Broad Agency Announcement

Scientific Feasibility (SciFy)
INFORMATION INNOVATION OFFICE

HR001124S0013

March 1, 2024

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- **Funding Opportunity Title** – Scientific Feasibility (SciFy)
- **Announcement Type** – Initial announcement
- **Funding Opportunity Number** – HR001124S0013
- **Assistance Listing Number** – 12.910 Research and Technology Development
- **Dates**
  - Posting Date: March 01, 2024
  - Proposers Day: March 7, 2024
  - Abstract Due Date and Time: March 18, 2024, 12:00 PM ET
  - Questions Due: April 11, 2024, 12:00 PM ET
  - Proposal Due Date and Time: April 25, 2024 , 12:00 PM
- **Program Overview** – The SciFy program will develop computational methods to measure the feasibility of claims in order to enable accurate assessments of scientific content.
- **Anticipated individual awards** – Multiple awards are anticipated.
- **Types of instruments that may be awarded** – Procurement contracts, cooperative agreements, or Prototype Other Transaction agreements.
- **Agency contact**
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PART II: FULL TEXT OF ANNOUNCEMENT

I. Funding Opportunity Description

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

The Defense Advanced Research Projects Agency (DARPA) is soliciting innovative proposals in the following areas of interest: feasibility assessment of scientific content and testing and evaluation of feasibility assessment methods. Proposed research should investigate innovative approaches that enable revolutionary advances in science or systems. Specifically excluded is research that primarily results in evolutionary improvements to the existing state of practice.

A. Program Overview

Introduction

Advancements in large pre-trained models capable of generating scientific content are rapidly evolving, posing a significant and growing challenge in the realm of information integrity and authenticity. A rapid, scalable, compelling generator for inaccurate scientific content could disrupt the US technology base in times of crisis, such as pandemics, disaster relief, and military events, or upend the global race for technological dominance in key areas. False capability claims can also have significant implications for national security and international relations, as they can obscure the true nature of military actions and capabilities; however, determining feasibility of advanced technologies, such as quantum computing, often requires deep technical expertise, access to detailed information about the technology, and the ability to conduct testing or independent verification. Overcoming these challenges requires developing new, robust methods to automatically review, reason, verify, and evaluate capability claims, especially in sensitive areas surrounding national security and defense.

The objective of the Scientific Feasibility (SciFy) program is to develop computational methods that measure the feasibility of claims in order to enable accurate assessments of scientific content. The program's focus will be on claims that express scientific and technological capabilities. The program aims to demonstrate that the scientific feasibility of claims can be determined by using automated reasoning to decompose claims into constituent, verifiable parts.

The program will produce methods that perform well beyond current automated fact-checkers, recognizing that feasibility assessment is a complex process that requires breaking claims down into constituent components that contribute to a whole, resulting functionality. Automatically assessing each component may involve identifying and using existing technological advancements, foundational scientific principles, data, software or simulation results, as well as current industry standards or benchmarks. This assessment necessitates the development of sophisticated automated techniques capable of managing the rapid expansion of evidence,

ensuring that the synthesis and explanation of this evidence is both efficient and reliable. It is also necessary to determine whether the claimed technological capability, while theoretically possible in parts, is practical and realistic when considered as a whole, which may require evaluating logical consistency, system integration, and compatibility considerations.

A scientific feasibility assessment must address both the limitations and the potential of capability claims, which may involve the consideration of scientific knowledge that spans disciplinary boundaries. The methods produced on the program should not only emulate subject matter expert validation, but allow for analyses that extend beyond the limits of human cognition to create and consider technical hypotheses that are possible based on available scientific knowledge. Additionally, the approaches developed on the program should consider the operational feasibility of technologies, for example, under time and cost constraints.

Technical Areas

To achieve the automation of feasibility assessment, the program will be structured into two technical areas: (1) feasibility assessment, and (2) test and evaluation.

DARPA anticipates funding multiple technical approaches and performers for TA1 and making a single TA2 award. Proposers may submit multiple proposals. The Government reserves the right to decide which, if any, are selected for award. If a performer is selected for TA2 award, the performer cannot be selected for TA1 either as a prime or subcontractor.

The individual TAs are elaborated upon below.

Technical Area 1: Feasibility Assessment

TA1 has two components: (1) claim decomposition to create reasoning chains (or candidate hypotheses), and (2) evaluation of those chains.

Reasoning is the process of drawing and evaluating conclusions from a given body of information. Because of its computational difficulty, successfully solving any arbitrary reasoning problem is beyond the scope of the program. However, unlike instances of arbitrary reasoning problems, science- and technology-focused reasoning problems can rely on knowledge and structures that represent our collective understanding of the world and particularly our understanding of a scientific domain. For problems of this type, approaches should utilize the structure of a given domain and be able to rigorously characterize relationships within that domain to ground what is conceptually or physically possible.

Scientific reasoning should derive conclusions that can also serve as explanations. That is, it should produce a sequence of steps that are appropriately connected to one another via sound logical relations. Confidence in the correctness of a system's reasoning ability is also an important outcome and should weigh into the overall feasibility assessment. Previous work has investigated methods for interacting with large language models (LLMs) using prompt design for reasoning tasks, including providing examples or instructions, specifying inductive or deductive reasoning methods, or using chain-of-thought approaches. These methods aim to derive the right

answer for the right reasons, with attention to not learning unsound shortcuts, such as cue words, heuristics, or spurious statistical regularities; however, many techniques struggle on logical or system-two (2) reasoning tasks that require deliberate, multi-step reasoning.

TA1 will develop evidence-based approaches that leverage recent advances in LLMs or other technologies to decompose claims into verifiable, constituent parts, requiring novel advances in areas such as scientific LLMs and inference techniques optimized specifically for scientific reasoning questions. Work in this area should develop innovative methods to replicate non-linear, human-like reasoning processes, such as (but not limited to) the family of 'chain-of-thought' methods[1]. Additionally, methods that can plan and actuate scientific validation actions (e.g., running code or simulators to confirm results; tasking scientific agents to gather and analyze information or design and run experiments) will be an important part of TA1. These methods are expected to be informed by methods used by subject matter experts (SMEs) but must extend beyond the current state of the art. New methods must be adept at learning how to form and validate appropriate reasoning formulations (e.g., decomposition, heuristics, iteration, calls to external systems). This functionality may include approaches that require LLMs or other models to formalize their reasoning (e.g., expressed in symbolic notation that is amenable to proof checking) or to train and use other LLMs to check reasoning chains expressed in natural language.

Evaluation approaches must be able to effectively manage a large hypothesis space (e.g., by using a verifier function that can "advise" as to relevant evaluation methods for a particular scientific domain). A notional architecture that includes an evaluation function as part of a system managed by a 'planner', which interacts with external data sources through a large language model, is depicted in Figure 1. Of note is the existence of an independent 'evaluator' function that can be human-inspected and potentially separately trained on domain-specific knowledge and best practices. An evaluation function may also be used to inform the 'planner' as to what information needs to be derived from external sources. The use of data sources external to the model may ground hypothesis generation according to verified scientific knowledge and may be updated as the evaluator is continuously trained.

