

# **FEDERALLY FUNDED RESEARCH AND DEVELOPMENT (FFRDC) TECHNICAL EXECUTION PLAN (TEP)**

**U.S. Department of Homeland Security**

**Title: Getting to Outcomes (GTO) and Evaluability Assessments  
in DHS**

**Component/Office: Management Directorate  
Directorate/Division: Division of Program Assessment and Evaluation (PA&E)  
FFRDC: Homeland Security Operational Analysis Center (HSOAC)**

**Version: 2.0**

**Date: January 30, 2025**

## **1. Challenge**

Per the requirements of the *Foundations for Evidence-Based Policymaking Act of 2018* (P.L. 115-435, Jan. 14, 2019) (The Evidence Act), the Department of Homeland Security (DHS) issues, publishes, and provides updates on its annual evaluation plans that, among other things, include “a list of methods and analytical approaches that may be used to develop evidence to support policymaking”.<sup>1</sup>

In 2021, at the request of DHS, the Homeland Security Operational Analysis Center (HSOAC) conducted the department’s FY21 Capacity Assessment. HSOAC found that there appears to be no shared understanding across the department relating to research, evaluation, analysis, and statistical activities, as defined for purposes of the FY21 Capacity Assessment. Some individuals within each Component have expertise in particular types of evidence-building, but, in general, Components and Headquarters lack common terminology and a shared set of concepts relating to evidence-building and use, especially program evaluation.

The solution to these barriers to evidence-building will be multifaceted, but one element is developing common processes for planning program evaluation, given its central role in evidence-building. Such a solution is timely given that beginning in FY2023 OMB levied new requirements on DHS for planning evaluations of financial assistance programs. In addition,

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<sup>1</sup> P.L. 115-435 §101(c) (Jan. 14, 2019), codified at 5 U.S.C. §306(a)(9)

Congress maintained its requirements that certain DHS pilot/demonstration programs establish measurement and evaluation plans before funds are obligated for program activities. Furthermore, OMB's most recent implementing guidance<sup>2</sup> for the GPRA Modernization Act requires that the Department's annual strategic reviews now use program evaluation to support the assessment of progress toward achieving the Department's strategic goals and objectives and identify where new program evaluations are needed to build evidence for program management. Program evaluations identified to address this myriad of OMB and Congressional requirements are to be reflected in the DHS annual evaluation plans, addressed in resource requests, implemented, and findings used to support program learning and improvement.

## 2. Outcome(s)

To identify appropriate program evaluation methods and analytical approaches, DHS seeks to support three forms of capacity building for program evaluation:

- (1) **Getting to Outcomes® (GTO)**, a guided process that supports stakeholders in planning, implementing and evaluating a program<sup>3</sup>, and
- (2) **Evaluability Assessment**, a process that identifies, for a specific program or policy, whether program evaluation is justified, feasible, and likely to produce useful information.<sup>4</sup>
- (3) **Strategic Logic Modeling and Monitoring & Evaluation Framework Development**, key analytic tools that assist the development and enhancement of performance and evaluation measures where strategic priorities have already been outlined in mission-specific plans or Department-wide plans required under Executive Orders

From 2022 to 2024, the DHS Evaluation Officer in PA&E identified and implemented through a Task Order to HSOAC RAND Corps' Getting to Outcomes® (GTO) for programs in design stages and Evaluability Assessments for programs already implementing that provide objective, analytic services to inform new/developing and mature DHS programs' evaluation planning. Given the expanding OMB and Congressional requirements for program evaluation, the need for these analytic services has expanded to other programs in FY 2025 and beyond,, along with expanded need for analytic support to assist the development and enhancement of

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<sup>2</sup>Office of Management and Budget (OMB), Circular A-11 Part 5 Section 260, As of March 14, 2023:  
<https://www.whitehouse.gov/wp-content/uploads/2018/06/s260.pdf>

<sup>3</sup> RAND Corporation, "Getting to Outcomes: Improving Community-Based Prevention," As of December 22, 2022:  
<https://www.rand.org/health-care/projects/getting-to-outcomes.html>

<sup>4</sup> Kaufman-Levy, D. and Poulin, M. (2003). Evaluability Assessment: Examining the Readiness of a Program for Evaluation. Washington, D.C.: Juvenile Justice Evaluation Center. Last accessed December 14, 2021 at:  
<https://www.jrsa.org/pubs/juv-justice/evaluability-assessment.pdf>

performance measures where strategic priorities have already been outlined in mission-specific plans or Department-wide plans required under Executive Orders.

