001122S0043
- **North American Industry Classification System (NAICS)** – 541714
- **Catalog of Federal Domestic Assistance Numbers (CFDA)** – 12.910 Research and Technology Development
- **Dates**
  - Posting Date: **June 28, 2022**
  - Proposal Abstract Due Date and Time: **July 20, 2022; 4:00 pm EST**
  - Full Proposal Due Date and Time: **September 1, 2022; 4:00 pm EST**
  - BAA Closing Date: **September 1, 2022**
  - Proposers' Day: **June 29, 2022**
- **Concise description of the funding opportunity** – DARPA is soliciting innovative research proposals to provide de-identified clinical trauma data in support of a potential follow-on DARPA program. The Research Infrastructure for Trauma with Medical Observations (RITMO) program will combine large-volume multimodal sensor, intervention, and medical outcome data obtained from trauma patients during the early post-injury period into a single database. If the follow-on program is initiated, the goal would be to use data collected in RITMO to identify novel physiological signatures that could enhance triage decision-making in austere, complex, and mass-casualty settings.
- **Anticipated individual awards** – Multiple awards are anticipated.
- **Types of instruments that may be awarded** – Procurement contract, cooperative agreement, or other transaction.
- **Agency contact**

The BAA Coordinator for this effort may be reached at:  
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## PART II: FULL TEXT OF ANNOUNCEMENT

### 1. Funding Opportunity Description

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

#### 1.1. OVERVIEW

Research Infrastructure for Trauma with Medical Observations (RITMO) seeks to develop retrospective and prospective trauma datasets that will enable future identification of physiological features (“signatures”) of injury that predict medical needs. Development of these injury signatures could help medical responders perform scalable, timely, and more accurate triage, especially in mass casualty incidents (MCIs), when medical resources are limited relative to the need. Potential approaches include medics placing small, noninvasive sensors on casualties that continuously and autonomously monitor for predictive signatures, relaying the information to other devices that alert medics when life-saving interventions (LSIs) are anticipated.

DARPA anticipates a follow-on program that would bring together multi-disciplinary teams and industries to use the data collected under RITMO to develop algorithms and systems that interpret physiological signatures and sensor strategies for complex MCI settings. In preparation for this possible effort, **DARPA is soliciting proposals via this BAA for de-identified large-volume, multimodal sensor data and related medical outcomes from trauma patients.**

#### 1.2. MOTIVATION

Traumatic injuries suffered in diverse civilian and military settings such as attacks on civilian gatherings, accidents, natural disasters, and actual combat may be fatal if not quickly identified and treated. Medical responders use triage procedures to rapidly prioritize casualties for immediate LSIs, such as treatment of significant bleeding and management of airway threats. A key impediment to effective triage is poor scientific understanding of early physiological response to traumatic injury. Physiological features that indicate the need for LSIs in patients who do not exhibit obvious signs of serious injury are not well established, impairing decisions about allocation of medical resources at the scene and the types of facilities where casualties should be sent for treatment.

This BAA seeks de-identified medical data to be used to develop these predictive signatures, focusing on life-threatening conditions that medics are trained to treat, including hemorrhage and airway threats. Although development of **predictive signatures** is not covered by this BAA, the RITMO effort aims to lay a foundation for a potential follow-on initiative to enable continuous monitoring of casualties with noninvasive sensors to predict the need for LSIs.

### 1.3. STRUCTURE

**RITMO** is a 3.5-year effort, organized as one 6-month phase (Phase 0) followed by three sequential 12-month phases (Phases 1 – 3). The effort should be proposed with a base of 6 months in Phase 0 and option years for the subsequent 12-month Phases. During Phase 0, performers and a Government independent verification and validation (IV&V) team identified by DARPA will develop initial datasets using data that performers collected before this effort. Initial datasets will cover the desired data types and must be approved by local Institutional Review Boards (IRBs) and DoD Human Research Protections Office (HRPO) for use in this research effort. In Phases 1 through 3, performers and the IV&V team will continue dataset development with prospective data collection.

DARPA anticipates initiating a follow-on program that uses data collected in RITMO to test algorithms for detecting injury signatures. Performers in RITMO will not be permitted to participate as performers in the follow-on program, as developing and testing algorithms against their own data would provide an unfair competitive advantage.

#### 1.3.1. Data Collection

In Phase 0, performers will collect retrospective de-identified injury data for delivery to the Government IV&V team in compliance with Health Insurance Portability and Accountability Act (HIPAA) Rules. Proposals should include detailed plans for how the performer intends to acquire all required approvals, including a timeline for obtaining local IRB and HRPO approvals for all relevant data collected and/or to be used under the program. This would include any data previously collected that proposers now want to use for purposes of this program. Proposers must be able to provide existing (retrospective) data in Phase 0 and must provide a plan for continued data collection in Phases 1-3. Data collection in Phases 1-3 should be prospective only and progressively incorporate data from additional sensor modalities not included in Phase 0, as explained below. Proposers must be able to provide the IV&V team with the structure of their planned database within one month of starting on contract.

For all phases, data should be from patients with acute physical trauma. Any age distribution is acceptable; however, inclusion of adults 17-64 years old is required. Particularly desirable are data captured very soon after injury, such as during transport from the point of injury to a medical facility, though proposals with data collected exclusively after hospital admission will be considered. Proposals covering multiple institutions, trauma systems, or settings are also highly desirable, but proposals of more limited scope will be considered.

Datasets must include time-stamped LSIs. At a minimum, these interventions must include those commonly understood to be life-saving for hemorrhage or airway threats, such as administration of blood or blood products, fluid bolus, external control of major bleeding, resuscitative endovascular balloon occlusion of the aorta (REBOA), resuscitative thoracotomy, bag-valve-mask ventilation, intubation, surgical airway, and chest needle decompression, as applicable depending on the setting. Alternative or additional interventions may be included. Time-stamped clinical outcomes are desirable.

Ideally, the data comprehensively captures LSIs delivered within 24 hours of injury, though proposed datasets with earlier censoring will be considered (e.g., data on LSIs restricted to the first

several hours). **Proposals that do not capture data on LSIs until > 24 hours will be considered non-conforming and will not be considered for review.**

Multiple data streams from noninvasive sensors, such as blood pressure, photoplethysmography, electrocardiogram, and seismocardiogram, are required. Data from invasive sensors, if available, would enable exploration of relationships with noninvasive data and may be included. Complete, high-frequency waveform data streams from non-invasive sensors are preferred over periodic measurements, but periodic measurements will be considered, especially in the Phase 0 retrospective data. Inclusion of multiple sensor modalities (e.g., mechanical, acoustic, electrophysiological, electrochemical, optical) is desirable for Phase 0 retrospective data and required for prospective data collection that begins in Phase 1. Additional patient data that may inform signature development (age, sex, weight, mechanism of injury, anatomical injury patterns, mental status, etc.) is highly desirable. The time of all measurements, interventions, and outcomes must be provided relative to the time of injury or other relevant references (e.g., time on scene, time of admission).

Proposals must include a plan for adding at least two noninvasive sensors that were not included in the Phase 0 retrospective data. Plans for the first sensor (added no later than late-Phase 0) are required in the initial proposal responding to this BAA, while plans for the second sensor are required by month 12 (with data collection with the second sensor initiated by late Phase 1). Additional new sensors beyond these two are not required but are encouraged. Particularly desirable are sensor data that may improve prediction of LSIs and that are not in widespread use in the routine course of trauma care. Proposers must provide justification for all data they will provide in terms of potential to predict LSIs. Research devices or FDA-cleared devices may be used for prospective data collection in Phases 1-3. Proposers must provide evidence (data or rationale) that the new sensors will function adequately in their setting.

