



Broad Agency Announcement
Hydra
Tactical Technology Office (TTO)
DARPA-BAA-13-39
August 22, 2013

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Part One: Overview Information

- **Federal Agency Name** – Defense Advanced Research Projects Agency (DARPA), Tactical Technology Office (TTO)
- **Funding Opportunity Title** – Hydra
- **Announcement Type** – Broad Agency Announcement (BAA) – Initial Announcement
- **Funding Opportunity Number** – DARPA-BAA-13-39
- **Catalog of Federal Domestic Assistance Numbers (CFDA)** –Not Applicable
- **Dates**
 - Posting Date: August 22, 2013
 - Proposers' Day: August 5, 2013
 - Deadline to Submit Questions: September 16, 2013
 - Deadline to Request Copies of the Classified and Export Controlled Annexes: September 26, 2013
 - Proposal Due Date: October 22, 2013
- **Types of instruments that may be awarded** – Procurement contract or 845 Other Transaction (OT) for Prototype agreement
- **No cost sharing is required for this BAA** – See Section 3.3.
- **Agency contact**
 - Technical Point of Contact (POC)
 - Mr. Scott Littlefield, DARPA/TTO
 - Contracting POC
 - Mr. Chris Glista, DARPA/CMO

DARPA/TTO
ATTN: DARPA-BAA-13-39
675 North Randolph Street
Arlington, VA 22203-2114
E-mail: DARPA-BAA-13-39@darpa.mil
- **Other** – Annexes containing additional export controlled and classified information are available upon request as described in Section 4.1.1 of Part Two of this announcement.

Part Two: Full Text of Announcement

1.0 FUNDING OPPORTUNITY DESCRIPTION

The Defense Advanced Research Projects Agency often selects its research efforts through the Broad Agency Announcement (BAA) process. This BAA is being issued, and any resultant selection will be made, using procedures under Federal Acquisition Regulation (FAR) 35.016. Any negotiations and/or awards will use procedures under FAR 15.4, Contract Pricing, as specified in the BAA (including 845 Other Transaction for Prototype Agreements). Proposals received as a result of this BAA shall be evaluated in accordance with evaluation criteria specified herein through a scientific review process.

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

1.1 Program Vision

The Hydra program will develop and demonstrate an unmanned undersea system, providing a novel delivery mechanism for insertion of unmanned air and underwater vehicles into operational environments. Situated underwater, Hydra will use modular payloads within a standardized enclosure to enable scalable, cost-effective deployment of rapid response assets and will integrate existing and emerging technologies in new ways to create an alternate means of delivering a variety of payloads close to the point of use. The Hydra program seeks to develop and demonstrate initial examples of air and undersea payloads while leaving open the potential for accommodating additional payloads in the future.

The rising number of ungoverned states, piracy, and proliferation of sophisticated defenses severely stretches current resources and impacts the nation's ability to conduct special operations and contingency missions. The Hydra program represents a cost effective way to add undersea capacity that can be tailored to support each mission. Hydra's communications suite could allow synergistic function with manned platforms, thus increasing their effectiveness, or could allow remote control from over-the-horizon. Technologies are intended to be adaptable to multiple delivery options, including airborne, surface, and subsurface. The Hydra program will enable other new capabilities not currently performed from undersea.

1.2 Program Overview

The DARPA Hydra program seeks to leverage mature and emerging component technologies to cost-effectively develop a new undersea launch platform with modular payloads, including air vehicle and undersea vehicle payloads. Early tests and demonstrations of individual high-risk components/systems will take place before committing to a specific full-system approach. Component and system testing is desired to be conducted throughout the program to evaluate and refine technologies prior to operational demonstrations of the air vehicle and undersea payloads. DARPA seeks innovative proposals in the following areas of interest:

Technical Area 1: Modular Enclosure

DARPA seeks innovative proposals under this area to design and develop a modular enclosure suitable for hosting Hydra payloads. The modular enclosure will provide the means to transport, house and launch various payloads and will serve as a payload agnostic “mission truck” that will provide basic services and support to the payload module and individual payloads. The modular enclosure is desired to operate in the littorals for extended periods of time. The internal components shall be modular and able to be reconfigured to enable rapid integration of multiple types of payloads and maximize the space available for emerging payloads. The service and support should be scalable based on the mission with standard interfaces established to accommodate different payloads requirements.

Key sub-components are expected to include the modular enclosure structure, ballast system, energy, communications, command and control, propulsion, internal modularity suitable to accommodate different payload requirements, and measures for long-duration submerged persistence. The modular enclosure will have a ballast system for controlled descent and ascent and sufficient energy on board to enable all modular enclosure support operations, including a limited ability for self-propulsion to maneuver and position itself for increased deployment flexibility. It is desired to execute the associated payload missions without surfacing and be able to operate undersea for the entire mission while maintaining command and control connectivity via flexible, multi-modal communications. The modular enclosure is also expected to operate with a high degree of autonomy, managing control for all internal modular enclosure functions and preparation of the payloads for mission execution.

Technical Area 1 will also oversee development of interface control specifications and documentation to ensure compatibility with internal payloads and external delivery systems. More information is available regarding specific technical goals in the export controlled annex (see Section 4.1.1, “Classified and Export Controlled Annexes,” for instructions on obtaining the classified and export controlled annexes).

Technical Area 2: Air Vehicle Payload

DARPA seeks innovative proposals under this area to design and develop an above-water payload suitable for launch from the modular enclosure while demonstrating the military utility of the Hydra concept. The Air Vehicle Payload is envisioned to consist of individually encapsulated air vehicles within a module that fits into the standard Hydra modular enclosure. The Air Vehicle Payload relies on the Hydra modular enclosure to provide a stable undersea platform, communications while submerged, and buoyancy. The air vehicle payload module would house, maintain, initialize and release individual encapsulated air vehicles upon external cueing. The encapsulated air vehicles are expected to be ejected from the modular enclosure, float to the surface, launch, fly a minimum range and conduct one or more of the missions described in the classified and export controlled annexes (see Section 4.1.1, “Classified and Export Controlled Annexes,” for instructions on obtaining the classified and/or export controlled annexes). DARPA seeks Technical Area 2 proposals that reduce cost and risk by leveraging an existing air vehicle, modifying an existing air vehicle or otherwise maximizing the use of existing components. Additional innovative air vehicle payloads not described in the classified and export controlled annexes will be considered under this technical area.

Technical Area 3: Undersea Payload

DARPA seeks innovative proposals under this area to design and develop a below-water payload suitable for use from the DARPA-funded modular enclosure while demonstrating the military utility of the Hydra concept. The Undersea Payload is envisioned to consist of an undersea payload module that fits into the modular enclosure with a small number of standard undersea vehicles suitable for one or more of the missions described in the export controlled annex (see Section 4.1.1, “Classified and Export Controlled Annexes,” for instructions on obtaining the classified and/or export controlled annexes). In contrast to the air vehicle payload, less emphasis is placed on individual missions for the undersea vehicle. Rather, the Hydra focus will be on safely transporting existing undersea vehicles, providing the required energy for long endurance, efficiently transferring energy, transferring and transmitting collected information, and launching and docking the vehicles. The modular enclosure is expected to provide a stable undersea platform, communications, and buoyancy. Key elements of the undersea payload are expected to include providing onboard air-independent energy for recharging undersea vehicles, launching and docking vehicles, downloading vehicle data, and transmitting required information to a command and control center via the modular enclosure. DARPA seeks Technical Area 3 proposals that reduce cost and risk by leveraging an existing vehicle, modifying an existing vehicle, or otherwise maximizing the use of existing components. Additional innovative undersea payloads suitable for missions not described in the export controlled annex will be considered under this technical area.