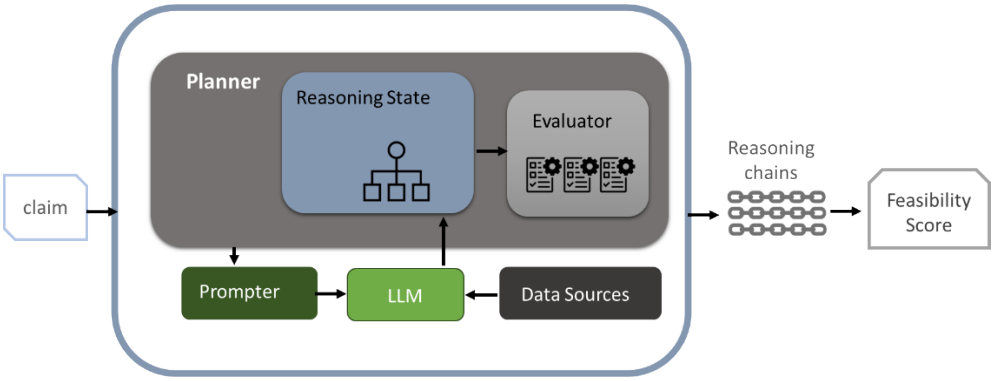

Figure 1: Notional architecture demonstrating the use of an LLM with an evaluator function.

[1] Wei, J., Wang, X., Schuurmans, D., Bosma, M., Xia, F., Chi, E., ... & Zhou, D. (2022). Chain-of-thought prompting elicits reasoning in large language models. *Advances in Neural Information Processing Systems*, *35*, 24824-24837.

TA1 proposals should include a plan that describes the use of an initial dataset, of the proposer's choosing, with which to begin development at the program's outset. The specific scientific domain of this initial dataset is the choice of the performer. Subsequent domains that the program will focus on are: (1) materials science, (2) artificial intelligence, and (3) quantum computing. These three domains were chosen to represent areas relevant to national defense and that vary as to appropriate validation approaches. Proposals should include a description and cost of the data sources that are anticipated to be used, with the understanding that these data sources may be augmented through shared resources during the program.

Technical Area 2: Test and Evaluation

Previous studies have focused on evaluating reasoning abilities of LLMs for tasks such as multiple-choice questions or binary classification. Unlike these simple discriminative tasks, determining the feasibility of scientific claims requires deductive reasoning, a generative activity where outputs are understood as rationale. Often-used metrics (e.g., BLEU, ROUGE, semantic-similarity) are not sufficient for evaluating over large hypothesis spaces where there may exist many feasible answers. Quantitative evaluations must also avoid LLM contamination, i.e., when models have already seen the training or evaluation datasets.

The primary objective of the test and evaluation team is to produce gold standard datasets of labelled content for use in technical evaluations. Approaches in this TA must develop original datasets that are sufficiently large, of high quality, and support multiple types of reasoning tasks. These datasets must also represent an understanding of the dimensions that make a feasibility determination possible, which is a separate research task. These dataset characteristics are qualities reflected in the scientific domain and the claim itself. For example, the claim "Steel can maintain structural integrity up to 400 degrees Celsius" is likely easier to evaluate than the claim "Intelligent mines can discriminate between soldiers and civilians." Sampling over these dimensions will be a critical component to evaluation.

Data acquisition approaches will likely vary over the course of the program, such as leveraging previously collected scientific evaluation datasets and automatically generating counter claims across modalities (e.g., text, tables, graphs, equations and flow-charts). Proposals should elucidate innovative methods for test data generation, while describing research approaches for appropriately determining and quantifying data dimensions pertinent to producing feasibility determinations.

The accuracy of the performers' scientific feasibility assessments will be measured through agreement with SMEs in each domain and will include accuracy of the feasibility assessment, completeness (e.g., were steps missing), and correctness (e.g., do the steps make sense). Proposals should describe the methods that will be used for gathering validation evidence, used to inform SMEs, and the SME assessment process, to include a plan for determining SME agreement. These methods may include determining scientific consensus (e.g., among subject matter experts and scientific communities), identifying proven demonstrations, or the use of simulation, among others.

The TA2 performer will organize and host program evaluations in the form of planned testing events at the end of each technical domain sprint (see Figure 2) using scientific content test datasets, where both complexity of the domain and the content will increase as the program progresses.

Because of the current rapid pace of development in Artificial Intelligence (AI), a critical additional component of evaluation will be comparing against current state-of-the-art AI approaches for claim feasibility measurement, which will constitute implicit go/no-go points in the program. State of the art approaches will be determined by the TA 2 performer prior to evaluation events. Proposals should outline a plan to use standardized, relevant benchmarks for making state of the art determinations.

B. Program Structure

SciFy is a 32-month, one phase program, consisting of three (3) technical sprints defined by the scientific domain of concentration (Figure 2). These domains are intended to represent a progression in scientific complexity.

Events will include a three-day kick-off meeting and three (3), four-day evaluation and PI meeting events that will occur at the end of each domain sprint, with the first domain evaluation at month 12, the second domain evaluation at month 22, and the third domain evaluation at month 32. The TA2 performer will coordinate with DARPA to plan, organize, and host the evaluation and PI meeting events.

Proposers should plan and budget for the attendance of appropriate and relevant personnel at all events. Relevant personnel may vary by event type; however, best practice is to assume that events should be attended by everyone likely to contribute to the objectives, and PI meetings should be attended by everyone with significant roles in the program who could contribute to, or benefit from, the discussions at the meeting.

For budgeting purposes, assume the locations of events will alternate between Washington, D.C., and San Diego, CA. PI meetings that follow evaluation events will be co-located. The Government also anticipates making visits to performer sites at least once per year, which should be budgeted for as 1-day events.

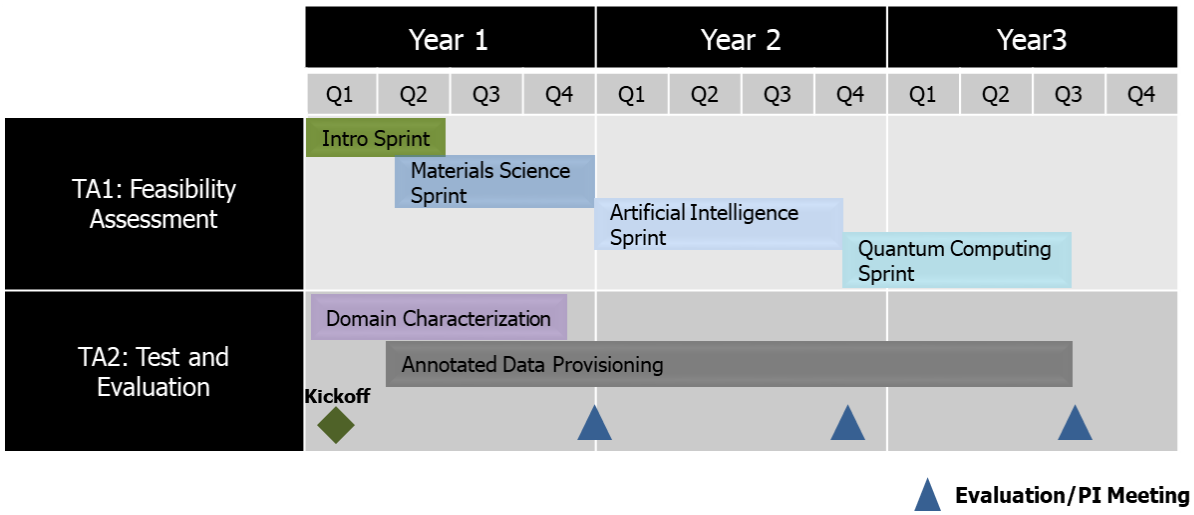

Figure 2: Schedule for the SciFy program

C. Program Metrics

In order for the Government to evaluate the effectiveness of a proposed solution in achieving the stated program objectives, proposers should note that DARPA has identified the following program metrics (Figure 3) that may serve as the basis for determining whether satisfactory progress is being made to warrant continued funding of the performer work. Although the following program metrics are specified, proposers should note that the Government has identified these goals with the intention of bounding the scope of effort, while affording the maximum flexibility, creativity, and innovation in proposing solutions to the stated problem.

