



Broad Agency Announcement

Polyplexus Pilot 3

Defense Sciences Office

HR001119S0075

Amendment 1

July 1, 2020

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PART I: OVERVIEW INFORMATION

- **Federal Agency Name:** Defense Advanced Research Projects Agency (DARPA), Defense Sciences Office (DSO)
- **Funding Opportunity Title:** Polyplexus Pilot 3
- **Announcement Type:** Amendment 1
- **Funding Opportunity Number:** HR001119S0075
- **Catalog of Federal Domestic Assistance (CFDA) Number(s):** 12.910 Research and Technology Development
- **Dates** (All times listed herein are Eastern Time.)
 - Posting Date: July 3, 2019
 - Proposers Day: July 17, 2019. See Section VIII.C.
 - Polyplexus Pilot Topic Opportunity Notices will be released on <http://beta.sam.gov>
 - FAQ Submission Deadline: December 22, 2020, 4:00 p.m. See Section VIII.A.
 - BAA Close Date: December 31, 2020
- **Anticipated Individual Awards:** Approximately 20 awards at the estimated \$100,000 level are anticipated throughout the duration of this Broad Agency Announcement (BAA); however, the level of funding for individual awards has not been predetermined and will depend on the scope and quality of the proposals received, as well as the availability of funds. Individual Polyplexus Pilot Topic Opportunity Notices may provide additional guidance on award levels. See Section II for further information.
- **Types of Instruments that May be Awarded:** Procurement contracts, grants, cooperative agreements or other transactions. Individual Polyplexus Pilot 3 Opportunity Notices may provide additional guidance on types of instruments that may be awarded.
- **Agency contacts**
 - **Technical POC:** Bart Russell, Program Manager, DARPA/DSO
 - **BAA Email:** PolyplexusPilot@darpa.mil
 - **BAA Mailing Address:**

DARPA/DSO
ATTN: HR001119S0075
675 North Randolph Street
Arlington, VA 22203-2114
 - **DARPA/DSO Opportunities Website:** <http://www.darpa.mil/work-with-us/opportunities>
- **Frequently Asked Questions (FAQ):** FAQs for this Broad Agency Announcement may be viewed on the DARPA/DSO Opportunities Website. FAQs for specific Polyplexus Pilot 3 Topic Opportunities posted as incubators on <https://polyplexus.com/> will be located in the Q&A function within the appropriate incubator. See Section VIII.A for further information.

PART II: FULL TEXT OF ANNOUNCEMENT

I. Funding Opportunity Description

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

A. Introduction

The Defense Sciences Office (DSO) at the Defense Advanced Research Projects Agency (DARPA) is seeking participants for a pilot program designed to utilize modern connectivity to rapidly develop promising basic research pathways leading to basic research proposals. DSO's intent is to fund research proposals resulting from this pilot program. As with other recent DARPA/DSO opportunity announcements, the goal of this program is to deliver research proposals that seek to investigate innovative approaches to enable revolutionary advances in science, devices, or systems. In particular, this announcement is intended to support the DSO mission to anticipate scientific surprise.

Specifically excluded is research that primarily results in evolutionary improvements to the existing state of practice.

B. Background

Polyplexus is a forum for the scientific community to interact with sponsors (e.g., DARPA program managers) in order to develop solicitations in any technical domain that lead to, for example, the opportunity to propose research projects. The core premise of the Gamification for the Search for Strategic Surprise (GS3) program is that it is possible to use freedom of expression combined with modern communication technology and modalities to further accelerate the pace of research and development. The Polyplexus online platform is the core capability under development in the GS3 program. Specifically the Polyplexus platform is intended as a tool for sponsors to initially express a general scientific area of interest, and then engage with the technical research and development community through a constructive online conversation. The purpose of the structured conversation is to enable the research sponsor to guide the exploration, vetting, and refinement of a technical area of interest. The result of the conversation is then used for constructive activities such as soliciting performers to execute funded research on that topic. This BAA, Polyplexus Pilot 3, is a continuation of the Polyplexus platform pilot test.

As an inducement to participate on a platform that is not fully mature, DARPA is making research funding available (up to approximately 20 awards at an estimated \$100,000 each) for ideas and concepts of scientific merit that may emerge from the online conversation. DARPA anticipates funding awards at any time throughout the period of this opportunity (See Part I: Overview Information for due dates).

Note that submission of abstracts and proposals is not mandatory to participate in the Polyplexus platform. Researchers who desire to participate due to curiosity; the desire to learn, teach, or explore; or any other constructive reason are encouraged to do so. Exposing researchers to

information outside of their area(s) of expertise to gain the benefits of idea cross-pollination is one of the project's side benefits.

