

**STATEMENT OF WORK (SOW) FOR  
CWMD SECURING THE CITIES PROGRAM EVALUATION  
ISSUED UNDER THE  
DHS PA&E EVALUATION SERVICES BLANKET PURCHASE AGREEMENT**

**1.0 GENERAL**

The Department of Homeland Security (DHS) Program Analysis and Evaluation (PA&E) Division within the Office of the Chief Financial Officer (OCFO) coordinates, implements, and provides oversight for the Department's centralized and decentralized evaluation functions and is responsible for building knowledge and expertise for evaluation. PA&E works closely with all Headquarters Offices and Components throughout DHS to develop and implement evaluations that address priorities set by the Secretary and Components, and to fulfill requirements outlined in the Foundations for Evidence-Based Policymaking Act of 2018 ('Evidence Act'), Pub. L. 115-435, and associated Office of Management and Budget (OMB) guidance.<sup>1</sup> PA&E sponsors and conducts social science and evaluation research to advance understanding and disseminate knowledge on topics that can be used to inform program and policy decisions and helps to ensure that evaluations are conducted with scientific integrity, by upholding the five key principles of relevance and utility, rigor, transparency, independence and objectivity, and ethics of the Department's Evaluation Policy.<sup>2</sup>

The Countering Weapons of Mass Destruction (CWMD) Office is an appropriated Component within DHS. CWMD supports the DHS mission to safeguard the United States against chemical, biological, radiological, and nuclear (CBRN) threats posed by terrorists and other threat actors. Securing the Cities (STC) received \$34,628,000 in FY2023 appropriations to enhance U.S. State, Local, Tribal, and Territorial (SLTT) partners' ability to detect and prevent terrorist attacks and other high-consequence events utilizing nuclear or other radiological materials in high-risk urban areas. STC utilizes 13 cooperative agreements with 14 high-risk urban areas (HRUAs) to achieve four program objectives. First, STC assists HRUAs in developing a radiological/nuclear (R/N) detection and reporting capability. Second, STC and HRUAs establish information connectivity to support R/N alarm adjudication through developed interagency protocols. Third, HRUAs establish administrative infrastructure to support an R/N detection program. Lastly, STC and HRUAs establish coordination mechanisms between Federal and SLTT partners for steady-state operations, enhanced steady-state operations, and search operations. Building capability within a high-risk urban area achieves risk reduction for the Nation. Congress previously instructed that STC "provide a detailed assessment on expenditures and their impact on achieving key performance measures and program milestones."<sup>3</sup> STC requires evaluation services to inform learning, improvement, and accountability reporting to stakeholders.

This SOW identifies the Government's objectives for evaluation services for PA&E and the CWMD STC Program Office. The process/implementation evaluation will assess STC's implementation and sustainment (where applicable) across program sites, identify barriers and approaches for addressing them, and capture important practices (identified through good performance on outcome measures)

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<sup>1</sup> "Phase 1 Implementation of the Foundations for Evidence-Based Policymaking Act of 2018: Learning Agendas, Personnel, and Planning Guidance," M-19-23 (OMB, 2019); "Phase 4 Implementation of the Foundations for Evidence-Based Policymaking Act of 2018: Program Evaluation Standards and Practices," M-20-12 (OMB, 2020); "Evidence-Based Policymaking: Learning Agendas and Annual Evaluation Plans," M-21-27 (OMB, 2021)

<sup>2</sup> DHS Management Directive 069-03 Program, Policy, and Organizational Evaluations, Revision 00 (DHS, 2021)

<sup>3</sup> Consolidated Appropriations Act 2022 Division F Homeland Security Joint Explanatory Statement

and lessons learned that can be shared with the program community to continuously improve implementation and sustainment. The evaluation will also examine select short term outcomes in relation to implementation practices. The primary purpose is for process improvement, program development, and updates as the program matures and expands to future sites.

## 1.1 BACKGROUND

DHS is a Cabinet-level agency with broad responsibilities to safeguard the Nation against threats both foreign and domestic, respond to national emergencies and contingencies, and preserve the Nation's prosperity and economic security. The Department's complex homeland security mission requires close coordination and collaboration across the Operational Components and Headquarters (HQ) Offices are essential to achieve the six overarching homeland security missions that make up our strategic plan.<sup>4</sup>

*A robust and coordinated evaluation function is essential to the Department's capacity to build rigorous evidence for better decision making.* The Department's use of evaluation and evidence is meant to support innovation, improvement, and organizational learning, while also fulfilling accountability requirements. The intent is to integrate the use of evidence and opportunities for further learning into all activities. Where an evidence base is lacking, evidence will be developed through systematic evidence building. Where evidence exists, it will be used to encourage replication and expansion of effective solutions. DHS uses many types of evidence and understands that a culture of organizational learning and continual improvement relies on multiple sources of information, including evaluation. The Department's ability to use evidence to drive business decisions, allocate resources strategically, and deliver effective homeland security programs depends upon access to credible, relevant, and timely evidence from evaluation and related research and analysis.

The DHS Evaluation Officer in PA&E provides leadership and oversight for the Department's implementation of evaluation; coordinates and issues the Department's learning agenda and annual evaluation plans; assesses and champions efforts to improve capacity for evaluation; sponsors social science and evaluation research; and facilitates dissemination and use of evidence for decision-making. PA&E led the development of the DHS evaluation policy,<sup>5</sup> learning agenda,<sup>6</sup> annual evaluation plans,<sup>7</sup> and capacity assessment<sup>8</sup> that provide a roadmap for producing and using credible, relevant, and actionable evidence to understand and improve the Department's program and policy effectiveness, assess progress toward outcomes, and ultimately, the extent to which it is achieving its mission. PA&E leads annual processes that support DHS HQ Offices and Components in documenting progress, identifying emerging priorities, updating plans, and disseminating findings from evidence building activities identified in its learning agenda and annual evaluation plans. PA&E supports the integration of evidence from evaluation into existing DHS business process, including strategic, program, and resource planning and management.

### 1.1.1 EVIDENCE ACT AND EVALUATION

Title I of the Foundations for Evidence-Based Policymaking Act ('Evidence Act') of 2018, Pub. L. 115-435, and OMB implementing guidance<sup>9</sup> create a statutory framework for evaluation, including

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<sup>4</sup> U.S. Department of Homeland Security's Strategic Plan for Fiscal Years 2020-2024 (DHS, 2020)

<sup>5</sup> DHS Management Directive 069-03 Program, Policy, and Organizational Evaluations, Revision 00 (DHS, 2021)

<sup>6</sup> U.S. Department of Homeland Security FY 2022-2026 Learning Agenda (DHS, 2022)

<sup>7</sup> U.S. Department of Homeland Security FY 2022 Annual Evaluation Plan (DHS, 2021); U.S. Department of Homeland Security FY 2023 Annual Evaluation Plan (DHS, 2022)

<sup>8</sup> U.S. Department of Homeland Security FY 2021 Capacity Assessment (DHS, 2022)

<sup>9</sup> See "Phase 1 Implementation of the Foundations for Evidence-Based Policymaking Act of 2018: Learning Agendas, Personnel, and Planning Guidance," M-19-23 (OMB, 2019); "Phase 4 Implementation of the Foundations for Evidence-

designating and developing roles and responsibilities for the Evaluation Officer and key planning activities, including:

- The creation of learning agendas that identify and set priorities for evidence building and related planning activities, in consultation with various stakeholders;
- Developing annual evaluation plans, which will summarize the specific evaluations an agency plans to undertake to address those questions;
- Undertaking capacity assessments, which, as part of agencies' strategic plans, will help agencies to assess their ability and infrastructure to carry out evidence-building activities like foundational fact finding, performance measurement, policy analysis, and program evaluation; and
- Identifying the data needed to answer those questions.

Evaluation (also referred to as program evaluation) is an assessment using systematic data collection and analysis of one or more programs, policies, or organizations or some aspect of these intended to assess their efficiency and effectiveness.<sup>10</sup> Evaluations may address questions related to the overall performance of the program in achieving intended results or outcomes, the implementation of the program, effectiveness of program strategies, or other factors that relate to variability in the effectiveness of the program or its strategies. At DHS, program evaluation is an effective and systematic way to improve and account for program activities. Program evaluation uses systematic and rigorous approaches to answer a broad range of questions about what results are occurring, for whom, and under what conditions.

OMB's implementation guidance outlines expectations for the conduct of evaluation. OMB M-20-12<sup>11</sup> outlines five evaluation standards (relevance and utility, rigor, independence and objectivity, transparency, and ethics) to guide agencies' evaluation activities. These standards apply not just to Federal evaluation offices, but also have applicability to other Federal units that carry out or sponsor evaluation and to individual evaluators, including Federal evaluation staff, outside partners, and recipients of Federal awards that are performing work on behalf of the agency. All DHS evaluations and related activities and those conducting them are expected to adhere to these standards.

OMB M-21-27<sup>12</sup> requires that equity must also be considered as agencies build and use evidence, and should be considered throughout the lifecycle of evidence-building regardless of methodological approach. Robust stakeholder engagement should be used to advance equity and meet the needs of underserved communities, and cannot be accomplished without intentional interactions with diverse stakeholders. Engaging communities in this work can both promote equity and improve the rigor, relevance, and utility of evaluation and other forms of evidence. All DHS evaluations and related activities are expected to engage diverse stakeholders and consider equity in ways that are meaningful to the program, policy, or operation being evaluated.

All DHS evaluations and related activities must adhere to the applicable documents under section 1.4.

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Based Policymaking Act of 2018: Program Evaluation Standards and Practices," M-20-12 (OMB, 2020); "Evidence-Based Policymaking: Learning Agendas and Annual Evaluation Plans," M-21-27 (OMB, 2021)

<sup>10</sup> Herein, evaluation does not refer to "test and evaluation" of material solutions and IT software/systems during the acquisition life cycle. Technology impact evaluation, for example, to understand users' reactions, adoption, and uses of technology as well as effectiveness of technologies on DHS mission operations and outcomes under realistic, operational conditions may be considered evaluation herein but may constitute only a small portion of the requirement.

<sup>11</sup> "Phase 4 Implementation of the Foundations for Evidence-Based Policymaking Act of 2018: Program Evaluation Standards and Practices," M-20-12 (OMB, 2020)

<sup>12</sup> "Evidence-Based Policymaking: Learning Agendas and Annual Evaluation Plans," M-21-27 (OMB, 2021)



### 1.1.2 CWMD SECURING THE CITIES

The CWMD's Securing the Cities (STC) Program seeks to reduce the risk of a successful deployment of radiological or nuclear weapons in high-risk urban areas throughout the United States. If criminal actors obtain radioactive materials, they could create a Radiological Dispersal Device (RDD) or Radiological Exposure Device (RED) in the form of dirty bombs, open containers, or aerosols.<sup>13</sup> Rather than creating mass casualties, RDDs are used to "contaminate facilities or places where people live and work, disrupting daily lives and livelihoods" as well as "cause anxiety in those who think they are being, or have been, exposed."<sup>14</sup> STC works throughout the United States with state and local partners to develop and enhance sustained R/N detection and reporting capabilities.

The threat of RED and RDD remains present in the United States. Researchers Rosoff and Winterfeldt state that "a dirty bomb is an attractive terrorist attack mode because of the relative ease associated with acquiring radioactive material and building the device, and the ultimate potential for significant health, economic, and psychological consequences."<sup>15</sup> Criminal actors may obtain these materials through stealing various types of radiological materials. In 2019 there were 167 incidents of radioactive materials being outside of regulatory control either through loss or theft of the materials.<sup>16</sup> Within the 167 incidents, "47% of incidents involved isotopes identified by the U.S. Nuclear Regulatory Commission as particularly well-suited for use in a radiological dispersal device (RDD)."<sup>17</sup> Materials outside of regulatory control may enter criminal hands which poses a risk to homeland security.

Securing the Cities works with the Department of Energy (DOE) and Federal Bureau of Investigation (FBI) to create an R/N detection and prevention network. National Security Presidential Memorandum-36 outlines the role each agency plays to ensure there is clear coordination.<sup>18</sup> In FY22, Congress appropriated \$30,040,000 for Securing the Cities where \$17.2M was awarded to SLTT partners through Cooperative Agreements. In FY23, Congress appropriated \$34,628,000 for the Securing the Cities Program and CWMD awarded \$19,575,000 across the 13 STC regions.

STC employs a phased implementation model (engagement, implementation, integration, sustainment) toward providing technical assistance, advisory support, detection equipment, and training to develop and enhance sustainable radiological/nuclear (R/N) detection capabilities among regional SLTT partners. Regional SLTT partners typically include law enforcement agencies, fire services, emergency management, radiation health agencies, and other targeted region-specific government agencies (e.g., regional transit authorities). Enhancing SLTT partners' administrative infrastructure and detection capabilities improves their preparation for and capacity to respond to potential terrorist attacks or other high-consequence events utilizing nuclear or other radiological material in the U.S.

The key objectives of Securing the Cities are

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<sup>13</sup> The National Academies. (2004). *Radiological Attack: Dirty Bombs and Other Devices*. U.S. Department of Homeland Security.

<sup>14</sup> Ibid.

<sup>15</sup> Rosoff, Heather and Detlof von Winterfeldt. (2005). *A Risk and Economic Analysis of Dirty Bomb Attacks on the Ports of Los Angeles and Long Beach*. University of Southern California, Center for Risk and Economic Analysis. [Microsoft Word - RosoffvonWinterfeldt2005-RiskEconomicAnalysisDirtyBombAttacksPOLA-LB - rosoffvonwinterfeldt2005-riskeconomicanalysisdirtybombattacksbola-lb.pdf \(usc.edu\)](#)

<sup>16</sup> Meyer, Sam. 2023. *2019 Archive of the CNS Global Incidents Trafficking Database*. The James Martin Center for Nonproliferation Studies. [2019 Archive of The CNS Global Incidents and Trafficking Database \(nti.org\)](#)

<sup>17</sup> Ibid.

<sup>18</sup> National Security Memorandum 36. (1-19-2021). *Guidelines for United States Government Interagency Response to Terrorist Threats or Incidents in the United States and Overseas*.



1. Assist SLTT agencies in developing R/N detection and reporting capability. CWMD assists SLTT agencies in developing/enhancing local frameworks for detecting R/N materials outside of regulatory control.
2. Establish information connectivity to support R/N alarm adjudication through developed interagency protocols. SLTT partners in conjunction with CWMD develop a Regional Operations Plan that complies with Domestic Detection CONOPS, approved by DHS, FBI, and DOE. Additionally, an Information Exchange Plan is developed to ensure proper and effective information sharing policies and practices are institutionalized within the region with respect to the STC program. The DHS Office of the Chief Information Officer provides cell phones, tablets, and laptops to the STC program to facilitate this communication. CWMD also works in close coordination with the DHS Geospatial Management Office to utilize its Geospatial Information Infrastructure where all STC Regions can upload data.
3. Establish administrative infrastructure to support an R/N detection program. CWMD assists each STC region in establishing a management and governance structure. This structure supports monitoring of expenditures and tracking performance. CWMD provides products, templates, and expertise enabling partners to develop a self-managed and sustained program supported by long-term federal funding and technical assistance.
4. Establish coordination mechanisms between Federal and SLTT partners for steady-state operations, enhanced steady-state operations, and crisis and search operations. All STC regions have an Operations Plan with concurrence from all principal partners that defines coordination within and outside the region. In coordination with DOE, facilitate federal and local alarm adjudication. In cooperation with DOE and FBI, fully integrate SLTT capabilities into national operations as required.

STC began in 2006 as a pilot project covering New York City, Jersey City, and Newark. In 2011 an external strategic assessment found that the pilot program was a “worthwhile investment” and the “initiative can be used as a template for extension of the program to other U.S. cities.”<sup>19</sup> The program expanded to Los Angeles/Long Beach in 2012, the National Capital Region in 2014, Houston in 2015, and Chicago in 2016. The Countering Weapons of Mass Destruction Act of 2018 (Public Law No: 115-387) amended the Homeland Security Act of 2002 and directed the Assistant Secretary of CWMD to establish the Securing the Cities (STC) Program.<sup>20</sup> In 2020 the STC program more than doubled its coverage with the incorporation of Atlanta, Boston, Denver, Miami, Maricopa County, San Francisco/Bay Area, and Seattle. With the incorporation of these cities, the STC program works with over 240 operational partners who cover a minimum of 27.8 million Americans daily.<sup>21</sup> Funds are available through non-competitive allocations to 14 participating regions via 13 cooperative agreements.

The 14 participating regions and principal partners, including federal (DHS, FBI, and DOE) headquarters and regionally-embedded staff and regional SLTT operating partners, are considered study sites and populations for the purpose of this evaluation study. In each region, SLTT operating partners typically include law enforcement agencies, fire services, emergency management, radiation health agencies, and may include other targeted region-specific government agencies (e.g., transit authorities, etc.). Key roles include a lead agency, a Program Management Office (PMO) with a regional Program Manager and 3-4 staff, and 10-22 principal partner agencies represented by senior

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<sup>19</sup> White, James D., Jeffrey O. Johnson, C. Ray Brittain, Amy M. Waters, et. al. (2011). *Securing the Cities Initiative: An External Strategic Assessment*. Oak Ridge National Laboratory.

<sup>20</sup> Countering Weapons of Mass Destruction Act of 2018, Pub. L. No. 115-387 <https://www.congress.gov/bill/115th-congress/house-bill/7213>

<sup>21</sup> United States Census Bureau. (2022). *Population, Census, April, 1, 2020*. U.S. Census Bureau QuickFacts: United States

leaders that comprise and coordinate through a regional Executive Committee and Subcommittees (e.g., training and exercise, communications, equipment, and Standard Operating Procedures/Concept of Operations (SOPs/CONOPs).

CWMD STC program maintains frequent contact with regions, including weekly/biweekly meetings between Federal Leads and regional PMOs, monthly seminars with PMOs, quarterly working groups, semiannual whole-program onsite meetings, annual senior leader meetings, annual program management reviews (e.g., reverse site visits), and ad hoc invitations to regional events. Such touchpoints may provide the Contractor with opportunities to facilitate evaluation stakeholder engagement about the evaluation and/or to collect data from the study populations. Additional details about the initiative are provided in the evaluability assessment (Attachment 2).

## **1.2 SCOPE**

PA&E seeks Contractor to enhance the Government's production and use of rigorous evidence for decision-making. The Contractor will provide PA&E and CWMD STC Program Office with evaluation services that result in a rigorously designed and executed evaluation(s) of the CWMD STC. The Contractor shall assign a team of personnel with the proper skills, expertise, and recent experiences in carrying out rigorous evaluation services and developing the deliverables based upon the level of effort and requirements of this Blanket Purchase Agreement (BPA) Order. The contractor shall provide all qualified labor, expertise, supervision, materials, transportation, and operations to conduct the work under this BPA Order.

Services provided by the contractor shall include, but not limited to

- Task One: 2.1 Social Science and Evaluation Research Design and Planning.
- Task Two: 2.2 Social Science and Evaluation Research, Conduct Data Collection, and Data Analysis.
- Task Three: 2.3 Social Science and Program Evaluation Research Reporting and Dissemination.
- Task Four: 2.4 Evaluation Stakeholder Engagement and Capacity Building
- Task Five: 2.5 Ad Hoc Research and Analysis.
- Task Six: 2.6 Contract Management.

The work performed under this BPA Order will result in the development and broad dissemination of evaluation frameworks, plans, reports, study findings and other documents in the listed task areas. Work performed may include site visits to DHS offices or sites and interaction with different DHS audiences. The vendor will be required to prepare and deliver presentations to DHS officials on the results of its work under this BPA Order as established within BPA Order level requirements.

All evaluations and evaluation activities conducted under this BPA Order, regardless of method, shall adhere to OMB guidance, the DHS evaluation policy, and widely accepted scientific principles and should apply the design and methods that are most appropriate for the evaluation's questions and objectives, while balancing its goals, scale, timeline, feasibility, and available resources. Evaluation activities shall be managed by qualified evaluators with relevant education, skills, and experience for the methods undertaken. Credibility of evaluation designs and methods (i.e., evaluation plans) and of evaluation reports shall be further strengthened by peer review or consultation from unbiased experts through one or more technical working groups (TWGs) or approved use of equivalent external review panels or third-party consultants, in addition to the Contractor's internal study quality assurance procedures to monitor data collection, entry, processing, analysis, and reporting.

## **1.3 OBJECTIVE**

The objective of this BPA Order is to conduct a process/implementation evaluation to assess CWMD STC's implementation and sustainment (where applicable) across program sites, identify barriers and approaches for addressing them, and capture important practices (identified through good performance

on outcome measures) and lessons learned that can be shared with the program community to continuously improve implementation and sustainment. The evaluation will also examine select short term outcomes in relation to implementation practices. The primary purpose is for process improvement, program development, and updates as the program matures and expands to future sites. This evaluation will provide OMB, Congress, federal partners, SLTT partners, and other stakeholder groups with evidence to determine what, if any, changes are needed to improve program design and implementation to ensure efficiency, effectiveness, and equity of future iterations of the CWMD STC program.

### **1.3.1 PROGRAM EVALUATION OF SECURING THE CITIES**

The Contractor shall prepare the program evaluation research design, and requisite planning documents including but not limited to: methodology, sampling, data collection, and analysis for the process/implementation evaluation. See deliverables noted under 2.0 for the process/implementation evaluation.

The process/implementation evaluation will assess the CWMD STC's implementation and sustainment (where applicable) relative to the phased STC implementation model and operating plan, identify barriers and approaches for addressing them, and capture important practices (identified through good performance on outcome measures) and lessons learned that can be shared with the program community to continuously improve implementation and sustainment. The evaluation will also examine select short term outcomes in relation to implementation practices. The evaluation will examine the implementation and sustainment (where applicable) activities of 13 ongoing regional cooperative agreements in 14 regions. Cooperative agreements include five legacy sites that were initially funded during part or all of FY2007-FY2016, which are mostly in the sustainment phase. In addition, eight sites initially funded in 2020 with the designation of high-risk urban areas as defined in CWMD's Urban Area Security Initiative and codified in the CWMD Act of 2018 are mostly in implementation phase, or nearing sustainment phase.

### **1.3.2 PROGRAM EVALUATION QUESTIONS**

The process/implementation evaluation, conducted in the base period, addresses the following key questions:

1. To what extent are STC's federal and regional activities and outputs conducted as intended relative to the phased STC implementation model and operating plan?
2. What implementation variation exists across the regions in which STC operates, and what practices may be contributing to exceptionally good performance (positive deviance) on outcome measures in some regions?
3. What challenges have STC regions identified through implementing and sustaining program activities? How were challenges addressed? What, if any, challenges pose continued opportunities for improvement?
4. What role do partnerships play in the implementation and outcomes of STC regions? For example, How well do partnerships function? What is achieved through partnerships that cannot be achieved alone? How do organizations merge complementary capacity or resources to drive transformation?

Evaluation questions may be refined and additional questions or subquestions may be identified and prioritized with stakeholders during the evaluation planning, implementation, and reporting phases. The Government does not expect that additional questions will add substantially to the overall evaluative effort, else they be considered as ad hoc research and analysis. The Contractor shall work with the



Government to identify opportunities, including but not limited to additional questions or subquestions, or disaggregated analysis, that address equity in a way that is relevant to the program.

### **1.3.3. EVALUATION TYPE AND DESIGN**

The planned study is a non-experimental process/implementation evaluation that will assess CWMD STC's implementation and sustainment (where applicable) relative to the phased STC implementation model and operating plan, identify barriers and approaches for addressing them, and capture important practices (identified through good performance on outcome measures) and lessons learned that can be shared with the program community to continuously improve implementation and sustainment. The evaluation will also examine select short term outcomes in relation to implementation practices.

The CWMD STC has undertaken an evaluability assessment (Attachment 2) to aid evaluators in planning for the process/implementation evaluation. The Contractor may use the evaluability assessment to establish a feasible technical approach but should assume that no changes recommended in the evaluability assessment will be made by the initiative prior to award of this BPA Order. In the course of conducting this evaluation, the Contractor may support the establishment of new program indicators, measures, and data that address recommendations made in the evaluability assessment.

### **1.3.4 DATA SOURCES AND COLLECTION METHODS**

The evaluation will require the information for which longitudinal data (i.e. from same sites at different points in time) of varying degrees are available, including but not limited to:

- Phase-specific measures for activities and outputs related to federal and regional program governance, screening operations, alarm reach back and reporting, continuous improvement, and posture of the regional and national STC network
- Outcome measures related to improved detection and reporting of R/N threats and hazards, connectivity between regional assets and federal operations, coordination of decision-making and action across partners, timely and targeted responses, and surge capacity

The evaluation will require the following information for which new data collection is necessary including but not limited to CWMD STC, federal, and SLTT principal partner staff perceptions of:

- fidelity to model/concept of operations, including deviations and root causes of deviations
- implementation barriers/challenges and recommended improvements
- how participation has contributed to key outcomes identified above
- role of partnerships in implementation and outcomes

For the evaluation, primary data sources include core program staff and Federal Leads supporting regions, other federal partners' (FBI and DOE) headquarters and regionally-embedded staff, and regional SLTT principal operating partners, especially regional Program Managers, PMO staff, their leaders, regional multi-agency Executive Committees and Subcommittees, other subpartners and SMEs supporting these entities. Methods of primary data collection may include *low burden* quantitative surveys, qualitative interviews or focus groups, and, possibly, observations (site visits). Secondary data sources include textual program data (e.g., applications and subapplications, award documents, SLTT regions' implementation plans, financial and performance progress reports, other status reporting, after action/post-implementation reporting, performance measures, operations reports, and other program documents) from the inception of their respective cooperative agreements. PA&E and the CWMD STC

office expect to be able to use a generic Information Collection Request (ICR)<sup>22</sup> to support primary data collection and intend for one ICR to cover all collections. DHS anticipates 6 months for Privacy, Human Subjects, and PRA clearance approval.