Proposers must be able to provide, to the Government IV&V team, retrospective data at the end of Phase 0 that includes  $\geq 500$  trauma patients with  $\geq 100$  receiving LSIs as described above. Proposers must provide data for an additional  $\geq 250$  trauma patients, including  $\geq 50$  receiving LSIs, in each of Phases 1-3. These numbers are minimum thresholds, and larger sample sizes are desirable (see [Table 1](#)).

### **1.3.2. Data Sharing**

The Government IV&V team will be entrusted with all data provided by performers and will manage accesses. The performers may not share or release prospective data generated under the program to any entity other than the DARPA Program Manager and the Government IV&V team until after conclusion of any follow-on DARPA program that uses the data to evaluate algorithms for predictive signatures, or a maximum of 2 years after the data is provided to the Government IV&V team, whichever comes first. This applies solely to the data itself and not products derived from it, such as analyses, conclusions, or algorithms developed from the data. This requirement would be enacted in a non-disclosure agreement.

If a follow-on DARPA program uses these data to develop and evaluate algorithms for predictive signatures, a Government IV&V team would manage access to the data by those future performers. They would be permitted to access the data in a secure cloud system managed by the IV&V team,

and upload algorithms for training and evaluation, but would not be permitted to download the data. At the end of the follow-on program, all data would be returned to the original generators.

### Period of Performance

Proposals should address all four phases of the program, with Phase 0 as a 6-month base period followed by 12-month options for Phases 1, 2, and 3.

### **Phase 0 (Base, 6 months): Initial Development**

Phase 0 provides an initial dataset in a usable format.

By the end of Phase 0, performers are expected to have:

- Received IRB and HRPO approval for prospective data collection.
- Received IRB and HRPO approval for at least 1 noninvasive additional sensor mode.
- Collaborated with the IV&V team to develop a database(s).
- Provided a de-identified retrospective dataset to the IV&V team with  $\geq 500$  trauma patients, including  $\geq 100$  who received LSIs as defined above.
- Verified the first new sensor mode works under performer's field conditions.
- Demonstrated an ability to continue to collect sufficient prospective data through monthly progress updates.

Progress against the Phase 0 metrics in [Table 1](#) of Section 1.3.4 will be used to determine progression to Phase 1.

### **Phase 1 (Option, 12 months): Prospective Data Collection**

Phase 1 increases the size and complexity of the dataset through continued data collection and an increased number of modes of measurement.

By the end of Phase 1, performers are expected to have:

- Provided a de-identified prospective dataset to the IV&V team with  $\geq 250$  trauma patients, including  $\geq 50$  receiving LSIs, which includes at least 1 new noninvasive sensor mode.
- Selected and received approval from DARPA for a second noninvasive sensor mode.
- Received approval for a second noninvasive additional sensor mode from IRB and HRPO.
- Verified the second new sensor mode works under performer's field conditions.
- Demonstrated an ability to collect sufficient additional data through monthly progress updates.

Progress against the Phase 1 metrics in [Table 1](#) of Section 1.3.4 will be used to determine progression to Phase 2.

### **Phase 2 (Option, 12 months): Prospective Data Collection**

Phase 2 increases the size and complexity of the dataset through continued data collection and an increased number of modes of measurement.

By the end of Phase 2, performers are expected to have:

- Provided a de-identified prospective dataset to the IV&V team with  $\geq 250$  trauma patients, including  $\geq 50$  receiving LSIs, which includes both new noninvasive sensor modes, approved in Phases 0 and 1.
- Demonstrated an ability to collect sufficient additional data through monthly progress updates.

Progress against the Phase 2 metrics in [Table 1](#) of Section 1.3.4 will be used to determine progression to Phase 3.

### Phase 3 (Option, 12 months): Prospective Data Collection

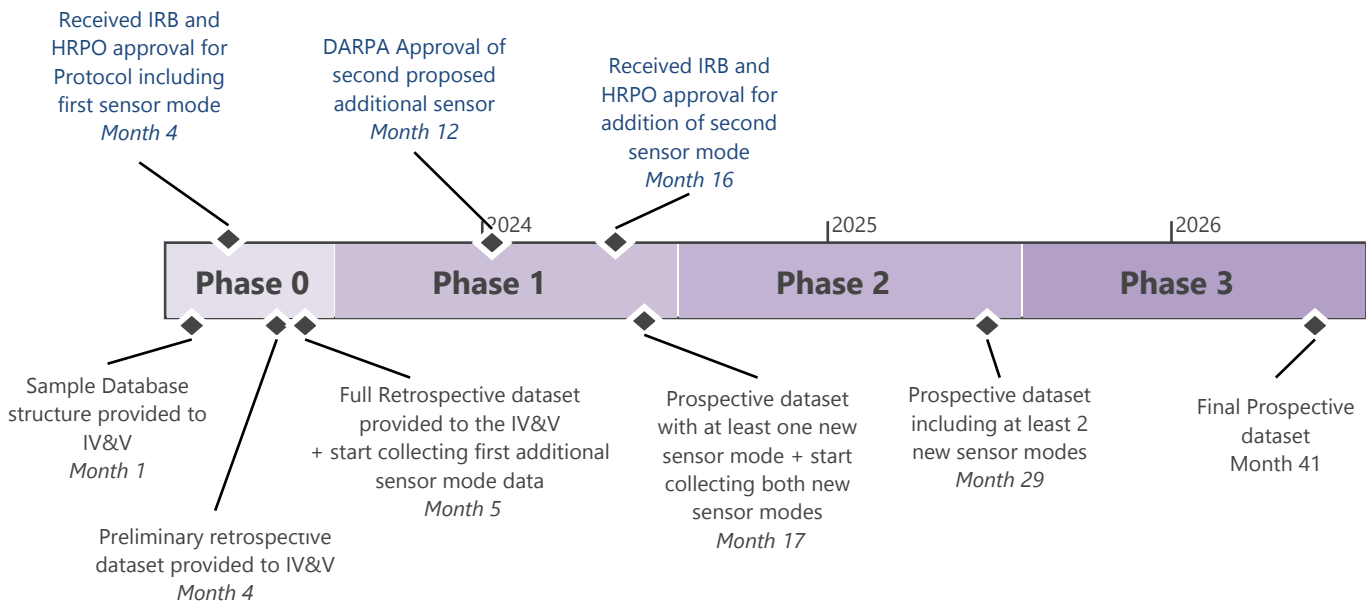
Phase 3 increases the size of the dataset through continued data collection.

By the end Phase 3, performers are expected to have

- Provided a de-identified prospective dataset to the IV&V team with  $\geq 250$  trauma patients, including  $\geq 50$  receiving LSIs, which includes data from the two new sensor modes introduced in Phases 0 and 1.

The above list is not exhaustive but rather provided as a minimum list of tasks expected of performers. Additional tasks that serve to promote the robustness, realism, and accuracy of predictive signatures may be proposed.

### Milestones and Schedule



- Database structure with synthetic sample data provided to the IV&V team (Month 1)

- Preliminary dataset with pre-existing data provided to the IV&V team (Month 4)
- Full retrospective dataset provided to the IV&V team (Month 5)
- Started collecting data, including the first additional sensor mode (Month 5)
- Verified the first new sensor mode works under performer's field conditions (Month 6)
- Selected and received approval from DARPA for a second noninvasive sensor mode (Month 12)
- Received approval for a second noninvasive additional sensor mode from IRB and HRPO (Month 16)
- Verified the second new sensor mode works under performer's field conditions (Month 17)
- Prospective datasets provided to the IV&V team, including data with new sensors (Months 16, 29, 41)

### 1.3.3. Independent Verification and Validation (IV&V)

IV&V will be conducted by DARPA-identified Government partners with the necessary capabilities in clinical data management. Performers will have to work closely with the IV&V team to ensure timely delivery of data in an approved format. Regular calls and coordination meetings will be required. The Government IV&V team will also work with performers to verify the quality of the datasets. The team will coordinate and conduct annual critical risk mitigation practice sessions.