C. Program Description/Scope

The following bullets provide additional information on the Polyplexus platform, but the best way to understand the Polyplexus platform is to sign up on the www.polyplexus.com website and explore the capabilities.

- **Incubators** – The central function of Polyplexus is the online incubator. Incubators are public, structured, online conversations between the broader research community and research sponsors, which are DARPA Program Managers under this BAA. The purpose of the online conversation is to start with a general area of scientific or technical interest and then refine the topic to the point that it can be used to solicit research proposals. The sponsor sides of the conversation are the initial and updated areas of technical interest. The research community provides topic input via microPublications (μ Pubs) and topic-specific questions, both of which are submitted through the Polyplexus platform. The Program Manager contributes to the conversation by promoting or demoting the suggested μ Pubs and also by providing initial and updated guidance on the incubator area of interest. At the conclusion of the conversation the area of interest guidance is frozen. At this point DARPA solicits interested researchers to submit abstracts and subsequently proposals in response to the frozen area of interest, but DARPA may provide alternative post-conversation instructions within the individual Polyplexus Pilot Topic Opportunity Notice (see “Polyplexus Pilot Topic Opportunity” bullet below).
- **Evidence Collection** – A piece of scientific evidence, or an Evidence μ Pub as it is called on Polyplexus, is derived from primary, public, published sources such as journal articles and books, but can also be created from articles in preprint archives. Participants are expected to submit at least 10 Evidence μ Pubs and to perform short reviews of evidence generated by others for the collective benefit of the online community. Of particular interest are Evidence μ Pubs from the participants' own research papers or papers they have read. Specific instructions regarding the source, formatting, citation, and the input procedure for Evidence μ Pubs are presented on the platform. Each individual piece of evidence or evidence review should take only a few minutes to complete. All Evidence μ Pubs are public information and are available to all other participants. Evidence μ Pubs enable participants to efficiently share and promote interesting research results.
- **Conjecture Generation** – A Conjecture μ Pub links two Evidence μ Pubs with an idea, a possible relationship, or a question. Specific instructions for authoring conjectures is included on the platform. All of the content generated during this analysis phase is available to all other participants. Participants are expected to submit at least 3 Conjecture μ Pubs and to perform short reviews of conjectures generated by others for the collective benefit of the online community. Conjecture μ Pubs enable participants to contribute a reasoned potential connection between existing Evidence μ Pubs and therefore create connections across disciplines.
- **Reviews** – A fundamental part of the Polyplexus process is community review of μ Pubs before their release into the library. All participants are expected to regularly participate in μ Pub reviews, which serve two primary purposes within Polyplexus. First, they help

maintain communication quality and professionalism. Second, reviews serve to broaden the scope of information and ideas to which each participant, in this case the reviewer, is exposed. The online review process is structured so that reviews may be completed in less than 1-2 minutes and reviewers need not possess deep expertise on the technical topics discussed in the μ Pub since the review emphasis is on the quality and professionalism of the information presentation. Reviewers are not expected to verify the technical accuracy of the μ Pubs, but they are free to do so if they choose and are encouraged to do so if they intend to rely upon the μ Pub as support for a proposal or similar activity.

- Portfolio Development – All Polyplexus platform participants have access to the Evidence and Conjecture μ Pub library. The portfolio tool is provided so a participant, or a team of participants, can develop research ideas more fully by collecting μ Pubs and their own thoughts and ideas at a central location. The collection can then be exported, including supporting reference citations, for the personal use of the participant. Specific instructions about how portfolios are structured are included on the platform. Portfolios may be private or shared with a small team.

The following bullets provide additional information on how the DARPA research solicitation and award process is linked to activities on the Polyplexus platform.

- Participant Eligibility and Registration – Pilot participation is open to all eligible participants who want to engage in this online platform. Interested participants should register at www.polyplexus.com. Registration information will not be made public without the consent of the individual participant subject to U.S. law. DARPA has no intention of using the registration list for any purpose other than access to the Polyplexus platform. Users will be required to agree to the terms of the Polyplexus User Agreement in order to log into the Polyplexus website and participate in Polyplexus platform activities.
- Polyplexus Pilot Topic Opportunity: Abstracts and Proposals for research opportunities can be submitted against a Polyplexus Pilot Topic Opportunity Notice. Each Polyplexus Pilot Topic Opportunity Notice will be posted on the Beta SAM website (<http://beta.sam.gov>) and will (1) identify specific details regarding the research topic of interest and (2) provide proposal content and submission instructions in addition to those outlined in this BAA, including the due date for abstract and proposal submissions. Abstracts and proposals must only be submitted in response to an active Polyplexus Pilot Topic Opportunity Notice. Abstracts or proposals submitted in response to this BAA without an active, corresponding Polyplexus Pilot Topic Opportunity Notice will be considered non-conforming and will not be evaluated.
- Abstract Submission – If the participant wants to compete for research funding in response to a final Polyplexus Pilot Topic Opportunity Notice description in an incubator, then an abstract may be submitted to DARPA for review. See Section IV for instructions on abstract preparation and an explanation of the abstract review process. DARPA will provide a response that encourages or discourages the submission of a full proposal based upon the information in the abstract. Abstracts must only be submitted in response to an

active Polyplexus Pilot Topic Opportunity Notice posted on the Beta SAM website (<http://beta.sam.gov>).

