

IARPA

BROAD AGENCY ANNOUNCEMENT



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BE THE FUTURE

Broad Agency Announcement
INCISIVE ANALYSIS

IARPA-BAA-13-02

Release Date: January 14, 2013

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1 OVERVIEW

Federal Agency Name – Intelligence Advanced Research Projects Activity (IARPA)

Funding Opportunity Title – Incisive Analysis

Announcement Type – Initial Announcement

Funding Opportunity Number – IARPA-BAA-13-02

Catalog of Federal Domestic Assistance Numbers (CFDA) – 12.910 Research and Technology Development

Dates: January 14, 2013 – January 31, 2014

Anticipated Individual Awards – Multiple awards are anticipated.

Types of instruments that may be awarded – Procurement contract, grant, cooperative agreement, or other transaction at the sole discretion of the Government contracting officer.

Agency Point of Contact (*Not for submissions, see Section 3.6*)

Office of Incisive Analysis
Intelligence Advanced Research Projects Activity
Office of the Director of National Intelligence
ATTN: IARPA-BAA-13-02
Washington, DC 20511
Fax: 301-851-7673

Electronic mail: dni-iarpa-baa-13-02@ugov.gov

Program website: http://www.iarpa.gov/solicitations_incisive.html

BAA Summary: IARPA’s Office of Incisive Analysis (IA) is soliciting proposals for research that will maximize insight from the information the Intelligence Community collects, in a timely fashion.

General Information: Prospective offerors are encouraged to contact IA Program Managers (PMs) whose interests (identified at http://www.iarpa.gov/office_incisive.html) are aligned with their proposed concept before submitting an abstract or proposal. It is recommended that a teleconference with individual PMs be scheduled by an electronic mail request with an indication of the topic to be discussed. The purpose of these contacts is to avoid proposals that are misaligned with IARPA’s mission or that are redundant with other IARPA programs or solicitations. As such, IARPA PMs shall limit their communications with prospective offerors

to conceptual questions, which allow the Program Manager to determine whether IARPA would be interested in pursuing the capability/technology.

All administrative or contractual questions about this BAA should be transmitted to dni-iarpa-BAA-13-02@ugov.gov. If e-mail is not available, fax questions to 301-851-7673, Attention: IARPA-BAA-13-02. All questions must include the name, e-mail address, and phone number of the requestor. Do not send questions with proprietary content. IARPA will accept questions until two weeks before the closing date of the BAA. Consolidated questions and answers will be periodically posted on the IARPA website (www.iarpa.gov); answers will not be sent directly to the submitter.

2 FULL TEXT OF ANNOUNCEMENT

2.1 Funding Opportunity

The Intelligence Advanced Research Projects Activity (IARPA) often selects its research efforts through the Broad Agency Announcement (BAA) process. The BAA will appear first on the FedBizOpps website, <http://www.fedbizopps.gov>, and then the IARPA website at <http://www.iarpa.gov>. The following information is for those wishing to respond to this BAA.

IARPA invests in high-risk, high-payoff research that has the potential to provide our nation with an overwhelming intelligence advantage over future adversaries. This research is parsed among three Offices: Smart Collection, Incisive Analysis, and Safe & Secure Operations. This BAA solicits abstracts/proposals for the Office of Incisive Analysis (IA).

IA focuses on maximizing insights from the massive, disparate, unreliable and dynamic data that are – or could be – available to analysts, in a timely manner. We are pursuing new sources of information from existing and novel data, and developing innovative techniques that can be utilized in the processes of analysis. IA programs are in diverse technical disciplines, but have common features: (a) Create technologies that can earn the trust of the analyst user by providing the reasoning for results; (b) Address data uncertainty and provenance explicitly.

The following topics (in no particular order) are of interest to IA:

- Methods for developing understanding of how knowledge and ideas are transmitted and change within groups, organizations, and cultures;
- Methods for analysis of social, cultural, and linguistic data;
- Multidisciplinary approaches to assessing linguistic data sets;
- Methods for measuring and improving human judgment and human reasoning;
- Methods for extraction and representation of the information in the non-textual contents of documents, including figures, diagrams, and tables;
- Methods for understanding and managing massive, dynamic data;
- Analysis of massive, unreliable, and diverse data;
- Methods for assessments of relevancy and reliability of new data;
- Methods for understanding the process of analysis and potential impacts of technology;
- Multidisciplinary approaches to processing noisy audio and speech;
- Development of novel top-down models of visual perception and visual cognition;
- Methods for analysis of significant societal events;

