



**Broad Agency Announcement
Cyber Insider Threat (CINDER)**

Information Innovation Office

DARPA-BAA-10-84

AMENDMENT 1

05 October 2010

Amendment 1 changes highlighted in yellow

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Part One: Overview Information

- **Federal Agency Name** – Defense Advanced Research Projects Agency (DARPA), **Information Innovation Office (I2O)**
- **Funding Opportunity Title** – Cyber-Insider Program (CINDER)
- **Announcement Type** – **Amendment**
- **Funding Opportunity Number** – DARPA-BAA-10-84
- **Catalog of Federal Domestic Assistance Numbers (CFDA)** Not applicable.
- **Key Dates**
 - Posting Date 25 August 2010
 - Proposer’s Day: September 2 and September 9, 2010
 - Abstract Due: 17 September 2010, 4:00 pm ET
 - Proposal Due Date:
 - **Initial Closing: 28 October 2010, 12:00 noon ET**
 - **Final Closing/BAA expiration: 22 February 2011, 12:00 noon ET**
- **Concise description of the funding opportunity:** DARPA is soliciting novel approaches to insider threat detection that greatly increase the accuracy, rate and speed of detection and that impede the ability of adversaries to operate within government and military interest networks.
- **Anticipated individual awards** – Multiple awards are anticipated.
- **Types of instruments that may be awarded** – Procurement contract or other transaction.
- **Technical POC:** Mr. Peiter “Mudge” Zatzko, Program Manager, DARPA/I2O
- **BAA Mailing Address:**
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3701 North Fairfax Drive
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- **BAA Website:** www.darpa.mil/ipto/solicit/solicit_open.asp
- FedBizOpps Website: <https://www.fbo.gov/>
- Registration Website: <http://cinderprogram.spcconference.com/>
- BAA Questions and Answers: DARPA-BAA-10-84@darpa.mil

Part Two: Full Text of Announcement

1. FUNDING OPPORTUNITY DESCRIPTION

This BAA is being issued, and any resultant selection will be made, using procedures under Federal Acquisition Regulation (FAR) Part 35.016, Research and Development Contracting, BAA). Any negotiations and/or awards will use procedures under FAR Subpart 15.4, Contract Pricing, as specified in the BAA. Proposals received as a result of this BAA shall be evaluated in accordance with evaluation criteria specified herein through a scientific review process.

The Defense Advanced Research Projects Agency often selects its research efforts through the Broad Agency Announcement (BAA) process. The BAA will appear first on the FedBizOpps website, <http://www.fbo.gov/>. Two (2) Proposers' Days Conferences will be held to provide information on the Cyber Insider Threat (CINDER) program; promote additional discussion on this topic; address questions from potential proposers; and provide a forum for potential proposers to present their capabilities for teaming opportunities. A Special Notice will be posted on the <http://www.fbo.gov/> and <http://cinderprogram.spconference.com/> announcing Proposers' Days Conferences. The following information is for those wishing to respond to the BAA.

1.1. PROGRAM OVERVIEW

1.1.1 Background

1.1.2 Program Definitions

Insider Threat: Any efforts within an environment that are being performed in support of an adversary mission or goal. For this definition, environment refers to computer systems, networks, communications mediums, infrastructure devices, etc.

Insider Mission: A particular adversary goal made up of one or more dimensions of activity. The mission may be performed in numerous ways but will always require certain actions or activities to be accomplished in order to meet the goal (e.g. one must identify items prior to being able to modify or exfiltrate them).

Dimension of a mission (aka dimensions of activity): A component of a mission that is required for an adversary to complete said mission. A dimension may comprise a group of related actions or activities.

Activities, observables, 'tells': Components of a dimension that are detectable or that provide artifacts after being performed and may provide a hint as to the true nature or intent of the activity, observable, or 'tell'. A 'tell' in a game of poker may come as a particular physical nuance that a player unknowingly engages in each time they are bluffing. Similarly, an employee who is seen always looking over their shoulders to see if they are being monitored while they perform a particular allowable activity may be tipping their hat to the true nature behind their activity.

Constraints: Limitations in any area of the mission that may preclude or influence how the mission is performed. Constraints may be due to many reasons including particular capabilities and resources of adversaries, the amount of risk aversion an adversary has, the type of access an insider has and whether insiders engaged in insider threat are doing so knowingly or unknowingly, etc.

Insiders are a dangerous threat to our network systems because insiders operate from within our networks; and easily evade existing security measures. Insiders do not attack – instead they use legitimate accesses in support of their operations. Traditional defenses operate under the assumption that existing systems and networks are currently uncompromised. These defenses model normal behavior and look for deviations or look for outsider activities on internal systems in a perimeter centric defensive approach (intrusion detection, firewalls, and anti-virus). Modeling the actions of legitimate users to watch for changes in their behavior over time (deltas) has proven problematic and identifying system and network events endemic of attacks does not account for insider threats comprised of legitimate activities. Thus traditionally both physical and virtual insider threats have been largely identified due only to incompetence on the part of the perpetrator or by accident.

1.1.3 Program Objective and Vision

The Cyber **Insider** Threat (CINDER) program will develop novel approaches to detect ongoing activities conducted in support of adversary goals within government and military interest systems and networks¹. The goal of CINDER will be to greatly increase the accuracy, rate and speed with which insider threats are detected and impede the ability of adversaries to operate undetected within government and military interest networks.

What sets the insider threat apart from other adversaries is the use of normal tactics to accomplish abnormal and malicious missions. While an insider's individual isolated actions are not anomalous, the mission they are ultimately supporting is. Comparing adversary mission contexts with normal activities is expected to allow the identification of a series of events or activities that together reveal efforts supporting external missions.

To this end, CINDER starts with the premise that most systems and networks have already been compromised by various types and classes of adversaries. These adversaries are already engaged in what appear to be legitimate activities, while actually supporting adversary missions. Thus, this program does not focus on intrusion prevention but instead seeks to identify ongoing missions at various points in their lifecycles with extremely high confidence and without false alarms.

By applying the research results of the CINDER program to “normal” activity on internal environments the Government expects to expose hidden operations within networks and systems. Cyber-insider will greatly increase the ability to identify insider missions in the areas of

¹ For purposes of this BAA, *military and government interest systems and networks* refers to systems exclusively for the use of the DoD or US government or in the case of not for exclusive DoD or US government use, systems whose failure or compromise would adversely affect DoD or US Government operations or interests.

accuracy, rate and speed and also impede the ability of adversaries to operate undetected within government and government interest networks.

CINDER is envisioned as a three phase program. Phase I will establish a fundamental understanding of various adversary missions and observables as well as the techniques and approaches to identify them as part of an insider threat. Phase II will develop a system utilizing information from Phase I to create a system that is capable of identifying multiple missions. Phase III will demonstrate the Phase II system at scale on real world environments.

This BAA addresses Phase I of this program only. The intent is that performer missions, successfully defined in Phase I (see Program Metrics, Section 1.2 as guidance) may be transitioned to Phase II efforts. However, proposing in Phase I is not a requirement for proposing in Phase II and III. Each performer (contingent upon successful negotiations, funding and successful performance) will be funded for up to a 14 month Phase I. A subsequent BAA will be issued that will address program Phases II and III.

Insider threat is a broad term covering many possible behaviors and actions all of which are designed to accomplish abnormal and malicious missions. One of the key points of this approach is to first define what types of threats need to be detected. A mission will be a single goal which insider(s) might be tasked with. A mission might be carried out by a single actor, or be distributed throughout a ring of actors. In either case, the goal of this effort is to detect the mission itself. If we were looking for the insider actor himself, we might not detect someone who performs a single, isolated task and we run the risk of being inundated with false positives from events being triggered without context of a mission. These are some of the primary reasons for focusing on the mission. The key elements of Phase I are as follows:

- Identify types of missions and adversaries that may be assumed to be underway
- Determine various dimensions of actions/activities required by the mission
- Determine observables, constraints, and ‘tells’ within these dimensions
- Understand interrelationships of dimensions within a mission
- Demonstrate the ability to identify cyber insider missions

Each proposal will address a single mission. However, organizations will be permitted to submit multiple proposals and/or abstracts if they wish to address more than a single mission. Abstracts and/or proposals will need to describe the following:

- What mission is being identified?
- What is the relevance and importance of identifying such missions?
- What are the dimensions that make up this mission?
- What are example actions that may happen within each dimension?
- How will the performer detect observable activities in these dimensions and what sources of data would be required to detect these observables?
- What types of adversaries that may be expected to engage in the mission and what constraints does this place on the dimensions within the mission the adversary may or may not engage in?