Construct	Metric	Eval 1 Goal	Eval 2 Goal	Eval 3 Goal
Scientific Feasibility on a scale from -2, 2	Weighted Fleiss Kappa (measures error between prediction and SME ground truth*)	.4+ Kappa on topic 1 & Outperform SOTA	.6+ Kappa on topic 2 & Outperform SOTA	.8+ Kappa on topic 3 & Outperform SOTA
Problem Decomposition	Accuracy as a weighted percentage of Correctness and Completeness	80%	90%	95%

**SME agreement will be ensured through inter-rater reliability scores*

Figure 3: Program-level metrics

D. Intellectual Property

Intellectual property rights asserted by proposers are highly encouraged to align with open-source regimes, fostering a collaborative and transparent environment. The program places a strong emphasis on creating and leveraging open-source development, along with advocating the

use of liberal open-source licensing (e.g., MIT). This strategy includes the establishment of open-source repositories (e.g., GitHub), which are accessible for review by the government team, other performers, and the wider research community. Such an approach is pivotal in promoting a culture of open innovation and shared knowledge. By facilitating this openness, the program aims to spur rapid innovation and continuous improvement. Openness and transparency area achieved by providing a robust foundation for future users or developers of the program's technologies and deliverables. Moreover, this open-source methodology ensures that the advancements and learnings are not siloed but rather contribute to the collective intelligence of the field, leading to more significant and impactful technological progress.

II. Award Information

A. General Award Information

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

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

The Government reserves the right to request any additional, necessary documentation once it makes the award instrument determination. Such additional information may include but is not limited to Representations and Certifications (see Section IV.B.3.d., "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/or cost/price within a reasonable time, and the proposer fails to timely provide requested additional information. Proposals identified for negotiation may result in a procurement contract, cooperative agreement, or other transaction, depending upon the nature of the work proposed, the required degree of interaction between parties, whether or not the research is classified as Fundamental Research, and other factors.

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

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

award of a follow-on production contract or OT to the participant, or a recognized successor in interest to the OT.

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

B. Fundamental Research

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

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

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

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

a. On June 8, 2023, the Undersecretary of Defense for Research and Engineering (OUSD (R&E)) released a memorandum, "Policy on Risk-Based Security Reviews on Fundamental Research," directing Components to establish a risk-based security review program to identify and mitigate undue foreign influence in fundamental research consistent the requirements mandated by NSPM-33. In accordance with

these requirements, DARPA will assess all Covered Individuals proposed to support DARPA under all fundamental research proposals, selected for award, for potential undue foreign influence risk factors relating to professional and financial activities. This will be done by evaluating information provided via the SF-424 and any accompanying or referenced documents in order to identify and assess any associations or affiliations the Covered Individuals may have with foreign countries of concern (FCOC) (i.e., The Peoples Republic of China, the Russian Federation, the Islamic Republic of Iran, and the Democratic People's Republic of North Korea) or FCOC connected entities.

b. The University or non-profit research institution performer or recipient must establish and maintain an internal process or procedure to address malign foreign talent programs, conflicts of commitment, conflicts of interest, and research integrity consistent with USD(R&E) direction. The academic or non-profit research performer or recipient must also utilize due diligence to identify Foreign Components or participation by Covered Individuals in Foreign Government Talent Recruitment Programs and agree to share such information with the Government upon request.

    i. The above-described information will be provided to the Government as part of the proposal response to the solicitation and will be reviewed and assessed utilizing a risk-based security review process prior to award. Generally, this information will be included in the Research and Related Senior/Key Personnel Profile (Expanded) form (SF-424) required as part of the proposer's submission through Grants.gov.

        1. Instructions regarding how to fill out the SF-424 and its biographical sketch can be found through Grants.gov.

    ii. DARPA's risk-based security review process takes into consideration the entirety of the Covered Individual's SF-424, current and pending support, and biographical sketch. These potential risk factors, along with any publicly available validation information, are then compared to the "DoD Risk Decision Matrix" to determine the level of mitigation that may be required to proceed, if possible.

    iii. The risk-based security review process will leverage publicly available lists or reports published by the U.S. federal government. Those lists and reports include, but are not limited to:

        1. FY22 Lists Published in Response to Section 1286 of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Public Law 115-232), as amended.

        2. Executive Order 13959 "Addressing the Threat From Securities Investments That Finance Communist Chinese Military Companies": www.govinfo.gov/content/pkg/FR-2020-11-17/pdf/2020-25459.pdf

3. The U.S. Department of Commerce, Bureau of Industry and Security, List of Parties of Concern: www.bis.doc.gov/index.php/policy-guidance/lists-of-parties-of-concern
4. Director of National Intelligence (DNI) "World Wide Threat Assessment of the US Intelligence Community": www.dni.gov/files/ODNI/documents/assessments/ATA-2023-Unclassified-Report.pdf
5. Various Defense Counterintelligence and Security Agency (DCSA) products regarding targeting of US technologies, adversary targeting of academia, and the exploitation of academic experts: www.dcsa.mil

iv. The DoD has explicitly stated in policy that there are foreign influence risks that are not able to be mitigated and thus would require denial of award. They are:

1. **BEGINNING IN FISCAL YEAR (FY) 2024 (1 OCTOBER 2023) PROSPECTIVE, NO U.S. INSTITUTION OF HIGHER LEARNING THAT HOSTS A CONFUCIUS INSTITUTE* MAY RECEIVE DOD FUNDING UNLESS THE INSTITUTION OF HIGHER EDUCATION HAS BEEN ISSUED A WAIVER BY THE SECRETARY OF DEFENSE PURSUANT TO SECTION 1062 OF THE WILLIAM M. (MAC) THORNBERRY NATIONAL DEFENSE AUTHORIZATION ACT FOR FY 2021. INSTITUTIONS HOSTING A CONFUCIUS INSTITUTE ARE AUTOMATICALLY CLASSIFIED AS "PROHIBITED" UNDER OUSD(R&E) "POLICY ON RISK-BASED SECURITY REVIEWS ON FUNDAMENTAL RESEARCH"**
2. **AS OF 9 AUGUST 2024, THE DOD IS PROHIBITED FROM FUNDING OR MAKING AN AWARD OF A FUNDAMENTAL RESEARCH PROJECT PROPOSAL IN WHICH A COVERED INDIVIDUAL IS PARTICIPATING IN A MALIGN FOREIGN TALENT RECRUITMENT PROGRAM (MFTRP) OR TO A PROPOSING INSTITUTION THAT DOES NOT HAVE A POLICY ADDRESSING MFTRP PURSUANT TO SECTION 10632 OF THE CHIPS AND SCIENCE ACT OF 2022. INDIVIDUALS PARTICIPATING IN A MFTRP, AND INSTITUTIONS WITOUT A POLICY ADDRESSING MFTRP, ARE AUTOMATICALLY CLASSIFIED AS "PROHIBITED" UNDER OUSD(R&E) "POLICY ON RISK-BASED**