- Proposal Submission – In order to receive research funding, a participant must submit a formal proposal. See Section IV for instructions on proposal preparation and submission. A participant may submit a proposal regardless of the feedback from the abstract phase and regardless of whether or not they submitted an abstract. Proposals must only be submitted in response to an active Polyplexus Pilot Topic Opportunity Notice posted on the Beta SAM website (<http://beta.sam.gov>).
- Fundamental Research Award – The overall goal of this process is to generate new ideas that are worthy of a DARPA award for fundamental research.
- The level of funding for individual awards made under this solicitation has not been predetermined and will depend on the scope and quality of the proposals received, as well as the availability of funds. However, DARPA anticipates that the estimated award value will be approximately at the \$100,000 level. See Section II for further information.
- This process may be modified to suit the goals and objectives of a particular Polyplexus Incubator. Process variations, including but not limited to award size, award instrument, and proposal preparation and documentation requirements, will be described in the particular Polyplexus Pilot Topic Opportunity Notice posted on the Beta SAM website (<http://beta.sam.gov>).
- DARPA may elect to use the Polyplexus platform for other purposes, such as general information requests or online workshops. These uses will also be announced through a Polyplexus Pilot Topic Opportunity Notice.

D. Program Structure

Unless otherwise specified in the Polyplexus Pilot Topic Opportunity Notice, research proposals submitted against a Polyplexus Pilot Opportunity Notice should be single phase, and no more than 12 months in duration. Abstracts and proposals must be submitted only to an active Polyplexus Pilot Topic Opportunity. (See Part I.C for additional details)

E. Technical Area Descriptions

The technical scope of this BAA is limited to fundamental research. See “Fundamental Research” paragraph below. The purpose of this exercise is to efficiently find new opportunities for the generation of new scientific knowledge and then to pursue some of those opportunities. For the purposes of this BAA, the definition of fundamental research is taken to be systematic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and of observable facts. Linking the knowledge and understanding to specific applications, processes, or products is not required, but may help move the conversation forward.

Additional information on the technical areas of interest will be provided within the Polyplexus Pilot Topic Opportunity Notices and the corresponding Polyplexus incubators. The general topic of each incubator will be announced via Polyplexus Pilot Topic Opportunity Notice. More specific definition of the area of interest will be developed within each individual incubator.

F. Schedule/Milestones

The task structure must be consistent across the proposed schedule, Statement of Work, and cost volume. For budget planning purposes proposers should assume a target start date of the first first day of the month occurring six full months from the proposal due date.

Regular teleconference meetings will be scheduled with the Government team for progress reporting as well as problems identification and mitigation. Proposers should also anticipate at least one site visit per phase by the DARPA Program Manager during which they will have the opportunity to demonstrate progress towards agreed-upon milestones.

G. Deliverables

Performers, i.e. recipients of awards issued as the result of a research proposal submitted in response to a Polyplexus Pilot Topic Opportunity Notice unless otherwise specified in the Opportunity Notice, will be expected to provide, at a minimum, the following deliverables:

- Comprehensive quarterly technical reports due within ten days of the end of the given quarter, describing progress made on the specific milestones as laid out in the Statement of Work (SOW) (only applicable for non-grant awards).
- Other negotiated deliverables specific to the objectives of the individual efforts. These may include registered reports, experimental protocols, publications, intermediate and final versions of software libraries, code, and APIs (application programming interface), including documentation and user manuals, and/or a comprehensive assemblage of design documents, models, modeling data and results, and model validation data.
- Reporting as outlined in Section VI.C.

H. Government-furnished Property/Equipment/Information

No Government-furnished property, equipment, or information will be provided other than access to the Polyplexus platform.

I. Other Program Objectives and Considerations

1. Collaboration

The Polyplexus platform is inherently collaborative. All Evidence and Conjecture μ Pubs are shared among all participants for mutual benefit.

2. Intellectual Property

A patent or other public document which contains intellectual property is an acceptable basis and citation for an Evidence μ Pub. See Section VI.B.4 for information related to protection of proprietary intellectual property.