Towards the end of the period of performance, performers will need to demonstrate a proof of concept capability to identify their proposed mission in a mock-up environment.

The performer will be expected to demonstrate the ability to identify elements of a mission and to extrapolate from the presence of these elements that a particular mission exists within a dataset. The performer may demonstrate this capability on self-prepared data they believe would be representative of the environment and scenario they are demonstrating.

It is expected that individual dimensions within a mission may produce substantial numbers of false positives. This is acceptable providing the performer is able to demonstrate ways to mitigate false positives in any particular dimension and show that a path towards no false positives for mission identification is possible. As examples of how this may be achieved, consider a mission where positive identification requires identification of at least 3 out of 5 dimensions in support of the mission. While activity in support of a single dimension within a mission may not provide strong evidence of the mission, activity across three or more of the dimensions may approach absolute surety. Similarly, thresholds for alarms within dimensions may be dynamically adjusted based upon which other dimensions have already seen likely activity. In this latter example, if a mission requiring 5 distinct dimensions of activity that must happen in a particular order sees activity in the 4th dimension it may reduce the trigger threshold for sensors monitoring the 5th dimension.

Performers should plan on assisting independent government validation and verification teams.

Government validation and verification teams may apply some of the techniques and approaches brought forward by performers against government data sets. This will be conducted to further assess the value and capabilities of the performer's efforts in identification of historic and ongoing insider threat on real world data sources. It is expected that performers will make themselves available to answer questions and provide guidance should the government teams need additional clarification from performers on their approaches for this effort.

1.1.3.1 Example - Insider Threat Mission with Dimensions of Activities

This example describes an insider mission, some dimensions of activities that may be required for an adversary to succeed in said mission and how they are interrelated. This example also describes the types of adversaries that may engage in the mission, what constraints that imposes and what observables may be used to identify dimensions of activities within the larger insider mission.

Example Insider Mission: Remain persistent within an environment and continuously identify and exfiltrate actionable intelligence as it is discovered.

A variety of possible actions are required to support this mission. There are, however, certain categories of events which would have to occur in order for the mission to be successfully completed. We will call these the dimensions of the mission. Our example mission may be broken down into several dimensions, with associated activities, as shown here.

Dimensions and example activities required to perform insider mission:

- (A) Locate Data Repositories
 - a. Local file system exploration
 - b. Passive network monitoring
 - c. Identification of network shortcuts (\\fileserver\desktop-lnk)
 - d. References to organization data repositories within local documents
 - e. Advertised network shares
 - f. Web history
 - g. Local network scanning
 - h. ...
- (B) Search each data repository (identified in A) for documents of interest
 - a. Iterative walk of the file system (index)
 - b. Identify keywords within files (search file contents)
 - c. Identify relevant file attributes (search file metadata)
 - d. Analysis of temporary files and caches
 - e. ...
- (C) Retrieve documents of interest
 - a. Pull each network accessible file back to host individually
 - b. Concatenate files remotely and transfer to client
 - c. ...
- (D) Prepare documents for exfiltration
 - a. Perform local analysis of good versus bad documents
 - b. Encode documents for network transmission
 - c. Print documents across local network
 - d. Burn to CD
 - e. ...
- (E) Exfiltrate information
 - a. Physically walk data off premises
 - b. Transmit documents to external system
 - i. Web/HTTP
 - ii. E-mail
 - c. ...
- (F) Avoid detection to permit continued mission operation
 - a. Surveillance Detection Routine (SDR)
 - b. Intentional self-throttling of activities used in pursuing other tasks
 - c. ...

Each mission will require the types of adversaries being considered for the mission to be described.

Proposed adversary #1: For this example the adversary is considered to be an actor that has valid credentials to a user system but only has virtual access capabilities (non-physical presence).

Proposed adversary #2: ... etc.

By specifying the adversaries that may be engaged in the proposed mission, this will provide certain constraints to activities within identified dimensions. In this example proposed adversary #1 does not have a physical presence and as such printing out documents to walk them out the door may not be a valid activity in support of dimensions D and E of this mission. Proposals should discuss the types of adversaries being considered for the mission and any constraints that may be imposed on the adversaries.

Any dimensions that are perceived to have novel or unique characteristics should be called out. For example, dimension F from the above list is special in that it is a dimension that may be present in all of the other identified dimensions. Throughout his or her activities, in this example, an adversary may perform surveillance detection activities in order to ensure continued ongoing mission operations. Physical world examples of surveillance detection may include actions such as taking suboptimal driving routes to detect whether you are being followed. Network and system examples may include frequent analysis of who is logged in to a particular system, unusual interest in log files, or certain repeated non-standard queries to databases. These characteristics are all in support of determining if one's mission has been identified. As insider threat missions are often times intended to be ongoing, the presence of surveillance detection may be a dimension present in many types of missions.

Each of these dimensions comes with its own set of observables for the defender to detect. For example dimension B, searching data repositories for items of interest, may be observable by identifying file accesses that display a breadth-centric rather than depth-centric approach. In the case of breadth-centric file access, actors may unknowingly convey a lack of a-priori knowledge of file system structure and layout and divulge the fact that they may be in a learning or reconnaissance mode. This program focuses on identifying anomalous missions that may be comprised of entirely "legitimate" activities, observables and the data sources they will be derived from. The performer should therefore strive to make use of logs and accounting information that tracks allowed activities rather than depending entirely on alerts from monitoring systems focused on anomalous or disallowed activities. Performers should describe the types of observables they intend to focus on. The performer will also be expected to describe the types of data sources that would be required to identify observables within the dimensions of missions of their approach.

While there may be many false positives within a single dimension or observable, the interplay between dimensions within a mission should allow these to be winnowed out. There is a natural order of events to certain components within a given mission, so mission detection should reflect that. It should be noted, of course, that this order may not be strictly linear for all components of missions. Some actions will be repeated, and some may feed back into previous steps. As insider missions are often ongoing, it may not be a requirement to identify the mission at a particular step but rather that the mission may be identified at various steps within its lifecycle. For example, if step D reveals that no useful data was retrieved, the actor will have to return to steps A and B, in order to identify and search new data repositories. It may also be the case that the actor is continuously engaged in steps A and B in an attempt to detect new data sources for analysis.

Some dimensions might go undetected or may not be feasible to detect so some gaps are allowable in observed dimensions of activity. Similarly, some dimensions may be optional. Therefore, there should be some critical mass of detections required before one can assume that an insider threat mission is being pursued. The performer will be expected to identify the relationships and requirements, or lack thereof, between the dimensions within their chosen mission.

1.2 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 the Government hereby promulgates the following program metrics. These metrics serve as the basis for determining whether satisfactory progress is being made to warrant continued funding of the program. 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.

Proposals should cite quantitative and/or qualitative program success criteria for each of the following performance metrics:

- Coverage provided of insider threat mission.
- Scalability of algorithms, data input sources, and dimensional components of missions.
- Flexibility of approach to mission identification.
 - Define the impacts that will be realized with the loss of detection of various dimensions within the mission.
 - Identify the redundancies that exists in the approach to correct false negatives and reduce false positives.
- Novelty of identified mission components and their relationships.
- Impedance imposed on adversary to evade detection.
 - Define the expected capabilities of an adversary to conduct the identified mission without any detection in place.
 - Define how much of a reduction in throughput/capabilities the adversary would have to accept to perform their mission undetected with the proposed mission detection in place (.01%; .001%; .0001%; 0000001%?)
- Robustness to adversary techniques for obfuscation of mission(s).
- Ability to address and/or mitigate false positives and false negatives in mission identification.
- Applicability to real world missions and real world data sources.
- Performer-supplied mission metrics.

2. AWARD INFORMATION

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

The Government reserves the right to select for negotiation all, some, one, or none of the proposals received in response to this solicitation, and to make awards without discussions with proposers. The Government also reserves the right to conduct discussions if it is later determined to be necessary. If warranted, portions of resulting awards may be segregated into pre-priced

options. Additionally, DARPA reserves the right to accept proposals in their entirety or to select only portions of proposals for award. In the event that DARPA desires to award only portions of a proposal, negotiations may be opened with that proposer.

Awards under this BAA will be made to proposers on the basis of the evaluation criteria listed below (see section labeled “Application Review Information”, Sec. 5.), and program balance to provide overall value to the Government. Proposals identified for negotiation may result in a procurement contract **or other transaction agreement** depending upon the nature of the work proposed, the required degree of interaction between parties, and other factors. The Government reserves the right to request any additional, necessary documentation once it makes the award instrument determination. Such additional information may include but is not limited to Representations and Certifications. The Government reserves the right to remove proposers from award consideration should the parties fail to reach agreement on award terms, conditions and cost/price within a reasonable time or the proposer fails to timely provide requested additional information.