- Methods for estimation and communication of uncertainty and risk;
- Novel approaches for mobile augmented reality applied to analysis and collection;
- Methods for topological data analysis and inferences of high-dimensional structures from low-dimensional representations;
- Methods for the study of algorithms stated in terms of geometry (computational geometry);
- Methods for geolocation of text and social media;
- Novel approaches to biosurveillance;
- Methods to make machine learning more useful and automatic;
- Methods to construct and evaluate speech recognition systems in languages without a formalized orthography; and,
- Methods and approaches to quantifiable representations of uncertainty simultaneously accounting for multiple types of uncertainty.

This announcement seeks research ideas for topics that are not addressed by emerging or ongoing IARPA programs or other published IARPA solicitations. It is primarily, but not solely, intended for early stage research that may lead to larger, focused programs through a separate BAA in the future, so periods of performance will generally not exceed 12 months.

Offerors should demonstrate that their proposed effort has the potential to make revolutionary, rather than incremental, improvements to intelligence capabilities. Research that primarily results in evolutionary improvement to the existing state of practice is specifically excluded.

In order to avoid the preparation and review of proposals that are poorly aligned with IARPA's mission, and therefore unlikely to be selected for negotiation for award, offerors are strongly encouraged to schedule teleconferences via electronic mail with IA Program Managers. The technical areas of interest of IA Program Managers and their contact information can be found on our web page http://www.iarpa.gov/office_incisive.html. Furthermore, it is recommended that the first formal document submitted to IARPA be a five-page abstract describing the proposed research. IARPA will review it and provide comments which may be useful if the offeror decides to prepare a full proposal. (See Section 3 for more information on abstracts.)

2.2 Award Information

Multiple awards are anticipated for this BAA. 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 offerors. The Government also reserves the right to conduct discussions if the Source Selection Authority determines them to be necessary. If the proposed effort is inherently divisible and nothing is gained from the aggregation, offerors should consider submitting it as multiple independent efforts. Additionally, IARPA reserves the right to accept proposals in their entirety or to select only portions of proposals for negotiations for award. In the event that IARPA desires to award only portions of a proposal, negotiations may be opened with that offeror. The Government also reserves the right to segregate portions of resulting awards into pre-priced options.

Awards under this BAA will be made to offerors on the basis of the evaluation criteria listed in Section 4.1, portfolio balance, and the availability of funds. Proposals identified for negotiation may result in a procurement contract, grant, cooperative agreement, or other transaction agreement (OTA). The Government reserves the right to negotiate the type of award instrument it determines appropriate under the circumstances.

Offerors whose proposals are accepted for funding will be contacted before award to obtain additional information required for award. The Government may establish a deadline for the close of fact-finding and negotiations that allows a reasonable time for the award of a contract. Offerors that are not responsive to Government deadlines established and communicated with the request may be removed from award consideration. Offerors may also be removed from award consideration should the parties fail to reach agreement on contract terms, conditions, or cost and price within a reasonable time.

2.3 Eligibility

All responsible sources capable of satisfying the Government's needs may submit a proposal. 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 for exclusive competition among these entities.

Other Government Agencies (OGA), Federally Funded Research and Development Centers (FFRDCs), University Affiliated Research Centers (UARCs), Government Military Academies (GMAs), Government-Owned, Contractor-Operated (GOCO) facilities and other similar types of organizations that have a special relationship with the Government that gives them access to privileged or proprietary information, or access to Government equipment or real property, are not eligible to submit proposals under this BAA or participate as team members under proposals submitted by eligible entities.

If an offeror believes that his idea requires the use of a unique capability that resides in an OGA, FFRDC, UARC, GMA, or GOCO, the offeror should describe the capability and how they intend to use it to accomplish the proposed objectives, the organization where it resides, a point of contact, and explain why it is not otherwise available from the private sector. If, upon review of the proposal, IARPA determines that the identified capability is not unique, the proposal will not be favorably reviewed. It is incumbent upon the offeror to conduct due diligence in assuring that the capability does not exist in the private sector. If IARPA decides to select the proposal for negotiation of award, IARPA will negotiate a binding arrangement directly with the OGA, FFRDC, UARC, GMA, or GOCO. Award will be contingent upon IARPA's ability to reach agreement with the OGA, FFRDC, UARC, GMA, or GOCO. Note that this paragraph applies only to this particular IARPA BAA (IARPA-BAA-13-02).