### 1.3.4. Metrics

For each Phase, a minimum set of Metrics and Deliverables are outlined below (Table 1). Proposers must explain how they will meet the timeline in their Statement of Work (SOW).

|            | Phase 0                                                                    | Phase 1                                                                                              | Phase 2                                                                                                     | Phase 3                                                                            |
|------------|----------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------|
|            | Months 1-6                                                                 | Months 7-18                                                                                          | Months 19-30                                                                                                | Months 31-42                                                                       |
| Metrics    |                                                                            |                                                                                                      |                                                                                                             |                                                                                    |
| Performers | <b>Pre-existing data:</b><br>≥ 500 trauma patients<br>≥ 100 receiving LSIs | <b>Additional data in Phase 1:</b><br>≥ 250 trauma patients<br>≥ 50 receiving LSIs<br>≥ 1 new sensor | <b>Additional data in Phase 2:</b><br>≥ 250 trauma patients<br>≥ 50 receiving LSIs<br>≥ 1 additional sensor | <b>Additional data in Phase 3:</b><br>≥ 250 trauma patients<br>≥ 50 receiving LSIs |

Table 1: Metrics

## 1.4. GENERAL REQUIREMENTS

### 1.4.1. Proposing Teams

DARPA anticipates that performers will comprise cross-disciplinary teams that include personnel with complementary and diverse technical expertise (e.g., emergency medicine, trauma and critical

care medicine, informatics, physiology, synthetic biology, molecular biology, chemistry, physics, materials science). Specific content, communications, networking, and team formation are the sole responsibility of the proposer team. Proposer teams must submit a single, integrated proposal led by a single integrator/manager or prime contractor that addresses all program phases. The Government will select and fund IV&V partner(s) for the RITMO program at a later date. Proposals submitted in response to HR001122S0043 should not include tasks or costs associated with conducting IV&V.

#### **1.4.2. Data Sharing and Associate Contractor Agreement (ACA)**

DARPA anticipates that a large amount of data will be generated under this program by each performer. Proposers who desire to share this data with teams internal to the RITMO performer group should include the description of a plan in the data sharing section of the proposal. Data sharing plans to facilitate exchange will then be formalized in an ACA as needed (See [Section 8.2](#)), which will be included in the contract or agreement awarded. Performers will be encouraged to share data externally with the broader research community at the conclusion of the program and may include plans for external data sharing in their proposed project plan.

#### **1.4.3. Ethical, Legal, and Societal Implication (ELSI)**

DARPA maintains its commitment to ensuring that efforts funded under this BAA adhere to ethical and legal regulations currently in place for federally and DoD-funded research. In addition to obtaining all necessary regulatory permits, proposers should plan to support ELSI activities with DARPA, including semi-annual teleconference calls with a RITMO program ELSI group that DARPA will engage. Data collected under RITMO ultimately could be used in development of clinical decision-support tools for medical responders. Therefore, RITMO performers will need to consider the feedback from the ELSI group regarding their research activities, and to this end, ELSI outcomes will be reported regularly to DARPA.

#### **1.4.4. Down-selects**

A down-selection process (as mentioned in [Section 1.3](#)) may occur at the end of Phases 1 and 2. Down-selections will be based on the performer's ability to meet Metrics ([Section 1.3.1](#)) and Milestones ([Section 1.3.2](#)) specified in this BAA. All Phase 1/2/3 tasks are considered options that the Government may elect to exercise, and down-selection refers to the Government electing not to exercise some or all options associated with work in a given phase. In addition to meeting metrics, down-selection decisions will be informed by:

- Solutions with the most reasonable technical path to achieving metrics in subsequent Program Phases.
- Effective intra-team working relationships across co-/sub-Principal Investigators.
- Clear ability to achieve objectives of Phase 1/2/3 options within their proposed budget.

#### **1.4.5. Other Requirements**

Performers are expected to attend periodic program reviews to provide updates to the DARPA program management team and other RITMO performers on progress towards their milestones and scientific goals in the RITMO program. Performers will also summarize outstanding challenges and limitations that must still be overcome to achieve the overarching goals of the program. Program level meetings may also be held at the kick-off of each phase (Phases 0, 1, 2,

and 3). In addition to program-wide meetings, performers will also engage regularly with the DARPA program team, including quarterly progress reviews and site visits as well as informal, ad hoc teleconferences to ensure progress is being made toward program objectives.

## **2. Award Information**

### **2.1. GENERAL AWARD INFORMATION**

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

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

The Government reserves the right to request any additional, necessary documentation once it makes the award instrument determination. Such additional information may include but is not limited to Representations and Certifications (see [Section 6.2.4.](#), “Representations and Certifications”). The Government reserves the right to remove proposers from award consideration should the parties fail to reach an agreement on award terms, conditions, and/or cost/price within a reasonable time, and the proposer fails to timely provide requested additional information. Proposals identified for negotiation may result in a procurement contract, cooperative agreement, or other transaction, depending upon the nature of the work proposed, the required degree of interaction between parties, whether or not the research is classified as Fundamental Research, and other factors.

Proposers looking for innovative, commercial-like contractual arrangements are encouraged to consider requesting Other Transactions. To understand the flexibility and options associated with Other Transactions, consult <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

## 2.2. 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 proposers intending to perform fundamental research and does not anticipate applying publication restrictions of any kind to individual awards for fundamental research that may result from this solicitation. Notwithstanding this statement of expectation, the Government is not prohibited from considering and selecting research proposals that, while perhaps not qualifying as fundamental research under the foregoing definition, still meet the solicitation criteria for submissions. If proposals are selected for award that offer other than a fundamental research solution, the Government will either work with the proposer to modify the proposed statement of work to bring the research back into line with fundamental research or else the proposer will agree to restrictions in order to receive an award.

University or non-profit research institution performance under this solicitation will 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/college-foreign-gift-reporting)
  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)
  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.

### **3. Eligibility Information**

#### **3.1. ELIGIBLE APPLICANTS**

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

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

##### **FFRDCs**

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

agreement's terms and conditions. These conditions are a requirement for FFRDCs proposing to be awardees or subawardees.

### **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.

### **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.

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

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

### **3.2. ORGANIZATIONAL CONFLICTS OF INTEREST**

#### FAR 9.5 Requirements

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

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

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

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

## **4. Application and Submission Information**

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

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

### **4.2. CONTACT AND FORM OF APPLICATION SUBMISSION**

All submissions, including abstracts and proposals, must be written in English with type no smaller than 12-point font. Smaller font may be used for figures, tables, and charts. The page limitation includes all figures, tables, and charts. All pages shall be formatted for printing on 8-1/2 by 11-inch paper. Margins must be 1-inch on all sides. Copies of all documents submitted must be clearly labeled with the DARPA BAA number, proposer organization, and proposal title/proposal short title.

#### **4.2.1. Proposal Abstract Format**

Proposers are strongly encouraged to submit an abstract in advance of a proposal to minimize effort and reduce the potential expense of preparing an out-of-scope proposal. DARPA will respond to abstracts providing feedback and indicating whether, after preliminary review, there

is interest within BTO for the proposed work. DARPA will attempt to reply within **20** calendar days of receipt. Proposals may be submitted irrespective of comments or feedback received in response to the abstract. Proposals are reviewed without regard to feedback given as a result of abstract review. The time and date for submission of proposal abstracts are specified in Part I above.