DHS seeks economies of scale, by establishing a PA&E-funded task order that provides objective, analytic services that enable program evaluation planning for up to eleven (11) programs rather than each program establishing its own task order with HSOAC. Professional evaluators will work with program staff to lay a basic foundation for evaluation, enabling up to eleven (11) additional programs to meet requirements to appropriately plan and later implement rigorous program evaluations that support evidence-informed program management.

### 3. Background

The DHS Evaluation Officer in PA&E is required to ensure that the Department of Homeland Security (DHS) assesses and build capacity of its staff on how to plan for, manage, and use independent and credible program evaluation and evidence across the enterprise.

Program evaluation is a resource-intensive activity that can provide a great deal of information about how well a program is operating and achieving the desired results. In order for evaluation to be carried out successfully, a program must be ready for evaluation. Unfortunately, it is not uncommon to discover *after* an evaluation is already underway that the program is not ready for it. Perhaps there is no formal design or logic model in place, without which a program cannot be effectively evaluated. Or maybe implementation varies greatly from the program design or model, making it impossible to attribute results to the program. Perhaps the program lacks measures and data systems that are needed to determine results (e.g., quantifiable changes in outcomes). Or maybe the program (or its parent organization) does not have sufficient staff, resources, or commitment to conduct and learn from evaluation. Determining whether a program is ready for evaluation *before* beginning one can help ensure evaluation resources are used efficiently and appropriately and the evaluation provides useful information.

Two ways of determining a program's readiness are to work with professional program evaluators when planning new programs to ensure evaluability is built into the design and implementation, or for evaluators to objectively assess the evaluability of mature programs. Both strategies require formal processes that can take several weeks to a few months to complete. They are most successful when conducted by independent professional evaluators, though they require substantial engagement of the program office. Both strategies use a variety of social science methods such as archival program document and file review, informant interviews/focus groups, observations, and data systems review to gather, analyze, and draw conclusions that inform the selection of appropriate evaluation approaches, designs, and methods and establish/course correct program design and implementation that ensures readiness for evaluation.

Over the last two fiscal years, an increasing number of groups have requested assistance for the development and enhancement of performance and evaluation measures where strategic priorities have already been outlined in mission-specific plans or Department-wide plans required under Executive Orders. In these cases, needs for strategic logic modeling and monitoring & evaluation framework development, are shorter fuse and more limited in scope than the full Getting to Outcomes and Evaluability Assessments processes.

#### **4. Task Objective(s)**

The purpose for this effort is to provide objective, analytic services and evidence-building products for up to eleven (11) separate programs using one of the aforementioned approaches (GTO, Evaluability Assessment, or Strategic Logic Modeling and Monitoring & Evaluation Framework Development). These approaches are well-suited to developing the type of evidence necessary to support DHS component decisions about assessment of programs and policies and have been used in other federal agencies. Successful execution of this task will also help build capacity for evaluation and improve readiness of DHS programs for a future, FY25 or FY26 evaluation.

#### **5. Technical Approach / Analytic Methodology**

##### **5.1 Identify DHS programs from across DHS Components to participate.**

HSOAC will select up to eleven (11) DHS programs to participate in the effort, in coordination with PA&E, DHS Component Evaluation Officers, and DHS Component leadership and staff.<sup>5</sup> In so doing, HSOAC and PA&E will seek to identify which of the evidence-building products is most appropriate, given programs' evaluation needs. As part of the selection process, PA&E and HSOAC will hold discussions with component staff to gauge their current capacity for the activities and to ensure they fully understand what would be involved in participation. Throughout the project HSOAC will, in consultation with PA&E and participating programs, make adjustments to the approaches, as needed, to address any problems or barriers that arise.

##### **5.2 Provide Getting to Outcomes (GTO) technical support to program staff to plan, implement, and evaluate a new or changing program.**

Each program will receive support to complete the first six steps of the 10-step GTO process (i.e., assessing needs, setting goals, choosing an evidence-informed program, planning for implementation, and developing a plan for conducting a process and outcome evaluation). HSOAC will provide each site with customized GTO technical assistance as they develop an

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<sup>5</sup> If fewer than 11 programs are identified, additional resources will be invested in planning for each program and will produce more comprehensive reports and evaluation plans than would be possible with a full slate of 11.



evaluation plan for a program or policy, with the goal that site staff begin to take more of a leading role in the GTO process by the end of the pilot.