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.

2.4 Procurement Integrity, Standards of Conduct, Ethical Considerations and Organizational Conflicts of Interest (OCI)

"Organizational conflict of interest" means that because of other activities or relationships with other persons, a person is unable or potentially unable to render impartial assistance or advice to the Government, or the person's objectivity in performing the contract work is or might be otherwise impaired, or a person has an unfair competitive advantage.

If a prospective offeror, or any of its proposed subcontractor teammates, believes that a potential conflict of interest exists or may exist (whether organizational or otherwise), the offeror should promptly raise the issue with IARPA and submit a waiver request by e-mail to the mailbox address for this BAA at dni-iarpa-baa-13-02@ugov.gov. All waiver requests must be submitted through the offeror, regardless of whether the waiver request addresses a potential OCI for the offeror or one of its subcontractor teammates. A potential conflict of interest includes but is not limited to any instance where an offeror, or any of its proposed subcontractor teammates, is providing either scientific, engineering and technical assistance (SETA) or technical consultation to IARPA. In all cases, the offeror shall identify the contract under which the SETA or consultant support is being provided. Without a waiver from the IARPA Director, neither an offeror, nor its proposed subcontractor teammates, can simultaneously provide SETA support or technical consultation to IARPA and compete or perform as a Performer under this solicitation.

All facts relevant to the existence of the potential conflict of interest, real or perceived, should be disclosed in the waiver request. The request should also include a proposed plan to avoid, neutralize or mitigate such conflict. The offeror, or subcontractor teammate as appropriate, shall certify that all information provided is accurate and complete, and that all potential conflicts, real or perceived, have been disclosed. It is recommended that an offeror submit this request as soon as possible after release of the BAA before significant time and effort are expended in preparing a proposal. If, in the sole opinion of the Government, after full consideration of the circumstances, the conflict situation cannot be resolved, the request for waiver will be denied, and any proposal submitted by the offeror that includes the conflicted entity will be withdrawn from consideration for award.

As part of their proposal, offerors who have identified any potential conflicts of interest shall include either an approved waiver signed by the IARPA Director or a copy of their waiver request. Otherwise, offerors shall include in their proposal a written certification that neither they nor their subcontractor teammates have any potential conflicts of interest, real or perceived. A sample certification is provided in Appendix A.

If, at any time during the solicitation or award process, IARPA discovers that an offeror has a potential conflict of interest, and no waiver request has been submitted by the offeror, IARPA reserves the right to immediately withdraw the proposal from further consideration for award.

Offerors are strongly encouraged to read "Intelligence Advanced Research Projects Activity's (IARPA) Approach to Managing Organizational Conflicts of Interest (OCI)", found on IARPA's website at http://www.iarpa.gov/IARPA_OCI_081809.pdf

2.5 U.S. Academic Institutions

According to Executive Order 12333, as amended, paragraph 2.7, “Elements of the Intelligence Community are authorized to enter into contracts or arrangements for the provision of goods or services with private companies or institutions in the United States and need not reveal the sponsorship of such contracts or arrangements for authorized intelligence purposes. Contracts or arrangements with academic institutions may be undertaken only with the consent of appropriate officials of the institution.”

It is highly recommended that offerors submit with their proposal a completed and signed Academic Institution Acknowledgement Letter for each U.S. academic organization that is a part of their team, whether the academic organization is serving in the role of prime, or a subcontractor or consultant at any tier of their team. A template of the Academic Institution Acknowledgement Letter is enclosed in this BAA at Appendix B. It should be noted that an appropriate senior official from the institution, typically the President, Chancellor, Provost, or other appropriately designated official must sign the completed form. Although not required for the proposal, this Letter **must** be received before IARPA can enter into any negotiations with any offeror when a U.S. academic organization is part of its team.

2.6 Cost Sharing

Cost sharing is not required and is not an evaluation criterion; however, cost sharing will be carefully considered and may be required where there is an applicable statutory or regulatory condition relating to the selected award instrument (e.g., for any “other transactions” under the authority of 10 U.S.C. § 2371).

3 APPLICATION AND SUBMISSION

This notice comprises the total BAA and contains all information required to submit a proposal.

Offerors are strongly encouraged to submit an abstract before preparing a full proposal. This procedure is intended to minimize unnecessary effort in proposal preparation and review. IARPA will acknowledge receipt of the abstract and assign a control number that should be used in all further correspondence regarding the proposal abstract. The offeror will be notified whether IARPA is interested in receiving a full proposal. Regardless of IARPA’s response to a proposal abstract, offerors may submit a full proposal.