The abstract is a concise version of the proposal comprising a maximum of **ten (10)** pages, including all figures, tables, and charts. Copies of all documents submitted must be clearly labeled with the DARPA BAA number, proposer organization, and proposal abstract title.

The page limit does NOT include:

- Official transmittal letter (optional);
- Cover sheet;
- Executive summary slide;
- Resumes; and
- Bibliography (optional).

Abstracts must include the following components:

**A. Cover Sheet (does not count towards page limit):** Include the administrative and technical points of contact (name, address, phone, fax, e-mail, lead organization). Also include the BAA number, title of the proposed project, primary subcontractors, estimated cost, duration of the project, and the label “ABSTRACT.”

**B. Goals and Impact:** Clearly describe what is being proposed and what difference it will make (qualitatively and quantitatively), including brief answers to the following questions:

1. What is the proposed work attempting to accomplish or do?
2. How is it done today? What are the limitations?
3. What is innovative in your approach, and how does it compare to the current state-of-the-art (SOA)?
4. What are the key technical challenges in your approach, and how do you plan to overcome these?
5. Who will care, and what will the impact be if you are successful?
6. How much will it cost, and how long will it take?

**C. Executive Summary Slide:** The slide template is provided as **Attachment 1** to the BAA posted at <https://beta.SAM.gov>. Use of this template is required.

**D. Technical Plan:** Outline and address all technical areas and challenges inherent in the approach and possible solutions for overcoming potential problems. This section should provide specific objectives, metrics, and milestones at intermediate stages of the project to demonstrate a plan for accomplishment of the program goals. Propose additional appropriate qualitative and quantitative metrics specific to the approach, as

needed. Outline of intermediary milestones should occur at no greater than 6-month increments.

**E. Management and Capabilities:** Provide a brief summary of expertise of the team, including subcontractors and key personnel.

A principal investigator for the project must be identified, as well as a description of the team's organization. All teams are strongly encouraged to identify a Project Manager/Integrator to serve as the primary point of contact to communicate with the DARPA Program Manager, IV&V partner, and Contracting Officer's Representative, coordinate the effort across co-performer, vendor, and subcontractor teams, organize regular performer meetings or discussions, facilitate data sharing, and ensure timely completion of milestones and deliverables.

Include a description of the team's organization, including roles and responsibilities. Team member descriptions should address the Technical Plan (and should include members with needed regulatory/environmental compliance expertise). Describe the time and percent effort divisions for members participating across multiple tasks, and delineate individuals to avoid duplication of efforts.

Describe the organizational experience in this area, existing intellectual property required to complete the project, and any specialized facilities to be used as part of the project. List Government-furnished materials or data assumed to be available. Describe any specialized facilities to be used as part of the project, the extent of access to these facilities, and any biological containment, biosafety, and certification requirements.

**F. Cost and Schedule:** Provide a cost estimate for resources over the proposed timeline of the project, broken down by phase and major cost items (e.g., labor, materials, etc.). Include cost estimates for each potential subcontractor (may be a rough order of magnitude).

**G. Curriculum Vitae** (do not count towards page limit): Include CVs of key team members, one of which must be from/for the Principal Investigator.

**H. References** (Optional, does not count towards page limit): If desired, include a brief list of references cited in the abstract with links to relevant papers and reports. The references list should not exceed two (2) pages.

#### 4.2.2. Proposal Format

All full proposals must be in the format given below. Proposals shall consist of two volumes: 1) **Volume I, Technical and Management Proposal**, and 2) **Volume II, Cost Proposal**. All submissions must be written in English with type no smaller than 12-point font. A smaller font may be used for figures, tables, and charts. The page limitation includes all figures, tables, and charts. All pages shall be formatted for printing on 8-1/2 by 11- inch paper. Margins must be 1- inch on all sides. Copies of all documents submitted must be clearly labeled with the DARPA BAA number, proposer organization, and proposal title/proposal short title. Volume I, Technical

and Management Proposal, may include an attached bibliography of relevant technical papers or research notes (published and unpublished) that document the technical ideas and approach upon which the proposal is based. Copies of not more than three (3) relevant papers may be included with the submission. The bibliography and attached papers are not included in the page counts given below. The submission of other supporting materials along with the proposals is strongly discouraged and will not be considered for review. **The maximum page count for Volume I is twenty-five (25) pages. Sections I, II.F, and III are not included in the page count.** Volume I should include the following components:

**NOTE: Non-conforming submissions that follow the instructions herein may be rejected without further review.**

**a. Volume I, Technical and Management Proposal**

Section I. Administrative

**A. Cover Sheet (LABELED “PROPOSAL: VOLUME I”):**

1. BAA number (HR001122S0043);
2. Lead organization submitting proposal (prime contractor);
3. Type of organization, selected from among the following categories: “LARGE BUSINESS,” “SMALL DISADVANTAGED BUSINESS,” “OTHER SMALL BUSINESS,” “HBCU,” “MI,” “OTHER EDUCATIONAL,” OR “OTHER NONPROFIT”;
4. Proposer’s reference number (if any);
5. Other team members (if applicable) and type of business for each;
6. Proposal title;
7. Technical point of contact (Program Manager or Principle Investigator) to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax, e-mail;
8. Administrative point of contact (Contracting Officer or Award Officer) to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax, e-mail;
9. Award instrument requested: cost-plus-fixed-fee (CPFF), cost-contract—no fee, cost sharing contract – no fee, or other type of procurement contract (*specify*), GRANT, cooperative agreement, or other transaction;
10. Place(s) of performance, including all subcontractors and consultants;
11. Period of performance;
12. Total funds requested from DARPA, total funds requested per phase and the amount of any cost share (if any);
13. Proposal validity period; AND
14. Date proposal was submitted.

Information on award instruments is available at <http://www.darpa.mil/work-with-us/contract-management>.

**B. Official Transmittal Letter**

- C. Executive Summary Slide:** The slide template is provided as **Attachment 1** to the BAA posted at <https://beta.SAM.gov>. Use of this template is required.

Section II. Detailed Proposal Information

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

- What is the proposed work attempting to accomplish or do?
- How is it done today, and what are the limitations?
- What is innovative in your approach?
- What are the key technical challenges in your approach, and how do you plan to overcome these?
- Who or what will be affected, and what will be the impact if the work is successful?
- How much will it cost, and how long will it take?

- B. Goals and Impact:** Clearly describe what the team is trying to achieve and the difference it will make (qualitatively and quantitatively) if successful. Describe the innovative aspects of the project in the context of existing capabilities and approaches, clearly delineating the uniqueness and benefits of this project in the context of the state of the art, alternative approaches, and other projects from the past and present. Describe how the proposed project is revolutionary and how it significantly rises above the current state-of-the-art. Describe the deliverables associated with the proposed project and any plans to commercialize the technology, transition it to a customer, or further the work.

- C. Technical Plan:** Outline and address technical challenges inherent in the approach and possible solutions for overcoming potential problems. This section should provide appropriate measurable milestones (quantitative if possible) at intermediate stages of the program to demonstrate progress, plan for achieving the milestones, and must include a simple process flow diagram of their final system concept. The technical plan should demonstrate a deep understanding of the technical challenges and present a credible (even if risky) plan to achieve the program goal. Discuss mitigation of technical risk.

- D. Management Plan:** Provide a summary of expertise of the team, including any subcontractors, and key personnel who will be doing the work. A Principal Investigator (PI) for the project must be identified along with a description of the team's organization. All teams are strongly encouraged to identify a Project Manager/Integrator to serve as the primary point of contact to communicate with the DARPA Program Manager, IV&V partner, and Contracting Officer's Representative, coordinate the effort across co-performer, vendor, and subcontractor teams, organize regular performer meetings or discussions, facilitate data sharing, and ensure timely completion of milestones and deliverables.