**5.2.1. Introduce GTO to selected sites.** HSOAC will explain the GTO process to selected sites on how to use GTO to select, implement, and evaluate a new/emerging program. To begin the process, HSOAC will hold a virtual, up to one day one-day kick-off of the GTO process that prepares sites for GTO steps (1) site-specific needs and resources assessment, (2) setting goals and desired outcomes, (3) identifying evidence-based or best practice programs through literature scans, (4) assessing program fit, (5) assessing site readiness or capacity, and (6) detailed planning for process and outcome evaluation.

**5.2.2 Provide technical assistance.** HSOAC will provide technical assistance in the form of bi-weekly conference call meetings, for up to 6 months, with the staff members who will be implementing and evaluating the program. During these calls, HSOAC will review GTO tools that the sites complete, provide feedback on those tools, and help the sites complete the activities prescribed by the GTO approach (e.g., engaging leadership and stakeholders, finding or developing appropriate outcome measures, preparing an evaluation plan). At the end of the technical assistance period, the team will have an implementation plan and evaluation plan for a process and outcome evaluation of the program.

**5.2.3** HSOAC will produce up to 5 concise, user-friendly **summary reports** of each GTO site's processes and evaluation plan.

**5.3 Conduct evaluability assessments with established programs to determine whether the program is ready for a rigorous evaluation.**

HSOAC researchers will:

**5.3.1** In collaboration with Component program staff and stakeholders, **develop a logic model** of the program's resources, activities, outputs, and short- and long-term goals. Inputs for the model may include Component-provided written information pertaining to the program, literature scans, and interviews with program staff with expertise in the program and knowledge of stakeholder perspectives. HSOAC will meet with site-identified key stakeholders to (1) develop a draft logic model, and (2) revise and finalize the logic model. HSOAC researchers will seek consensus with program staff before finalizing the logic model.

**5.3.2. Determine program capacity to access or generate evaluation data, manage and analyze evaluation data, and interpret evaluation results.** HSOAC researchers will conduct interviews or focus groups with program staff and support personnel and review program measures and data systems to complete this task.

**5.3.3 Assess whether program short- and long-term goals are realistic and amenable to evaluation.**

5.3.4 Develop an **evaluation design for a process and/or outcome evaluation** of the program given its current level of readiness and **describe any limitations that prevent meaningful evaluation** and recommendations for how to address these limitations.

5.3.5 HSOAC will produce up to eleven (11) concise, user-friendly **summary reports** of each evaluability assessment site's processes and evaluation plan.

#### 5.4 Conduct Strategic Logic Modeling and Monitoring & Evaluation Frameworks Development

HSOAC researchers will:

5.4.1 In collaboration with Component program staff and stakeholders, **develop a logic model** of the strategic plan's resources, activities, outputs, and short- and long-term goals. Inputs for the model may include Component-provided written information pertaining to the program (e.g., strategic plans) and limited meetings with Component staff. HSOAC will meet with key stakeholders to (1) develop a draft logic model, and (2) revise and finalize the logic model. HSOAC researchers will seek consensus with staff before finalizing the logic model.

5.4.2 **Provide technical assistance.** Provide technical assistance in the form of weekly conference call meetings, for up to 3 months, with the staff members who will be monitoring and evaluating the strategic plan to find or develop appropriate implementation and outcome measures for monitoring and evaluation.

### 6. Key Words

#### Type of Work

Program evaluation, Getting to Outcomes, evaluability assessment

#### Benefit of Work

Improve DHS's access to systematic evaluation planning approaches; Improve capacity to develop evidence

#### Subject of Interest

Evidence, Evaluation, Evaluability

### 7. Focus Area and Mission Alignment

Table 1 below aligns the percent of the total projected staff years of technical effort (STE) allocations to the IDIQ focus areas and DHS Quadrennial Homeland Security Review (QHSR) missions.

FFRDC proposed total STE: 2.47

DHS Management Directive 143-04, "Establishing or Contracting with FFRDCs and National Laboratories" defines a STE as 1,810 hours of paid effort for technical services.

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**Table 1: Focus Areas to the QHSR Mission Areas Relationship Matrix**

*At the intersection of the appropriate Focus Area row and QHSR Mission column, enter a percentage of the total STE.*

HSOAC Focus Areas	Mission 1: Prevent Terrorism and Enhance Security	Mission 2: Secure and Manage Our Borders	Mission 3: Enforce and Administer Our Immigration Laws	Mission 4: Safeguard and Secure Cyberspace	Mission 5: Strengthen National Preparedness and Resilience	Mission 6: Maturing and Strengthening Homeland Security
1: Acquisition Studies	0%	0%	0%	0%	0%	0%
2: Preparedness, Response, and Recovery	0%	0%	0%	0%	0%	0%
3: Innovation and Technology Acceleration	0%	0%	0%	0%	0%	0%
4: Homeland Security Threat and Opportunity Studies	0%	0%	0%	0%	0%	0%
5: Personnel Policy and Management Studies	0%	0%	0%	0%	0%	0%
6: Operational Studies	0%	0%	0%	0%	0%	100%
7: Organizational Studies	0%	0%	0%	0%	0%	0%
8: Regulatory, Doctrine, and Policy Studies	0%	0%	0%	0%	0%	0%
9: Research and Development Studies	0%	0%	0%	0%	0%	0%

## 8. Deliverables and Schedule

The FFRDC shall provide the following deliverables (predicated in calendar days) according to Table 2 below, and the most current Project Management Plan (PMP), as approved by the Project Manager and DHS Contracting Officer or COR. Memos will be delivered to the DHS component team for the initiative or program and to the sponsor, PA&E.

**Table 2: Deliverables**

Scope Ref.	Deliverable Name	Delivery Date
All	Project Management Plan (PMP) (Draft)	Within 30 days after award

All	Project Management Plan (PMP) (Final)	Within 30 days after award
All	Task Order Project Kickoff Briefing	Within 30 days of project award
5.1	Components and programs selected, with leadership and program support for participation	Within 3 months of award
5.1	Applications to all applicable regulatory oversight boards submitted for evaluability assessment data collection, e.g., RAND HSPC, DHS CAPO, OMB (if needed)	Within six weeks of site selection
5.2, 5.3, 5.4	Up to eleven (11) draft memos for evaluability assessments, GTO processes and outcomes, and logic model/M&E Frameworks	10 months after award (pending sufficient time for receipt of regulatory approvals)
5.2, 5.3, 5.4	Final memos delivered to sponsor	12 months after award (pending sufficient time for receipt of regulatory approvals)

The FFRDC shall provide all deliverables under this task order directly to the S&T FFRDC PMO [REDACTED] the Task Order PM, TPOC, and Task Order COR. An unclassified abstract, 100 to 200 words in length, and at least five keywords, or a completed Standard Form 298, "Report Documentation Page," shall accompany each deliverable as indicated in Table 2. deliverable. Note that the Report Documentation Page will identify the approved release distribution level (e.g., distribution is unlimited; distribution authorized to US Government agencies only; etc.).

The FFRDC shall deliver a monthly status report by the 15<sup>th</sup> for HSOAC of the following month containing metrics pertaining to financial, schedule, technical progress, deliverable status, and risk information related to the task. The FFRDC task lead and the task order COR as needed will discuss relevant issues in evaluating the task priorities for the next period; and update the program plan as necessary.

## 9. Travel

Travel may be necessary to meet and coordinate interagency exchanges of information and to collect data for this task. The FFRDC shall provide trip reports, if requested, to the task order COR for all non-local travel within 30 days of completion of travel.

### Long Distance Travel



From	To	No. of Trips	No. of Days per Trip
Pittsburgh, PA	Washington, D.C.	2	2
San Luis Obsipo, CA	Washington, D.C.	2	3

- Total Number of Trips (All Travelers): 4
- Total Number of Travel Days (All Travelers): 10

The task order COR must approve all foreign travel. Foreign travel must be approved at least 30 days (for unclassified visits) or 45 days (for classified visits) in advance of the planned travel event.

Travel, including local non-commuting travel, shall be reimbursed in accordance with the Federal Travel Regulation. Daily commuting costs shall not be reimbursed. Long-distance travel not specified in this Task Order must be pre-approved by the Task Order CO or COR.

## 10. Period of Performance

The period of performance is twelve months from date of task order award. Preferably from 30 September 2024 through 30 September 2025.

*Note: The HSOAC IDIQ contract limits task order end dates to 3/23/2028. Also, options and add-ons cannot be executed on the current IDIQ contract on pre-existing task orders after the IDIQ ordering end date, 3/23/2027.*

## 11. Security Requirements.

This Task Order will require access to the following information

- ☒ 1. Unclassified, no markings
- ☒ 2. Sensitive but Unclassified (SBU), For Official Use Only (FOUO)
- ☒ 3. Personally Identifiable Information (PII)
- ☒ 4. Homeland Security Enforcement Information

<< GOVERNMENT PM DELETE NON-APPLICABLE SUB-SECTIONS BELOW - doing this streamlines Appendix G submissions. >>

**11.1 Security requirement #2 (SBU, FOUO) –** All unclassified “For Official Use Only” (FOUO) work is expected to occur at the “medium” level per the National Institute of Standards and Technology (NIST) 800-60 (Federal Information Processing Standard (FIPS) Security Categorization) and the Federal Information Security Management Act (FISMA). Any work at the “high” FOUO level per the FISMA, or any work at the classified level, shall be

performed on a stand-alone computer system accredited in accordance with the FISMA and applicable DHS policies.

- 11.2** Security requirement # 5 (PCII) – The FFRDC shall comply with all requirements of the Protected Critical Infrastructure Information (PCII) Program set out in the PCII Act, in the implementing regulations published in the Interim Rule, and in the PCII Procedures Manual as they may be amended from time to time, and shall safeguard PCII in accordance with the procedures contained therein.
- 11.3** Security requirement # 5 (PCII) – The FFRDC shall ensure that each of its employees, consultants, and subcontractors who work on the PCII Program have executed non-disclosure agreements (NDAs) in a form prescribed by the PCII Program Manager. The FFRDC shall ensure that each of its employees, consultants and subcontractors has executed a NDA and agrees that none of its employees, consultants or sub-contractors shall be given access to PCII without having previously executed a NDA.
- 11.4** Security requirement # 2 (SBU, FOUO) – The FFRDC shall adhere to all applicable government laws, regulations, orders, guides, and directives pertaining to classified, Sensitive But Unclassified (SBU), FOUO, or personally identifiable information. The contractor shall safeguard SBU, FOUO information specifically in accordance with DHS Management Directive 11042.1 and in compliance with HSAR Class Deviation 15-01 Safeguarding of Sensitive Information.
- 11.5** The contractor shall use government accredited IT systems to accomplish this work, when applicable. Sensitive work is generally stored and processed within the HSOAC IT Enclave, or as otherwise noted in the Authorized IT Environment(s) and Data Overview (AIEDO). If classified work is required under this Task Order, the Task Order COR shall provide specific guidance to the FFRDC as to which work will be conducted in a classified manner and at which classification level. Classified information shall be stored and/or processed at the locations identified below under “Safeguarding/Storage” and as identified in the IDIQ DD 254 or subsequently issued task order DD 254. If such DHS-guidance conflicts with other applicable guidelines (e.g., DOE, DOD, etc.), the FFRDC shall adhere to the more stringent guidelines as determined by the Task Order COR and DHS FFRDC PMO. The FFRDC shall also adhere to other applicable government orders, guides, and directives pertaining to classified or confidential work.

#### **11.6 Authorized IT Environments**

The FFRDC team will use their FFRDC corporate IT environment for FFRDC contracts management and administrative support for activities including:

- Time reporting
- Financial management
- Contract management
- Monthly status reports

- Non-DHS Sensitive project work

Sensitive FFRDC work described in the TEP will be performed in IT environment(s) authorized by DHS. These may include, a) FFRDC IT Enclave (following ATO by DHS), b) DHS infrastructure (e.g., LAN-A), and/or c) other authorized environment(s)(e.g., classified networks).

#### **11.7 DHS Furnished Information**

- a) DHS will provide unique information, materials, and forms to the Contractor as specified under this task order. Such DHS provided information, materials, and forms shall remain the property of DHS, unless otherwise indicated in writing by DHS, and may not be distributed beyond the FFRDC's project performers without DHS's prior written permission.
- b) The DHS COR identified in this task order will be the point of contact (POC) for identifying required information to be supplied by DHS.

#### **11.8 FFRDC Furnished Information**

For this task, the HSOAC will be using on the RAND-developed **Getting to Outcomes® (GTO)** approach and will provide materials explain the process and steps in its implementation.

#### **11.9 Privacy Compliance Requirements**

The Government Program Manager will coordinate with the appropriate DHS component's Privacy Office (i.e., CBP, USCIS, S&T, etc.) to determine if a Privacy Threshold Analysis (PTA) is required prior to the start of performance. In those instances, the performer shall support the development of compliance related documentation and meet privacy requirements. Please have your privacy office reach out to S&T Privacy to see what documentation is available.

#### **12. Safeguarding/Storage:**

- a. No safeguarding/storage needed at the FFRDC.

#### **13. Other Contract Details**

*In accordance with the language in the FFRDC contract, the following sections are repeated here for awareness and should not be changed. If they are changed, the language in the IDIQ takes precedence.*

##### **13.1 FFRDC Personnel**

Personnel provided by the FFRDC will have the skills and technical background necessary to successfully complete the tasks described in this plan. The FFRDC shall implement and manage the technical approach, organizational resources, management, and quality

controls to be employed to meet the cost, performance and schedule requirements throughout task order execution.

### **13.2 Food and Drink.**

The FFRDC shall not charge any expense for food, snacks, or drink as part of holding task related meetings, conferences, or gatherings; however, this prohibition does not prevent the contractor from charging meals and incidental expenses as part of authorized travel expenses.

### **13.3 Meetings and Workshops**

All necessary conference approvals should take place prior to the FFRDC's attendance at any conference in support of the sponsoring component. The component user should follow the conference approval process per the guidance set-forth under DHS Financial Management Policy Manual (FMPM Section 7.10) and any component-specific policies and procedures and provide a copy approval(s) to the FFRDC.

The FFRDC may interview and conduct workshops of recognized subject-matter experts, including non-federal experts, to gather the expert's individual knowledge and experience regarding the current state of the art of the technical issues relating to this task, and to foster the building of a long-term collaboration between the individual subject matter experts and the FFRDC on the issues relating to the experts' areas of expertise. The workshops or other interaction with non-Federal experts will be for the purpose of collecting the views of the individual experts, not to result in a consensus of those experts. The FFRDC shall produce an objective assessment on the technical merits of the data and/or experts' views espoused in these meetings; and include an evaluation of the strengths and weaknesses of the various discussion points provided by individuals.

The FFRDC may organize meetings/workshops related to the task with federal officials on behalf of the user; however, federal government personnel will approve the agenda and will chair any federal intra-agency/inter-agency meetings. The FFRDC shall produce an objective assessment on the technical merits of individual and any consensus findings and recommendations discussed in these meetings; and include an evaluation of their strengths and weaknesses of the various discussion points.

### **13.4 Inherently Governmental Functions**

As defined under FAR subpart 7.503 (d) and additionally as described in the Office of Federal Procurement Policy (OFPP) Letter 11- 0 I, Performance of Inherently Governmental and Critical Functions (76 Fed Reg 56227), the FFRDC may perform certain



closely associated with inherently Governmental functions. However, in accordance with Federal Acquisition Regulation (FAR) 7.503(c)(20) and Homeland Security Acquisition Manual 3037.103(e), the FFRDC shall not draft Congressional testimony, responses to Congressional correspondence, or agency responses to audit reports from the Inspector General, the Government Accountability Office, or other Federal audit entity. Furthermore, in accordance with FAR 7.503(c)(12)(ii), FFRDC employees, subcontractors, and/or consultants will not be voting members on any DHS source selections. When applicable, FAR clause 52.203-16, "Preventing Personal Conflicts of Interest," as included in the IDIQ contract, will apply to this Task Order.

### **13.5 Out of Scope Work**

The following types of work are out of scope for the FFRDC to perform. More specific types of work that are out of scope are found in the relevant IDIQ contract:

- Performance of any services and functions as defined under FAR Subpart 7.5 - "Inherently Governmental Functions," specifically subparts 7.503 (a), (b) and (c).
- Performance of any Systems Engineering and Technical Assistance (SETA) type work, particularly where such work is directly for staff augmentation and of a general support nature where the specific type and quantity of deliverables are undefined.
- Preparation of any Independent Government Cost Estimates (IGCEs).
- Participation in any Source Selection Evaluation or any other membership body where voting and/or ranking of proposals will lead to a subsequent monetary or contract award. The FFRDC may provide independent technical evaluation of proposals in support to a Source Selection Evaluation body but may not provide any ranking, voting or other assigned ordering or selection criteria other than commenting on the technical merit of a particular proposal or proposal section(s). Use of the FFRDC in evaluating an offeror's proposal MUST BE DISCLOSED IN THE SOLICITATION OF PROPOSALS and the offeror(s) given the opportunity to affect non-disclosure agreements and/or withdraw their offer(s), otherwise the FFRDC may not participate.
- Delivering recurring compliance training to DHS employees, particularly that which could reasonably be considered staff augmentation services, is not allowed. Training associated with the transfer of skills from the FFRDC to DHS is acceptable, as long as such training is non-recurring (i.e. train the trainer) and is not intended to be part of a formal established training program. Waivers to this may be requested from the FFRDC COR. Seminars, workshops, and short-courses intended to extend the access and awareness of FFRDC research, research methods, and data sets to practitioners

across the Homeland Security Enterprise to assist them in improving mission effectiveness and efficiency is permissible.

- Software and/or hardware development or other manufacturing unless such development is associated with a prototype demonstration or other proof of concept system and not intended to be a permanent solution or in response to formal requirements.

### 13.6 Compliance with OMB Requirements

HSOAC will minimize response burden for stakeholders engaged. If engagement with members of the public (e.g., non-Federal implementing partners, program participants, and others) the engagement should be with fewer than 9 people (per project) or if 10 or more stakeholders, is HSOAC will assist DHS in securing any OMB Paperwork Reduction Act Information Collection Request clearances required. HSOAC will develop Information Collection Request draft package(s) for clearance that meet the requirements of PRA and DHS. The nature of the evaluability assessment should allow for use of the Fast Track process against DHS Generic Clearance. Any sampling strategies and/or respondent selection criteria used by the HSOAC will be determined by sound methodology. HSOAC will develop and revise any interview/focus group protocols required to conduct the evaluability assessment in accordance with DHS' approach.

### 14. Publications and Communications Concerning Work Performed

*In accordance with the language in the FFRDC contract, the following statement is repeated here for awareness and should not be changed. If it is changed, the language in the IDIQ takes precedence.*

The FFRDC shall mark all technical data or computer software pursuant to the terms of the IDIQ Contract. This will include, for copyrighted works, an appropriate notice acknowledging DHS's sponsorship of the work, license rights, and the appropriate copyright notice as detailed in the IDIQ Contract.

The DHS desires widespread dissemination of the results of funded non-sensitive research and does not seek to undermine the independence or objectivity of the FFRDC or FFRDC operator in anyway. The FFRDC therefore will generally seek public release approval for the results of non-sensitive research. Thirty (30) days prior to release, the FFRDC will first ask for the task order COR's and CO's agreement that the research product is suitable for release. The FFRDC contract governs the scope of the review. Specifically, this review is strictly a mechanism by which the Department identifies the inclusion of Sensitive Information, as defined in the IDIQ contract, Section I.13(a). The review does not include a determination of the FFRDC's analytical conclusions, final findings, or analytical outcomes.

- Are you interested in releasing information publicly from this research?

Not at this time. The memos for each participating program will contain internally-relevant, program-specific assessments and evaluation plans. While critical for evaluation planning within DHS, they are unlikely to be of interest outside of the sponsor and the program for which they are developed.

- If you don't want to release the results, is the FFRDC able to release info about the methodology to the other components or the public?

To increase the value of this analysis to the sponsor and DHS, the sponsor may be interested in broad sharing of methodologies developed in this task. Sharing descriptions of methodologies will allow DHS and its research and analysis partners to extend and further utilize the methods developed in this task in the future. Such descriptions should not reveal DHS Sensitive Data, should not describe the results of DHS or FFRDC assessments of DHS programs or operations, and should not state DHS policy positions. Examples of mechanisms for sharing descriptions of methodologies include but are not limited to HSOAC publications, peer-reviewed journal articles, academic conference presentations, and industry events. Summaries from literature scans conducted in the course of GTO and Evaluability Assessments may have broader relevance to DHS and other federal communities and could be internally or externally disseminated through DHS and HSOAC websites.

- What is the desired audience for the release of info? Component only/all of DHS/public release?

The DHS programs for which the evaluation plans are developed and the project sponsor.