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 in a single proposal. Tasks in all proposals should be clearly differentiated and plainly labeled. Associated costs for each task should be specified. Proposals not meeting the format described in the BAA may not be reviewed.

This BAA is targeting early stage research that may lead to larger, focused programs, so periods of performance will generally not exceed 12 months. All proposals will be reviewed using the published evaluation criteria listed in Section 4.1. Neither prior discussions with offerors regarding their proposed idea nor comments resulting from the review of an abstract submitted prior to the offeror’s submission of a proposal will be considered in the proposal’s evaluation. IARPA will respond to a proposal submission with a statement as to whether or not it has been

selected for negotiation for award. Selection remains contingent on portfolio balance and the availability of funds

Classified abstracts and proposals are permitted but must conform to the security classification guide under which the work is to be performed. Contact the IARPA Security Officer at (301) 851-7580 if additional clarification is required.

3.1 Abstract Format (5 Page limit)

The offeror should articulate the innovative concept, the technical path to its realization, milestones for progress along the path, and an estimate of the resources that will be required to achieve the proposed objectives. The cover sheet should be clearly marked “PROPOSAL ABSTRACT” and the total length should not exceed five pages, excluding the cover page and an official transmittal letter. All pages shall be printed in English on 8-1/2 by 11 inch paper with type not smaller than 12 point and margins not less than one inch on all sides. Smaller fonts may be used for figures, tables, and charts but must be clearly legible to the unaided eye. The page limit includes all figures, tables, and charts. Neither Academic Institution Acknowledgement Letters nor OCI waiver/certifications are required for abstract submissions. Abstracts that do not conform to these requirements may be rejected without review.

3.2 Proposal Format

All proposals must be written in English on 8-1/2 by 11 inch paper with type not smaller than 12 point and margins not less than one inch on all sides. Smaller fonts may be used for figures, tables, and charts but must be clearly legible to the unaided eye. All proposals submitted to this BAA must include a Preamble, a Technical and Management section whose length is limited to fifteen pages, and a concise Cost section. Proposals that do not conform to these requirements may be rejected without review.

3.3 Preamble

The Preamble includes a cover sheet, transmittal letter, signed Academic Institution Acknowledgement Letter(s), and OCI certification or waiver request. The cover sheet must contain the following:

- (1) BAA number
- (2) Lead organization submitting proposal
- (3) Type of business, selected among the following categories: “LARGE BUSINESS”, “SMALL DISADVANTAGED BUSINESS”, “OTHER SMALL BUSINESS”, “HBCU”, “MI”, “OTHER EDUCATIONAL”, OR “OTHER NONPROFIT”
- (4) Contractor’s reference number (if any)
- (5) Other team members (if applicable) and type of business for each
- (6) Proposal title
- (7) Technical point of contact to include: title, first name, last name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available)
- (8) Administrative point of contact to include: title, first name, last name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available)
- (9) IP rights have been addressed in accordance with Section 3.4.3? Yes/No
- (10) OCI waiver or waiver request included? Yes/No
- (10a) If no OCI, a written certification must be included (see Appendix A letter template).
- (11) Are one or more U.S. Academic Organizations part of your team? Yes/No

- (11a) If Yes, are you including an Academic Institution Acknowledgement Statement with your proposal for each Academic Organization that is part of your team? Yes/No
- (12) Total funds requested from IARPA and the amount of cost share (if any)
- (13) Date proposal was submitted.

A concise bibliography and copies of up to three references that place the proposed work in context may be included in the preamble and will not count against the length restrictions of the Technical and Management Section.

3.4 Technical and Management Section (15 Page Limit)

The Technical and Management section is limited to fifteen pages.

3.4.1 Heilmeier Questions

Successful proposals will concisely and completely answer the following questions, broadly known as the Heilmeier criteria:

1. What are you trying to do?
2. How is it done at present? Who does it? What are the limitations of present approaches?
3. What is new about your approach? Why do you think that you can be successful at this time?
4. If you succeed, what difference will it make?
5. How long will it take? How much will it cost? How will you evaluate progress during and at the conclusion of the effort? (i.e., what are your proposed milestones and metrics?)

3.4.2 Statement of Work (SOW)

The proposal should articulate a statement of work with clearly defined technical tasks including, for each,

- the expected duration;
- interdependencies;
- resource requirements;
- a product, event, or milestone that defines its completion (i.e. exit criterion);
- the primary organization responsible for its execution; and
- deliverables to be provided to the Government.