Provide a clear description of the team's organization, including an organization chart that includes, as applicable: the programmatic relationship of team members; the unique capabilities of team members; the task responsibilities of team members, the teaming strategy among the team members; and key personnel with the amount of effort to be expended by each person during each year. Provide a detailed plan for coordination, including explicit guidelines for interaction among collaborators/subcontractors of the proposed effort. Include risk management approaches. Describe any formal teaming agreements that are required to execute this program.

- E. Capabilities:** Describe organizational experience in relevant subject area(s), existing intellectual property, specialized facilities, and any Government-furnished materials or information. Describe any specialized facilities to be used as part of the project, the extent of access to these facilities, and any biological containment, biosafety, and certification requirements. Discuss any work in closely related research areas and previous accomplishments.
- F. Statement of Work (SOW):** The SOW should provide a detailed task breakdown, citing specific tasks, and their connection to the milestones and program metrics. Each phase of the program should be separately defined. The SOW should be divided by Program Phase with high-level tasks for each Phase. The SOW must not include proprietary information. It is encouraged, though not required, to use the SOW template provided as **Attachment 2**.

For each task/subtask, provide:

- A detailed description of the approach to be taken to accomplish each defined task/subtask.
  - Identification of the primary organization responsible for task execution (prime contractor, subcontractor(s), consultant(s), by name).
  - A measurable milestone, i.e., a deliverable, demonstration, or other event/activity that marks task completion. Include completion dates for all milestones. Include quantitative metrics.
  - A definition of all deliverables (e.g., data, reports, software) to be provided to the Government in support of the proposed tasks/subtasks.
  - The SOW must clearly and separately define tasks associated with each Phase of the program.
- G. Schedule and Milestones:** Provide a detailed schedule showing tasks (task name, duration, work breakdown structure element as applicable, performing organization), milestones, and the interrelationships among tasks. The task structure must be consistent with that in the SOW. Measurable milestones should be clearly articulated and defined in time relative to the start of the project.
- H. Data Sharing Plan:** Provide information regarding the intended use of the data during and after the end of the program and the types of partners (e.g., government, academia, private industry) that will have access to the data. The information should include a

description of plans for both internal sharing within RITMO as well externally with the broader research community.

### Section III. Additional Information

Provide a list of technical references cited in Section II of the proposal that document the technical ideas upon which the proposal is based. Copies of not more than three (3) papers germane to the technical proposal and important for documenting the feasibility of proposed approach may be included in the submission.

#### **b. Volume II, Cost Management Proposal**

#### **Cover Sheet (LABELED “PROPOSAL: VOLUME II”):**

1. BAA Number (HR001122S0043);
2. Lead Organization Submitting proposal;
3. Type of organization, selected among the following categories: “LARGE BUSINESS”, “SMALL DISADVANTAGED BUSINESS”, “OTHER SMALL BUSINESS”, “HBCU”, “MI”, “OTHER EDUCATIONAL”, OR “OTHER NONPROFIT”;
4. Proposer’s reference number (if any);
5. Other team members (if applicable) and type of business for each;
6. Proposal title;
7. Technical point of contact (Program Manager or Principal Investigator) to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available);
8. Administrative point of contact (Contracting Officer or Award Officer) to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), and electronic mail (if available);
9. Award instrument requested: cost-plus-fixed-fee (CPFF), cost-contract—no fee, cost sharing contract – no fee, or other type of procurement contract (*specify*), GRANT, cooperative agreement, or other transaction;
10. Place(s) of performance, including all subcontractors and consultants;
11. Period of performance;
12. Total funds requested from DARPA, total funds requested per phase (as defined in Table 1), and the amount of any cost share (if any);
13. Name, address, and telephone number of the proposer’s cognizant Defense Contract Management Agency (DCMA) administration office (*if known*);
14. Name, address, and telephone number of the proposer’s cognizant Defense Contract Audit Agency (DCAA) audit office (*if known*);
15. Date proposal was prepared;
16. Unique Entity Identifier (UEI) (<https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/iae-systems-information-kit/unique-entity-identifier-update>);
17. Taxpayer ID number (<https://www.irs.gov/Individuals/International-Taxpayers/Taxpayer-Identification-Numbers-TIN>);

18. Commercial and Government Entity (CAGE) code  
(<https://cage.dla.mil/Home/UsageAgree>);
19. Proposal validity period

**NOTE: Non-conforming submissions that do not follow the instructions herein may be rejected without further review.**

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.**

- (1) Total program, per phase (Phase 0 (Base); Phase 1 (Option); Phase 2 (Option) and Phase 3 (Option)), and per task cost broken down by major cost items to include:
  - i. **Direct labor** – provide an itemized breakout of all personnel, listed by name or TBD, with labor rate (or salary), labor hours (or percent effort), and labor category. All senior personnel must be identified by name.
  - ii. **Materials and Supplies** – itemized list which includes description of material, quantity, unit price, and total price. If a material factor is used based on historical purchases, provide data to justify the rate.
  - iii. **Equipment** – itemized list which includes description of equipment, unit price, quantity, and total price. Any equipment item with a unit price over \$5,000 must include a vendor quote.
  - iv. **Animal Use Costs** – itemized list of all materials, animal purchases, and per diem costs, associated with proposed animal use; include documentation supporting daily rates.
  - v. **Travel** – provide an itemized list of travel costs to include purpose of trips, departure and arrival destinations, projected airfare, rental car and per GSA approved diem, number of travelers, number of days); provide screenshots from travel website for proposed airfare and rental car, as applicable; provide screenshot or web link for conference registration fee and note if the fee includes hotel cost. Conference attendance must be justified, explain how it is in the best interest of the project. **Plan for two (2) DARPA program review meetings per year.**
  - vi. **Other Direct Costs (e.g., computer support, clean room fees)** – Should be itemized with costs or estimated costs. Backup documentation and/or a

supporting cost breakdown is required to support proposed costs with a unit price over \$5,000. An explanation of any estimating factors, including their derivation and application, must be provided. Please include a brief description of the proposers' procurement method to be used.

- vii. **Other Direct Costs** – Consultants: provide executed Consultant Agreement that describes work scope, rate and hours.
  - viii. **Indirect costs** including, as applicable, fringe benefits, overhead, General and Administrative (G&A) expense, and cost of money (see university vs. company-specific requirements below).
  - ix. **Indirect costs specific to a University performer:** (1) **Fringe Benefit Rate** (provide current Department of Health and Human Services (DHHS) or Office of Naval Research (ONR) negotiated rate package; if calculated by other than a rate, provide University documentation identifying fringe costs by position or HR documentation if unique to each person); (2) **F&A Indirect Overhead Rate** (provide current DHHS or ONR negotiated rate package); (3) **Tuition Remission** (provide current University documentation justifying per-student amount); and (4) **Health Insurance/Fee** (provide current University documentation justifying per-student amount, if priced separately from fringe benefits with calculations included in the EXCEL cost file).  
**Indirect costs specific to a Company performer:** (1) **Fee/Profit** (provide rationale for proposed fee/profit percentage using criteria found in DFARS 215.404-70); and (2) **Fringe Benefit/Labor OH/Material OH/G&A Rates** (provide current Forwarding Pricing Rate Proposal (FPRP) or DCMA/DCAA Forward Pricing Rate Recommendation or Agreement (FPRR or FPRA). If these documents are not available, provide company historical data, preferably two years but a minimum of one, to include both pool and expense costs used to generate the rates).
- (2) A summary of total program costs by phase I, II, and III and task.
  - (3) An itemization of Subcontracts. All subcontractor cost proposal documentation must be prepared at the same level of detail as that required of the prime. Subcontractor proposals should include Interdivisional Work Transfer Agreements (IWTA) or evidence of similar arrangements (an IWTA is an agreement between multiple divisions of the same organization). The prime proposer is responsible for compiling and providing all subcontractor proposals for the Procuring Contracting Officer (PCO). The proposal must show how subcontractor costs are applied to each phase and task. If consultants are to be used, proposer must provide a consultant agreement or other document that verifies the proposed loaded daily/hourly rate.
  - (4) An itemization of any information technology (IT) purchase (including a letter stating why the proposer cannot provide the requested resources from its own funding), as defined in FAR Part 2.101.
  - (5) A summary of projected funding requirements by month for all phases of the project.
  - (6) A summary of tasks that have animal or human use funding.

