



Broad Agency Announcement  
Casimir Effect Enhancement (CEE)  
Microsystems Technology Office (MTO)  
DARPA-BAA-08-59

September 9, 2008

Table of Contents:

Part I: Overview Information.....	3
Part II: Full Text of Announcement	
Sec. I: Funding Opportunity Description.....	4
Sec. II: Award Information.....	7
Sec. III: Eligibility Information.....	8
1. Eligible Applicants	
2. Cost Sharing and Matching	
Sec. IV: Application and Submission Information.....	10
1. Address to Request Application Package	
2. Content and Form of Application Submission	
3. Submission Dates and Times	
4. Funding Restrictions	
5. Other Submission Requirements	
Sec. V: Application Review Information.....	20
1. Criteria	
2. Review and Selection Process	
Sec. VI: Award Administration Information.....	23
1. Award Notices	
2. Administrative and National Policy Requirements	
3. Reporting Requirements	
Sec. VII: Agency Contacts.....	30

## Part One: Overview Information

- **Federal Agency Name** – Defense Advanced Research Projects Agency (DARPA), Microsystems Technology Office (MTO)
- **Funding Opportunity Title** – Casimir Effect Enhancement (CEE)
- **Announcement Type** – Initial Broad Agency Announcement (BAA)
- **Funding Opportunity Number** – DARPA-BAA-08-59
- **Catalog of Federal Domestic Assistance Numbers (CFDA)** – 12.910 Research and Technology Development
- **Important Dates**
  - Proposal Abstracts are due no later than 12:00 PM (noon) Eastern Time on Thursday, October 23, 2008.
  - Proposals are due no later than 12:00 PM (noon) Eastern Time on Thursday, December 18, 2008.
- **Anticipated individual awards** – Multiple awards are anticipated.
- **Types of instruments that may be awarded** -- Procurement contract, grant, cooperative agreement or other transaction.
- **Any cost sharing requirements**—None
- **Agency contact**

Dr. Thomas Kenny, Program Manager  
The BAA Coordinator for this effort can be reached at electronic mail: [baa08-59@darpa.mil](mailto:baa08-59@darpa.mil).  
DARPA/MTO  
ATTN: DARPA BAA 08-59  
3701 North Fairfax Drive  
Arlington, VA 22203-1714  
FAX: (703) 741-0079  
PHONE: (703) 351-8427 (administrative/TFIMS questions)  
PHONE: (703) 351-8573 (technical questions)  
EMAIL: [baa08-59@darpa.mil](mailto:baa08-59@darpa.mil)

**NOTE:** PROPOSERS ARE CAUTIONED THAT EVALUATION RATINGS MAY BE LOWERED AND/OR PROPOSALS REJECTED IF ALL SUBMITTAL INSTRUCTIONS LISTED HEREIN ARE NOT FOLLOWED.

## **Part Two: Full Text of Announcement**

### **I. FUNDING OPPORTUNITY DESCRIPTION**

The Defense Advanced Research Projects Agency often selects its research efforts through the Broad Agency Announcement (BAA) process. The BAA will appear first on the FedBizOpps website <http://www.fedbizopps.gov/>, then on <http://www.Grants.gov> and the DARPA/MTO Solicitation Page at <http://www.darpa.mil/mto/solicitations/index.html>. The following information is for those wishing to respond to the BAA.

DARPA is soliciting innovative research proposals in the area of Casimir Effect Enhancement (CEE). The goal of this program is to develop new methods to control and manipulate attractive and repulsive forces at surfaces based on engineering of the Casimir Force. One could leverage this ability to control phenomena such as adhesion in nanodevices, drag on vehicles and many other interactions of interest to the DoD.

A specific goal of this single-phase DARPA program is to demonstrate the ability to manipulate and engineer the Casimir force including the ability to neutralize the Casimir force.

Possible approaches to these program goals could include the development of composite materials, engineered nanostructures, mixed-phase materials, or active elements. DARPA appreciates that research activities (models and experiments) have already identified manipulation of the Casimir force as an important challenge. DARPA is interested in supporting significant, focused effort to demonstrate the ability to neutralize the Casimir force.

Proposed research should investigate innovative approaches that enable revolutionary advances in science, devices, or systems. Specifically excluded is research that primarily results in evolutionary improvements to the existing state of practice.

#### **Background and Description**

Recent advances in the ability to fabricate nanomechanical devices and to measure nanometer-scale forces have led to applications for van der Waals forces (non-contact AFM uses the gradient in vdW force to detect proximity to the surface, for example). Van der Waals forces also play a role in attracting nanomechanical structures into contact, whereupon permanent adhesion can cause failure of the device.

In practical devices, roughened surfaces, Teflon-like coatings, and mechanical design are used to overcome vdW adhesion. For example, the corners of the Texas Instrument Digital Micromirror Device (TI DMD) have tiny springs which store potential energy during the application of the electrostatic drive force; removal of the electrostatic force leads to the stored potential energy being released, which causes the mirror to be sprung free of the adhesive force. This is important in the DMD, as there are more than a million

mirrors making contact to the surface at more than 10,000 times/second, and adhesion of any of the mirrors results in a detectable defect in the display. In other MEMS devices, such as inertial sensors, a Teflon-like film is deposited on the released micromechanical structures to reduce the surface energy of adhesion, and helping to prevent final adhesion and device failure. New ways to reduce or eliminate adhesive forces would allow improvements in MEMS reliability.

As devices evolve from micro to nano-scale mechanical structures, the adhesive forces become relatively stronger (compared to the mechanical restoring forces available, which scale as second or third order in dimension). Researchers working to develop nanomechanical devices can mitigate adhesion by designing relatively stiff structures, but this leads to compromise in the range of motion or in the voltages required for actuation. The ability to reduce or eliminate adhesive forces would allow new designs and tradeoffs between all the other challenging issues in nanomechanical device design.

The vdW force results from correlations in the fluctuations of the dipole moments of atoms on the opposite sides of the interface. The physics of the vdW force relies only upon the polarizability of the material and on the separation between the sides of the interface. The Hamaker constant, which captures the polarizability and other materials properties of importance, varies by only a single order of magnitude over practical materials. As a result, there is little opportunity to adjust or manipulate the vdW force and reduce the adhesion-induced failure of devices.