Do not include proprietary information in the statement of work.

3.4.3 Property/Data Rights

Offerors shall describe their proposed approach to intellectual property rights, together with supporting rationale of why this approach is in the Government's best interest. This shall include 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. Offerors shall identify all commercial technical data and/or 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 computer software. If Offerors do not identify any restrictions, the Government will assume that there are

no restrictions on the Government's use of such commercial items. Offerors shall also identify all noncommercial technical data and/or 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. If the offeror does not submit such information, the Government will assume that it has unlimited rights to all such noncommercial technical data and/or computer software.

IARPA recognizes the definitions of intellectual property rights in accordance with the terms as set forth in the Federal Acquisition Regulation (FAR) Part 27, or the Department of Defense FAR Supplement (DFARS) Part 227. If offerors propose intellectual property rights that are not defined in FAR part 27 or DFARS Part 227, offerors must clearly define such rights in their proposal.

In addition, offerors shall provide a good faith representation that they either own or possess appropriate licensing rights to all intellectual property that will be used for the IARPA program.

3.4.4 Management Plan

A concise summary of the offeror's management plan that identifies and describes

- key personnel (with short biographies);
- subcontractor and consulting relationships;
- facilities;
- previous accomplishments; and
- relevant Government contracts

is required.

3.4.5 Key Personnel Summary

A table of key personnel and significant contributors, organization, role, task assignments, and time commitment is also required.

3.4.6 Government Activity Efforts

If the proposed work has been submitted to another Government agency for funding, the date of submission and a point of contact at the corresponding agency must be identified.

3.4.7 Government Furnished Equipment (GFE) or Information (GFI)

Information or equipment that needs to be provided by the Government for the effort to be successful should be clearly delineated and justified. Offerors must identify and describe any data sources to be utilized or gathered in pursuit of the proposed research goals, and must explain clearly how the data selected will be an appropriate and adequate set for exploring the research topic being proposed.

3.4.8 Data Sources

Offerors proposing to use existing data sets must certify that all data were obtained in accordance with U.S. laws and, where applicable, are in compliance with End User License Agreements, Copyright Laws, Terms of Service, and laws and policies regarding privacy protection of U.S. Persons.

Offerors proposing new data sets must ensure the data sets comply with U.S. Laws and where applicable, with the documentation required in Section 5.3. In addition Offerors must ensure these data sets comply, where applicable, with End User License Agreement, Copyright Laws, Terms of Service, and laws and policies regarding privacy protection of U.S. Persons.

The Government reserves the right to reject a proposal that does not appropriately address data issues.

3.4.9 Security Plans

A security plan commensurate with the proposed classification level is required if classified work is proposed. A security plan is not required for unclassified research. Contact the IARPA Security Officer at (301) 851-7580 if you require guidance.

3.5 Cost Section

A succinct cost proposal is required. The purpose of these pages is to establish whether the budget is realistic to accomplish the proposed work on the requested schedule. Additional information and supporting data may be required during negotiation of an award.

The cost section must have a cover sheet with the following:

- (1) BAA number
- (2) Technical area
- (3) Lead organization submitting proposal
- (4) Type of business, selected among the following categories: "LARGE BUSINESS", "SMALL DISADVANTAGED BUSINESS", "OTHER SMALL BUSINESS", "HBCU", "MI", "OTHER EDUCATIONAL", OR "OTHER NONPROFIT"
- (5) Contractor's internal reference number (if any)
- (6) Other team members (if applicable) and type of business for each
- (7) Proposal title
- (8) Technical point of contact to include: title, first name, last name, street address, city, state, zip code, telephone, fax (if available), electronic mail (if available)
- (9) Administrative point of contact to include: title, first name, last name, street address, city, state, zip code, telephone, fax (if available), and electronic mail (if available)
- (10) Award instrument requested: cost-plus-fixed-fee (CPFF), cost-contract—no fee, cost sharing contract – no fee, grant, cooperative agreement, other transaction or other type of procurement contract (specify)
- (11) Place(s) and period(s) of performance
- (12) Total proposed cost separated by basic award period and option period(s) (if any)

- (13) Name, address, telephone number of the offeror's Defense Contract Management Agency (DCMA) administration office or equivalent cognizant contract administration entity, if known
- (14) Name, address, telephone number of the offeror's Defense Contract Audit Agency (DCAA) audit office or equivalent cognizant contract audit entity, if known
- (15) Date proposal was prepared
- (16) DUNS number
- (17) TIN number
- (18) Cage Code
- (19) Proposal validity period [minimum of 90 days]

The proposed cost of the effort should identify expenditures by task for

- direct labor
- labor category
- subcontracts
- consultants
- materials
- travel
- other direct charges, and
- profit or fee

Subcontracts and major equipment purchases should be itemized with rationale supporting their relationship to the program's objectives.

Projected funding requirements by month, the source, nature and amount of cost sharing (where proposed), and identification of the pricing assumptions for the proposed award instrument are required.

Offerors that request an 'other transaction' award instrument must include a list of payment milestones with a description, exit criterion, due date, and payment amount (to include, if cost share is proposed, contractor and Government share amounts) for each. Payable milestones should relate directly to accomplishment of quantifiable technical milestones in the proposal.

Consultant letter(s) of commitment should be attached to the cost proposal and estimated costs should be included in the cost estimates.

3.6 Submission Details

Proposals and abstracts may be submitted anytime up to 5:00 PM Eastern on 31 January 2014. Abstracts and proposals will not be accepted after this date with the exception of proposals that result from an abstract submitted near but prior to the deadline, but only in those cases where the offeror has received a written exception from the Government. A new deadline will be provided to the offeror in those cases.

Proposals and abstracts must be submitted electronically through the IARPA Distribution and Evaluation System (IDEAS). **Offerors interested in providing a submission in response to this BAA must first register by electronic means in accordance with the instructions**

provided at <https://iarpa-ideas.gov>. Failure to register as stated will prevent the offeror's submission of documents.

After registration has been approved, offerors should upload abstracts or proposals, along with any supporting documents in 'pdf' format. Offerors are responsible for ensuring compliant and final submission of their proposals to meet the BAA submittal deadlines. Time management to upload and submit is wholly the responsibility of the offeror.

Upon completing the abstract or proposal submission the offeror will receive an automated confirmation email from IDEAS. Please forward that automated message to dni-iarpa-baa-13-02@ugov.gov. IARPA strongly suggests that the offeror document the submission of their proposal package by printing the electronic receipt (time and date stamped) that appears on the final screen following compliant submission of a proposal to the IDEAS website.

Proposals and abstracts submitted by any means other than the Proposal Submission Website at <https://iarpa-ideas.gov> (e.g., hand-carried, postal service, commercial carrier and email) will not be considered unless the offeror attempted electronic submission, but was unsuccessful. Should an offeror be unable to complete the electronic submission, the offeror must employ the following procedure. The offeror must send an e-mail to dni-iarpa-baa-13-02@ugov.gov and indicate that an attempt was made to submit electronically but that the submission was unsuccessful. This e-mail must include contact information for the offeror. Additional guidance will be provided.

Refer to Section 4.5 for instructions on how to submit a classified abstract or proposal.

Selection remains contingent on proposal evaluation, program balance and availability of funds. Failure to comply with the submission procedures may result in the submission not being evaluated.

Offerors must ensure timely delivery of their proposals and abstracts.

4 APPLICATION REVIEW INFORMATION

4.1 Proposal Review

There is no common statement of work for this BAA, so each proposal will be reviewed on its own scientific merits and its relevance to IARPA's mission, not against other proposals responding to the Announcement. The following criteria will be applied, in order of descending importance:

4.1.1 Overall Scientific and Technical Merit

The proposal clearly articulates quantitatively substantiated answers to each of the Heilmeier questions cited above. The technical approach is credible, innovative, and concisely delineated with a clear assessment of primary risks and means to mitigate them. Innovation will be judged in the context of the current state of the art.

4.1.2 Effectiveness of the Proposed Work Plan

The offeror's approach to achieving quantifiable milestones is explicitly described and substantiated. The milestones are clearly defined and logically support decisions by the offeror or

the Government. The proposed schedule is realistic and critical paths are identified. The role and relationships among team members are balanced and transparent, and the time commitments from key personnel are sufficient. Requirements for timing and delivery of Government Furnished Property, Equipment, or Information (GFP, GFE, or GFI) are clearly delineated.

4.1.3 Contribution and Relevance to the IARPA Mission

The proposed work has the potential to provide the U.S. with an overwhelming intelligence advantage over its future adversaries and the proposed approach to intellectual property rights is in the best interest of the Government.