Technical Area 4: Overall System Concepts of Operation

DARPA seeks innovative proposals under this area to develop concepts of operation or conduct architecture studies related to the overall Hydra system. Examples include the development of innovative concepts for Hydra deployment and retrieval using subsurface craft and tactical air transport aircraft; identification of preferred command, control, and communications architectures which most seamlessly integrate into existing battle management systems; and evaluation of the operational impact of the Hydra above water and undersea payloads and other alternative payloads.

Technical Area 5: Supporting Technologies

DARPA seeks innovative proposals under this area to explore various supporting technologies for the Hydra concept. One or more capabilities addressing key technical risks are sought for study and/or development with proof-of-concept demonstration. An example of a relevant technology is the development of approaches for high efficiency recharging of undersea vehicles, since this directly impacts the quantity of energy storage required for a given mission. Additional innovative technical studies or proof-of-concept demonstrations will be considered under this technical area.

1.3 Program Plan

Hydra will be conducted in three phases. The initial phase will define concepts, develop component capabilities and reduce subsystem risks with one or more contracts awarded in each

of the technical areas. The subsequent phases will involve the completion of development, field testing components, integrating those components into a full system, and conducting operational demonstrations of the various capabilities.

This BAA solicits firm proposals for Phase 1 only. Approximately six months prior to completion of Phase 1, the performer(s) for the various Technical Areas will be invited to submit updated proposals for Phases 2 and 3. Detailed proposal guidance will be provided at this point. The decision to proceed into future phases depends on the quality of performance during Phase 1, the quality of the Phases 2 and 3 proposal, as well as the availability of funds.

Although this BAA solicits firm proposals for Phase 1 only, a preliminary statement of work (SOW), schedule, and rough order of magnitude (ROM) program cost for Phases 2 and 3 are also required to facilitate DARPA's understanding of the scope of the program of the proposer. It is understood that these will be anticipatory and preliminary in quality.

Proposers should be advised that some aspects of the Hydra development effort may be classified. Please see the DARPA security classification guidance specific to this effort, which is included in the export controlled annex. Additional technical performance goals for each phase are also described in the classified and export controlled annexes (see Section 4.1.1, "Classified and Export Controlled Annexes," for instructions on obtaining the classified and export controlled annexes).

Phase 1: Design and Technology Demonstration

This phase is eighteen (18) months long, although study efforts should seek to be completed within twelve (12) months. One or more awards may be made in each of the technical areas, although DARPA reserves the right to make no awards in a given technical area. Proposers may offer proposals for multiple technical areas, but each technical area should be addressed by a single, independent proposal. Proposals addressing Technical Areas 1, 2, or 3 should plan to conduct a Preliminary Design Review (PDR) at approximately twelve (12) months after award. In parallel, Technical Areas 1, 2, and 3 should demonstrate the associated high risk technologies in a relevant environment prior to the completion of this phase.

Technical Area 1: DARPA seeks 18-month design and risk reduction efforts to develop a modular enclosure system with the ability to submerge, attain a stable position undersea, communicate, provide energy to a payload, convey commands to the payload, and surface for retrieval. The modular enclosure components shall be designed for survival for an extended period of time as described in the export controlled annex (see Section 4.1.1, "Classified and Export Controlled Annexes," for instructions on obtaining the classified and export controlled annexes). Proposed efforts should also, through subsystem tests and demonstrations, reduce the technical risks associated with areas identified by the proposer as high risk, such as ballast; energy storage; or command, control, and communications systems. Technical Area 1 proposals should include efforts to oversee the development, in cooperation with payload developers, of an Interface Control Document (ICD) and specification to standardize the modular enclosure-to-payload interface while allowing reconfiguration of the modular enclosure to accommodate a variety of payloads. The goal for completion of this ICD is twelve (12)

months after award. In addition, proposals in this technical area should develop the requirements for ship-based launch and recovery of the modular enclosure.

Technical Area 2: DARPA seeks 18-month design and risk reduction efforts to develop an air vehicle module system and associated air vehicle. This effort shall demonstrate and reduce the technical risks associated with the release of a payload capsule from depth upon command, the launch of an air vehicle from the surfaced capsule, and the transition of the air vehicle to stable flight. The Phase 1 effort should also address other areas identified by the proposer as high risk. Technical Area 2 proposals should also include an effort to develop the modular enclosure-to-payload ICD in cooperation with the modular enclosure developer.

Technical Area 3: DARPA seeks 18-month design and risk reduction efforts to develop the undersea payload module and reduce associated risks. As applicable to the mission, the undersea payload module will have the ability to host multiple undersea vehicles, launch and recover vehicles, recharge vehicles, and download data from the vehicles reliably over multiple sorties for multiple weeks of operation, with a growth path toward an operational mission. Risk reduction efforts that demonstrate autonomous docking, charging, energy storage, and data transfer and/or any other risk areas identified by the proposer should be included. Technical Area 3 proposals should also include an effort to develop the modular enclosure-to-payload ICD in cooperation with the modular enclosure developer.

Technical Area 4: DARPA seeks 12-month study efforts to investigate concepts of operation related to the overall Hydra concept, such as deployment and retrieval using a variety of platforms. Proposed efforts in this technical area should include sufficient level of engineering detail to confirm technical feasibility and identify needs for further technical development and testing.

Technical Area 5: DARPA seeks 12- to 18-month efforts to study and/or demonstrate aspects of particular technologies that are applicable to Hydra in a relevant environment. Study efforts are desired to be no longer than twelve (12) months long, whereas efforts which include prototyping or concept demonstration may use the full 18-month period if desired.

Phase 2: Integration and Component Demonstrations

This phase is twenty-four (24) months for Technical Areas 1 and 3, but may be as long as thirty (30) months for Technical Area 2. Phase 2 includes system development, integration, and tests of the complete modular enclosure, air vehicle payload and undersea payload modules. A single modular enclosure developer will be selected and will continue to oversee coordination of the modular enclosure-to-payload interface. Additional payload modules may be developed separately from the Phase 1 effort and obtained by the modular enclosure developer either as Government furnished equipment (GFE) or Contractor Acquired Property (CAP) conforming to the ICD established in Phase 1. Proposers should plan to hold incremental risk reduction tests and demonstrations and associated design reviews prior to the final Phase 2 demonstration. Success criteria and metrics for each completed module include:

Technical Area 1: The proposed effort shall include fabrication of the complete modular enclosure and the performance of tests in a relevant ocean environment, including submergence for a period of time and demonstration of command, control, and communications capabilities. The proposer should demonstrate a growth path to longer endurance missions depending on mission energy intensity and analysis of submerged persistence capability. The effort shall include hardware tests which demonstrate that the integration requirements with the air and undersea payloads can be met. The fabrication of two modular enclosures shall be planned, one for each technical area and associated planned payload. These modular enclosures should be available to the Technical Area 2 and 3 performers by approximately twelve (12) months after the start of Phase 2. The Technical Area 1 performer is also responsible for continuing to manage the modular enclosure-to-payload interface developed in Phase 1.