- (7) The source, nature, and amount of any industry cost-sharing. Where the effort consists of multiple portions that could reasonably be partitioned for purposes of funding, these should be identified as options with separate cost estimates for each.
- (8) Identification of pricing assumptions of which may require incorporation into the resulting award instrument (e.g., use of Government Furnished Property/Facilities/Information, access to Government Subject Matter Expert/s, etc.).
- (9) Any Forward Pricing Rate Agreement, DHHS rate agreement, other such approved rate information, or such documentation that may assist in expediting negotiations (if available).
- (10) Proposers with a Government acceptable accounting system who are proposing a cost-type contract must submit the DCAA document approving the cost accounting system.

Per FAR 15.403-4, certified cost or pricing data shall be required if the proposer is seeking a procurement contract award per the referenced threshold, unless the proposer requests and is granted an exception from the requirement to submit cost or pricing data. Certified cost or pricing data” are not required if the proposer proposes an award instrument other than a procurement contract (e.g., a grant, cooperative agreement, or other transaction.)

### **Subawardee Proposals**

The awardee is responsible for compiling and providing all subawardee proposals for the Procuring Contracting Officer (PCO)/Grants Officer (GO)/Agreements Officer (AO), as applicable. Subawardee proposals should include Interdivisional Work Transfer Agreements (ITWA) or similar arrangements. Where the effort consists of multiple portions which could reasonably be partitioned for purposes of funding, these should be identified as options with separate cost estimates for each.

All proprietary subawardee proposal documentation, prepared at the same level of detail as that required of the awardee’s proposal and which cannot be uploaded with the proposed awardee’s proposal, shall be provided to the Government either by the awardee or by the subawardee organization when the proposal is submitted. Subawardee proposals submitted to the Government by the proposed subawardee should be submitted via e-mail to the address in Section I.

### **Other Transaction (OT) Requests**

All proposers requesting an OT must include a detailed list of milestones for each phase of the program (0, 1, 2, and 3). Each milestone must include the following:

- milestone description,
- completion criteria,
- due date, and
- payment/funding schedule (to include, if cost share is proposed, awardee and Government share amounts).

It is noted that, at a minimum, milestones should relate directly to accomplishment of program technical metrics as defined in the BAA and/or the proposer’s proposal. Agreement type,

expenditure or fixed-price based, will be subject to negotiation by the Agreements Officer. Do not include proprietary data.

#### **4.2.3. Additional Proposal Information**

##### **Proprietary Markings**

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.

##### **Unclassified Submissions**

DARPA anticipates that submissions received under this BAA will be unclassified. However, should a proposer wish to submit classified information, an *unclassified* e-mail must be sent to the BAA mailbox requesting submission instructions from the Technical Office Program Security Officer (PSO). If a determination is made that the award instrument may result in access to classified information, a Security Classification Guide (SCG) and/or DD Form 254 will be issued by DARPA and attached as part of the award.

##### **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.

**Human Subjects Research (HSR)/Animal Use**

The Defense Advanced Research Projects Agency (DARPA) is dedicated to ensuring the rights, safety, and well-being of volunteers participating in research. Accordingly, DARPA assures that all of its research selected for funding involving human subjects (to include use of human biological specimens and human data) complies with federal regulations for human subjects protection. Further, research involving humans, as defined in the DoD Instruction (DoDI) 3216.02 “Protection of Human Subjects and Adherence to Ethical Standards in DoD Supported Research,” dated 15 April 2020, will be guided by the ethical principles set forth in the report of the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research entitled “Ethical Principles and Guidelines for the Protection of Human Subjects of Research” (the “Belmont Report”).

All institutions engaged in research involving human subjects, specimens, and data must provide documentation of a current Assurance of Compliance with federal regulations for human subjects protection, such as a Department of Health and Human Services, Office of Human Research Protection Federal Wide Assurance (<http://www.hhs.gov/ohrp>). All research must be reviewed and approved by an Institutional Review Board (IRB) that is identified on the institution’s Assurance of Compliance with human subjects protection regulations. The protocol must include a detailed description of the research plan, study population, risks and benefits of study participation, recruitment and consent process, data collection, and data analysis.

The informed consent document must comply with federal regulations (32 CFR 219.116). The protocol package submitted to the IRB must contain evidence of completion of appropriate human subjects research training by all investigators and personnel involved with human subjects research. In addition to a local IRB approval, a Human Research Protection Official (HRPO) administrative review and approval is required for all research conducted or supported by the Department of Defense. The Army, Navy, or Air Force office responsible for managing the award will provide guidance and information about their component’s HRPO review process. Note: a fully approved IRB package is required before HRPO approval can be issued.

The time required to complete both the IRB and HRPO review/approval process varies depending on the complexity of the research and the level of risk involved with the study. Ample time should be allocated to complete the approval process. DoD/DARPA funding cannot be used toward human subjects research until ALL approvals are granted.

### Approved Cost Accounting System Documentation

Proposers that do not have a Cost Accounting Standards (CAS) complaint accounting system considered adequate for determining accurate costs that are negotiating a cost-type procurement contract must complete an SF 1408. For more information on CAS compliance, see <http://www.dcaa.mil/cas.html>. To facilitate this process, proposers should complete the SF 1408 found at <http://www.gsa.gov/portal/forms/download/115778> and submit the completed form with the proposal.

### Small Business Subcontracting Plan

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

### Section 508 of the Rehabilitation Act (29 U.S.C. § 749d)/FAR 39.2

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)/FAR 39.2.

### Intellectual Property

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

### For Procurement Contracts

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

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

## For All Non-Procurement Contracts

Proposers responding to this BAA requesting a Cooperative Agreement, Technology Investment Agreement, or Other Transaction for Prototypes shall follow the applicable rules and regulations governing these various award instruments, but, in all cases, should appropriately identify any potential restrictions on the Government's use of any Intellectual Property contemplated under the award instrument in question. This includes both Noncommercial Items and Commercial Items. Proposers are encouraged to use a format similar to that described in the section above. If no restrictions are intended, then the proposer should state "NONE."

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

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

International entities can register in SAM by following the instructions in this link: [https://www.fsd.gov/sys\\_attachment.do?sys\\_id=c08b64ab1b4434109ac5ddb6bc4bcbb8](https://www.fsd.gov/sys_attachment.do?sys_id=c08b64ab1b4434109ac5ddb6bc4bcbb8).

#### **4.2.4. Submission Information**

DARPA will acknowledge receipt of all submissions and assign an identifying control number that should be used in all further correspondence regarding the submission. DARPA intends to use electronic mail correspondence regarding HR001122S0043. Submissions may not be sent by fax; any so sent will be disregarded.

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

For abstract and proposal submission dates, see Part I., Overview Information. Submissions received after these dates and times may not be reviewed.