The Casimir force arises from the interaction of the surfaces with the surrounding electromagnetic spectrum, and includes a complex dependence on the full dielectric function of both surfaces and the region between. The complexity of the Casimir force leads to significantly greater possibility for manipulation through materials, geometries, and other phenomena. The significantly greater complexity of the Casimir force potentially allows greater opportunity for neutralization or for use of Casimir forces to partially cancel vdW forces.

There has been considerable recent effort to study the Casimir force, arising from the improvements in the ability to measure small forces near surfaces and improvements in the ability to complete complex numerical computations efficiently. Included in this activity has been growing speculation about the possibility to manipulate Casimir forces. This speculation has been primarily based on models and computations, but there are many very interesting applications for such an ability. DARPA is interested in funding approaches that can lead to the ability to manipulate Casimir forces.

Because of the still-speculative nature of the current work on manipulation of Casimir forces, DARPA is interested in carrying out an exploratory basic research program. The primary goal of this program is to determine if it is possible to manipulate and to neutralize the Casimir force in an experimental system.

## **CEE Program Goals**

Proposers must define their CEE approach and describe in detail how the characteristics of their designs will satisfy the requirements of this program. Though the characteristics will depend on the particular architecture proposed, DARPA envisions some common performance metrics and some metrics specific to the proposed architecture. Program metrics to be used for determination of success will be drawn from this list:

- (1) Unambiguous detection of Casimir Force
- (2) Demonstrated ability to neutralize the Casimir Force
- (3) Real-time manipulation of the Casimir Force

All proposers are strongly encouraged to participate in the pre-proposal process so as to have the best opportunity to explain their fundamental concepts and research plans to DARPA and obtain feedback prior to submission of full proposals.

## **Explanations and Rationale for Goals**

**Casimir Force Detection:** The Casimir force is one of many forces present at the nanometer scale near surfaces. In order to unambiguously detect the Casimir force, it is necessary to show that the Casimir force can be distinguished from all the other forces present in the system. This can be accomplished by studying the dependence of the measured force on controllable geometric, materials, environmental or other parameters, and distinguishing all of the forces from one another. A successful proposal will describe how the team intends to distinguish Casimir forces from other forces in their device and system.

**Casimir Force Neutralization:** In order to utilize the Casimir force in applications, it is important to demonstrate the ability to design and demonstrate devices where the Casimir force can be completely neutralized. Model-based design of materials and surfaces will be necessary to develop a successful demonstration of a Casimir-free interface. Successful proposals will include a detailed description of the means by which the Casimir force will be neutralized in a specific structure.

**Dynamic Manipulation of the Casimir Force:** Of particular interest are approaches that allow the Casimir force to be dynamically modified within a device or structure – specifically, the ability to modulate the Casimir force between “normal” and “neutralized” states. To meet this objective, proposers should describe the materials, structures or other concepts that can provide this dynamic modification of the Casimir force within a device. Detailed models and calculations will be necessary to provide a convincing discussion of the approach used.

## **Program Scope**

This CEE program will consist of a single basic research phase. The length of the effort shall be determined by the proposer and will be considered under the evaluation criteria.

Generally, proposals of shorter duration are preferred, but it is important that the proposed plan include appropriate time and effort to meet the challenges associated with the goals of this program.

*Preliminary Technology Development and Demonstration:* The goals of this Casimir Effect Enhancement program are discussed above, and consist of the demonstrated ability to measure, neutralize and dynamically manipulate the Casimir force. This set of goals is based on identification of key challenges in micro and nano-mechanical systems, and on speculative claims emerging in the literature. DARPA's goal is to encourage multidisciplinary teams with expertise in materials, fabrication, modeling and experiments to form and make substantial progress towards the objectives stated above. The CEE BAA is offered as a mechanism to encourage the formation of the hoped-for multidisciplinary teams, and the generation of specific concepts and approaches to meet the program objectives.

*Post-CEE:* If the CEE program is successful at demonstrating the ability to detect, neutralize and manipulate the Casimir force in one or more specific structures, DARPA will explore the launch of a follow-on program to utilize these capabilities in one or more specific devices of practical importance. At this time, DARPA makes no guarantees of the structure, timing, or scope of any follow-on programs.

## **II. AWARD INFORMATION**

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

The Government reserves the right to select for negotiation all, some, one, or none of the proposals received in response to this solicitation, and to make awards without discussions with proposers. The Government also reserves the right to conduct discussions if it is later determined to be necessary. If warranted, portions of resulting awards may be segregated into pre-priced options. Additionally, DARPA reserves the right to accept proposals in their entirety or to select only portions of proposals for award. In the event that DARPA desires to award only portions of a proposal, negotiations may be opened with that proposer. If the proposed effort is inherently divisible and nothing is gained from the aggregation, proposers should consider submitting it as multiple independent efforts. The Government reserves the right to fund proposals in phases with options for continued work at the end of one or more of the phases.

Awards under this BAA will be made to proposers on the basis of the evaluation criteria listed below (see section labeled "Application Review Information", Sec. V.), and program balance to provide overall value to the Government. Proposals identified for negotiation may result in a procurement contract, grant, cooperative agreement, or other transaction depending upon the nature of the work proposed, the required degree of interaction between parties, and other factors.

As of the date of publication of this BAA, DARPA expects that program goals for this BAA may be met by proposers intending to perform 'fundamental research,' i.e., basic and applied research in science and engineering, the results of which ordinarily are published and shared broadly within the scientific community, as distinguished from proprietary research and from industrial development, design, production, and product utilization the results of which ordinarily are restricted for proprietary or national security reasons. Notwithstanding this statement of expectation, DARPA is not prohibited from considering and selecting research proposals that, while perhaps not qualifying as 'fundamental research' under the foregoing definition, still meet the BAA criteria for submissions. In all cases, the contracting officer shall have sole discretion to select award instrument type and to negotiate all instrument provisions with selectees.