Technical Area 2: The proposed effort shall include the fabrication of a complete air vehicle payload module which contains multiple encapsulated air vehicles and interfaces with the modular enclosure. The proposer should demonstrate an end-to-end mission from maximum depth, including capsule release, air vehicle launch, fly out, communications, and mission sensing, although not necessarily in the final modular enclosure-integrated module form factor. The Technical Area 2 performer will also need to cooperate with the Technical Area 1 performer in resolving interface issues.

Technical Area 3: The proposed effort shall include the fabrication of a complete undersea payload module that contains multiple undersea vehicles and interfaces with the modular enclosure module. The proposer should demonstrate the entire module from maximum depth, including energy storage suitable for the DARPA demonstration. The effort should involve executing simulated missions that include multiple undersea vehicle deployments, recharges, and data transfer via the modular enclosure (if applicable) to a remote user at relevant search rates and data transfer capacity. The Technical Area 3 performer will also need to cooperate with the Technical Area 1 performer in resolving interface issues.

Technical Area 4: The proposed effort shall include the demonstration of key technology elements of the alternative CONOPS, deployment mechanism, and/or alternative payload conceptualized in Phase 1, and development of an end-to-end preliminary design for system level implementation of the Phase 1 concept.

Technical Area 5: The proposed effort shall include the demonstration of the technology developed or studied in Phase 1 in a representative environment at a sufficient level of maturity to enable future integration into the Hydra system.

Phase 3: Final Demonstrations

Technical Areas 1, 2, and 3: This phase is twelve (12) months and is a cooperative effort with potential transition customers. This effort should incorporate component fixes and lessons learned from Phase 2. The first six (6) months (Phase 3a) are focused on demonstration of the undersea payload and the second six (6) months are focused on demonstration of the air vehicle payload. Proposers shall assume that one air vehicle payload and one undersea vehicle payload will be demonstrated within the scope of

Phase 3, and that at least two modular enclosure prototypes will be needed to support both payloads concurrently. The modular enclosure developer, with support from other performers, will develop, demonstrate and test a complete end-to-end system concept in a realistic environment for each payload, including integration of the Hydra system within a relevant command and control construct. Proposers should also plan to participate in a fleet experiment to show full Hydra capabilities in an operational scenario, cooperative with manned ships and aircraft, and with extensive involvement by fleet operators. The proposed effort should include the documentation of operational lessons learned and interactions necessary to transition the system to an acquisition customer.

Technical Area 4: The proposed effort shall include an integrated demonstration of key aspects of the alternative CONOPS, deployment mechanism, and/or alternative payload in a representative environment, integrated to the extent possible with the operational demonstration of the overall Hydra system.

Technical Area 5: The proposed effort shall include the demonstration of the technology developed or studied in Phase 1 in a realistic operational environment, integrated to the extent possible with the operational demonstration of the overall Hydra system.

A baseline program schedule is shown in Figure 1. Details of risk reduction tests and Phase 2-3 milestone placement are left to the discretion of the proposer.

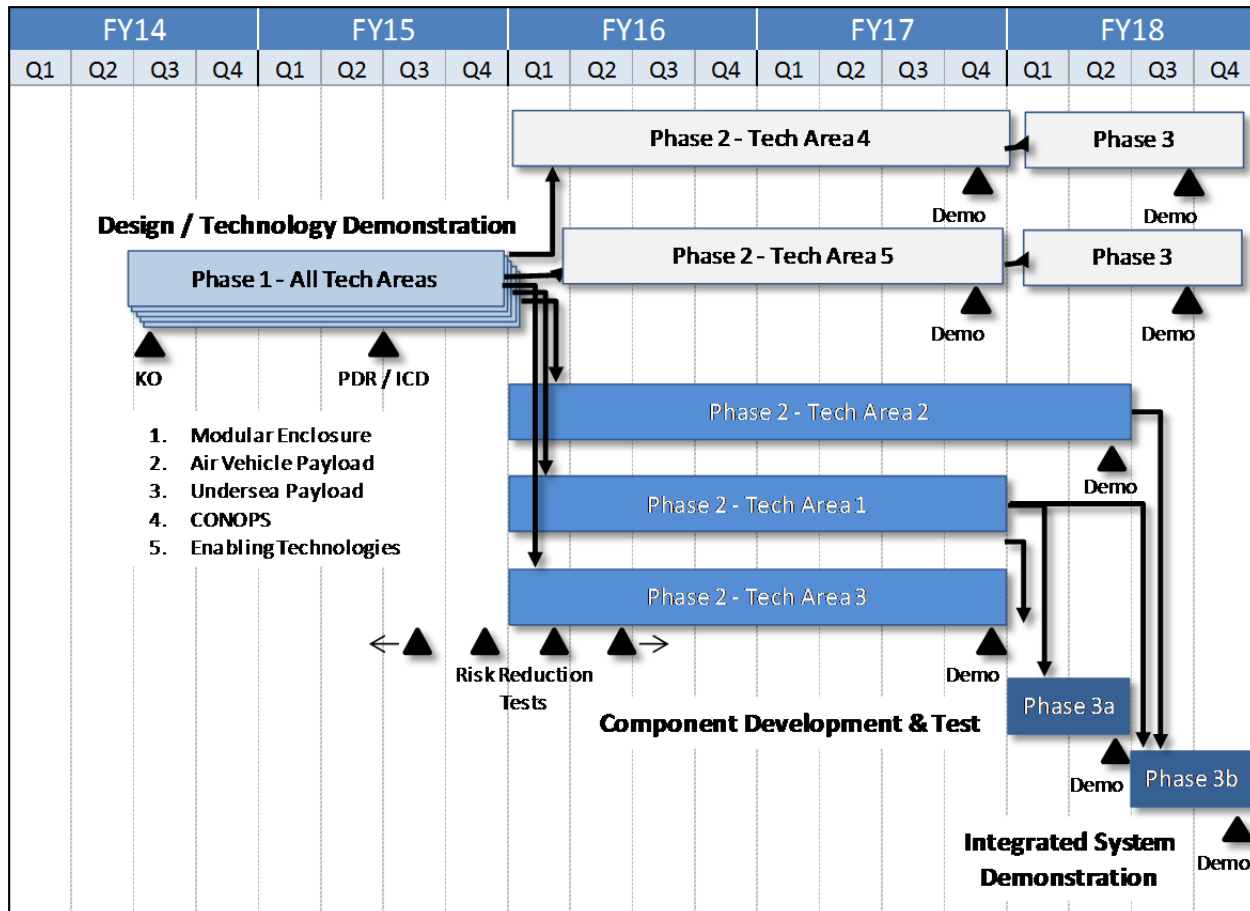


Figure 1. Baseline Hydra Program Schedule

2.0 AWARD INFORMATION

One or two Phase 1 awards are anticipated for Technical Areas 2 and 3. One Phase 1 award is anticipated for Technical Area 1, although two awards are possible. Multiple awards are possible for Technical Areas 4 and 5. The amount of resources made available under this BAA will depend on the quality of the proposals received and the availability of funds. Study efforts (under Technical Areas 4 or 5) are expected to be allocated no more than approximately \$300,000 to \$500,000 per award.