SECURITY REVIEWS ON FUNDAMENTAL RESEARCH"

***** The term "Confucius Institute" means a cultural institute directly or indirectly funded by the Government of the People's Republic of China.

v. Any changes to covered individuals will require submission of an SF 424 and its attachments, a security-based risk assessment, and approval by the contracting officer and program manager.

vi. Security-based risk assessments will also be conducted if changes to covered individuals reporting criteria are reflected in the Research Performance Progress Reports.

vii. To the greatest extent practicable, DARPA will work with the proposing institution to ensure that if the risk is able to be mitigated, it will make every effort to do so. If the proposing institution refuses to, or is unable to mitigate the identified risks, it may result in a denial of award.

viii. Proposing institutions who have their fundamental research proposal rejected due to the risk-based security review process or the inability to come to agreement concerning proposed mitigation strategies may challenge DARPA's risk-based security review decision. In that instance, DARPA shall refer the challenge to the OUSD(R&E) for mediation.

ix. This process, to include negotiation of risk mitigation measures, is not to be considered as part of the time-to-award.

c. Failure of the academic or non-profit research performer or recipient to reasonably exercise due diligence to discover or ensure that neither it nor any of its Covered Individuals are involved in the subject award are participating in a Malign Foreign Government Talent Program or have a Foreign Component with FCOC or FCOC-connected entity may result in the Government exercising remedies in accordance with Federal law and regulation.

i. If, at any time, during performance of this research award, the academic or non-profit research performer or recipient should learn that it, its Covered Individuals, or applicable team members or subtier performers on this award are or are believed to be participants in a malign foreign government talent program or exhibiting behaviors/actions identified in the DoD Component Decision Matrix (i.e., funding from a FCOC or FCOC-connected entity, patents resulting from U.S. government funded research that were filed with a FCOC or on behalf of a FCOC-connected entity, and associations or affiliations with foreign government connected entities), the performer or recipient will notify the Government Contracting Officer or Agreements Officer within 5 business days.

1. This disclosure must include specific information as to the personnel involved and the nature of the situation and relationship. The Government will have 30 business days to review this information and conduct any necessary fact-finding or discussion with the performer or recipient.

2. Such disclosure could result in a termination of award at the government's discretion.

3. If the University receives no response from the Government to its disclosure within 30 business days, it may presume that the Government has determined the disclosure does not represent a threat.

ii. The performer or recipient must flow down this provision to any subtier contracts or agreements involving direct participation in the performance of the research.

DARPA's analysis and assessment of affiliations and associations of Covered Individuals is compliant with Title VI of the Civil Rights Act of 1964. Information regarding race, color, or national origin is not collected and does not have bearing in DARPA's assessment. University or non-profit research institutions with proposals selected for negotiation that have been assessed as having potential undue foreign influence risk factors, as defined by the DoD Decision Matrix, will be given an opportunity during the negotiation process to mitigate the risk. DARPA reserves the right to request any follow-up information needed to assess potential risk factors or proposed risk mitigation strategies.

d. Definitions: Definitions can be found in the June 08, 2023 USD(R&E) memorandum, "Policy for Risk Based Security Reviews of Fundamental Research," or as it is amended.

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

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

efforts are fundamental research and why the proposed efforts should be considered fundamental research.

III. Eligibility Information

A. Eligible Applicants

All responsible sources capable of satisfying the Government's needs may submit a proposal that shall be considered by DARPA. Historically Black Colleges and Universities, Small Businesses, Small Disadvantaged Businesses and Minority Institutions 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.

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

a) FFRDCs

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

b) Government Entities

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

c) Authority and Eligibility

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

2. Other Applicants

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

B. Organizational Conflicts of Interest

FAR 9.5 Requirements

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

Agency Supplemental OCI Policy

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

If SETA, A&AS, or similar support is being or was provided to any DARPA office(s), the proposal must include:

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

Government Procedures

In accordance with FAR 9.503, 9.504 and 9.506, the Government will evaluate OCI mitigation plans to avoid, neutralize or mitigate potential OCI issues before award and to determine whether it is in the Government's interest to grant a waiver. The Government will only evaluate OCI

mitigation plans for proposals that are determined selectable under the solicitation evaluation criteria and funding availability.

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

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

C. Cost Sharing/Matching

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

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

D. Other Eligibility Criteria

If a performer is selected for TA2 award, the performer cannot be selected for TA1 either as a prime or subcontractor.

Proposals to conduct work requiring the storage, processing or generation of classified information will not be considered. TA2 industry proposals must demonstrate the ability to deliver work product at the appropriate CUI protection level required by the transition system's program office guidance in time to commence program execution in accordance with their proposed statement of work (SOW), no later than sixty (60) calendar days after contract award. CUI criteria do not apply to proposed on-campus university research pursuing non-military and non-space applications. Industry proposers must demonstrate the following capabilities:

1. The ability to safeguard CUI information IAW DFARS 252.204-7012, 252.204–7008, and 252.204-7000 (or similar terms and conditions if awarded an Other Transaction)
2. The ability to separate CUI tasks and information from information shared with fundamental research participants on SciFy

IV. Application and Submission Information

A. Address to Request Application Package

This announcement, any attachments, and any references to external websites herein constitute the total solicitation. If proposers cannot access the referenced material posted in the announcement found at www.darpa.mil, contact the BAA Coordinator listed herein.

B. Content and Form of Application Submission

All submissions, including abstracts and proposals must be written in English with type not smaller than 12-point font. Smaller font may be used for figures, tables, and charts. Copies of all documents submitted must be clearly labeled with the DARPA BAA number, proposer organization, and proposal title/proposal short title. All monetary references shall be in U.S. Dollars.

1. Abstracts Format

Proposers are strongly encouraged to submit an abstract in advance of a full proposal. The abstract is a concise version of the proposal comprising a maximum of two (2) pages including all figures, tables, and charts. The required cover sheet, and optional submission letter, table of contents, or appendices are not included in the page count.

The suggested abstract components are:

A. Cover Sheet (required): Include the administrative and technical points of contact (title, name, address, phone, e-mail, lead organization). Also include the BAA number, title of the proposed project (not the BAA title), Technical Area, subcontractors, estimated cost, duration of the project, and the label "ABSTRACT."
B. Executive Summary: Clearly describe what is being proposed and what difference it will make (qualitatively and quantitatively).
D. Technical Plan: Outline and address all technical challenges inherent in the approach and possible solutions for overcoming potential problems. Describe milestones and how they will be achieved.
E. Management and Capabilities Plan: Identify the principal investigator, provide a brief summary of expertise of the team, including subcontractors and key personnel, and include relevant expertise.
F. Cost and Schedule: Provide a cost estimate for resources over the proposed timeline of the project. Include cost estimates for each potential subcontractor (it may be a rough order of magnitude).
C. Executive Summary Slide: The slide template is provided as Appendix 1 to the BAA posted at https://SAM.gov.

2. Proposals Format

All proposals should be in the format given below. 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 shall consist of two volumes: 1) Volume I, Technical and Management Proposal (composed of 3 parts), and 2) Volume II, Cost Proposal. The maximum page count for Volume I is 15 pages, and excludes the cover page, summary slide, official transmittal letter, and any table of contents or appendices, but does include figures, tables, and charts.

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

a) Volume I, Technical and Management Proposal

(1) Section I: Administrative

(a) Cover Sheet to Include

(1) BAA number (HR001124S0013)
(2) Technical area;
(3) Lead Organization submitting proposal;
(4) Type of organization, selected among the following categories: "LARGE BUSINESS", "SMALL DISADVANTAGED BUSINESS", "OTHER SMALL BUSINESS", "HBCU", "MI", "OTHER EDUCATIONAL", OR "OTHER NONPROFIT";
(5) Proposer's reference number (if any);
(6) Other team members (if applicable) and type of organization for each;
(7) Proposal title;
(8) Technical point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available);
(9) Administrative point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available);
(10) Total funds requested from DARPA, and the amount of cost share (if any); AND
(11) Date proposal was submitted.

(b) Official transmittal letter

(2) Section II: Summary of Proposal

A. Technical rationale, technical approach, and constructive plan for accomplishment of technical goals in support of innovative claims and deliverable creation.
B. Innovative claims for the proposed research. This section is the centerpiece of the proposal and should succinctly describe the uniqueness and benefits of the proposed approach relative to the current state-of-art alternate approaches.
C. Deliverables associated with the proposed research and the plans and capability to accomplish technology transition and commercialization. Include in this section all proprietary claims to the results, prototypes, intellectual property, or systems supporting and/or necessary for the use of the research, results, and/or prototype. If there are no proprietary claims, this should be stated. For forms to be completed regarding intellectual property, see Section IV.B.3.i of this BAA. There will be no page limit for the listed forms.
D. General discussion of other research in this area.
E. A clearly defined organization chart for the program team which includes, as applicable: (1) the programmatic relationship of team member; (2) the unique capabilities of team members; (3) the task of responsibilities of team members; (4) the teaming strategy among the team members (5) the principal investigator (PI), co-PI, and program manager (if applicable) for each team member to include subcontractor's PI, co-PI, and program manager; and (6) the key personnel along with the amount of effort to be expended by each person during each year.
F. A summary slide of the proposed effort, in PowerPoint format, should be submitted with the proposal. Submit this PowerPoint file in addition to Volumes 1 and 2. The format for the

summary slide is included as Appendix 1 to this BAA and does not count against the page limit.

(3) Section III: Detailed Proposal Information

A. Statement of Work (SOW) - Clearly define the technical tasks/subtasks to be performed, their durations, and dependencies among them. The page length for the SOW will be dependent on the amount of the effort. For each task/subtask, provide:
    - A general description of the objective (for each defined task/activity);
    - A detailed description of the approach to be taken to accomplish each defined task/activity;
    - Identification of the primary organization responsible for task execution (prime, sub, team member, by name, etc.);
    - The completion criteria for each task/activity - a product, event or milestone that defines its completion.
    - Define all deliverables (reporting, data, reports, software, etc.) to be provided to the Government in support of the proposed research tasks/activities; and
    - Clearly identify any tasks/subtasks (to be performed by either an awardee or subawardee) that will be accomplished on-campus at a university, if applicable.
    - **Do not include any proprietary information in the SOW.**
B. Description of the results, products, transferable technology, and expected technology transfer path to supplement information included in the summary of the proposal. This should also address mitigation of life-cycle and sustainment risks associated with transitioning intellectual property for U.S. military applications, if applicable. See also Section IV.B.3.i of this BAA., "Intellectual Property."
C. Detailed technical approach enhancing and completing the Summary of Proposal.
D. Comparison with other ongoing research indicating advantages and disadvantages of the proposed effort.
E. Discussion of proposer's previous accomplishments and work in closely related research areas.
F. Description of Security Management architecture and/or approach for the proposed effort. Detail unique additional security requirements information system certification expertise for CUI or classified processing, Operation Security (OPSEC), program protection planning, test planning, transportation plans, work being performed at different classification levels, and/or utilizing test equipment not approved at appropriate classification level (may not be applicable for fundamental research).
G. Description of the facilities that would be used for the proposed effort.
H. Detail support enhancing that of Summary of Proposal, including formal teaming agreements which are required to execute this program.
I. Provide description of milestone, cost, and accomplishments.

b) Volume II, Cost Proposal

All proposers, including FFRDCs, must submit the following:

1. Cover sheet to include:

(1) BAA number (HR001124S0013);
(2) Technical area;
(3) Lead Organization submitting proposal;
(4) Type of organization selected among the following categories: "LARGE BUSINESS", "SMALL DISADVANTAGED BUSINESS", "OTHER SMALL BUSINESS", "HBCU", "MI", "OTHER EDUCATIONAL", OR "OTHER NONPROFIT";
(5) Proposer's reference number (if any);
(6) Other team members (if applicable) and type of organization for each;
(7) Proposal title;
(8) Technical point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available);
(9) Administrative point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), and electronic mail (if available);
(10) Award instrument requested: cost-plus-fixed-fee (CPFF), cost-contract—no fee, cost sharing contract – no fee, or other type of procurement contract (specify), cooperative agreement, or Other Transaction;
(11) Place(s) and period(s) of performance;
(12) Total proposed cost separated by basic award and option(s) (if any);
(13) Name, address, and telephone number of the proposer's cognizant Defense Contract Management Agency (DCMA) administration office (if known);
(14) Name, address, and telephone number of the proposer's cognizant Defense Contract Audit Agency (DCAA) audit office (if known);
(15) Date proposal was prepared;
(16) Unique Entity Identifier (UEI) number;
(17) Taxpayer Identification Number (TIN);
(18) Commercial and Government Entity (CAGE) Code;
(19) Subawardee information; and
(20) Proposal validity period.

2. Additional Cost Proposal Information

(a) Supporting Cost and Pricing Data

The proposer should include supporting cost and pricing information in sufficient detail to substantiate the summary cost estimates and should include a description of the method used to estimate costs and supporting documentation.

(b) Cost Breakdown Information and Format

Detailed cost breakdown to include:

- Total program costs broken down by major cost items (direct labor, including labor categories; subcontracts; materials; other direct costs; overhead charges, etc.) and further broken down **by task/subtask or milestone**
- Major program tasks by fiscal year
- An itemization of major subcontracts and equipment purchases.
- Documentation supporting the reasonableness of the proposed equipment costs (vendor quotes, past purchase orders/purchase history, detailed engineering estimates, etc.) shall be provided.
- A summary of projected total funding requirements **by month**
- An itemization of any information technology (IT) purchase, as defined by FAR 2.101 – Documentation supporting the reasonableness of the proposed equipment costs (vendor quotes, past purchase orders/purchase history, detailed engineering estimates, etc.) shall be provided, including a letter stating why the proposer cannot provide the requested resources from its own funding for prime and all sub-awardees.
- The source, nature, and amount of any industry cost-sharing
- 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 experts, etc.)

Tables included in the cost proposal should be in an editable (e.g. MS Excel) format with calculation formulas intact. NOTE: If PDF submissions differ from the Excel submission, the PDF will take precedence.

The Government requires that proposers* use the provided MS Excel™ DARPA Standard Cost Proposal Spreadsheet in the development of their cost proposals. A customized cost proposal spreadsheet may be an attachment to this solicitation. If not, the spreadsheet can be found on the DARPA website at http://www.darpa.mil/work-with-us/contract-management (under "Resources" on the right-hand side of the webpage). All tabs and tables in the cost proposal spreadsheet should be developed in an editable format with calculation formulas intact to allow traceability of the cost proposal. This cost proposal spreadsheet should be used by the prime organization and all subcontractors. In addition to using the cost proposal spreadsheet, the cost proposal still must include all other items required in this announcement that are not covered by the editable spreadsheet. Subcontractor cost proposal spreadsheets may be submitted directly to the Government by the proposed subcontractor via e-mail to the address in Part I of this solicitation. **Using the provided cost proposal spreadsheet will assist the Government in a rapid analysis of your proposed costs and, if your proposal is selected for a potential award, speed up the negotiation and award execution process**.
*University proposers requesting a grant, cooperative agreement, or Other Transaction for Research do not need to use the MS Excel™ DARPA Standard Cost Proposal Spreadsheet. Instead, a proposed budget and justification may be provided using the SF-424 Research & Related Budget forms provided via https://www.grants.gov.

NOTE: The cost proposal spreadsheet is a supplement to, and not a substitution for, the Cost Volume. The Cost Volume should be submitted as previously outlined.

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

(c) Subaward Proposals

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

All proprietary subaward proposal documentation, prepared at the same level of detail as that required of the proposer's proposal and which cannot be uploaded with the proposal, shall be provided to the Government either by the proposer or by the subawardee organization when the proposal is submitted. Subaward proposals submitted to the Government by the proposer's awardee should be submitted electronically to SciFy@darpa.mil, and the proposed awardee will not be allowed to view. The subawardee must provide the same number of electronic copies to the PCO/GO/AO as is required of the awardee. See Section IV.B.4. b. of this BAA for proposal submission information.

(d) Other Transaction Requests

All proposers requesting an OT 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, awardee and Government share amounts).

It is noted that, at a minimum, milestones should relate directly to accomplishment of program technical metrics as defined in the BAA and/or the proposer's proposal. Agreement type, expenditure or fixed-price based, will be subject to negotiation by the Agreements Officer. Do not include proprietary data.

3. Additional Proposal Information

a) Proprietary Markings

Proposers are responsible for clearly identifying proprietary information. Submissions containing proprietary information must have the cover page and each page containing such information clearly marked with a label such as "Proprietary"." NOTE: "Confidential" is a

classification marking used to control the dissemination of U.S. Government National Security Information as dictated in Executive Order 13526 and should not be used to identify proprietary business information.

b) Security Information

(1) Program Security Information

(a) Program Security

Proposers should include with their proposal any proposed solution(s) to program security requirements unique to this program. Common program security requirements include but are not limited to: operational security (OPSEC) contracting/sub-contracting plans; foreign participation or materials utilization plans; program protection plans (which may entail the following) manufacturing and integration plans; range utilization and support plans (air, sea, land, space, and cyber); data dissemination plans; asset transportation plans; classified test activity plans; disaster recovery plans; classified material / asset disposition plans and public affairs / communications plans.

(2) Controlled Unclassified Information (CUI)

For unclassified proposals containing controlled unclassified information (CUI), applicants will ensure personnel and information systems processing CUI security requirements are in place.

(a) CUI Proposal Markings

If an unclassified submission contains CUI or the suspicion of such, as defined by Executive Order 13556 and 32 C.F.R. Part 2002, the information must be appropriately and conspicuously marked CUI in accordance with DoDI 5200.48. Identification of what is CUI about this DARPA program will be detailed in a DARPA CUI Guide and will be provided as an attachment to the BAA or may be provided at a later date.

(b) CUI Submission Requirements

Unclassified submissions containing CUI may be submitted via DARPA's BAA Website (https://baa.darpa.mil) in accordance with Part II Section VIII of this BAA.

(c) Proposers submitting proposals involving the pursuit and protection of DARPA information designated as CUI must have, or be able to acquire prior to contract award, an information system authorized to process CUI information in accordance with (IAW) NIST SP 800-171 and DoD Instruction (DoDI) 8582.01.

(d) Unclassified Submissions

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

c) Disclosure of Information and Compliance with Safeguarding Covered Defense Information Controls

The following provisions and clause apply to all solicitations and contracts; however, the definition of "controlled technical information" clearly exempts work considered fundamental research and therefore, even though included in the contract, will not apply if the work is fundamental research.
DFARS 252.204-7000, "Disclosure of Information"
DFARS 252.204-7008, "Compliance with Safeguarding Covered Defense Information Controls"
DFARS 252.204-7012, "Safeguarding Covered Defense Information and Cyber Incident Reporting"
The full text of the above solicitation provision and contract clauses can be found at http://www.darpa.mil/work-with-us/additional-baa#NPRPAC.
Compliance with the above requirements includes the mandate for proposers to implement the security requirements specified by National Institute of Standards and Technology (NIST) Special Publication (SP) 800-171, "Protecting Controlled Unclassified Information in Nonfederal Information Systems and Organizations" (see https://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-171r2.pdf) and DoDI 8582.01 that are in effect at the time the solicitation is issued.
For awards where the work is considered fundamental research, the contractor will not have to implement the aforementioned requirements and safeguards. However, should the nature of the work change during performance of the award, work not considered fundamental research will be subject to these requirements.

d) Representations and Certifications

In accordance with FAR 4.1102 and 4.1201, proposers requesting a procurement contract must complete electronic annual representations and certifications at https://www.sam.gov/.
In addition, all proposers are required to submit for all award instrument types supplementary DARPA-specific representations and certifications at the time of proposal submission. See http://www.darpa.mil/work-with-us/reps-certs for further information on required representation and certification depending on your requested award instrument.
A small business joint venture offeror must submit, with its offer, the representation required in paragraph (c) of FAR solicitation provision 52.212-3, Offeror Representations and Certifications-Commercial Products and Commercial Services, and paragraph (c) of FAR solicitation provision 52.219-1, Small Business Program Representations, in accordance with 52.204-8(d) and 52.212-3(b) for the following categories: (A) Small business; (B) Service-disabled veteran-owned small business; (C) Women-owned small business (WOSB) under the WOSB Program; (D) Economically disadvantaged women-owned small business under the WOSB Program; or (E) Historically underutilized business zone small business.

e) Human Subjects Research (HSR)/Animal Use

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

f) Approved Cost Accounting System Documentation

Proposers that do not have a Cost Accounting Standards (CAS) compliant accounting system considered adequate for determining accurate costs that are negotiating a cost-type procurement contract must complete a Standard Form, (SF 1408). For more information on CAS compliance, see http://www.dcaa.mil. To facilitate this process, proposers should complete the SF 1408 found at https://www.gsa.gov/system/files/SF1408-14e.pdf and submit the completed form with the proposal.

g) Small Business Subcontracting Plan

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

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

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

i) Intellectual Property

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

(1) For Procurement Contracts

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

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

(2) For All Non-Procurement Contracts

Proposers responding to this BAA requesting a Cooperative Agreement or Other Transaction agreement shall follow the applicable rules and regulations governing these various award instruments, but, in all cases, should appropriately identify any potential restrictions on the

Government's use of any Intellectual Property contemplated under the award instrument in question. This includes both Noncommercial Items and Commercial Items. Proposers are encouraged use a format similar to that described in Paragraph (1) above. If no restrictions are intended, then the proposer should state "NONE."

j) System for Award Management (SAM) and Universal Identifier Requirements

All proposers must be registered in SAM unless exempt per FAR 4.1102. FAR 52.204-7, "System for Award Management" and FAR 52.204-13, "System for Award Management Maintenance" are incorporated into this solicitation. See http://www.darpa.mil/work-with-us/additional-baa for further information.
International entities can register in SAM by following the instructions in this link: https://www.fsd.gov/sys_attachment.do?sys_id=c08b64ab1b4434109ac5ddb6bc4bcbb8.

4. Submission Information

For abstract and proposal submission dates, see Part 1., Overview Information. Submissions received after these dates and times may not be reviewed.

Abstracts must be received via DARPA's BAA Website (https://baa.darpa.mil) on or before the submission dated stated in Part 1., Overview Information.

The proposal must be received via DARPA's BAA Website (https://baa.darpa.mil) on or before April 25, 2024, 12:00 PM, 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 calendar days) from date of posting on the System for Award Management, Contract Opportunities (https://SAM.gov) or Grants.gov (http://www.grants.gov). Proposals submitted after the due date specified in the BAA, but before the solicitation closing date, may be selected. Proposers are warned that the likelihood of available funding is greatly reduced for proposals submitted after the initial closing date deadline.

DARPA will acknowledge receipt of all submissions and assign an identifying control number that should be used in all further correspondence regarding the submission. DARPA intends to use electronic mail correspondence regarding HR001124S0013. Submissions may not be submitted by fax or e-mail; any submission received through fax or e-mail will be disregarded.

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

Since proposers may encounter heavy traffic on the web server, it is highly recommended that proposers not wait until the day proposals are due to request an account and/or upload the submission. Full proposals should not be submitted via e-mail. Any full proposals submitted by e-mail will not be accepted or evaluated.

a) Abstract Submission

Refer to Section VI.A.1. for DARPA response to abstract submissions.

b) Proposal Submission

Refer to Section VI.A.2. for how DARPA will notify proposers as to whether or not their proposal has been selected for potential award.

(1) For Proposers Requesting Cooperative Agreements

Proposers requesting cooperative agreements must submit proposals through one of the following methods: (1) electronic upload per the instructions at https://www.grants.gov/applicants/apply-for-grants.html (DARPA-preferred); or (2) hard-copy mailed directly to DARPA. If proposers intend to use Grants.gov as their means of submission, then they must submit their entire proposal through Grants.gov; applications cannot be submitted in part to Grants.gov and in part as a hard-copy. Proposers using Grants.gov do not submit hard-copy proposals in addition to the Grants.gov electronic submission.

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

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

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

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

- Biographical Sketch: Mandatory for Project Directors (PD) and Principal Investigators (PI), optional, but desired, for all other Senior/Key Personnel. The biographical sketch should include information pertaining to the researchers:
    - Education and Training.
    - Research and Professional Experience.
    - Collaborations and Affiliations (for conflict of interest).
    - Publications and Synergistic Activities.
- Current and Pending Support: Mandatory for all Senior/Key Personnel including the PD/PI. This attachment should include the following information:
    - A list of all current projects the individual is working on, in addition to any future support the individual has applied to receive, regardless of the source.
    - Title and objectives of the other research projects.
    - The percentage per year to be devoted to the other projects.
    - The total amount of support the individual is receiving in connection to each of the other research projects or will receive if other proposals are awarded.
    - Name and address of the agencies and/or other parties supporting the other research projects
    - Period of performance for the other research projects.

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

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

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

(2) For Proposers Requesting Procurement Contracts or OTs and Submitting to a DARPA-approved Proposal Submissions Website

Proposers requesting an Other Transaction for Research (OT-R) awarded under 10 U.S.C.§ 4021 must include the completed form indicated below. This requirement only applies only to those who expect to receive an OT-R as their ultimate award instrument.

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

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

- Biographical Sketch: Mandatory for Project Directors (PD) and Principal Investigators (PI), optional, but desired, for all other Senior/Key Personnel. The biographical sketch should include information pertaining to the researchers:
    - Education and Training.
    - Research and Professional Experience.
    - Collaborations and Affiliations (for conflict of interest).
    - Publications and Synergistic Activities.
- Current and Pending Support: Mandatory for all Senior/Key Personnel including the PD/PI. This attachment should include the following information:
    - A list of all current projects the individual is working on, in addition to any future support the individual has applied to receive, regardless of the source.
    - Title and objectives of the other research projects.
    - The percentage per year to be devoted to the other projects.
    - The total amount of support the individual is receiving in connection to each of the other research projects or will receive if other proposals are awarded.
    - Name and address of the agencies and/or other parties supporting the other research projects
    - Period of performance for the other research projects.

Additional senior/key persons can be added by selecting the "Next Person" button at the bottom of the form. Note that, although applications without this information completed may pass Grants.gov edit checks, if DARPA receives an application without the required information,

DARPA may determine that the application is incomplete and may cause your submission to be rejected and eliminated from further review and consideration under the solicitation. DARPA reserves the right to request further details from the applicant before making a final determination on funding the effort.

(3) For Proposers Requesting Procurement Contracts or OTs and Submitting to a DARPA-approved Proposal Submissions Website

Unclassified full proposals sent in response to this BAA may be submitted via DARPA's BAA Website (https://baa.darpa.mil). Note: If an account has recently been created for the DARPA BAA Website, this account may be reused. Accounts are typically disabled and eventually deleted following 75-90 days of inactivity – if you are unsure when the account was last used, it is recommended that you create a new account. If no account currently exists for the DARPA BAA Website, visit the website to complete the two-step registration process. Submitters will need to register for an Extranet account (via the form at the URL listed above) and wait for two separate e-mails containing a username and temporary password. The "Password Reset" option at the URL listed above can be used if the password is not received in a timely fashion. After accessing the Extranet, submitters may then create an account for the DARPA BAA website (via the "Register your Organization" link along the left side of the homepage), view submission instructions, and upload/finalize the proposal. Note: Even if a submitter's organization has an existing registration, each user submitting a proposal must create their own Organization Registration.