4.1.4 Relevant Experience and Expertise

The offeror's capabilities, related experience, facilities, techniques, or unique combination of these which are integral for achieving the proposal's objectives will be evaluated, as well as the qualifications, capabilities, and experiences of the principal investigator and key personnel are matched to the proposal objectives. Time commitments of key personnel must be sufficient for their proposed responsibilities in the effort.

4.1.5 Cost Realism

The proposed costs are reasonable and realistic for the work proposed. Estimates are "realistic" when they are neither excessive nor insufficient for the effort. to be accomplished. The proposal documents all anticipated costs including those incurred to support subcontractors and consultants. The parsing of costs by task, performer, category, and time is concise and consistent with the proposed work plan.

IARPA recognizes that undue emphasis on cost may motivate offerors to offer low-risk ideas and to staff the effort with junior personnel in order to be competitive. IARPA discourages such cost strategies. Innovative cost reduction approaches such as management concepts that maximize direct funding for technology and minimize overhead expense are encouraged.

Equipment, software, and data collection expenses must be well justified, and will be a consideration in cost realism.

Travel, especially foreign travel, is well justified and required for successful execution of the proposed work.

After selection and before award, the Contracting Officer will negotiate cost/price reasonableness.

Awards under this BAA will be made to offerors on the basis of the evaluation criteria listed above, portfolio balance, and the availability of funds. Award recommendations will not be made to offeror(s) whose proposal(s) are determined to be not selectable.

OFFERORS ARE CAUTIONED THAT EVALUATION RATINGS MAY BE LOWERED OR PROPOSALS REJECTED IF SUBMITTAL INSTRUCTIONS ARE NOT FOLLOWED.

4.2 Review and Selection Process

IARPA's policy is 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. 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 only be evaluated against the evaluation criteria described above, and will not be evaluated against other proposals since they are not submitted in accordance with a common work statement.

The Government intends to use employees of Booz Allen Hamilton, SCITOR Corporation, TASC, The SI Organization, Welkin Associates, and their subcontractors working under IARPA SETA contracts to assist in administering the evaluation of the proposals. These personnel will have signed and be subject to the terms and conditions of non-disclosure agreements. By submission of its proposal, an offeror agrees that its proposal information may be disclosed to employees of Booz Allen Hamilton, SCITOR Corporation, TASC, The SI Organization, Welkin Associates, and their subcontractors for the limited purpose stated above. Offerors who object to this arrangement must provide clear notice of their objection as part of their transmittal letter. If offerors do not include a notice of objection to this arrangement in their transmittal letter, the Government will assume consent to the use of contractor support personnel in assisting the review of submittal(s) under this BAA.

Only Government personnel will make evaluation and award determinations under this BAA.

4.3 Proposal and Abstract Retention

IARPA treats all abstracts and proposals as competition sensitive information and discloses their contents only for the purpose of evaluation. Proposals and abstracts will not be returned. Upon completion of the source selection process, the original of each proposal and abstract received will be retained at IARPA and all other copies will be destroyed. A certification of destruction may be requested, provided that the formal request is sent to IARPA via e-mail less than 5 days after notification of abstract or proposal results.

4.4 Proprietary Data

All proposals that contain proprietary data must label the cover page and each page containing proprietary data. It is the offeror's responsibility to clearly define what data are considered to be proprietary.

4.5 Security

The Government anticipates that abstracts and proposals submitted under this BAA will be unclassified. Offerors choosing to submit a classified abstract or proposal must first receive permission from the Original Classification Authority to use their information in replying to this BAA. Applicable classification guide(s) should be submitted to ensure that the abstract or proposal is protected appropriately.

For classified submissions contact the IARPA Security Office at 301-851-7580 for further guidance and instructions prior to transmitting information to IARPA. Offerors choosing to submit a classified abstract or proposal are reminded that the proposal deadline remains the same regardless of whether the offeror's proposal, in whole or in part, is classified. Additional processing time may be required if all or part of a submission is classified. In the event that an offeror chooses to submit a classified abstract or proposal or submit any documentation that may be classified, the following information is applicable.

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

Security classification guidance will not be provided at this time since IARPA 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 security classification guide will be issued and attached as part of the award.

5 AWARD ADMINISTRATION INFORMATION

5.1 Award Notices

Offerors will be notified in writing whether their proposal has been selected for funding pending contract negotiations as soon as its evaluation is complete. Although the specific terms and conditions for award will vary with the contracting agent and award type, the following considerations are generally relevant and should be addressed in the proposal where they are appropriate.