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

Awards under this BAA will be made to proposers on the basis of the evaluation criteria listed below (see Section 5.0, "Application Review Information"), and program balance to provide overall value to the Government. The Government reserves the right to request any additional, necessary documentation once it makes the award instrument determination. Such additional information may include but is not limited to Representations and Certifications. The Government reserves the right to remove proposers from award consideration should the parties fail to reach agreement on award terms, conditions and cost/price within a reasonable time or the proposer fails to provide requested additional information in a timely manner. Proposals identified for negotiation may result in a procurement contract or other transaction agreement depending upon the nature of the work proposed, the required degree of interaction between parties, whether or not the research is classified as Fundamental Research, and other factors.

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

Fundamental Research

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

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

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

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

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

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

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

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

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

http://www.darpa.mil/NewsEvents/Public_Release_Center/Public_Release_Center.aspx.

3.0 ELIGIBILITY INFORMATION

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

3.1 Eligible Applicants

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

All proposers are expected to address transition (see Section 4.2.3, "Proposal Format,"); transition is part of the evaluation criteria in section (see Section 5.1, "Evaluation Criteria"). However, given their special status, FFRDCs should describe how and when a proposed technology/system will transition to which Non-FFRDC organization(s).

3. Due to security requirements associated with Hydra, only U.S. entities who are capable of receiving, processing, and storing export controlled and classified information associated with this effort are eligible for awards under Technical Areas 1, 2, 3, or 4. Foreign participants and/or individuals are eligible for awards under Technical Area 5 or may participate as subcontractors or consultants in the other technical areas to the extent that such participants comply with any necessary non-disclosure agreements, security regulations, export control laws, International Traffic in Arms Regulations (ITAR), and other governing statutes applicable under the circumstances. Since DARPA does not intend to provide classified or export controlled data to any international participants, Proposers are

reminded that implementation of applicable agreements and licenses is the responsibility of the proposer.

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

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

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

If a prospective proposer believes a conflict of interest exists or may exist (whether organizational or otherwise) or has questions on what constitutes a conflict of interest, the proposer should send his/her contact information and a summary of the potential conflict to the BAA mailbox, DARPA-BAA-13-39@darpa.mil, before time and effort are expended in preparing a proposal and mitigation plan.

3.3 Cost Sharing/Matching

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

3.4 Other Eligibility Criteria

3.4.1 Collaborative Efforts

Collaborative efforts/teaming are encouraged. Specific content, communications, networking, and team formation are the sole responsibility of the participants; however, proposers are encouraged to use the Interested Vendors List associated with this solicitation on <http://www.fedbizopps.gov/>.

4.0 APPLICATION AND SUBMISSION INFORMATION

4.1 Address to Request Application Package

This solicitation, including its annexes, contains all information required to submit a proposal. See the section below for instructions on requesting the classified and export controlled annexes. No additional information is available, nor will a formal Request for Proposal (RFP) or additional solicitation regarding this announcement be issued. Requests for the same will be disregarded.

4.1.1 Classified and Export Controlled Annexes

Annexes with classified information at the secret level and export controlled information in support of this BAA can be requested via email to DARPA-BAA-13-39@darpa.mil. Requests for the classified annex, which will include the export controlled annex on a separate disk, should include, at a minimum, the company name, technical POC name and phone number, Facility Security Officer (FSO) name and phone number, CAGE code, statement of facility clearance and safeguarding capability, and a valid address for receiving classified material at the secret level. DARPA will verify the facility clearance and the clearance of the recipient before mailing the classified material.

Proposers authorized to receive export controlled information, but lacking a facility clearance, may request the export controlled annex via email to DARPA-BAA-13-39@darpa.mil. Requests for the export controlled annex alone should include, at a minimum, the company name, technical POC name and phone number, statement acknowledging eligibility to receive export controlled information, address, and proof of citizenship or permanent residency from one of the following: U.S. passport; certified birth certificate issued by the city, county, or state of birth; consular report of birth (of U.S. citizen) abroad or certification of birth; naturalization certificate; certificate of citizenship; or permanent resident card (for permanent residents, also known as a “green card”).

Proposers should allow at least five (5) business days for processing requests for the classified or export controlled annexes plus time for delivery. Requestors of the classified annex

need only submit one request and both annexes will be provided. Requests for this information will not be accepted after September 26, 2013.

4.2 Content and Form of Application Submission

4.2.1 Security and Proprietary Issues

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

The effort being solicited by this BAA involves access to or generation of classified information. Security classification guidance via a DD Form 254, "DoD Contract Security Classification Specification," is provided as an attachment to the BAA.

Proposers choosing to submit a classified proposal from other classified sources must first receive permission from the respective Original Classification Authority in order to use their information in replying to this BAA. Applicable classification guide(s) should also be submitted to ensure the proposal is protected at the appropriate classification level. DARPA security classification guidance specific to this effort will be included in the export controlled annex to this BAA (see Section 4.1.1, "Classified and Export Controlled Annexes," for instructions on requesting the classified and export controlled annexes).

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

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

Classified submissions shall be in accordance with the following guidance:

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

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

OR

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

The inner envelope shall be addressed to:

Defense Advanced Research Projects Agency
ATTN: Tactical Technology Office
Reference: DARPA-BAA-13-39
675 North Randolph Street
Arlington, VA 22203-2114

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

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

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

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

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

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

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

4.2.2 Proposal Submission Information

The typical proposal should express a consolidated effort in support of one or more related technical concepts or ideas. Disjointed efforts should not be included into a single proposal. Proposals may not be submitted by fax or e-mail; any so sent will be disregarded.

Proposers must submit three (3) hardcopies of the full proposal and two (2) electronic copies of the proposal on a CD-ROM or DVD. Each copy must be clearly labeled with DARPA-BAA-13-39, proposer organization, proposal title (short title recommended), and Copy x of 3. Proposals not meeting the format described in the BAA may not be reviewed.

Duplicate electronic copies are preferred in Microsoft Office and Adobe PDF formats, where the PDF copy takes precedence over any discrepancies between the two formats. For each format, a single electronic file should include the entire technical or cost proposal volume (Volume 1 or 2). Volume 1 electronic files should be segregated from Volume 2 electronic files, but they may reside on the same disk if separated by different folders. Each electronic copy should be saved to separate disks.