### **1.3.5 DATA ANALYSIS METHODS**

Descriptive and inferential statistical analysis, such as trend analysis, correlational analysis, and statistical comparisons, will be used for quantitative data or quantifiable data, as relevant to the evaluation question or subquestion to be answered. Qualitative analysis, such as content analysis, cross-site analysis, and theme identification, will be used for qualitative data. As appropriate to support the efficient analysis of extensive secondary data, methods of data science may be used, including but not limited to explanatory and predictive modeling, data manipulation, analytical applications, big data engineering, algorithms, statistics, machine learning, natural language processing, and data visualization.

### **1.3.6 ANTICIPATED CHALLENGES**

Challenges and limitations include the following:

- Anticipated challenges include evaluation capacity of STC program and SLTT partner staff to conduct evaluation, so CWMD may provide additional outreach, technical assistance, or financial support to enable participation in the evaluation as needed.
- An important limiting factor is data quality, specifically a lack of baseline data needed to observe changes in sustainment activities over time for legacy regions. Evaluators will use qualitative data collection to assess the presence of factors identified in the literature that contribute to sustainment over time. This evaluation may support the development of new measures of sustainment that can be applied as new programs funded in or after 2020 transition from implementing to sustainment in the future and as they mature within the sustainment phase.

### **1.3.7 PLAN FOR USE AND DISSEMINATION**

Understanding the fidelity of implementation and sustainment activities both overall and at each site of STC relative to the phased STC implementation model and operating plan will allow DHS to ensure more consistent implementation across regions and continuous improvement for the program as a whole. Further, identifying promising practices for and barriers that interfere with implementation and sustainment will enable DHS to identify lessons learned and develop mitigation strategies for addressing common barriers that can be shared (via improvements to program guidance, technical assistance, etc.) with the program community. This priority question will engage or benefit CWMD, DHS components and divisions, other Federal partners, SLTT partners, OMB, and Congress.

Disclosure of this work is anticipated to be broad but restricted to DHS internal staff, U.S. government entities, and non-Federal partners.

## **1.4 APPLICABLE DOCUMENTS**

All solutions provided under this BPA and its awarded BPA Orders shall comply with DHS policies and procedures, public laws, Executive Orders, federal regulations, and standards in order to support timely performance of DHS and Components' governance processes, including but not limited to:

1. 9/11 Commission Act of 2007

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<sup>22</sup> If the *DHS Generic Clearance for Formative Data Collections for Evaluation, Research, and Evidence Building* is deemed by DHS or OMB to not be applicable to this study, a full ICR using the standard process may be required.

2. Section 508 of the Rehabilitation Act (29 U.S.C. 794d), as amended by the Workforce Investment Act of 1998 (P.L. 105-220), August 7, 1998
3. Government Performance and Results Act (GPRA) Modernization Act of 2010
4. Foundations for Evidence-Based Policymaking Act of 2018 ("Evidence Act")
5. Paperwork Reduction Act of 1995
6. Section 508 of the Rehabilitation Act of 1973 as amended
7. The Privacy Act of 1974 as amended

#### **1.4.1 COMPLIANCE DOCUMENTS**

The following documents provide specifications, standards, or guidelines that must be complied with in order to meet the requirements of this BPA:

1. OMB Circular A-11, Part 6, Section 290: Evaluation and Evidence Building Activities
2. OMB Memorandum 19-23 (M-19-23) Phase 1 Implementation of the Foundations for Evidence-Based Policymaking Act of 2018: Learning Agendas, Personnel, and Planning Guidance
3. OMB Memorandum 20-12 (M-20-12) Phase 4 Implementation of the Foundations for Evidence-Based Policymaking Act of 2018: Program Evaluation Standards and Practices
4. OMB Memorandum 21-27 (M-21-27) Evidence-Based Policymaking: Learning Agendas and Annual Evaluation Plans
5. Scientific Integrity Fast-Track Action Committee and National Science and Technology Council, Protecting the Integrity of Government Science
6. 45 CFR 46: Protections of Human Subjects (Common Rule)
7. DHS Management Directive 069-03 Program, Policy, and Organizational Evaluation, Rev 01 (internal only, will be provided post-award)
8. DHS Management Instruction 069-03-001, Rev 01 Program, Policy, and Organizational Evaluation, Revision 00 (internal only, will be provided post-award)
9. DHS PAE Evaluability Assessment Resource with Equity Addendum 4-5-2021 (internal only, will be provided post-award)
10. DHS Tool 5.8 Evaluation Plan Review (internal only, will be provided post-award)
11. DHS Tool 9.1 Evaluation Report Review (internal only, will be provided post-award)
12. DHS Management Directive 047-01 Privacy Policy and Compliance
13. DHS Management Directive 026-04, Protection of Human Subjects
14. DHS Management Instruction 026-04-001, Ensuring Human Subjects Research Compliance (internal only, will be provided post-award)
15. OCIO Memorandum Participation in the DHS Data Inventory Program (internal only, will be provided post-award)

#### **1.4.2 EVALUATION REFERENCE DOCUMENTS**

PA&E maintains a catalog of tools and resources to support internal evaluation managers and Contractor support provided in conducting evaluation that meets federal, DHS, and professional evaluation standards and widely adopted practices of the field.

#### **1.4.3 CWMD SECURING THE CITIES REFERENCE DOCUMENTS**

Publicly available resources:

- Securing the Cities Implementation Plan FY 2022
- Nuclear Terrorism Prevention: DHS Has Strengthened the Securing the Cities Program, but Actions Are Needed to Address Key Remaining Challenges | U.S. GAO



## 2.0 REQUIREMENTS/TASKS – PROCESS/IMPLEMENTATION EVALUATION

Subtasks may be incorporated into an overall study or stand alone. In the column titled “Distribution” in the “Deliverable’s” tables below, “PM” represents Government’s Project Manager, “COR” represents Contracting Officer’s Representative, and “CO” represents Contracting Officer.

The Contractor shall consider deliverables/events in schedule delivery tables **BOLD** as having mandatory due dates. Unless otherwise indicated as calendar days, due by dates are business days.

### 2.1 TASK ONE: SOCIAL SCIENCE AND EVALUATION RESEARCH DESIGN AND PLANNING

The Contractor shall provide foundational support for the design and planning of a wide range of social science and evaluation research studies and other analysis. Subtasks may be incorporated into an overall study or stand alone. The Contractor shall assign a team of personnel with the proper skills, expertise, and recent experiences to plan and design a rigorous program evaluation (adhering to the applicable documents under section 1.4) and to complete the deliverables based upon the level of effort and requirements of the specific subtasks for Task One.

#### 2.1.1 DOCUMENT (“DESK”) REVIEWS

The Contractor shall prepare or assist in the conduct of document reviews to understand the history, goals and objectives, design as planned, and current status of a program, policy, or regulation, strategy, or operation to be evaluated. The Contractor shall:

- a. Design an appropriate document review.
- b. Gather, review, and synthesize key information from relevant documents, including government and non-government sources, such as strategic plans, budget justifications, annual operation or performance plans, program management plans, notices of funding opportunities (for financial assistance programs), monitoring and evaluation plans, prior evaluation reports, and websites.
- c. Conduct the document review as planned.
- d. Prepare and submit a memorandum describing the methodology, bibliography, and summary of the findings from the document review.

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
1	2.1.1	Draft Document Review Memorandum	N-business day development cycle outlined in Project Management Plan	PM, COR
2	2.1.1	Final Document Review Memorandum	10 business days after receipt of comments.	PM, COR

#### 2.1.2 EVIDENCE REVIEWS

The Contractor shall prepare or assist in the conduct of evidence review (e.g., literature review, systematic review, or meta-analysis, as appropriate) to determine what existing evaluations, research, or analysis from peer-reviewed research and gray literatures have been conducted relevant to the program, policy, strategy, or topic and provide an overview of prior results with description of how they will be used to inform the evaluation. The Contractor shall:

- a. Design an appropriate evidence review.

- b. Gather existing evidence from peer-reviewed research literature, other publications and reports (gray literature), clearinghouses, repositories, and public websites, as appropriate.
- c. Conduct the evidence review as planned.
- d. In the case of a systematic evidence review or meta-analysis, follow best practices in social science, including categorizing the quality of the research and attempt to explain discrepancies in findings across research studies (systematic reviews) and using appropriate statistical techniques to synthesize and summarize results of the studies (meta-analysis).
- e. Prepare and submit the evidence review for DHS feedback.
- f. Specify and solicit feedback from experts and stakeholders on review and include that feedback in the final evidence review.
- g. Draft must be submitted as a word-processing document (e.g., Word) and final version must be submitted as a word-processing document (e.g., Word) and in PDF format between 10 to 50 pages in length. It shall be factually correct, written clearly and concisely and containing fewer than 10 typographical and grammatical errors. The deliverables submitted shall adhere to schedule of deliverables within the Project Management Plan and described within section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.
- h. Revisions must be submitted in the word-processing document in two versions: 1) one in track changes with DHS comments and contractor responses along DHS edits and contractor edits; and 2) as a clean version with all changes accepted and comments removed.
- i. Final draft shall be 508 compliant (see section 1.4 Applicable Documents, item 6. Section 508 of the Rehabilitation Act of 1973 as amended).

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
3	2.1.2	Draft Evidence Review Memorandum	N-business day development cycle outlined in Project Management Plan	PM, COR
4	2.1.2	Final Evidence Review Memorandum	10 business days after receipt of comments.	PM, COR

### 2.1.3. THEORY OF CHANGE AND LOGIC MODEL

The Contractor shall prepare or assist in updating the theory of change and the logic model, system model, or other equivalent narrative and graphic depictions of programs, policies, regulations, strategies, or operations. The Contractor shall:

- a. Develop or update an existing a theory of change and logic model, including both narrative and graphic depictions of a program, policy, or regulation, strategy, or operation, including
  - Key components such as the problem to be addressed, goal and objective(s), inputs, activities, outputs, and outcomes, assumptions, and external factors;
  - Narrative articulation/elaboration of how activities are expected to bring about the desired sequence of short, medium, and long-term outcomes; and

- Explanation what evidence does and does not exist to support theories of change or logic model.
- b. Prepare and submit the theory of change and logic model using software (e.g., Microsoft Word, Power Point, Vizio) for DHS feedback.
- c. Specify and solicit feedback from experts and stakeholders on draft theory of change/logic model and include that feedback in the final theory of change/logic model.
- d. Finalize the theory of change and logic model and submit it to DHS in a format that allows DHS to further manipulate it.
- e. Draft and final may be up to 5 pages in length. The final version must be submitted in PDF format. It shall be factually correct, written clearly and concisely and containing fewer than 5 typographical and grammatical errors. The deliverables submitted shall adhere to schedule of deliverables within the Project Management Plan, Matrix, and described within section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.
- f. Revisions must be submitted in two versions: 1) one in track changes with DHS comments and contractor responses along DHS edits and contractor edits; and 2) as a clean version with all changes accepted and comments removed.
- g. Final draft shall be 508 compliant (see Section 1.4 Applicable Documents, item 6. Section 508 of the Rehabilitation Act of 1973 as amended).

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
5	2.1.3	Draft Theory of Change and Logic Model	N-business day development cycle outlined in Project Management Plan	PM, COR
6	2.1.3	Final Theory of Change and Logic Model	10 business days after receipt of comments.	PM, COR

#### 2.1.4 INDICATORS, MEASURES, AND DATA REVIEWS, ASSESSMENT, AND DEVELOPMENT

The Contractor shall conduct the identification, review, assessment, and development of indicators, measures, and data—from government and non-government sources—that may be used for social science and evaluation research, evaluation activities, or other analysis, including performance monitoring with description of how they will be used to inform the evaluation. The Contractor shall:

- a. Identify from government and nongovernment sources the existing indicators, measures, and data that may be used for performance measurement or evaluation, including those designed and collected for program purposes, as well as recommend other indicators, measures, or data that may be appropriate for secondary use to address a given evaluation question or criteria.
- b. Conduct data quality assessments that examine concepts including but not limited to validity, reliability, precision, integrity, and timeliness of data in relation to intended use, and any limitations of data quality that may pose risks to the credibility of its use.
- c. Prepare and submit a final memorandum, including cross-walk(s) that present existing and recommended indicators, measures, and data for each corresponding evaluation question and indicates any limitations of data quality that may pose risks to credibility of the evaluation.



- d. Draft must be submitted as a word-processing document (e.g., Word) and final version must be submitted as a word-processing document (e.g., Word) and in PDF format between 10 to 50 pages in length. It shall be factually correct, written clearly and concisely and containing fewer than 10 typographical and grammatical errors. The deliverables submitted shall adhere to schedule of deliverables within the Project Management Plan, Matrix, and described within Section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.
- e. Revisions must be submitted in the word-processing document in two versions: 1) one in track changes with DHS comments and contractor responses along DHS edits and contractor edits; and 2) as a clean version with all changes accepted and comments removed.
- f. Final draft shall be 508 compliant (see Section 1.4 Applicable Documents, item 6. Section 508 of the Rehabilitation Act of 1973 as amended).

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
7	2.1.4	Draft Indicator, Measures, and Data Review and Development Memorandum	N-business day development cycle outlined in Project Management Plan	PM, COR
8	2.1.4	Final Indicator, Measures, and Data Review and Development Memorandum	10 business days after receipt of comments.	PM, COR

### 2.1.5 DESIGN AND METHODOLOGY (STUDY PLANS)

The Contractor shall develop and deliver a publishable methodology and study plan that will guide the program evaluation. Design and methodologies (study plans) shall address process/implementation evaluation questions as described in 1.3.2; account for purpose, scope, available resources, evaluability, and equity considerations; and, minimally, document the following for each study question: information needed; evaluation design and sampling; primary and/or secondary data sources, data collection methods, data analysis methods and schedule, approach to interpretation or drawing conclusions, known limitations of the described approach, a plan for data documentation, management, and security, and a schedule for the proposed activities.

The Contractor shall:

- a. Assist DHS stakeholders in refining evaluation questions.
- b. Prepare and submit an evaluation design and methodology in the form of a plan which addresses the process/implementation evaluation questions; accounts for the purpose, scope, available resources, evaluability, and equity considerations; and documents the following:
  - information needed (key performance and other indicators to be measured)
  - evaluation design including sampling
  - primary and secondary data sources, data collection methods
  - data collection strategy
  - data analysis methods and tools—for both qualitative and quantitative data to be collected
  - how interpretations or conclusions will be drawn, including any stakeholder engagement for co-interpretation
  - practical issues of data collection

- a plan for data documentation, management, and security
  - any challenges or limitations related to answering *each* evaluation question.
- c. Propose a schedule for each of the following: (1) all data to be collected; (2) the compilation, storage, analysis and presentation of data collected and (3) development of a report outline and the draft and final reports with sufficient detail to enable DHS to provide feedback and ensure that planned work aligns with stakeholder expectations and benefits from stakeholder insights.
  - d. Use matching techniques and other methodological innovations to develop well-matched comparison groups and conduct randomized control trials, as appropriate to answer evaluation questions.
  - e. Specify and solicit feedback from experts and stakeholders, including DHS Evaluation Officer (DHS EO) on draft evaluation design and methodology and include that feedback in the final evaluation methodology plan.
  - f. Prepare and submit to DHS a final publishable evaluation methodology plan that reflects appropriate consideration of the Department's comments on the draft plan.
  - g. Drafts must be submitted as a word-processing document (e.g., Word) and the final version must be submitted as a word-processing document (e.g., Word) and in PDF format up to 50 pages in length. It shall be factually correct, written clearly and concisely and containing fewer than 10 typographical and grammatical errors. The deliverables submitted shall adhere to schedule of deliverables within the Project Management Plan, Matrix, and described within Section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.
  - h. Revisions must be submitted in the word-processing document in two versions: 1) one in track changes with DHS comments and contractor responses along DHS edits and contractor edits; and 2) as a clean version with all changes accepted and comments removed.
  - i. Final draft shall be 508 compliant (see Section 1.4 Applicable Documents, item 6. Section 508 of the Rehabilitation Act of 1973 as amended).

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
9	2.1.5	Draft Evaluation Methodology	N-business day development cycle outlined in Project Management Plan	PM, COR, DHS Evaluation Officer (EO)
10	2.1.5	Final Evaluation Methodology	10 business days after receipt of comments.	PM, COR

#### 2.1.6 TASK ONE DELIVERABLES SUMMARY

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
1	2.1.1	Draft Document Review Memorandum	N-business day development cycle outlined in Project Management Plan	PM, COR
2	2.1.1	Final Document Review Memorandum	10 business days after receipt of comments.	PM, COR

3	2.1.2	Draft Evidence Review Memorandum	N-business day development cycle outlined in Project Management Plan	PM, COR
4	2.1.2	Final Evidence Review Memorandum	10 business days after receipt of comments.	PM, COR
5	2.1.3	Draft Theory of Change and Logic Model	N-business day development cycle outlined in Project Management Plan	PM, COR
6	2.1.3	Final Theory of Change and Logic Model	10 business days after receipt of comments.	PM, COR
7	2.1.4	Draft Indicator, Measures, and Data Review and Development Memorandum	N-business day development cycle outlined in Project Management Plan	PM, COR
8	2.1.4	Final Indicator, Measures, and Data Review and Development Memorandum	10 business days after receipt of comments.	PM, COR
9	2.1.5	Draft Evaluation Methodology	N-business day development cycle outlined in Project Management Plan	PM, COR, DHS Evaluation Officer (EO)
10	2.1.5	Final Evaluation Methodology	10 business days after receipt of comments.	PM, COR

## 2.2 TASK TWO: SOCIAL SCIENCE AND EVALUATION RESEARCH CONDUCT, DATA COLLECTION, AND DATA ANALYSIS

The Contractor shall provide foundational support for data collection and analysis in a wide range of social science and evaluation research studies and other analysis. Subtasks may be incorporated into an overall study or stand alone. The Contractor shall assign a team of personnel with the proper skills, expertise, and recent experiences to plan and design a rigorous program evaluation (adhering to the applicable documents under Section 1.4) and to complete the deliverables based upon the level of effort and requirements of the specific subtasks for Task Two.

### 2.2.1 INSTRUMENT AND PROTOCOL DESIGN AND PRETESTING

The Contractor shall develop, pretest, and deliver revised data collection instruments and protocols appropriate to gather existing and new information necessary to execute the design and methodology (study plan) developed in Task 1. Data collection instruments and protocols may be required for both quantitative (e.g., survey) and qualitative (e.g., interview, focus group, observation) data collections.

The Contractor shall seek appropriate approvals for privacy protections, human subjects research protections, and administrative burden, including but not limited to the Contractor's Institutional Review Board and DHS Privacy Office, DHS Compliance Assurance Program Office (CAPO) (See Section 4.8 for more details on CAPO requirements), DHS PRA Office, and OMB (e.g., Paperwork Reduction Act Submission). The Contractor shall:

- a. Draft instruments, including any scripts, introductions, disclaimers, confidentiality agreements, protocols for collection and use, and PRA Submission Short Form (if applicable for pre-testing).
- b. Prepare packages to seek appropriate regulatory and policy approvals from Contractor's IRB, DHS Privacy Office, DHS CAPO, DHS PRA Office, and other offices that need to clear the OMB Package, including DHS's Regulatory Compliance Division, Office of Chief Council, and DHS Office of the Chief Information Officer (OCIO), and other offices affected by the data collection, prior to being submitted to the OMB for approval.



- c. Revise these materials, based on feedback from these offices. The Contractor shall make as many revisions as is necessary until OMB approval is obtained.
- d. Pretest surveys and data collection protocols/procedures, including but not limited to usability testing, focus groups, exploratory interviews, behavior coding, cognitive interviews, respondent debriefing to ensure survey quality, in accordance with DHS Paperwork Reduction Act and Office of Management and Budget (OMB) guidance for designing surveys for information collections.
- e. Revise the draft instruments and protocols informed by the analysis of pretesting results.
- f. Prepare and submit to DHS a summary of pretesting results, recommended changes and rationale for each change made (or not made) indicated by pretesting results, with the revised instruments, including any scripts, introductions, disclaimers, confidentiality agreements, and protocols.
- g. Drafts and final instruments must be submitted as a word-processing document (e.g., Word) between 2-15 pages in length per instrument; exceptions to upper page limitations may be granted depending on the extent and complexity of a specific data collection. It shall be factually correct, written clearly, concisely, and containing fewer than 5 typographical and grammatical errors per instrument. The deliverables submitted shall adhere to schedule of deliverables within the Project Management Plan, Matrix, and described within Section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.
- h. Revisions must be submitted in the word-processing document in two versions: 1) one in track changes with DHS comments and contractor responses along DHS edits and contractor edits; and 2) as a clean version with all changes accepted and comments removed.
- i. Final draft shall be 508 compliant (see Section 1.4 Applicable Documents, item 6. Section 508 of the Rehabilitation Act of 1973 as amended).

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
1	2.2.1	Draft Instrument and Protocol Design for Pretesting	N-business day development cycle outlined in Project Management Plan	PM, COR
2	2.2.1	Revised Instrument and Protocol Design – Ready for Pretesting	N-business day development cycle outlined in Project Management Plan	PM, COR
3	2.2.1	Revised Instrument and Protocol Design after Pretesting & Memo (summary of pretesting results & rationale for instrument changes)	N-business day development cycle outlined in Project Management Plan	PM, COR
4	2.2.1	Revised Instrument and Protocol Design – Ready for OMB Clearance	N-business day development cycle outlined in Project Management Plan	PM, COR

## 2.2.2 OMB INFORMATION COLLECTION REQUEST (ICR) PACKAGES

The Contractor shall prepare and deliver all necessary documents to facilitate the approval of the

Information Collection Request from OMB, including but not limited to the draft OMB clearance package, summaries of public comments and responses (if applicable), required revisions and edits to the package, draft presentations for OMB, and draft responses to questions from OMB. This is generally required when data will be collected from more than nine non-federal, members of the public.

PA&E and CWMD STC office expect that a generic Information Collection Request (ICR)<sup>23</sup> will support primary data collection and intend to create one ICR for all collections, unless the number exceeds that allowable for the short form ICR. If a generic clearance is deemed by DHS PRA Office or OMB to not apply to this study, then 2.2.2.1 and a full ICR that addresses each of the supporting statements (Parts A and B) shall apply. PRA Fast-Track process is not applicable.

#### **2.2.2.1 Federal Register Notices**

The Contractor shall

- a. Prepare and submit to DHS draft and final versions of the Federal Register 60 Day Notice for publication that meet all the requirements of the Office of the Federal Register Document Drafting Handbook. The 60-day notice shall not be approved until it is published in the Federal Register.
- b. Summarize all public comments received in response to the published Federal Register Notice and draft responses to each comment to be sent by DHS, as needed.

The 60-day notice shall not be approved until it is published in the Federal Register.

#### **2.2.2.2 OMB Clearance Package**

The Contractor shall

- a. Prepare and submit to DHS PA&E a Privacy Threshold Analysis (PTA) package that meets the requirements of the DHS Privacy Office. Revise the PTA as is necessary until DHS Privacy Office approval is obtained.
- b. Prepare and submit to DHS PA&E a human subjects research protections (HSRP) determination package that has been approved by the Contractors IRB and meets the requirements of the DHS Compliance Assurance Program Office (CAPO) (See Section 4.8 for more details on CAPO requirements). Revise the HSRP determination package as is necessary until DHS CAPO approval is obtained.
- c. Provide all the information necessary for completing OMB Form 83-I.
- d. Prepare and submit to DHS PA&E a draft generic clearance package that provides narrative addressing the short form Information Collection Request (ICR) creating one ICR for all data collections, with all necessary appendices (i.e., tested and revised instruments, including any scripts, introductions, disclaimers, confidentiality agreements, protocols for collection and use) OR a full ICR that addresses each of the supporting statements (Parts A and B) with all necessary appendices, as appropriate to the evaluation.
- e. Revise the OMB Clearance Package as is necessary until OMB approval is obtained. Revisions shall be based on feedback from multiple offices that need to clear the OMB Package, which may include but are not limited to DHS Offices of Privacy (PVCY), DHS CAPO, DHS PRA

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<sup>23</sup> If the *DHS Generic Clearance for Formative Data Collections for Evaluation, Research, and Evidence Building* is deemed by DHS or OMB to not be applicable to this study, a full ICR using the standard process may be required.

Office, and other offices that need to clear the OMB Package, including DHS's Regulatory Compliance Division, Office of Chief Council, and DHS Office of the Chief Information Officer (OCIO), and other offices affected by the data collection, prior to being submitted to the OMB for approval.

