

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

U.S. Department of Homeland Security

Title: ICE Enterprise Position Management Analysis and Planning

Component/Office: ICE

Directorate: Management and Administration

FFRDC: Homeland Security Operational Analysis Center (HSOAC)

Version: 1.0

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1. Challenge

The U.S. Department of Homeland Security (DHS), U.S. Immigration and Customs Enforcement (ICE) has a need to transform the agency's enterprise services through a phased approach that streamlines ICE operations, improves efficiency and effectiveness of customer service delivery, standardizes ICE processes and procedures, improves access to data to provides a common operating picture, integrates and implements supporting technology solutions, and maximizes use of its personnel resources to avoid duplication of effort. ICE's Management and Administration Directorate (M&A) seeks research and analysis support from HSOAC to address enterprise services challenges related to organizational, workforce, management, and operational support objectives.

2. Outcome(s)

The outcome of this task order study will enable ICE to improve its organizational, workforce, management, and operational support structures, processes, and procedures. The study will: (1) support the creation a new program management office with the goals of facilitating the agency's enterprise services transformation; (2) analyze and assess the agency's processes, procedures, and information technologies related to position management¹ and talent

¹ We define "position management" to mean: "The process that ensures ICE Program Offices are staffed with appropriate levels of employees essential for the effective accomplishment of its mission, while observing the

acquisition²; and (3) develop a blueprint for the agency to achieve more efficient and effective processes that meet ICE's unique mission and operational requirements.

3. Background

ICE was established in 2002 through a merger of the investigative and interior enforcement elements of the former U.S. Customs Service and the Immigration and Naturalization Service. With more than 20,000 law enforcement and support personnel in more than 400 offices across the United States and around the world, and an annual budget of approximately \$8 billion, ICE enforces our nation's customs, trade, and immigration laws. ICE continues to mature organizationally to realize its vision "to be a premier law enforcement agency, with a highly versatile and diverse workforce, that safeguards our nation, communities, lawful immigration, trade, travel and financial systems." In furtherance of these efforts and the DHS Future of Work framework, ICE seeks to transform its Enterprise Services operations to meet mission requirements more effectively and efficiently.

ICE carries out its mission through three operational directorates—Enforcement and Removal Operations (ERO), Homeland Security Investigations (HSI), and the Office of the Principal Legal Advisor (OPLA). A fourth directorate—M&A—supports the three operational branches to advance the ICE mission. The Office of Professional Responsibility (OPR) is responsible for upholding the agency's professional standards.

Enforcement and Removal Operations (ERO) enforces our Nation's immigration laws by identifying, arresting, detaining, and removing criminal noncitizens and those subject to removal. To ensure the national security and public safety of the United States, ICE law enforcement officers take enforcement actions against individuals present in the United States in violation of immigration law.

Homeland Security Investigations (HSI) conducts criminal investigations to protect the United States against terrorists and other transnational criminal organizations (TCOs) through criminal and civil enforcement of Federal laws governing border control, customs, trade, and immigration. HSI has broad legal authority to conduct Federal criminal investigations into the illegal cross-border movement of people, goods, money, technology, and other contraband into, out of, and throughout the United States. HSI uses these authorities to investigate a wide array of transnational crime and violations of customs and immigration laws, including money laundering; financial fraud and scams; cybercrime; intellectual property theft and trade fraud;

limitations and controls established by the President, the Congress, and the Office of Management and Budget (OMB) which apply to the levels of Payroll, Positions and Full-Time Equivalent (FTE) work years as authorized through the appropriation process and aligned with the ICE budget." See ICE Position Management Level Policy, Ch. 6, p. 13, August 5, 2020.

² Talent acquisition includes the full spectrum of processes and procedures related to position descriptions, recruitment, outreach, selection, hiring, and onboarding.

narcotics smuggling; transnational gang activity; child exploitation; human smuggling and human trafficking; illegal exports of controlled technology and weapons; identity and benefit fraud; human rights violations and war crimes; and terrorism and national security threats.