DARPA intends to use electronic mail for correspondence regarding DARPA-BAA-13-39. All administrative correspondence and questions on this solicitation, including requests for information on how to submit a proposal to this BAA, should be sent via email to DARPA-BAA-13-39@darpa.mil. Proposals may not be submitted by fax or email; any so sent will be disregarded. DARPA encourages use of the Internet for retrieving the BAA and any other related information that may subsequently be provided.

4.2.3 Proposal Format

The proposal shall be delivered in two volumes, Volume I, Technical, and Volume 2, Cost. Proposals not meeting the format described in this BAA may not be reviewed.

The proposal shall include the following sections, each starting on a new page (where a "page" is 8-1/2 by 11 inches with type not smaller than 12 point, charts may use 10 point font, margins are not smaller than 1 inch, and line spacing is not smaller than single-spaced). Fold-outs up to 11 by 17 inches may be used, but will be counted as two pages. All submissions must be in English. For Technical Areas 1, 2, or 3, the page limit for Volume 1 is 60 pages. For Technical Areas 4 or 5 the page limit for Volume 1 is 30 pages. These page limits exclude the following items: Administrative (Section I); Resumes for Key Personnel (II.C); Proprietary Claims (II.E); Work Breakdown Section (III.C); Integrated Statement of Work (III.D); and Integrated Master Schedule (III.E).

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

a. Volume 1, Technical and Management Proposal

Section I. Administrative {Does not contribute to the page limit for Volume 1.}

A. Cover sheet(s):

- BAA number (DARPA-BAA-13-39);
- Technical area;
- Lead organization submitting proposal;
- Type of business, selected among the following categories:
 - o LARGE BUSINESS
 - o SMALL DISADVANTAGED BUSINESS
 - o OTHER SMALL BUSINESS

- o HBCU,
- o MI,
- o OTHER EDUCATIONAL, OR
- o OTHER NONPROFIT;
- Proposer’s reference number (if any)
- Other team members (if applicable and including second- and lower-tier subcontractors) and type of business for each;
- Proposal title;
- Technical point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax, electronic mail;
- Administrative point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax, electronic mail;
- Total funds requested from DARPA, and the amount of cost share (if any)
- Award instrument requested: cost-plus-fixed-fee (CPFF), cost-contract—no fee, cost sharing contract – no fee, or other type of procurement contract (specify), or other transaction agreement;
- Place(s) and period(s) of performance, including the highest classification of work expected at each location;
- CAGE Code(s) for all proposed locations (if applicable);
- Summary of the costs of the proposed research, including total base cost, estimates of base cost in each year of the effort, estimates of itemized options in each year of the effort, and cost sharing if relevant; and
- Proposal validity period (minimum 180 days requested).

B. Official transmittal letter.

C. Table of Contents

D. Proposal Affirmations

- (1) Organizational Conflict of Interest Affirmations and Disclosure: Per the instructions in Section 3.1, “Eligible Applicants,” if the proposer or any proposed subcontractor IS providing SETA support, as described, to any DARPA technical office(s) through an active contract or subcontract (regardless of which DARPA technical office is being supported), they must provide documentation: (1) stating which office(s) the proposer, subcontractor and/or individual supports; (2) identify the prime contract numbers; AND (3) include a description of the action the proposer has taken or proposes to take to avoid, neutralize, or mitigate the conflict.

If the proposer or any proposed subcontractor IS NOT currently providing SETA support as described, then the proposer should simply state “NONE.”

Proposals that fail to fully disclose potential conflicts of interests or do not have acceptable plans to mitigate identified conflicts will be rejected without technical evaluation and withdrawn from further consideration for award.

- (2) Human Subjects Research: 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. For further information on this subject, see Section 6.2.2 below. If human subject research is not a factor in a proposal, then the proposer should state “NONE.”

- (3) Animal Use: For submissions containing animal use, proposals must briefly describe plans for Institutional Animal Care and Use Committee (IACUC) review and approval. For further information on this subject, see Section 6.2.3 below. If animal use is not a factor in a proposal, then the proposer should state “NONE.”
- (4) Statement of Unique Capability Provided by Government or Government-Funded Team Member: Per Section 3.1, “Eligible Applicants,” proposals which include Government or Government-funded entities (i.e., FFRDC’s, National laboratories, etc.) as prime, subcontractor or team member, shall provide a statement which clearly demonstrates the work being provided by the Government or Government-funded entity team member is not otherwise available from the private sector. If none of the team members belongs to a Government or Government-funded entity, then the proposer should state “Not Applicable.”
- (5) Government or Government-funded Team Member Eligibility: Per Section 3.1 – Eligible Applicants, proposals which include Government or Government-funded entities (i.e., FFRDC’s, National laboratories, etc.) as prime, subcontractor or team member shall provide documentation citing the specific authority which establishes they are eligible to propose to Government solicitations: (1) statutory authority; (2) contractual authority; (3) supporting regulatory guidance; AND (4) evidence of agency approval. If no such entities are involved, then the proposer should state “NONE.”

Section II. Summary of Proposal

This section should provide an overview of the system concept, proposed work plan, and team capabilities. This section should be concise; further elaboration should be provided in Section III.

- A. Concept description and innovative claims. This section should include descriptions and depictions of the proposer’s preliminary system concept, including identification of unique benefits and advantages relative to state of the art technologies and other potential system approaches.
- B. Overview of program execution. This section should include a description of the approach and execution plan for the proposed effort, including system design and risk reduction, construction, demonstration, and transition. The proposer should outline their approach to hardware and software design, development, integration, test, and configuration management. The proposer should identify how the specific algorithm and software development methodology will be used and how that methodology will mitigate risk to schedule, cost, and software quality.
- C. Corporate, team, and personnel resources and expertise. This section should provide descriptions and depictions of the project team, including support for the expertise, experience, facilities, and other resources that will be leveraged to ensure project success. There should be a clearly defined organization chart for the program team which includes, as applicable: (1) the programmatic relationship of team members; (2) the unique capabilities of team members; (3) the list of responsibilities of team members; (4) the teaming strategy

among the team members; and (5) the key personnel along with the amount of effort to be expended by each person during each year. DARPA requires key personnel identified in the proposal to be assigned as proposed, and the resulting contract/agreement will indicate no substitution shall be made without prior approval of the Government. Formal teaming agreements should be included in Volume 2 if applicable. In addition, single-page resumes should be included for all key personnel. {Resumes do not contribute to the page limit for Volume 1.}

- D. Cost, schedule and measurable 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. (Note: Measurable milestones should capture key development points in tasks and should be clearly articulated and defined in time relative to start of effort.) Show all project milestones. Use “x months after contract award” designations for all dates.
- E. 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. For forms to be completed regarding intellectual property, see Section 8.1, “Intellectual Property.” {The list of proprietary claims does not contribute to the page limit for Volume 1.}

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, managerial, and resourcing issues.