II. Award Information

A. General Award Information

DARPA anticipates multiple awards.

The level of funding for individual awards made under each Polyplexus Pilot 3 Topic Opportunity Notice posted under this BAA will depend on the quality of the proposals received

and the availability of funds. Awards will be made to proposers¹ whose proposals are determined to be the most advantageous to the Government, all evaluation factors considered. See Section V for further information.

The Government reserves the right to:

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

Proposals identified for negotiation may result in a procurement contract, grant, cooperative agreement, or other transaction (OT), depending upon the nature of the work proposed, the required degree of interaction between parties, and other factors. Alternative procurement approaches, such as purchase orders, may be utilized if appropriate to the proposed effort. If available, the availability of alternative procurement approaches will be announced in the specific Polyplexus Pilot Opportunity Notice.

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. § 2371b(f), the Government may award a follow-on production contract or Other Transaction (OT) for any OT awarded under this BAA 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

¹ As used throughout this BAA, “proposer” refers to the lead organization on a submission to this BAA. The proposer is responsible for ensuring that all information required by a BAA--from all team members--is submitted in accordance with the BAA. “Awardee” refers to anyone who might receive a prime award from the Government, including recipients of procurement contracts, grants, cooperative agreements, or Other Transactions. “Subawardee” refers to anyone who might receive a subaward from a prime awardee (e.g., subawardee, consultant, etc.).

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

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 DARPA's consideration.

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

a. FFRDCs

FFRDCs are subject to applicable direct competition limitations and cannot propose to this BAA in any capacity unless they meet the following conditions. (1) FFRDCs must clearly demonstrate that the proposed work is not otherwise available from the private sector. (2) FFRDCs must provide a letter, on official letterhead from their sponsoring organization, 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. § 2539b may be the appropriate statutory starting point for some entities, specific supporting regulatory guidance, together with evidence of agency approval, will still be required to fully establish eligibility. DARPA will consider FFRDC 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. Foreign Participation

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. For classified submissions, this includes mitigating any Foreign Ownership Control and Influence (FOCI) issues prior to transmitting the submission to DARPA. Additional information on these subjects can be found at http://www.dss.mil/isp/foci/foci_faqs.html.

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 BAA. 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 BAA evaluation criteria and funding availability.

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

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

Include any OCIs affirmations and disclosures in Attachment G Proposal Template Vol. 3-Admin and National Policy Requirements Amendment 1.

C. Cost Sharing/Matching

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

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

IV. Application and Submission Information

Prior to submitting a full proposal, proposers are *strongly encouraged* to first submit an abstract as described below. This process allows a proposer to ascertain whether the proposed concept is: (1) applicable to the Polyplexus Pilot 3 BAA and (2) currently of interest. For the purposes of this BAA, applicability is defined as follows:

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

Abstracts and full proposals that are not found to be applicable to the Polyplexus Pilot 3 BAA as defined above may be deemed non-conforming² and removed from consideration. All abstracts and full proposals must provide sufficient information to assess the validity/feasibility of their claims as well as comply with the requirements outlined herein for submission formatting, content and transmission to DARPA. Abstracts and full proposals that fail to do so may be deemed non-conforming and removed from consideration. Proposers will be notified of non-conforming determinations via letter.

A. Address to Request Application Package

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

B. Content and Form of Application Submission

1. Abstract Information

As stated above, proposers are strongly encouraged to submit an abstract in advance of a full proposal to minimize effort and reduce the potential expense of preparing an out of scope proposal. The abstract provides a synopsis of the proposed project by briefly answering the following questions:

- What is the proposed work attempting to accomplish or do?

² “Conforming” is defined as having been submitted in accordance with the requirements outlined herein.

- How is it done today, and what are the limitations?
- Who will care and what will the impact be if the work is successful?
- How much will it cost, and how long will it take?

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

Proposers should note that a favorable response to an abstract is not a guarantee that a proposal based on the abstract will ultimately be selected for award negotiation.

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

- **Abstract Format**

All proposers are required to use Attachment A: Abstract Summary Slide Template and Attachment B: Abstract Template provided to this solicitation on <http://beta.sam.gov> and <http://www.grants.gov>. Attachment A Abstract Summary Slide Template described herein must be in .ppt or .pptx format and should be attached as a separate file to this document.

2. Full Proposal Information

Proposals consist of Volume 1: Technical and Management Volume, Volume 2: Cost Volume, and Volume 3: Administrative and National Policy Requirements Volume).