Abstracts and Full Proposals sent in response to HR001122S0043 may be submitted via DARPA's BAA Website (<https://baa.darpa.mil>). Visit the website to complete the two-step registration process. Submitters will need to register for an Extranet account (via the form at the URL listed above) and wait for two separate e-mails containing a username and temporary password. After accessing the Extranet, submitters may then create an account for the DARPA BAA website (via the "Register your Organization" link along the left side of the homepage), view submission instructions, and upload/finalize the abstract. Proposers using the DARPA BAA Website may encounter heavy traffic on the submission deadline date; it is highly advised that the submission process be started as early as possible.

All unclassified concepts submitted electronically through DARPA's BAA Website must be uploaded as zip files (.zip or .zipx extension). The final zip file should be no greater than 50 MB in size. Only one zip file will be accepted per submission. Classified submissions and proposals

requesting or cooperative agreements should NOT be submitted through DARPA's BAA Website (<https://baa.darpa.mil>), though proposers will likely still need to visit <https://baa.darpa.mil> to register their organization (or verify an existing registration) to ensure the BAA office can verify and finalize their submission.

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

Proposers using the DARPA BAA Website may encounter heavy traffic on the submission deadline date; it is highly advised that the submission process be started as early as possible.

### **For Technology Investment Agreements only:**

Proposers requesting Technology Investment Agreements (TIA) awarded under 10 U.S.C. § 4021 must include the completed form indicated below. This requirement only applies only to those who expect to receive a TIA as their ultimate award instrument.

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

The Research and Related Senior/Key Person Profile (Expanded) form, available on the Grants.gov website at [https://apply07.grants.gov/apply/forms/sample/RR\\_KeyPersonExpanded\\_3\\_0-V3.0.pdf](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.

**For Cooperative Agreements only:**

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](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](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](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.*

Grants.gov Submissions: Grants.gov requires proposers to complete a one-time registration process before a proposal can be electronically submitted. First-time registration can take between three business days and four weeks. For more information about registering for Grants.gov, see <http://www.darpa.mil/work-with-us/additional-baa>.

**Proposal abstracts will not be accepted if submitted via Grants.gov.**

Hard copy Submissions: Proposers electing to submit cooperative agreement proposals as hard copies must complete the SF 424 R&R form (Application for Federal Assistance), available on the Grants.gov website ([https://apply07.grants.gov/apply/forms/sample/SF424\\_2\\_1-V2.1.pdf](https://apply07.grants.gov/apply/forms/sample/SF424_2_1-V2.1.pdf)).

Failure to comply with the submission procedures may result in the submission not being evaluated. DARPA will acknowledge receipt of complete submissions via e-mail and assign control numbers that should be used in all further correspondence regarding proposals.

#### **4.3. FUNDING RESTRICTIONS**

Not applicable.

#### **4.4. OTHER SUBMISSION INFORMATION**

DARPA will post a consolidated Frequently Asked Questions (FAQ) document. To access the posting go to <http://www.darpa.mil/work-with-us/opportunities>. A link to the FAQ will appear under the HR001122S0043 summary. Submit your question(s) via e-mail to [RITMO@darpa.mil](mailto:RITMO@darpa.mil).

### **5. Application Review Information**

#### **5.1. EVALUATION CRITERIA**

Proposals will be evaluated using the following criteria, listed in descending order of importance: 5.1.1 Overall Scientific and Technical Merit; 5.1.2 Potential Contribution and Relevance to the DARPA Mission; 5.1.3 Cost Realism; and 5.1.4 Realism of Proposed Schedule.

##### **5.1.1. 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.

##### **5.1.2. Potential Contribution and Relevance to the DARPA Mission**

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

### **5.1.3. Cost Realism**

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

It is expected that the effort will leverage all available relevant prior research in order to obtain the maximum benefit from the available funding. For efforts with a likelihood of commercial application, appropriate direct cost sharing may be a positive factor in the evaluation. DARPA recognizes that undue emphasis on cost may motivate proposers to offer low-risk ideas with minimum uncertainty and to staff the effort with junior personnel in order to be in a more competitive posture. DARPA discourages such cost strategies.

### **5.1.4. Realism of Proposed Schedule**

The proposed schedule aggressively pursues performance metrics in the shortest timeframe and accurately accounts for that timeframe. The proposed schedule identifies and mitigates any potential schedule risk.

## **5.2. REVIEW OF PROPOSALS**

### **Review Process**

It is the policy of DARPA to ensure impartial, equitable, comprehensive proposal evaluations based on the evaluation criteria listed in Section V.A. and to select the source (or sources) whose offer meets the Government's technical, policy, and programmatic goals.

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.

Award(s) will be made to proposers whose proposals are determined to be the most advantageous to the Government, consistent with instructions and evaluation criteria specified in the BAA herein, and availability of funding.

## **Handling of Source Selection Information**

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

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

## **Federal Awardee Performance and Integrity Information (FAPIIS)**

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

## **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.

## **6. Award Administration Information**

### **6.1. SUBMISSION STATUS NOTIFICATIONS**

Proposal Abstracts and Full Proposals submitted in response to HR001122S0043 will be evaluated following the submission deadlines listed in Part 1. DARPA will respond as described below. These official notifications will be sent via e-mail to the Technical Point of Contact (POC) and/or Administrative POC identified on the submission coversheet.

#### **6.1.1. Proposal Abstracts**

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

### **6.1.2. Full Proposals**

As soon as the evaluation of a proposal is complete, the proposer will be notified that (1) the proposal has been selected for funding pending award negotiations, in whole or in part, or (2) the proposal has not been selected.

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

### **6.2.1. Meeting and Travel Requirements**

There will be a program kickoff meeting in the Arlington, Virginia vicinity, and all key participants are required to attend. Performers should also anticipate Annual program-wide Principal Investigator meetings and periodic site visits at the Program Manager's discretion to the Arlington, Virginia vicinity. Proposers shall include within the content of their proposal details and costs of any travel or meetings they deem to be necessary throughout the course of the effort, to include periodic status reviews by the government.

### **6.2.2. Solicitation Provisions and Award Clauses, Terms and Conditions**

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

### **6.2.3. Controlled Unclassified Information (CUI) and Controlled Technical Information (CTI) on Non-DoD Information Systems**

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

### **6.2.4. 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/rep-cert> for further information on required representation and certification depending on your requested award instrument.

### **6.2.5. Terms and Conditions**

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

## **6.3. REPORTING**

The number and types of reports will be specified in the award document, but will include as a minimum monthly financial status reports, monthly technical status reports, and quarterly technical status reports. The reports shall be prepared and submitted in accordance with the procedures contained in the award document and mutually agreed on before award. Reports and briefing material will also be required as appropriate to document progress in accomplishing program

metrics. A Final Report that summarizes the project and tasks will be required at the conclusion of the performance period for the award, notwithstanding the fact that the research may be continued under a follow-on vehicle.

## **6.4. ELECTRONIC SYSTEMS**

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

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

### **6.4.2. I-EDISON**

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

## **7. Agency Contacts**

Administrative, technical or contractual questions should be sent via e-mail to the mailbox listed below.

Points of Contact

The BAA Coordinator for this effort may be reached at:

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

DARPA/BTO

ATTN: HR001122S0043

675 North Randolph Street

Arlington, VA 22203-2114

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

## **8. Other Information**

### **8.1. PROPOSERS DAY**

DARPA will host a virtual Proposers Day in support of the RITMO program on **June 29, 2022**. The purpose is to provide potential proposers with information on the RITMO program, promote additional discussion on this topic, address questions, provide a forum to present their capabilities, and encourage team formation.

Interested proposers are not required to attend to respond to the RITMO BAA, and relevant information and materials discussed at Proposers Day will be made available to all potential proposers in the form of a FAQ posted on the DARPA Opportunities Page.