### **III. ELIGIBILITY INFORMATION**

#### **A. Eligible Applicants**

All responsible sources capable of satisfying the Government's needs may submit a proposal that shall be considered by DARPA. Historically Black Colleges and Universities (HBCUs), Small Businesses, Small Disadvantaged Businesses and Minority Institutions (MIs) are encouraged to submit proposals and join others in submitting proposals; however, no portion of this announcement will be set aside for these organizations' participation due to the impracticality of reserving discrete or severable areas of this research for exclusive competition among these entities. Federally Funded Research and Development Centers (FFRDCs) and Government entities (Government/National laboratories, military educational institutions, etc.) are subject to applicable direct competition limitations and cannot propose to this BAA in any capacity, unless they can clearly demonstrate the work is not otherwise available from the private sector AND they also provide written documentation citing the specific statutory authority (as well as, where relevant, contractual authority) establishing their eligibility to propose to government solicitations. At the present time, DARPA does not consider 15 U.S.C. 3710a to be sufficient legal authority to show eligibility.

While 10 U.S.C. 2539b may be the appropriate statutory starting point for some entities, specific supporting regulatory guidance, together with evidence of agency approval, will still be required to fully establish eligibility. DARPA will consider eligibility submissions on a case-by-case basis; however, the burden to prove eligibility for all team members rests solely with the Offeror.

Foreign participants and/or individuals may participate to the extent that such participants comply with any necessary Non-Disclosure Agreements, Security Regulations, Export Control Laws, and other governing statutes applicable under the circumstances.

## **1. Procurement Integrity, Standards of Conduct, Ethical Considerations, and Organizational Conflicts of Interest**

Current federal employees are prohibited from participating in particular matters involving conflicting financial, employment, and representational interests (18 USC 203, 205, and 208.) Once the proposals have been received and prior to the start of proposal evaluations, the Government will assess whether any potential conflict of interest exists in regards to the DARPA Program Manager, as well as those individuals chosen to evaluate proposals received under this BAA. The Program Manager is required to review and evaluate all proposals received under this BAA and to manage all selected efforts. The Program Manager for this BAA is a detailee to DARPA under the Intergovernmental Personnel Act (IPA) from Stanford University, and, as such, is highly likely to have a conflict of interest with respect to proposals utilizing that institution as a performer. Proposers should carefully consider the composition of their performer team before submitting a proposal to this BAA.

All Proposers and proposed subcontractors must affirm whether they are providing scientific, engineering, and technical assistance (SETA) or similar support to any DARPA technical office(s) through an active contract or subcontract. All affirmations must state which office(s) the Proposer supports and identify the prime contract numbers. Affirmations shall be furnished at the time of proposal submission. All facts relevant to the existence or potential existence of organizational conflicts of interest (FAR 9.5) must be disclosed. The disclosure shall include a description of the action the Proposer has taken or proposes to take to avoid, neutralize, or mitigate such conflict. In accordance with FAR 9.503 and without prior approval or a waiver from the DARPA Director, a Contractor cannot simultaneously be a SETA and Performer. Proposals that fail to fully disclose potential conflicts of interests and/or do not have plans to mitigate this conflict will be returned without technical evaluation and withdrawn from further consideration for award.

Proposers are cautioned that DARPA will obtain one or more of its proposal evaluators from other Department of Defense (DoD) agencies. Inclusion of such agencies, or individuals from such agencies, as proposed team members could potentially result in a conflict of interest. Proposers should, as indicated below, contact DARPA prior to submission of their proposal if use of a DoD agency (i.e., NIST, NRL, AFRL, ARL, etc.) as a team member is anticipated.

If a prospective Proposer believes that any conflict of interest exists or may exist (whether organizational or otherwise), the Proposer should promptly raise the issue with DARPA by sending Proposer's contact information and a summary of the potential conflict by email to the mailbox address for this BAA at [baa08-59@darpa.mil](mailto:baa08-59@darpa.mil), before time and effort are expended in preparing a proposal and mitigation plan. If, in the sole opinion of the Government after full consideration of the circumstances, any conflict situation cannot be effectively mitigated, the proposal may be returned without technical evaluation and withdrawn from further consideration for award under this BAA.

## **B. Cost Sharing/Matching**

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

## **C. Other Eligibility Criteria (optional)**

### **1. Collaborative Efforts**

Collaborative efforts/teaming are encouraged. A website <http://teaming.sysplan.com/cee> has been established to facilitate formation of teaming arrangements between interested parties. Specific content, communications, networking, and team formation are the sole responsibility of the participants. Neither DARPA nor the Department of Defense (DoD) endorses the destination web site or the information and organizations contained therein, nor does DARPA or the DoD exercise any responsibility at the destination. This website is provided consistent with the stated purpose of this BAA.

## **IV. APPLICATION AND SUBMISSION INFORMATION**

### **A. Address to Request Application Package**

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

### **B. Content and Form of Application Submission**

#### **1. Abstract and Proposal Information**

Proposers who choose to use abstracts are strongly encouraged to submit a proposal abstract in advance of a full proposal. This procedure is intended to minimize unnecessary effort in proposal preparation and review. The time and date for submission of proposal abstracts is specified in Section C below. DARPA will acknowledge receipt of the submission and assign a control number that should be used in all further correspondence regarding the proposal abstract.

DARPA will respond to proposal abstracts with a statement as to whether DARPA is interested in the idea. DARPA will attempt to reply to proposal abstracts within thirty (30) calendar days of receipt. Proposal abstracts will be reviewed in the order they are received. Early submissions of proposal abstracts and full proposals are strongly encouraged because selections may be made at any time during the period of solicitation. Regardless of DARPA's response to a proposal abstract, proposers may submit a full

proposal. DARPA will review all full proposals submitted using the published evaluation criteria and without regard to any comments resulting from the review of a proposal abstract.

Proposers are required to submit full proposals by the time and date specified in the BAA in order to be considered during the initial round of selections. DARPA may evaluate proposals received after this date for a period up to one year from date of posting on FedBizOpps and Grants.gov. Selection remains contingent on availability of funds.

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

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

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

For All:

All administrative correspondence and questions on this solicitation, including requests for information on how to submit a proposal abstract or full proposal to this BAA, should be directed to one of the administrative addresses below; e-mail is preferred. (PHONE: (703) 351-8427 for administrative/TFIMS questions; PHONE: (703) 351-8573 for technical questions). DARPA intends to use electronic mail for correspondence regarding DARPA-BAA-08-59 (EMAIL: [baa08-59@darpa.mil](mailto:baa08-59@darpa.mil)). **Proposals and proposal abstracts may not be submitted by fax or e-mail; any so sent will be disregarded.** See “Agency Contacts” at the end of this announcement if you have trouble uploading to TFIMS. DARPA encourages use of the Internet for retrieving the BAA and any other related information that may subsequently be provided.