- A. Technical Approach and Expected System Performance. This section should provide details on the proposed technical solution to achieve the Hydra performance objectives outlined in the classified annex (see Section 4.1.1, “Classified and Export Controlled Annexes”). This section should also include major derived requirements and quantified tactical performance attributes that are part of the proposer’s approach.
- B. Test and Demonstration Plan. The proposed test and demonstration plan should be detailed, including risk mitigation plans in support of final demonstrations. This section should also communicate how the demonstrated performance parameters relate to proposed tactical performance parameters and level of technical maturity expected to be achieved under the proposed effort.
- C. Work Breakdown Structure (WBS). This section should include a logical and complete WBS tailored to the proposed deliverables. WBS detail to level 3 or greater should be included. {Does not contribute to the page limit for Volume 1.}
- D. Integrated Statement of Work (SOW), technical support, and Basis of Estimate (BOE). This section is the heart of the proposal and should provide all necessary detail to define the proposed effort and deliverables, support the proposed effort with relevant technical details, and list planned resource allocation based on BOE build-ups. The SOW should be developed so that each Phase of the program is separately defined. The following sections should be

repeated for each WBS element (to level 3 or greater), and should encompass the full proposed scope of work and proposed cost. {Does not contribute to the page limit for Volume 1.}

- i. SOW Element. In plain English, clearly define the technical tasks/subtasks to be performed, their duration, and dependencies among them. For each task/subtask, provide:
 - A general description of the objective (for each defined task/activity);
 - A detailed description of the approach to be taken to accomplish each defined task/activity);
 - Identification of the primary organization responsible for task execution (prime, sub, team member, by name, etc.);
 - The completion criteria for each task/activity—a product, event or milestone that defines its completion;
- ii. Deliverables. All deliverables (reports, data, software, hardware, prototypes, etc.) associated with the specific SOW element should be defined, including descriptions of contents, anticipated formats, and delivery dates (months after contract award).

Do not include any proprietary information in the SOW Element and Deliverables.

- iii. Technical Rationale. Detailed technical rationale and supporting information that directly underpin the approach and execution for the specific SOW element should be provided. Only details that support activity explicitly included within the proposed scope and BOE shall be included. Information regarding subjects not explicitly included in the proposed scope and BOE should be limited to Section II only. As applicable, estimates of current Technology Readiness Levels (TRLs) with supporting technical rationale are requested for each key subcomponent or supporting technology proposed. Government furnished information, equipment, or facilities required for completion of the SOW element should also be included here.
 - iv. Basis of Estimate (BOE). Cost summary and BOE calculations associated with the specific SOW element should be detailed. Costs should represent total cost to the Government for the specific SOW element, showing detailed build up from lowest level labor hour and material estimates in a consistent cost basis methodology, including cost of labor, materials, overhead, and other direct charges. Subcontractor costs should be annotated and added to prime contractor costs to show a comprehensive and integrated BOE for the specific SOW element. Any cost share should be noted.
- E. Integrated Master Schedule. This section should include a depiction of the time phased relationships and dependencies between all activities associated with the execution of the WBS elements (to level 3 or greater). Deliverables should be clearly indicated, as well as need dates for any external information or resources. {Does not contribute to the page limit for Volume 1.}
- F. Phase 2 and Phase 3 program plans: The proposer should include top-level plans for Phase 2 and Phase 3. The Phase 2 and Phase 3 program plans should include a preliminary (SOW), schedule, and ROM cost estimates for each phase to assist the Government in assessing

resource requirements for future phases. It is highly desirable for the proposer to submit as detailed as possible cost information for Phases 2 and 3. If selected to continue into future phases, proposers are not required to follow the exact Phase 2 and 3 plans; however, an understanding of the necessary tasks and timing must be demonstrated.

b. Volume 2, Cost Proposal {no page limit}

All proposers, including FFRDCs, must submit the following:

Cover sheet(s) to include:

- BAA number (DARPA-BAA-13-39);
- Technical area;
- Lead organization submitting proposal;
- Type of business, selected among the following categories:
 - o LARGE BUSINESS
 - o SMALL DISADVANTAGED BUSINESS
 - o OTHER SMALL BUSINESS
 - o HBCU,
 - o MI,
 - o OTHER EDUCATIONAL, OR
 - o OTHER NONPROFIT;
- Proposer's reference number (if any)
- Other team members (if applicable and including second- and lower-tier subcontractors) and type of business for each;
- Proposal title;
- Technical point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax, electronic mail;
- Administrative point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax, electronic mail;
- Total funds requested from DARPA, and the amount of cost share (if any)
- Award instrument requested: cost-plus-fixed-fee (CPFF), cost-contract—no fee, cost sharing contract – no fee, or other type of procurement contract (specify), or other transaction agreement;
- Place(s) and period(s) of performance, including the highest classification of work expected at each location;
- CAGE Code(s) for all proposed locations (if applicable);
- Summary of the costs of the proposed research, and cost sharing if relevant;
- Name, address, and telephone number of the proposer's cognizant Defense Contract Management Agency (DCMA) administration office (if known);
- Name, address, and telephone number of the proposer's cognizant Defense Contract Audit Agency (DCAA) audit office (if known);
- Date proposal was prepared;
- DUNS number;
- TIN number;

- Subcontractor Information; and
- Proposal validity period (minimum 180 days requested).

Note that nonconforming proposals may be rejected without review.

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

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

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

The cost volume has no page limit and should include the following information:

A WBS identical to the WBS provided in Volume 1.

A consolidated SOW identical to the SOW definition in Volume 1, Section III.D.i and III.D.ii, but without supporting technical and cost information. Do not include any proprietary information in the consolidated SOW or include any markings placing limitations on distribution on the pages containing the consolidated SOW.

The Government also strongly encourages that the proposer provide a detailed cost breakdown to include: (1) total program cost broken down by major cost items (direct labor, including labor categories and direct labor rates; subcontracts; materials; other direct costs, overhead charges and rates, etc.) and further broken down by task and phase; (the Government recommends including MS Excel file(s) that provide traceability between the Basis of Estimates (BOEs) and the proposed costs across all elements and phases); (2) major program tasks by fiscal year; (3) an itemization of major subcontracts and equipment purchases; (4) an itemization of any information technology (IT) purchase¹; (5) a summary of projected funding requirements by

¹ IT is defined as “any equipment, or interconnected system(s) or subsystem(s) of equipment, that is used in the automatic acquisition, storage, analysis, evaluation, 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 that requires – (i) Its use; or (ii) To a significant extent, its use in the performance of a service or the furnishing of a product. (b) The term “information technology” includes computers, ancillary equipment (including imaging peripherals, input, output, and storage devices necessary for security and

month; and (6) the source, nature, and amount of any industry cost-sharing; and (7) identification of pricing assumptions of which may require incorporation into the resulting award instrument (e.g., use of Government Furnished Property/Facilities/Information, access to Government Subject Matter Expert/s, etc.) and (8) provide appropriate cost or price analyses of subcontractor proposals, IAW FAR 15.404-3, to establish the reasonableness of proposed subcontract prices. For the purpose of pricing, proposers are encouraged to assume a contract award date of April 1, 2014.

The prime contractor is responsible for compiling and providing all subcontractor proposals for the Procuring Contracting Officer (PCO). Subcontractor proposals should include Interdivisional Work Transfer Agreements (ITWA) or similar arrangements. Where the effort consists of multiple portions which could reasonably be partitioned for purposes of funding, these should be identified as options with separate cost estimates for each. NOTE: for IT and equipment purchases, include a letter stating why the proposer cannot provide the requested resources from its own funding.