- f. Update the OMB package after each set of required revisions and edits, as necessary.
- g. Participate in a conference call presentation of the study to OMB and/or draft responses to questions from OMB, as needed.
- h. Draft and final must be submitted as a word-processing document (e.g., Word) or requested PRA template format and be factually correct, written clearly and concisely, and containing fewer than 5 typographical and grammatical errors. The deliverables submitted shall adhere to schedule of deliverables within the Project Management Plan, Matrix, and described within Section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.
- i. Revisions must be submitted in the word-processing document in two versions: 1) one in track changes with DHS comments and contractor responses along DHS edits and contractor edits; and 2) as a clean version with all changes accepted and comments removed.

The OMB Clearance Package shall be considered final and accepted by the Government at the point of OMB approval of the clearance package. DHS deliverable schedule anticipates 6 months for PRA clearance approval. Approval for full information requests typically require 10-12 months.

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
5	2.2.2	Draft OMB ICR Package	N-business day development cycle outlined in Project Management Plan	PM, COR
6	2.2.2	Final OMB ICR Package	N-business day development cycle outlined in Project Management Plan	PM, COR

### 2.2.3 DATA COLLECTION

The Contractor shall collect quantitative and qualitative data, including primary and secondary data collection, data for linking/matching to rely on existing person level data, and data to develop well-matched comparison groups and conduct randomized control trials, as appropriate to support the objectives of social science and evaluation research, evaluation activities, or other analysis. During the base period, the contractor will only conduct data collection to support the process/implementation evaluation. The Contractor shall:

- a. Conduct data collection in accordance with any approved plans, schedules, and protocols developed in Task 1 for the process/implementation evaluation and the Information Collection Request.
- b. Monitor and mitigate risks to validity in data collection.
- c. Conclude data collection in accordance with the schedule included in the evaluation methodology or when enough data has been collected to meet evaluation objectives.



- d. Quantitative data collected must be submitted in a tabular formatted document (e.g. Excel or CVS file) containing all individual responses received, clearly linked to the question or prompt to which it responds. Qualitative data collected may be submitted either in a tabular formatted document (e.g. Excel or CVS file) or as a word processing document (e.g. Word) containing all individual responses clearly linked to the question or prompt to which it responds. The deliverables submitted shall adhere to schedule of deliverables within the Project Management Plan, Matrix, and described within Section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.
- e. In-Progress, Preliminary, and Final versions must be submitted in the same format as described in 2.2.3.d.

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
7	2.2.3	In-Progress Data Collection	N-business day development cycle outlined in Project Management Plan	PM, COR
8	2.2.3	Preliminary Data Collection	N-business day development cycle outlined in Project Management Plan	PM, COR
9	2.2.3	Final Data Collection	N-business day development cycle outlined in Project Management Plan	PM, COR

## 2.2.4 DATA ANALYSIS AND INTERPRETATION

The Contractor shall compile, analyze, and interpret quantitative and qualitative data using descriptive statistics, inferential statistics, linking/matching, other specialized statistical methods (e.g., modeling, bibliometric analysis, portfolio analysis, network analysis) and non-statistical methods (e.g., content analysis, thematic framework coding) as outlined in the approved methodology developed in Task 1 for the process/implementation evaluation. The Contractor shall document all statistical and non-statistical data analysis and interpretation processes including procedures to address missing data, outliers, and any changes to the approved plans, schedules, and protocols. The Contractor shall:

- a. Compile, analyze, and interpret quantitative and qualitative data in accordance with the schedule included in the evaluation design methodology. Co-interpretation with DHS staff and relevant stakeholders is expected. Quantitative data analysis may include descriptive and/or inferential statistics, as well as other specialized statistical methods such as modeling, bibliometric analysis, portfolio analysis, and network analysis. Qualitative data analysis may include manual or automated content analysis, thematic framework coding, narrative analysis, discourse analysis, grounded theory, case study analysis, ethnographic analysis, interpretive phenomenological analysis, journey mapping, and document cluster analysis.
- b. Document all statistical and non-statistical data analysis and interpretation processes including procedures to address missing data, outliers, and any changes to the pre-approved methodology upon receipt of the actual data to the COR for approval.
- c. Drafts and final must be submitted as a word-processing document (e.g., Word) between 20 - 50 pages in length. It shall be factually correct, written clearly and concisely and containing fewer than 10 typographical and grammatical errors. Graphic elements such as tables and chart must be clearly labeled. The deliverables submitted shall adhere to schedule of deliverables

within the Project Management Plan, Matrix, and described within Section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.

- d. Revisions must be submitted in the word-processing document in two versions: 1) one in track changes with DHS comments and contractor responses along DHS edits and contractor edits; and 2) as a clean version with all changes accepted and comments removed.

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
10	2.2.4	In-Progress Data Analysis	N-business day development cycle outlined in Project Management Plan	PM, COR
11	2.2.4	Preliminary Data Analysis	N-business day development cycle outlined in Project Management Plan	PM, COR
12	2.2.4	Final Data Analysis	N-business day development cycle outlined in Project Management Plan	PM, COR

### 2.2.5 DATA FILES AND DOCUMENTATION PRODUCTS

All data gathered or generated by this contract is exclusively owned by the DHS unless otherwise noted.

The Contractor shall prepare and deliver all data files (e.g., raw data files, cleaned and weighted analysis files, and associated programming code used to generate the files, output files) retaining all Personally Identifiable Information (PII) and Confidential Business Information (CBI) in the data files unless approved by DHS in advance. The Contractor shall prepare and deliver all documentation (e.g., file structures, codebooks, cleaning procedures, annotated code files for analysis, qualitative coding procedures) that was used by the Contractor when running analysis on these data files such that DHS can fully and accurately replicate all analysis presented as well as any analyses conducted as a preliminary step but not shown.

At the time of submission of each draft of the final report, the Contractor shall

- a. Prepare and submit to DHS all data files.
- b. Prepare and submit to DHS all documentation.
- c. Resubmit the data files and documentation to reflect any changes to data analysis between the draft and final report.
- d. Quantitative data files must be submitted in a tabular formatted document (e.g. Excel or CVS file) containing all individual responses received, clearly linked to the question or prompt to which it responds. Qualitative data files may be submitted either in a tabular formatted document (e.g. Excel or CVS file) or as a word processing document (e.g. Word) containing all individual responses clearly linked to the question or prompt to which it responds. The deliverables submitted shall adhere to schedule of deliverables within the Project Management Plan, Matrix, and described within Section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.

- e. Revisions and the final version must be submitted in the same format as described in 5.2.3.d.

This deliverable and the associated report may be rejected if the analyses presented cannot be replicated by DHS.

#### **2.2.5.1 Quantitative data**

The Contractor shall

- a. Prepare and submit to DHS electronic quantitative data files using the secure file transfer protocol, or other method approved by DHS, as outlined in the CQP. All raw data shall be included in the data files, in addition to any weights calculated by the Contractor and a detailed description of how the weights were produced. These files shall be provided in digital format for use with PC SAS/STATA/PowerBI/Tableau/R, or another suitable analytic software approved by DHS.
- b. Prepare and submit to DHS full documentation for these quantitative data files including, at a minimum:
  - Identity (identifier, title, description, key word, access level, date issued)
  - File structure (data set name, record format, record length, and number of records);
  - Codebook (record layout including variable names, variable format, variable labels, value labels, and missing values);
  - Formulation of any calculated variables;
  - Computer code and output files (SAS/STATA/PowerBI/Tableau/R, etc.) used to clean the data, assemble the analytic databases, and generate all tables, graphs and figures that appear in the report. Submitted computer code shall be annotated and must indicate where file paths need to be re-mapped to run properly within the DHS computing environment. To allow analysts to follow what was done and replicate it, submitted computer code shall also contain notes that specify which research question each analysis is addressing and/or which step in getting to addressing the research question the intermediary analyses addresses.

#### **2.2.5.2 Qualitative data**

The Contractor shall

- a. Prepare and submit to DHS electronic qualitative data files using the secure file transfer protocol, or other method approved by DHS, as outlined in the CQP. All observation notes and raw interview/focus group transcripts shall be downloaded into a qualitative software package and coded using state-of-the-science qualitative data review and analysis practices. Unless otherwise agreed upon, qualitative data shall be analyzed in an DHS-approved qualitative software program.
- b. Prepare and submit to DHS full documentation for these qualitative data files including, at a minimum:
  - Identity (identifier, title, description, key word, access level, date issued)
  - Complete listing of all data sources included in the qualitative analysis and any assigned attributes;
  - Coding outline (including all relevant nodes/ quotes organized under relevant themes);



- Method and detailed description of any content analyses or alternate DHS-approved qualitative approach (e.g., grounded theory) for analyzing and interpreting qualitative data;
  - Records of contextual notes taken at each interview or focus group; and
  - Output files able to be opened with Microsoft Word, Excel, or Adobe Acrobat.
- c. Retain all audio recordings of focus groups or interviews until study completion. The COR can schedule a time to listen to the audio recordings to verify the accuracy of transcripts used in the qualitative data analysis. The audio recordings and transcripts shall not be transferred to DHS.

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
13	2.2.5	In-Progress Data Files and Documentation	Concurrent with submission of Task 2.2.4	PM, COR,
14	2.2.5	Preliminary Data Files and Documentation	Concurrent with submission of Task 2.2.4	PM, COR,
15	5.2.5	Final Data Files and Documentation	Concurrent with submission of Task 2.2.4	PM, COR

#### 2.2.6. TASK TWO DELIVERABLES SUMMARY

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
1	2.2.1	Draft Instrument and Protocol Design for Pretesting	N-business day development cycle outlined in Project Management Plan	PM, COR
2	2.2.1	Revised Instrument and Protocol Design – Ready for Pretesting	N-business day development cycle outlined in Project Management Plan	PM, COR
3	2.2.1	Revised Instrument and Protocol Design after Pretesting & Memo (summary of pretesting results & rationale for instrument changes)	N-business day development cycle outlined in Project Management Plan	PM, COR
4	2.2.1	Revised Instrument and Protocol Design – Ready for OMB Clearance	N-business day development cycle outlined in Project Management Plan	PM, COR
5	2.2.2	Draft OMB ICR Package	N-business day development cycle outlined in Project Management Plan	PM, COR
6	2.2.2	Final OMB ICR Package	N-business day development cycle outlined in Project Management Plan	PM, COR
7	2.2.3	In-Progress Data Collection	N-business day development cycle outlined in Project Management Plan	PM, COR
8	2.2.3	Preliminary Data Collection	N-business day development cycle outlined in Project Management Plan	PM, COR

9	2.2.3	Final Data Collection	N-business day development cycle outlined in Project Management Plan	PM, COR
10	2.2.4	In-Progress Data Analysis	N-business day development cycle outlined in Project Management Plan	PM, COR
11	2.2.4	Preliminary Data Analysis	N-business day development cycle outlined in Project Management Plan	PM, COR
12	2.2.4	Final Data Analysis	N-business day development cycle outlined in Project Management Plan	PM, COR
13	2.2.5	In-Progress Data Files and Documentation	Concurrent with submission of Task 2.2.4	PM, COR,
14	2.2.5	Preliminary Data Files and Documentation	Concurrent with submission of Task 2.2.4	PM, COR,
15	2.2.5	Final Data Files and Documentation	Concurrent with submission of Task 2.2.4	PM, COR

### **2.3 TASK THREE: SOCIAL SCIENCE AND EVALUATION RESEARCH REPORTING AND DISSEMINATION**

The Contractor shall provide foundational support for reporting and dissemination of a wide range of social science and evaluation research studies and other analysis. Subtasks may be incorporated into an overall study or stand alone. The Contractor shall assign a team of personnel with the proper skills, expertise, and recent experiences to plan and design a rigorous program evaluation (as described in Section 1.2 and adhering to the applicable documents under Section 1.4) and to complete the deliverables based upon the level of effort and requirements of the specific subtasks for Task Three.

All reports and dissemination products shall use clear and concise English with proper spelling, grammar, capitalization, punctuation, levels of heading, and use of acronyms to meet Government Printing Office (GPO), OMB, DHS, and DHS standards. The Contractor shall professionally design and utilize professional copy-editing, graphics, and presentations. The Contractor shall provide all results using prose and graphics that are clear for a non-technical audience. Implement the Contractor's approved Quality Control Plan (QCP) before delivery to the Contracting Officer and Contracting Officer's Representative (COR). Deliverables that have not undergone editing for clarity, format, spelling, and grammar, are missing required sections, or do not adhere to the DHS-accepted work plan may be rejected without complete review of the deliverable by DHS reviewers. Any reports or other products that will be posted to government websites shall be Section 508-compliant.

The Contractor shall prepare, seek stakeholder feedback on, and deliver annotated report outlines describing the proposed contents of reports and on draft reports containing the compilation, analysis, and presentation of information developed and gathered during a Contractor original social science and evaluation research, evaluation activities, or other analysis or the reformatting or repackaging information in reports created by other Contractor for dissemination to a broad, non-technical audience. The Contractor shall prepare and deliver final reports that reflect appropriate consideration of stakeholders' comments on draft reports.

Reports shall address all study questions or provide an explanation for why a study question was not addressed, and, minimally, document the following: executive summary of the major social science or evaluation research or analysis findings, introduction and background to the study; study objectives and evaluation questions; overview of study design and methods; presentation of all findings of the study using tables and figures as appropriate, and descriptive and multivariate analysis (including sensitivity

testing) as appropriate; discussion of the limitations; conclusions and implications (recommendations), technical appendices necessary to fully document all analytic procedures used, including all data collection instruments, and a detailed discussion of the methodology employed, such that another researcher could replicate the methodology without further consultation with the Contractor.

### 2.3.1 REPORT OUTLINE

The Contractor shall

- a. Prepare and submit to DHS an annotated outline describing the proposed contents of the report, including table and figure shells to serve as a roadmap for the format and flow of the draft report document.
- b. Incorporate DHS comments on the outline into the development of the draft report. DHS's acceptance of the report outline does not preclude DHS from suggesting a different organization to the report upon review of the draft report.
- c. Draft and final must be submitted as a word-processing document (e.g., Word) between 3-5 pages in length. It shall be factually correct, written clearly and concisely and containing fewer than 5 typographical and grammatical errors. The deliverables submitted shall adhere to schedule of deliverables within the Project Management Plan, Matrix, and described within Section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.
- d. Revisions must be submitted in the word-processing document in two versions: 1) one in track changes with DHS comments and contractor responses along DHS edits and contractor edits; and 2) as a clean version with all changes accepted and comments removed.

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
1	2.3.1	Draft Evaluation Report Outline	N-business day development cycle outlined in Project Management Plan	PM, COR,
2	2.3.1	Final Evaluation Report Outline	5 business days after receipt of comments	PM, COR

### 2.3.2 IN-PROGRESS DATA ANALYSIS AND INTERPRETATION – BRIEFING MEMORANDUM

In accordance with the evaluation methodology schedule, the Contractor shall

- a. Prepare and submit an in-progress data analysis and interpretation – briefing memorandum containing the compilation, analysis, and presentation of information developed and gathered during the evaluation at about the midpoint of data collection or 30 business days or more before the end of data collection and include report sections planned for the final report in draft form.
- b. Ensure the draft of the report contains the following minimum information when available:
  - Highlights of in-progress evaluation findings.
  - Brief overview of purpose and context of the study.
  - Delineation of study objectives and evaluation questions.
  - Overview of study design and methods.



- A discussion of study progress (including challenges, lessons learned, etc.).
- c. Write in clear and concise English with proper spelling, grammar, capitalization, punctuation, levels of heading, and use of acronyms to meet Government Printing Office (GPO), Office of Management and Budget (OMB), DHS, and DHS standards.
- d. Draft and final must be submitted as a word-processing document (e.g., Word) between 5-10 pages in length. It shall be factually correct, written clearly and concisely, and containing fewer than 5 typographical and grammatical errors. The deliverables submitted shall adhere to schedule of deliverables within the Project Management Plan, Matrix, and described within Section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.
- e. Revisions must be submitted in the word-processing document in two versions: 1) one in track changes with DHS comments and contractor responses along DHS edits and contractor edits; and 2) as a clean version with all changes accepted and comments removed.

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
3	2.3.2	Draft In-Progress Data Analysis and Interpretation– Briefing Memorandum	Midpoint of data collection	PM, COR,
4	2.3.2	Final In-Progress Data Analysis and Interpretation– Briefing Memorandum	N-business day development cycle outlined in Project Management Plan	PM, COR

### 2.3.3 IN-PROGRESS ORAL PRESENTATION

In accordance with the evaluation methodology schedule, the Contractor shall prepare and deliver an in-progress oral presentation along with presentation materials that are developed concurrent with the in-progress data analysis and interpretation – briefing memorandum of the project work completed to date.

- a. Draft presentation materials and final presentation materials must be submitted as a slide presentation (e.g., PowerPoint) and in PDF format between 10-50 slides in length, with fewer than 5 grammatical errors. The deliverables provided shall adhere to schedule of deliverables within the Project Management Plan, Matrix, and described within Section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.
- b. Ensure the presentation contains the following minimum information:
  - Highlights of in-progress evaluation findings.
  - Brief overview of purpose and context of the study.
  - Delineation of study objectives and evaluation questions.
  - Overview of study design and methods.
  - A discussion of study progress (including challenges, lessons learned, etc.).

- c. Prepare and deliver an in-progress oral presentation containing the compilation, analysis, and presentation of information developed and gathered during the evaluation at about the midpoint of data collection.
- d. The details of logistics for the in-progress oral presentation to be specified by the COR via technical direction.
- e. The In-Progress Oral Presentation will be a briefing to the PM, COR, CO, the Program Office Liaison and other staff and leadership within PA&E, the Program Office, and other DHS stakeholders.

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
5	2.3.3	Draft In-Progress Oral Presentation materials (Prepared concurrent with In-Progress Data Analysis and Interpretation– Briefing Memorandum)	Midpoint of data collection	PM, COR
6	2.3.3	Final In-Progress Oral Presentation (Prepared concurrent with In-Progress Data Analysis and Interpretation– Briefing Memorandum)	5 business days after receipt of comments	PM, COR

#### 2.3. 4 PRELIMINARY DATA ANALYSIS AND INTERPRETATION – BRIEFING MEMORANDUM

In accordance with the evaluation methodology schedule, the Contractor shall

- a. Prepare and submit a preliminary data analysis and interpretation – briefing memorandum containing the compilation, analysis, and presentation of information developed and gathered during the evaluation within 10 business days of closing data collection window. It shall include report Sections planned for the final report in draft form.
- b. Ensure the draft of the report contains the following minimum information when available:
  - Highlights of in-progress evaluation findings.
  - Brief overview of purpose and context of the study.
  - Delineation of study objectives and evaluation questions.
  - Overview of study design and methods.
  - A discussion of study progress (including challenges, lessons learned, etc.).
- c. Write in clear and concise English with proper spelling, grammar, capitalization, punctuation, levels of heading, and use of acronyms to meet Government Printing Office (GPO), Office of Management and Budget (OMB), and DHS standards.
- d. Draft and final must be submitted as a word-processing document (e.g., Word) between 10-20 pages in length. It shall be factually correct, written clearly and containing fewer than 5 typographical and grammatical errors. The deliverables submitted concisely and shall adhere to schedule of deliverables within the Project Management Plan, Matrix, and described within

Section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
7	2.3.4	Draft Preliminary Data Analysis and Interpretation– Briefing Memorandum	Within 10 business days of closing data collection window	PM, COR,
8	2.3.4	Final Preliminary Data Analysis and Interpretation– Briefing Memorandum	10 business days after receipt of comments	PM, COR

### 2.3. 5 PRELIMINARY ORAL PRESENTATION

In accordance with the evaluation methodology schedule, the Contractor shall prepare and deliver a preliminary oral presentation along with presentation materials that are developed concurrent with the preliminary data analysis and interpretation – briefing memorandum of the project work completed to date.

- a. Draft presentation materials and final presentation must be submitted as a slide presentation (e.g., PowerPoint) and in PDF format between 10-50 slides in length, with fewer than 5 grammatical errors. The deliverables submitted shall adhere to schedule of deliverables within the Project Management Plan, Matrix, and described within Section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.
- b. Ensure the draft of the report contains the following minimum information:
  - Highlights of in-progress evaluation findings.
  - Brief overview of purpose and context of the study.
  - Delineation of study objectives and evaluation questions.
  - Overview of study design and methods.
  - A discussion of study progress (including challenges, lessons learned, etc.).
- c. Prepare and deliver the preliminary oral presentation containing the compilation, analysis, and presentation of information developed and gathered during the evaluation after the initial draft review of findings and recommendations.
- d. The details of the logistics for the in-progress oral presentation to be specified by the COR via technical direction.
- e. The Preliminary Oral Presentation will be a briefing to the PM, COR, CO, the Program Office Liaison and other staff and leadership within PA&E, the Program Office, and other DHS stakeholders.



ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
9	2.3.5	Draft Preliminary Oral Presentation materials (Prepared concurrent with Preliminary Data Analysis and Interpretation– Briefing Memorandum)	N-business day development cycle outlined in Project Management Plan	PM, COR
10	2.3.5	Final Preliminary Oral Presentation (Prepared concurrent with Preliminary Data Analysis and Interpretation– Briefing Memorandum)	N-business day development cycle outlined in Project Management Plan	PM, COR

### 2.3.6 DRAFT REPORT

In accordance with the evaluation methodology schedule, the Contractor shall

- a. Prepare and submit to DHS a draft report containing the compilation, analysis, and presentation of information developed and gathered during the evaluation and report sections planned for the final report in near-final form.
- b. Ensure reports contain the following minimum information when available:
  - Executive summary of the major evaluation findings;
  - Introduction and background to the study;
  - Delineation of study objectives and evaluation questions;
  - Overview of study design and methods;
  - Presentation of all findings of the study using tables and figures as appropriate, and descriptive and multivariate analysis (including sensitivity testing) as appropriate;
  - A discussion of the study limitations;
  - Study conclusions and implications (recommendations) that consider new data in the context of previous studies on closely related topics and questions; and
  - Technical appendices necessary to fully document all analytic procedures used, including all data collection instruments, and a detailed discussion of the methodology employed, such that another researcher could replicate the methodology without further consultation with the Contractor.
- c. Write in clear and concise English with proper spelling, grammar, capitalization, punctuation, levels of heading, and use of acronyms to meet Government Printing Office (GPO), OMB and DHS standards.
- d. Professionally design and utilize professional copy-editing, graphics, and presentations.
- e. Provide all results in the final report, including all drafts and revisions, using prose and graphics that are clear for a non-technical audience.

- f. Implement the Contractor's approved QPC before delivery to the Contracting Officer and COR. Deliverables that have not undergone editing for clarity, format, spelling, and grammar, are missing required sections, or do not adhere to the DHS-accepted work plan may be rejected without complete review of the deliverable by DHS reviewers.
- g. Submit reports to DHS in two forms: Microsoft Word and a PDF file.
- h. Specify and solicit feedback from experts and stakeholders, including DHS Evaluation Officer and grantee program staff, on findings and reports and include that feedback in subsequent revisions.
- i. Draft and final must be submitted as a word-processing document (e.g., Word) between 50-100 pages in length. It shall be factually correct, written clearly and concisely and containing fewer than 10 typographical and grammatical errors. The deliverables submitted shall adhere to schedule of deliverables within the Project Management Plan, Matrix, and described within Section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.
- j. Revisions must be submitted in the word-processing document in two versions: 1) one in track changes with DHS comments and contractor responses along DHS edits and contractor edits; and 2) as a clean version with all changes accepted and comments removed.
- k. Draft shall be 508 compliant (see Section 1.4 Applicable Documents, item 6. Section 508 of the Rehabilitation Act of 1973 as amended).

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
11	2.3.6	Draft Report	N-business day development cycle outlined in Project Management Plan	PM, COR

### 2.3.7 REPORT REVISIONS

The contractor should prepare for a minimum of four (4) additional rounds of progressive review from various stakeholders.

The Contractor shall

- a. Prepare and submit a revision of report that reflects all the consideration of the stakeholder's comments on the previous draft report or report revision.
- b. Revision must be submitted as a word-processing document (e.g., Word) between 50-100 pages in length. It shall be factually correct, written clearly and concisely and containing fewer than 10 typographical and grammatical errors for Revision One and fewer than 5 typographical and grammatical errors for Revisions Two through Four. The deliverables submitted shall adhere to schedule of deliverables within the Project Management Plan, Matrix, and described within Section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.

- c. Revision must be submitted in the word-processing document in two versions: 1) one in track changes with DHS comments and contractor responses along DHS edits and contractor edits; and 2) as a clean version with all changes accepted and comments removed.
- d. Draft shall be 508 compliant (see Section 1.4 Applicable Documents, item 6. Section 508 of the Rehabilitation Act of 1973 as amended).

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
12	2.3.7	Report Revision One	15 business days after receipt of comments	PM, COR
13	2.3.7	Report Revision Two	10 business days after receipt of comments	PM, COR
14	2.3.7	Report Revision Three	5 business days after receipt of comments	PM, COR
15	2.3.7	Report Revision Four	5 business days after receipt of comments	PM, COR

### 2.3.8 FINAL REPORT

The Contractor shall

- a. Prepare and submit to DHS a final publishable report that reflects appropriate consideration of the comments on the draft report Revision Four. The final report shall be Section 508-compliant and adhere to DHS guidance provided by the PM and COR.
- b. Final draft must be submitted as a word-processing document (e.g., Word) and in PDF format between 50-100 pages in length. It shall be factually correct, written clearly, concisely, and containing fewer than 5 typographical and grammatical errors. The deliverable submitted shall adhere to schedule of deliverables within the Project Management Plan, Matrix, and described within Section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.
- c. Final draft shall be 508 compliant (see Section 1.4 Applicable Documents, item 6. Section 508 of the Rehabilitation Act of 1973 as amended).