5.2 Meeting and Travel Requirements

Performers are responsible for administering their projects and complying with contractual requirements for reporting, attendance at program workshops, and availability for site visits. Site visits by representatives of IARPA will typically occur at six month intervals at the offeror's facility.

5.3 Intellectual Property

All offerors shall provide a good faith representation that they either own or possess appropriate licensing rights as outlined in Section 3.4.3 to all intellectual property that will be utilized under your proposal for the IARPA program. Additionally, offerors 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.

5.4 Human Use

All research involving human subjects, to include use of human biological specimens and human data, selected for funding must comply with the federal regulations for human subject protection, namely 45 CFR Part 46, *Protection of Human Subjects*, (<http://www.hhs.gov/ohrp/humans/guidance/45cfr46.html>)

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 sub-contractors, must also have a valid Assurance.

For all proposed research that will involve human subjects, the institution must provide evidence of or a plan for review by an Institutional Review Board (IRB) on final proposal submission to IARPA. 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 (45 CFR Part 46).

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 three to six months. No IARPA funding can be used towards human-subject research until ALL approvals are granted.

In limited instances, human subject research may be exempt from Federal regulations for human subject protection, for example, under Department of Health and Human Services, 45 CFR 46.101(b). Offerors claiming that their research falls within an exemption from Federal regulations for human subject protection must provide written documentation with their proposal that cites the specific applicable exemption and explains clearly how their proposed research fits within that exemption.

5.5 Publication Approval

Pre-publication approval of IARPA-funded research results may be required if it is determined that the release of such information may result in the disclosure of sensitive information. The type of award and contractual terms may be influenced by these considerations.

5.6 Export Control

The offeror must comply with all U.S. export control laws and regulations, including the International Traffic in Arms Regulations (ITAR), 22 CFR Parts 120 through 130, and the Export Administration Regulations (EAR), 15 CFR Parts 730 through 799, in the performance of awards.

5.7 Reporting

Although reporting requirements are subject to negotiation, awardees will be expected to provide monthly technical and financial reports to the Contracting Office, the Contracting Officer's Technical Representative, and the IARPA Program Manager. A final report will also be required.

5.8 Representations and Certifications

Prospective offerors may be required to complete electronic representations and certifications at <http://orca.bpn.gov>. Successful offerors will be required to complete additional representations and certifications prior to award.

6 APPENDIX A: Organizational Conflicts of Interest Letter Template

Date

Office of the Director of National Intelligence
Intelligence Advanced Research Projects Activity (IARPA)
ATTN: Director, Office of Incisive Analysis
Washington, DC 20511

Subject: OCI Certification

Reference: IARPA-BAA-13-02, (Insert assigned proposal ID#, if received)

Dear Dr. Purkable,

In accordance with IARPA Broad Agency Announcement IARPA-BAA-13-02, Section 2.4, *Procurement Integrity, Standards of Conduct, Ethical Considerations, and Organizational Conflicts of Interest (OCI)*, and on behalf of _____ (offeror name) I certify that neither _____ (offeror name), nor any of our subcontractor teammates has as a potential conflict of interest, real or perceived as it pertains to the Incisive Analysis BAA.

If you have any questions, or need any additional information, please contact (Insert name of contact) at (Insert phone number) or (Insert e-mail address).

Sincerely,

(Insert organization name)

(Must be signed by an official that has the authority to bind the organization)

(Insert signature)

(Insert name of signatory)

(Insert title of signatory)

7 APPENDIX B: Academic Institution Letter Template

-- Please Place on Official Letterhead --

<insert date>

To: Mr. Thomas Kelso
Chief Acquisition Officer
ODNI/IARPA
Office of the Director of National Intelligence
Washington, D.C. 20511

Subject: Academic Institution Acknowledgement Letter

Reference: Executive Order 12333, As Amended, Para 2.7

This letter is to acknowledge that the undersigned is the responsible official of <insert name of the academic institution>, authorized to approve the contractual relationship in support of the Office of the Director of National Intelligence's Intelligence Advanced Research Projects Activity and this academic institution.

The undersigned further acknowledges that he/she is aware of the Intelligence Advanced Research Projects Activity's proposed contractual relationship with <insert name of institution> through <insert solicitation #> and is hereby approved by the undersigned official, serving as the president, vice-president, chancellor, vice-chancellor, or provost of the institution.

<Name>
<Position>

Date