Office of the Principal Legal Advisor (OPLA) is the largest legal component within DHS working in 83 locations throughout the United States and at ICE Headquarters. OPLA serves as the exclusive representative of DHS in immigration removal proceedings before the Executive Office for Immigration Review (EOIR), litigating all removal cases including those against criminal noncitizens, terrorists, and human rights abusers. OPLA also provides a full range of legal services to ICE programs and offices, including legal advice and prudential counsel to ICE personnel on their customs, criminal, and immigration law enforcement authorities, the Freedom of Information Act and Privacy Act, ethics, liability under the Federal Tort Claims Act, and a range of administrative law issues, such as contract, fiscal, and employment law. OPLA attorneys provide essential support to the Department of Justice in the prosecution of ICE cases and in the defense of ICE's authorities in federal court.

Office of Professional Responsibility (OPR): OPR is responsible for upholding ICE's professional standards through a multi-disciplinary approach of security, inspections, and investigations. OPR is responsible for ICE's entire security portfolio, conducting independent reviews of ICE programs and operations, impartially investigating allegations of criminal and/or serious misconduct and other wrongdoing impacting ICE personnel and operations, as well as internal and external threats. OPR contributes to the larger ICE mission of promoting homeland security and public safety by safeguarding organizational integrity.

Management and Administration (M&A): M&A governs all administrative and managerial lines of business and components to strategically address the administrative challenges faced in today's law enforcement environment, while keeping pace with the dynamic growth in other ICE programs to most effectively meet ICE mission requirements, address customer needs and ensure sound stewardship of ICE resources in accordance with all legal, regulatory and policy requirements. M&A is responsible for providing a solid, integrated information technology (IT) infrastructure and mission responsive IT solutions; a dynamic human capital program with comprehensive human resource functions, including effective hiring solutions to meet mission needs through a diverse workforce; sound and cost effective financial management policies, standards and systems; establishing acquisition strategies, governance and oversight as well as procurement and contract activities; mission responsive and cost effective facilities and asset management programs; ensuring timely compliance with the Freedom of Information Act (FOIA) and the Privacy Act; delivering leadership and career development training and programs for the ICE workforce.

The eight M&A subordinate functional offices are as follows:

- Office of Acquisition Management (OAQ): Partners with internal and external organizations to deliver quality acquisition solutions and serves as a strategic asset dedicated to improving overall business performance in support of ICE's mission.
- Office of Asset and Facilities Management (OAFM): Maximizes the operational and mission support value of assets, including fleet and facilities, through cost-effective life-cycle management and fostering a positive culture of safety and occupational health.
- Office of the Chief Financial Officer (OCFO): Provides effective and efficient management of ICE resources by implementing best business practices and linking strategic planning, budgeting, and performance reporting to financial decision-making.
- Office of the Chief Information Officer (OCIO): Delivers innovative information technology and business solutions that enable ICE to protect and secure our nation.
- Office of Human Capital (OHC): Positions ICE for successful mission completion by recruiting and hiring high-performing talent and by delivering human capital programs that support employee engagement and wellness.
- Office of Information Governance and Privacy (OIGP): Oversees the management, sharing, protection, and disclosure of ICE data and information in accordance with law, policy, and standards. IGP implements the Freedom of Information Act (FOIA) and collaborates with ICE and DHS partners to build privacy protections into ICE programs and systems, and develops data governance solutions.
- Office of Investment and Program Accountability (OIPA): Develops, implements, and oversees ICE acquisition management processes, policies, and procedures, and coordinates across DHS to support and align acquisition program execution activities and oversight.
- Office of Leadership and Career Development (OLCD): Delivers quality training and professional development opportunities that build on and enhance employee knowledge, skills, and abilities, preparing them to perform their duties at the highest level.

M&A is also supported by the Office of the Strategic Resourcing Advisor (SRAD), which serves as the primary mission support apparatus assisting M&A leadership with executive oversight, prioritization, resource management, and strategic direction for the Mission Support program, project or activity (PPA) resources. Similarly, HSI, ERO, OPLA and OPR each have their own mission support directorates that provide the same services to their respective programs in coordination with M&A's eight functional offices. These mission support directorates vary in organizational structure and staffing levels, functions performed, procedures and processes, and in some cases policies that are specific to their mission requirements.