Provide supporting cost and pricing information in sufficient detail to substantiate the summary cost estimates above. Include a description of the method used to estimate costs and supporting documentation. Note: “cost or pricing data” as defined in FAR 2.101 shall be required if the proposer is seeking a procurement contract award of \$700,000 or greater unless the proposer requests an exception from the requirement to submit cost or pricing data. “Cost or pricing data” are not required if the proposer proposes an award instrument other than a procurement contract (e.g., a grant, cooperative agreement, or other transaction agreement). All proprietary subcontractor proposal documentation, prepared at the same level of detail as that required of the prime, shall be provided to the Government either by the prime contractor or by the subcontractor organization when the proposal is submitted. Subcontractor proposals submitted to the Government by the prime contractor should be submitted in a sealed envelope that the prime contractor will not be allowed to view. The subcontractor must provide the same number of hard copies and/or electronic proposals as is required of the prime contractor.

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

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

surveillance), peripheral equipment designed to be controlled by the central processing unit of a computer, software, firmware and similar procedures, services (including support services), and related resources. (c) The term “information technology” does not include any equipment that – (i) Is acquired by a contractor incidental to a contract; or (2) 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, analysis, evaluation, 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.”

All proposers requesting an 845 Other Transaction for Prototypes (OT) agreement must include a detailed list of milestones. Each milestone must include the following: milestone description, completion criteria, due date, and payment/funding schedule (to include, if cost share is proposed, contractor and Government share amounts). It is noted that, at a minimum, milestones should relate directly to accomplishment of program technical metrics as defined in the BAA and/or the proposer's proposal. Agreement type, fixed price or expenditure based, will be subject to negotiation by the Agreements Officer; however, it is noted that the Government prefers use of fixed price milestones with a payment/funding schedule to the maximum extent possible. Do not include proprietary data. If the proposer requests award of an 845 OT agreement as a nontraditional defense contractor, as so defined in the OSD guide entitled "Other Transactions (OT) Guide For Prototype Projects" dated January 2001 (as amended) (<http://www.acq.osd.mil/dpap/Docs/otguide.doc>), information must be included in the cost proposal to support the claim. Additionally, if the proposer requests award of an 845 OT agreement, without the required one-third (1/3) cost share, information must be included in the cost proposal supporting that there is at least one non-traditional defense contractor participating to a significant extent in the proposed prototype project. For more information on 845 Other Transaction for Prototypes (OT) agreements, refer to <http://www.acq.osd.mil/dpap/Docs/otguide.doc>

4.3 Proposal Submission Deadline and Instructions

Proposers should submit three (3) hard copies of their proposal and two (2) CD-ROMs or DVDs containing each volume as a single file to the following address:

ATTN: DARPA-BAA-13-39
675 North Randolph Street
Arlington, VA 22203-2114

The proposal (original and designated number of hard and electronic copies) must be received at DARPA/TTO, 675 North Randolph Street, Arlington, VA 22203-2114 (Attn.: DARPA-BAA-13-39) on or before **October 22, 2013 at 4:00 p.m. Eastern Time**, in order to be considered during the initial round of selections; however, proposals received after this deadline may be received and evaluated up to six months (180 days) from the date of posting on FedBizOpps. The ability to review and select proposals submitted after the initial round deadline will be contingent on availability of funds. Proposers are warned that the likelihood of available funding is greatly reduced for proposals submitted after the initial closing date deadline. Failure to comply with the submission procedures may result in the submission not being evaluated.

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

DARPA will post a consolidated Question and Answer response by September 24, 2013, before final proposals are due. In order to receive a response to your question, submit your question by September 16, 2013 to DARPA-BAA-13-39@darpa.mil.

NOTE: PROPOSERS ARE CAUTIONED THAT FAILURE TO COMPLY WITH THE SUBMISSION PROCEDURES MAY RESULT IN REJECTION OF THE PROPOSAL.

4.4 Funding Restrictions

Not applicable.

5.0 APPLICATION REVIEW INFORMATION

5.1 Evaluation Criteria

Proposals will be evaluated using the following criteria, listed in descending order of importance: (a) Overall Scientific and Technical Merit; (b) Proposer's Capabilities and Related Experience; (c) Test and Demonstration Plan (if applicable); (d) Potential Contribution and Relevance to the DARPA Mission; and (e) Cost Realism.

5.1.1 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. The proposed design reflects the program vision and incorporates program attributes. Performance claims are substantiated through demonstration, modeling and simulation, or analysis consistent with the proposed design. 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 Proposer's Capabilities and Related Experience

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

5.1.3 Test and Demonstration Plan (if applicable)

For Technical Areas 1, 2, and 3, the proposer's ability to aggressively develop and demonstrate the proposed prototype(s) with the greatest performance within the desired schedule and budget will be evaluated. Technical, schedule, and cost risks are identified and mitigated. The extent to which the proposed test and demonstration plan addresses the performance objectives described in the classified and export controlled annexes to this BAA will be evaluated (see Section 4.1.1, "Classified and Export Controlled Annexes," for instructions on obtaining the classified and export controlled annexes). The extent to which risks are mitigated through test and demonstration early and incrementally in the proposed plan will be evaluated as

well as the extent to which the proposed effort matures the underlying technology to demonstrate the Hydra concept.

5.1.4 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 national security by sponsoring revolutionary, high-payoff research that bridges the gap between fundamental discoveries and their application. In addition, the evaluation will take into consideration the extent to which the proposed intellectual property (IP) rights will potentially impact the Government's ability to transition underlying technology to the research, industrial, and operational military communities. This criterion also includes the extent to which the proposed development effort results in a compelling demonstration with sufficient technology maturation suitable for transitioning the effort to the U.S. military.

5.1.5 Cost Realism

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

5.2 Review and Selection Process

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

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

It is the policy of DARPA to ensure impartial, equitable, comprehensive proposal evaluations and to select the source (or sources) whose offer meets the Government's technical, policy, and programmatic goals. Pursuant to FAR 35.016, the primary basis for selecting

proposals for acceptance shall be technical, importance to agency programs, and fund availability. In order to provide the desired evaluation, qualified Government personnel will conduct reviews and (if necessary) convene panels of experts in the appropriate areas.

For evaluation purposes, a proposal is the document described in “Proposal Submission Information,” Section 4.2.2. 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.

6.0 AWARD ADMINISTRATION INFORMATION

6.1 Selection Notices

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

6.2 Administration and National Policy Requirements

6.2.1 Meeting and Travel Requirements

There will be a program kickoff meeting in the Washington, DC metropolitan region and all key participants are required to attend. Major design reviews and Test Result Reports will be held at the performer's location with reviews occurring on an approximate minimum quarterly basis. In addition to major design reviews or quarterly reviews, performers should also plan to host bi-weekly teleconference reviews. Technical Area 1, 2, and 3 proposers should also plan on bi-weekly teleconferences and quarterly meetings at rotating locations to coordinate development of the Interface Control Document (ICD) during Phase 1. Prior to a major test event, performers should schedule one or more test design reviews to solicit feedback during early test planning in addition to a standard Test Readiness Review (TRR) prior to execution of the test. TRRs may be conducted via teleconference. Meeting documents should be provided at least 24 hours in advance of all meetings or teleconference. The Program Manager or his representatives may also conduct periodic site visits at the Program Manager's discretion.