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
16	2.3.8	<i>Final Report</i>	2 business days after receipt of comments	PM, COR

### 2.3.9 FINAL ORAL PRESENTATION

In accordance with the evaluation methodology schedule, the Contractor shall prepare and deliver a final oral presentation along with presentation materials that are developed concurrent with the Final Report.

- a. Draft presentation materials, and final presentation must be submitted as a slide presentation (e.g., PowerPoint) and in PDF format between 10-50 slides in length, with fewer than 5 grammatical errors. The deliverables submitted shall adhere to schedule of deliverables within



the Project Management Plan, Matrix, and described within Section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.

- b. Prepare and deliver the final oral presentation containing the compilation, analysis, and presentation of information developed and gathered during the evaluation within 5 business days of delivery of the final report.
- c. The details of logistics of the final oral presentation to be specified by the COR via technical direction.
- f. The Final Oral Presentation will be a briefing to the PM, COR, CO, the Program Office Liaison and other staff and leadership within PA&E, the Program Office, and other DHS stakeholders.
- d. Final draft shall be 508 compliant (see Section 1.4 Applicable Documents, item 6. Section 508 of the Rehabilitation Act of 1973 as amended).

ITEM	PSW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
17	5.3.13	Draft of Final Oral Presentation materials (Prepared concurrent with Final Report 2.3.8)	Concurrent with 2.3.7 Report Revision Four	PM, COR,
18	5.3.13	Final Oral Presentation (Prepared concurrent with Final Report 2.3.8)	Within 5 business days after submitting the Final Report	PM, COR

### 2.3.10 FACTSHEETS

The Contractor shall prepare, seek stakeholder feedback on, and deliver fact sheets summarizing social science and evaluation research, evaluation activities, or other analysis.

- a. Develop a publishable factsheet summarizing the evaluation purpose, questions, methodology, results and recommendations. The factsheet shall be written for dissemination to a broad, non-technical audience and should not exceed 3 pages. The factsheet shall be Section 508-compliant.
- b. Drafts and final must be submitted as a word-processing document (e.g., Word) or graphic visualization document (e.g., PowerPoint, InDesign) and the final version also submitted in PDF format up to 3 pages in length. It shall be factually correct, written clearly, concisely, and containing fewer than 5 typographical and grammatical errors. The deliverables submitted shall adhere to schedule of deliverables within the Project Management Plan, Matrix, and described within Section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.
- c. Revisions must be submitted in two versions: 1) one in track changes with DHS comments and contractor responses along DHS edits and contractor edits; and 2) as a clean version with all changes accepted and comments removed.
- d. Final draft shall be 508 compliant (see Section 1.4 Applicable Documents, item 6. Section 508 of the Rehabilitation Act of 1973 as amended).

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
19	2.3.10	Draft Factsheets (Prepared concurrent with Final Report 2.3.8)	Concurrent with 2.3.7 Report Revision Four	PM, COR
20	2.3.10	Final Factsheets (Prepared concurrent with Final Report 2.3.8)	5 business days after receipt of comments	PM, COR

### 2.3.11 RECOMMENDATION ACTION PLANS

The Contractor shall prepare, seek stakeholder feedback on, and deliver written actions plan that suggests how to implement the recommendations documented in the final reports. The Contractor shall

- a. Prepare and submit to DHS a written action plan that suggests how to implement the recommendations documented in the final report prepared, with sufficient detail to enable DHS to provide feedback and ensure that plan benefits from stakeholder insights. DHS will use this memorandum to consider specific actions for performance improvement.
- b. Identify each recommendation the Contractor develops for the final report.
- c. Engage DHS stakeholders appropriately to consider the contextual factors that will affect the successful implementation of these recommendations in performance management decisions.
- d. Draft and final must be submitted as a word-processing document (e.g., Word) and the final version must be submitted as a word-processing document (e.g., Word) and in PDF format between 10 to 30 pages in length. It shall be factually correct, written clearly and concisely and containing fewer than 5 typographical and grammatical errors. The deliverables submitted shall adhere to schedule of deliverables within the Project Management Plan, Matrix, and described within Section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.
- e. Revisions must be submitted in the word-processing document in two versions: 1) one in track changes with DHS comments and contractor responses along DHS edits and contractor edits; and 2) as a clean version with all changes accepted and comments removed.
- f. Final draft shall be 508 compliant (see Section 1.4 Applicable Documents, item 6. Section 508 of the Rehabilitation Act of 1973 as amended).

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
21	2.3.11	Draft Recommendation Action Plan	Concurrent with 2.3.7 Report Revision Four	PM, COR
22	2.3.11	Final Recommendation Action Plan	10 business days after receipt of comments	PM, COR

### 2.3.12 COMMUNICATION AND DISSEMINATION PRODUCTS

The Contractor shall prepare, deliver, and seek stakeholder feedback on two additional high-quality, audience-appropriate products to communicate and disseminate findings of social science and evaluation research, evaluation activities to non-technical audiences (e.g., Congress, OMB, DHS

Senior Leadership, program community members). May include but is not limited to visual reports, infographics, memos, briefs, slick-sheets, flyers, and multimedia presentations.

- a. Specify and solicit input from experts and stakeholders on these deliverables and include that input in the deliverables.
- b. Products shall be 508 compliant (see Section 1.4 Applicable Documents, item 6. Section 508 of the Rehabilitation Act of 1973 as amended).

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
23	2.3.12	Dissemination Product 1	N-business day development cycle outlined in Project Management Plan	PM, COR
24	2.3.12	Dissemination Product 1	N-business day development cycle outlined in Project Management Plan	PM, COR

### 2.3.13 TASK THREE DELIVERABLES

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
1	2.3.1	Draft Evaluation Report Outline	N-business day development cycle outlined in Project Management Plan	PM, COR
2	2.3.1	Final Evaluation Report Outline	5-business days after receipt of comments	PM, COR
3	2.3.2	Draft In-Progress Data Analysis and Interpretation– Briefing Memorandum	Midpoint of data collection	PM, COR
4	2.3.2	Final In-Progress Data Analysis and Interpretation– Briefing Memorandum	N-business day development cycle outlined in Project Management Plan	PM, COR
5	2.3.3	Draft In-Progress Oral Presentation materials (Prepared concurrent with In-Progress Data Analysis and Interpretation– Briefing Memorandum)	Midpoint of data collection	PM, COR
6	2.3.3	Final In-Progress Oral Presentation (Prepared concurrent with In-Progress Data Analysis and Interpretation– Briefing Memorandum)	5 business days after receipt of comments	PM, COR
7	2.3.4	Draft Preliminary Data Analysis and Interpretation– Briefing Memorandum	Within 10 business days of closing data collection window	PM, COR
8	2.3.4	Final Preliminary Data Analysis and Interpretation– Briefing Memorandum	10 business days after receipt of comments	PM, COR
9	2.3.5	Draft Preliminary Oral Presentation materials (Prepared concurrent with Preliminary Data Analysis and Interpretation– Briefing Memorandum)	N-business day development cycle outlined in Project Management Plan	PM, COR



10	2.3.5	Final Preliminary Oral Presentation (Prepared concurrent with Preliminary Data Analysis and Interpretation– Briefing Memorandum)	N-business day development cycle outlined in Project Management Plan	PM, COR
11	2.3.6	Draft Report	N-business day development cycle outlined in Project Management Plan	PM, COR,
12	2.3.7	Report Revision One	15 business days after receipt of comments	PM, COR
13	2.3.7	Report Revision Two	10 business days after receipt of comments	PM, COR
14	2.3.7	Report Revision Three	5 business days after receipt of comments	PM, COR
15	2.3.7	Report Revision Four	5 business days after receipt of comments	PM, COR
16	2.3.8	Final Report	2 business days after receipt of comments	PM, COR
17	2.3.9	Draft of Final Oral Presentation materials Concurrent with 2.3.7 Report Revision Four	Concurrent with 2.3.7 Report Revision Four	PM, COR
18	2.3.9	Final Oral Presentation Concurrent with 2.3.7 Report Revision Four	Within 5 business days after submitting the Final Report	PM, COR
19	2.3.10	Draft Factsheets Concurrent with 2.3.7 Report Revision Four	Concurrent with 2.3.7 Report Revision Four	PM, COR
20	2.3.10	Final Factsheets Concurrent with 2.3.7 Report Revision Four	5 business days after receipt of comments	PM, COR
21	2.3.11	Draft Recommendation Action Plan	Concurrent with 2.3.7 Report Revision Four	PM, COR
22	2.3.11	Final Recommendation Action Plan	10 business days after receipt of comments	PM, COR
23	2.3.12	Dissemination Product 1	N-business day development cycle outlined in Project Management Plan	PM, COR
24	2.3.12	Dissemination Product 2	N-business day development cycle outlined in Project Management Plan	PM, COR

## 2.4 TASK FOUR: EVALUATION STAKEHOLDER ENGAGEMENT AND CAPACITY BUILDING

### 2.4.1 STAKEHOLDER ENGAGEMENT AND COMMUNICATIONS

The Contractor shall engage and communicate with key stakeholders across project life cycles. Key stakeholders include but are not limited to a project steering committee (PSC) and other DHS partners, decisionmakers, implementers, and participants.

The Contractor shall

- a. Establish a stakeholder engagement and communication plan that specifies when, how, and for what purpose the Contractor will engage and communicate with key stakeholders across the evaluation or project life cycle.
- b. Facilitate and document stakeholder in-person and technology-mediated discussions, meetings, participatory work sessions, and crowdsourcing activities to obtain input, feedback, or build consensus on a variety of topics across the project life cycle as needed, but at a minimum, quarterly.
- c. Draft must be submitted as a word-processing document (e.g., Word) and final version must be submitted as a word-processing document (e.g., Word) and in PDF format between 5 to 10 pages in length. It shall be factually correct, written clearly and concisely and containing fewer than 5 typographical and grammatical errors. The deliverables submitted shall adhere to schedule of deliverables within the Project Management Plan, Matrix, and described within Section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.
- d. Revisions must be submitted in the word-processing document in two versions: 1) one in track changes with DHS comments and contractor responses along DHS edits and contractor edits; and 2) as a clean version with all changes accepted and comments removed.
- e. Final draft shall be 508 compliant (see Section 1.4 Applicable Documents, item 6. Section 508 of the Rehabilitation Act of 1973 as amended).

Facilitate and document project after-action reviews, mid-course stocktaking, and pause-and-reflect sessions.

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
1	2.4.1	Draft Stakeholder engagement and communication plan	1 <sup>st</sup> Draft within 30 days post award, Final within 5 days after receipt of COR comments	PM, COR
2	2.4.1	<b><i>Final Stakeholder engagement and communication plan</i></b>	1 <sup>st</sup> Draft within 30 days post award, Final within 5 days after receipt of COR comments	PM, COR
3	2.4.1	Community engagement and Memoranda/meeting minutes	Minimum of Quarterly; Memoranda/meeting minutes within 5 days after meeting or call	PM, COR

## 2.4.2 TECHNICAL WORKING GROUPS

The Contractor shall establish one or more external technical working groups (TWG) to engage as an external expert panel or consultants with appropriate subject matter, methodological, technical, and program community member expertise to provide independent, external reviews of rigor, objectivity, transparency, relevance and utility of evaluation research during planning, implementation, and reporting stages. For select evaluation studies, the Contractor shall

- a. Establish a TWG plan, describing how the Contractor will engage an external expert panel or some equivalent to conduct independent, external review of rigor, objectivity, transparency, relevance and utility of the evaluation; assist the Contractor mitigate perceived bias; and assure the quality and integrity of the findings.

- b. Work with DHS to identify and select members to avoid or appropriately address conflicts of interest.
- c. Design agendas and facilitate TWG meetings and materials to gather obtain input, feedback, or build consensus on the evaluation (e.g., design and plan, implementation, and draft evaluation report)
- d. Record meeting minutes that capture feedback and decisions.
- e. Provide DHS will summary memoranda of TWG feedback and decisions and how the Contractor intends to respond in its evaluation planning, implementation, and/or reporting.
- f. Draft must be submitted as a word-processing document (e.g., Word) and final version must be submitted as a word-processing document (e.g., Word) and in PDF format between 5 to 10 pages in length. It shall be factually correct, written clearly and concisely and containing fewer than 5 typographical and grammatical errors. The deliverables submitted shall adhere to schedule of deliverables within the Project Management Plan, Matrix, and described within Section 10 of the SOW; and the quality measures and approaches within the Quality Contract Plan, Matrix, along with the quality performance standards, quality assurance surveillance procedures, and the performances requirements summary (PRS) described in Section 8 of the SOW.
- g. Revisions must be submitted in the word-processing document in two versions: 1) one in track changes with DHS comments and contractor responses along DHS edits and contractor edits; and 2) as a clean version with all changes accepted and comments removed.
- h. Final draft shall be 508 compliant (see Section 1.4 Applicable Documents, item 6. Section 508 of the Rehabilitation Act of 1973 as amended).

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
3	2.4.2	Draft Technical Working Group plan	1 <sup>st</sup> Draft within 30 days post award, Final within 5 days after receipt of comments	PM, COR
4	2.4.2	<b><i>Final Technical Working Group plan</i></b>	1 <sup>st</sup> Draft within 30 days post award, Final within 5 days after receipt of comments	PM, COR
5	2.4.2	TWG feedback and decisions and Contractor response memorandum	5 days after receipt of comments	PM, COR

#### 2.4.3 TASK FOUR DELIVERABLES

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
1	2.4.1	Draft Stakeholder engagement and communication plan	1 <sup>st</sup> Draft within 30 days post award, Final within 5 days after receipt of COR comments	PM, COR
2	2.4.1	<b><i>Final Stakeholder engagement and communication plan</i></b>	1 <sup>st</sup> Draft within 30 days post award, Final within 5 days after receipt of COR comments	PM, COR
3	2.4.1	Community engagement and Memoranda/meeting minutes	Minimum of Quarterly; Memoranda/meeting minutes within 5 days after meeting or call	PM, COR



3	2.4.2	Draft Technical Working Group plan	1 <sup>st</sup> Draft within 30 days post award, Final within 5 days after receipt of comments	PM, COR
4	2.4.2	<b><i>Final Technical Working Group plan</i></b>	1 <sup>st</sup> Draft within 30 days post award, Final within 5 days after receipt of comments	PM, COR
5	2.4.2	TWG feedback and decisions and Contractor response memorandum	5 days after receipt of comments	PM, COR

## 2.5 TASK FIVE: AD HOC RESEARCH AND ANALYSIS

The Contractor shall be responsive to such requests, including but not limited to requests for ad hoc analyses, briefs, and presentations that may arise to meet the needs of important stakeholders such as DHS leadership, OMB, Congress, or the Government Accountability Office as they relate to the program evaluation conducted in this Order. This task shall not exceed 10% of the total effort required to complete this Order. These ad hoc tasks may include:

- Stakeholder identification and analysis
- Equity analysis
- Grant portfolio analysis
- Context mapping or SWOT analysis
- Policy and regulatory analysis (e.g., benefit-cost analysis, break even analysis)
- Economic impact analysis
- Survey research data collection and analysis
- Survey and non-survey-based network analysis
- Text and data mining, analysis, and modeling
- Bibliometric analysis
- Agent-based and dynamic systems modeling and simulation
- Data linking/matching and analysis (e.g., typically with two or more administrative data sets or administrative data with statistical survey data)

The Contractor shall:

- a. Coordinate, facilitate, and report the results of focus groups or other equivalent human-centered design activities to establish DHS requirements.
- b. Develop a plan for the ad hoc analysis which identifies audience, strategy, content, delivery mechanism, schedule and metrics based on focus groups or human centered design activities.
- c. Iteratively develop, pilot, and refine the Ad hoc analysis, seeking and incorporating feedback from stakeholders at critical design/development milestones gathered through focus groups, human centered design activities, or pilots to inform revision.
- d. Facilitate or co-facilitate delivery of ad hoc analysis.

- e. Conduct pre- and post-session assessments, to determine participant needs, reactions, and outcomes.

### 2.5.1 TASK FIVE DELIVERABLES

Examples of BPA Order level deliverables associated with Task 5 include but are not limited to the following:

- Draft and final memorandum, containing an overview of questions or objective, data collection and analysis approach, and findings with tables/figures
- Interactive models and simulations

Deliverables will be specified during the course of the BPA Order.

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
1	2.5.1	<b><i>Ad hoc analysis plan</i></b>	TBD	PM, COR
2	2.5.1	Ad hoc analysis deliverables (TBD)	TBD	PM, COR

## 2.6 TASK 6: CONTRACT MANAGEMENT

### 2.6.1 POST-AWARD CONFERENCE – BPA ORDER KICKOFF MEETING

The Contractor shall attend a Post Award Conference, or BPA Order Kickoff Meeting, with the Contracting Officer, BPA Order COR, and PM no later than 5 business days after the establishment of the BPA Order. The Post Award Conference may be held at the Government's facility, located at TSA Headquarters (current location of PA&E) in Springfield, VA, via Microsoft Teams, or via teleconference.

The Post-Award Conference will require the Contractor to submit a *Meeting Summary Memorandum* to include but not be limited to names of meeting participants, detailed notes of discussion, action items, and next steps within 3 business days of the scheduled BPA Order level Post Award Conference to the BPA Order COR.

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
1	2.6.1	<b><i>Post Award Conferences</i></b>	Within 5 business days post award	PM, COR, Contracting Officer
2	2.6.1	Memorandum of understanding/meeting minutes	Within 3 business days of the scheduled Post Award Conference	PM, COR

### 2.6.2 BPA ORDER PROJECT MANAGEMENT PLAN AND MATRIX

The Contractor shall provide a Project Management Plan (PMP) and Matrix that addresses the work to be performed to accomplish the BPA Order level requirements. PMP and Matrix delivery includes first draft of the PMP and Matrix with the BPA Order level quotation, second draft within 15 business days post award, and final within 5 business days post-COR comments.

The contents of draft and final PMPs should include the following:

- First draft of PMP shall outline, describe, and include the purpose and scope, technical approach, management approach, and a detailed cost estimate by task.

- Technical approach: Description of how the Contractor will achieve the Government's objective and results, what activities will be implemented, and when they will occur. A Matrix that presents proposed data source (e.g., primary data source with collection method, or secondary data source), key data elements, and analysis approaches for each corresponding evaluation question or subquestion shall accompany the technical approach. This shall include information on type of participants or other data sources, design and method(s) of data collection, data analysis method(s) for all study variables, and rationale for their selection.
- Management approach: Description of how the Contractor will deliver services, including project execution, monitoring, and control. The management approach shall provide a project organizational chart, a staffing plan that shows the assigned staff has the skills and experience to complete the assigned work; a work breakdown across each task area, and schedule of deliverables (see also Section 10.0). A Quality Control Plan (see also Section 2.6.3) shall accompany the management approach.
- Second draft of PMP and Matrix shall incorporate information from the Post Award Conference(s) and written feedback from the COR, and add the following: customer and stakeholder management, schedule management, resource management, and project management.
- Final PMP and Matrix shall incorporate COR comments. The PMP shall later be appended with the final design and methodology (study plan) when approved by the COR.

Second and final drafts must be submitted as word-processing documents (e.g., Word) and final version must be submitted as a word-processing document (e.g., Word) and in PDF format between 25 to 50 pages in length. They shall be factually correct, written clearly and concisely and containing fewer than 5 typographical and grammatical errors. The deliverables submitted shall adhere to schedule of deliverables described within Section 10 of the SOW; and the general quality measures and performances requirements summary (PRS) described in Section 8 of the SOW.

Revisions must be submitted in the word-processing document in two versions: 1) one in track changes with DHS comments and contractor responses along DHS edits and contractor edits; and 2) as a clean version with all changes accepted and comments removed.

The Government's BPA Order COR, Contracting Officer, and PM will review the PMP and Matrix. The PMP will be adjusted as needed in consultation with the COR. The contractor shall notify the COR and CO of any changes to the PMP within five (5) calendar days of the change. This notification shall be submitted, in writing, via e-mail.

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
3	2.6.2	Second Draft Project Management Plan and Matrix	1 <sup>st</sup> Draft with proposal, 2 <sup>nd</sup> Draft within 15 business days post award, Final within 5 business days after receipt of comments	PM, COR
4	2.6.2	<b><i>Final Draft Project Management Plan and Matrix</i></b>	1 <sup>st</sup> Draft with proposal, 2 <sup>nd</sup> Draft within 15 business days post award, Final within 5 business days after receipt of comments	PM, COR



### 2.6.3 BPA ORDER QUALITY CONTROL PLAN

The Contractor shall provide a BPA Order level Quality Control Plan (QCP) that addresses how the Contractor will ensure high quality execution of the awarded BPA Order. The first draft of the QCP with the BPA Order level quotation, second draft within 15 business days post award, and final within 5 business days post-COR comments.

The contents of draft and final QCP should include the following:

- First draft of QCP shall document the plan, protocols, and quality control measures for the contractor's internal deliverable review process, information management and security protocols (including mitigation of potential compromise of sensitive information), and risk identification and mitigation plans.
- Second draft of QCP shall incorporate information from the Post Award Conference.
- Final QCP shall incorporate COR comments.

The Government's COR, Contracting Officer, and PM will review the QCP. The QCP will be adjusted as needed in consultation with the COR. The contractor shall notify the COR and CO of any changes to the QCP within five (5) calendar days of the change. This notification shall be submitted, in writing, via e-mail.

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
5	2.6.3	Second Draft Control Plan, including System Security Plan	1 <sup>st</sup> Draft with proposal, 2 <sup>nd</sup> Draft within 15 business days post award, Final within 5 business days after receipt of comments	PM, COR
6	2.6.3	<b><i>Final Draft Quality Control Plan, including System Security Plan</i></b>	1 <sup>st</sup> Draft with proposal, 2 <sup>nd</sup> Draft within 15 business days post award, Final within 5 business days after receipt of comments	PM, COR, Contracting Officer

### 2.6.4 BPA ORDER MONTHLY PROGRESS REPORTS

On or before the 15<sup>th</sup> calendar day of every month, the Contractor's BPA Project Manager shall provide a *monthly* progress report (MPR) to the Contracting Officer, COR, and PM via electronic mail. The MPR shall summarize all Contractor work performed for the BPA Order, including a breakdown of labor hours by labor category for the optional Ad hoc task and deliverables if exercised, an assessment of technical progress, schedule status, and any Contractor concerns or recommendations for the reporting period for the contract.

The progress reports shall be brief and factual and shall be prepared in accordance with the following format:

1. Heading:
  - Contract Number;
  - Name of Contractor;
  - Name and Phone Number of Contractor Project Manager;
  - Period of Performance;
  - Total Dollar Value; and
  - Title of Project.

2. Section I: An introduction covering the purpose and scope of the awarded BPA Order level effort(s). This shall be limited to one paragraph.
3. Section II: A description of overall progress plus a separate description of each task or other logical segment of work on which effort was expended during the reporting period to include: any new or ongoing work performed during the reporting period; activities which were scheduled to be completed during the reporting period but were not completed; and work planned for the next reporting period. The description shall include pertinent data and/or graphs in sufficient detail to explain any significant results achieved.
4. Section III: The current schedule with explanations and corrective actions to be taken for any difference between planned and actual progress.
5. Section IV: A description of current technical or substantive performance, and any problems which may impede performance along with proposed corrective action and efforts toward resolution.
6. Section V: A report of the quality assurance surveillance (i.e., Quality Assurance Monthly Report) and including the measures included in the quality control plan (see Sections 8.3 and 2.6.3 respectively).
7. Staffing Table:
  - Name of individual in each position;
  - Labor category of person occupying each position;
  - Date each individual was assigned to their position; and
  - Annotation of any changes in staffing, the date a position became vacant, and the date the complete security package was submitted to the COR.

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
7	2.6.4	Monthly Progress Reports	Monthly on or before the 15 <sup>th</sup> calendar day	PM, COR

#### 2.6.5 BPA ORDER CONTRACTOR PERFORMANCE MEETINGS

The Contractor's BPA Order Project Manager shall be available to meet with the COR and PM upon request to present deliverables, discuss project status and progress, exchange information, and resolve emergent technical problems and issues. These meetings shall take place weekly or biweekly at the discretion of the PM, via teleconference, in addition to other formal communications (e.g., monthly progress reports). In addition, ad-hoc open discussions with the COR and PM may take place for all major project decisions.

The COR and the PM will evaluate the manner in which the contractor performs in accordance with the Statement of Work requirements. On or before the 20<sup>th</sup> calendar day of each month, the Contractor shall meet with the COR and the PM, to review and discuss:

- Overall contractor activities and performance;
- Compliance with performance requirements and deliverables; and
- Identification of issues that could impact operations (positively or negatively).

The CO may participate in these monthly performance meetings. Representatives from the contracting office may be invited to participate in these meetings as well. DHS will monitor, track, assess, and report on project progress based on:

- Timely submission of each deliverable;
- Quality and completeness of each deliverable;
- Compliance with the requirements of each task; and
- Cooperation and professionalism of contract employees.

DHS reserves the right to assess any work product or services, to use that assessment as input into the contractor's performance evaluation.

The Contractor shall submit a *Meeting Summary Memorandum* to include but not be limited to names of meeting participants, detailed notes of discussion, action items, and next steps within 3 business days of these meetings to the COR.

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
8	2.6.5	Contractor Performance Meetings	Weekly or Biweekly on or before the 20 <sup>th</sup> calendar day of each month, or as frequently as needed	PM, COR
9	2.6.5	Memorandum of understanding/meeting minutes	Within 3 business days after meeting or call	PM, COR

#### 2.6.6 BPA ORDER PROJECT MANAGEMENT DELIVERABLES

The Contractor shall consider items in **BOLD** as having mandatory due dates. Items in *italics* are deliverables or events that must be reviewed and/or approved by the COR prior to proceeding to next deliverable or event in this SOW.

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
1	2.6.1	<b><i>Post Award Conferences</i></b>	Within 5 business days post award	PM, COR, Contracting Officer
2	2.6.1	Memorandum of understanding/meeting minutes	Within 3 business days of the scheduled Post Award Conference	PM, COR
3	2.6.2	Second Draft Project Management Plan and Matrix	1 <sup>st</sup> Draft with proposal, 2 <sup>nd</sup> Draft within 15 business days post award, Final within 5 business days after receipt of comments	PM, COR
4	2.6.2	<b><i>Final Draft Project Management Plan and Matrix</i></b>	1 <sup>st</sup> Draft with proposal, 2 <sup>nd</sup> Draft within 15 business days post award, Final within 5 business days after receipt of comments	PM, COR



5	2.6.3	2 <sup>nd</sup> Draft Control Plan, including System Security Plan	1 <sup>st</sup> Draft with proposal, 2 <sup>nd</sup> Draft within 15 business days post award, Final within 5 business days after receipt of comments	PM, COR
6	2.6.3	<b><i>Final Draft Quality Control Plan, including System Security Plan</i></b>	1 <sup>st</sup> Draft with proposal, 2 <sup>nd</sup> Draft within 15 business days post award, Final within 5 business days after receipt of comments	PM, COR, Contracting Officer
7	2.6.4	Monthly Progress Reports	Monthly on or before the 15 <sup>th</sup> calendar day	PM, COR
8	2.6.5	Contractor Performance Meetings	Weekly or Biweekly on or before the 20 <sup>th</sup> calendar day of each month, or as frequently as needed	PM, COR
9	2.6.5	Memorandum of understanding/meeting minutes	Within 3 business days after meeting or call	PM, COR

### 3.0 CONTRACTOR PERSONNEL

The Contractor shall provide qualified personnel to perform all requirements specified in this SOW and as delineated within BPA Order level requirements. As such, the Contractor is encouraged to:

- Provide an experienced team that can fulfill the range of activities included here, including methodological, technical, subject matter, communication, and facilitation expertise.
- Assign appropriate and flexible staffing plans that are tailored or adapted to needs and maintain continuity through a mix of experienced senior-, mid-, and junior-level staff.
- Establish continuous support and develop contingency plans to avoid work disruptions, delays, or threats to quality due to staff changes. This includes being proactive in establishing and maintaining operational guides that document DHS organization, responsibilities, and processes that can be used to train, transfer knowledge, and create the basis for Contractor knowledge management.

### 3.1 QUALIFIED PERSONNEL

The Contractor shall provide qualified personnel to perform all requirements specified in this SOW and as delineated within BPA Order level requirements.

This is a “Non-Personal Services” contract. Professional services and expertise are sought in the following areas:

**Social Science and Evaluation Research** – Demonstrated mastery of using scientific inquiry and program evaluation methods to improve social policy and programs.

- Experience-based familiarity with complex research and evaluation studies and designs involving human subjects, including multi-site, randomized controlled trials, and quasi-experimental studies
- Strong quantitative analytical skills including expertise in inferential statistics, multivariate statistics, and multilevel statistical modeling
- Experience in sampling methods including statistical matching procedures
- Experience in survey research including achieving high response rates of treatment and

comparison groups for diverse populations

- Experience with qualitative methods including traditional methods like focus groups, interviews, and site visits as well as non-traditional methods like photovoice, ripple effect mapping, experience journey maps, social network analyses and process tracing
- Experience in qualitative data analysis, including document review, thematic and other forms of manual coding, inductive and deductive data analysis, and developing processes for inter-rater reliability
- Experience using both quantitative and qualitative data to conduct mixed-method data analysis
- Professional program evaluation experience including familiarity with established evaluation philosophies and approaches
- Experience conducting systematic reviews and synthesis of the quality and design of research and evaluation plans and reports including both single studies or evaluation reports or multiple studies and bodies of research (e.g., meta-synthesis, meta-analysis, or comparative studies)
- Experience in implementation science and its practice applications (e.g., in replicating evidence-based interventions)
- Experience conducting economic analysis (ex ante) and evaluation (ex post), including cost, benefit-cost analysis, cost-effectiveness analyses, return on investment, and value for money analyses
- Experience with scaling program models (e.g., expansion, replication, adaptation)
- Experience preparing OMB Paperwork Reduction Act packages

**Stakeholder Engagement and Evaluation Capacity Building** – Experience providing non-evaluators with effective communication, training, and technical assistance in the area of program evaluation.

- Experience designing and implementing effective strategic evaluation communication to a range of audiences, with audience appropriate messages, formats, and channels to advance their awareness of, participation in, and use of evaluation to support decision-making.
- Experience with inclusive research and evaluation philosophies and approaches such as community-based participatory research and utilization focused evaluation
- Experience facilitating stakeholder discussions to obtain input, feedback, or build consensus on a variety of topics across the evaluation or evidence building life-cycle

**Data Science** – Experience in data generation, standardization, management, governance, collection, analysis, reporting, protection, visualization, use, and dissemination, including with respect to any statistical and related techniques to protect and de-identify confidential data. These experiences would be in support of evidence-based decision making across different types of relevant entities (e.g., nonprofit organizations/grantees, public and private sector agencies and organization).

- Knowledge of data analytics and technology platforms and software for development, storage, use and dissemination of data, data bases, and data assets, in support of operations, program practice, policy, and organizational learning culture.
- Knowledge of architectural methodologies used in the design and development of information systems, including the physical structure of a system's internal operations and interactions with other systems.
- Experience producing complex financial reports using SQL or SQLPlus.

- Expert in understanding the relational database tables in Production.
- Experience managing data life-cycle through the following processes: Verify integrity of data; evaluate data using Oracle and Salesforce or equivalent systems; ingest relevant public and agency data from various formats into Oracle and other databases; perform data wrangling and feature generation on data, including null replacement, outlier detection, and other exploratory data analytics.
- Experience creating program deliverables and reports through data visualizations for both technical and non-technical audiences, including graphs, charts maps, and interactive dashboards.

**Equity and Inclusion** – The Contractor may be required to provide experts in cultural responsiveness/competence/humility and participatory approaches to build evidence with populations who have no experience with evaluation and/or for whom traditional approaches may be inappropriate. The agency seeks Contractor who can demonstrate experience with using inclusive approaches to evidence building as well as knowledge of equitable data and analysis issues.

### **3.2 CONTINUITY OF SUPPORT**

The Contractor shall ensure that the level of support required at the BPA Order level is maintained at all times. The Contractor shall ensure that all support personnel are present for all hours of the workday. If for any reason the Contractor staffing levels are not maintained due to vacation, leave, appointments, etc., and replacement personnel will not be provided, the Contractor shall provide e-mail notification to the BPA Order level COR prior to employee absence. Otherwise, the Contractor shall provide a fully qualified replacement.

### **3.3 KEY PERSONNEL**

The Government shall have the opportunity to review the qualifications, education, and experience of proposed key personnel to ensure compliance with this section. In accordance with HSAR 3052.215-70, before removing or replacing key personnel, the contractor shall submit sufficient information to support the proposed action to the CO at least fifteen (15) business days before the effective date of the proposed change.

Before replacing any individual designated as "Key" by the Government, the Contractor shall notify the Contracting Officer no less than 15 business days in advance, submit written justification for replacement, and provide the name and qualifications of any proposed substitute(s). All proposed substitutes shall possess qualifications equal to or superior to those of the "Key" person being replaced, unless otherwise approved by the Contracting Officer. The Contractor shall not replace "Key" Contractor personnel without providing notification and receiving approval from the Contracting Officer and COR. The following Contractor personnel are designated as "Key" for this requirement.

Contractor Key personnel shall not be assigned by the Contractor to more than one key position for this BPA Order requirement.

### **3.4 KEY PERSONNEL FOR THIS BPA ORDER**

Key Personnel for the contract include the Project Manager, Project Director, Senior Researcher, Senior Survey Researcher, and Senior Statistician. The Contractor shall establish Key Personnel for this contract. Contractor Key personnel shall not be assigned by the Contractor to more than one key position for requirements of this contract.



### **3.4.1 PROJECT MANAGER**

The contractor shall appoint one (1) Project Manager who shall organize, direct, and coordinate the planning and execution of all activities, review the work of subordinates, including subcontractors, and ensure that the schedule, performance parameters, and reporting responsibilities are met. The Project Manager shall be the single point of contact for the CO and COR and primary interface with the DHS Program Manager. The Project Manager shall be employed by the prime contractor.

The contractor designated Project Manager position is considered key personnel and must meet the following qualifications:

- Minimum/General Experience: Three (3) years of overall management experience obtained within the last five (5) years, including supervision to employees supporting a project and/or contract working multiple shifts at more than one (1) geographically different location.
- Minimum Education/Credentials: Master's Degree in one (1) of the following disciplines: Program Management, Business or Public Administration, Information Systems, Engineering, Finance/Accounting, or related fields. DHS will allow a Project Management Professional (PMP) certified by the Project Management Institute (PMI) with only a Bachelor's Degree in lieu of the Master's Degree requirement. The web site is [www.PMI.org](http://www.PMI.org).

The Contractor shall provide a Project Manager who shall be responsible for all services performed under this contract. The Project Manager shall be the single point of contact for the Contracting Officer and the COR. It is anticipated that the Project Manager shall be one of the senior level employees provided by the Contractor for this work effort, preferably a methodological/technical expert. The name of the Project Manager, and the name(s) of any alternate(s) who shall act for the Contractor in the absence of the Project Manager, shall be provided to the Government. The Project Manager is further designated as "Key" by the Government. During any absence of the Project Manager, only one alternate shall have full authority to act for the Contractor on all matters relating to work performed under this contract. The Project Manager and all designated alternates shall be able to read, write, speak, and understand English fluently. The Project Manager shall be available to the COR via telephone between the hours of 8:00 AM and 5:00 PM ET, Monday through Friday, and shall respond to a request for discussion or resolution of technical problems within 24 hours of notification.

To be considered for the position, the Project Manager must have the following:

- Currently holds, or can obtain and maintain, DHS fitness determination.
- Minimum of 7 years recent experience managing contracts or projects of similar size and scope.
- Demonstrated ability to manage multiple complex, time-critical support activities, including program evaluation, analysis, and primary data collection.
- Outstanding written and oral communication skills.
- Ability to anticipate support needs to develop and execute detailed evaluation project work plans for addressing those needs.
- Master's Degree required.

### **3.4.2 PROJECT DIRECTOR**

The Project Director will be the lead researcher and shall provide insight and guidance to senior-level decision makers on significant, high visibility issues associated with social science research and evaluation methodologies, study designs, and complex analyses with strong emphasis on rigor and

ethics. The Project Director provides leadership and vision to the client and project teams and serves as a key facilitator between multiple teams. The Project Director shall provide leadership and advice on all evaluation topics and shall brief senior-level decision makers. The Project Director will be responsible for the overall management of the evaluation, their quality, the evaluation teams, any troubleshooting or adjustments, and communications between the evaluation teams, the Project Manager, and the Government.

To be considered for the position, the Project Director must have the following:

- Currently hold, or able to obtain and maintain, DHS fitness determination.
- Ph.D. with at least 10 years of relevant work experience in program evaluation, in one of the following fields: social science research, program evaluation, statistics, public policy, or other related field.
- Demonstrated experience designing and implementing program evaluation studies across a range of qualitative and quantitative methods and approaches.
- Demonstrated ability to lead a multi-disciplinary evaluation team.
- Demonstrated ability to work effectively with project stakeholders.
- Strong evaluation management skills.
- Strong oral and written communication skills.

### **3.4.3 SENIOR RESEARCHER**

Oversees the planning, design, and execution of technical work on evaluation projects of all types. Provides broad methodological expertise in social science, evaluation, performance measurement, and related subjects. Prepares and revises project deliverables prepared by other staff for technical quality and communication effectiveness. Manages projects to meet quality standards, deliverable schedules, and budgets. Highly preferred qualifications include:

- Currently holds, or is able to obtain and maintain, DHS fitness determination.
- Ph.D. with 5 years of work experience, or Master's with 8 years of experience in social science research, program evaluation, statistics, economics, public policy, or other related field.
- Demonstrated experience designing and implementing program evaluation studies of different types and using a range of qualitative and quantitative approaches and methods.
- Demonstrated ability to lead a multi-disciplinary evaluation team.
- Demonstrated ability to work effectively with project stakeholders.
- Strong evaluation management skills.
- Strong oral and written communication skills.

### **3.4.4 SENIOR SURVEY RESEARCHER**

Oversees the planning, design, and execution of technical work on survey research tasks, which may be part of larger evaluation projects or standalone projects. Provides methodological and other expertise in measurement, instrument design including for multi-modal surveys, respondent populations, sampling algorithms, strata, multi-stage data collection, data file construction, and data preparation. Supervises others and provides quality control for survey products, data collection, and processing. Highly preferred qualifications include:

- Currently holds, or is able to obtain and maintain, DHS fitness determination.
- Ph.D. in social science or related field with 5 years of work experience, or Master's in social science or related field with 8 years of work experience in survey research.
- Demonstrated experience including all phases of survey management and methodological research, interview development, and, in consultation with statisticians, design and management of sampling procedures.

- Experience with multiple modes of data collection, including computer assisted telephone and personal interviewing (CATI/CAPI), web, and use of innovative technologies for data collection.
- Strong oral and written communication skills.

### **3.4.3 SENIOR STATISTICIAN**

Oversees the planning, design, and execution of sampling for quantitative research and evaluation, including sampling frames, constructing probability samples, estimation systems, survey weights, and imputation methods for nonresponse. Consults on statistical and quality issues with survey activities and may design and implement innovative methodological studies. Supervises others and provides quality control for statistical data analysis, preparation of tables and analytic reporting. Highly preferred qualifications include:

- Currently holds, or is able to obtain and maintain, DHS fitness determination.
- Ph.D. with 5 years of work experience, or Master's with 8 years of work experience in statistics
- Demonstrated experience in sample design and survey methodology or biostatistics.
- Demonstrated experience in inferential statistics, multivariate statistics, and multilevel statistical modeling, including experience linking/matching person-level data and using matching techniques to develop well-matched comparison groups.
- Experience communicating statistical concepts to non-statisticians and/or communicating scientific ideas to non-scientists.
- Experience articulating research and analysis questions and using quantitative techniques to arrive at a solution using available data.
- Excellent written and oral communication skills.
- Excellent written and oral communication skills.

### **3.5 OTHER KEY AND NON-KEY PERSONNEL FOR THIS BPA ORDER**

The Contractor shall identify other key and non-key personnel to perform all requirements specified in this SOW, using BPA Labor Categories deemed by the Contractor as necessary. Relevant other key and non-key Labor Categories may include, but are not limited to:

- Subject Matter Expert, e.g., in program-specific and/or methodology-specific areas
- Mid- and/or low-level Researcher
- Statistician
- Senior-, Mid- and/or low-level Programmer/Data Scientist
- Mid- and/or low- Survey Researcher
- Editor/Technical Writer/Communications Specialist
- Graphics/Data Visualization Specialist
- Clerical

Due to the provision of government furnished resources for this BPA Order, the Contractor shall provide the *minimum* staff needed to meet the Government's requirements. The Government will furnish no more than seven (7) laptops.

### **3.6 EMPLOYEE IDENTIFICATION AND BADGING**

All contractor employees are required to have a suitability clearance.

**3.6.1** Contractor employees visiting Government facilities shall wear an identification badge that, at a minimum, displays the Contractor name, the employee's photo, name, clearance-level and badge expiration date. Visiting Contractor employees shall comply with all Government escort rules and requirements. All Contractor employees shall identify themselves as Contractors when their status is



not readily apparent and display all identification and visitor badges in plain view above the waist at all times.

**3.6.2** Contractor employees working on-site at Government facilities shall wear a Government issued identification badge. All Contractor employees shall identify themselves as Contractors when their status is not readily apparent (in meetings, when answering Government telephones, in e-mail messages, etc.) and display the Government-issued badge in plain view above the waist at all times.

### **3.7 EMPLOYEE CONDUCT**

Contractor's employees shall comply with all applicable Government regulations, policies, and procedures (e.g., fire, safety, sanitation, environmental protection, security, "off limits" areas, wearing of parts of DHS uniforms, and possession of weapons) when visiting or working at Government facilities. The Contractor shall ensure Contractor employees present a professional appearance at all times and that their conduct shall not reflect discredit on the United States or DHS. The Project Manager shall ensure Contractor employees understand and abide by DHS established rules, regulations and policies concerning safety and security.

### **3.8 REMOVING EMPLOYEES FOR MISCONDUCT OR SECURITY REASONS**

The Government may, at its sole discretion (via the Contracting Officer or COR), direct the Contractor to remove any Contractor employee from DHS facilities for misconduct or security reasons. Removal does not relieve the Contractor of the responsibility to continue providing the services required under the contract. The Contracting Officer will provide the Contractor with a written explanation to support any request to remove an employee.

### **4.0 OTHER APPLICABLE CONDITIONS**

#### **4.1 PERIOD OF PERFORMANCE**

The period of performance for this BPA Order includes a non-severable, two-year base period as represented immediately below.

Base Period: September 30, 2024 – September 29, 2026<sup>24</sup>

#### **4.2 PLACE OF PERFORMANCE**

BPA Order requirements may be performed at the awarded Contractor Facility with occasional and infrequent visits to the TSA Headquarters (current location of PA&E) in Springfield, VA, CWMD Headquarters in Washington, D.C., or STC program sites in 13 jurisdictions across the United States.

#### **4.3 HOURS OF OPERATION**

Contractor employees shall generally perform all work between the hours of 8AM and 5PM Eastern, Monday through Friday (except Federal holidays). In-person requirements (such as oral briefings) will be conducted during these time periods.

#### **4.4 TRAVEL**

Contractor travel to program sites (STC jurisdictions) is anticipated to support this requirement. Should travel become required, all travel required by the Government outside the local commuting area(s) will be reimbursed to the Contractor in accordance with the Federal Travel Regulations. The Contractor shall be responsible for obtaining COR approval (electronic mail is acceptable) for all reimbursable travel in advance of each travel event.

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<sup>24</sup> Base Period accounts for the possibility of a PRA full ICR or "standard" process.

#### **4.5 GENERAL REPORT REQUIREMENTS**

The Contractor shall provide all written reports in electronic format with read/write capability using applications that are compatible with DHS workstations (Windows XP and Microsoft Office Applications).

#### **4.6 INTELLECTUAL PROPERTY**

All deliverables developed by the Contractor shall become the property of the Government, shall not contain proprietary markings, and shall be delivered with unlimited rights as per FAR 52.227-14 – Rights in Data-General. The Government notes that FAR 52.227-16, Additional Data Requirements and FAR 52.227-17, Rights in Data - Special Works, shall govern the allocation of intellectual property rights for this Order.

#### **4.7 PROTECTION OF INFORMATION**

The Government will provide all necessary information, data and documents to the Contractor that are applicable for work as delineated within these Order requirements. The Contractor shall use Government furnished information, data and documents only for the performance of work as delineated within these BPA Order level requirements, and shall be responsible for returning all Government furnished information, data and documents to the Government at the end of the awarded BPA Order performance period. The Contractor shall not release Government furnished information, data, and documents to outside parties without the prior and explicit consent of the Contracting Officer. Contractor access to information protected under the Privacy Act may be required under these BPA Order level requirements. Contractor employees shall safeguard this information against unauthorized disclosure or dissemination in accordance with the law and Government policy and regulation. The Contractor shall ensure that all Contractor personnel having access to business or procurement sensitive information sign a non-disclosure agreement (DHS Form 11000-6).

In the case of any new data collected or generated as a result of work delineated within these Order requirements, the Contractor shall be responsible for safeguarding this information against unauthorized disclosure or dissemination in accordance with the law and Government policy and regulation, and for providing all applicable information, data, and documents to the Government at the end of the awarded BPA Order performance period.

#### **4.8 REGULATORY REQUIREMENTS FOR RESEARCH INVOLVING HUMAN SUBJECTS**

The Contractor shall conduct all Research Involving Human Subjects in compliance with the requirements set forth in 6 C.F.R. 46 and 45 C.F.R. 46, Subparts B-E, DHS Directive 026-04, *Protection of Human Subjects*, and DHS Instruction 026-04-001, *Ensuring Human Subjects Research Compliance*, prior to initiating any work with human subjects under this Award. Each Recipient and any Recipient institutions planning to perform research involving human subjects under this BPA Order must submit, through the DHS Program Manager, the documentation outlined in this section for Compliance Assurance Program Office (CAPO) review.

Requirements for Research Involving Human Subjects. Each facility conducting research involving human subjects under this Order is required to have a project-specific Certification Letter, a determination memo, or a memo of concurrence with an IRB's research or exemption determination issued by the CAPO. Each Recipient must submit the following documentation to the CAPO for compliance review and clearance prior to initiating research involving human subjects under this BPA and its awarded BPA Orders:

1. Research protocol, as approved by an Institutional Review Board (IRB), for any human subjects research work to be conducted;

2. IRB approval letter or notification of exemption (see additional information below on exemption determinations), for any human subjects research work to be conducted. Ensure that the level of risk, review type, and if applicable, the review category is included in the IRB approval memo;
3. IRB-approved informed consent document(s) or IRB acknowledgement of a waiver or alteration of informed consent for projects involving human subjects research;
4. Any applicable IRB-approved surveys/questionnaires and recruitment materials;
5. Federal-wide Assurance (FWA) number from the Dept of Health and Human Services (DHHS) Office for Human Research Protections (OHRP) for all Recipient institutions (including Sub-recipients) engaged in human subjects research;
6. IRB registry number for the IRB of Record (IRB0000XXXX) and the IRB Panel Number (if reviewed by the full board);
7. The DHS-approved Statement of Work (SOW) or Workplan; and
8. DHS CAPO's Cover Sheet and Document Checklist.

Exemptions for Research Involving Human Subjects. Exemption determinations for human subject research to be conducted under this BPA Order should only be made by authorized representatives of (1) an OHRP-registered IRB, or equivalent, or (2) DHS CAPO. Exemption determinations made by an OHRP-registered IRB, or equivalent, should be submitted to the CAPO for review and concurrence. Program managers, principal investigators, research staff, and other DHS or institutional personnel should not independently make exemption determinations in the absence of an IRB or CAPO review. DHS program managers (or institutions that do not have their own IRB conducting human subjects' research) seeking an exemption determination from the CAPO should submit a request to [HSRCompliance@hq.dhs.gov](mailto:HSRCompliance@hq.dhs.gov) that includes the following:

1. Research protocol or detailed description of planned activities to be conducted;
2. A complete CAPO Human Subjects Research Determination Request Form (HDRF);
3. The DHS-approved Statement of Work (SOW) or Workplan;
4. Any applicable informed consent document(s);
5. Any applicable surveys/questionnaires and recruitment materials; and
6. Identification of the exemption category that applies to the project(s) to be conducted and explanation of why the proposed research meets the requirements for that category of exemption

All documentation, as well as any questions or concerns regarding the requirements referenced above, should be submitted to the CAPO at [HSRCompliance@hq.dhs.gov](mailto:HSRCompliance@hq.dhs.gov). The submitted documentation will be retained by the CAPO and used to conduct a regulatory compliance assessment. Additional documentation and/or information may be required in some cases to complete this assessment. The Recipient must provide this documentation and information upon request. All compliance issues or concerns raised by the CAPO must be addressed in writing and resolved before a certification letter, determination memo, or memo of concurrence is issued and prior to initiation of any activities involving human volunteers under this BPA Order. The CAPO will review all submitted materials and provide written confirmation to the DHS Program Manager and the Recipient once all documentation requirements have been met.



The Recipient and any Recipient institution shall submit updated documentation regarding ongoing research involving human subjects, as available and **prior to the expiration of previous approvals**. Such documentation includes protocol modifications, IRB renewals for ongoing research protocols (“Continuing Reviews”), reportable events, and notifications of study completion.

The Recipient must promptly report the following to the CAPO, along with any corrective actions taken: (1) any serious or continuing noncompliance with human subjects research regulations and policies adopted by DHS (as referenced above); and (2) suspension, termination, or revocation of IRB approval of any human subjects research activities conducted under this BPA Order.

## **5.0 OTHER DIRECT COSTS (ORDER LEVEL MATERIALS)**

As required and as represented within Order Level Materials (OLM)-funded Contract Line Item Numbers (CLINs) the Contractor shall seek Government approval in advance of incurring any costs associated with awarded BPA Order established OLMs. Government approval is provided by the BPA Order level Contracting Officer and COR, and approval shall be in accordance with the Federal Acquisition Regulation (FAR) 8.403(b). The Contractor shall provide estimated costs, including any quotes, with its approval request. Allowable and reasonable costs incurred by the Contractor for OLMs will be reimbursed. The Contractor shall not charge the Government any associated fees or profit over actual costs incurred for OLMs. Allowable OLMs which are necessary and directly support awarded BPA Order work may include the following:

- Audio visual products and services
- Document services
- IT hardware, software, and services
- Language services
- Logistical services
- Mail management
- Telecommunications

The contractor shall provide invoice backup documentation for all non-labor OLMs in the following format. This backup can be included in one PDF document broken out with the following:

- Summary of COR approved OLMs for the billing period
- Detail of each OLM to include:
  - Invoice from supplier to Contractor
  - Proof of receipt / delivery (DHS Delivery Confirmation Form)

## **6.0 GOVERNMENT FURNISHED PROPERTY (GFP)**

DHS will issue PIV Cards and laptops, connected to the DHS network and with access to DHS-issued software, to Contractor personnel as necessary to complete the requirements of this order. CWMD will provide access to CWMD IT systems and data, which may require issuance of additional PIV Cards, Derived Alternative Credentials (DACs), and laptops if access is not possible through DHS-issued equipment. No additional government furnished property are anticipated.

GFP will be provided to the contractor for use in the performance of this contract in accordance with the FAR Part 45. The contractor must comply with clause 52.245-1, Government Property and clause FAR

52.245-9 Use and Charges, included in this order. The CO authorizes the COR to assume the role of Property Administrator for this contract/order.

The GFP to be provided under this order is as follows:

DESCRIPTION OF PROPERTY	QUANTITY	UNIT OF MEASURE	UNIT COST	UNIQUE ITEM IDENTIFIER
Government Issued Laptop	7	EA		Asset Tag

The property may not be used for any tasks outside the terms and conditions of this order. The contractor bears full responsibility for all loss of this property, whether accidental or purposeful, at full replacement value. No personal or company owned storage devices, (thumb drives, DVDs, or CDs) will be used with the GFP.

The contractor shall have a system of internal controls to manage GFP in its possession as set forth in FAR clause 52.245-1. Specifically, under FAR 52.245-1(f)(1)(iii), the contractor shall create and maintain records of all Government property accountable to the contract, including Government-furnished, and contractor-acquired property. The property records shall enable a complete, current, auditable record of all transactions and shall, unless otherwise approved by the property administrator/COR, contain the ten elements listed in clause 52.245-1(f)(1)(iii)(A):

- DHS Barcode
- Acquisition Date
- Acquisition Status
- Asset Condition
- Manufacturer Name
- Manufacturer Model
- Asset Description
- Serial Number
- Asset Cost
- Location

Under FAR 52.245-1(f)(1)(iv), the Contractor shall periodically perform, record, and disclose physical inventory results to the Property Administrator/COR. The frequency of inventory and reporting required by this contract is provided in the deliverables table below.

#### 6.1 GOVERNMENT FURNISHED PROPERTY DELIVERABLES

TYPE OF REPORT	TIMEFRAME AND FREQUENCY	GOVERNMENT RECEIVER
Initial GFP Report	Within ten (10) business days of initial receipt of GFP upon contract commencement.	Contract identified CO,

		COR, and GFP mailbox: <b>[FILL]</b>
Annual GFP Report	Each year by August 30th	CO, COR & GFP Mailbox
Interim GFP Report	Within (10) business days of any GFP inventory changes (i.e., when new property is issued or property is returned to the Government), or as requested by the CO.	CO, COR & GFP Mailbox
Closing GFP Report	Five (5) business days before contract ends or as otherwise directed by the CO.	CO, COR, & GFP Mailbox

## **7.0 CONTRACTOR TELECOMMUTING – REMOTE PERSONAL RESIDENCE WORK LOCATIONS**

Telecommuting allows contractor personnel to perform requirements outside of DHS office locations, typically at a contractor's personal residence or a corporate telecommuting office location. Telecommuting for contractor personnel provides the government flexibility to meet unique DHS organizational and facility needs and requirements. The goal of telecommuting for contractor personnel is to enhance the delivery of services that support the DHS mission. Telecommuting shall be allowed under this BPA Order.

Additionally, the provision to permit contractor telecommuting may be revoked at the BPA Order level at any time if the Government makes such determination. The telecommuting provision does not change awarded BPA Order level requirements.

### **7.1 CONTRACTOR LABOR RATES CHARGED WHILE TELECOMMUTING**

The contractor shall charge the same applicable fixed hourly rate as for a Government site for those contractor personnel when they telecommute at their designated telecommuting location.

## **8.0 PERFORMANCE STANDARDS & QUALITY ASSURANCE**

### **8.1 OVERVIEW**

DHS has specified performance standards in each task area related to processes that DHS believes are critical to successful performance. These requirements and their associated performance standards define the work to be performed, although these may change over time. DHS established these performance requirements and associated standards after careful analysis of current operations based on historical performance against similar established standards.

DHS requires the contractor to conduct ongoing quality and process control and to effectively monitor performance continually. DHS will measure performance against the published requirements and standards on an ongoing basis and will report the summarized results monthly.

### **8.2 QUALITY ASSURANCE SURVEILLANCE PROCEDURES**

The Quality Surveillance Procedures involve all planned and systematic actions necessary to provide adequate confidence that the services and resulting product from the contractor will satisfy the requirements. This program involves making sure that quality standards are met and includes a continuing evaluation of adequacy and effectiveness with a view toward the use of timely corrective and preventive measures where necessary. Quality Assurance Surveillance is the activity the Government



utilizes to monitor the in-process product quality based upon the outcome of attribute inspection of product units. Quality Assurance Surveillance will be performed on all performance requirements to some extent.

The COR will inspect contractor performance for compliance with the Statement of Work and Performance Requirements Summary (PRS) requirements throughout the contract period of performance. The Government intends to monitor the contractor's performance by performing checks in accordance with the Performance Requirements Summary.

### 8.3 QUALITY CONTROL PLAN (QCP)

- 8.3.1 The contractor shall be responsible for exercising quality control of the processes called for in the SOW.
- 8.3.2 The contractor shall develop, maintain, and manage all quality control measures to ensure compliance with the standards of the performance requirements.
- 8.3.3 The contractor shall analyze trends and identify cost-saving approaches and productivity improvements to maintain performance while operating within budget constraints.
- 8.3.4 The contractor shall provide the COR with a Quality Assurance Monthly Report (as Section V of the Monthly Progress Report) no later than the fifteenth (15th) calendar day following the end of each month and attend Contractor Performance Meetings with the COR.
- 8.3.5 The COR will review the Quality Assurance Monthly Report (as Section V of the Monthly Progress Report.) The COR will provide oversight and review performance standards based on the Acceptable Quality Level (AQL) below.
- 8.3.6 The COR and/or PM will discuss quality assurance monthly during Contractor Performance Meetings to ensure performance standards are met.

### 8.4 GENERAL QUALITY MEASURES

- **Accuracy:** Deliverables shall be accurate in presentation; technical content; and adherence to accepted elements of style. All deliverables shall conform to the appropriate DHS Directive and/or policy.
- **Clarity:** Deliverables shall be clear and concise and appropriate for the intended audience; plain language is preferred. Industry and technical terminology, acronyms, and complicated language should be avoided. All diagrams shall be easy to understand and relevant to the supporting narrative.
- **File Editing:** All text and diagrammatic files shall be editable by the Government using the Microsoft Office Suite of Products.
- **Timeliness:** Deliverables shall be submitted on or before the specified and/or agreed due date.
- **Quality Assurance/Acceptance:** The COR shall review, for completeness against the requirements, draft and final work products and deliverables that the contractor submits and may return them to the contractor for correction. Absence of any comments by the COR shall not relieve the contractor of the responsibility for complying with the requirements of the contract.

## 8.5 CONTRACTOR DEFICIENCY REPORTS

When the contractor's performance is unsatisfactory, the COR will prepare and submit a Contract Deficiency Report (CDR) to the CO for issuance. The contractor shall reply to the COR in writing within fifteen (15) business days of notification and in accordance with instructions contained therein, giving the reasons for the unsatisfactory performance, corrective action taken, and procedures to preclude recurrence.

## 8.6 PERFORMANCE REQUIREMENTS SUMMARY (PRS)

### 8.6.1 PERFORMANCE STANDARDS

This contract includes a PRS. The PRS plays an integral role in the administration of the contract. In addition to any applicable inspection clauses or other related terms and conditions contained in the BPA Order, the PRS shall serve as a primary tool for inspection and acceptance of services as facilitated by the COR. Evaluation of the contractor's overall performance shall be in accordance with the performance standards set forth in the PRS, and will be conducted by the COR. The PRS constitutes a material aspect of the contract and will not be changed or otherwise modified without prior written approval of the CO.

Performance standards define desired services. The Government performs surveillance to determine if the contractor exceeds, meets, or does not meet those standards. The PRS, of the Statement of Work, includes performance standards. The Government shall use these standards to determine contractor performance and shall compare contractor performance to the stated AQL.

The PRS tables below sets forth the expected requirements of the contract. The PRS is not an exclusive remedy and inclusion of the PRS does not preclude the Government from using any other remedy available by law or contract terms, including reductions in payment in accordance with any clause for inspection of services. Changes to the standards will be made by bi-lateral agreement.

**Note 1:** Failure to meet AQL(s), the Contractor will be required to re-perform the defective work at no additional cost to the Government.

**Note 2:** Significant errors or omissions are defined as deliverables not meeting the intent of the task and the work considered to be within scope of this order.

**Note 3:** Continued repetitive errors may result in an unacceptable rating on performance report to be used as part of the evaluation criteria on future order competition.

PRS Item #	Required Services	Performance Requirement Description	Acceptable Quality Level (AQL)	Statement of Work Reference	Measurement /Method of Surveillance	Disincentive
1	2.1 TASK ONE: SOCIAL SCIENCE AND EVALUATION RESEARCH DESIGN AND PLANNING	See Performance Objectives for each subtask set forth in this SOW	Meets Standards described in Section 8.4 General Quality Measures. Two or fewer instances where significant	2.1.1 Draft Document Review Memorandum 2.1.1 Final Document Review Memorandum 2.1.2 Draft Evidence Review Memorandum 2.1.2 Final Evidence Review Memorandum 2.1.3 Draft Theory of Change /Logic Models 2.1.3 Final Theory of Change/ Logic Models	100% Inspection	PM/COR will review. Contractor shall re-accomplish items found unacceptable within three (3) business days. (See Note 3)

			errors or omissions were identified (See Notes 1 & 2)	2.1.4 Draft Indicator, Measures, and Data Review and Development Memorandum 2.1.4 Draft Indicator, Measures, and Data Review and Development Memorandum 2.1.5 Draft Evaluation Methodology 2.1.5 Final Evaluation Methodology		
2	2.2 TASK TWO: SOCIAL SCIENCE AND EVALUATION RESEARCH CONDUCT, DATA COLLECTION, AND DATA ANALYSIS	See Performance Objectives for each subtask set forth in this SOW	Meets Standards described in Section 8.4 General Quality Measures. Two or fewer instances where significant errors or omissions were identified (See Notes 1 & 2)	2.2.1 Draft Instrument and Protocol Design for Pretesting 2.2.1 Revised Instrument and Protocol Design – Ready for Pretesting 2.2.1 Revised Instrument and Protocol Design after Pretesting & Memo (summary of pretesting results & rationale for instrument changes) 2.2.1 Revised Instrument and Protocol Design – Ready for OMB Clearance 2.2.2 Draft OMB ICR Package 2.2.2 Final OMB ICR Package 2.2.3 In-Progress Data Collection 2.2.3 Preliminary Data Collection 2.2.3 Final Data Collection 2.2.4 In-Progress Data Analysis 2.2.4 Preliminary Data Analysis 2.2.4 Final Data Analysis 2.2.5 In-Progress Data Files & Documentation 2.2.5 Preliminary Data Files & Documentation 2.2.5 Final Data Files & Documentation	100% Inspection	PM/ COR will review. Contractor shall re-accomplish items found unacceptable within three (3) business days. (See Note 3)



3	2.3 TASK THREE: SOCIAL SCIENCE AND EVALUATION RESEARCH REPORTING AND DISSEMINATI ON	See Performance Objectives for each subtask set forth in this SOW	Meets Standards described in Section 8.4 General Quality Measures. Two or fewer instances where significant errors or omissions were identified (See Notes 1 & 2)	2.3.1 Draft Evaluation Report Outline 2.3.1 Final Evaluation Report Outline 2.3.2 Draft In-Progress Data Analysis & Interpretation– Briefing Memorandum 2.3.2 Final In-Progress Data Analysis & Interpretation– Briefing Memorandum 2.3.3 Draft In-Progress Oral Presentation materials 2.3.3 Final In-Progress Oral Presentation 2.3.4 Draft Preliminary Data Analysis & Interpretation– Briefing Memorandum 2.3.4 Final Preliminary Data Analysis & Interpretation– Briefing Memorandum 2.3.5 Draft Preliminary Oral Presentation materials 2.3.5 Final Preliminary Oral Presentation 2.3.6 Draft Report 2.3.7 Report Revision One 2.3.7 Report Revision Two 2.3.7 Report Revision Three 2.3.7 Report Revision Four 2.3.8 Final Report 2.3.9 Draft of Final Oral Presentation materials 2.3.9 Final Oral Presentation 2.3.10 Draft Factsheets 2.3.10 Final Factsheets 2.3.11 Draft Recommendation Action Plan 2.3.11 Final Recommendation Action Plan	100% Inspection	PM/ COR will review. Contractor shall re- accomplish items found unacceptable within three (3) business days. (See Note 3)
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				2.3.12 Dissemination Product 1 2.3.12 Dissemination Product 2		
4	2.4 STAKEHOLDER ENGAGEMENT AND CAPACITY BUILDING	See Performance Objectives for each subtask set forth in this SOW	Meets Standards described in Section 8.4 General Quality Measures. Two or fewer instances where significant errors or omissions were identified (See Notes 1 & 2)	2.4.1 Draft Stakeholder engagement and communication plan 2.4.1 Final Stakeholder engagement and communication plan 2.4.2 Draft Technical Working Group plan 2.4.2 Final Technical Working Group plan	100% Inspection	PM/ COR will review. Contractor shall re-accomplish items found unacceptable within three (3) business days. (See Note 3)
5	2.5 TASK FIVE: AD HOC RESEARCH AND ANALYSIS (Optional Task)	See Performance Objectives for each subtask set forth in this SOW	Meets Standards described in Section 8.4 General Quality Measures. Two or fewer instances where significant errors or omissions were identified (See Notes 1 & 3)	2.5.1 Ad hoc analysis plan 2.5.1 Ad hoc analysis deliverables (TBD)	100% Inspection	PM/ COR will review. Contractor shall re-accomplish items found unacceptable within three (3) business days. (See Note 3)
6	2.6 TASK SIX: CONTRACT MANAGEMENT	See Performance Objectives for each subtask set forth in this SOW	Meets Standards described in Section 8.4 General Quality Measures. Two or fewer instances where significant errors or omissions were identified (See Notes 1 & 2)	2.6.1 Post Award Conference 2.6.1 Meeting Summary Memorandum 2.6.2 Second Draft Project Management Plan and Matrix 2.6.2 Final Project Management Plan and Matrix 2.6.3 Second Draft Quality Contract Plan 2.6.3 Final Quality Contract Plan 2.6.4 Monthly Status Reports	100% Inspection	PM/ COR will review. Contractor shall re-accomplish items found unacceptable within three (3) business days. (See note 3)

				2.6.5 Contractor Performance Meetings 2.6.5 Meeting Summary Memorandum		
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## 9.0 GOVERNMENT ACCEPTANCE PERIOD

The BPA Order level COR will review BPA Order deliverables prior to acceptance and provide the Contractor with an e-mail that provides documented reasons for non-acceptance. If the deliverable is acceptable, the COR will send an e-mail to the Contractor notifying it that the deliverable has been accepted.

**9.1** The BPA Order level COR will have the right to reject or require correction of any deficiencies found in the BPA Order deliverables that are contrary to the information contained in the awarded BPA Order level requirements. In the event of a rejected deliverable, the Contractor will be notified in writing by the COR of the specific reasons for rejection. The Contractor may have an opportunity to correct the rejected deliverable and return it per delivery instructions.

**9.2** All other review times and schedules for BPA Order deliverables shall be agreed upon by the parties based on the final approved Project Management Plan developed and delivered at the BPA Order. The Contractor shall be responsible for timely delivery to Government personnel in the agreed upon review chain, at each stage of the review. The Contractor shall work with personnel reviewing the BPA Order deliverables to assure that the established schedule is maintained.

## 10.0 SCHEDULE OF DELIVERABLES

ITEM	SOW	DELIVERABLE / EVENT	DUE BY	DISTRIBUTION
1	2.6.1	<b>Post Award Conferences</b>	Within 5 business days post award	PM, COR, Contracting Officer
2	2.6.1	Memorandum of understanding/meeting minutes	Within 3 business days of the scheduled Post Award Conference	PM, COR
3	2.6.2	Second Draft Project Management Plan and Matrix	1 <sup>st</sup> Draft with proposal, 2 <sup>nd</sup> Draft within 15 business days post award, Final within 5 business days after receipt of comments	PM, COR
4	2.6.2	<b>Final Draft Project Management Plan and Matrix</b>	1 <sup>st</sup> Draft with proposal, 2 <sup>nd</sup> Draft within 15 business days post award, Final within 5 business days after receipt of comments	PM, COR, Contracting Officer
5	2.6.3	2 <sup>nd</sup> Draft Control Plan, including System Security Plan	1 <sup>st</sup> Draft with proposal, 2 <sup>nd</sup> Draft within 15 business days post award, Final within 5 business days after receipt of comments	PM, COR
6	2.6.3	<b>Final Draft Quality Control Plan, including System Security Plan</b>	1 <sup>st</sup> Draft with proposal, 2 <sup>nd</sup> Draft within 15 business days post award, Final within 5 business days after receipt of comments	PM, COR, Contracting Officer
7	2.6.4	Monthly Progress Reports	Monthly on or before the 15 <sup>th</sup> calendar day	PM, COR



8	2.6.5	Contractor Performance Meetings	Weekly or Biweekly on or before the 20 <sup>th</sup> calendar day of each month, or as frequently as needed	PM, COR
9	2.6.5	Memorandum of understanding/meeting minutes	Within 3 business days after meeting or call	PM, COR
1	2.1.1	Draft Document Review Memorandum	N-business day development cycle outlined in Project Management Plan	PM, COR
2	2.1.1	Final Document Review Memorandum	10 business days after receipt of comments.	PM, COR
3	2.1.2	Draft Evidence Review Memorandum	N-business day development cycle outlined in Project Management Plan	PM, COR
4	2.1.2	Final Evidence Review Memorandum	10 business days after receipt of comments.	PM, COR
5	2.1.3	Draft Theory of Change and Logic Model	N-business day development cycle outlined in Project Management Plan	PM, COR
6	2.1.3	Final Theory of Change and Logic Model	10 business days after receipt of comments.	PM, COR
7	2.1.4	Draft Indicator, Measures, and Data Review and Development Memorandum	N-business day development cycle outlined in Project Management Plan	PM, COR
8	2.1.4	Final Indicator, Measures, and Data Review and Development Memorandum	10 business days after receipt of comments.	PM, COR
9	2.1.5	Draft Evaluation Methodology	N-business day development cycle outlined in Project Management Plan	PM, COR, DHS Evaluation Officer (EO)
10	2.1.5	Final Evaluation Methodology	10 business days after receipt of comments.	PM, COR
1	2.2.1	Draft Instrument and Protocol Design for Pretesting	N-business day development cycle outlined in Project Management Plan	PM, COR
2	2.2.1	Revised Instrument and Protocol Design – Ready for Pretesting	N-business day development cycle outlined in Project Management Plan	PM, COR
3	2.2.1	Revised Instrument and Protocol Design after Pretesting & Memo (summary of pretesting results & rationale for instrument changes)	N-business day development cycle outlined in Project Management Plan	PM, COR
4	2.2.1	Revised Instrument and Protocol Design – Ready for OMB Clearance	N-business day development cycle outlined in Project Management Plan	PM, COR
5	2.2.2	Draft OMB ICR Package	N-business day development cycle outlined in Project Management Plan	PM, COR
6	2.2.2	Final OMB ICR Package	N-business day development cycle outlined in Project Management Plan	PM, COR

7	2.2.3	In-Progress Data Collection	N-business day development cycle outlined in Project Management Plan	PM, COR
8	2.2.3	Preliminary Data Collection	N-business day development cycle outlined in Project Management Plan	PM, COR
9	2.2.3	Final Data Collection	N-business day development cycle outlined in Project Management Plan	PM, COR
10	2.2.4	In-Progress Data Analysis	N-business day development cycle outlined in Project Management Plan	PM, COR
11	2.2.4	Preliminary Data Analysis	N-business day development cycle outlined in Project Management Plan	PM, COR
12	2.2.4	Final Data Analysis	N-business day development cycle outlined in Project Management Plan	PM, COR
13	2.2.5	In-Progress Data Files and Documentation	Concurrent with submission of Task 2.2.4	PM, COR,
14	2.2.5	Preliminary Data Files and Documentation	Concurrent with submission of Task 2.2.4	PM, COR,
15	2.2.5	Final Data Files and Documentation	Concurrent with submission of Task 2.2.4	PM, COR
1	2.3.1	Draft Evaluation Report Outline	N-business day development cycle outlined in Project Management Plan	PM, COR
2	2.3.1	Final Evaluation Report Outline	5-business days after receipt of comments	PM, COR
3	2.3.2	Draft In-Progress Data Analysis and Interpretation– Briefing Memorandum	Midpoint of data collection	PM, COR
4	2.3.2	Final In-Progress Data Analysis and Interpretation– Briefing Memorandum	N-business day development cycle outlined in Project Management Plan	PM, COR
5	2.3.3	Draft In-Progress Oral Presentation materials (Prepared concurrent with In-Progress Data Analysis and Interpretation– Briefing Memorandum)	Midpoint of data collection	PM, COR
6	2.3.3	Final In-Progress Oral Presentation (Prepared concurrent with In-Progress Data Analysis and Interpretation– Briefing Memorandum)	5 business days after receipt of comments	PM, COR
7	2.3.4	Draft Preliminary Data Analysis and Interpretation– Briefing Memorandum	Within 10 business days of closing data collection window.	PM, COR

8	2.3.4	Final Preliminary Data Analysis and Interpretation– Briefing Memorandum	10 business days after receipt of comments	PM, COR
9	2.3.5	Draft Preliminary Oral Presentation materials (Prepared concurrent with Preliminary Data Analysis and Interpretation– Briefing Memorandum)	N-business day development cycle outlined in Project Management Plan	PM, COR
10	2.3.5	Final Preliminary Oral Presentation (Prepared concurrent with Preliminary Data Analysis and Interpretation– Briefing Memorandum)	N-business day development cycle outlined in Project Management Plan	PM, COR
11	2.3.6	Draft Report	N-business day development cycle outlined in Project Management Plan	PM, COR,
12	2.3.7	Report Revision One	15 business days after receipt of comments	PM, COR
13	2.3.7	Report Revision Two	10 business days after receipt of comments	PM, COR
14	2.3.7	Report Revision Three	5 business days after receipt of comments	PM, COR
15	2.3.7	Report Revision Four	5 business days after receipt of comments	PM, COR
16	2.3.8	Final Report	2 business days after receipt of comments	PM, COR
17	2.3.9	Draft of Final Oral Presentation materials Concurrent with 2.3.7 Report Revision Four	Concurrent with 2.3.7 Report Revision Four	PM, COR
18	2.3.9	Final Oral Presentation Concurrent with 2.3.7 Report Revision Four	Within 5 business days after submitting the Final Report	PM, COR
19	2.3.10	Draft Factsheets Concurrent with 2.3.7 Report Revision Four	Concurrent with 2.3.7 Report Revision Four	PM, COR
20	2.3.10	Final Factsheets Concurrent with 2.3.7 Report Revision Four	5 business days after receipt of comments	PM, COR
21	2.3.11	Draft Recommendation Action Plan	Concurrent with 2.3.7 Report Revision Four	PM, COR
22	2.3.11	Final Recommendation Action Plan	10 business days after receipt of comments	PM, COR
23	2.3.12	Dissemination Product 1	N-business day development cycle outlined in Project Management Plan	PM, COR
24	2.3.12	Dissemination Product 2	N-business day development cycle outlined in Project Management Plan	PM, COR



1	2.4.1	Draft Stakeholder engagement and communication plan	1 <sup>st</sup> Draft with proposal, 2 <sup>nd</sup> Draft within 15 business days post award, Final within 5 business days after receipt of comments	PM, COR
2	2.4.1	<b><i>Final Stakeholder engagement and communication plan</i></b>	1 <sup>st</sup> Draft with proposal, 2 <sup>nd</sup> Draft within 15 business days post award, Final within 5 business days after receipt of comments	PM, COR
3	2.4.1	Community engagement and Memoranda/meeting minutes	Minimum of Quarterly; Memoranda/meeting minutes within 5 days after meeting or call	PM, COR
3	2.4.2	Draft Technical Working Group plan	1 <sup>st</sup> Draft with proposal, 2 <sup>nd</sup> Draft within 15 business days post award, Final within 5 business days after receipt of comments	PM, COR
4	2.4.2	<b><i>Final Technical Working Group plan</i></b>	1 <sup>st</sup> Draft with proposal, 2 <sup>nd</sup> Draft within 15 business days post award, Final within 5 business days after receipt of comments	PM, COR
5	2.4.2	TWG feedback and decisions and Contractor response memorandum	5 days after receipt of comments	PM, COR
1	2.5.1	Ad hoc analysis plan (Optional)	1 <sup>st</sup> Draft will be due within 15 business days after need is identified, Final within 5 Business days post COR comments	PM, COR
2	2.5.1	Ad hoc analysis deliverables (Optional) (TBD)	TBD	PM, COR

## 11.0 GOVERNMENT TERMS & DEFINITIONS

**Evaluability assessment** – A pre-evaluation examination of the extent to which a program, policy, regulation, or organization can be evaluated in a reliable and credible fashion or to which an evaluation is worthwhile based on the evaluation's likely benefits, costs, and outcomes.