DARPA will not provide cost reimbursement for interested proposers in attendance. An online registration form and various other meeting details can be found at the registration website, <https://events.sa-meetings.com/RITMOProposersDay>.

Participants are required to register no later than **June 24, 2022**. This event is not open to the press. The Proposers Day will be open to members of the public who have registered in advance for the event; there will be no onsite registration.

Proposers Day Point of Contact:

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

ATTN: DARPA-SN-22-40

## **8.2. ASSOCIATE CONTRACTORS AGREEMENT (ACA)**

This same or similar language may be included in procurement contract awards against HR001122S0043. Awards other than FAR based contracts may contain similar agreement language:

(a) It is recognized that success of the RITMO research effort depends in part upon the open exchange of information between the various Associate Contractors involved in the effort. This language is intended to ensure that there will be appropriate coordination and integration of work by the Associate Contractors to achieve complete compatibility and to prevent unnecessary duplication of effort. By executing this contract, the Contractor assumes the responsibilities of an Associate Contractor. For the purpose of this ACA, the term Contractor includes subsidiaries, affiliates, and organizations under the control of the contractor (e.g., subcontractors).

(b) Work under this contract may involve access to proprietary or confidential data from an Associate Contractor. To the extent that such data is received by the Contractor from any Associate Contractor for the performance of this contract, the Contractor hereby agrees that any proprietary information received shall remain the property of the Associate Contractor and shall be used solely for the purpose of the RITMO research effort. Only that information which is received from another contractor in writing and which is clearly identified as proprietary or confidential shall be protected in accordance with this provision. The obligation to retain such information in confidence will be satisfied if the Contractor receiving such information utilizes the same controls as it employs to avoid disclosure, publication, or dissemination of its own proprietary information. The receiving Contractor agrees to hold such information in confidence as provided herein so long as such information is of a proprietary/confidential or limited rights nature.

(c) The Contractor hereby agrees to closely cooperate as an Associate Contractor with the other Associate Contractors on this research effort. This involves as a minimum:

- (1) maintenance of a close liaison and working relationship;
- (2) maintenance of a free and open information network with all Government-identified associate Contractors;
- (3) delineation of detailed interface responsibilities;
- (4) entering into a written agreement with the other Associate Contractors setting forth

the substance and procedures relating to the foregoing, and promptly providing the Agreements Officer/Procuring Contracting Officer with a copy of same; and,

(5) receipt of proprietary information from the Associate Contractor and transmittal of Contractor proprietary information to the Associate Contractors subject to any applicable proprietary information exchange agreements between associate contractors when, in either case, those actions are necessary for the performance of either.

(d) In the event that the Contractor and the Associate Contractor are unable to agree upon any such interface matter of substance, or if the technical data identified is not provided as scheduled, the Contractor shall promptly notify the DARPA RITMO Program Manager. The Government will determine the appropriate corrective action and will issue guidance to the affected Contractor.

(e) The Contractor agrees to insert in all subcontracts hereunder which require access to proprietary information belonging to the Associate Contractor, a provision which shall conform substantially to the language of this ACA, including this paragraph (e).

(f) Associate Contractors for the RITMO research effort include:

## 9. APPENDIX 1 – Volume II checklist

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

**The following checklist and sample templates are provided to assist the proposer in developing a complete and responsive cost volume. Full instructions appear in Section 4.2.2 of HR001122S0043. This worksheet must be included with the coversheet of the Cost Proposal.**

1. Are all items from Section 4.2.2 (Volume II, Cost Proposal) of **HR001122S0043** included on your Cost Proposal cover sheet?
  - ☐ YES      ☐ NO      Appears on Page(s) [Type text]
  - If reply is “No”, please explain:
  
2. Does your Cost Proposal include (1) a summary cost buildup by Phase, (2) a summary cost buildup by Year, and (3) a detailed cost buildup of for each Phase that breaks out each task and shows the cost per month?
  - ☐ YES      ☐ NO      Appears on Page(s) [Type text]
  - If reply is “No”, please explain:
  
3. Does your cost proposal (detailed cost buildup #3 above in item 2) show a breakdown of the major cost items listed below:
  - Direct Labor (Labor Categories, Hours, Rates)
    - ☐ YES      ☐ NO      Appears on Page(s) [Type text]
  - Indirect Costs/Rates (i.e., overhead charges, fringe benefits, G&A)
    - ☐ YES      ☐ NO      Appears on Page(s) [Type text]
  - Materials and/or Equipment
    - ☐ YES      ☐ NO      Appears on Page(s) [Type text]
  - Subcontracts/Consultants
    - ☐ YES      ☐ NO      Appears on Page(s) [Type text]
  - Other Direct Costs
    - ☐ YES      ☐ NO      Appears on Page(s) [Type text]
  - Travel
    - ☐ YES      ☐ NO      Appears on Page(s) [Type text]
  - If reply is “No”, please explain:
  
4. Have you provided documentation for proposed costs related to travel, to include purpose of trips, departure and arrival destinations and sample airfare?
  - ☐ YES      ☐ NO      **Appears on Page(s)** [Type text]

If reply is “No”, please explain:

5. Does your cost proposal include a complete itemized list of all material and equipment items to be purchased (a priced bill-of-materials (BOM))?  
☐ YES      ☐ NO      **Appears on Page(s)** [Type text]

If reply is “No”, please explain:

6. Does your cost proposal include vendor quotes or written engineering estimates (basis of estimate) for all material and equipment with a unit price exceeding \$5000?  
☐ YES      ☐ NO      **Appears on Page(s)** [Type text]

If reply is “No”, please explain:

7. Does your cost proposal include a clear justification for the cost of labor (written labor basis-of-estimate (BOE)) providing rationale for the labor categories and hours proposed for each task?  
☐ YES      ☐ NO      **Appears on Page(s)** [Type text]

If reply is “No”, please explain:

8. Do you have subcontractors/consultants? If YES, continue to question 9. If NO, skip to question 13.  
☐ YES      ☐ NO      **Appears on Page(s)** [Type text]

9. Does your cost proposal include copies of all subcontractor/consultant technical (to include Statement of Work) and cost proposals?  
☐ YES      ☐ NO      **Appears on Page(s)** [Type text]

If reply is “No”, please explain:

10. Do all subcontract proposals include the required summary buildup, detailed cost buildup, and supporting documentation (SOW, Bill-of-Materials, Basis-of-Estimate, Vendor Quotes, etc.)?  
☐ YES      ☐ NO      **Appears on Page(s)** [Type text]

If reply is “No”, please explain:

11. Does your cost proposal include copies of consultant agreements, if available?  
☐ YES      ☐ NO      **Appears on Page(s)** [Type text]

If reply is “No”, please explain:

12. If requesting a FAR-based contract, does your cost proposal include a tech/cost analysis for all proposed subcontractors?  
☐ YES      ☐ NO      **Appears on Page(s)** [Type text]

If reply is “No”, please explain:

13. Have all team members (prime and subcontractors) who are considered a Federally Funded Research & Development Center (FFRDC), included documentation that clearly demonstrates work is not otherwise available from the private sector AND provided a letter on letterhead from the sponsoring organization citing the specific authority establishing their eligibility to propose to Government solicitations and compete with industry, and compliance with the associated FFRDC sponsor agreement and terms and conditions.
- ☐ YES      ☐ NO      **Appears on Page(s)** [Type text]

If reply is “No”, please explain:

14. Does your proposal include a response regarding Organizational Conflicts of Interest?
- ☐ YES      ☐ NO      **Appears on Page(s)** [Type text]

If reply is “No”, please explain:

15. Does your proposal include a completed Data Rights Assertions table/certification?
- ☐ YES      ☐ NO      **Appears on Page(s)** [Type text]

If reply is “No”, please explain: