

# HMTAP

## Statement of Objectives (SOO)

February 24, 2022

*This section is completed by COR*

Task Order Number	
Document Control Number (from FEMA Form 40-1)	
FAR Fair Opportunity	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A - Single Award IDIQ <input checked="" type="checkbox"/>
IDIQ Contract Number	70FA6020D00000001
Task Order Funding Type	FPP  Please provide a justification if other than FFP
Contract Task	HMA Grant Program Technical Assistance
COR Notes	

This section is completed by the requesting office.

<b>Task Order Title</b>		
<b>Period of Performance</b>	Date of Award through 48 months	
<b>Disaster Number</b> <i>(if applicable)</i>	DR-4489-IL, DR-4494-MI, DR-4507-OH, DR-4515-IN, DR-4520-WI, DR-4531-MN, DR-4484-LA, DR-4485-TX, DR-4518-AR, DR-4529-NM, DR-4530-OK, DR-4483-IA, DR-4490-MO, DR-4504-KS, DR-4521-NE	Not Applicable <input type="checkbox"/>
<b>Headquarters/Region</b>	Other	If other, specify:  FEMA Headquarters, Regions V, VI, VII
<b>Location of Work</b> <i>(City and state where work will be completed)</i>	FEMA Headquarters, Regions V, VI, VII and associated, states, territories, and tribes.	
<b>Maximum pages allowed for Performance Work Statement (excluding resumes)</b> <i>(Please select one)</i>	For Technical Approach & Staff Qualifications: 10 pages	
<b>Need Resumes for Key Personnel</b>	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	

\* Resume(s) will be submitted for key personnel.

## PURPOSE

The requirements described in this document are intended fall within the scope of the Hazard Mitigation Technical Assistance Program (HMTAP) ID/IQ contract. HMTAP provides assistance to FEMA headquarters and states, territories, tribes, and local communities (SLTTs) to address pre- and post-disaster mitigation responsibilities. This includes strengthening grants management by identifying inefficiencies and streamlining practices and improving affiliated tasks.

As a result of the COVID-19 pandemic and the simultaneous authorization of 59 disaster declarations on August 5, 2021, across the nation, the Government requires technical assistance in the Hazard Mitigation Grant Program (HMGP) to assist FEMA Headquarters and FEMA Regional partners. Of those 59 declarations, this task order will support FEMA HQ in developing streamlining measures and assist FEMA Regions V, VI and VII in administering the program for 15 HMGP COVID-19 declarations. It will provide technical assistance in the areas of Mitigation Planning, Environmental Historic Preservation review, Environmental Assessments and Benefit Cost Analysis reviews and application eligibility and completeness reviews. It will include development and presentation of workshops and webinars and culminate in a comprehensive document outlining best practices and lessons learned. The goal of this resource is to assist with streamlining application reviews, resulting in quicker obligations of HMGP COVID-19 funds. It also aims to reach underserved communities equitably.

To be of timely assistance, this task order is designed to be agile since FEMA will not know specifically which SLTTs require technical assistance and at what level until closer to the application period closure, or during the application review process. Historical research indicated between 716 – 2,583 projects nationwide will be submitted. The government anticipates 20-30 percent of these applications will need assistance in one or more of the areas this task order supports.

All HMGP eligible project types may apply for funding and a list of project types requiring technical support expected under this task order are listed below. States and Tribes will prioritize their needs and may modify the below list within the disaster application period. The list is not all inclusive:

- Mitigation Reconstruction
- Acquisitions
- Flood Control
- Utility and Infrastructure Protection
- Management Costs and Technical Assistance
- Safe Room/Wind Shelter
- Elevations
- Generators
- Acquisition/Elevation Mix
- Wind Retrofit
- Mitigation Planning
- Education and Awareness
- Shoreline Stabilization
- Advance Assistance
- Warning Systems
- Landslide Stabilization
- Relocations

- Seismic Retrofit
- Floodproofing
- Wildfire Mitigation
- Codes and Standards
- Feasibility, Engineering, and Design Studies

### **Disasters Supported– Sector C Task Order**

DR-4489-IL, DR-4494-MI, DR-4507-OH, DR-4515-IN, DR-4520-WI, DR-4531-MN, DR-4484-LA, DR- 4485-TX, DR-4518-AR, DR-4529-NM, DR-4530-OK, DR-4483-IA, DR-4490-MO, DR-4504-KS, DR-4521-NE

## **OBJECTIVES**

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### **OBJECTIVE: 1**

#### **Based Period - Task Order Management and Administration**

- The Contractor shall provide administrative services to support and manage the activities associated with all the tasks listed in the objectives. These services and support include but are not limited to:
  - The Contractor will coordinate and attend a preliminary kick-off meeting with the Contracting Officer's Representative (COR), Project Monitor (PM), and Technical Monitor (TM) within 5 days of the notice to proceed (NTP). The initial workplan will be discussed at this meeting. This meeting may be virtual.
- The Contractor will provide meeting minutes for the kick-off meeting within 48 hours of the conclusion of the meeting. Minutes from the meeting will include the comments and recommendations regarding updates to the work plan.
- The Contractor will provide a copy of the workplan to the COR and PM within 10 days of the kick-off meeting. The plan must include the process the Contractor will utilize for QA/QC on this project.
- The Contractor will provide a monthly report to the COR and PM on the progress of the task order.
- The Contractor will schedule, facilitate, and record meetings, conference calls, training, site visit support meetings and other coordination activities.
- In conjunction with the Program Office and Regional Office, the Contractor will utilize appropriate tools to manage and monitor the performance and progress of tasks. These tools may include, but are not limited to, web accessible document sharing, illustration, and tracking of project schedules. These tools are to be independent of and not directly integrated with any FEMA information systems. Status of tasks may be required as often as weekly, when determined



necessary by the program office, and must include hours and costs incurred by the prime Contractor as well as any subcontractors, partners, or associates.

- The Contractor will conduct periodic status calls for each project sub-application as necessary, and monthly calls including a written summary on each project with a status of tasks and projected completion schedules.

## **OBJECTIVE: 2**

### **Base Period - Review and Assess Applications/Sub-applications**

- An application or sub-application must include a description of the activities and anticipated outcomes as a means for FEMA to determine whether the activities are eligible, whether the applicant/sub-applicant can complete the activities within the POP, and whether the proposed costs are reasonable. The contractor will assist FEMA regions in reviewing Hazard Mitigation Grant Program (HMGP) applications and sub-applications. The independent evaluation of applications will focus on technical feasibility, eligibility and completeness including the review of Scope, Schedule, Budget and associated application components..

The Contractor must have a working knowledge of state/tribal requirements be prepared to discover any local codes, standards, or requirements as necessary. They must have experience with tribal building codes, and knowledge of tribal local codes and conditions.

Contractor tasks to be performed include:

- Review the SOO describing the proposed activity and what will be accomplished by the end of the period of performance.
- Review the activities described, the proposed approach, and outcomes, including key milestones, schedule, and the relationship of each activity to the cost estimate. The description explains how the outcomes will be reached and the responsible party for each task.
- Assess deliverables, key milestones, and schedule. The schedule includes all tasks identified in the SOO and the relationship of each activity to the cost estimate. The schedule identifies major milestones with targets dates for meeting each milestone, including anticipated quarterly usage of Federal funds. Proposed schedules must not exceed the POP for the grant. Sufficient detail is provided so FEMA can determine whether the proposed activities can be accomplished within the POP.
- Provide a snapshot of findings for each application/subapplication reviewed (i.e., has the criteria been met or not met); and recommendations by disaster number, subapplication number, project title and sub-applicant.

- Provide a summary of the findings for applicable application/subapplication and, draft a request for information (RFI) for incomplete project applications. FEMA will make final eligibility and completeness determinations.

The Contractor must be available to FEMA for scheduled phone calls or emails with applicants/sub-applicants regarding sub-application summary of findings and addressing any questions.

### **OBJECTIVE: 3**

#### **Base Period– EHP Technical Assistance**

Environmental compliance in HMGP grants requires compliance with applicable EHP laws and with 44 CFR Part 10 (or FEMA Directive Number: FD 108-1, Environmental and Historic Preservation Planning, Responsibilities and Program Requirements). Compliance with these laws is a condition of the award. The contractor will assist FEMA with the following:.

- Review application documents for completeness or identify missing documentation.
- Assist with the preparation of necessary Environmental Planning and Historic Preservation (EHP) compliance documents for review by the FEMA Region Environmental Officer, including but not limited to: environmental assessments; geological surveys, site characterization biological assessments; endangered species surveys; identification and evaluation of historic properties; archaeological and built-environment surveys; determinations of effect on historic properties; tribal consultation letters and assistance during tribal consultations; historical and archaeological research – inclusive of gathering and analysis of historical and archaeological records including if applicable; resolution of adverse effects; and analysis of impacts of subsurface activities on the floodplain, wetlands, and environment.

Conducting EHP reviews using programmatic tools in place in Regions VIII - X, such as the Environmental Assessment and supporting programmatic consultations, MOU with USACE, USFWS, NMFS-NOAA, USGS (U.S. Geological Survey), WSRA (Wild and Scenic Rivers Act), Programmatic Agreements under the NHPA, and Programmatic Biological Assessments with USFWS and NMFS. These tools will also be utilized to identify any potential issues early in the assessment process and implement corrective actions. This includes tracking all reporting and deliverables, including quality control, streamlining, and structuring workflows for greater accountability. These tools will also be used throughout the remainder of the process to foster transparency.

Assumptions for EHP assistance efforts completed under this task include, but are not limited to:

- Endangered Species Act
- National Historic Preservation Act
- Description of Proposed Actions and Alternatives
- Cultural Resource Investigation for the Area of Potential Effect (APE)
- National Coastal Zone Management Program (CZMA)
- Coastal Barrier Resources Act of 1982
- No Effect determination memoranda
- NLAA/PBO consultation packages– completed by a biologist with appropriate experience and knowledge of and qualifications for the species being evaluated.
- No Historic Properties Affected (NHPA) -
- No Adverse Effect and Adverse Effects consultation packages.
- EO 12898 – Federal Actions to Address Environmental Justice in Minority Populations and Low- Income Populations
- EO 11988 Floodplain and 11990 Wetlands 8-step reviews
- Prepare letters and reports required for compliance with environmental/historic preservation statutes and as part of any necessary consultation processes.
- Required field work may entail working with State, Tribal, and other Federal agencies.
- Prepare documents to include but not limited to Public Notices as required by the nature of each proposed actions/project.
- Purchase State or Tribal specific data to support EHP review.
- Support the publication of EHP documents for comment and final delivery, including completion of Section 508-compliance (may include costs and fees).
- Conduct site visits necessary to perform assigned tasks under the approved work plan. Prepare a recommendation for the FEMA final determination for EHP review and compliance.