**Economic evaluation** – Theory-guided analytic methods of economics when results of interest are expressed in terms of economic metrics such as costs, benefits, transfer payments, distributional impacts, and return on investment. Common analysis includes break-even analysis, benefit-cost analysis, cost-effectiveness analysis, economic consequence analysis, and economic impact analysis. Economic analysis can be used for formative purposes to estimate future results and costs to achieve them such as when conducting policy analysis or regulatory impact analysis to inform new policies and regulations. Economic analysis can be used for summative purposes in evaluations to estimate realized results and costs, typically compared to alternatives approaches for programs, policies, and regulations.

**Formative evaluation** – Formative evaluation assesses whether a program, policy, regulation, or organization approach (or some aspect of these) is feasible, appropriate, and acceptable before it is fully implemented. It may include process and/or outcome measures. However, it focuses on learning and improvement and does not aim to answer questions of overall effectiveness. It can help answer the questions, "Is the program, policy, regulation, or organization appropriate for this context," "Is the

design and delivery acceptable to meet the identified needs,” and “Can it be feasibly implemented as designed?”

*Impact evaluation* – Often used for summative purposes, impact evaluation assesses the causal effect or impact of a program on outcomes by estimating what would have happened in the absence of the program or aspect of the program. This estimation requires the use of experimental/randomized control trial (RCT) designs or quasi-experimental designs (QED) in which another group is compared to program participants. Impact evaluation can help answer the question, “Does the program, policy, regulation, or organization work, or did it lead to the observed outcomes?”

*Needs assessments* – Conducted for formative purposes to systematically assess the needs of its potential or actual customers and beneficiaries, examine the nature and causes of those needs, set priorities for the future, and consider the approaches and resources required for programs to achieve intended goals.

*Outcome evaluation* – Used for summative purposes, outcome evaluation assesses the extent to which a program, policy, regulation, or organization approach has achieved certain objectives, and how it achieved these objectives. Outcome evaluations use non-experimental designs characterized by the absence of a control or comparison group. Unlike impact evaluation, outcome evaluation cannot discern that outcomes result from or are a causal effect of the program. It can help answer the question, “Were the intended outcomes achieved?”

*Process/implementation evaluation* – Process/implementation evaluation assesses the extent to which essential elements of a program, policy, regulation, or operation are in place; conform to requirements, program design, professional standards, or customer expectations; and are capable of delivering positive outcomes. It can help answer the questions, “Was the program, policy, regulation, or organization implemented as intended?” or “How is it operating in practice?” In the learning agenda, several evaluations study process-related questions to understand underlying mechanisms of outcomes achievement.

## 11.1 GOVERNMENT ABBREVIATIONS AND ACRONYMS

APO	-	Accountable Property Officer
BPA	-	Blanket Purchase Agreement
CAPO	-	DHS Compliance Assurance Program Office
CO	-	Contracting Officer
CONOP	-	Concept of Operations
COR	-	Contracting Officer's Representative
CWMD	-	Countering Weapons of Mass Destruction
DHS	-	Department of Homeland Security
DHS EO	-	DHS Evaluation Officer
Evaluation Services	-	Range of professional support services to answer questions of interest and meaningfully engage stakeholders in evaluation and evaluation activities.
Evidence Act	-	Foundations for Evidence-Based Policymaking Act of 2018
FAR	-	Federal Acquisition Regulation
FEMA	-	Federal Emergency Management Administration
FWA	-	Federal-wide Assurance
GAO	-	Government Accountability Office
GPO	-	Government Printing Office
HDRF	-	Human Subjects Research Determination Request Form
IRB	-	Institutional Review Board

MPR	-	Monthly Progress Report
OCFO	-	Office of the Chief Financial Officer
OHRP	-	Office for Human Research Protections
OIS	-	Office of Immigration Statistics
OLM	-	Order Level Materials
OMB	-	Office of Management and Budget
PA&E	-	Program Analysis and Evaluation Division, DHS
PII	-	Personally Identifiable Information
PM	-	Government's BPA Order Project Manager
PMP	-	Project Management Plan
PRS	-	Project Requirements Summary
PSC	-	Government's Project Steering Committee
SOW	-	Statement of Work
QCP	-	Quality Control Plan
SOW	-	Statement of Work
STC	-	Securing the Cities
TWG	-	External Technical Working Group

## **12.0 Federal Acquisition Regulation (FAR) and Homeland Security Acquisition Regulation (HSAR) Provisions and Clauses**

In addition to the terms and conditions of the BPA Order awardees underlying GSA contract and executed PA&E Evaluation Services BPA the following terms and conditions are included and are fully applicable.

### **FAR 52.252-6 - Authorized Deviations in Clauses (Nov 2020)**

(a) The use in this solicitation or contract of any Federal Acquisition Regulation (48 CFR Chapter 1) clause with an authorized deviation is indicated by the addition of "(DEVIATION)" after the date of the clause.

(b) The use in this solicitation or contract of any clause with an authorized deviation is indicated by the addition of "(DEVIATION)" after the name of the regulation.

(End of clause)

### **HSAR 3052.204-71 Contractor Employee Access (JUL 2023)**

(a) *Controlled Unclassified Information (CUI)* is any information the Government creates or possesses, or an entity creates or possesses for or on behalf of the Government (other than classified information) that a law, regulation, or Governmentwide policy requires or permits an agency to handle using safeguarding or dissemination controls. This definition includes the following CUI categories and subcategories of information:

(1) Chemical-terrorism Vulnerability Information (CVI) as defined in 6 CFR part 27, "Chemical Facility Anti-Terrorism Standards," and as further described in supplementary guidance issued by an authorized official of the Department of Homeland Security (including the Revised Procedural Manual "Safeguarding Information Designated as Chemical-Terrorism Vulnerability Information" dated September 2008);



(2) Protected Critical Infrastructure Information (PCII) as set out in the Critical Infrastructure Information Act of 2002 (title XXII, subtitle B of the Homeland Security Act of 2002 as amended through Pub. L. 116–283), PCII's implementing regulations (6 CFR part 29), the PCII Program Procedures Manual, and any supplementary guidance officially communicated by an authorized official of the Department of Homeland Security, the PCII Program Manager, or a PCII Program Manager Designee;

(3) Sensitive Security Information (SSI) as defined in 49 CFR part 1520, "Protection of Sensitive Security Information," as amended, and any supplementary guidance officially communicated by an authorized official of the Department of Homeland Security (including the Assistant Secretary for the Transportation Security Administration or designee), including Department of Homeland Security MD 11056.1, "Sensitive Security Information (SSI)" and, within the Transportation Security Administration, TSA MD 2810.1, "SSI Program";

(4) Homeland Security Agreement Information means information the Department of Homeland Security receives pursuant to an agreement with State, local, Tribal, territorial, or private sector partners that is required to be protected by that agreement. The Department receives this information in furtherance of the missions of the Department, including, but not limited to, support of the Fusion Center Initiative and activities for cyber information sharing consistent with the Cybersecurity Information Sharing Act of 2015;

(5) Homeland Security Enforcement Information means unclassified information of a sensitive nature lawfully created, possessed, or transmitted by the Department of Homeland Security in furtherance of its immigration, customs, and other civil and criminal enforcement missions, the unauthorized disclosure of which could adversely impact the mission of the Department;

(6) International Agreement Information means information the Department of Homeland Security receives that is required to be protected by an information sharing agreement or arrangement with a foreign government, an international organization of governments or any element thereof, an international or foreign public or judicial body, or an international or foreign private or non-governmental organization;

(7) Information Systems Vulnerability Information (ISVI) means:

(i) Department of Homeland Security information technology (IT) systems data revealing infrastructure used for servers, desktops, and networks; applications name, version, and release; switching, router, and gateway information; interconnections and access methods; and mission or business use/need. Examples of ISVI are systems inventories and enterprise architecture models. Information pertaining to national security systems and eligible for classification under Executive Order 13526 will be classified as appropriate; and/or

(ii) Information regarding developing or current technology, the release of which could hinder the objectives of the Department, compromise a technological advantage or countermeasure, cause a denial of service, or provide an adversary with sufficient information to clone, counterfeit, or circumvent a process or system;

(8) Operations Security Information means Department of Homeland Security information that could be collected, analyzed, and exploited by a foreign adversary to identify intentions, capabilities, operations, and vulnerabilities that threaten operational security for the missions of the Department;

(9) Personnel Security Information means information that could result in physical risk to Department of Homeland Security personnel or other individuals whom the Department is responsible for protecting;

(10) Physical Security Information means reviews or reports illustrating or disclosing facility infrastructure or security vulnerabilities related to the protection of Federal buildings, grounds, or property. For example, threat assessments, system security plans, contingency plans, risk management plans, business impact analysis studies, and certification and accreditation documentation;

(11) Privacy Information includes both Personally Identifiable Information (PII) and Sensitive Personally Identifiable Information (SPII). PII refers to information that can be used to distinguish or trace an individual's identity, either alone, or when combined with other information that is linked or linkable to a specific individual; and SPII is a subset of PII that if lost, compromised, or disclosed without authorization could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual. To determine whether information is PII, DHS will perform an assessment of the specific risk that an individual can be identified using the information with other information that is linked or linkable to the individual. In performing this assessment, it is important to recognize that information that is not PII can become PII whenever additional information becomes available, in any medium or from any source, that would make it possible to identify an individual. Certain data elements are particularly sensitive and may alone present an increased risk of harm to the individual.

(i) Examples of stand-alone PII that are particularly sensitive include: Social Security numbers (SSNs), driver's license or State identification numbers, Alien Registration Numbers (A-numbers), financial account numbers, and biometric identifiers.

(ii) Multiple pieces of information may present an increased risk of harm to the individual when combined, posing an increased risk of harm to the individual. SPII may also consist of any grouping of information that contains an individual's name or other unique identifier plus one or more of the following elements:

(A) Truncated SSN (such as last 4 digits);

(B) Date of birth (month, day, and year);

(C) Citizenship or immigration status;

(D) Ethnic or religious affiliation;

(E) Sexual orientation;

(F) Criminal history;

(G) Medical information; and

(H) System authentication information, such as mother's birth name, account passwords, or personal identification numbers (PINs).

(iii) Other PII that may present an increased risk of harm to the individual depending on its context, such as a list of employees and their performance ratings or an unlisted home address or phone number. The context includes the purpose for which the PII was collected, maintained, and used. This assessment is critical because the same information in different contexts can reveal additional information about the impacted individual.

(b) Information Resources means information and related resources, such as personnel, equipment, funds, and information technology.

(c) Contractor employees working on this contract must complete such forms as may be necessary for security or other reasons, including the conduct of background investigations to determine suitability. Completed forms shall be submitted as directed by the Contracting Officer. Upon the Contracting Officer's request, the Contractor's employees shall be fingerprinted or subject to other investigations as required. All Contractor employees requiring recurring access to government facilities or access to CUI or information resources are required to have a favorably adjudicated background investigation

prior to commencing work on this contract unless this requirement is waived under Departmental procedures.

(d) The Contracting Officer may require the Contractor to prohibit individuals from working on the contract if the Government deems their initial or continued employment contrary to the public interest for any reason, including, but not limited to, carelessness, insubordination, incompetence, or security concerns.

(e) Work under this contract may involve access to CUI. The Contractor shall access and use CUI only for the purpose of furnishing advice or assistance directly to the Government in support of the Government's activities, and shall not disclose, orally or in writing, CUI for any other purpose to any person unless authorized in writing by the Contracting Officer. For those Contractor employees authorized to access CUI, the Contractor shall ensure that these persons receive initial and refresher training concerning the protection and disclosure of CUI. Initial training shall be completed within 60 days of contract award and refresher training shall be completed every 2 years thereafter.

(f) The Contractor shall include this clause in all subcontracts at any tier where the subcontractor may have access to government facilities, CUI, or information resources.

(End of clause)

**ALTERNATE I  
(JULY 2023)**

When the contract will require Contractor employees to have access to information resources, add the following paragraphs:

(g) Before receiving access to information resources under this contract, the individual must complete a security briefing; additional training for specific categories of CUI, if identified in the contract; and any nondisclosure agreement furnished by DHS. The Contracting Officer's Representative (COR) will arrange the security briefing and any additional training required for specific categories of CUI.

(h) The Contractor shall have access only to those areas of DHS information resources explicitly stated in this contract or approved by the COR in writing as necessary for performance of the work under this contract. Any attempts by Contractor personnel to gain access to any information resources not expressly authorized by the terms and conditions in this contract, or as approved in writing by the COR, are strictly prohibited. In the event of violation of this provision, DHS will take appropriate actions with regard to the contract and the individual(s) involved.

(i) Contractor access to DHS networks from a remote location is a temporary privilege for mutual convenience while the Contractor performs business for DHS. It is not a right, a guarantee of access, a condition of the contract, or government-furnished equipment (GFE).

(j) Contractor access will be terminated for unauthorized use. The Contractor agrees to hold and save DHS harmless from any unauthorized use and agrees not to request additional time or money under the contract for any delays resulting from unauthorized use or access.

(k) Non-U.S. citizens shall not be authorized to access or assist in the development, operation, management, or maintenance of Department IT systems under the contract, unless a waiver has been granted by the Head of the Component or designee, with the concurrence of both the Department's Chief Security Officer (CSO) and the Chief Information Officer (CIO) or their designees. Within DHS Headquarters, the waiver may be granted only with the approval of both the CSO and the CIO or their designees. In order for a waiver to be granted:

(1) There must be a compelling reason for using this individual as opposed to a U.S. citizen; and



(2) The waiver must be in the best interest of the Government.

(l) Contractors shall identify in their proposals the names and citizenship of all non-U.S. citizens proposed to work under the contract. Any additions or deletions of non-U.S. citizens after contract award shall also be reported to the Contracting Officer.

(End of clause)

#### **HSAR 3052.209-73 Limitation of Future Contracting (JUN 2006)**

(a) The Contracting Officer has determined that this acquisition may give rise to a potential organizational conflict of interest. Accordingly, the attention of prospective offerors is invited to FAR Subpart 9.5--Organizational Conflicts of Interest.

(b) The nature of this conflict includes the analysis and evaluation of DHS Programs which may impact and/or influence future contract awards. The awarded BPA holder and all of its subcontractors and/or teaming partners shall be further precluded, in full, from those future contracting activities as detailed in sections (c) (1) and (2) below.

(c) The restrictions upon future contracting are as follows:

(1) If the Contractor, under the terms of this BPA or through the performance of Orders pursuant to this BPA, supports and/or conducts program analysis and evaluation activities that influence and/or impact specifications or statements of work that are to be incorporated into a future solicitation, the Contractor shall be ineligible to perform the work described in that solicitation as a prime or first-tier subcontractor under an ensuing DHS contract. This restriction shall remain in effect for a reasonable time, as agreed to by the Contracting Officer and the Contractor, sufficient to avoid unfair competitive advantage or potential bias (this time shall in no case be less than the duration of this BPA). DHS shall not unilaterally require the Contractor to support and/or conduct program analysis and evaluation activities that influence and/or impact specifications or statements of work under this BPA Order.

(2) To the extent that the work under this BPA Order requires access to proprietary, business confidential, or financial data of other companies, and as long as these data remain proprietary or confidential, the Contractor shall protect these data from unauthorized use and disclosure and agrees not to use them to compete with those other companies.

(End of clause)

#### **HSAR 3052.215-70 Key Personnel or Facilities (DEC 2003)**

(a) The personnel or facilities specified below are considered essential to the work being performed under this contract and may, with the consent of the contracting parties, be changed from time to time during the course of the contract by adding or deleting personnel or facilities, as appropriate.

(b) Before removing or replacing any of the specified individuals or facilities, the Contractor shall notify the Contracting Officer, in writing, before the change becomes effective. The Contractor shall submit sufficient information to support the proposed action and to enable the Contracting Officer to evaluate the potential impact of the change on this contract. The Contractor shall not remove or

replace personnel or facilities until the Contracting Officer approves the change.

The Key Personnel or Facilities under this BPA Order:

**Project Manager**

**Project Director**

**Senior Researcher**

**Senior Survey Researcher, and**

**Senior Statistician**

(End of clause)

### **13.0 Invoicing**

Copies of the invoice shall be submitted via email to the address noted below and to the BPA Order Contracting Officer (CO) and Contracting Officer Representative (COR) concurrently. The contractor shall submit a proper invoice IAW 52.212-4 Contract Terms and Conditions-- Commercial Items, paragraphs (a)(3)(i) through (a)(3)(x). The invoice shall contain at a minimum:

- a) Cover sheet identifying DHS;
- b) BPA Order and Associated BPA/Contract Number;
- c) Modification Number, if any;
- d) DUNS Number;
- e) Month services provided;
- f) CLIN and Accounting Classifications.

Payments under the contract will be made by wire transfer through the Treasury Financial Communications System. The following bank accounting information is required on the first invoice:

- Name of receiving bank;
- City and state of receiving bank; and
- American Bankers Association (ABA) nine-digit identifier of the receiving bank.



Invoices shall be further evaluated by the BPA Order CO and COR in determining the full reimbursement amount.

### **14.0 Personnel Eligibility and Security**

#### **14.1**

Contractor access to unclassified, but Security Sensitive Information may be required under this SOW. Contractor employees shall safeguard this information against unauthorized disclosure or dissemination.

#### **14.2**

Post-Award Instructions Regarding Security Requirements For Non-Classified Contracts/Orders

1. The procedures outlined below shall be followed for the DHS Office of the Chief Security Officer (OCSO), Personnel Security Division (PSD) to process background investigations, Entry on Duty determinations, and fitness determinations, as required, in a timely and efficient manner.
2. Carefully read the security clauses in the contract. Compliance with the security clauses in the

contract is not optional.

3. Contractor employees (to include applicants, temporaries, part-time and replacement employees) under the contract, requiring access to sensitive information, shall undergo a position-sensitivity analysis based on the duties each individual will perform on the contract. The results of the position sensitivity analysis shall identify the appropriate background investigation to be conducted. All background investigations will be processed through the DHS OCSO/PSD. Prospective contractor employees shall submit the below completed forms to the DHS OCSO/PSD. The Standard Form (SF) 85-P must be completed electronically through the Office of Personnel Management's e-QIP SYSTEM. The SF-85P signature pages and other completed forms must be given to the OCSO/PSD no less than thirty (30) days before the start date of the contract or thirty (30) days prior to the requested entry on duty date, for all contractor employees whether a replacement, addition, subcontractor employee, or vendor:

- a. Standard Form (SF) 85, "Questionnaire for Public Trust Positions"
- i. SF-85P Certification
- ii. SF-85P Authorization for Release of Medical Information
- b. FD Form 258, "Fingerprint Card" (2 copies)
- c. DHS Form 11000-6 "Conditional Access To Sensitive But Unclassified Information Non-Disclosure Agreement"
- d. DHS Form 11000-9, "Disclosure and Authorization Pertaining to Consumer Reports Pursuant to the Fair Credit Reporting Act"

Only complete packages will be accepted by the DHS OCSO/PSD. Specific instructions on submission of packages will be provided upon award of the contract.

4. The DHS OCSO/PSD may, as it deems appropriate, authorize and grant a favorable Entry on Duty (EOD) decision based on preliminary checks. A favorable EOD decision allows a contractor employee to commence work temporarily prior to the completion of the full background investigation. The granting of a favorable EOD decision shall not be considered as assurance that a favorable fitness determination will follow. In addition, a favorable EOD or fitness determination shall in no way prevent, preclude, or bar DHS from withdrawing or terminating access to government facilities or information, at any time during the term of the contract. No employee of the Contractor shall be allowed unescorted access to a Government facility without a favorable EOD or fitness determination by the DHS OCSO/PSD.

Limited access to Government buildings is allowable without an EOD decision if the Contractor is escorted by a Government employee and the purpose of the visit is to attend a limited number of required briefings or nonrecurring meetings in order to facilitate the transition of a contract the intent of this statement is to allow a minimum amount of meetings/transition attendances to prepare for a new contract.

5. The DHS OCSO/PSD shall be notified of all terminations/resignations within five (5) days of occurrence. The Contractor shall return to the Contracting Officer's Representative (COR) all DHS issued identification cards and building passes that either have expired or have been collected from terminated employees. If an identification card or building pass is not available to be returned, a report shall be submitted to the COR, referencing the pass or card number, name of individual to whom it was issued and the last known location and disposition of the pass or card.

6. When sensitive Government information is processed on Department telecommunications and automated information systems, the Contractor shall provide for the administrative control of sensitive



data being processed. Contractor personnel must have a favorable Entry on Duty or fitness determination by the DHS Office of the Chief Security Officer (OCSO), Personnel Security Division (PSD), to access this information.

Contractors who fail to comply with Department security policy are subject to having their access to Department IT systems and facilities terminated, whether or not the failure results in criminal prosecution. Any person who improperly discloses sensitive information is subject to criminal and civil penalties and sanctions under a variety of laws (e.g., Privacy Act).

7. Your POC at the Security Office is:

DHS OCSO/PSD Security Customer Service Center Telephone: [REDACTED]

E-mailbox: [REDACTED]

#### Suitability Determination

DHS shall have and exercise full control over granting, denying, withholding, or terminating unescorted government facility and/or sensitive Government information access for Contractor employees, based upon the results of a background investigation. DHS may, as it deems appropriate, authorize and make a favorable entry on duty (EOD) decision based on preliminary security checks. The favorable EOD decision would allow the employees to commence work temporarily prior to the completion of the full investigation. The granting of a favorable EOD decision shall not be considered as assurance that a full employment suitability authorization will follow as a result thereof. The granting of a favorable EOD decision or a full employment suitability determination shall in no way prevent, preclude, or bar the withdrawal or termination of any such access by DHS, at any time during the term of the Task Order. No employee of the

Contractor shall be allowed to EOD and/or access sensitive information or systems without a favorable EOD decision or suitability determination by the Office of Professional Responsibility, Personnel Security Unit (OPR-PSU). No employee of the Contractor shall be allowed unescorted access to a Government facility without a favorable EOD decision or suitability determination by the OPR-PSU. Contractor employees assigned to this requirement not needing access to sensitive DHS information or recurring access to DHS facilities will not be subject to security suitability screening.

#### Background Investigations

Contractor employees (to include applicants, temporaries, part-time and replacement employees) under the Task Order, needing access to sensitive information, shall undergo a position sensitivity analysis based on the duties each individual will perform. The results of the position sensitivity analysis shall identify the appropriate background investigation to be conducted.

Background investigations will be processed through the OPR-PSU. Prospective Contractor employees with adequate security clearances issued by the Defense Industrial Security Clearance Office (DISCO) may not be required to submit complete security packages, as the clearance issued by DISCO may be accepted.

Prospective Contractor employees without adequate security clearances issued by DISCO shall submit the following completed forms to the OPR-PSU through the COR, no less than 45 days before the starting date of the Task Order or 45 days prior to the expected entry on duty of any employees, whether a replacement, addition, subcontractor employee, or vendor:

- Standard Form 86, "Questionnaire for National Security Positions"
- Form will be submitted via e-QIP (electronic forms submission).
- FD Form 258, "Fingerprint Card" (2 copies)
- Foreign National Relatives or Associates Statement
- DHS 11000-9, "Disclosure and Authorization Pertaining to Consumer Reports Pursuant to the

Fair Credit Reporting Act”

- Optional Form 306 Declaration for Federal Employment (applies to Contractors as well)
- Authorization for Release of Medical Information

Required forms will be provided by DHS at the time of award. Only complete packages will be accepted by the OPR-PSU. Specific instructions on submission of packages will be provided upon award.

Be advised that unless an applicant requiring access to sensitive information has resided in the US for three of the past five years, the Government may not be able to complete a satisfactory background investigation. In such cases, DHS retains the right to deem an applicant as ineligible due to insufficient background information. The use of Non-U.S. citizens, including Lawful Permanent Residents (LPRs), is not permitted in the performance for any position that involves access to, development of, or maintenance to any DHS IT system.