- Do you want an outreach event as part of the release?  
*No.*
- Would you be interested in having the PMO assist with the release of favorable results?  
*No.*

#### **15. DHS Furnished Facilities, Supplies and Services (<<Completed by User>>)**

If work at DHS PA&E is necessary for the services being performed under this Task Order, such facilities will be provided at offices at the appropriate location. Parking facilities are not provided. Basic facilities such as work space and associated operating requirements (e.g., phones, desks, utilities, desktop computers, and consumable and general purpose office supplies) will be provided to FFRDC personnel.

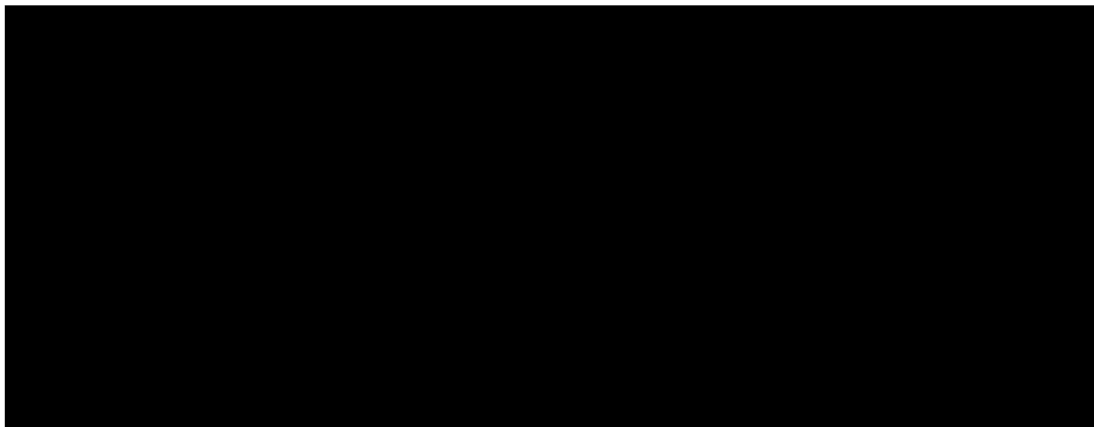
DHS Furnished Property – a quarterly report of all S&T property should be submitted to the COR | FFRDC of all of the equipment purchased on behalf of the Government, and Government Furnished equipment being utilized by either FFRDC.

Subsequently a yearly report of all Government Furnished Equipment shall be provided to the COR | FFRDC. The COR | FFRDC will need a property form filled out for all S&T Contractor Acquired Equipment /Property or purchases on behalf of the Government for insertion into the S&T property management system (SAMS). This insertion will need to include the property form filled out in its entirety, paid invoice(s) showing the property purchase and a picture of the current state of that property.

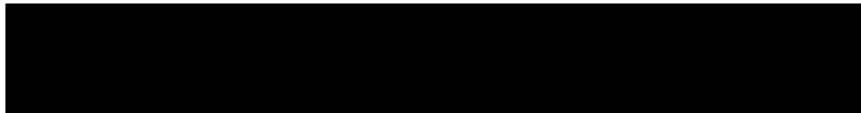
- a) Additional DHS property will not be provided to the FFRDC unless otherwise agreed. If DHS property is provided to the FFRDC for task performance, the FFRDC shall maintain property records, sending a yearly report of all items currently attached to the task order to the COR|FFRDC and the Program Manager and a disposition of the property must be completed at the end of the period of performance.
- b) Before purchasing any individual item equal to or exceeding \$5,000 that is required to support technical tasks performed pursuant to this Task Order, that has not already been accepted by the Government with the issuance of the Task Order, the FFRDC shall obtain prior written consent from the Program Manager, DHS IDIQ Contracting Officer, and DHS IDIQ COR. The FFRDC shall maintain any such items according to the IDIQ Contract's property accountability procedures, and FAR Part 45.
- c) All DHS/GFP/GFE (IT equipment, building passes etc.) must be returned at the conclusion of the task order in accordance with component's procedures.
- d) If any GFP/GFE is not returned, a report of survey must be submitted to the COR and Project Manager, referencing the DHS equipment number, pass or card number, name of individual to whom equipment was issued, and the last known location of property. Contractors who lose a badge will be required to fill out an additional lost badge form.

## **16. Invoices**

The Contractor shall submit the invoice electronically to the address below:







HSOAC invoices shall generally be submitted on the 20<sup>th</sup> of each month.

**17. Points of Contact**

Government POCs	Corresponding FFRDC POCs
A large black rectangular redaction box covering the entire body of the table.	