Document protocol for email and telephone communication between FEMA, the State, and Contractor, established after kick-off meeting.

#### **OBJECTIVE: 4**

##### **Based Period - Hazard Mitigation Plan Reviews**

Early, coordinated mitigation planning resulting in effective use of Mitigation Plans will support the FEMA mission of achieving comprehensive plans that will result in long-term resilience, and equitable inclusion at the state and local levels.

Mitigation planning establishes a coordinated process for mitigation investments; therefore, an approved mitigation plan is an eligibility requirement. The Contractor will support FEMA with State, Tribal and Local hazard mitigation planning. These reviews include but are not limited to:

- Reviewing plans for compliance with 44 CFR Part 201 and applicable policies
- Coordinate with FEMA regional planners to support:
  - Early and often engagement through training and technical assistance
  - Provide assistance with plan integration and plan implementation
  - Review planning related activities (i.e., CRS integration into All Hazards Plan)

**OBJECTIVE: 5**

**Base Period– Benefit Cost Analysis Review**

The contractor will assist FEMA regional staff in evaluating the cost-effectiveness of proposed hazard mitigation projects. Following FEMA established criteria in conducting cost-effectiveness/Benefit-Cost Analysis (BCA) reviews for potential hazard mitigation projects, the Contractor will assist FEMA with the following:

- Assisting FEMA regions by reviewing applications and sub-applications on the BCA usage, determining Benefit-Cost Ratio (BCR), utilizing pre-calculated benefits, and evaluating benefits and costs. This is an all-inclusive review of any and all applicable benefits, including those considered to be qualitative.
- Providing guidance on evaluating projects, determining methodologies for cost-effectiveness, understanding BCR calculations, and streamlining BCA reviews.

**OBJECTIVE: 6**

**Base Period– Capacity Building, Streamlining and Outreach**

The Contractor will assist FEMA in fostering a whole community approach by conducting outreach, developing streamlining tools and designing educational activities to increase public awareness, aid stakeholder involvement and promote understanding across communities. They will assist FEMA with the following:

- Providing guidance on activities that enhance the knowledge, skills, and expertise of the public resulting in improved hazard mitigation planning and implementation.
- In support of providing equitable outreach methods, the contractor will assist with the development of outreach programs to effectively engage communities. This outreach can include but not limited to, websites, flyers, brochures,

**OBJECTIVE: 7**

**Option Year 1 - Task Order Management and Administration**

- The Contractor shall provide administrative services to support and manage the activities associated with all the tasks listed in the objectives. These services and support include but are not limited to:

The Contractor will coordinate and attend a preliminary kick-off meeting with the Contracting Officer's Representative (COR), Project Monitor (PM), and Technical Monitor (TM) within 5 days of the notice to proceed (NTP). The initial workplan will be discussed at this meeting. This meeting may be virtual.

- The Contractor will provide meeting minutes for the kick-off meeting within 48 hours of the conclusion of the meeting. Minutes from the meeting will include the comments and recommendations regarding updates to the work plan.



- The Contractor will provide a copy of the workplan to the COR and PM within 10 days of the kick-off meeting. The plan must include the process the Contractor will utilize for QA/QC on this project.
- The Contractor will provide a monthly report to the COR and PM on the progress of the task order.
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- The Contractor will conduct periodic status calls for each project sub-application as necessary, and monthly calls including a written summary on each project with a status of tasks and projected completion schedules.

#### **OBJECTIVE: 8**

##### **Option Year 1 - Review and Assess Applications/Sub-applications**

- An application or sub-application must include a description of the activities and anticipated outcomes as a means for FEMA to determine whether the activities are eligible, whether the applicant/sub-applicant can complete the activities within the POP, and whether the proposed costs are reasonable. The contractor will assist FEMA regions in reviewing Hazard Mitigation Grant Program (HMGP) applications and sub-applications. The independent evaluation of applications will focus on technical feasibility, eligibility and completeness including the review of Scope, Schedule, Budget and associated application components..

The Contractor must have a working knowledge of state/tribal requirements be prepared to discover any local codes, standards, or requirements as necessary. They must have experience with tribal building codes, and knowledge of tribal local codes and conditions.

Contractor tasks to be performed include:

- Review the SOO describing the proposed activity and what will be accomplished by the end of the period of performance.

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- Provide a summary of the findings for applicable application/subapplication and, draft a request for information (RFI) for incomplete project applications. FEMA will make final eligibility and completeness determinations.

The Contractor must be available to FEMA for scheduled phone calls or emails with applicants/sub-applicants regarding sub-application summary of findings and addressing any questions.

#### **OBJECTIVE: 9**

##### **Option Year 1 – EHP Technical Assistance**

Environmental compliance in HMGP grants requires compliance with applicable EHP laws and with 44 CFR Part 10 (or FEMA Directive Number: FD 108-1, Environmental and Historic Preservation Planning, Responsibilities and Program Requirements). Compliance with these laws is a condition of the award. The contractor will assist FEMA with the following:

- Review application documents for completeness or identify missing documentation.
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applicable; resolution of adverse effects; and analysis of impacts of subsurface activities on the floodplain, wetlands, and environment.

Conducting EHP reviews using programmatic tools in place in Regions VIII - X, such as the Environmental Assessment and supporting programmatic consultations, MOU with USACE, USFWS, NMFS-NOAA, USGS (U.S. Geological Survey), WSRA (Wild and Scenic Rivers Act), Programmatic Agreements under the NHPA, and Programmatic Biological Assessments with USFWS and NMFS. These tools will also be utilized to identify any potential issues early in the assessment process and implement corrective actions. This includes tracking all reporting and deliverables, including quality control, streamlining, and structuring workflows for greater accountability. These tools will also be used throughout the remainder of the process to foster transparency.

Assumptions for EHP assistance efforts completed under this task include, but are not limited to:

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- Prepare letters and reports required for compliance with environmental/historic preservation statutes and as part of any necessary consultation processes.
- Required field work may entail working with State, Tribal, and other Federal agencies.
- Prepare documents to include but not limited to Public Notices as required by the nature of each proposed actions/project.
- Purchase State or Tribal specific data to support EHP review.
- Support the publication of EHP documents for comment and final delivery, including completion of Section 508-compliance (may include costs and fees).
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Document protocol for email and telephone communication between FEMA, the State, and Contractor, established after kick-off meeting.

**OBJECTIVE: 10**

**Option Year 1 - Hazard Mitigation Plan Reviews**

Early, coordinated mitigation planning resulting in effective use of Mitigation Plans will support the FEMA mission of achieving comprehensive plans that will result in long-term resilience, and equitable inclusion at the state and local levels.

Mitigation planning establishes a coordinated process for mitigation investments; therefore, an approved mitigation plan is an eligibility requirement. The Contractor will support FEMA with State, Tribal and Local hazard mitigation planning. These reviews include but are not limited to:

- Reviewing plans for compliance with 44 CFR Part 201 and applicable policies
- Coordinate with FEMA regional planners to support:
  - Early and often engagement through training and technical assistance
  - Provide assistance with plan integration and plan implementation
  - Review planning related activities (i.e., CRS integration into All Hazards Plan)

**OBJECTIVE: 11**

**Option Year 1 – Benefit Cost Analysis Review**

The contractor will assist FEMA regional staff in evaluating the cost-effectiveness of proposed hazard mitigation projects. Following FEMA established criteria in conducting cost-effectiveness/Benefit-Cost Analysis (BCA) reviews for potential hazard mitigation projects, the Contractor will assist FEMA with the following:

- Assisting FEMA regions by reviewing applications and sub-applications on the BCA usage, determining Benefit-Cost Ratio (BCR), utilizing pre-calculated benefits, and evaluating benefits and costs. This is an all-inclusive review of any and all applicable benefits, including those considered to be qualitative.
- Providing guidance on evaluating projects, determining methodologies for cost-effectiveness, understanding BCR calculations, and streamlining BCA reviews.

**OBJECTIVE: 12**

**Option Year 1 – Capacity Building, Streamlining and Outreach**

The Contractor will assist FEMA in fostering a whole community approach by conducting outreach, developing streamlining tools and designing educational activities to increase public awareness, aid stakeholder involvement and promote understanding across communities. They will assist FEMA with the following:

- Providing guidance on activities that enhance the knowledge, skills, and expertise of the public resulting in improved hazard mitigation planning and implementation.
- In support of providing equitable outreach methods, the contractor will assist with the development of outreach programs to effectively engage communities. This outreach can include but not limited to, websites, flyers, brochures,

**OBJECTIVE: 13**

**Option Year 2 - Task Order Management and Administration**

- The Contractor shall provide administrative services to support and manage the activities associated with all the tasks listed in the objectives. These services and support include but are not limited to:

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**OBJECTIVE: 14**

**Option Year 2 - Review and Assess Applications/Sub-applications**

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**OBJECTIVE: 15**

**Option Year 2 – EHP Technical Assistance**

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- Conduct site visits necessary to perform assigned tasks under the approved work plan. Prepare a recommendation for the FEMA final determination for EHP review and compliance.

Document protocol for email and telephone communication between FEMA, the State, and Contractor, established after kick-off meeting.

#### **OBJECTIVE: 16**

#### **Option Year 2 - Hazard Mitigation Plan Reviews**

Early, coordinated mitigation planning resulting in effective use of Mitigation Plans will support the FEMA mission of achieving comprehensive plans that will result in long-term resilience, and equitable inclusion at the state and local levels. Mitigation planning establishes a coordinated process for mitigation investments; therefore, an approved mitigation plan is an eligibility requirement. The Contractor will support FEMA with State, Tribal and Local hazard mitigation planning. These reviews include but are not limited to:.