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

3. ELIGIBILITY INFORMATION

3.1 ELIGIBLE APPLICANTS

All responsible sources capable of satisfying the Government's needs may submit a proposal that shall be considered by DARPA. Historically Black Colleges and Universities (HBCUs), Small Businesses, Small Disadvantaged Businesses and Minority Institutions (MIs) are encouraged to submit proposals and join others in submitting proposals; however, no portion of this announcement will be set aside for these organizations' participation due to the impracticality of reserving discrete or severable areas of this research for exclusive competition among these entities.

Federally Funded Research and Development Centers (FFRDCs) and Government entities (Government/National laboratories, military educational institutions, etc.) are subject to applicable direct competition limitations and cannot propose to this BAA in any capacity unless they address the following conditions. FFRDCs must clearly demonstrate that the proposed work is not otherwise available from the private sector AND must also provide a letter on letterhead from their sponsoring organization citing the specific authority establishing their eligibility to propose to government solicitations and compete with industry, and compliance with the associated FFRDC sponsor agreement and terms and conditions. This information is

required for FFRDCs proposing to be prime or subcontractors. Government entities must clearly demonstrate that the work is not otherwise available from the private sector and provide written documentation citing the specific statutory authority (as well as, where relevant, contractual authority) establishing their ability to propose to Government solicitations. At the present time, DARPA does not consider 15 U.S.C. 3710a to be sufficient legal authority to show eligibility. While 10 U.S.C. 2539b may be the appropriate statutory starting point for some entities, specific supporting regulatory guidance, together with evidence of agency approval, will still be required to fully establish eligibility. DARPA will consider eligibility submissions on a case-by-case basis; however, the burden to prove eligibility for all team members rests solely with the Proposer.

Foreign participants and/or individuals may participate to the extent that such participants comply with any necessary Non-Disclosure Agreements, Security Regulations, Export Control Laws, and other governing statutes applicable under the circumstances. See Section 4.2 “Security and Proprietary Issues” regarding the proposer’s capabilities to perform research and development at the classification level proposed.

Applicants considering classified submissions (or requiring access to classified information during the life-cycle of the program) shall ensure all industrial, personnel, and information system processing security requirements are in place and at the appropriate level (e.g., Facility Clearance (FCL), Personnel Security Clearance (PCL), certification and accreditation (C&A)) and any Foreign Ownership Control and Influence (FOCI) issues are mitigated prior to such submission or access. Additional information on these subjects can be found at: www.dss.mil.

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

Current federal employees are prohibited from participating in particular matters involving conflicting financial, employment, and representational interests (18 USC 203, 205, and 208.). The DARPA Program Manager for this BAA is Mr. Peiter “Mudge” Zatkan. Once the proposals have been received, and prior to the start of proposal evaluations, the Government will assess potential conflicts of interest and will promptly notify the proposer if any appear to exist. (Please note the Government assessment does NOT affect, offset, or mitigate the proposer’s own duty to give full notice and planned mitigation for all potential organizational conflicts, as discussed below.)

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

If, in the sole opinion of the Government after full consideration of the circumstances, any conflict situation cannot be effectively mitigated, the proposal may be rejected without technical evaluation and withdrawn from further consideration for award under this BAA. Proposals that fail to fully disclose potential conflicts of interests (including those of their subcontractors and consultants) and/or do not include in their proposal plans to mitigate this conflict may be rejected without technical evaluation and withdrawn from further consideration for award.

3.2 COST SHARING/MATCHING

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

4. APPLICATION AND SUBMISSION INFORMATION

4.1 ADDRESS TO REQUEST APPLICATION PACKAGE

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

4.2 SECURITY AND PROPRIETARY ISSUES

Security classification guidance via a DD Form 254 will not be provided at this time since DARPA is soliciting ideas only. After reviewing the incoming proposals, if a determination is made that the award instrument may result in access to classified information a DD Form 254 will be issued and attached as part of the award.

Proposers must have existing and in-place prior to execution of an award, approved capabilities (personnel and facilities) to perform research and development at the classification level they propose.

The Government anticipates proposals submitted under this BAA will be unclassified.

NOTE: If proposals are classified, the proposals must indicate the classification level of not only the proposal itself, but also the anticipated award document classification level. Proposers choosing to submit a classified proposal from other classified sources must first receive permission from the respective Original Classification Authority in order to use their information in replying to this BAA. Applicable classification guide(s) should also be submitted to ensure the proposal is protected at the appropriate classification level. However, if a proposal is submitted as “Classified National Security Information” as defined by Executive Order 12958 as amended, then the information must be marked and protected as though classified at the appropriate classification level and then submitted to DARPA for a final classification determination. Submissions requiring DARPA to make a final classification determination shall be marked as follows: “CLASSIFICATION DETERMINATION PENDING. Protect as though

classified (insert the recommended classification level: (e.g., Top Secret, Secret or Confidential))”

Classified submissions shall be appropriately and conspicuously marked with the proposed classification level and declassification date. In addition, classified submissions shall be in accordance with the following guidance:

Confidential and Secret Collateral Information: Use classification and marking guidance provided by previously issued security classification guides, the Information Security Regulation (DoD 5200.1-R), and the National Industrial Security Program Operating Manual (DoD 5220.22-M) when marking and transmitting information previously classified by another Original Classification Authority. Classified information at the Confidential and Secret level may be submitted via one of the two following methods:

- hand carried by an appropriately cleared and authorized courier to the DARPA CDR. Prior to traveling, the courier shall contact the DARPA CDR at 571 218-4842 to coordinate arrival and delivery
- or
- mailed via appropriate U.S. Postal Service methods (e.g., USPS Registered Mail or USPS Express Mail). All classified information will be enclosed in opaque inner and outer covers and double wrapped. The inner envelope shall be sealed and plainly marked with the assigned classification and addresses of both sender and addressee. The inner envelope shall be addressed to:

Defense Advanced Research Projects Agency
ATTN: Information Innovation Office
Reference: DARPA-BAA-10-84
3701 North Fairfax Drive
Arlington, VA 22203-1714

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

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

All Top Secret materials: Top Secret information should be hand carried by an appropriately cleared and authorized courier to the DARPA CDR. Prior to traveling, the courier shall contact the DARPA CDR at 571 218-4842 to coordinate arrival and delivery.

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

Sensitive Compartmented Information (SCI): SCI must be transmitted via approved methods. Prior to transmitting SCI, contact the DARPA Special Security Office (SSO) at 703-248-7213 for instructions.

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

Intellectual Property: See Section 8.2 of this BAA.

4.3 CONTENT AND FORM OF APPLICATION SUBMISSION

4.3.1 Abstract and Proposal Information

Abstracts are expected to provide a general overview of why their proposed Insider Threat Mission is of value to detect, and to discuss how and why they believe they will be able to successfully demonstrate such detection capability.

Proposers are strongly encouraged, but not required, to submit an abstract in advance of a proposal. This procedure is intended to minimize unnecessary effort in proposal preparation and review. The time and date for submission of abstracts is specified in Section 4.5.1. DARPA will acknowledge receipt of the submission and assign a control number that should be used in all further correspondence regarding the abstract. DARPA will attempt to respond to proposal abstracts with a statement regarding DARPA's interest within fourteen (14) calendar days of receipt. Abstracts will be reviewed in the order they are received. Proposal abstracts should be submitted by email.

Abstracts should be sent by email to DARPA-BAA-10-84@darpa.mil. The email should include attachments with a Word and a PDF version of the abstract. The email subject line should include the statement "DARPA-BAA-10-84 [Organization Name] Abstract". Abstracts are required to provide specific details in all of the areas touched upon in Section 1.1.3 and to describe their proposed proof-of-concept demonstration, what data sources it will require, and how the solution might be transitioned to government environments or later incorporated within a larger system of insider threat detection.

Proposers are required to submit full proposals by the time and date specified in the BAA (Section 4.5.1) in order to be considered during the initial round of selections. DARPA may evaluate proposals received after this date for a period up to 180 days from date of posting on FedBizOpps. Selection remains contingent on availability of funds.

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

Restrictive notices notwithstanding, proposals may be handled, for administrative purposes only, by a support contractor. This support contractor is prohibited from competition in DARPA technical research and is bound by appropriate nondisclosure requirements.

DARPA will employ an electronic upload submission system for all **UNCLASSIFIED** responses to this BAA. See also Section 4.8. Other Submission Requirements below. Responding to this announcement requires completion of an online cover sheet for each proposal

prior to submission. To do so, the proposer must go to <https://www.csc-ballston.com/baa/index.asp?BAAid=10-84> and follow the instructions there. Upon completion of the online cover sheet, a Confirmation Sheet will appear along with instructions on uploading proposals. The Confirmation Sheet will be used as the Cover Sheet for the proposal and will contain the information outlined below in Appendix 3. If an proposer intends to submit more than one proposal, a unique UserId and password must be used in creating each cover sheet. Once the upload is complete, a confirmation will appear and should be printed for the proposer's records.

All uploaded proposals must be zipped and encrypted using Winzip or PKZip with 256-bit AES encryption. Only one zipped/encrypted file will be accepted per proposal. Proposals which are not zipped/encrypted will be rejected by DARPA. An encryption password form must be completed and emailed to the BAA mailbox at the time of proposal submission. See https://www.CSC-ballston.com/baa/Encryption_Instructions.htm for the encryption password form and additional encryption information. Note: the word "PASSWORD" must appear in the subject line of the above email and there are minimum security requirements for establishing the encryption password. Failure to provide the encryption password may result in the proposal not being evaluated.

Since proposers may encounter heavy traffic on the web server, they SHOULD NOT wait until the day the proposal is due to fill out a coversheet and submit the proposal! Technical support for the web server and upload submission issues is typically available during regular business hours (9:00 – 5:00 ET, Monday-Friday).

All administrative correspondence and questions on this solicitation, including requests for information on how to submit an abstract or proposal to this BAA, should be directed to DARPA-BAA-10-84@darpa.mil. DARPA intends to use electronic mail for correspondence regarding DARPA-BAA-10-84. Abstracts should be submitted by e-mail. Proposals should not be submitted by fax or e-mail; any so sent will be disregarded. DARPA encourages use of the Internet for retrieving the BAA and any other related information that may subsequently be provided.

Early proposal submissions are strongly encouraged because selections may be made at any time during the period of solicitation. Regardless of DARPA's response to an abstract, proposers may submit a full proposal. DARPA will review all full proposals submitted using the published evaluation criteria and without regard to any comments resulting from the review of an abstract.

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

4.3.2 Restrictive Markings on Proposals

All proposals should clearly indicate limitations on the disclosure of their contents. Proposers who include in their proposals data that they do not want disclosed to the public for any purpose, or used by the Government except for evaluation purposes, shall-

(1) Mark the title page with the following legend:

This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed-in whole or in part-for any purpose other than to evaluate this proposal. If, however, a contract is awarded to this proposer as a result of, or in connection with, the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets [insert numbers or other identification of sheets]; and

(2) Mark each sheet of data it wishes to restrict with the following legend:

Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal.

Markings like "Company Confidential" or other phrases that may be confused with national security classifications shall be avoided. See Section 4.2, for additional information.

4.4 FORMATTING CHARACTERISTICS

4.4.1 Abstract Format

Abstracts are encouraged in advance of proposals in order to provide potential proposers with a rapid response to minimize unnecessary effort. Abstracts should follow the same general format as described for Proposal Volume I (4.4.2.1), but include ONLY Sections I and II. Part C of Section II should be omitted in the abstract only. Part C of Section II is required in the proposal. The total abstract length should not exceed five (5) pages, excluding cover page. When printed, all pages should conform to an 8-1/2 by 11 inch standard with type not smaller than 12 point. Smaller font may be used for figures, tables and charts. The page limitation for abstracts includes all figures, tables, and charts. No formal transmittal letter is required. All abstracts must be written in English.

4.4.1.1. Abstract (5 page Limit)

Section I. Administrative

A. Abstract Cover Page (See APPENDIX 1 of this BAA)

Section II. Summary of Abstract

See APPENDIX 2 of this BAA for a sample abstract template. In the sample, only Parts A-E and G are applicable. Part F is Not Applicable.

4.4.2 Proposal Format

All proposals must be in the format given below. Nonconforming proposals may be rejected without review. Proposals shall consist of two volumes. All pages shall be printed on 8-1/2 by 11 inch paper with type not smaller than 12 point. Smaller font may be used for figures, tables and charts. All proposals must be written in English.

The page limitation for proposals includes all figures, tables, and charts. The total length of the Volume I, Technical and Management Proposal should not exceed twenty (20) pages, excluding

the cover page, sections III.J-O or bibliography. The proposal may include an attached bibliography of relevant technical papers or research notes (published and unpublished) which document the technical ideas and approach upon which the proposal is based. Copies of not more than three (3) relevant papers can be included with the submission. The bibliography and attached papers are not included in the page counts given below. The submission of other supporting materials along with the proposals is strongly discouraged and will not be considered for review.

4.4.2.1 Volume I, Technical and Management Proposal (20 page limit)

Section I. Administrative

- A. Proposal Cover Sheet (See APPENDIX 3 to this BAA)
- B. Official Transmittal Letter

Section II. Summary of Proposal

- A. Innovative claims for the proposed research. This section is the centerpiece of the proposal and should succinctly describe the uniqueness and benefits of the proposed approach relative to the current state-of-art alternate approaches.
- B. Deliverables associated with the proposed research and the plans and capability to accomplish technology transition and commercialization. Include in this section all proprietary claims to the results, prototypes, intellectual property, or systems supporting and/or necessary for the use of the research, results, and/or prototype. If there are not proprietary claims, this should be stated. This section should list all technical data, computer software, or computer software documentation to be provided with other than unlimited rights in accordance with DFARS Clause 252.227-7017 IDENTIFICATION AND ASSERTION OF USE, RELEASE, OR DISCLOSURE RESTRICTIONS (JUNE 1995). Reference section 8.2. A sample list for complying with this request is as follows:

Reporting Deliverables	
Item	Date/Frequency
(LIST)	(LIST)

Tech Deliverables		
Item	Deliverable Date	Deliverable Location
(LIST)	(LIST)	(LIST)

- C. Summarize, in table form, cost, schedule, and milestones for the proposed research, including estimates of cost for each deliverable and total cost. Include estimates of cost for each task in each year of the effort delineated by the prime and major subcontractors, total cost and company cost share, if applicable. **Note: Measurable milestones should capture key development points in tasks and should be clearly articulated and defined in time relative to start of effort.** These milestones should enable and support a decision for the next part of the effort. Additional interim non-critical management milestones are also highly encouraged at a regular interval.

- D. Technical rationale, technical approach, and constructive plan for accomplishment of technical goals in support of innovative claims and deliverable production. (In the proposal, this section should be supplemented by a more detailed plan in Section III.)
- E. General discussion of the proposed effort compared with other ongoing research in this area, indicating advantages and disadvantages.
- F. A clearly defined organization chart for the program team which includes, as applicable: (1) the programmatic relationship of team member; (2) the unique capabilities of team members; (3) the task of responsibilities of team members; (4) the teaming strategy among the team members; and (5) the key personnel along with the amount of effort to be expended by each person during each year.
- G. A three slide summary of the proposal in PowerPoint that quickly and succinctly indicates the concept overview, key innovations, expected impact, and other unique aspects of the proposal. The format for the summary slides is included as APPENDIX 6 to this BAA and does not count against the page limit.

Section III. Detailed Proposal Information

- A. Statement of Work (SOW) - In plain English, 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.
 - Clearly identify any tasks/subtasks (prime or subcontracted) that will be accomplished on-campus at a university.

Do not include any proprietary information in the SOW.

- B. Description of the results, products, transferable technology, and expected technology transfer path enhancing that of Section II. B. 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 8.2 “Intellectual Property.”
- C. Detailed technical rationale enhancing that of Section II.
- D. Detailed technical approach enhancing and completing that of Section II.
- E. Compare the proposed effort with other ongoing research in this area. Describe the advantages and disadvantages of the proposed effort in comparison with other relevant research.
- F. Discussion of proposer’s previous accomplishments and work in closely related research areas.

- G. Description of the facilities that would be used for the proposed effort. This section should address how safeguarding of materials will be handled at each facility to include classified materials when applicable.
- H. Detail support enhancing that of Section II, including formal teaming agreements which are required to execute this program.
- I. Cost schedules and measurable milestones for the proposed research, including estimates of cost for each task in each year of the effort delineated by the primes and major subcontractors, total cost, and any company cost share. **Note: Measurable milestones should capture key development points in tasks and should be clearly articulated and defined in time relative to start of effort.** These milestones should enable and support a decision for the next part of the effort. Additional interim non-critical management milestones are also highly encouraged at regular intervals. 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. Additionally, proposals should clearly explain the technical approach(es) that will be employed to meet or exceed each program metric and provide ample justification as to why the approach (es) is/are feasible.
- J. Organizational Conflict of Interest Affirmations and Disclosure. If the proposer or any proposed subcontractor IS NOT currently providing SETA support as described (see Section 3.1.1), then the proposer must state “NONE.” Otherwise, provide the following information for the proposer and each proposed subcontractor, as applicable:
 - a. Prime Contract Number
 - b. DARPA Office supported
 - c. A description of the action the proposer has taken or proposes to take to avoid, neutralize, or mitigate the conflict
- K. Human use. If human use is not a factor in a proposal, then the proposer should state “NONE.” Otherwise, for all proposed research that will involve human subjects in the first year or phase of the project, the proposer must provide evidence of or a plan for review by an Institutional Review Board (IRB). For further information on this subject, see Section 6.2.2 below.
- L. Animal Use. If animal use is not a factor in a proposal, then the proposer should state “NONE.” Otherwise, for submissions containing animal use, proposals must briefly describe plans for Institutional Animal Care and Use Committee (IACUC) review and approval. For further information on this subject, see Section 6.2.3 below.
- M. Statement of Unique Capability Provided by Government or FFRDC Team Member. If none of the team member organizations (prime or sub) belongs to a Government entity or FFRDC, then the proposer should state “NONE.” Otherwise, per section 3.1 above, provide a statement which clearly demonstrates the work being provided by the Government or Government-funded entity team member is not otherwise available from the private sector.
- N. Government or FFRDC Team Member Eligibility. If none of the team member organizations (prime or sub) belongs to a Government entity or FFRDC, then the proposer should state “NONE.” Otherwise, per section 3.1 above, provide documentation citing the specific authority which establishes the applicable team member is eligible to propose to Government solicitations to include: 1) statutory authority; 2) contractual

authority; 3) supporting regulatory guidance; AND 4) evidence of agency approval for applicable team member participation.

- O. Team Member Identification. Provide a list of ALL team member organizations (prime and subcontractors). Identify specifically if they are a foreign entity, FFRDC and/or Government entity.

Section IV. Additional Information

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

4.4.2.2 Volume II, Cost Proposal

Cost Volume Check List (See APPENDIX 5 to this BAA)

Proposal Cover Sheet (See APPENDIX 3 to this BAA)

Detailed cost breakdown to include:

- (1) Total program cost broken down by major cost items to include:
 - i. Direct labor, including individual labor categories or persons, with associated labor hours and numbered direct labor rates
 - ii. If consultants are to be used, proposer must provide consultant agreement or other document which verifies the proposed loaded daily/hourly rate
 - iii. Indirect costs including Fringe Benefits, Overhead, General and Administrative Expense, Cost of Money, etc. (Must show base amount and rate)
 - iv. Travel – Number of trips, number of days per trip, departure and arrival destinations, number of people, etc.
 - v. Other Direct Costs – Should be itemized with costs or estimated costs. Backup documentation should be submitted to support proposed costs.
- (2) Major program tasks by fiscal year
- (3) An itemization of major subcontracts and equipment purchases, to include: a cost proposal as detailed as the Proposer's cost proposal; the subcontractor's cost proposal can be provided in a sealed envelope with the Proposer's cost proposal. Materials should be specifically itemized with costs or estimated costs. An explanation of any estimating factors, including their derivation and application, shall be provided. Please include a brief description of the Proposer's procurement method to be used;
- (4) An itemization of any information technology (IT) purchase²; (NOTE: For IT equipment purchases, include a letter stating why the proposer cannot provide the requested resources from its own funding)

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

- (5) A summary of projected funding requirements by month;
- (6) The source, nature, and amount of any industry cost-sharing. 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
- (7) Identification of pricing assumptions of which may require incorporation into the resulting award instrument (e.g., use of Government Furnished Property/Facilities/Information, access to Government Subject Matter Expert/s, etc.)
- (8) The prime contractor is responsible for compiling and providing all subcontractor proposals for the Procuring Contracting Officer (PCO). Prime contractor proposals must include, at a minimum, a non-proprietary, subcontractor proposal. It is the prime contractor's responsibility to ensure that all subcontractors submit their proprietary cost proposals directly to the Government, by sending them to the BAA mailbox with "Subcontractor Cost Proposal" in the subject line, prior to the associated BAA closing date/time.

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

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

4.5 SUBMISSION DATES AND TIMES

4.5.1 Abstract and Proposal Submission Deadlines

Abstracts: Abstracts should be sent by email to DARPA-BAA-10-84@darpa.mil no later than 17 September 2010 (4:00 PM EST). The email should include attachments with a Word and a

control devices, and medical equipment where information technology is integral to its operation, are not information technology."

pdf. version of the abstract. The email subject line should include the statement “DARPA-BAA-10-84 [Organization Name] Abstract”. Upon review, DARPA will provide written feedback. Abstracts received after 17 September 2010 may not be reviewed.

Proposals: The full proposal **and encryption password** must be submitted per the instructions in Section 4.3.1 - Content and Form of Application Submission above by the initial closing in order to be considered during the initial evaluation phase. While DARPA-BAA-10-84 will remain open until the final closing date/BAA expiration, proposers are warned that the likelihood of funding is greatly reduced for proposals submitted after the initial closing date. Selection of proposals received after the initial closing remains contingent on availability of funds

DARPA will acknowledge receipt of complete submissions via email and assign control numbers that should be used in all further correspondence regarding proposals. **Note: These acknowledgements will not be sent until after the proposal due date.**

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

4.6 FUNDING RESTRICTIONS

Not Applicable

4.7 INTERGOVERNMENTAL REVIEW

Not Applicable

4.8 OTHER SUBMISSION REQUIREMENTS

Proposals must not be submitted to DARPA via email or fax (see submission instructions above in section 4.3.1).

5. APPLICATION REVIEW INFORMATION

5.1 EVALUATION CRITERIA

Evaluation of proposals will be accomplished through a scientific/technical review of each proposal using the following criteria: **(5.1.1) Overall Scientific and Technical Merit; (5.1.2) Potential Contribution and Relevance to the DARPA Mission; (5.1.3) Proposer’s Capabilities and/or Related Experience; and (5.1.4) Cost and Schedule Realism.** Proposals will not be evaluated against each other since they are not submitted in accordance with a common work statement. DARPA’s intent is to review proposals as soon as possible after they arrive; however, proposals may be reviewed periodically for administrative reasons. The following are descriptions of the evaluation criteria in descending order of importance:

5.1.1 Overall Scientific and Technical Merit

The proposed technical approach is feasible, achievable, complete and supported by a proposed technical team that has the expertise and experience to lead and to accomplish the proposed tasks. Task descriptions and associated technical elements provided are complete and in a logical sequence with all proposed deliverables clearly defined such that a final product that achieves the goal can be expected as a result of award. The proposal clearly identifies major

technical risks and clearly defines feasible planned mitigation strategies and efforts to address those risks. The proposal clearly explains the technical approach(es) that will be employed to meet each program goal and system metric listed in Section 1.2. and provides ample justification as to why the approach(es) is/are feasible. Other factors to be considered will include the structure, clarity, and responsiveness of 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 contractor and all subcontractors through a logical, well structured, and traceable technical plan. In addition, the evaluation will take into consideration the extent to which the proposed intellectual property (IP) rights and proposed technical deliverables will potentially impact the Government's ability to transition technology.

5.1.2 Potential Contribution and Relevance to the DARPA Mission

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

5.1.3 Proposer's Capabilities and Related Experience

The proposer's prior experience in similar efforts should demonstrate an ability to deliver products that meet the proposed technical performance within the proposed budget and schedule. The proposed team has the expertise to manage the cost and schedule. Similar efforts completed/ongoing by the proposer and by key members of the proposed team in this area are fully described including identification of other Government sponsors. Further, on any cited similar efforts, the proposer shall provide the Government an assessment of performance, including the team's ability to control technical, cost, and schedule against what was originally proposed.

5.1.4 Cost and Schedule Realism

The objective of this criterion is to establish that the proposed costs and schedule are realistic for the technical and management approach offered, as well as to determine the proposer's practical understanding of the effort. The proposal will be reviewed to determine if the costs and schedule proposed are based on realistic assumptions, reflect a sufficient understanding of the technical goals and objectives of the BAA, and are consistent with the proposer's technical approach (to include the proposed Statement of Work). At a minimum, this will involve review, at the prime and subcontract level, of the type and number of labor-hours proposed per task as well as the types and kinds of materials, equipment and fabrication costs proposed. It is expected that the effort will leverage all available relevant prior research in order to obtain the maximum benefit from the available funding. Company commitment to the success of the proposed program, including management involvement, commitment of key personnel and other non-monetary company resources, risk sharing and for efforts with a likelihood of commercial application, appropriate direct cost sharing may be a positive factor in the evaluation. This evaluation criterion 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. The proposer's abilities to aggressively pursue performance metrics in the shortest timeframe and to accurately substantiate

that timeframe will be evaluated, as well as proposer's ability to understand, identify, and mitigate any potential risk in cost or schedule.

5.2 REVIEW AND SELECTION PROCESS

Award(s) will be made to proposers whose proposals are determined to be the most advantageous to the Government, all factors considered, including the potential contributions of the proposed work to the overall research program and the availability of funding for the effort. DARPA's intent is to review proposals as soon as possible after they arrive; however, proposals may be reviewed periodically for administrative reasons.

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

Proposals will not be evaluated against each other since they are not submitted in accordance with a common work statement. DARPA's intent is to review proposals as soon as possible after they arrive; however, proposals may be reviewed periodically for administrative reasons. For evaluation purposes, a proposal is the document described in "Proposal Format", Section 4.4.2. Other supporting or background materials submitted with the proposal will be considered for the reviewer's convenience only and not considered as part of the proposal.

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

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

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

6. AWARD ADMINISTRATION INFORMATION

6.1 AWARD NOTICES

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

6.2 ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

6.2.1 Meeting and Travel Requirements

There will be a program kickoff meeting in the Arlington, VA vicinity and all key participants are required to attend. Performers should also anticipate regular program-wide PI meetings and quarterly site visits at the Program Manager's discretion to the Arlington, VA vicinity.

6.2.2 Human Use

All research involving human subjects, to include use of human biological specimens and human data, selected for funding must comply with the federal regulations for human subject protection. Further, research involving human subjects that is conducted or supported by the DoD must comply with 32 CFR 219, Protection of Human Subjects (http://www.access.gpo.gov/nara/cfr/waisidx_07/32cfr219_07.html) and DoD Directive 3216.02, Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research (<http://www.dtic.mil/whs/directives/corres/pdf/321602p.pdf>).

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

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

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

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

6.2.3 Animal Use

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

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

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

6.2.4 Publication Approval

It is the policy of the Department of Defense that the publication of products of fundamental research will remain unrestricted to the maximum extent possible. The definition of Contracted Fundamental Research is:

“Contracted Fundamental Research includes [research performed under] grants and contracts that are (a) funded by budget category 6.1 (Basic Research), whether performed by universities or industry or (b) funded by budget category 6.2 (Applied Research) and performed on-campus at a university. The research shall not be considered fundamental in those rare and exceptional circumstances where the applied research effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the contract or grant.” Such research is referred to by DARPA as “Restricted Research.”

Pursuant to DoD policy, research performed under grants and contracts that are (a) funded by budget category 6.2 (Applied Research) and NOT performed on-campus at a university or (b) funded by budget category 6.3 (Advanced Research) does not meet the definition of fundamental research. Publication restrictions will be placed on all such research.

Research to be performed as a result of this BAA is expected to be Non-fundamental. DARPA permission must be received before publishing any information or results relative to the program. Other restrictions may also apply.

Proposers are advised if they propose grants or cooperative agreements, DARPA may elect to award other award instruments due to the need to apply publication or other restrictions. DARPA will make this election if it determines that the research resulting from the proposed

program will present a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense. Any award resulting from such a determination will include a requirement for DARPA permission before publishing any information or results on the program and will be considered Restricted Research.

For certain research projects, it may be possible that although the research being performed by the Prime Contractor is Restricted Research, a subcontractor may be conducting Contracted Fundamental Research. In those cases, it is the Prime Contractor's responsibility to explain in their proposal why its subcontractor's effort is Contracted Fundamental Research.

The following same or similar provision will be incorporated into any resultant Restricted Research procurement contract or other transaction:

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

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

6.2.5 Export Control

The following clause will be included in all procurement contracts, and may be included in Other Transactions as deemed appropriate:

(a) *Definition.* "Export-controlled items," as used in this clause, means items subject to the Export Administration Regulations (EAR) (15 CFR Parts 730-774) or the International Traffic in Arms Regulations (ITAR) (22 CFR Parts 120-130). The term includes:

1) “Defense items,” defined in the Arms Export Control Act, 22 U.S.C. 2778(j)(4)(A), as defense articles, defense services, and related technical data, and further defined in the ITAR, 22 CFR Part 120.

2) “Items,” defined in the EAR as “commodities”, “software”, and “technology,” terms that are also defined in the EAR, 15 CFR 772.1.

(b) The Contractor shall comply with all applicable laws and regulations regarding export-controlled items, including, but not limited to, the requirement for contractors to register with the Department of State in accordance with the ITAR. The Contractor shall consult with the Department of State regarding any questions relating to compliance with the ITAR and shall consult with the Department of Commerce regarding any questions relating to compliance with the EAR.

(c) The Contractor's responsibility to comply with all applicable laws and regulations regarding export-controlled items exists independent of, and is not established or limited by, the information provided by this clause.

(d) Nothing in the terms of this contract adds, changes, supersedes, or waives any of the requirements of applicable Federal laws, Executive orders, and regulations,

including but not limited to—

- (1) The Export Administration Act of 1979, as amended (50 U.S.C. App. 2401, *et seq.*);
- (2) The Arms Export Control Act (22 U.S.C. 2751, *et seq.*);
- (3) The International Emergency Economic Powers Act (50 U.S.C. 1701, *et seq.*);
- (4) The Export Administration Regulations (15 CFR Parts 730-774);
- (5) The International Traffic in Arms Regulations (22 CFR Parts 120-130); and
- (6) Executive Order 13222, as extended;

(e) The Contractor shall include the substance of this clause, including this paragraph (e), in all subcontracts.

6.2.6 Subcontracting

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

6.2.7 Electronic and Information Technology

All electronic and information technology acquired through this solicitation must satisfy the accessibility requirements of Section 508 of the Rehabilitation Act (29 U.S.C. 794d) and FAR

Subpart 39.2. Each proposer who submits a proposal involving the creation or inclusion of electronic and information technology must ensure that Federal employees with disabilities will have access to and use of information that is comparable to the access and use by Federal employees who are not individuals with disabilities and members of the public with disabilities seeking information or services from DARPA will have access to and use of information and data that is comparable to the access and use of information and data by members of the public who are not individuals with disabilities.

6.2.8 Employment Eligibility Verification

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

6.3 REPORTING

The number and types of reports will be specified in the award document, but will include as a minimum monthly financial status reports. The reports shall be prepared and submitted in accordance with the procedures contained in the award document and mutually agreed on before award. Reports and briefing material will also be required as appropriate to document progress in accomplishing program metrics. A Final Report that summarizes the project and tasks will be required at the conclusion of the performance period for the award, notwithstanding the fact that the research may be continued under a follow-on vehicle. Reference 4.4.1.2 for a sample list for complying with this request.

6.3.1 Central Contractor Registration (CCR) and Universal Identifier Requirements

Unless the proposer is exempt from this requirement, as per FAR 4.1403-a or DoDGARS Part25.110, as applicable, all proposers must be registered in the Central Contractor Registration (CCR) and have a valid Data Universal Numbering System (DUNS) number prior to submitting a proposal. Information on CCR registration is available at <http://www.ccr.gov>. All proposers must maintain an active CCR registration with current information at all times during which they have an active Federal award or proposal under consideration by DARPA. All proposers must provide the DUNS number in each proposal they submit. DARPA cannot make an assistance award to a proposer until the proposer has provided a valid DUNS number and has maintained an active CCR registration with current information.

6.3.2 Representations and Certifications

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

6.3.3 Wide Area Work Flow (WAWF)

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

6.3.4 i-Edison

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

6.3.5 Reporting Executive Compensation and First-Tier Subcontract Awards

The following clause will be used in all procurement contracts regarding the reporting of executive compensation and first-tier subawards. A parallel award term with the same requirements will be used in all grants and cooperative agreements.

Reporting Executive Compensation and First-Tier Subcontract Awards (Jul 2010)

(a) *Definitions.* As used in this clause:

“Executive” means officers, managing partners, or any other employees in management positions.

“First-tier subcontract” means a subcontract awarded directly by a Contractor to furnish supplies or services (including construction) for performance of a prime contract, but excludes supplier agreements with vendors, such as long-term arrangements for materials or supplies that would normally be applied to a Contractor’s general and administrative expenses or indirect cost.

“Total compensation” means the cash and noncash dollar value earned by the executive during the Contractor’s preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

- (1) Salary and bonus.
- (2) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
- (3) Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- (4) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
- (5) Above-market earnings on deferred compensation which is not tax-qualified.
- (6) Other compensation, if the aggregate value of all such other compensation (*e.g.*, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

(b) Section 2(d) of the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. No. 109-282), as amended by section 6202 of the Government Funding Transparency Act of 2008 (Pub. L. 110-252), requires the Contractor to report information on subcontract awards. The law requires all reported information be made public, therefore, the Contractor is responsible for notifying its subcontractors that the required information will be made public.

(c)(1) Unless otherwise directed by the contracting officer, by the end of the month following the month of award of a first-tier subcontract with a value of \$25,000 or more, (and any modifications to these subcontracts that change previously reported data), the Contractor shall report the following information at <http://www.fsr.gov> for each first-tier subcontract. (The Contractor shall follow the instructions at <http://www.fsr.gov> to report the data.)

- (i) Unique identifier (DUNS Number) for the subcontractor receiving the award and for the subcontractor's parent company, if the subcontractor has a parent company.
- (ii) Name of the subcontractor.
- (iii) Amount of the subcontract award.
- (iv) Date of the subcontract award.
- (v) A description of the products or services (including construction) being provided under the subcontract, including the overall purpose and expected outcomes or results of the subcontract.
- (vi) Subcontract number (the subcontract number assigned by the Contractor).
- (vii) Subcontractor's physical address including street address, city, state, and country. Also include the nine-digit zip code and congressional district.
- (viii) Subcontractor's primary performance location including street address, city, state, and country. Also include the nine-digit zip code and congressional district.
- (ix) The prime contract number, and order number if applicable.
- (x) Awarding agency name and code.
- (xi) Funding agency name and code.
- (xii) Government contracting office code.
- (xiii) Treasury account symbol (TAS) as reported in FPDS.
- (xiv) The applicable North American Industry Classification System code (NAICS).

(2) By the end of the month following the month of a contract award, and annually thereafter, the Contractor shall report the names and total compensation of each of the five most highly compensated executives for the Contractor's preceding completed fiscal year at <http://www.ccr.gov> , if—

- (i) In the Contractor's preceding fiscal year, the Contractor received—
 - (A) 80 percent or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and
 - (B) \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and

(ii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/excomp.htm> .)

(3) Unless otherwise directed by the contracting officer, by the end of the month following the month of a first-tier subcontract with a value of \$25,000 or more, and annually thereafter, the Contractor shall report the names and total compensation of each of the five most highly compensated executives for each first-tier subcontractor for the subcontractor's preceding completed fiscal year at <http://www.fsr.gov> , if—

- (i) In the subcontractor's preceding fiscal year, the subcontractor received—

(A) 80 percent or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and

(B) \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and

(ii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm> .)

(d)(1) If the Contractor in the previous tax year had gross income, from all sources, under \$300,000, the Contractor is exempt from the requirement to report subcontractor awards.

(2) If a subcontractor in the previous tax year had gross income from all sources under \$300,000, the Contractor does not need to report awards to that subcontractor.

(e) Phase-in of reporting of subcontracts of \$25,000 or more.

(1) Until September 30, 2010, any newly awarded subcontract must be reported if the prime contract award amount was \$20,000,000 or more.

(2) From October 1, 2010, until February 28, 2011, any newly awarded subcontract must be reported if the prime contract award amount was \$550,000 or more.

(3) Starting March 1, 2011, any newly awarded subcontract must be reported if the prime contract award amount was \$25,000 or more.

7.0 AGENCY CONTACTS

DARPA will use electronic mail for all technical and administrative correspondence regarding this BAA. Administrative, technical or contractual questions should be sent via e-mail to DARPA-BAA-10-84@darpa.mil. If e-mail is not available, fax questions to 703-465-1067, Attention: DARPA-BAA10-84. All requests must include the name, email address, and phone number of a point of contact.

Technical POC: Mr. Peiter “Mudge” Zatko, Program Manager, DARPA/I2O

BAA Mailbox: DARPA-BAA-10-84@darpa.mil

BAA FAX: 703-465-1067

BAA Mailing Address:

ATTN: DARPA-BAA-10-84

3701 North Fairfax Drive

Arlington, VA 22203-1714

BAA Website: www.darpa.mil/ipto/solicit/solicit_open.asp

8.0 OTHER INFORMATION

8.1 Frequently Asked Questions (FAQs)

The solicitation web page will have a FAQ list. DARPA will attempt to answer questions in a timely manner; however, questions submitted within seven (7) days of initial closing may not be answered.

8.2 Intellectual Property

8.2.1 Procurement Contract Proposers

8.2.1.1 Noncommercial Items (Technical Data and Computer Software)

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

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

Table 8.2.1.1 Non-Commercial Items				
Technical Data Computer Software To be Furnished With Restrictions	Summary of Intended Use in the Conduct of the Research	Basis for Assertion	Asserted Rights Category	Name of Person Asserting Restrictions
(LIST)	(NARRATIVE)	(LIST)	(LIST)	(LIST)

8.2.1.2 Commercial Items

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

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

Table 8.2.1.2 Commercial Items			
Technical Data Computer Software To be Furnished With Restrictions	Basis for Assertion	Asserted Rights Category	Name of Person Asserting Restrictions
(LIST)	(LIST)	(LIST)	(LIST)

8.2.2 NonProcurement Contract Proposers - Noncommercial and Commercial Items

Proposers responding to this BAA requesting an Other Transaction for Prototype shall follow the applicable rules and regulations governing that instrument, but in all cases should appropriately identify any potential restrictions on the Government’s use of any Intellectual Property contemplated under that award instrument. This includes both Noncommercial Items and Commercial Items. Although not required, proposers may use a format similar to that described in Tables 7.1.1.1 and 7.1.2.1 above. The Government may use the list during the source selection evaluation process to evaluate the impact of any identified restrictions, and may request additional information from the proposer, as may be necessary, to evaluate the proposer’s assertions. If no restrictions are intended, then the proposer should state “NONE.” Failure to provide full information may result in a determination that the proposal is not compliant with the BAA – resulting in nonselectability of the proposal.

8.2.3 All Proposers – Patents

Include documentation proving your ownership of or possession of appropriate licensing rights to all patented inventions (or inventions for which a patent application has been filed) that will be utilized under your proposal for the DARPA program. If a patent application has been filed for an invention that your proposal utilizes, but the application has not yet been made publicly available and contains proprietary information, you may provide only the patent number, inventor name(s), assignee names (if any), filing date, filing date of any related provisional application, and a summary of the patent title, together with either: 1) a representation that you own the invention, or 2) proof of possession of appropriate licensing rights in the invention.

8.2.4 All Proposers-Intellectual Property Representations

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

APPENDIX 1: ABSTRACT COVER PAGE TEMPLATE

APPENDIX: 1 ABSTRACT COVER PAGE TEMPLATE

1	Broad Agency Announcement	DARPA-BAA-10-84 Cyber-Insider Program	
2	Lead Organization	<i>Name of lead organization submitting proposal</i>	
3	Abstract Title	<i>Title</i>	
4	Type of Business (Check one)	<input type="checkbox"/> Large Business <input type="checkbox"/> Small Disadvantaged Business <input type="checkbox"/> Other Small Business <input type="checkbox"/> Government Laboratory or FFRDC	<input type="checkbox"/> Historically-Black Colleges <input type="checkbox"/> Minority Institution (MI) <input type="checkbox"/> Other Educational <input type="checkbox"/> Other Nonprofit
5	Contractor's Reference Number	<i>(if applicable)</i>	
6	Other Team Members (include Sub Contractors)	<i>Name, type of business (see 4 above)</i>	<i>Technical POC salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available), CAGE Code</i>
7	Technical Point of Contact	<i>Include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available)</i>	
8	Administrative Point of Contact	<i>Include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available)</i>	
9	Funds Requested	Not Applicable (N/A)	Not Applicable (N/A)
10	Date Prepared		

APPENDIX 2: ABSTRACT TEMPLATE

APPENDIX 2: ABSTRACT TEMPLATE

Abstracts may be structured as you wish. Here is one example of an abstract structure.

{Total page length excluding cover page should be no more than (5) five pages}

A. Executive Summary:

Includes a title and an abstract that provides a concise statement of work and basic approaches to be used. This should be on a separate page and in a form suitable for release under the Freedom of Information Act, 5 U.S.C. 552, as amended.

B. Summary of Innovative Claims for the Proposed Research:

Succinctly describe the uniqueness and benefits of the proposed approach relative to the current state-of-art and alternative approaches.

C. Summary of Technical Approach:

The technical rationale, technical approach, and constructive plan for accomplishments of technical goals in support of innovative claims and deliverable production should be summarized.

D. Organization and Teaming Chart:

A clearly defined organization chart for the program team that includes, as applicable:

1. programmatic relationship of team members;
2. unique capabilities of team members;
3. task responsibilities of team members;
4. teaming strategy among the team members;
5. key personnel along with the amount of effort to be expended by each person during each year.

E. Summary of Deliverables and Approach to Intellectual Property:

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 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. This section should list all technical data, computer software, or computer software documentation to be provided with other than unlimited rights in accordance with DFARS Clause 252.227-7017 IDENTIFICATION AND ASSERTION OF USE, RELEASE, OR DISCLOSURE RESTRICTIONS (JUNE 1995). Reference section 3.4.

F. Summary of Cost, Schedule, and Milestones:

Not Applicable (N/A)

G. Discussion of Other Research (Optional):

Compare the proposed effort with other ongoing research in this area. Describe the advantages and disadvantages of the proposed effort in comparison with other relevant research.

APPENDIX 3: PROPOSAL COVER SHEET

APPENDIX 3: PROPOSAL COVER SHEETS

Volume 1 – Technical and Management Proposal Confirmation Sheet/Cover Sheet

As described in section 4.3.1, this cover sheet will contain the following information:

- BAA number;
- Proposal title;
- Technical point of contact including: name, telephone number, electronic mail address, fax (if available) and mailing address;
- Administrative point of contact including: name, telephone number, electronic mail address, fax (if available) and mailing address;
- Summary of the costs of the proposed research, including total base cost, estimates of base cost in each year of the effort, estimates of itemized options in each year of the effort, and cost sharing if relevant;
- Contractor's reference number (if any)
- Contractor's type of business, selected from among the following categories:
 - WOMEN-OWNED LARGE BUSINESS,
 - OTHER LARGE BUSINESS,
 - SMALL DISADVANTAGED BUSINESS [Identify ethnic group from among the following: Asian-Indian American, Asian-Pacific American, Black American, Hispanic American, Native American, or Other],
 - WOMEN-OWNED SMALL BUSINESS,
 - OTHER SMALL BUSINESS,
 - HBCU,
 - MI,
 - OTHER EDUCATIONAL,
 - OTHER NONPROFIT, OR
 - FOREIGN CONCERN/ENTITY.

Volume 2 – Cost Proposal Cover Sheet

- BAA number;
- Proposal title;
- Lead Organization Submitting proposal;
- Type of business, selected among the following categories: "LARGE BUSINESS", "SMALL DISADVANTAGED BUSINESS", "OTHER SMALL BUSINESS", "HBCU", "MI", "OTHER EDUCATIONAL", OR "OTHER NONPROFIT";
- Contractor's reference number (if any);
- Other team members (if applicable) and type of business for each;
- Proposal title;
- Technical point of contact to include: salutation, last name, first name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available);
- 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);

- Award instrument requested: cost-plus-fixed-fee (CPFF), cost-fee contract—no fee, cost sharing contract – no fee, or other type of procurement contract (specify), or other transaction agreement;
- Place(s) and period(s) of performance;
- Total proposed cost separated by basic award and option(s) (if any);
- Name, address, and telephone number of the proposer’s cognizant Defense Contract Management Agency (DCMA) administration office (if known);
- Name, address, and telephone number of the proposer’s cognizant Defense Contract Audit Agency (DCAA) audit office (if known);
- Date proposal was prepared;
- DUNS number;
- TIN number; and
- CAGE Code;
- Subcontractor Information; and
- Proposal validity period (minimum 180 days).

APPENDIX 4: PROPOSAL CHECK LIST

APPENDIX 4: PROPOSAL CHECKLIST

This checklist is meant to remind proposers of key BAA requirements and is not a replacement for a careful and complete reading of the BAA. Failure to comply with the submission procedures in the BAA may result in the submission being discarded without review.

- The proposal addresses (at most) one **single mission** (see Section 1.1.3)
- The proposal cites the proposed quantitative and qualitative technology success criteria (see Section 1.2)
- FFRDC and Government entities (including subcontractors) have addressed eligibility (see Sections 3.1 and 4.4.2.1.III. M and N.)
- All OCI issues are addressed (see Sections 3.1.1 and 4.4.2.1.III.J)
- Any known cost-sharing plan and/or matching funds plan are clearly identified (see Sections 3.2 and 4.4.2.2)
- Classified or proprietary information included in your proposal is addressed and labeled appropriately (see Sections 4.2 and 4.3.2)
- The proposal is labeled if you have data in the proposal that you do not want disclosed to the public (see Section 4.3.2)
- All required meetings and deliverables are included in the budget and schedule (see Sections 4.4.1.2.II.C and 4.4.2.2)
- Separate technical, managerial, and costing items are provided for all periods (see Sections 4.4.1. 2.II.C and 4.4.2.2)
- Financial plans are included for all periods (see Section 4.4.2.2)
- Include complete teaming information (see Section 4.4.2.1.III.H)
- Include each proposed task/subtask and all required details (see Section 4.4.2.1.III.A)
- Include three price quotes for all information technology (IT) equipment requested or proposed for purchase as well as a letter stating why the proposer cannot provide the IT equipment (see Section 4.4.2.2)
- Intellectual property rights are clearly addressed in the format specified in the BAA (see Section 8.2)
- The Proposal Cover sheet (see Appendix 3) is included (and completed) as page 1 to Volume 1 – Technical Proposal and page 1 of Volume 2 – Cost Proposal
- All **three** required slides (see Appendix 6) are included (see Section 4.4.2.1.II.G)
- All subcontractor proposals are included for the Procuring Contracting Officer (PCO) (see Section 4.4.2.2)

APPENDIX 5: COST VOLUME CHECKLIST

APPENDIX 5: COST VOLUME CHECKLIST

The following checklist and sample templates are provided to assist the proposer in developing a complete and responsive cost volume. Full instructions appear in 4.4.2.2 “Volume II, Cost Proposal” beginning on Page 22 of DARPA-BAA-10-84. **This worksheet must be included with the coversheet of the Cost Proposal.**

1. Are all items from Section 4.4.2.2 (Volume II, Cost Proposal) of DARPA-BAA-10-84 included on your Cost Proposal cover sheet?
- YES
 - NO

If reply is “No”, please explain:

2. Does your Cost Proposal include (1) a summary cost buildup by Month, (2) a summary cost buildup by Year, and (3) a detailed cost buildup of for each Year that breaks out each task and shows the cost per month?
- YES
 - NO
- Appears on Page(s) [Type text]**

If reply is “No”, please explain:

3. Does your cost proposal (detailed cost buildup #3 above in item 2) show a breakdown of the major cost items listed below:

- Direct Labor (Labor Categories, Hours, Rates)
- YES
 - NO
- Appears on Page(s) [Type text]**

- Indirect Costs/Rates (i.e., overhead charges, fringe benefits, G&A)
- YES
 - NO
- Appears on Page(s) [Type text]**

- Materials and/or Equipment
- YES
 - NO
- Appears on Page(s) [Type text]**

- Subcontracts/Consultants
- YES
 - NO
- Appears on Page(s) [Type text]**

- Other Direct Costs
- YES
 - NO
- Appears on Page(s) [Type text]**

- Travel
- YES
 - NO
- Appears on Page(s) [Type text]**

If reply is “No”, please explain:

4. Have you provided documentation for proposed costs related to travel, to include purpose of trips, departure and arrival destinations and sample airfare?

APPENDIX 6: PROPOSAL SLIDE SUMMARY

Organization Name Concept
Describe How It Works / Innovative Claims

Organization Name Contract/Proposal Specifics
<ul style="list-style-type: none">• Intellectual Property• Data rights summary• Deliverables

Organization Name Schedule/Cost		
Phase I	# Months	##M
Proposed contract type [i.e. Cost Plus Fixed Fee (CPFF), Cost Plus Award Fee (CPAF), Cost Plus Incentive Fee (CPIF), Fixed Firm Price (FFP), Grants, etc.]		