To assist in proposal development, various attachments have been provided along with the BAA posted on <http://beta.sam.gov> (Attachment C: Proposal Summary Slide Template, Attachment D: Proposal Template Volume 1 Technical & Management Volume, Attachment E: Proposal Template Volume 2 Cost Volume Amendment 1, Attachment F: MS Excel™ Cost Proposal Spreadsheet, and Attachment G: Proposal Template Volume 3 Administrative & National Policy Requirements Volume Amendment 1).

Full proposals requesting a procurement contract or other transaction (OT) must use the following attachments:

- Attachment C
- Attachment D
- Attachment E
- Attachment G

Proposers requesting a procurement contract or other transaction (OT) are also strongly encouraged to use the following attachment:

- Attachment F

Full proposals requesting a grant or cooperative agreement must use the following attachments in

addition to the Grants.gov application package:

- Attachment C
- Attachment D
- Attachment G

Proposers requesting a cooperative agreement are also strongly encouraged to use the following attachment:

- Attachment F

*Note – Budget Justification should be provided as Section L of the SF 424 Research & Related Budget form provided via Grants.gov. The Budget Justification should include the following information for the recipient and all subawardees: (1) Direct Labor: Detail the total number of persons and their level of commitment for each position listed (in sections A and B), as well as which specific tasks (as described in the SOW) they will support. (2) Equipment (section C) Provide an explanation for listed requested equipment exceeding \$5,000, properly justifying their need to meet the objectives of the program. (3) Travel (section D) Provide the purpose of the trip, number of trips, number of days per trip, departure and arrival destinations, number of people, etc. (4) Other Direct Costs (section F). Provide a justification for the items requested and an explanation of how the estimates were obtained.

Proposals not meeting the format prescribed herein may not be reviewed.

- **Full Proposal Format**

All proposers are required to use the templates provided as attachments to this solicitation on <http://beta.sam.gov> and <http://www.grants.gov>. Formatting instructions are provided therein.

3. Proprietary Information

Proposers are responsible for clearly identifying proprietary information. Submissions containing proprietary information must have the cover page and each page containing such information clearly marked with a label such as “Proprietary” or “Company Proprietary.” NOTE: “Confidential” is a classification marking used to control the dissemination of U.S. Government National Security Information as dictated in Executive Order 13526 and should not be used to identify proprietary business information. See Section V.B.1 for additional information.

4. Security Information

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

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

C. Submission Dates and Times

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

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

1. Abstracts

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

2. Full Proposals

Full proposal packages--full proposal (Volume 1: Technical and Management Volume, Volume 2: Cost Volume, and Volume 3: Administrative and National Policy Requirements Volume) and, as applicable, proprietary subawardee cost proposals, classified appendices to unclassified proposals-- must be submitted per the instructions outlined herein *and received by DARPA* no later than the due date and time listed in Part I: Overview Information. Proposals received after this time and date may not be reviewed.

D. Funding Restrictions

Not applicable.

E. Other Submission Requirements

Unclassified Submission Instructions

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

a. Abstracts

DARPA/DSO will employ an electronic upload submission system (<https://baa.darpa.mil/>) for all UNCLASSIFIED abstracts sent in response to a Polyplexus Pilot Topic Opportunity Notice. *Abstracts must not be submitted via Grants.gov.*

First time users of the DARPA BAA Submission website must complete a two-step account creation process. The first step consists of registering for an extranet account by going to the URL listed above and selecting the "Account Request" link. Upon completion of the online form, proposers will receive two separate emails; one will contain a user name and the second will provide a temporary password. Once both emails have been received, the second step requires proposers to go back to the submission website and log in using that user name and

password. After accessing the extranet, proposers may then create a user account for the DARPA BAA Submission website by selecting the “Register your Organization” link at the top of the page. Once the user account is created, proposers will be able to see a list of solicitations open for submissions, view submission instructions, and upload/finalize their abstract.

Proposers who already have an account on the DARPA BAA Submission website may simply log in at <https://baa.darpa.mil/>, select this solicitation from the list of open DARPA solicitations and proceed with their abstract submission. Note: proposers who have created a DARPA BAA Submission website account to submit to another DARPA Technical Office’s solicitations do not need to create a new account to submit to this solicitation.

All abstracts submitted electronically through the DARPA BAA Submission website must meet the following requirements: (1) uploaded as a zip file (.zip or .zipx extension); (2) only contain the document(s) requested herein; (3) only contain unclassified information; and (4) must not exceed 100 MB in size. Only one zip file will be accepted per abstract and abstracts not uploaded as zip files will be rejected by DARPA.

Technical support for the DARPA BAA Submission website is available during regular business hours, Monday – Friday, 9:00 a.m. – 5:00 p.m. Requests for technical support must be emailed to BAAT_Support@darpa.mil with a copy to PolyplexusPilot@darpa.mil. Questions regarding submission contents, format, deadlines, etc. should be emailed to PolyplexusPilot@darpa.mil. Questions/requests for support sent to any other email address may result in delayed/no response.