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- Coordinate with FEMA regional planners to support:
  - Early and often engagement through training and technical assistance
  - Provide assistance with plan integration and plan implementation
  - Review planning related activities (i.e., CRS integration into All Hazards Plan)



**OBJECTIVE: 17**

**Option Year 2 – Benefit Cost Analysis Review**

The contractor will assist FEMA regional staff in evaluating the cost-effectiveness of proposed hazard mitigation projects. Following FEMA established criteria in conducting cost-effectiveness/Benefit-Cost Analysis (BCA) reviews for potential hazard mitigation projects, the Contractor will assist FEMA with the following:

- Assisting FEMA regions by reviewing applications and sub-applications on the BCA usage, determining Benefit-Cost Ratio (BCR), utilizing pre-calculated benefits, and evaluating benefits and costs. This is an all-inclusive review of any and all applicable benefits, including those considered to be qualitative.
- Providing guidance on evaluating projects, determining methodologies for cost-effectiveness, understanding BCR calculations, and streamlining BCA reviews.

**OBJECTIVE: 18**

**Option Year 2 – Capacity Building, Streamlining and Outreach**

The Contractor will assist FEMA in fostering a whole community approach by conducting outreach, developing streamlining tools and designing educational activities to increase public awareness, aid stakeholder involvement and promote understanding across communities. They will assist FEMA with the following:

- Providing guidance on activities that enhance the knowledge, skills, and expertise of the public resulting in improved hazard mitigation planning and implementation.
- In support of providing equitable outreach methods, the contractor will assist with the development of outreach programs to effectively engage communities. This outreach can include but not limited to, websites, flyers, brochures,

**OBJECTIVE: 19**

**Option Year 3 - Task Order Management and Administration**

- The Contractor shall provide administrative services to support and manage the activities associated with all the tasks listed in the objectives. These services and support include but are not limited to:

The Contractor will coordinate and attend a preliminary kick-off meeting with the Contracting Officer's Representative (COR), Project Monitor (PM), and Technical Monitor (TM) within 5 days of the notice to proceed (NTP). The initial workplan will be discussed at this meeting. This meeting may be virtual.

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- The Contractor will provide a monthly report to the COR and PM on the progress of the task order.
- The Contractor will schedule, facilitate, and record meetings, conference calls, training, site visit support meetings and other coordination activities.
- In conjunction with the Program Office and Regional Office, the Contractor will utilize appropriate tools to manage and monitor the performance and progress of tasks. These tools may include, but are not limited to, web accessible document sharing, illustration, and tracking of project schedules. These tools are to be independent of and not directly integrated with any FEMA information systems. Status of tasks may be required as often as weekly, when determined necessary by the program office, and must include hours and costs incurred by the prime Contractor as well as any subcontractors, partners, or associates.
- The Contractor will conduct periodic status calls for each project sub-application as necessary, and monthly calls including a written summary on each project with a status of tasks and projected completion schedules.

#### **OBJECTIVE: 20**

##### **Option Year 3 - Review and Assess Applications/Sub-applications**

- An application or sub-application must include a description of the activities and anticipated outcomes as a means for FEMA to determine whether the activities are eligible, whether the applicant/sub-applicant can complete the activities within the POP, and whether the proposed costs are reasonable. The contractor will assist FEMA regions in reviewing Hazard Mitigation Grant Program (HMGP) applications and sub-applications. The independent evaluation of applications will focus on technical feasibility, eligibility and completeness including the review of Scope, Schedule, Budget and associated application components..

The Contractor must have a working knowledge of state/tribal requirements be prepared to discover any local codes, standards, or requirements as necessary. They must have experience with tribal building codes, and knowledge of tribal local codes and conditions.

Contractor tasks to be performed include:

- Review the SOO describing the proposed activity and what will be accomplished by the end of the period of performance.
- Review the activities described, the proposed approach, and outcomes, including key milestones, schedule, and the relationship of each activity to the cost estimate. The description explains how the outcomes will be reached and the responsible party for each task.

- Assess deliverables, key milestones, and schedule. The schedule includes all tasks identified in the SOO and the relationship of each activity to the cost estimate. The schedule identifies major milestones with target dates for meeting each milestone, including anticipated quarterly usage of Federal funds. Proposed schedules must not exceed the POP for the grant. Sufficient detail is provided so FEMA can determine whether the proposed activities can be accomplished within the POP.
- Provide a snapshot of findings for each application/subapplication reviewed (i.e., has the criteria been met or not met); and recommendations by disaster number, subapplication number, project title and sub-applicant.
- Provide a summary of the findings for applicable application/subapplication and, draft a request for information (RFI) for incomplete project applications. FEMA will make final eligibility and completeness determinations.

The Contractor must be available to FEMA for scheduled phone calls or emails with applicants/sub-applicants regarding sub-application summary of findings and addressing any questions.

**OBJECTIVE: 21**

**Option Year 3 – EHP Technical Assistance**

Environmental compliance in HMGP grants requires compliance with applicable EHP laws and with 44 CFR Part 10 (or FEMA Directive Number: FD 108-1, Environmental and Historic Preservation Planning, Responsibilities and Program Requirements). Compliance with these laws is a condition of the award. The contractor will assist FEMA with the following:

- Review application documents for completeness or identify missing documentation.
- Assist with the preparation of necessary Environmental Planning and Historic Preservation (EHP) compliance documents for review by the FEMA Region Environmental Officer, including but not limited to: environmental assessments; geological surveys, site characterization biological assessments; endangered species surveys; identification and evaluation of historic properties; archaeological and built-environment surveys; determinations of effect on historic properties; tribal consultation letters and assistance during tribal consultations; historical and archaeological research – inclusive of gathering and analysis of historical and archaeological records including if applicable; resolution of adverse effects; and analysis of impacts of subsurface activities on the floodplain, wetlands, and environment.

Conducting EHP reviews using programmatic tools in place in Regions VIII - X, such as the Environmental Assessment and supporting programmatic consultations, MOU with USACE, USFWS, NMFS-NOAA, USGS (U.S. Geological Survey), WSRA (Wild and Scenic Rivers Act), Programmatic Agreements under the NHPA, and Programmatic Biological Assessments with USFWS and NMFS. These tools will also be utilized to identify any potential issues early in the assessment process and implement corrective actions. This includes tracking all reporting and deliverables, including quality control, streamlining, and structuring workflows for greater accountability. These tools will also be used throughout the remainder of the process to foster transparency.

Assumptions for EHP assistance efforts completed under this task include, but are not limited to:

- Endangered Species Act
- National Historic Preservation Act
- Description of Proposed Actions and Alternatives
- Cultural Resource Investigation for the Area of Potential Effect (APE)
- National Coastal Zone Management Program (CZMA)
- Coastal Barrier Resources Act of 1982
- No Effect determination memoranda
- NLAA/PBO consultation packages– completed by a biologist with appropriate experience and knowledge of and qualifications for the species being evaluated.
- No Historic Properties Affected (NHPA) -
- No Adverse Effect and Adverse Effects consultation packages.
- EO 12898 – Federal Actions to Address Environmental Justice in Minority Populations and Low- Income Populations
- EO 11988 Floodplain and 11990 Wetlands 8-step reviews
- Prepare letters and reports required for compliance with environmental/historic preservation statutes and as part of any necessary consultation processes.
- Required field work may entail working with State, Tribal, and other Federal agencies.
- Prepare documents to include but not limited to Public Notices as required by the nature of each proposed actions/project.
- Purchase State or Tribal specific data to support EHP review.
- Support the publication of EHP documents for comment and final delivery, including completion of Section 508-compliance (may include costs and fees).
- Conduct site visits necessary to perform assigned tasks under the approved work plan. Prepare a recommendation for the FEMA final determination for EHP review and compliance.

Document protocol for email and telephone communication between FEMA, the State, and Contractor, established after kick-off meeting.



**OBJECTIVE: 22**

**Option Year 3 - Hazard Mitigation Plan Reviews**

Early, coordinated mitigation planning resulting in effective use of Mitigation Plans will support the FEMA mission of achieving comprehensive plans that will result in long-term resilience, and equitable inclusion at the state and local levels.

Mitigation planning establishes a coordinated process for mitigation investments; therefore, an approved mitigation plan is an eligibility requirement. The Contractor will support FEMA with State, Tribal and Local hazard mitigation planning. These reviews include but are not limited to:

- Reviewing plans for compliance with 44 CFR Part 201 and applicable policies
- Coordinate with FEMA regional planners to support:
  - Early and often engagement through training and technical assistance
  - Provide assistance with plan integration and plan implementation
  - Review planning related activities (i.e., CRS integration into All Hazards Plan)

**OBJECTIVE: 23**

**Option Year 3 – Benefit Cost Analysis Review**

The contractor will assist FEMA regional staff in evaluating the cost-effectiveness of proposed hazard mitigation projects. Following FEMA established criteria in conducting cost-effectiveness/Benefit-Cost Analysis (BCA) reviews for potential hazard mitigation projects, the Contractor will assist FEMA with the following:

- Assisting FEMA regions by reviewing applications and sub-applications on the BCA usage, determining Benefit-Cost Ratio (BCR), utilizing pre-calculated benefits, and evaluating benefits and costs. This is an all-inclusive review of any and all applicable benefits, including those considered to be qualitative.
- Providing guidance on evaluating projects, determining methodologies for cost-effectiveness, understanding BCR calculations, and streamlining BCA reviews.

**OBJECTIVE: 24**

**Option Year 3 – Capacity Building, Streamlining and Outreach**

The Contractor will assist FEMA in fostering a whole community approach by conducting outreach, developing streamlining tools and designing educational activities to increase public awareness, aid stakeholder involvement and promote understanding across communities. They will assist FEMA with the following:

- Providing guidance on activities that enhance the knowledge, skills, and expertise of the public resulting in improved hazard mitigation planning and implementation.
- In support of providing equitable outreach methods, the contractor will assist with the development of outreach programs to effectively engage communities. This outreach can include but not limited to, websites, flyers, brochures,

**OBJECTIVE: 25**

**Option Year 3 - Best Practices/Lessons Learned**

The Contractor will identify best practices and lessons learned from this multi-year process to provide FEMA data from the past four years for insight into the future..

- The Contractor will document the best practices and lessons learned from this undertaking. This should include, but is not limited to:
  - Support/deliverables provided to the FEMA regional staff
  - Support/deliverables provided to SLTTs
- The Contractor will provide a report documenting the lessons learned over the 4-year use of the sector wide task order to assist regions, SLTTs in the review and submission of HMGP for COVID applications.

This report should include, but is not limited to the impact of:

  - Support/deliverables provided to the FEMA regional staff
  - Support/deliverables provided to SLTTs
  - Identify inefficiencies, streamlining practices and approaches to improve affiliated tasks
  - Describe if the support provided resulted in actual projects submitted and/or funded. (Did task order effort bear mitigation fruit)
  - Provide quantitative/qualitative data and analysis
- Provide recommendations for improving all aspects of HMGP program delivery to include, but not limited to, planning support, application development and review, technical assistance, BCA support, EHP review, and application of program policy and guidance.

## **GOVERNMENT PROVIDED DATA/RESOURCES**

- Yes

*If yes, indicate what data or resources will be provided to the contractor by the government.*

- The government will supply access to information systems, NEMIS, eGrants, and FEMA GO which contain project applications. Program guidance documents are available at [https://fema.gov/sites/default/files/2020-07/fy15\\_HMA\\_Guidance.pdf](https://fema.gov/sites/default/files/2020-07/fy15_HMA_Guidance.pdf). Agency specific documents for HMA programs and Technical and Feasibility review and compliance will also be provided. The Contractor will be provided with FEMA issued laptops for official business purposes.

## **REQUIRED STANDARDS**

- Yes



Relevant laws (i.e., NEPA, NHPA, NFIA, Stafford Act, Paperwork Reduction Act) Executive Orders (i.e., 11988, 11990, 13985, 14008, 13690/14030, 13990), Regulations (i.e., 44 CFR, 2 CFR 200), policies, HMA program guidance previous and current versions. FEMA publications to include but not limited to (i.e., FEMA 320, FEMA 361); eGrants; NEMIS, EMIS-EHP database, HMA portfolio manager or other relevant systems or tools to support the work outlined in this Task Order. All final documents should be 508 compliant. For data analytics purposes, the contractor will use government approved software such as ESRI, Tableau, Microsoft PowerBI. If the software or tool suggested by the contractor/vendor are not government approved, then the contractor/vendor will work with GDA to follow FEMA's technical protocol and review model to ensure technical compliance with FEMA TRM within DHS Modius. All final documents should be 508 compliant. For data analytics purposes, the contractor will use government approved software such as ESRI, Tableau, Microsoft PowerBI. If the software or tool suggested by the contractor/vendor are not government approved, then the contractor/vendor will work with GDA to follow FEMA's technical protocol and review model to ensure technical compliance with FEMA TRM within DHS Modius.

## Performance Requirements Summary (PRS)

- Refer to Sample QASP (SOO Attachment I – dated 5-11-22)

## CONSTRAINTS

- Yes
  - \* Contractor staff must be badged to allow for access to FEMA locations and computer usage. Timelines, schedules, nationwide travel to regional locations, nationwide support, and on-site support shall be determined later. The Contractor shall be required to work with partners internal to FEMA such as FEMA Regional Offices (Program Office and Regional Environmental Office). The Contractor shall be required to work with external partners, Federal, State, Tribal, Territorial, and local entities. At the Program Office's direction, the contractor might be required to provide technical assistance to State, Tribal, Territorial, and local entities consistent with program priorities, develop program related EHP information and program best practices for use by Regional Offices or State and local governments.

## Anticipated Travel

<i>Location</i>	<i>Estimated Number of Trips</i>
FEMA Region V	6
FEMA Region VI	6
FEMA Region VII	6

## SECURITY

All personnel require access to information up to the sensitive but unclassified, for official use only (FOUO) levels. Contractor must ensure contractor employees receive a favorably adjudicated public trust suitability prior to entry on duty (EOD). All individuals will be U.S. citizens. The contractor shall follow the standards established within DHS and FEMA policy.

### **Unauthorized Disclosure of Classified or Unclassified Information:**

Contractors and Subcontractors who are working on this contract shall receive Unauthorized Disclosure of Classified or Unclassified Information training.

Access to the training can be obtained at:

<https://securityawareness.usalearning.gov/unauthorizedrefresher/index.htm>

Send the certificate of completion to the FEMA Contracting Officer Representative no later than 30 calendar days after awarded contract. New employees entering the contract must receive the briefing within ten (10) business days of joining the contract.

### **OPSEC Training:**

Contractors and Subcontractors who are working on this contract shall receive the OPSEC Awareness Brief.

Access to the briefing can be obtained at <http://cdsetrain.dtic.mil/opsec>

Send the certificate of completion to the FEMA Contracting Officer Representative no later than 30 calendar days after awarded contract. New employees entering the contract must receive the briefing within ten (10) business days of joining the contract.

## Insider Threat Training:

Insider Threat training for Contractors can be found at:

<http://cdsetrain.dtic.mil/itawareness/index.htm>.

Certificate of training is required for all cleared contractor employees who are working with classified or unclassified information. All certificates must be sent to the assigned FEMA Contracting Officer Representative, before the Contractor or Subcontractor is granted access to classified or unclassified information but no later than 30 calendar days after awarded contract. All cleared contractor personnel are required to recertify Insider Threat training annually thereafter. New employees entering the contract must receive the briefing within ten (10) business days of joining the contract.

## For Official Use Only (FOUO) Information:

In accordance with DHS Management Directive 11042.1 contractors, consultants and others to whom access is granted will abide by 11042.1; DHS policy regarding the identification and safeguarding of sensitive but unclassified information originated within DHS. It also applies to other sensitive but unclassified information received by DHS from other government and non-governmental activities.

The contractor will:

1. Be aware of and comply with the safeguarding requirements for "For Official Use Only" (FOUO) information as outlined in this directive.
2. Participate in formal classroom or computer-based training sessions presented to communicate the requirements for safeguarding FOUO and other sensitive but unclassified information.
3. Be aware that divulging information without proper authority could result in administrative or disciplinary action.

Contractors and Consultants shall execute a DHS Form 11000-6, *Sensitive but Unclassified Information Non Disclosure Agreement* (NDA), as a condition of access to such information. Other individuals not assigned to or contractually obligated to DHS, but to whom access to information will be granted, may be requested to execute an NDA as determined by the applicable program manager. Execution of the NDA shall be effective upon date of the DHS Policy and not applied retroactively.

## Unauthorized Disclosure of Classified or Unclassified Information

Contractors and Subcontractors who are working on this contract shall receive the Unauthorized Disclosure of Classified or Unclassified Information training.

Access to the training can be obtained at:

<https://securityawareness.usalearning.gov/unauthorizedrefresher/index.htm>

Send the certificate of completion to the FEMA Contracting Officer Representative no later than 30 calendar days after awarded contract. New employees entering the contract must receive the briefing within ten (10) business days of joining the contract.

## **BACKGROUND INVESTIGATIONS**

All contractor personnel who require access to DHS or FEMA information systems, routine access to DHS or FEMA facilities, or access to sensitive information, including but not limited to Personally Identifiable Information (PII), shall be subject to a full background investigation commensurate with the level of the risk associated with the job function or work being performed. FEMA's Personnel Security Division (PSD) will determine the risk designation for each contractor position by comparing the functions and duties of the position against those of a same or similar federal position, applying the same standard for evaluating the associated potential for impact on the integrity and efficiency of federal service.

### **Low Risk without Information System Access**

Contractor personnel occupying positions or performing functions with a Low Risk designation and who do not require access to DHS or FEMA information systems may undergo a Tier 1 investigation with a credit check and must receive a favorable adjudication thereof from FEMA PSD prior to performing work under this contract. (also reference Facility Access).

### **Low Risk with Information System Access**

Contractor personnel occupying positions or performing functions with a Low Risk designation and who require access to DHS or FEMA information systems shall undergo a Tier 2 Suitability Background Investigation (T2) and must receive a favorable adjudication thereof from FEMA PSD prior to performing work under this contract.

### **Moderate Risk**

Contractor personnel occupying positions or performing functions with a Moderate Risk designation shall undergo a Tier 2 Suitability Background Investigation (T2) and must receive a favorable adjudication thereof from FEMA PSD prior to performing work under this contract.

### **High Risk**

Contractor personnel occupying positions or performing functions with a High Risk designation shall undergo a Tier 4 Suitability Background Investigation (T4) and must receive a favorable adjudication thereof from FEMA PSD prior to performing work under this contract.



## Background Investigation Process

To initiate the request to process contractor personnel, the Contractor shall provide the FEMA Contracting Officer's Representative (COR) with all required information and comply with all necessary instructions to complete Section II of the FEMA Form 121-3-1-6, "Contract Fitness/Security Screening Request." The FEMA COR shall ensure that all other applicable sections of the FEMA Form 121-3-1-6 are complete prior to submitting the form to FEMA PSD for processing. The Contractor shall also provide the FEMA COR with completed OF 306, "Declaration for Federal Employment," forms for all contractor personnel.

Contractor personnel who already have a favorably adjudicated background investigation, may be eligible to perform work under this contract without further processing by FEMA PSD if:

- the investigation was completed within the last five years,
- it meets or exceeds the minimum requirement for the position they will occupy or functions they will perform on this contract,
- the contractor personnel have not had a break in employment since the prior favorable adjudication, and,
- FEMA PSD has verified the investigation and confirmed that no new derogatory information has been disclosed which may require a reinvestigation.

FEMA PSD will notify the COR of the names of the contractor personnel eligible to work based on prior, favorable adjudication. The COR will, in turn, notify the Contractor of the names of the favorably adjudicated contractor personnel, at which time the favorably adjudicated contractor personnel will be eligible to begin work under this contract.

For those contractor personnel who do not have an acceptable, prior, favorable adjudication or who otherwise require reinvestigation, FEMA PSD will issue an electronic notification via email directly to the contractor applicant/personnel that contains the following documents, which are incorporated into this contract by reference, along with a link to the Office of Personnel Management's (OPM) Electronic Questionnaires for Investigation Processing (e-QIP) system and instructions for submitting the necessary information:

- Standard Form 85P, "Questionnaire for Public Trust Positions"
- Optional Form 306, "Declaration for Federal Employment"
- SF 87, "Fingerprint Card" (2 copies)
- DHS Form 11000-6, "Non-Disclosure Agreement"
- DHS Form 11000-9, "Disclosure and Authorization Pertaining to Consumer Reports Pursuant to the Fair Credit Reporting Act"

FEMA PSD will only accept complete packages consisting of all of the above document and Standard Form 85P, which must be completed electronically through the Office of Personnel Management's e-QIP system. The Contractor is responsible for ensuring that all contractor personnel timely and properly submit all required background information.

Once contractor personnel have properly submitted the complete package of all required background information, FEMA's Personnel Security Division, at its sole discretion, may grant contractor personnel temporary eligibility to perform work under this contract prior to completion of the full background investigation if the Personnel Security Division's initial review of the contractor personnel's background information reveals no issues of concern. In such cases, FEMA's Personnel Security Division will provide notice of such temporary eligibility to the COR who will then notify the Prime Contractor, at which time the identified contractor personnel will be temporarily eligible to begin work under this contract. Neither the Prime Contractor nor the contractor personnel has any right to such a grant of temporary eligibility. The grant of such temporary eligibility shall not be considered as assurance that the contractor personnel will remain eligible to perform work under this contract upon completion of and final adjudication of the full background investigation.

Upon favorable adjudication of the full background investigation, FEMA's Personnel Security Division will update the contractor personnel's security file and take no further action. In any instance where the final adjudication results in an unfavorable determination FEMA's Personnel Security Division will notify the contractor personnel directly, in writing, of the decision and will provide the COR with the name(s) of the contractor personnel whose adjudication was unfavorable. The COR will then forward that information to the Contractor. Contractor personnel who receive an unfavorable adjudication shall be ineligible to perform work under this contract. Unfavorable adjudications are final and not subject to review or appeal.

## Continued Eligibility and Reinvestigation

Eligibility determinations based on a Low Risk T1, Moderate Risk T2S or High Risk T4 are valid for five years from the date that the investigation was completed and closed. Contractor personnel required to undergo a background investigation to perform work under this contract shall be ineligible to perform work under this contract upon the expiration the background investigation unless and until the contractor personnel have undergone a reinvestigation and FEMA's Personnel Security Division has renewed their eligibility to perform work under this contract.

## Exclusion by Contracting Officer

The Contracting Officer, independent of FEMA's Personnel Security Division, may direct the Contractor be excluded from working on this contract. Any contractor found or deemed to be unfit or whose continued employment on the contract is deemed contrary to the public interest or inconsistent with the best interest of the agency may be removed.

## Privacy Considerations

To accomplish the tasks outlined in this contract, the contractors will have access to PII of first



name, last name, email addresses, and work phone numbers of FEMA employees via Global Address List (GAL) by way of FEMA laptops use. The information sharing is authorized by Routine Use F of DHS/ALL-014 Department of Homeland Security Personnel Contact Information" March 16, 2018 83 FR 11780. The information sharing is also covered by the following Privacy Impact Assessments: DHS/ALL/PIA-015 Web Portal, DHS/ALL/PIA-059 Employee Collaboration Tool.

The Contractor shall use Government furnished facilities, property, equipment and supplies only for the performance of work under this contract and shall be responsible for returning all Government furnished facilities, property, and equipment in good working condition, subject to normal wear and tear.

The contractors will have access to the following PII data elements currently collected in the Benefits Cost Analysis (BCA) Tool: Address or latitude/longitude of the property or site being included in the proposed hazard mitigation project.

The BCA Toolkit previously also collected PII including name, organization, work address, work phone number and work email address from state, local, tribal, territories, and private organization points of origin.

The information sharing is authorized by:

DHS/FEMA/PIA-025 Hazard Mitigation Grant Program (HMGP) System; DHS/FEMA/PIA-006 FEMA National Emergency Management Information System Mitigation Electronic Grants Management System

The contractor will limit access to the PII provided by FEMA under this contract only to the contractor's authorized personnel who need to know the information to accomplish the tasks outlined in this contract.

The contractor shall ensure no computer matching, as that term is defined in 5 U.S.C. § 552a(o), will occur for the purpose of establishing or verifying eligibility or compliance as it relates to cash or in-kind assistance or payments under federal benefit programs.

If at any time during the term of this contract any part of FEMA PII, in any form, that the contractor obtains from FEMA ceases to be required by the contractor for the performance of the contract, or upon termination of the contract, whichever occurs first, the contractor shall, within fourteen (14) days thereafter, promptly notify FEMA and securely return PII to FEMA, or, at FEMA's written request destroy, un-install and/or remove all copies of such PII in the contractor's possession or control, and certify in writing to FEMA that such tasks have been completed.

## **FACILITY ACCESS**

The Contractor shall comply with FEMA Directive 121-1 "FEMA Personal Identity Verification Guidance," FEMA Directive 121-3 "Facility Access," and FEMA Manual 121-3-1 "FEMA Credentialing Access Manual," to arrange for contractor personnel's access to FEMA facilities, which includes, but is not limited to, arrangements to obtain any necessary identity badges for contractor personnel.

Contractor personnel working within any FEMA facility who do not require access to DHS or FEMA IT systems and do not qualify for a PIV Card may be issued a Facility Access Card (FAC). FACs cannot exceed 180 days; all contractors requiring access greater than 180 days will need to qualify for and receive a PIV card before being allowed facility access beyond 180 days.

Contractor personnel shall not receive a FAC until they have submitted a SF 87, "Fingerprint Card," and receive approval from FEMA PSD. Contractor personnel using a FAC for access to FEMA facilities must be escorted in Critical Infrastructure areas (i.e., server rooms, weapons rooms, mechanical rooms, etc.) at all times.

FEMA may deny facility access to any contractor personnel whom FEMA's Office of the Chief Security Officer has determined to be a potential security threat.

The Contractor shall notify the FEMA COR of all terminations/resignations within five calendar days of occurrence. The Contractor must account for all forms of Government-provided identification issued to contractor employees under a contract (i.e., the PIV cards or other similar badges) must return such identification to FEMA as soon as any of the following occurs:

- When no longer needed for contract performance.
- Upon completion of a contractor employee's employment.
- Upon contract completion or termination.

If an identification card or building pass is not available to be returned, the Contractor shall submit a report to the FEMA COR, referencing the pass or card number, name of the individual to whom it was issued, and the last known location and disposition of the pass or card.

The Contractor or contractor personnel's failure to return all DHS- or FEMA-issued identification cards and building passes upon expiration, upon the contractor personnel's removal from the contract, or upon demand by DHS or FEMA may subject the contractor personnel and the Contractor to civil and criminal liability.

## ATTACHMENTS

- No

*If yes, indicate the attachment title and provide a brief explanation of the contents of the attachment.*

▪

## DELIVERABLES

*List each deliverable type expected from this task order. Check all that apply.*

Note: The Deliverables Clarification Form, Attachment A, must be completed to provide the required detail.

- |  |  |
|--|--|
| <input type="checkbox"/> Facilitation of services          | <input checked="" type="checkbox"/> GIS product        |
| <input checked="" type="checkbox"/> Reports & publications | <input checked="" type="checkbox"/> Technical drawings |
| <input checked="" type="checkbox"/> Presentations          | <input checked="" type="checkbox"/> Database           |
| <input checked="" type="checkbox"/> Tools                  | <input type="checkbox"/> Other:                        |

## AUDIENCE

List the intended audience of the deliverable. Check all that apply.

- |   |  |
|---|--|
| <input type="checkbox"/> FEMA – Internal                            | <input checked="" type="checkbox"/> Technical audience |
| <input checked="" type="checkbox"/> General public                  | <input checked="" type="checkbox"/> Local communities  |
| <input checked="" type="checkbox"/> Elected officials/policy makers | <input type="checkbox"/> Other:                        |
| <input checked="" type="checkbox"/> State government                |  |

## COORDINATION

<b>Project Monitor</b> (assigned by Division Director or Branch Chief)	Name	[REDACTED]
	FEMA Office	FEMA Headquarters
	Mailing Address	400 C Street SW, Washington, DC 20024
	Phone	[REDACTED]
	Email	[REDACTED]

<b>Technical Monitor</b> (assigned by Division Director or Branch Chief)	Name	
	FEMA Office	
	Mailing Address	
	Phone	
	Email	

<b>Program Manager</b>	Name	[REDACTED]
	FEMA Office	HQ
	Mailing Address	400 C Street SW, Washington, DC 20472

	Phone	
	Email	

<b>COR</b> (assigned by HMTAP Program Manager)	Name	
	FEMA Office	HQ
	Mailing Address	400 C Street SW, Washington, DC 20472
	Phone	
	Email	

## ITAR Clauses ITAR Clauses

### I. RECORDS MANAGEMENT OBLIGATIONS

#### A. Applicability

This clause applies to all Contractors whose employees create, work with, or otherwise handle Federal records, as defined in Section B, regardless of the medium in which the record exists.

#### B. Definitions

“Federal record” as defined in 44 U.S.C. § 3301, includes all recorded information, regardless of form or characteristics, made or received by a Federal agency under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them.

The term Federal record:

- includes FEMA records;
- does not include personal materials;
- applies to records created, received, or maintained by Contractors pursuant to their FEMA contract; and
- may include deliverables and documentation associated with deliverables.

#### C. Requirements

1. Contractor shall comply with all applicable records management laws and regulations, as well as National Archives and Records Administration (NARA) records policies, including but not limited to the Federal Records Act (44 U.S.C. chs. 21, 29, 31, 33), NARA regulations at 36 CFR Chapter XII Subchapter B, and those policies associated with the safeguarding of records covered by the Privacy Act of 1974 (5 U.S.C. 552a). These policies include the preservation of all records, regardless of form or



- characteristics, mode of transmission, or state of completion.
2. In accordance with 36 CFR 1222.32, all data created for Government use and delivered to, or falling under the legal control of, the Government are Federal records subject to the provisions of 44 U.S.C. chapters 21, 29, 31, and 33, the Freedom of Information Act (FOIA) (5 U.S.C. 552), as amended, and the Privacy Act of 1974 (5 U.S.C. 552a), as amended and must be managed and scheduled for disposition only as permitted by statute or regulation.
  3. In accordance with 36 CFR 1222.32, Contractor shall maintain all records created for Government use or created in the course of performing the contract and/or delivered to, or under the legal control of the Government and must be managed in accordance with Federal law. Electronic records and associated metadata must be accompanied by sufficient technical documentation to permit understanding and use of the records and data.
  4. FEMA and its contractors are responsible for preventing the alienation or unauthorized destruction of records, including all forms of mutilation. Records may not be removed from the legal custody of FEMA or destroyed except for in accordance with the provisions of the agency records schedules and with the written concurrence of the Head of the Contracting Activity. Willful and unlawful destruction, damage or alienation of Federal records is subject to the fines and penalties imposed by 18 U.S.C. 2701. In the event of any unlawful or accidental removal, defacing, alteration, or destruction of records, Contractor must report to FEMA. The agency must report promptly to NARA in accordance with 36 CFR 1230.
  5. The Contractor shall immediately notify the appropriate Contracting Officer upon discovery of any inadvertent or unauthorized disclosures of information, data, documentary materials, records or equipment. Disclosure of non-public information is limited to authorized personnel with a need-to-know as described in the SOO. The Contractor shall ensure that the appropriate personnel, administrative, technical, and physical safeguards are established to ensure the security and confidentiality of this information, data, documentary material, records and/or equipment is properly protected. The Contractor shall not remove material from Government facilities or systems, or facilities or systems operated or maintained on the Government's behalf, without the express written permission of the Head of the Contracting Activity. When information, data, documentary material, records and/or equipment is no longer required, it shall be returned to FEMA control or the Contractor must hold it until otherwise directed. Items returned to the Government shall be hand carried, mailed, emailed, or securely electronically transmitted to the Contracting Officer or address prescribed in the SOO. Destruction of records is EXPRESSLY PROHIBITED unless in accordance with Paragraph (4).
  6. The Contractor is required to obtain the Contracting Officer's approval prior to engaging in any contractual relationship (sub-contractor) in support of this contract requiring the disclosure of information, documentary material and/or records generated under, or relating to, contracts. The Contractor (and any sub-contractor) is required to abide by Government and FEMA guidance for protecting sensitive, proprietary information, classified, and controlled unclassified information.
  7. The Contractor shall only use Government IT equipment for purposes specifically tied to or authorized by the contract and in accordance with FEMA policy.
  8. The Contractor shall not create or maintain any records containing any non-public FEMA information that are not specifically tied to or authorized by the contract.

9. The Contractor shall not retain, use, sell, or disseminate copies of any deliverable that contains information covered by the Privacy Act of 1974 or that which is generally protected from public disclosure by an exemption to the Freedom of Information Act.
10. The FEMA owns the rights to all data and records produced as part of this contract. All deliverables under the contract are the property of the U.S. Government for which FEMA shall have unlimited rights to use, dispose of, or disclose such data contained therein as it determines to be in the public interest. Any Contractor rights in the data or deliverables must be identified as required by FAR 52.227-11 through FAR 52.227-20.

## **II. 508 INFORMATION TECHNOLOGY CLAUSE**

<https://www.dhs.gov/compliance-test-processes>

DHS 508 Tool: <https://www.dhs.gov/xlibrary/oast/DART/>

Note: The 508 IT clause is generated from the DHS 508 Tool on an ad hoc basis.

The 508 IT clause generated from the DHS 508 Tool is inserted into the PWS or SOO or SOO.

### **Accessibility Requirements (Section 508)**

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

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

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

36 CFR 1194.21 Software Applications and Operating Systems, applies to all EIT software applications and operating systems procured or developed under this work statement including but not limited to GOTS and COTS software. In addition, this standard is to be applied to Web-based applications when needed to fulfill the functional performance criteria. This standard also applies to some Web based applications as described within 36 CFR 1194.22.

36 CFR 1194.22 Web-based Intranet and Internet Information and Applications, applies to all Web-based deliverables, including documentation and reports procured or developed under

this work statement. When any Web application uses a dynamic (non-static) interface, embeds custom user control(s), embeds video or multimedia, uses proprietary or technical approaches such as, but not limited to, Flash or Asynchronous Javascript and XML (AJAX) then 1194.21 Software standards also apply to fulfill functional performance criteria.

36 CFR 1194.23 Telecommunications Products, applies to all telecommunications products including end-user interfaces such as telephones and non end-user interfaces such as switches, circuits, etc. that are procured, developed or used by the Federal Government.

36 CFR 1194.26 Desktop and Portable Computers, applies to all desktop and portable computers, including but not limited to laptops and personal data assistants (PDA) that are procured or developed under this work statement.

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

36 CFR 1194.41 Information Documentation and Support, applies to all documents, reports, as well as help and support services. To ensure that documents and reports fulfill the required 1194.31 Functional Performance Criteria, they shall comply with the technical standard associated with Web-based Intranet and Internet Information and Applications at a minimum. In addition, any help or support provided in this work statement that offer telephone support, such as, but not limited to, a help desk shall have the ability to transmit and receive messages using TTY.

### **Section 508 Applicable Exceptions**

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

### **Section 508 Compliance Requirements**

36 CFR 1194.2(b) (COTS/GOTS products), When procuring a product, each agency shall procure products which comply with the provisions in this part when such products are available in the commercial marketplace or when such products are developed in response to a Government solicitation. Agencies cannot claim a product as a whole is not commercially available because no product in the marketplace meets all the standards. If products are commercially available that meet some but not all of the standards, the agency must procure the product that best meets the standards. When applying this standard, all procurements of EIT shall have documentation of market research that identify a list of products or services that first meet the agency business needs, and from that list of products or services, an



analysis that the selected product met more of the accessibility requirements than the non-selected products as required by FAR 39.2. Any selection of a product or service that meets less accessibility standards due to a significant difficulty or expense shall only be permitted under an undue burden claim and requires authorization from the DHS Office of Accessible Systems and Technology (OAST) in accordance with DHS MD 4010.2.

All tasks for testing of functional and/or technical requirements must include specific testing for Section 508 compliance and must use DHS Office of Accessible Systems and Technology approved testing methods and tools. For information about approved testing methods and tools send an email to [accessibility@dhs.gov](mailto:accessibility@dhs.gov).

### **III. DHS - FEMA Enterprise Architecture Compliance**

All solutions and services shall meet DHS Enterprise Architecture policies, standards, and procedures. Specifically, All Contractors shall comply with the following Homeland Security Enterprise Architecture (HLS EA) and FEMA Enterprise Architecture (FEMA EA) requirements:

- a) Compliance with the DHS HLS EA shall be derived from and aligned through the FEMA EA.--All developed solutions and requirements shall be compliant with the FEMA EA.
- b) All IT hardware/software/solutions shall be compliant with the HLS/ FEMA EA Technical Reference Model (TRM) Standards and Products Profile.
- c) If new hardware, software, or infrastructure components are required to develop, test, or implement, these products will be coordinated through the FEMA formal Technology Insertion (TI) process
- d) All products are subject to DHS/FEMA Enterprise Architecture review and approval.
- e) No product(s) may be utilized in any environment that are not included in the FEMA EA TRM Standards and Products Profile.
- f) Description information for all data assets, information exchanges and data standards, whether adopted or developed, shall be submitted to the Enterprise Data Management Office (EDMO) for review, approval and insertion into the DHS Data Reference Model and Enterprise Architecture Information Repository.
- g) Development of data assets, information exchanges and data standards will comply with the DHS Data Management Policy MD 103-01[1] and all data-related artifacts will be developed and validated according to DHS data management architectural guidelines.
- h) Applicability of Internet Protocol Version 6 (IPv6) to DHS-related components (networks, infrastructure, and applications) specific to individual acquisitions shall be in accordance with the DHS Enterprise Architecture (per OMB Memorandum M-05-22, August 2, 2005) regardless of whether the acquisition is for modification, upgrade, or replacement. All EA-related component acquisitions shall be IPv6 compliant as defined in the U.S. Government Version 6 (USGv6) Profile (National Institute of Standards and Technology (NIST) Special Publication 500-267) and the corresponding declarations of conformance defined in the USGv6 Test Program.

[1] Department of Homeland Security (DHS) Directives System, Enterprise Data Management Policy, 2008.



[https://www.dhs.gov/sites/default/files/publications/mgmt\\_directive\\_103\\_01\\_enterprise\\_data\\_management\\_policy.pdf](https://www.dhs.gov/sites/default/files/publications/mgmt_directive_103_01_enterprise_data_management_policy.pdf)

# IV.SAFEGUARDING OF SENSITIVE INFORMATION (MAR 2015)

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

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

“Personally Identifiable Information (PII)” means information that can be used to distinguish or trace an individual's identity, such as name, social security number, or biometric records, either alone, or when combined with other personal or identifying information that is linked or linkable to a specific individual, such as date and place of birth, or mother's maiden name. The definition of PII is not anchored to any single category of information or technology. Rather, it requires a case-by-case assessment of the specific risk that an individual can be identified. In performing this assessment, it is important for an agency to recognize that non-personally identifiable information can become personally identifiable information whenever additional information is made publicly available—in any medium and from any source—that, combined with other available information, could be used to identify an individual.

PII is a subset of sensitive information. Examples of PII include, but are not limited to: name, date of birth, mailing address, telephone number, Social Security number (SSN), email address, zip code, account numbers, certificate/license numbers, vehicle identifiers including license plates, uniform resource locators (URLs), static Internet protocol addresses, biometric identifiers such as fingerprint, voiceprint, iris scan, photographic facial images, or any other unique identifying number or characteristic, and any information where it is reasonably foreseeable that the information will be linked with other information to identify the individual.

“Sensitive Information” is defined in HSAR clause 3052.204-71, Contractor Employee Access, as any information, which if lost, misused, disclosed, or, without authorization is accessed, or modified, could adversely affect the national or homeland security interest, the conduct of Federal programs, or the privacy to which individuals are entitled under section 552a of Title 5, United States Code (the Privacy Act), but which has not been specifically authorized under criteria established by an Executive Order or an Act of Congress to be kept secret in the interest of national defense, homeland security or foreign policy. This definition includes the following categories of information:

(1) Protected Critical Infrastructure Information (PCII) as set out in the Critical Infrastructure Information Act of 2002 (Title II, Subtitle B, of the Homeland Security Act, Public Law 107- 296, 196 Stat. 2135), as amended, the implementing regulations thereto (Title 6, Code of Federal Regulations, Part 29) as amended, the applicable PCII Procedures Manual, as amended, and any supplementary guidance officially communicated by an authorized official of the Department of Homeland Security (including the PCII Program Manager or his/her designee);

Sensitive Security Information (SSI), as defined in Title 49, Code of Federal Regulations, Part 1520, as amended, "Policies and Procedures of Safeguarding and Control of SSI," as amended, and any supplementary guidance officially communicated by an authorized official of the Department of Homeland Security (including the Assistant Secretary for the Transportation Security Administration or his/her designee);

(2) Information designated as "For Official Use Only," which is unclassified information of a sensitive nature and the unauthorized disclosure of which could adversely impact a person's privacy or welfare, the conduct of Federal programs, or other programs or operations essential to the national or homeland security interest; and

(3) Any information that is designated "sensitive" or subject to other controls, safeguards or protections in accordance with subsequently adopted homeland security information handling procedures.

"Sensitive Information Incident" is an incident that includes the known, potential, or suspected exposure, loss of control, compromise, unauthorized disclosure, unauthorized acquisition, or unauthorized access or attempted access of any Government system, Contractor system, or sensitive information.

"Sensitive Personally Identifiable Information (SPII)" is a subset of PII, which if lost, compromised or disclosed without authorization, could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual. Some forms of PII are sensitive as stand-alone elements. Examples of such PII include: Social Security numbers (SSN), driver's license or state identification number, Alien Registration Numbers (A-number), financial account number, and biometric identifiers such as fingerprint, voiceprint, or iris scan. Additional examples include any groupings of information that contain an individual's name or other unique identifier plus one or more of the following elements:

- (1) Truncated SSN (such as last 4 digits)
- (2) Date of birth (month, day, and year)

- (3) Citizenship or immigration status
- (4) Ethnic or religious affiliation
- (5) Sexual orientation
- (6) Criminal History
- (7) Medical Information
- (8) System authentication information such as mother's maiden name, account passwords or personal identification numbers (PIN)

Other PII may be "sensitive" depending on its context, such as a list of employees and their performance ratings or an unlisted home address or phone number. In contrast, a business card or public telephone directory of agency employees contains PII but is not sensitive.

(c) *Authorities.* The Contractor shall follow all current versions of Government policies and guidance accessible at <http://www.dhs.gov/dhs-security-and-training-requirements-contractors>, or available upon request from the Contracting Officer, including but not limited to:

- (1) DHS Management Directive 11042.1 Safeguarding Sensitive But Unclassified (for Official Use Only) Information
- (2) DHS Sensitive Systems Policy Directive 4300A
- (3) DHS 4300A Sensitive Systems Handbook and Attachments
- (4) DHS Security Authorization Process Guide
- (5) DHS Handbook for Safeguarding Sensitive Personally Identifiable Information
- (6) DHS Instruction Handbook 121-01-007 Department of Homeland Security Personnel Suitability and Security Program
- (7) DHS Information Security Performance Plan (current fiscal year)
- (8) DHS Privacy Incident Handling Guidance
- (9) Federal Information Processing Standard (FIPS) 140-2 Security Requirements for Cryptographic Modules accessible at <http://csrc.nist.gov/groups/STM/cmvp/standards.html>
- (10) National Institute of Standards and Technology (NIST) Special Publication 800-53 Security and Privacy Controls for Federal Information Systems and Organizations accessible at <http://csrc.nist.gov/publications/PubsSPs.html>
- (11) NIST Special Publication 800-88 Guidelines for Media Sanitization accessible at <http://csrc.nist.gov/publications/PubsSPs.html>

(d) *Handling of Sensitive Information.* Contractor compliance with this clause, as well as the policies and procedures described below, is required.

(1) Department of Homeland Security (DHS) policies and procedures on Contractor personnel security requirements are set forth in various Management Directives (MDs), Directives, and Instructions. *MD 11042.1, Safeguarding Sensitive But Unclassified (For Official Use Only) Information* describes how Contractors must handle sensitive but unclassified information. DHS uses the term "FOR OFFICIAL USE ONLY" to identify sensitive but unclassified information that is not otherwise categorized by statute or



regulation. Examples of sensitive information that are categorized by statute or regulation are PCII, SSI, etc. The *DHS Sensitive Systems Policy Directive 4300A* and the *DHS 4300A Sensitive Systems Handbook* provide the policies and procedures on security for Information Technology (IT) resources. The *DHS Handbook for Safeguarding Sensitive Personally Identifiable Information* provides guidelines to help safeguard SPII in both paper and electronic form. *DHS Instruction Handbook 121-01-007 Department of Homeland Security Personnel Suitability and Security Program* establishes procedures, program responsibilities, minimum standards, and reporting protocols for the DHS Personnel Suitability and Security Program.

(2) The Contractor shall not use or redistribute any sensitive information processed, stored, and/or transmitted by the Contractor except as specified in the contract.

(3) All Contractor employees with access to sensitive information shall execute *DHS Form 11000-6, Department of Homeland Security Non-Disclosure Agreement (NDA)*, as a condition of access to such information. The Contractor shall maintain signed copies of the NDA for all employees as a record of compliance. The Contractor shall provide copies of the signed NDA to the Contracting Officer's Representative (COR) no later than two (2) days after execution of the form.

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

(c) *Authority to Operate*. The Contractor shall not input, store, process, output, and/or transmit sensitive information within a Contractor IT system without an Authority to Operate (ATO) signed by the Headquarters or Component CIO, or designee, in consultation with the Headquarters or Component Privacy Officer. Unless otherwise specified in the ATO letter, the ATO is valid for three (3) years. The Contractor shall adhere to current Government policies, procedures, and guidance for the Security Authorization (SA) process as defined below.

(1) Complete the Security Authorization process. The SA process shall proceed according to the *DHS Sensitive Systems Policy Directive 4300A* (Version 11.0, April 30, 2014), or any successor publication, *DHS 4300A Sensitive Systems Handbook* (Version 9.1, July 24, 2012), or any successor publication, and the *Security Authorization Process Guide* including templates.

(i) *Security Authorization Process Documentation*. SA documentation shall be developed using the Government provided Requirements Traceability Matrix and Government security documentation templates. SA documentation consists of the following: Security Plan, Contingency Plan, Contingency Plan Test Results, Configuration Management Plan, Security Assessment Plan, Security Assessment Report, and Authorization to Operate Letter. Additional documents that may be required include a Plan(s) of Action and Milestones and Interconnection

Security Agreement(s). During the development of SA documentation, the Contractor shall submit a signed SA package, validated by an independent third party, to the COR for acceptance by the Headquarters or Component CIO, or designee, at least thirty (30) days prior to the date of operation of the IT system. The Government is the final authority on the compliance of the SA package and may limit the number of resubmissions of a modified SA package. Once the ATO has been accepted by the Headquarters or Component CIO, or designee, the Contracting Officer shall incorporate the ATO into the contract as a compliance document. The Government's acceptance of the ATO does not alleviate the Contractor's responsibility to ensure the IT system controls are implemented and operating effectively.

(ii) Independent Assessment. Contractors shall have an independent third party validate the security and privacy controls in place for the system(s). The independent third party shall review and analyze the SA package, and report on technical, operational, and management level deficiencies as outlined in *NIST Special Publication 800-53 Security and Privacy Controls for Federal Information Systems and Organizations*. The Contractor shall address all deficiencies before submitting the SA package to the Government for acceptance.

Support the completion of the Privacy Threshold Analysis (PTA) as needed. As part of the SA process, the Contractor may be required to support the Government in the completion of the PTA. The requirement to complete a PTA is triggered by the creation, use, modification, upgrade, or disposition of a Contractor IT system that will store, maintain and use PII, and must be renewed at least every three (3) years. Upon review of the PTA, the DHS Privacy Office determines whether a Privacy Impact Assessment (PIA) and/or Privacy Act System of Records Notice (SORN), or modifications thereto, are required. The Contractor shall provide all support necessary to assist the Department in completing the PIA in a timely manner and shall ensure that project management plans and schedules include time for the completion of the PTA, PIA, and SORN (to the extent required) as milestones. Support in this context includes responding timely to requests for information from the Government about the use, access, storage, and maintenance of PII on the Contractor's system, and providing timely review of relevant compliance documents for factual accuracy. Information on the DHS privacy compliance process, including PTAs, PIAs, and SORNs, is accessible at <http://www.dhs.gov/privacy-compliance>.

(2) *Renewal of ATO*. Unless otherwise specified in the ATO letter, the ATO shall be renewed every three (3) years. The Contractor is required to update its SA package as part of the ATO renewal process. The Contractor shall update its SA package by one of the following methods: (1) Updating the SA documentation in the DHS automated information assurance tool for acceptance by the Headquarters or Component CIO, or designee, at least 90 days before the ATO expiration date for review and verification of security controls; or (2) Submitting an updated SA package directly to the COR for approval by the Headquarters or Component CIO, or designee, at least 90 days before the ATO expiration date for review and verification of security controls. The 90 day review process is independent of the system production date and therefore it is important that the Contractor build the

review into project schedules. The reviews may include onsite visits that involve physical or logical inspection of the Contractor environment to ensure controls are in place.

(3) *Security Review.* The Government may elect to conduct random periodic reviews to ensure that the security requirements contained in this contract are being implemented and enforced. The Contractor shall afford DHS, the Office of the Inspector General, and other Government organizations access to the Contractor's facilities, installations, operations, documentation, databases and personnel used in the performance of this contract. The Contractor shall, through the Contracting Officer and COR, contact the Headquarters or Component CIO, or designee, to coordinate and participate in review and inspection activity by Government organizations external to the DHS. Access shall be provided, to the extent necessary as determined by the Government, for the Government to carry out a program of inspection, investigation, and audit to safeguard against threats and hazards to the integrity, availability and confidentiality of Government data or the function of computer systems used in performance of this contract and to preserve evidence of computer crime.

(4) *Continuous Monitoring.* All Contractor-operated systems that input, store, process, output, and/or transmit sensitive information shall meet or exceed the continuous monitoring requirements identified in the *Fiscal Year 2014 DHS Information Security Performance Plan*, or successor publication. The plan is updated on an annual basis. The Contractor shall also store monthly continuous monitoring data at its location for a period not less than one year from the date the data is created. The data shall be encrypted in accordance with *FIPS 140-2 Security Requirements for Cryptographic Modules* and shall not be stored on systems that are shared with other commercial or Government entities. The Government may elect to perform continuous monitoring and IT security scanning of Contractor systems from Government tools and infrastructure.

(5) *Revocation of ATO.* In the event of a sensitive information incident, the Government may suspend or revoke an existing ATO (either in part or in whole). If an ATO is suspended or revoked in accordance with this provision, the Contracting Officer may direct the Contractor to take additional security measures to secure sensitive information. These measures may include restricting access to sensitive information on the Contractor IT system under this contract. Restricting access may include disconnecting the system processing, storing, or transmitting the sensitive information from the Internet or other networks or applying additional security controls.

(6) *Federal Reporting Requirements.* Contractors operating information systems on behalf of the Government or operating systems containing sensitive information shall comply with Federal reporting requirements. Annual and quarterly data collection will be coordinated by the Government. Contractors shall provide the COR with requested information within three (3) business days of receipt of the request. Reporting requirements are determined by the Government and are defined in the *Fiscal Year 2014 DHS Information Security Performance Plan*, or successor publication. The Contractor shall provide the Government with all information to fully satisfy Federal reporting requirements for Contractor systems.



(f) *Sensitive Information Incident Reporting Requirements.*

(1) All known or suspected sensitive information incidents shall be reported to the Headquarters or Component Security Operations Center (SOC) within one hour of discovery in accordance with 4300A *Sensitive Systems Handbook Incident Response and Reporting* requirements. When notifying the Headquarters or Component SOC, the Contractor shall also notify the Contracting Officer, COR, Headquarters or Component Privacy Officer, and US-CERT using the contact information identified in the contract. If the incident is reported by phone or the Contracting Officer's email address is not immediately available, the Contractor shall contact the Contracting Officer immediately after reporting the incident to the Headquarters or Component SOC. The Contractor shall not include any sensitive information in the subject or body of any e-mail. To transmit sensitive information, the Contractor shall use *FIPS 140-2 Security Requirements for Cryptographic Modules* compliant encryption methods to protect sensitive information in attachments to email. Passwords shall not be communicated in the same email as the attachment. A sensitive information incident shall not, by itself, be interpreted as evidence that the Contractor has failed to provide adequate information security safeguards for sensitive information, or has otherwise failed to meet the requirements of the contract.

(2) If a sensitive information incident involves PII or SPII, in addition to the reporting requirements in 4300A *Sensitive Systems Handbook Incident Response and Reporting*, Contractors shall also provide as many of the following data elements that are available at the time the incident is reported, with any remaining data elements provided within 24 hours of submission of the initial incident report:

- (i) Data Universal Numbering System (DUNS);
- (ii) Contract numbers affected unless all contracts by the company are affected;
- (iii) Facility CAGE code if the location of the event is different than the prime contractor location;
- (iv) Point of contact (POC) if different than the POC recorded in the System for Award Management (address, position, telephone, email);
- (v) Contracting Officer POC (address, telephone, email);
- (vi) Contract clearance level;
- (vii) Name of subcontractor and CAGE code if this was an incident on a subcontractor network;
- (viii) Government programs, platforms or systems involved;
- (ix) Location(s) of incident;
- (x) Date and time the incident was discovered;
- (xi) Server names where sensitive information resided at the time of the incident, both at the Contractor and subcontractor level;
- (xii) Description of the Government PII and/or SPII contained within the system;
- (xiii) Number of people potentially affected and the estimate or actual number of records exposed and/or contained within the system; and
- (xiv) Any additional information relevant to the incident.

(g) *Sensitive Information Incident Response Requirements.*



(1) All determinations related to sensitive information incidents, including response activities, notifications to affected individuals and/or Federal agencies, and related services (e.g., credit monitoring) will be made in writing by the Contracting Officer in consultation with the Headquarters or Component CIO and Headquarters or Component Privacy Officer.

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

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

- (i) Inspections,
- (ii) Investigations,
- (iii) Forensic reviews, and
- (iv) Data analyses and processing.

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

*(h) Additional PII and/or SPII Notification Requirements.*

(1) The Contractor shall have in place procedures and the capability to notify any individual whose PII resided in the Contractor IT system at the time of the sensitive information incident not later than 5 business days after being directed to notify individuals, unless otherwise approved by the Contracting Officer. The method and content of any notification by the Contractor shall be coordinated with, and subject to prior written approval by the Contracting Officer, in consultation with the Headquarters or Component Privacy Officer, utilizing the *DHS Privacy Incident Handling Guidance*. The Contractor shall not proceed with notification unless the Contracting Officer, in consultation with the Headquarters or Component Privacy Officer, has determined in writing that notification is appropriate.

(2) Subject to Government analysis of the incident and the terms of its instructions to the Contractor regarding any resulting notification, the notification method may consist of letters to affected individuals sent by first class mail, electronic means, or general public notice, as approved by the Government. Notification may require the Contractor's use of address verification and/or address location services. At a minimum, the notification shall include:

- (i) A brief description of the incident;
- (ii) A description of the types of PII and SPII involved;

- (iii) A statement as to whether the PII or SPII was encrypted or protected by other means;
- (iv) Steps individuals may take to protect themselves;
- (v) What the Contractor and/or the Government are doing to investigate the incident, to mitigate the incident, and to protect against any future incidents; and
- (vi) Information identifying who individuals may contact for additional information.

(i) *Credit Monitoring Requirements.* In the event that a sensitive information incident involves PII or SPII, the Contractor may be required to, as directed by the Contracting Officer:

(1) Provide notification to affected individuals as described above; and/or

(2) Provide credit monitoring services to individuals whose data was under the control of the Contractor or resided in the Contractor IT system at the time of the sensitive information incident for a period beginning the date of the incident and extending not less than 18 months from the date the individual is notified. Credit monitoring services shall be provided from a company with which the Contractor has no affiliation. At a minimum, credit monitoring services shall include:

- (i) Triple credit bureau monitoring;
- (ii) Daily customer service;
- (iii) Alerts provided to the individual for changes and fraud; and
- (iv) Assistance to the individual with enrollment in the services and the use of fraud alerts; and/or

(3) Establish a dedicated call center. Call center services shall include:

- (i) A dedicated telephone number to contact customer service within a fixed period;
- (ii) Information necessary for registrants/enrollees to access credit reports and credit scores;
- (iii) Weekly reports on call center volume, issue escalation (i.e., those calls that cannot be handled by call center staff and must be resolved by call center management or DHS, as appropriate), and other key metrics;
- (iv) Escalation of calls that cannot be handled by call center staff to call center management or DHS, as appropriate;
- (v) Customized FAQs, approved in writing by the Contracting Officer in coordination with the Headquarters or Component Chief Privacy Officer; and
- (vi) Information for registrants to contact customer service representatives and fraud resolution representatives for credit monitoring assistance.

(j) *Certification of Sanitization of Government and Government-Activity-Related Files and Information.* As part of contract closeout, the Contractor shall submit the certification to the COR and the Contracting Officer following the template provided in *NIST Special Publication 800-88 Guidelines for Media Sanitization*.

## **V. INFORMATION TECHNOLOGY SECURITY AND PRIVACY TRAINING (MAR 2015)**

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

### *Security Training Requirements.*

All users of Federal information systems are required by Title 5, Code of Federal Regulations, Part 930.301, Subpart C, as amended, to be exposed to security awareness materials annually or whenever system security changes occur, or when the user's responsibilities change. The Department of Homeland Security (DHS) requires that Contractor employees take an annual Information Technology Security Awareness Training course before accessing sensitive information under the contract. Unless otherwise specified, the training shall be completed within thirty (30) days of contract award and be completed on an annual basis thereafter not later

than October 31<sup>st</sup> of each year. Any new Contractor employees assigned to the contract shall complete the training before accessing sensitive information under the contract. The training is accessible at <http://www.dhs.gov/dhs-security-and-training-requirements-contractors>. The Contractor shall maintain copies of training certificates for all Contractor and subcontractor employees as a record of compliance. Unless otherwise specified, initial training certificates for each Contractor and subcontractor employee shall be provided to the Contracting Officer's Representative (COR) not later than thirty (30) days after contract award. Subsequent training certificates to satisfy the annual training requirement shall be submitted to the COR via e-mail notification not later than October 31<sup>st</sup> of each year. The e-mail notification shall state the required training has been completed for all Contractor and subcontractor employees.

The DHS Rules of Behavior apply to every DHS employee, Contractor and subcontractor that will have access to DHS systems and sensitive information. The DHS Rules of Behavior shall be signed before accessing DHS systems and sensitive information. The DHS Rules of Behavior is a document that informs users of their responsibilities when accessing DHS systems and holds users accountable for actions taken while accessing DHS systems and using DHS Information Technology resources capable of inputting, storing, processing, outputting, and/or transmitting sensitive information. The DHS Rules of Behavior is accessible at <http://www.dhs.gov/dhs-security-and-training-requirements-contractors>. Unless otherwise specified, the DHS Rules of Behavior shall be signed within thirty (30) days of contract award. Any new Contractor employees assigned to the contract shall also sign the DHS Rules of Behavior before accessing DHS systems and sensitive information. The Contractor shall maintain

signed copies of the DHS Rules of Behavior for all Contractor and subcontractor employees as a record of compliance. Unless otherwise specified, the Contractor shall e-mail copies of the signed DHS Rules of Behavior to the COR not later than thirty (30) days after contract award for each employee. The DHS Rules of Behavior will be reviewed annually, and the COR will provide notification when a review is required.

*Privacy Training Requirements.* All Contractor and subcontractor employees that will have access to Personally Identifiable Information (PII) and/or Sensitive PII (SPII) are required to take *Privacy at DHS: Protecting Personal Information* before accessing PII and/or SPII. The training is accessible at <http://www.dhs.gov/dhs-security-and-training-requirements-contractors>.

Training shall be completed within thirty (30) days of contract award and be completed on an

annual basis thereafter not later than October 31<sup>st</sup> of each year. Any new Contractor employees assigned to the contract shall also complete the training before accessing PII and/or SPII. The Contractor shall maintain copies of training certificates for all Contractor and subcontractor

employees as a record of compliance. Initial training certificates for each Contractor and subcontractor employee shall be provided to the COR not later than thirty (30) days after contract award. Subsequent training certificates to satisfy the annual training requirement shall be submitted to the COR via e-mail notification not later than October 31<sup>st</sup> of each year. The e-mail notification shall state the required training has been completed for all Contractor and subcontractor employees.