ICE defines *enterprise services* as the following mission supporting business processes: overseeing ICE's budget, expenditures, accounting, and finances; overseeing the integration of

acquisition management processes and procurements; managing human resources, workforce talent acquisition; providing integrated and interfacing information technology (IT) systems and tactical communications; ensuring the management, sharing, disclosure, and protection of ICE data and information; effecting real property and asset management; developing and implementing ICE leadership and career development training; and identifying and tracking the agency's performance measurements. The ICE Office of Management and Administration (M&A) coordinates and implements these enterprise services across the entire agency to support and advance every aspect of the ICE mission.

This HSOAC research and analysis will support ICE's efforts to improve aspects of its enterprises services as delineated in the task objectives and methodology below.

4. Task Objective(s)

To assist ICE in achieving the above outcomes, the HSOAC team will meet the following task objectives:

4.1 Provide analytic support to the M&A Program Management Office (PMO)

Deliver organizational and workforce subject matter expertise that will support the design, creation, stand up, and functioning of an M&A PMO, which will be the lead office for ICE's enterprise services transformation.

4.2 Identify and assess current position management and talent acquisition and business processes, procedures, and structures.

Conduct an in-depth, process improvement-oriented study to examine, assess, and analyze the current ("as-is") state of ICE's business processes, procedures, and structures as they relate to position management and talent acquisition.

4.3 Establish a baseline of current IT tools and potential future needs

Develop a baseline of the current portfolio of IT tools used to support OHC and Program office in their position management and talent acquisition functions for the enterprise. Gather potential IT requirements to improve the efficiency and effectiveness of their processes and operations.

4.4 Develop a blueprint to improve the ICE's position management and talent acquisition processes, procedures, and structures

Develop a blueprint for ICE's position management and talent acquisition functions that: standardizes processes as appropriate, better aligns agency resources, closes functional gaps, eliminates redundancies, and increases efficiencies. The blueprint will also include an IT modernization plan that describes courses of action for strategy implementation that align with the findings from task objective 4.2.

5. Technical Approach / Analytic Methodology

To accomplish the task objectives above, HSOAC proposes the following five tasks for this study:

5.1 Literature review

Conduct a review of the relevant scholarly organizational, management, and personnel/staffing literature, with a focus on promising and best practices related to organizational and workforce business process improvements. Review DHS and ICE authorities, directives, instructions, policies, SOPs, and any other relevant documentation related to position management, and talent acquisition.

5.1.1 To the extent available, identify lessons learned and promising practices from similarly situated law enforcement entities and other comparable organizations to inform the evaluation of ICE's current organizational and workforce processes, procedures, and structures; the identification of possible solutions and other opportunities for improvement; and the implementation of changes based on this study's results.

5.2 Provide analytic support to the M&A Program Management Office (PMO)

HSOAC and ICE will jointly determine pertinent research topics that will support the design, creation, stand up, and functioning of an M&A PMO. These topics will require in-depth analysis that relate to enterprise services for which HSOAC maintains subject matter expertise. The research topics may include, but are not limited to:

- Organization design and management
- Organizational governance
- Workforce metrics and analysis
- Logic and maturity model frameworks
- Staffing models
- Risk management

ICE shall provide as much guidance and detail as possible about the topics of interest, as well as the type of analysis, review, or consultation that would be of greatest utility to accomplishing the task. When ICE determines a topic for analysis, review, or consultation, HSOAC will propose a research approach, timeline, and anticipated type of deliverable. HSOAC shall also assemble a team of researchers with domain expertise to begin research and provide consulting support, leveraging all pertinent skills, data, and tools. A research topic can be quantitative (e.g., modeling or simulation), qualitative (e.g., doctrine and policy), or hybrid. Once a research topic is determined, ICE shall provide all necessary information, including relevant documents and data. HSOAC will document each research topic, associated approach, deliverable, and projected deadline in an updated Project Management Plan (PMP).

The number of research topics that can be studied depends on the topics' level of complexity and available resources. HSOAC shall coordinate closely with ICE to determine the reasonable number of topics that can be studied within the period of performance.

The type of deliverables depends on the nature of the research topic and ICE's needs. Because of the dynamic nature of this analytic support to meet ICE's goals and objectives, deliverables may be in written form, in-line comments to existing documents/artifacts, or in oral form. The types of deliverables can include, but not limited to, the following, where the last type is *not* written:

- Short reports – Within an agreed upon timeframe (to be set), HSOAC shall provide research reports addressing the topics of interest. The scope of these reports shall be agreed upon by ICE and HSOAC prior to initiation of the research.
- White papers – Within an agreed upon timeframe (to be set), HSOAC shall prepare white papers addressing the topics of interest. White papers are less elaborate than reports but generally would still include sufficient technical details. The length and the corresponding timeline of a white paper greatly depend on a topic's nature and complexity. White papers could include review and/or analysis of certain subjects.
- Memoranda - Within an agreed upon timeframe (to be set), HSOAC shall provide a memorandum detailing the review, observations, recommendations, or other relevant response for a selected issue. Memoranda are less elaborate and shorter than reports and white papers, and typically do not involve original research.
- Policy/Guidance/Document Reviews – Within an agreed upon timeframe (to be set), HSOAC shall prepare written reviews, either through in-line comments in the document or an informal summary of a few pages, of existing or draft DHS policy, guidance, or other documents (e.g., hiring directives, instructions, or SOPs; training standards, etc.) of interest, determined in consultation with ICE. These reviews shall provide substantive feedback and/or recommendations.
- Briefings – Within an agreed upon timeframe (to be set), HSOAC shall provide briefings on the topics of interest, to summarize the results of the HSOAC team's research. For subjects that require analysis, the briefings generally would include problem statements, objectives, data, approaches, results, and caveats.
- Expert Discussion – HSOAC shall be available to attend formal or informal meetings or discussions for which ICE requires subject matter expertise and support. As part of the notice requirement, ICE shall provide an appropriate communication (e.g., email, verbal description) concerning the topic of the meeting or discussion, and the type of input or contribution, if any, the HSOAC team is expected to provide. If necessary, HSOAC will provide a short, informal summary.

As previously mentioned, the decisions on research topics and the associated approaches, schedules, and deliverables shall be clearly documented in the project study's PMP.

5.3 Identify and assess current organizational processes, procedures, and structures related to position management and talent acquisition.

- 5.3.1 Identify, collect, examine, and analyze: ICE organizational, workforce, personnel, budget, and resource capabilities metrics, data, and information; documentation related to the data/information management; and documentation applicable database systems that underlie all related ICE processes, procedures, and support for enterprise services related to position management and talent acquisition. Include relevant ICE workforce data associated with primary ICE functions (HSI, ERO, OPLA, OPR, an M&A) and sub-functions (OHC and OFCO), as well as the relevant data from the ICE programs themselves (directorates, divisions, and units).
- 5.3.2 Conduct semi-structured interviews, focus groups, and workshops, as appropriate, with personnel, managers, and leaders of the ICE programs (directorates, divisions, and units) and the relevant HQ ICE offices, as well as other consumers of all M&A support services/products related to position management and talent acquisition
- 5.3.3 Document current work performed in each ICE Program office, OCFO, and OHC related to position management and filling of ICE positions, information technology and personnel resources supporting this work, and standards, policies, procedures used
- 5.3.4 Describe the current (“as is”) state model including assessing its maturity and highlighting any key functions or activities that may typically be consolidated across the enterprise, to include:
- Identify position management and talent acquisition functions and activities carried out across ICE Programs and OHC, along with their associated resources
 - Assess OHC and Program structures that support specific elements that relate to position management and talent acquisition
 - Assess current ICE enterprise organizational structure and workflows that support position management and talent acquisition (inclusive of internal filling of positions, processing of promotions and reassignments, etc.)
 - Identify all personnel/positions within ICE offices performing functions associated with position management and talent acquisition workflows/processes
 - Identify current information technology (IT) tools supporting position management and talent acquisition functions throughout the enterprise, and—to the extent possible—document gaps or inefficiencies in the available tools to support standardization, coordination, awareness, efficiency, and data integrity and utility

5.4 Establish a baseline of current IT tools and potential future needs

5.4.1 Inventory and document current set of tools, IT-related process, and needs

HSOAC will review current capability management processes to analyze and baseline IT tools used for organization and workforce management and planning. HSOAC will interview subject matter experts (as required, and in parallel with Task 5.3) to gather potential IT requirements for the future state of position management and talent acquisition functions throughout the enterprise.

HSOAC will review relevant literature on best practices of position management and talent acquisition functions, as well as hold discussions with ICE and other stakeholders to gather information required on the as-is and desired future state of the IT requirements. The team may identify analogous efforts in government that ICE can learn from as it modernizes its IT suite.

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5.4.2 Identify and prioritize IT tools management needs

After documenting the baselining and understanding the areas needed for improvement, HSOAC will identify the efficiencies and leverage lessons learned across the enterprise. This will include requirement elicitation that informs future solution options to successfully execute the blueprint in task 5.5.

5.5 Develop a blueprint to improve the ICE's position management and talent acquisition

Draw on tasks 5.1 through 5.4 to analyze ICE's existing work processes, procedures, and structures and assess inefficiencies, gaps, overlaps, resource constraints, or other impediments to organizational success for position management and talent acquisition. Also assess intended outcomes and impacts as per current ICE mission goals and objectives. Additionally, identify and assess any existing structures, processes, procedures, practices, and overlaps that result in synergies and successful outcomes. Using this analysis, develop a blueprint that includes:

- 5.5.1 Process maps/workflows for the entire lifecycle of position management and talent acquisition process for each ICE Program and OHC. Process maps will identify information and data used for inter- and intra-office sharing, and map inter-office information sharing flows
- 5.5.2 Recommendations for functions and associated positions, if any, that are the best candidates for organizational or position management realignment to eliminate redundancies and close existing functional gaps
- 5.5.3 A standardization of processes and procedures to close functional gaps and eliminate redundancies to achieve efficiencies in position management and talent acquisition
- 5.5.4 Governance structures and/or best practices to coordinate, validate, and monitor actions for consistency to policies, standards, and integrated processes across ICE
- 5.5.5 Key qualitative and/or quantitative metrics to assess and analyze position management and talent acquisition
- 5.5.6 Sample executive level reports and dashboards to provide ongoing awareness of key position management and talent acquisition metrics
- 5.5.7 Using the output from Task 5.3 and 5.4, HSOAC will develop an IT modernization plan that documents the requirements to enable ICE to execute process improvement. This plan will document solution options directly informed by the business process changes, tools update, and data management. It will also identify efficiencies and leverage lesson learned across similar efforts for risk and opportunities to increase the efficiency and effectiveness of business process implementation. The plan will lay out the necessary business process, data, and organization changes that may need to take place for a successful implementation plan.

Tasks 5.3 through 5.5 will be documented in a draft report and final version report. Pursuant to sections D.3 and D.6 of the FFRDC contract, HSOAC will publish and publicly release the final report if it does not contain "sensitive information" as that term is defined in the contract. In the event the final report must

contain sensitive information, HSOAC will produce a short, non-sensitive, publicly releasable report or white paper (i.e., RAND Perspective) as a derivative companion product.

6. Key Words

Workforce planning; position management; talent acquisition; business process; technology gap analysis improvement

Type of Work

Analytic support; qualitative analysis; maturity modeling, capabilities gap analysis; workforce planning and governance

Benefit of Work

Improve position management and talent acquisition; improve human capital business processes; improve workforce planning and governance; improve human capital technology assessment capabilities

Subject of Interest

Workforce enterprise assessment and improvement

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: 5.19

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

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%	0%
7: Organizational Studies	25%	25%	25%	0%	0%	25%
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 below, and the most current Project Management Plan (PMP), as approved by the Project Manager and DHS Contracting Officer or COR.

<<Please include anything that the FFRDCs plan to deliver as part of this task.>>

Table 2: Deliverables

Scope Ref.	Deliverable Name	Delivery Date
5.0.1	Project Management Plan (PMP) (Draft) <<Note IDIQ Requirement>>	15 days after award
5.0.2	Project Management Plan (PMP) (Final) <<Note IDIQ Requirement>>	30 days after award

5.0.3	Task Order Project Kickoff Briefing <<Note IDIQ Requirement>>	Within 30 days of project award date
5.2	Subject matter expertise analytic support (multiple products)	As agreed upon and documented in the PMP
5.3, 5.4	Interim Progress Report (briefing)	3 months after task order award
5.3, 5.4	Interim Progress Report (briefing)	6 months after task award
5.3, 5.4	Interim Progress Report (briefing)	9 months after task order award
5.5	Draft Report (blueprint for workforce improvement)	12 months after task order award
5.5	Final Report (blueprint for workforce improvement)	15 months after task order award
5.5	<u>Derivative public release report or white paper (i.e., RAND Perspective) if Final Report is not publicly releasable pursuant to sections D.3 and D.6 of the FFRDC IDIQ contract</u>	18 months after task order award

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 15th 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. Assumptions

HSOAC considers this project to be non-severable. The nature and scope of HSOAC projects makes categorization of them as non-severable most appropriate. A non-severable undertaking constitutes a specific, entire job or single undertaking with a defined end-product (such as a final report of research) that cannot feasibly be subdivided for separate performance.

Staff working on HSOAC FFRDC projects receive Fitness/Suitability, PIV/badges, DHS headquarters IT access, and security clearances under the IDIQ contract rather than having to wait to be cleared under each task order. This helps to ensure that the FFRDC can agilely respond to requirements and apply the full advantages that its open matrix structure provides the Department. It also saves the government valuable resources by leveraging active access and current investigations rather than performing additional investigations. This is keeping with the spirit of DHS Instruction 121-01-007-01, which states in part that “Reciprocity applies to the fullest extent possible” and “investigations and adjudications conducted by other federal agencies should be used whenever practicable to reduce the number of investigation requests, associated costs and unnecessary delays.” We assume that the sponsor will offer reciprocity of the Fitness they have through our primary sponsor, as is customary. In the event the sponsor requires additional steps related to approving staff to work on the project even though those staff already have the appropriate level of Fitness through S&T, then their time and costs associated with following the task order sponsors requirements will be covered directly under the resultant task order and may increase cost as well as delay execution of work. These costs are charged under the task order because the effort relates to a single task order requirement and benefits only the subject task order.

Successful and timely execution of all tasks and sub-tasks is predicated upon the following conditions:

- ICE will secure all necessary front office support and identify key study stakeholders across all ICE, DHS, and necessary external individuals/entities for the purposes of: identifying and collecting data and information, completing necessary analytic tasks, securing support and participation of key stakeholders, and assisting in the scheduling of stakeholder and SME meetings, interviews, focus groups, etc.
- HSOAC is granted access to, or otherwise provided, the necessary data, information, and databases, in a suitable timeframe to allow a thorough analysis. It is anticipated that the collection, evaluation, and assessment of data and information will be an iterative process that will require reasonable time allocations for ICE, DHS, external entities, and HSOAC to accomplish. These data include (but not necessarily limited to):
 - Data/information on ICE workforce and personnel management (e.g., position management, hiring) processing, procedures, standards, and operations
 - Relevant DHS and ICE policies, guidance, and other documentation

- Relevant ICE budget, personnel, and technology capabilities related to workforce management.
- The ability to receive and process DHS Sensitive information mentioned above using the HSOAC Enclave system as necessary or required.

10. 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
Denver CO	Washington D.C.	4	6
Boston MA	Washington D.C.	4	6
Pittsburgh PA	Washington D.C.	4	6
Pittsburgh PA	Washington D.C.	2	6
Los Angeles CA	Washington D.C.	2	6
Washington D.C.	Boston MA	2	6

- Total Number of Trips (All Travelers): 18
- Total Number of Travel Days (All Travelers): 108

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.

11. Period of Performance

The period of performance is 24 months from date of task order award.

Note: The HSOAC IDIQ contract limits task order end dates to 3/23/2029. Also, options and add-ons cannot be executed on the current IDIQ contract on pre-existing task orders after the IDIQ end date, 3/23/2028.

12. Security Requirements.

This Task Order will require access to the following information << DELETE NON-APPLICABLE BOXES – doing this streamlines Appendix G submissions >>:

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

-SECTIONS BELOW - doing this streamlines Appendix G submissions. >>

- 12.1** 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.
- 12.2** 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.
- 12.3** 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.
- 12.4** 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.
- 12.5** 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.

12.6 Authorized IT Environments

<< DHS S&T has issued an authority to operate (ATO) to the RAND Corporation for the “IT Enclave”. The FFRDC IT Enclave will be the primary environment for FFRDC project work for most all types of DHS Sensitive information. The Enclave meet DHS 4300A Sensitive Systems standards. Note this section is not applicable to classified information, which is a separate category of information and the FFRDC Enclaves are NOT approved for classified information.>>

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).

12.7 DHS Furnished Information

See methods and assumption sections above.

- 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.

12.8 FFRDC Furnished Information

N/A

12.9 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.

13. Safeguarding/Storage:

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

14. 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.

14.1 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.

14.2 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.

14.3 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.

14.4 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.

14.5 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.

15. 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?

As outlined in this TEP and the IDIQ contract, the sponsor is interested in widespread dissemination of the results of funded non-sensitive research so that the sponsor, other DHS Components, and DHS partners can gain benefit from these results now and in the future. As mentioned in response to the questions that follow, the sponsor will work with HSOAC to develop an appropriate dissemination strategy for sharing project results that will support accomplishment of the objectives outlined in this TEP. This plan will include public release of an HSOAC report that documents results of this study that are not DHS Sensitive.

Similarly, to increase the benefits of this study for DHS partners, HSOAC will work with the sponsor to share results that are DHS Sensitive with appropriate audiences using appropriate means that assure need-to-know and authority to access information at the specified sensitivity.

- 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 is interested in broad sharing of methodologies developed in this task to DHS components and the public. 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.

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

As outlined in this TEP, there are variety of audiences for the results of this work and descriptions of the methodologies used. These include the sponsoring office, other DHS officials, DHS partners in accomplishing the missions addressed by the study, DHS oversight organizations, and other research organizations contributing to supporting DHS in these mission areas. The sponsor will work with HSOAC as part of the planning process to develop a dissemination strategy that shares results appropriately for the relevant audiences.

- Do you want an outreach event as part of the release?
To increase the benefit of the work and accompany release of results, the sponsor is interested in developing a plan to share the results with appropriate audiences. To accomplish this, the sponsor will work with HSOAC to develop an appropriate dissemination strategy that will support accomplishment of the objectives outlined in this TEP. Examples of components of a dissemination strategy could include briefings of results to DHS leadership within the sponsor's agency, briefings of results to DHS partners or oversight organizations, HSOAC or DHS press releases to accompany release of non-DHS sensitive results or methodology developments, presentations at scientific associations or industry events, and/or HSOAC or DHS hosted meetings or symposia. The specific elements of the dissemination strategy will be determined during the planning process throughout the study.
- Would you be interested in having the PMO assist with the release of favorable results?
To increase the benefit of this work, the sponsor welcomes assistance from the PMO to complement HSOAC and sponsor dissemination of results. As dissemination planning proceeds throughout the study, the sponsor will work with HSOAC to identify opportunities to leverage the PMO to enhance the dissemination strategy and include the PMO into the planning process appropriately.

16. DHS Furnished Facilities, Supplies and Services (<<Completed by User>>)

If work at ICE 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.

17. Invoices

<< Identify the email addresses (e.g., common inbox, task order CO, task order COR) and date by which the FFRDC must send monthly invoices. HSOAC invoices will generally be sent on or soon after the 20th of each month. >>

18. Points of Contact

<< Note that if multiple offices/divisions contribute requirements to this task order, PM information is required for each. Insert alternates as necessary. >>

Government POCs	Corresponding FFRDC POCs