Since proposers may encounter heavy traffic on the web server, DARPA discourages waiting until the day abstracts are due to request an account and/or upload the submission.

Note: Proposers submitting an abstract via the DARPA BAA Submission site MUST (1) click the “Finalize” button in order for the submission to upload AND (2) do so with sufficient time for the upload to complete prior to the deadline. Failure to do so will result in a late submission.

b. Proposals Requesting a Procurement Contract or Other Transaction

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

i. Electronic Upload

DARPA/DSO encourages proposers to submit UNCLASSIFIED proposals via the DARPA BAA Submission website at <https://baa.darpa.mil/>.

First time users of the DARPA BAA Submission website must complete a two-step account creation process. The first step consists of registering for an extranet account by going to the URL listed above and selecting the “Account Request” link. Upon completion of the online form, proposers will receive two separate emails; one will contain a user name and the second will provide a temporary password. Once both emails have been received, the second step requires proposers to go back to the submission website and log in using that user name and password. After accessing the extranet, proposers may then create a user account for the DARPA BAA Submission website by selecting the “Register your Organization” link at the top of the page. Once the user account is created, proposers will be able to see a list of solicitations open for submissions, view submission instructions, and upload/finalize their proposal.

Proposers who already have an account on the DARPA BAA Submission website may simply

log in at <https://baa.darpa.mil/>, select this solicitation from the list of open DARPA solicitations and proceed with their proposal submission. *Note: proposers who have created a DARPA BAA Submission website account to submit to another DARPA Technical Office's solicitations do not need to create a new account to submit to this solicitation.*

All full proposals submitted electronically through the DARPA BAA Submission website must meet the following requirements: (1) uploaded as a zip file (.zip or .zipx extension); (2) only contain the document(s) requested herein; (3) only contain unclassified information; and (4) must not exceed 100 MB in size. Only one zip file will be accepted per full proposal and full proposals not uploaded as zip files will be rejected by DARPA.

Technical support for the DARPA BAA Submission website is available during regular business hours, Monday – Friday, 9:00 a.m. – 5:00 p.m. Requests for technical support must be emailed to BAAT_Support@darpa.mil with a copy to PolyplexusPilot@darpa.mil. Questions regarding submission contents, format, deadlines, etc. should be emailed to PolyplexusPilot@darpa.mil. Questions/requests for support sent to any other email address may result in delayed/no response.

Since proposers may encounter heavy traffic on the web server, DARPA discourages waiting until the day proposals are due to request an account and/or upload the submission. Note: Proposers submitting a proposal via the DARPA BAA Submission site MUST (1) click the “Finalize” button in order for the submission to upload AND (2) do so with sufficient time for the upload to complete prior to the deadline. Failure to do so will result in a late submission.

ii. Direct Mail/Hand-carry

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

c. Proposals Requesting a Grant or Cooperative Agreement

Proposers requesting grants or cooperative agreements may only submit proposals through ONE of the following methods: (1) electronic upload at Grants.gov (DARPA-preferred); or (2) direct mail/hand-carry 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: Proposers must 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. A§ 1681 Et. Seq.), the Department of Defense 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 STEM 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: Research and Related Senior/Key Person Profile (Expanded), available on the Grants.gov website at https://apply07.grants.gov/apply/forms/sample/RR_KeyPersonExpanded_2_0-V2.0.pdf. This form must be completed and submitted.

The Research and Related Senior/Key Person Profile (Expanded) form 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:

- Degree Type and Degree Year.
- Current and Pending Support, including:
 - 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 BAA. DARPA reserves the right to request further details from the applicant before making a final determination on funding the effort.

Proposers requesting Cooperative Agreements are not required to complete the Representations Regarding Proposed Key Personnel section in Attachment G: Volume 3: Administrative and National Policy Requirements Document Template_Amendment 1, if Form 2 is completed and submitted as part of their application through Grants.gov.

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

i. Electronic Upload

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

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

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

To avoid missing deadlines, Grants.gov recommends that proposers submit their proposals to Grants.gov 24-48 hours in advance of the proposal due date to provide sufficient time to complete the registration and submission process, receive email notifications and correct errors, as applicable.

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

ii. Direct Mail/Hand-carry

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

V. Application Review Information

A. Evaluation Criteria

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

- **Overall Scientific and Technical Merit**

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

The proposed technical team has the expertise and experience to accomplish the proposed tasks. Task descriptions and associated technical elements provided are complete and in a logical sequence with all proposed deliverables clearly defined such that a final outcome that achieves the goal can be expected as a result of award. The proposal identifies major technical risks and planned mitigation efforts are clearly defined and feasible. The proposed schedule aggressively pursues performance metrics in an efficient time frame that accurately accounts for the anticipated workload.