6.2.2 Human Subjects Research

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

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

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

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

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

6.2.3 Animal Use

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

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

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

6.2.4 Export Control

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

6.2.5 Subcontracting

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

6.2.6 Electronic and Information Technology

The Hydra system is considered a national security system as defined in FAR subpart 39.204.

6.2.7 Employment Eligibility Verification

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

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

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

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

6.2.9 Reporting Executive Compensation and First-Tier Subcontract Awards

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

6.2.10 Updates of Information Regarding Responsibility Matters

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

6.2.11 Representations by Corporations Regarding an Unpaid Delinquent Tax Liability or a Felony Conviction Under Any Federal Law – Fiscal Year 2013 Appropriations (Deviation 2013-O0010)

- a. In accordance with sections 8112 and 8113 of Division C and sections 514 and 515 of Division E of the Consolidated and Further Continuing Appropriations Act, 2013, (Pub. L. 113-6), none of the funds made available by that Act for DoD (including Military Construction Funds) may be used to enter into a contract with any corporation that –
 - (1) Has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency is aware of the unpaid tax liability, unless the agency has considered suspension or debarment of the corporation

- and made a determination that this further action is not necessary to protect the interests of the Government; or
- (2) Was convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency is aware of the conviction, unless the agency has considered suspension or debarment of the corporation and made a determination that this action is not necessary to protect the interests of the Government.
- b. The Offeror represents that –
- (1) It is ☐ is not ☐ a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability,
- (2) It is ☐ is not ☐ a corporation that was convicted of a felony criminal violation under a Federal law within the preceding 24 months.

6.2.12 Cost Accounting Standards (CAS) Notices and Certification

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

6.2.13 Controlled Unclassified Information (CUI) on Non-DoD Information Systems

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

- Do not process DARPA CUI on publicly available computers or post DARPA CUI to publicly available webpages or websites that have access limited only by domain or Internet protocol restriction.
- Ensure that all DARPA CUI is protected by a physical or electronic barrier when not under direct individual control of an authorized user and limit the transfer of DARPA CUI to subcontractors or teaming partners with a need to know and commitment to this level of protection.

- Ensure that DARPA CUI on mobile computing devices is identified and encrypted and all communications on mobile devices or through wireless connections are protected and encrypted.
- Overwrite media that has been used to process DARPA CUI before external release or disposal.

6.3 Reporting

The number and types of reports will be specified in the award document, but will include as a minimum monthly financial and 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 materials will also be required as appropriate to document progress in accomplishing program metrics, to include briefings associated with major technical reviews. A final report that summarizes the project and tasks, and may be in the form of annotated briefing materials, will be required at the conclusion of the performance period for the base award, and each option period, notwithstanding the fact that the research may be continued under a follow-on vehicle. At least one copy of each report will be delivered to DARPA and not merely placed on an internet site.

6.4 Electronic Systems

6.4.1 Representations and Certifications

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

6.4.2 Wide Area Work Flow (WAWF)

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

6.4.3 i-Edison

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

6.4.4 DARPA Secure Networks

For awardees requiring the regular exchange of classified data with DARPA, a secure network terminal, such as the DARPA Secure Wide Area Network (DSWAN), may be installed at select awardee locations depending on the availability of program funds. Proposers are

requested to identify preferred locations for secure network installations in priority order, including identification of the highest classification required at each site.

7.0 AGENCY CONTACTS

DARPA will use electronic mail for all technical and administrative correspondence regarding this BAA, with the exception of classified communications.

Administrative, technical or contractual questions should be sent via e-mail to DARPA-BAA-13-39@darpa.mil. All requests must include the name, email address, and phone number of a point of contact.

8.0 OTHER INFORMATION

8.1 Intellectual Property

8.1.1 Procurement Contract Proposers

Noncommercial Items (Technical Data and Computer Data Software)

Proposers responding to this BAA requesting a procurement contract to be issued under the FAR/DFARS shall identify all noncommercial technical data and noncommercial computer software that it plans to generate, develop, and/or deliver under any proposed award instrument in which the Government will acquire less than unlimited rights, and to assert specific restrictions on those deliverables. Proposers shall follow the format under DFARS 252.227-7017 for this stated purpose. In the event that proposers do not submit the list, the Government will assume that it automatically has “unlimited rights” to all noncommercial technical data and noncommercial computer software generated, developed, and/or delivered under any award instrument, unless it is substantiated that development of the noncommercial technical data and noncommercial computer software occurred with mixed funding. If mixed funding is anticipated in the development of noncommercial technical data and noncommercial computer software generated, developed, and/or delivered under any award instrument, then proposers should identify the data and software in question, as subject to Government Purpose Rights (GPR). In accordance with DFARS 252.227-7013 Rights in Technical Data - Noncommercial Items, and DFARS 252.227-7014 Rights in Noncommercial Computer Software and Noncommercial Computer Software Documentation, the Government will automatically assume that any such GPR restriction is limited to a period of five (5) years in accordance with the applicable DFARS clauses, at which time the Government will acquire “unlimited rights” unless the parties agree otherwise. Proposers are advised that the Government will use the list during the evaluation process to evaluate the impact of any identified restrictions and may request additional information from the proposer, as may be necessary, to evaluate the proposer’s assertions. If no

restrictions are intended, then the proposer should state “NONE.” It is noted an assertion of “NONE” indicates that the Government has “unlimited rights” to all noncommercial technical data and noncommercial computer software delivered under the award instrument, in accordance with the DFARS provisions cited above. Failure to provide full information may result in a determination that the proposal is not compliant with the BAA – resulting in nonselectability of the proposal.

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

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

Commercial Items (Technical Data and Computer Software)

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

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)

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

8.1.3 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.

8.1.4 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.

8.2 Desired Rights in Software and Technical Data

DARPA strongly desires that all interface control specification and documentation data associated with the Hydra modular enclosure and payloads will be provided with Unlimited Rights. However, if the proposer believes that these products and deliverables can be provided with other types of rights and still satisfy the Government's requirements, the proposer may provide this information in its proposal, and the Government will consider this information during the evaluation consistent with the evaluation criteria under Section 5.1.

8.3 Proposers' Day

DARPA/TTO hosted a Proposers' Day conference in support of the Hydra program on August 5, 2013 (see DARPA Special Notice # DARPA-SN-13-42 available on www.fedbizopps.gov for additional information). Please note that participation in the Proposers' Day was optional and is not required to propose to this BAA. Slides from the Proposers' Day will be provided in the classified and export controlled annexes to this BAA (see Section 4.1.1,

“Classified and Export Controlled Annexes,” for instructions on obtaining the classified and/or export controlled annexes).