For Proposers Submitting proposals through T-FIMS:

Proposals sent in response to DARPA-BAA-08-59 must be submitted through T-FIMS. See <https://www.tfims.darpa.mil/baa/> for more information on how to request an account, upload proposals, and use the T-FIMS tool. Because proposers using T-FIMS may encounter heavy traffic on the web server, and T-FIMS requires a registration and certificate installation for all proposers, proposers should not wait until the day the proposal is due to create an account in T-FIMS and submit the proposal. All proposers using T-FIMS must also encrypt the proposal, as per the instructions below.

For Proposers Posting to Grants.Gov:

Proposers may elect to use the Grants.gov APPLY function if the applicant is seeking a grant or cooperative agreement. The APPLY function replaces the proposal submission process that other proposers follow. The APPLY function does not affect the proposal content or format. The APPLY function is electronic; proposers do not submit paper proposals in addition to the Grants.gov APPLY electronic submission.

For Proposers Submitting to an Electronic Business Application such as the T-FIMS BAA Tool:

All proposals submitted electronically by means of an Electronic Business Application Tool or proposal submission web site (not including Grants.gov) must be encrypted using Winzip or PKZip with 256-bit AES encryption. Only one zipped/encrypted file will be accepted per proposal and proposals not zipped/encrypted will be rejected by DARPA. An encryption password form must be completed and emailed to ([baa08-59@darpa.mil](mailto:baa08-59@darpa.mil)) at the time of proposal submission. See <https://www.tfims.darpa.mil/baa/> for the encryption password form.

Note the word "PASSWORD" must appear in the subject line of the above email and there are minimum security requirements for establishing the encryption password. Failure to provide the correct encryption password may result in the proposal not being evaluated. For further information and instructions on how to zip and encrypt proposal files, see <https://www.tfims.darpa.mil/baa/>.

## **2. Proposal Abstract Format**

Proposal abstracts are encouraged in advance of full proposals in order to provide potential proposers with a rapid response to minimize unnecessary effort. Proposal abstracts should follow the same general format as described for Volume I under PROPOSAL FORMAT (see below), but include ONLY Sections I and II. The cover sheet should be clearly marked "PROPOSAL ABSTRACT" and the total length should not exceed {15} number of pages, excluding cover page and official transmittal letter. All pages shall be printed on 8-1/2 by 11 inch paper with type not smaller than 12 point. Smaller font may be used for figures, tables and charts. The page limitation for proposal abstracts includes all figures, tables, and charts. No formal transmittal letter is required. All proposal abstracts must be written in English.

## **3. Full Proposal Format**

All full proposals must be in the format given below. Nonconforming proposals may be rejected without review. Proposals shall consist of two volumes. All pages shall be printed on 8-1/2 by 11 inch paper with type not smaller than 12 point. Smaller font may be used for figures, tables and charts. The page limitation for full proposals includes all figures, tables, and charts. Volume I, Technical and Management Proposal, may include an attached bibliography of relevant technical papers or research notes (published and unpublished) which document the technical ideas and approach upon which the proposal

is based. Copies of not more than three (3) relevant papers can be included with the submission. The bibliography and attached papers are not included in the page counts given below. The submission of other supporting materials along with the proposals is strongly discouraged and will not be considered for review. Except for the attached bibliography and Section I, Volume I shall not exceed {54} number pages. Maximum page lengths for each section are shown in braces { } below. All full proposals must be written in English.

#### **4. Volume I, Technical and Management Proposal**

##### Section I. Administrative

A. Cover sheet to include:

- (1) BAA number
- (2) Technical area
- (3) Lead Organization Submitting proposal
- (4) Type of business, selected among the following categories: “LARGE BUSINESS”, “SMALL DISADVANTAGED BUSINESS”, “OTHER SMALL BUSINESS”, “HBCU”, “MI”, “OTHER EDUCATIONAL”, OR “OTHER NONPROFIT”
- (5) Contractor’s reference number (if any)
- (6) Other team members (if applicable) and type of business for each
- (7) Proposal title
- (8) Technical point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available)
- (9) Administrative point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available),
- (10) Total funds requested from DARPA and the amount of cost share (if any). Total funds should be broken out by phase; list each phase’s duration. (e.g. Phase I: \$X, 18 months)
- (11) Date proposal was submitted.

B. Official transmittal letter.

##### Section II. Summary of Proposal

This section provides an overview of the proposed work as well as an introduction to the associated technical and management issues. Further elaboration will be provided in Section III.

- A. {6} Innovative claims for the proposed research. This section is the centerpiece of the proposal and should succinctly describe the uniqueness and benefits of the proposed approach relative to the current state-of-art alternate approaches.
- B. {0.5} Deliverables associated with the proposed research and the plans and capability to accomplish technology transition and commercialization. Include in

- this section all proprietary claims to the results, prototypes, intellectual property, or systems supporting and/or necessary for the use of the research, results, and/or prototype. If there are not proprietary claims, this should be stated.
- C. {1} Cost, schedule, and payable milestones for the proposed research, including estimates of cost for each task in each year of the effort delineated by the prime and major subcontractors, total cost and company cost share, if applicable. These payable milestones should enable and support a go/no go decision for the next part of the effort. Do not include proprietary information with the milestones. Additional interim non-critical management milestones are also highly encouraged at a regular interval.
  - D. {5} Technical rationale, technical approach, and constructive plan for accomplishment of technical goals in support of innovative claims and deliverable production. (In the full proposal, this section should be supplemented by a more detailed plan in Section III.)
  - E. {1} General discussion of other research in this area.
  - F. {0.5} A clearly defined organization chart for the program team which includes, as applicable: (1) the programmatic relationship of team member; (2) the unique capabilities of team members; (3) the task of responsibilities of team members; (4) the teaming strategy among the team members; and (5) the key personnel along with the amount of effort to be expended by each person during each year.

### Section III. Detailed Proposal Information

This section provides the detailed discussion of the proposed work necessary to enable an in-depth review of the specific technical and managerial issues. Specific attention must be given to addressing both risk and payoff of the proposed work that make it desirable to DARPA.