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

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

- **Cost 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).

B. Review and Selection Process

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

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

- **Handling of Source Selection Information**

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

37.203(d), DARPA may also request input on technical aspects of the proposals from other non-Government consultants/experts who are strictly bound by the appropriate non-disclosure requirements.

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

C. Federal Awardee Performance and Integrity Information (FAPIS)

Following the review and selection process described above, but prior to making an award above the simplified acquisition threshold (FAR 2.101), DARPA is required³ to review and consider any information available through the designated integrity and performance system (currently FAPIS). Selectees have the opportunity to comment on any information about themselves entered in the database. DARPA will consider any comments and other information in FAPIS or other systems prior to making an award.

VI. Award Administration Information

A. Selection Notices

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

B. Administrative and National Policy Requirements

1. Solicitation Provisions and Award Clauses, Terms and Conditions

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

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

The above information serves to put potential proposers and awardees on notice of proposal

³ Per 41 U.S.C. 2313, as implemented by FAR 9.103 and 2 CFR § 200.205.

requirements and award terms and conditions to which they may have to adhere.

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

All proposers must be registered in SAM unless exempt per FAR 4.1102. FAR 52.204-7, “System for Award Management” and FAR 52.204-13, “System for Award Management Maintenance” are incorporated into this BAA. 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/fsd-gov/answer.do?sysparm_kbid=dbf8053adb119344d71272131f961946&sysparm_search=KB0013221.

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

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

3. Representations and Certifications

In accordance with FAR 4.1102 and 4.1201, proposers requesting a procurement contract must complete electronic annual representations and certifications at <https://www.sam.gov/>. In addition, resultant procurement contracts will require supplementary DARPA-specific representations and certifications. See <http://www.darpa.mil/work-with-us/additional-baa> for further information.

4. Intellectual Property

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

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

liability arising from such use.

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

a. Intellectual Property Representations

All proposers must provide a good faith representation of either ownership or possession of appropriate licensing rights to all other intellectual property to be used for the proposed project. Proposers must provide a short summary for each item asserted with less than unlimited rights that describes the nature of the restriction and the intended use of the intellectual property in the conduct of the proposed research.

b. Patents

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

c. Procurement Contracts

- **Noncommercial Items (Technical Data and Computer Software):** Proposers requesting a procurement contract must list all noncommercial technical data and computer software that it plans to generate, develop, and/or deliver, in which the Government will acquire less than unlimited rights and to assert specific restrictions on those deliverables. In the event a proposer does not submit the list, the Government will assume that it has unlimited rights to all noncommercial technical data and computer software generated, developed, and/or delivered, unless it is substantiated that development of the noncommercial technical data and computer software occurred with mixed funding. If mixed funding is anticipated in the development of noncommercial technical data and computer software generated, developed, and/or delivered, proposers should identify the data and software in question as subject to GPR. In accordance with DFARS 252.227-7013, "Rights in Technical Data - Noncommercial Items," and DFARS 252.227-7014, "Rights in Noncommercial Computer Software and Noncommercial Computer Software Documentation," the Government will automatically assume that any such GPR restriction is limited to a period of 5 years, at which time the Government will acquire unlimited rights unless the parties agree otherwise. The Government may use the list during the evaluation process to evaluate the impact of any identified restrictions and may request additional information from the proposer, as may be necessary, to evaluate the proposer's assertions. Failure to provide full information may result in a determination that the proposal is non-conforming. A template for complying with this request is provided in Section IV.B.2.
- **Commercial Items (Technical Data and Computer Software):** Proposers

requesting a procurement contract must list all commercial technical data and commercial computer software that may be included in any noncommercial deliverables contemplated under the research project, and assert any applicable restrictions on the Government's use of such commercial technical data and/or computer software. In the event a proposer does not submit the list, the Government will assume there are no restrictions on the Government's use of such commercial items. The Government may use the list during the evaluation process to evaluate the impact of any identified restrictions and may request additional information from the proposer to evaluate the proposer's assertions. Failure to provide full information may result in a determination that the proposal is non-conforming. A template for complying with this request is provided in Section IV.B.2.

d. Other Types of Awards

Proposers requesting an award instrument other than a procurement contract shall follow the applicable rules and regulations governing those award instruments, but in all cases should appropriately identify any potential restrictions on the Government's use of any intellectual property contemplated under those award instruments. This includes both noncommercial items and commercial items. The Government may use the list as part of the evaluation process to assess the impact of any identified restrictions, and may request additional information from the proposer, to evaluate the proposer's assertions. Failure to provide full information may result in a determination that the proposal is non-conforming. A template for complying with this request is provided in Section IV.B.2.c.