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

Classified submissions and proposals requesting cooperative agreements should NOT be submitted through DARPA's BAA Website (https://baa.darpa.mil), though proposers will likely still need to visit https://baa.darpa.mil to register their organization (or verify an existing registration) to ensure the BAA office can verify and finalize their submission. Proposal abstracts will not be accepted if submitted via Grants.gov.

Proposers using the DARPA BAA Website may encounter heavy traffic on the submission deadline date; proposers should start this process as early as possible. Technical support for DARPA's BAA Website may be reached at BAAT_Support@darpa.mil, and is typically available during regular business hours (9:00 AM – 5:00 PM Eastern Time).

5. Funding Restrictions

Not applicable.

6. Frequently Asked Questions (FAQ)

DARPA will post a consolidated Frequently Asked Questions (FAQ) document. To access the posting go to: http://www.darpa.mil/work-with-us/opportunities. Under the HR001124S0013 summary will be a link to the FAQ. Submit your question/s by E-mail to SciFy@darpa.mil. Questions must be received by the FAQ/Questions due date listed in Part 1, Overview Information.

7. Other Submission Requirements

Not applicable.

V. Application Review Information

A. Evaluation Criteria

Proposals will be evaluated using the following criteria, listed in descending order of importance:

1. Overall Scientific and Technical Merit

The proposed technical approach is innovative, feasible, achievable, and complete.

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

The proposal clearly explains the technical approach(es) that will be employed to meet or exceed each program goal and metric listed in Section I.C. and provides ample justification as to why the approach(es) is feasible. The Government will also consider the structure, clarity, and responsiveness to the Statement of Work; the quality of proposed deliverables; and the linkage of the Statement of Work, technical approach(es), risk mitigation plans, costs, and deliverables of the prime awardee and all subawardees through a logical, well structured, and traceable technical plan.

2. Potential Contribution and Relevance to the DARPA Mission

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

In addition, the evaluation will take into consideration the extent to which the proposed intellectual property (IP) rights structure will potentially impact the Government's ability to transition the technology.

3. Cost Realism

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

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

B. Review of Proposals

1. Review Process

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

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

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

2. Handling of Source Selection Information

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

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

3. Federal Awardee Performance and Integrity Information (FAPIIS)

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

4. Countering Foreign Influence Program (CFIP)

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

VI. Award Administration Information

A. Selection Notices and Notifications

1. Abstracts

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

2. Proposals

As soon as the evaluation of a proposal is complete, the proposer will be notified that (1) the proposal has been selected for funding pending award negotiations, in whole or in part, or (2) the

proposal has not been selected. These official notifications will be sent via email to the Technical Point of Contact (POC) and/or Administrative POC identified on the proposal coversheet.

B. Administrative and National Policy Requirements

1. Meeting and Travel Requirements

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

2. Solicitation Provisions and Award Clauses, Terms and Conditions

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

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

Further information on Controlled Unclassified Information identification, marking, protecting, and control, to include processing on Non-DoD Information Systems, is incorporated herein and can be found at http://www.darpa.mil/work-with-us/additional-baa.

4. Terms and Conditions

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

C. Reporting

The number and types of reports will be specified in the award document, but will include at a minimum monthly technical and financial status reports. The reports shall be prepared and submitted in accordance with the procedures contained in the award document and mutually agreed on before award. A final report that summarizes the project and tasks will be required at the conclusion of the period of performance for the award.

D. Electronic Systems

1. Wide Area Work Flow (WAWF)

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

2. i-Edison

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

E. DARPA Embedded Entrepreneur Initiative (EEI)

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

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

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

product(s) the Government needs, the PM will refer the performer to DARPA Commercial Strategy.

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

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

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

VII. Agency Contacts

Administrative, technical, or contractual questions should be sent via email to SciFy@darpa.mil. All requests must include the name, email address, and phone number of a point of contact.

Points of Contact
The BAA Coordinator for this effort may be reached at SciFy@darpa.mil.
DARPA/I2O
ATTN: HR001124S0013
675 North Randolph Street
Arlington, VA 22203-2114

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

VIII. Other Information

Proposers Day
A Proposers Day for this effort will be held on Thursday, March 7, 2024 at DARPA, 675 N Randolph St, Arlington, VA, 22203. The Special Notice regarding this Proposers Day can be found at https://creative.gryphontechnologies.com/darpa/i2o/scify/ko . For further information

regarding the Scientific Feasibility (SciFy) Proposers Day, including slides from the event, please see http://www.darpa.mil/work-with-us/opportunities under HR001124S0013.

Associate Contractor Agreement (ACA)

This same or similar language may be included in procurement contract awards against HR001124S0013. Awards other than FAR based contracts may contain similar agreement language:

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

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

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

(1) maintenance of a close liaison and working relationship;

(2) maintenance of a free and open information network with all Government-identified associate Contractors;

(3) delineation of detailed interface responsibilities;

(4) entering into a written agreement with the other Associate Contractors setting forth the substance and procedures relating to the foregoing, and promptly providing the Agreements Officer/Procuring Contracting Officer with a copy of same; and,

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

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

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

(f) Associate Contractors for the Program Name research effort include:

Contractor	Technical Area

Information for University Performers

In order to ensure that U.S. scientific and engineering students will be able to continue to make strategic technological advances, DARPA is committed to supporting the work and study of Ph.D. students and post-doctoral researchers that began work under a DARPA-funded program awarded through an assistance instrument. Stable and predictable federal funding enables these students to continue their scientific and engineering careers.

To that end, should a DARPA funded program awarded through a grant or cooperative agreement with a university or a Research Other Transaction pursuant to 10 U.S.C. § 4021 where the university is a participant end (due to termination or down-select) before the planned program completion, DARPA may continue to fund, for no more than two semesters (or equivalent), the documented costs to employ or sponsor Ph.D. students and/or post-doctoral researchers. Should such a circumstance arise, the following will take place:

1) The Government will provide appropriate notification to the University participant by the Agreements Office or through the prime performer.
2) The University must make reasonable efforts to find alternative research or employment opportunities for these students and researchers.
3) Before any costs will be paid, the University must submit documentation describing their due diligence efforts in finding alternative arrangements that is certified by a University official.
4) In addition to this documentation, the affected students and researchers must submit statements of work describing what research activities they will pursue during the period of funding and the final deliverable they will submit when the funding is complete.
5) In determining these costs, DARPA will rely on information from the University's original proposal unless specific circumstances warrant requesting updated proposals. In no circumstances will this funding be provided when the program is ended because of suspected or actual fraud or negligence.

<u>DARPA Down-Select Definition:</u>

DARPA often structures programs in phases or options that include specific objectives and a designated period of performance. This may result in potentially issuing multiple awards to maximize the number of innovative approaches. This approach allows the Government to monitor progress and enables programmatic decision points based, at a minimum, against stated evaluation criteria, metrics, funding availability, and program goals and objectives. As a result,

select performers may advance via award of a subsequent phase or through exercise of a planned option period.

All responsible sources capable of satisfying the Government's needs may submit a proposal that shall be considered by DARPA. Historically Black Colleges and Universities, Small Businesses, Small Disadvantaged Businesses and Minority Institutions 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.

IX. APPENDIX 1 – PROPOSAL SUMMARY SLIDE