- A. {20} Technical Rationale and Approach. Detailed technical rationale and approach enhancing that of Section II. A concise section outlining the scientific and technical challenges, unique approaches, and potential anticipated technical solutions to the challenges that will be addressed. This section should demonstrate that the proposer has a clear understanding of the state-of-the-art; and should provide sufficient technical details so as to permit complete evaluation of the feasibility of the idea. Additionally, comparison with other ongoing research shall be provided indicating advantages and disadvantages of the proposed effort.
- B. {5} Program Plan & Risk Assessment. Detailed program plan and risk assessment enhancing that of Section II. A narrative explaining the explicit timelines, milestone achievements, and quantitative program metrics (to include proposer defined metrics, if applicable) by which progress toward the goals can be evaluated. The proposed period of performance of the overall program, and each program phase, should be clearly stated. The narrative plan should include a specific test plan detailing how all program metrics (including proposer defined metrics, if applicable) will be accurately measured. All program metrics (including proposer defined metrics, if applicable) must be associated with

- demonstrable, quantitative measures of performance, and should be summarized in a single table. Proposals should clearly explain the technical approach(es) that will be employed to meet or exceed each program metric (including proposer defined metrics, if applicable) and provide ample justification as to why the approach(es) is/are feasible. This section should also identify major technical risk elements specific to the proposed approach, estimate the risk magnitude for each such element, and describe specific plans to mitigate risk. **All program metrics (including proposer defined metrics, if applicable) should be described/discussed in detail so reviewers can assess risks associated with meeting them. Measurable critical milestones should occur at the end of every phase.** These critical technical milestones should enable and support a go/no go decision for the next part of the effort. Additional interim non-critical technical milestones are also highly encouraged at regular intervals.
- C. {5} Statement of Work (SOW) - In plain English, clearly define the technical tasks/subtasks to be performed, their durations, and dependencies among them. The SOW **must not** include proprietary information. The SOW **must** be developed so that each phase of the program is separately defined. For each task/subtask, provide:
- A general description of the objective (for each defined task/activity);
  - A detailed description of the approach to be taken to accomplish each defined task/activity);
  - Identification of the primary organization responsible for task execution (prime, sub, team member, by name, etc.);
  - The exit criteria for each task/activity - a product, event or milestone that defines its completion.
  - Define all deliverables (reporting, data, reports, hardware, software, etc.) to be provided to the Government in support of the proposed research tasks/activities.
- D. {3} Teaming and Management Plan. A clearly defined organization chart for the program team which includes the programmatic relationship and a summary of each members roles and responsibilities. Additionally, a narrative discussing (1) the proposers teaming strategy/rationale; (2) the specific roles and responsibilities of the team members; (3) the unique capabilities of the team members; and (4) the proposers team management approach.
- E. {2} Capabilities. A section describing relevant prior work, the background, qualifications and relevant experience of team member organizations (prime and sub) and key individuals to be assigned to the program, and the facilities and equipment to be utilized. Please do not attach supporting material (CDs, movies, etc.) to the proposal, except as noted in Section IV below.
- F. {1} Technology Transition & Business Plan. A description of the results, products, transferable technology, and expected technology transfer path enhancing that of Section II. B. See also VI (B)(2) "Intellectual Property."
- G. {3} Cost schedules and Payable Milestones, if proposed, for the proposed research including estimates of cost for each task in each phase and year of the effort delineated by the primes and major subcontractors, total cost, and any

company cost share. Payable milestones (descriptions, exit criteria, etc.), if proposed, must not include proprietary information. 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.

- H. {1} Summary Slide. PowerPoint-type slide (i.e., landscape formatted for presentation) that succinctly highlights the major aspects of the proposal, including all program metrics (including proposer defined metrics, if applicable), in a manner suitable for presentation to DARPA management.

#### Section IV. Additional Information

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

### **5. Volume II, Cost Proposal – {No Page Limit}**

Cover sheet to include:

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

- (17) TIN number; and
- (18) Cage Code;
- (19) Subcontractor Information; and
- (20) Proposal validity period.

The proposers cost volume shall provide cost and pricing information, or other than cost or pricing information if the total price is under \$650,000, in sufficient detail to substantiate the program price proposed (e.g., realism and reasonableness). In doing so, the proposer shall provide a detailed cost breakdown by phase, task and month. The breakdown shall include, at a minimum, the following major cost items: direct labor (labor categories and labor hours per category); subcontracts (by subcontractor); material/equipment; other direct costs (travel, computer usage fee's, etc.), and indirect charges (rates and factors such as Overhead, G&A, Fringe Benefits, etc.). Proposers are encouraged to provide the aforementioned cost breakdown as an editable MS Excel spreadsheet with tabs (material, travel, ODC's) provided as necessary. Additionally, the proposer shall provide (1) a summary of total program costs by phase and task, (2) an itemization of major subcontracts, (3) a priced Bill-of-Materials (BOM) clearly identifying, for each item proposed, the source of the unit price (i.e., vendor quote, engineering estimate, etc.) and the type of property (i.e., material, equipment, special test equipment, plant equipment, information technology (IT)<sup>1</sup>, etc.); (4) the source, nature, and amount of any industry cost-sharing; and (5) 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.). 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.

The proposer shall provide a detailed description of the methods used to estimate costs, to include, at a minimum: 1) substantiation of all rates and factors, and 2) labor and material estimates supported by a narrative basis-of-estimate (BOE) providing sufficient detail to substantiate cost estimates. The prime contractor is responsible for compiling and

---

• <sup>1</sup> IT is defined as “any equipment, or interconnected system(s) or subsystem(s) of equipment that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by the agency. (a) For purposes of this definition, equipment is used by an agency if the equipment is used by the agency directly or is used by a contractor under a contract with the agency which – (1) Requires the use of such equipment; or (2) Requires the use, to a significant extent, of such equipment in the performance of a service or the furnishing of a product. (b) The term “information technology” includes computers, ancillary, software, firmware and similar procedures, services (including support services), and related resources. (c) The term “information technology” does not include – (1) Any equipment that is acquired by a contractor incidental to a contract; or (2) Any equipment that contains imbedded information technology that is used as an integral part of the product, but the principal function of which is not the acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information. For example, HVAC (heating, ventilation, and air conditioning) equipment such as thermostats or temperature control devices, and medical equipment where information technology is integral to its operation, are not information technology.”

providing as part of its proposal submission to the Government subcontractor proposals prepared at the same level of detail as that required of the prime. Subcontractor proposals include Interdivisional Work Transfer Agreements (ITWA) or similar arrangements. If seeking a procurement contract, the prime contractor shall provide a cost reasonableness analysis of proposed subcontractor prices. Such analysis shall indicate the extent to which the prime contractor has negotiated subcontract prices. All proprietary subcontractor proposal documentation which cannot be uploaded to TFIMS as part of the proposers submission, shall be made immediately available to the Government, upon request, under separate cover (i.e., mail, electronic/email, etc.), either by the Proposer or by the subcontractor organization – this does not relieve the proposer from the requirement to include, as part of their TFIMS submission, subcontract proposals that do not include proprietary pricing information (rates, factors, etc.).