5. Program-generated Data

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

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

All program-generated data will reside in DARPA's data repository. When possible, DARPA may share some or all of the program-generated data with the broader research community as open data (with permission to access, reuse, and redistribute under appropriate licensing terms where required) to the extent permitted by applicable law and regulations (e.g., privacy, security, rights in data, and export control). DARPA plans to enable reproducibility of results through data

sharing and to establish (or contribute to) digital collections that can advance this and other scientific fields.

6. Human Subjects Research (HSR)/Animal Use

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

7. Controlled Unclassified Information (CUI) or Controlled Technical Information (CTI) on Non-DoD Information Systems

Proposers and awardees may be subject to DoD requirements related to CUI or CTI on Non-DoD Information Systems as detailed at www.darpa.mil/work-with-us/additional-baa. OT awards under this PA may include an article related to safeguarding CUI or CTI and cyber incident reporting, when applicable. CUI and CTI guidance and/or a CUI/CTI guide may be required depending on technologies or solutions being proposed.

CUI is defined as unclassified information that requires safeguarding or dissemination controls, pursuant to and consistent with applicable law, regulations, and Government-wide policies. CTI is defined as technical information with military or space application that is subject to controls on its access, use, reproduction, modification, performance, display, release, disclosure, or dissemination. The term CTI does not include information that is lawfully publicly available without restrictions.

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

CTI is to be marked “DISTRIBUTION C. Distribution authorized to U.S. Government agencies and their contractor; Critical Technology; (Current date). Other requests for this document shall be referred to DARPA, DSO” in accordance with Department of Defense Instruction 5230.24, "Distribution Statements on Technical Documents."

Proposers should indicate if they believe their approach will include the need to access, or generate CUI or CTI in their proposal. Proposers who believe that their efforts may involve CUI or CTI should provide a plan for protecting it as part of Volume 3: Administrative and National Policy Requirements Volume. DARPA may also require the submission of a plan in individual DOs, in which case the requirement will be stated in the DO. See the attached sample OT for the terms that may be included in each negotiated OT related to safeguarding CUI/CTI and cyber incident reporting. DARPA will make a final determination if the issuance of a CUI/CTI guide is necessary during the selection process and selectees will be notified of CUI/CTI guidance during OT negotiations.

8. Electronic Invoicing and Payments

Awardees will be required to submit invoices for payment electronically via Wide Area Work

Flow (WAWF) at <https://wawf.eb.mil>, unless an exception applies. Registration in WAWF is required prior to any award under this BAA.

9. Electronic and Information Technology

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

10. Publication of Grant Awards

Per Section 8123 of the Department of Defense Appropriations Act, 2015 (Pub. L. 113-235), all grant awards must be posted on a public website in a searchable format. To comply with this requirement, proposers requesting grant awards must submit a maximum one (1) page abstract that may be publicly posted and explains the program or project to the public. The proposer should sign the bottom of the abstract confirming the information in the abstract is approved for public release. Proposers are advised to provide both a signed PDF copy, as well as an editable (e.g., Microsoft word) copy. Abstracts contained in grant proposals that are not selected for award will not be publicly posted.

11. 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://doi.org/10.6028/NIST.SP.800-171r1>) that are in effect at the time the BAA is issued

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

C. Reporting

1. Technical and Financial Reports

The number and types of technical and financial reports required under the contracted project will be specified in the award document, and will include, as a minimum, monthly financial status reports and a yearly status summary. A final report that summarizes the project and tasks

will be required at the conclusion of the performance period for the award. The reports shall be prepared and submitted in accordance with the procedures contained in the award document.

2. Patent Reports and Notifications

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

VII. Agency Contacts

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

- **Technical POC:** Bart Russell, Program Manager, DARPA/DSO
- **BAA Email:** PolyplexusPilot@darpa.mil
- **BAA Mailing Address:**
DARPA/DSO
ATTN: HR001119S0075
675 North Randolph Street
Arlington, VA 22203-2114
- **DARPA/DSO Opportunities Website:** <http://www.darpa.mil/work-with-us/opportunities>

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

VIII. Other Information

A. Frequently Asked Questions (FAQs)

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

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

B. Proposers Day

The PolyplexusPilot 3 Proposers Day was held via webcast on July 17, 2019. See DARPA-SN-19-61 posted at <https://www.darpa.mil/work-with-us/opportunities?tFilter=&oFilter=2&sort=date> for all details. Reviewing the PolyplexusPilot 3 Proposers Day materials is voluntary and is not required to propose to this solicitation.