Employment Eligibility

The Contractor shall ensure that employees will successfully pass the DHS Employment Eligibility Verification (E-Verify) program operated by USCIS to establish work authorization. Eligibility includes:

- The Contractor must agree that each employee working under this Task Order will have a Social Security Card issued and approved by the Social Security Administration.
- The Contractor shall be responsible to the Government for acts and omissions of his own employees and for any Subcontractor(s) and their employees.
- Subject to existing law, regulations and/ or other provisions, illegal or undocumented aliens will not be employed by the Contractor, under this Task Order. The Contractor will ensure that this provision is expressly incorporated into any and all Subcontracts or subordinate agreements issued in support of this Task Order.

Continued Eligibility

If a prospective employee is found to be ineligible for access to Government facilities or information, the COR will advise the Contractor that the employee shall not continue to work or to be assigned to work under the Task Order. The OPR-PSU may require drug screening for probable cause at any time and/ or when the Contractor independently identifies, circumstances where probable cause exists. The OPR-PSU may require reinvestigations when derogatory information is received and/or every 5 years. DHS reserves the right and prerogative to deny and/ or restrict the facility and information access of any Contractor employee whose actions are in conflict with the standards of conduct, CFR 2635 and CFR 3801, or whom DHS determines to present a risk of compromising sensitive Government information to which he or she would have access. The Contractor will report any adverse information coming to their attention concerning contractor employees under the Task Order to the OPR-PSU through the COR. Reports based on rumor or innuendo should not be made. The subsequent termination of employment of an employee does not obviate the requirement to submit this report. The report shall include the employees' name and social security number, along with the adverse information being reported. The OPR-PSU must be notified of all terminations/ resignations within five days of occurrence. The Contractor will return any expired DHS issued identification cards and building passes, or those of terminated employees to the COR. If an identification card or building pass is not available to be returned, a report must be submitted to the COR, referencing the pass or card number, name of individual to whom issued, the last known location and disposition of the pass or card. The COR will return the identification cards and building passes to the responsible ID Unit.

**15.0 DHS Cyber Requirements**

## **15.1 Confidentiality and Disclosure of Information**

**Confidentiality:** All information developed under this BPA Order will be regarded as sensitive information by the Contractor and not be disclosed to anyone outside the Contractor's organization without the written permission of the BPA Order Contracting Officer. All contractor employees supporting the Government on this project will be required to sign a statement of non-disclosure applicable to the awarded BPA Order.

**Disclosure of Sensitive Information:** Information made available to the contractor by the Government for the performance or administration of this effort shall be used only for those purposes and shall not be used in any other way without the written agreement of the Contracting Officer. The contractor agrees to assume responsibility for protecting the confidentiality of Government records, which are not public information. Each contractor or employee of the contractor to whom information may be made available or disclosed shall be notified in writing by the contractor that such information may be disclosed only for a purpose and to the extent authorized herein.

**Limited Use of Data:** Performance of this effort may require the contractor to access and use data and information proprietary to a Government agency or Government contractor which is of such a nature that its dissemination or use, other than in performance of this effort, would be adverse to the interests of the Government and/or others.

## **15.2 Accessibility Requirements**

Section 508 of the Rehabilitation Act, as amended by the Workforce Investment Act of 1998 (P.L. 105-220), requires that when Federal agencies develop, procure, maintain, or use electronic and information technology (EIT), they must ensure that it is accessible to people with disabilities. Federal employees and members of the public who have disabilities must have equal access to and use of information and data that is comparable to that enjoyed by non-disabled Federal employees and members of the public.

All EIT deliverables within this work statement shall comply with the applicable technical and functional performance criteria of Section 508 unless exempt. Specifically, the following applicable EIT accessibility standards have been identified:

### **15.2.1 Section 508 Applicable EIT Accessibility Standards**

36 CFR 1194.22 Web-based Intranet and Internet Information and Applications, applies to all Web-based deliverables, including documentation and reports procured or developed under this work statement. When any Web application uses a dynamic (non-static) interface, embeds custom user control(s), embeds video or multimedia, uses proprietary or technical approaches such as, but not limited to, Flash or Asynchronous JavaScript and XML (AJAX) then 1194.21 Software standards also apply to fulfill functional performance criteria.

36 CFR 1194.31 Functional Performance Criteria, applies to all EIT deliverables regardless of delivery method. All EIT deliverable shall use technical standards, regardless of technology, to fulfill the functional performance criteria.

36 CFR 1194.41 Information Documentation and Support, applies to all documents, reports, as well as help and support services. To ensure that documents and reports fulfill the required 1194.31 Functional Performance Criteria, they shall comply with the technical standard associated with Web-based Intranet and Internet Information and Applications at a minimum. In addition, any help or support



provided in this work statement that offer telephone support, such as, but not limited to, a help desk shall have the ability to transmit and receive messages using TTY.

### **15.2.2 Section 508 Applicable Exceptions**

Exceptions for this work statement have been determined by DHS and only the exceptions described herein may be applied. Any request for additional exceptions shall be sent to the COR and determination will be made in accordance with DHS MD 4010.2. DHS has identified the following exceptions that may apply: 36 CFR 1194.3(b) Incidental to Contract, all EIT that is exclusively owned and used by the contractor to fulfill this work statement does not require compliance with Section 508. This exception does not apply to any EIT deliverable, service or item that will be used by any Federal employee(s) or member(s) of the public. This exception only applies to those contractors assigned to fulfill the obligations of this work statement and for the purposes of this requirement, are not considered members of the public.

Please see Attachment 1 BPA Order SOW including additional Section 508 application instructions associated with the subject requirement.

### **15.3 Deliverables and Intellectual Property/Rights in Data**

FAR 52.227-17, Rights in Data - Special Works, shall govern the allocation of intellectual property rights for this BPA Order. In certain instances, this BPA Order may involve additional intellectual property matters not governed by FAR 52.227-17, Rights in Data – Special Works. FAR 52.227-16, Additional Data Requirements, is fully applicable to this BPA Orders.

### **15.4 Requests for Exception to U.S. Citizenship Requirement**

Special procedures apply for exception to the requirement that persons accessing DHS systems be U.S. citizens. Under normal circumstances, only U.S. citizens are allowed access to DHS systems and networks; but there is a need at times to grant access to foreign nationals. Access for foreign nationals is normally a long-term commitment, and exceptions to citizenship requirements are treated differently from security policy waivers. Exceptions to the U.S. citizenship requirement should be requested by completing a Foreign National Visitor Access Request, DHS Form 11052-1, which is available online or through the DHS Office of the Chief Security Officer (OCSO). Components who have access may file their request via the Foreign National Vetting Management System (FNVMS), a part of the DHS OCSO Integrated Security Management System's (ISMS). For further information regarding the citizenship exception process, contact the DHS OCSO

This Policy Directive and the DHS 4300A Sensitive Systems Handbook apply to all DHS employees, contractors, detailees, others working on behalf of DHS, and users of DHS information systems that collect, generate, process, store, display, transmit, or receive DHS information unless an approved waiver has been granted. This includes prototypes, telecommunications systems, and all systems in all phases of the Systems Engineering Life Cycle (SELC).

### **HSAR 3052.204-72 SAFEGUARDING OF CONTROLLED UNCLASSIFIED INFORMATION (JULY 2023)**

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

*Adequate Security* means security protections commensurate with the risk resulting from the unauthorized access, use, disclosure, disruption, modification, or destruction of information. This includes ensuring that information hosted on behalf of an agency and information systems and

applications used by the agency operate effectively and provide appropriate confidentiality, integrity, and availability protections through the application of cost-effective security controls.

*Controlled Unclassified Information (CUI)* is any information the Government creates or possesses, or an entity creates or possesses for or on behalf of the Government (other than classified information) that a law, regulation, or Governmentwide policy requires or permits an agency to handle using safeguarding or dissemination controls. This definition includes the following CUI categories and subcategories of information:

(1) Chemical-terrorism Vulnerability Information (CVI) as defined in 6 CFR part 27, “Chemical Facility Anti-Terrorism Standards,” and as further described in supplementary guidance issued by an authorized official of the Department of Homeland Security (including the Revised Procedural Manual “Safeguarding Information Designated as Chemical-Terrorism Vulnerability Information” dated September 2008);

(2) Protected Critical Infrastructure Information (PCII) as set out in the Critical Infrastructure Information Act of 2002 (title XXII, subtitle B of the Homeland Security Act of 2002 as amended through Pub. L. 116–283), PCII’s implementing regulations (6 CFR part 29), the PCII Program Procedures Manual, and any supplementary guidance officially communicated by an authorized official of the Department of Homeland Security, the PCII Program Manager, or a PCII Program Manager Designee;

(3) Sensitive Security Information (SSI) as defined in 49 CFR part 1520, “Protection of Sensitive Security Information,” as amended, and any supplementary guidance officially communicated by an authorized official of the Department of Homeland Security (including the Assistant Secretary for the Transportation Security Administration or designee), including Department of Homeland Security MD 11056.1, “Sensitive Security Information (SSI)” and, within the Transportation Security Administration, TSA MD 2810.1, “SSI Program”;

(4) Homeland Security Agreement Information means information the Department of Homeland Security receives pursuant to an agreement with State, local, Tribal, territorial, or private sector partners that is required to be protected by that agreement. The Department receives this information in furtherance of the missions of the Department, including, but not limited to, support of the Fusion Center Initiative and activities for cyber information sharing consistent with the Cybersecurity Information Sharing Act of 2015;

(5) Homeland Security Enforcement Information means unclassified information of a sensitive nature lawfully created, possessed, or transmitted by the Department of Homeland Security in furtherance of its immigration, customs, and other civil and criminal enforcement missions, the unauthorized disclosure of which could adversely impact the mission of the Department;

(6) International Agreement Information means information the Department of Homeland Security receives that is required to be protected by an information sharing agreement or arrangement with a foreign government, an international organization of governments or any element thereof, an international or foreign public or judicial body, or an international or foreign private or non-governmental organization;

(7) Information Systems Vulnerability Information (ISVI) means:

(i) Department of Homeland Security information technology (IT) systems data revealing infrastructure used for servers, desktops, and networks; applications name, version, and release; switching, router, and gateway information; interconnections and access methods; and mission or business use/need. Examples of ISVI are systems inventories and enterprise architecture models. Information pertaining to national security systems and eligible for classification under Executive Order 13526 will be classified as appropriate; and/or

(ii) Information regarding developing or current technology, the release of which could hinder the objectives of the Department, compromise a technological advantage or countermeasure, cause a denial of service, or provide an adversary with sufficient information to clone, counterfeit, or circumvent a process or system;

(8) Operations Security Information means Department of Homeland Security information that could be collected, analyzed, and exploited by a foreign adversary to identify intentions, capabilities, operations, and vulnerabilities that threaten operational security for the missions of the Department;

(9) Personnel Security Information means information that could result in physical risk to Department of Homeland Security personnel or other individuals whom the Department is responsible for protecting;

(10) Physical Security Information means reviews or reports illustrating or disclosing facility infrastructure or security vulnerabilities related to the protection of Federal buildings, grounds, or property. For example, threat assessments, system security plans, contingency plans, risk management plans, business impact analysis studies, and certification and accreditation documentation;

(11) Privacy Information includes both Personally Identifiable Information (PII) and Sensitive Personally Identifiable Information (SPII). PII refers to information that can be used to distinguish or trace an individual's identity, either alone, or when combined with other information that is linked or linkable to a specific individual; and SPII is a subset of PII that if lost, compromised, or disclosed without authorization could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual. To determine whether information is PII, the DHS will perform an assessment of the specific risk that an individual can be identified using the information with other information that is linked or linkable to the individual. In performing this assessment, it is important to recognize that information that is not PII can become PII whenever additional information becomes available, in any medium or from any source, that would make it possible to identify an individual. Certain data elements are particularly sensitive and may alone present an increased risk of harm to the individual.

(i) Examples of stand-alone PII that are particularly sensitive include: Social Security numbers (SSNs), driver's license or State identification numbers, Alien Registration Numbers (A-numbers), financial account numbers, and biometric identifiers.

(ii) Multiple pieces of information may present an increased risk of harm to the individual when combined, posing an increased risk of harm to the individual. SPII may also consist of any grouping of information that contains an individual's name or other unique identifier plus one or more of the following elements:

(A) Truncated SSN (such as last 4 digits);

(B) Date of birth (month, day, and year);

(C) Citizenship or immigration status;

(D) Ethnic or religious affiliation;

(E) Sexual orientation;

(F) Criminal history;

(G) Medical information; and

(H) System authentication information, such as mother's birth name, account passwords, or personal identification numbers (PINs).

(iii) Other PII that may present an increased risk of harm to the individual depending on its context, such as a list of employees and their performance ratings or an unlisted home address or phone number. The context includes the purpose for which the PII was collected, maintained, and used. This assessment is critical because the same information in different contexts can reveal additional information about the impacted individual.

*Federal information* means information created, collected, processed, maintained, disseminated, disclosed, or disposed of by or for the Federal Government, in any medium or form.

*Federal information system* means an information system used or operated by an agency or by a Contractor of an agency or by another organization on behalf of an agency.

*Handling* means any use of controlled unclassified information, including but not limited to marking, safeguarding, transporting, disseminating, re-using, storing, capturing, and disposing of the information.



*Incident* means an occurrence that—

- (1) Actually or imminently jeopardizes, without lawful authority, the integrity, confidentiality, or availability of information or an information system; or
- (2) Constitutes a violation or imminent threat of violation of law, security policies, security procedures, or acceptable use policies.

*Information Resources* means information and related resources, such as personnel, equipment, funds, and information technology.

*Information Security* means protecting information and information systems from unauthorized access, use, disclosure, disruption, modification, or destruction in order to provide—

- (1) Integrity, which means guarding against improper information modification or destruction, and includes ensuring information nonrepudiation and authenticity;
- (2) Confidentiality, which means preserving authorized restrictions on access and disclosure, including means for protecting personal privacy and proprietary information; and
- (3) Availability, which means ensuring timely and reliable access to and use of information.

*Information System* means a discrete set of information resources organized for the collection, processing, maintenance, use, sharing, dissemination, or disposition of information.

*(b) Handling of Controlled Unclassified Information.*

(1) Contractors and subcontractors must provide adequate security to protect CUI from unauthorized access and disclosure. Adequate security includes compliance with DHS policies and procedures in effect at the time of contract award. These policies and procedures are accessible at <https://www.dhs.gov/dhs-security-and-training-requirements-contractors>.

(2) The Contractor shall not use or redistribute any CUI handled, collected, processed, stored, or transmitted by the Contractor except as specified in the contract.

(3) The Contractor shall not maintain SPII in its invoicing, billing, and other recordkeeping systems maintained to support financial or other administrative functions. It is acceptable to maintain in these systems the names, titles, and contact information for the Contracting Officer's Representative (COR) or other government personnel associated with the administration of the contract, as needed.

(4) Any government data provided, developed, or obtained under the contract, or otherwise under the control of the Contractor, shall not become part of the bankruptcy estate in the event a Contractor and/or subcontractor enters bankruptcy proceedings.

*(c) Incident Reporting Requirements.*

(1) Contractors and subcontractors shall report all known or suspected incidents to the Component Security Operations Center (SOC) in accordance with Attachment F, *Incident Response*, to DHS Policy Directive 4300A *Information Technology System Security Program, Sensitive Systems*. If the Component SOC is not available, the Contractor shall report to the DHS Enterprise SOC. Contact information for the DHS Enterprise SOC is accessible at <https://www.dhs.gov/dhs-security-and-training-requirements-contractors>. Subcontractors are required to notify the prime Contractor that it has reported a known or suspected incident to the Department. Lower tier subcontractors are required to likewise notify their higher tier subcontractor, until the prime contractor is reached. The Contractor shall also notify the Contracting Officer and COR using the contact information identified in the contract. If the report is made by phone, or the email address for the Contracting Officer or COR is not immediately available, the Contractor shall contact the Contracting Officer and COR immediately after reporting to the Component or DHS Enterprise SOC.

(2) All known or suspected incidents involving PII or SPII shall be reported within 1 hour of discovery. All other incidents shall be reported within 8 hours of discovery.

(3) CUI transmitted via email shall be protected by encryption or transmitted within secure communications systems. CUI shall be transmitted using a *FIPS 140-2/140-3 Security Requirements for Cryptographic Modules* validated cryptographic module identified on <https://csrc.nist.gov/projects/cryptographic-module-validation-program/validated-modules>. When this is impractical or unavailable, for Federal information systems only, CUI may be transmitted over regular email channels. When using regular email channels, Contractors and subcontractors shall not include any CUI in the subject or body of any email. The CUI shall be included as a password-protected

attachment with the password provided under separate cover, including as a separate email. Recipients of CUI information will comply with any email restrictions imposed by the originator.

(4) An incident shall not, by itself, be interpreted as evidence that the Contractor or Subcontractor has failed to provide adequate information security safeguards for CUI or has otherwise failed to meet the requirements of the contract.

(5) If an incident involves PII or SPII, in addition to the incident reporting guidelines in Attachment F, *Incident Response*, to DHS Policy Directive 4300A *Information Technology System Security Program, Sensitive Systems*, Contractors shall also provide as many of the following data elements that are available at the time the incident is reported, with any remaining data elements provided within 24 hours of submission of the initial incident report:

- (i) Unique Entity Identifier (UEI);
- (ii) Contract numbers affected unless all contracts by the company are affected;
- (iii) Facility CAGE code if the location of the event is different than the prime Contractor location;
- (iv) Point of contact (POC) if different than the POC recorded in the System for Award Management (address, position, telephone, and email);
- (v) Contracting Officer POC (address, telephone, and email);
- (vi) Name of subcontractor and CAGE code if this was an incident on a subcontractor network;
- (vii) Government programs, platforms, or systems involved;
- (ix) Location(s) of incident;
- (x) Date and time the incident was discovered;
- (xi) Server names where CUI resided at the time of the incident, both at the Contractor and subcontractor level;
- (xii) Description of the government PII or SPII contained within the system; and
- (xiii) Any additional information relevant to the incident.

*(d) Incident Response Requirements.*

(1) All determinations by the Department related to incidents, including response activities, will be made in writing by the Contracting Officer.

(2) The Contractor shall provide full access and cooperation for all activities determined by the Government to be required to ensure an effective incident response, including providing all requested images, log files, and event information to facilitate rapid resolution of incidents.

(3) Incident response activities determined to be required by the Government may include, but are not limited to, the following:

- (i) Inspections;
- (ii) Investigations;
- (iii) Forensic reviews;
- (iv) Data analyses and processing; and
- (v) Revocation of the Authority to Operate (ATO), if applicable.

(4) The Contractor shall immediately preserve and protect images of known affected information systems and all available monitoring/packet capture data. The monitoring/packet capture data shall be retained for at least 180 days from submission of the incident report to allow DHS to request the media or decline interest.

(5) The Government, at its sole discretion, may obtain assistance from other Federal agencies and/or third-party firms to aid in incident response activities.

(e) *Certificate of Sanitization of Government and Government-Activity-Related Files and Information.* Upon the conclusion of the contract by expiration, termination, cancellation, or as otherwise indicated in the contract, the Contractor shall return all CUI to DHS and/or destroy it physically and/or logically as identified in the contract unless the contract states that return and/or destruction of CUI is not required. Destruction shall conform to the guidelines for media sanitization contained in NIST SP 800–88, *Guidelines for Media Sanitization*. The Contractor shall certify and confirm the sanitization of all government and government-activity related files and information. The Contractor shall submit the certification to the COR and Contracting Officer following the template provided in NIST SP 800–88, *Guidelines for Media Sanitization*, Appendix G.

(f) *Other Reporting Requirements.* Incident reporting required by this clause in no way rescinds the Contractor's responsibility for other incident reporting pertaining to its unclassified information systems under other clauses that may apply to its contract(s), or as a result of other applicable statutory or regulatory requirements, or other U.S. Government requirements.

(g) *Subcontracts.* The Contractor shall insert this clause in all subcontracts and require subcontractors to include this clause in all lower tier subcontracts when subcontractor employees will have access to CUI; CUI will be collected or maintained on behalf of the agency by a subcontractor; or a subcontractor information system(s) will be used to process, store, or transmit CUI.

(End of clause)

#### **INFORMATION TECHNOLOGY SECURITY AWARENESS TRAINING (JULY 2023)**

(a) *Applicability.* This clause applies to the Contractor, its subcontractors, and Contractor employees (hereafter referred to collectively as "Contractor"). The Contractor shall insert the substance of this clause in all subcontracts.

(b) *Security Training Requirements.*

(1) All users of Federal information systems are required by Title 5, Code of Federal Regulations, Part 930.301, Subpart C, as amended, to be exposed to security awareness materials annually or whenever system security changes occur, or when the user's responsibilities change. The Department of Homeland Security (DHS) requires that Contractor employees take an annual Information Technology Security Awareness Training course before accessing sensitive information under the contract. Unless otherwise specified, the training shall be completed within thirty (30) days of contract award and be completed on an annual basis thereafter not later than October 31<sup>st</sup> of each year. Any new Contractor employees assigned to the contract shall complete the training before accessing sensitive information under the contract. The training is accessible at <http://www.dhs.gov/dhs-security-and-training-requirements-contractors>. The Contractor shall maintain copies of training certificates for all Contractor and subcontractor employees as a record of compliance. Unless otherwise specified, initial training certificates for each Contractor and subcontractor employee shall be provided to the Contracting Officer's Representative (COR) not later than thirty (30) days after contract award. Subsequent training certificates to satisfy the annual training requirement shall be submitted to the COR via e-mail notification not later than October 31<sup>st</sup> of each year. The e-mail notification shall state the required training has been completed for all Contractor and subcontractor employees.

(2) The DHS Rules of Behavior apply to every DHS employee, Contractor and subcontractor that will have access to DHS systems and sensitive information. The DHS Rules of Behavior shall be signed before accessing DHS systems and sensitive information. The DHS Rules of Behavior is a document that informs users of their responsibilities when accessing DHS systems and holds users accountable



for actions taken while accessing DHS systems and using DHS Information Technology resources capable of inputting, storing, processing, outputting, and/or transmitting sensitive information. The DHS Rules of Behavior is accessible at <http://www.dhs.gov/dhs-security-and-training-requirements-contractors>. Unless otherwise specified, the DHS Rules of Behavior shall be signed within thirty (30) days of contract award. Any new Contractor employees assigned to the contract shall also sign the DHS Rules of Behavior before accessing DHS systems and sensitive information. The Contractor shall maintain signed copies of the DHS Rules of Behavior for all Contractor and subcontractor employees as a record of compliance. Unless otherwise specified, the Contractor shall e-mail copies of the signed DHS Rules of Behavior to the COR not later than thirty (30) days after contract award for each employee. The DHS Rules of Behavior will be reviewed annually, and the COR will provide notification when a review is required.

(End of clause)

**FAR 52.224-3 Privacy Training – Alternate I (DEVIATION 17-03) (July 2023)**

(a) Definition. As used in this clause, personally identifiable information means information that can be used to distinguish or trace an individual's identity, either alone or when combined with other information that is linked or linkable to a specific individual. (See Office of Management and Budget (OMB) Circular A-130, Managing Federal Information as a Strategic Resource).

(b) The Contractor shall ensure that initial privacy training, and annual privacy training, thereafter, is completed by contractor employees who—

(1) Have access to a system of records;

(2) Create, collect, use, process, store, maintain, disseminate, disclose, dispose, or otherwise handle personally identifiable information on behalf of an agency; or

(3) Design, develop, maintain, or operate a system of records (see also FAR subpart 24.1 and 39.105).

(c) The contracting agency will provide initial privacy training, and annual privacy training thereafter, to Contractor employees for the duration of this contract. Contractor employees shall satisfy this requirement by completing Privacy at DHS: Protecting Personal Information accessible at <http://www.dhs.gov/dhs-security-and-training-requirements-contractors>. Training shall be completed within 30 days of contract award and be completed on an annual basis thereafter not later than October 31st of each year.

(d) The Contractor shall maintain and, upon request, provide documentation of completion of privacy training to the Contracting Officer.

(e) The Contractor shall not allow any employee access to a system of records, or permit any employee to create, collect, use, process, store, maintain, disseminate, disclose, dispose or otherwise

handle personally identifiable information, or to design, develop, maintain, or operate a system of records unless the employee has completed privacy training, as required by this clause.

(f) The substance of this clause, including this paragraph (f), shall be included in all subcontracts under this contract, when subcontractor employees will—

- (1) Have access to a system of records;
- (2) Create, collect, use, process, store, maintain, disseminate, disclose, dispose, or otherwise handle personally identifiable information; or
- (3) Design, develop, maintain, or operate a system of records.

(End of clause)

## 16.0 BPA Order Administration

The Contracting Officer (CO) for this BPA Order is identified below:

Name:	
Agency:	Office of Procurement Operations (OPO) Department of Homeland Security (DHS)
Voice:	
Email:	

The Contracting Specialist (CS) for this BPA Order is identified below:

Name:	
Agency:	Office of Procurement Operations (OPO) Department of Homeland Security (DHS)
Voice:	
Email:	

The Contracting Officer's Representative (COR) for this BPA Order is identified below:

Name:	
Agency:	Office of the Chief Financial Officer (OCFO) Department of Homeland Security (DHS)
Voice:	
Email:	