Proposers may identify data they intend to deliver to the Government with less than Unlimited Rights as part of the cost proposal submission. Instructions can be found at Section VI(B)(2) below.

If seeking a procurement contract and items of Contractor Acquired Property are proposed, exclusive of material, the proposer shall clearly demonstrate that the inclusion of such items as Government Property is in keeping with the requirements of FAR Part 45.102. For IT purchases, all proposers shall include a letter stating why the proposer cannot provide the requested resources from its own funding.

*NOTE: “cost or pricing data” as defined in FAR Subpart 15.4 shall be required if the proposer is seeking a procurement contract award of \$650,000 or greater unless the proposer requests an exception from the requirement to submit cost or pricing data. “Cost or pricing data” are not required if the proposer proposes an award instrument other than a procurement contract (e.g., a grant, cooperative agreement, or other transaction.) Those proposing a grant or cooperative agreement may follow/use the application instructions/form templates (i.e., DARPA BAA Form Package) provided as part of the BAA posting to grants.gov; however, the costing details requested above should be provided to the maximum extent possible.*

*NOTE: The FY2008 Defense Appropriations Act caps indirect cost rates for any procurement contract, grant or agreement using 6.1 Basic Research FY08 Funding at 35% of the total cost of the award. Total costs include all bottom line costs. Indirect costs are all costs of a prime award that are Facilities and Administration costs (for awardees subject to the cost principles in 2 CFR part 220) or indirect costs (for awardees subject to the cost principles in 2 CFR part 225 or 230 or 48 CFR part 32). If DARPA anticipates using 6.1 funding for this effort, the Contractor must be made aware that total negotiated indirect cost rates may not exceed 35% of the total cost of the award. The cost limitations do not flow down to subcontractors. The original text of the Act can be found at Department of Defense Appropriations Act of 2008, Pub. L. No. 110-116, §8115,*

*[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=110\\_cong\\_public\\_laws&docid=f:publ116.110](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=110_cong_public_laws&docid=f:publ116.110)*

All proposers requesting an 845 Other Transaction Agreement for Prototypes (OTA) must include a detailed list of payment milestones. Each such payment milestone must include the following: milestone description, exit criteria, due date, milestone payment amount (to include, if cost share is proposed, contractor and government share amounts). It is noted that, at a minimum, such payable milestones should relate directly to accomplishment of program technical go/no-go criteria as defined in the BAA and/or the proposer's proposal. Agreement type, fixed price or expenditure based, will be subject to negotiation by the Agreements Officer; however, it is noted that the Government prefers use of fixed price payable milestones to the maximum extent possible. Do not include proprietary data. If the proposer requests award of an 845 OTA as a nontraditional defense contractor, as so defined in the OSD guide entitled "Other Transactions (OT) Guide For Prototype Projects" dtd January 2001 (as amended)([http://www.dau.mil/pubs/Online\\_Pubs.asp](http://www.dau.mil/pubs/Online_Pubs.asp)), information must be included in the cost proposal to support the claim. Additionally, if the proposer plans requests award of an 845 OTA, without the required one-third (1/3) cost share, information must be included in the cost proposal supporting that there is at least one non-traditional defense contractor participating to a significant extent in the proposed prototype project.

### **C. Submission Dates and Times**

#### **1. Proposal Abstract Date**

The proposal abstract must be submitted to DARPA/MTO, 3701 Fairfax Drive, Arlington, VA 22203-1714 (Attn.: DARPA-BAA-08-59) on or before **12:00 p.m.**, local time (EASTERN), **Thursday, October 23, 2008**. Proposal abstracts received after this time and date may not be reviewed.

#### **2. Full Proposal Date**

The full proposal must be submitted to DARPA/MTO, 3701 North Fairfax Drive, Arlington, VA 22203-1714 (Attn.: DARPA-BAA-08-59) on or before **12:00 p.m.**, local time (EASTERN), **Thursday, December 18, 2008** in order to be considered during the initial round of selections; however, proposals received after this deadline may be received and evaluated up to one year from date of posting on FedBizOpps. Full proposals submitted after the due date specified in the BAA or due date otherwise specified by DARPA after review of proposal abstracts may be selected contingent upon the availability of funds.

DARPA will post a consolidated Question and Answer responses on the following website (<http://www.darpa.mil/mto/solicitations>), before final full proposals are due. In order to receive a response to your question, submit your question to the [BAA08-59@darpa.mil](mailto:BAA08-59@darpa.mil).

The full proposal must be submitted in time to reach DARPA by **12:00 p.m.**, local time (EASTERN), **Thursday, December 18, 2008** (initial closing), in order to be considered during the initial evaluation phase; however, DARPA-BAA-08-59 will remain open until September 8, 2009. Proposals may be submitted at any time from issuance of this announcement through September 8, 2009; however, proposers are warned that the

likelihood of funding is greatly reduced for proposals submitted after the initial closing date deadline.

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

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

**D. Intergovernmental Review (if applicable)**

“Not Applicable.”

**E. Funding Restrictions**

*The FY2008 Defense Appropriations Act caps indirect cost rates for any procurement contract, grant or agreement using 6.1 Basic Research FY08 Funding at 35% of the total cost of the award. Total costs include all bottom line costs. Indirect costs are all costs of a prime award that are Facilities and Administration costs (for awardees subject to the cost principles in 2 CFR part 220) or indirect costs (for awardees subject to the cost principles in 2 CFR part 225 or 230 or 48 CFR part 32). If DARPA anticipates using 6.1 funding for this effort, the Contractor must be made aware that total negotiated indirect cost rates may not exceed 35% of the total cost of the award. The cost limitations do not flow down to subcontractors. The original text of the Act can be found at Department of Defense Appropriations Act of 2008, Pub. L. No. 110-116, §8115, [http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=110\\_cong\\_public\\_laws&docid=f:publ116.110](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=110_cong_public_laws&docid=f:publ116.110).*

**F. Other Submission Requirements: N/A**

**V. APPLICATION REVIEW INFORMATION**

**A. Evaluation Criteria**

Evaluation of proposals will be accomplished through a scientific/technical review of each proposal using the following criteria, in order of descending importance: (a) Ability to meet Program Go/No-Go Metrics; (b) Overall Scientific and Technical Merit; (c) Potential Contribution and Relevance to the DARPA Mission; (d) Realism of Proposed Schedule; (e) Proposer’s Capabilities and/or Related Experience; (f) Plans and Capability to Accomplish Technology Transition; and (g) Cost Realism. Proposals will not be evaluated against each other since they are not submitted in accordance with a common work statement. DARPA’s intent is to review proposals as soon as possible after they arrive; however, proposals may be reviewed periodically for administrative reasons. The following are descriptions of the above listed criteria:

**(a) Ability to meet program Goals**

The feasibility and likelihood of the proposed approach for satisfying the program goals metrics are explicitly described and clearly substantiated. The proposal reflects a mature and quantitative understanding of the program goals, the statistical confidence with which they may be measured, and their relationship to the concept of operations that will result from successful performance in the program.

**(b) Overall Scientific and Technical Merit**

The proposed technical approach is feasible, achievable, complete and supported by a proposed technical team that has the expertise and experience to accomplish the proposed tasks. Task descriptions and associated technical elements provided are complete and in a logical sequence with all proposed deliverables clearly defined such that a final product 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.

**(c) Potential Contribution and Relevance to the DARPA Mission**

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

**(d) Realism of Proposed Schedule**

The proposer's abilities to aggressively pursue performance metrics in the shortest timeframe and to accurately account for that timeframe will be evaluated, as well as proposer's ability to understand, identify, and mitigate any potential risk in schedule.

**(e) Proposer's Capabilities and/or Related Experience**

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

**(f) Plans and Capability to Accomplish Technology Transition**

The capability to transition the technology to the research, industrial, and operational military communities in such a way as to enhance U.S. defense, and the extent to which intellectual property rights limitations creates a barrier to technology transition.

**(g) Cost Realism**

The objective of this criterion is to establish that the proposed costs are realistic for the technical and management approach offered, as well as to determine the proposer's practical understanding of the effort. This will be principally measured by cost per labor-hour and number of labor-hours proposed. The evaluation criterion recognize 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. Cost reduction approaches that will be received favorably include innovative management concepts that maximize direct funding for technology and limit diversion of funds into overhead.

After selection and before award the contracting officer will negotiate cost/price reasonableness.

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

**NOTE: PROPOSERS ARE CAUTIONED THAT EVALUATION RATINGS MAY BE LOWERED AND/OR PROPOSALS REJECTED IF SUBMITTAL INSTRUCTIONS ARE NOT FOLLOWED.**

## **B. Review and Recommendation Process**

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

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

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

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

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

## **VI. AWARD ADMINISTRATION INFORMATION**

### **A. Award Notices**

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

### **B. Administrative and National Policy Requirements**

#### **1. Security**

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

The Government anticipates that proposals submitted under this BAA will be unclassified. In the event that a proposer chooses to submit a classified proposal or submit any documentation that may be classified, the following information is applicable.

Security classification guidance on a DD Form 254 will not be provided at this time since DARPA is soliciting ideas only. After reviewing the incoming proposals, if a determination is made that the award instrument may result in access to classified information, a DD Form 254 will be issued and attached as part of the award. Proposers choosing to submit a classified proposal must first receive permission from the Original Classification Authority to use their information in replying to this BAA. Applicable classification guide(s) should be submitted to ensure that the proposal is protected appropriately.

Classified submissions shall be in accordance with the following guidance:

**Collateral Classified Information:** Use classification and marking guidance provided by previously issued security classification guides, the Information Security Regulation (DoD 5200.1-R), and the National Industrial Security Program Operating Manual (DoD 5220.22-M) when marking and transmitting information previously classified by another original classification authority. Classified information at the Confidential and Secret level may only be mailed via U.S. Postal Service (USPS) Registered Mail or U.S. Postal Service Express Mail. All classified information will be enclosed in opaque inner and outer covers and double wrapped. The inner envelope shall be sealed

and plainly marked with the assigned classification and addresses of both sender and addressee. The inner envelope shall be address to:

Defense Advanced Research Projects Agency  
ATTN: (MTO)  
Reference: (BAA 08-59)  
3701 North Fairfax Drive  
Arlington, VA 22203-1714

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

Defense Advanced Research Projects Agency  
Security & Intelligence Directorate, Attn: CDR  
3701 North Fairfax Drive  
Arlington, VA 22203-1714

All Top Secret materials should be hand carried via an authorized, two-person courier team to the DARPA CDR.

**Special Access Program (SAP) Information:** Contact the DARPA Special Access Program Central Office (SAPCO) 703-526-4052 for further guidance and instructions prior to transmitting SAP information to DARPA. Top Secret SAP, must be transmitted via approved methods for such material. Consult the DoD Overprint to the National Industrial Security Program Operating Manual for further guidance. *Prior to transmitting SAP material*, it is strongly recommended that you coordinate your submission with the DARPA SAPCO.

**Sensitive Compartmented Information (SCI) Data:** Contact the DARPA Special Security Office (SSO) at 703-812-1994/1984 for the correct SCI courier address and instructions. All SCI should be transmitted through your servicing Special Security Officer (SSO). SCI data must be transmitted through SCI channels only (i.e., approved SCI Facility to SCI facility via secure fax).

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

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

destruction may be requested, provided that the formal request is received at this office within 5 days after unsuccessful notification.

**2. Intellectual Property**

**a. Procurement Contract Proposers**

**i. Noncommercial Items (Technical Data and Computer Software)**

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

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

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

**ii. Commercial Items (Technical Data and Computer Software)**

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

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

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

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

Proposers responding to this BAA requesting a Grant, Cooperative Agreement, Technology Investment Agreement, or Other Transaction for Prototype shall follow the applicable rules and regulations governing these various award instruments, but in all cases should appropriately identify any potential restrictions on the Government’s use of any Intellectual Property contemplated under those award instruments in question. This includes both Noncommercial Items and Commercial Items. Although not required, proposers may use a format similar to that described in Paragraphs 1.a and 1.b above. The Government may use the list during the source selection evaluation process to evaluate the impact of any identified restrictions, and may request additional information from the proposer, as may be necessary, to evaluate the proposer’s assertions. If no restrictions are intended, then the proposer should state “NONE.”

**c. All Proposers – Patents**

Include documentation proving your ownership of or possession of appropriate licensing rights to all patented inventions (or inventions for which a patent application has been filed) that will be utilized under your proposal for the DARPA program. If a patent application has been filed for an invention that your proposal utilizes, but the application

has not yet been made publicly available and contains proprietary information, you may provide only the patent number, inventor name(s), assignee names (if any), filing date, filing date of any related provisional application, and a summary of the patent title, together with either: 1) a representation that you own the invention, or 2) proof of possession of appropriate licensing rights in the invention.

#### **d. All Proposers – Intellectual Property Representations**

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

### **3. Meeting and Travel Requirements**

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

### **4. Human Use**

All research involving human subjects, to include use of human biological specimens and human data, selected for funding must comply with the federal regulations for human subject protection. Further, research involving human subjects that is conducted or supported by the DoD must comply with 32 CFR 219, *Protection of Human Subjects* (<http://www.dtic.mil/biosys/downloads/32cfr219.pdf>), and DoD Directive 3216.02, *Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research* (<http://www.dtic.mil/whs/directives/corres/html2/d32162x.htm>).

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

For all proposed research that will involve human subjects in the first year or phase of the project, the institution must provide evidence of or a plan for review by an Institutional Review Board (IRB) upon final proposal submission to DARPA. The IRB conducting the review must be the IRB identified on the institution's Assurance. The protocol, separate from the proposal, must include a detailed description of the research plan, study population, risks and benefits of study participation, recruitment and consent process, data collection, and data analysis. Consult the designated IRB for guidance on writing the protocol. The informed consent document must comply with federal regulations (32

CFR 219.116). A valid Assurance along with evidence of appropriate training all investigators should all accompany the protocol for review by the IRB.

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

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

## **5. Animal Use**

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

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

All Recipients must receive approval by a DoD certified veterinarian, in addition to an IACUC approval. No animal studies may be conducted using DoD/DARPA funding until the USAMRMC Animal Care and Use Review Office (ACURO) or other appropriate DoD veterinary office(s) grant approval. As a part of this secondary review process, the Recipient will be required to complete and submit an ACURO Animal Use Appendix, which may be found at <https://mrmc.amedd.army.mil/AnimalAppendix.asp>

## **6. Publication Approval**

Proposers are advised if they propose grants or cooperative agreements, DARPA may elect to award other award instruments. DARPA will make this election if it determines that the research resulting from the proposed program will present a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense. Any award resulting from such a determination

will include a requirement for DARPA permission before publishing any information or results on the program.

The following provision will be incorporated into any resultant procurement contract or other transaction:

When submitting material for written approval for open publication, the Contractor/Awardee must submit a request for public release to the DARPA TIO and include the following information: 1) Document Information: document title, document author, short plain-language description of technology discussed in the material (approx. 30 words), number of pages (or minutes of video) and document type (briefing, report, abstract, article, or paper); 2) Event Information: event type (conference, principle investigator meeting, article or paper), event date, desired date for DARPA's approval; 3) DARPA Sponsor: DARPA Program Manager, DARPA office, and contract number; and 4) Contractor/Awardee's Information: POC name, e-mail and phone. Allow four weeks for processing; due dates under four weeks require a justification. Unusual electronic file formats may require additional processing time. Requests can be sent either via e-mail to [tio@darpa.mil](mailto:tio@darpa.mil) or via 3701 North Fairfax Drive, Arlington VA 22203-1714, telephone (571) 218-4235. Refer to [www.darpa.mil/tio](http://www.darpa.mil/tio) for information about DARPA's public release process.

## **7. Export Control**

Should this project develop beyond fundamental research (basic and applied research ordinarily published and shared broadly within the scientific community) with military or dual-use applications the following apply:

(1) The Contractor shall comply with all U. S. export control laws and regulations, including the International Traffic in Arms Regulations (ITAR), 22 CFR Parts 120 through 130, and the Export Administration Regulations (EAR), 15 CFR Parts 730 through 799, in the performance of this contract. In the absence of available license exemptions/exceptions, the Contractor shall be responsible for obtaining the appropriate licenses or other approvals, if required, for exports of (including deemed exports) hardware, technical data, and software, or for the provision of technical assistance.

(2) The Contractor shall be responsible for obtaining export licenses, if required, before utilizing foreign persons in the performance of this contract, including instances where the work is to be performed on-site at any Government installation (whether in or outside the United States), where the foreign person will have access to export-controlled technologies, including technical data or software.

(3) The Contractor shall be responsible for all regulatory record keeping requirements associated with the use of licenses and license exemptions/exceptions.

(4) The Contractor shall be responsible for ensuring that the provisions of this clause apply to its subcontractors.

## **8. Subcontracting**

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

### **C. Reporting**

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

#### **1. Central Contractor Registration (CCR)**

Selected proposers not already registered in the Central Contractor Registry (CCR) will be required to register in CCR prior to any award under this BAA. Information on CCR registration is available at <http://www.ccr.gov>.

#### **2. Representations and Certifications**

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

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

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

## **VII. AGENCY CONTACTS**

Email is a preferred method of communication.

Administrative, technical or contractual questions should be sent via e-mail to [baa08-59@darpa.mil](mailto:baa08-59@darpa.mil). All requests must include the name, email address, and phone number of a point of contact.

The technical POC for this effort is Dr. Tom Kenny, electronic mail: [baa08-59@darpa.mil](mailto:baa08-59@darpa.mil).

DARPA/MTO

ATTN: DARPA-BAA-08-59

3701 North Fairfax Drive

Arlington, VA 22203-1714

The T-FIMS POCs for this effort are: Phil Kay, Steven Bergquist, or Mary Jacobs electronic mail: [baa08-59@darpa.mil](mailto:baa08-59@darpa.mil). You may also call (703) 351-8700 and ask the receptionist to speak with one of them.