

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

U.S. Department of Homeland Security

Title: Global Catastrophic Risk Assessment

Component/Office: Office of Science and Technology

Directorate/Division: Office of Science and Engineering

FFRDC: Homeland Security Operational Analysis Center (HSOAC)

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1. Challenge

The Global Catastrophic Risk Management Act of 2022 requires the Secretary of the Department of Homeland Security (DHS) and Administrator of the Federal Emergency Management Agency (FEMA) to coordinate an assessment of global catastrophic and existential risk in the next 30 years.

2. Outcome(s)

Comprehensive scientific assessments of the risks from catastrophic and existential risks can help the nation take steps to reduce the likelihood and consequences of events posing these risks, fill gaps in knowledge about these risks through research, identify proposals for how the Federal Government may more adequately assess these risks on an ongoing basis, and develop a strategy to ensure the health, safety, and welfare of populations affected by global catastrophic or existential incidents.

3. Background

The world faces risks from many types of incidents consequential enough to significantly harm or set back human civilization at the global scale (i.e., catastrophic risks) or even result in human extinction (i.e., existential risk). Examples of hazards and threats that pose risks of this nature include:

- severe global pandemics resulting from naturally occurring events and synthetic biology,
- nuclear war,

Page 1 of 19

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- asteroid and comet impacts,
- super volcanoes,
- sudden and severe changes to the climate, and
- intentional or accidental threats arising from the use and development of artificial intelligence.

The Global Catastrophic Risk Management Act of 2022 requires the Secretary of DHS and Administrator of FEMA to:

- coordinate an assessment of global catastrophic risk;
- supplement each Federal Interagency Operational Plan to include an annex containing a strategy to ensure the health, safety, and general welfare of the civilian population affected by catastrophic incidents;
- lead an exercise as part of the national exercise program to test and enhance the operationalization of the strategy; and
- develop and update the strategy based on lessons from the exercise.

This task is intended to support FEMA in meeting the requirements of the Global Catastrophic Risk Management Act related to assessing global catastrophic risk in preparation for meeting the other requirements of the Act.

The assessment is to include the following 9 elements:

1. expert estimates of cumulative global catastrophic and existential risk in the next 30 years, including separate estimates for the likelihood of occurrence and potential consequences;
2. expert-informed analyses of the risk of the most concerning specific global catastrophic and existential threats, including separate estimates, where reasonably feasible and credible, of each threat for its likelihood of occurrence and its potential consequences, as well as associated uncertainties;
3. a comprehensive list of potential catastrophic or existential threats, including even those that may have very low likelihood;
4. technical assessments and lay explanations of the analyzed global catastrophic and existential risks, including their qualitative character and key factors affecting their likelihood of occurrence and potential consequences;
5. an explanation of any factors that limit the ability of the Secretary to assess the risk both cumulatively and for particular threats, and how those limitations may be overcome through future research or with additional resources, programs, or authorities;

6. a forecast of if and why global catastrophic and existential risk is likely to increase or decrease significantly in the next 10 years, both qualitatively and quantitatively, as well as a description of associated uncertainties;
7. proposals for how the Federal Government may more adequately assess global catastrophic and existential risk on an ongoing basis in future years;
8. recommendations for legislative actions, as appropriate, to support the evaluation and assessment of global catastrophic and existential risk; and
9. other matters deemed appropriate by the Secretary, in coordination with the Administrator, and based on the input and coordination required under section 7303.

In producing the risk assessment report, the Global Catastrophic Risk Management Act requires the Secretary of DHS to consult with experts on global catastrophic and existential risks and Federal Partner including but not limited to:

- the Assistant to the President for National Security Affairs;
- the Director of the Office of Science and Technology Policy;
- the Secretary of State and the Under Secretary of State for Arms Control and International Security;
- the Attorney General and the Director of the Federal Bureau of Investigation;
- the Secretary of Energy, the Under Secretary of Energy for Nuclear Security, and the Director of Science;
- the Secretary of Health and Human Services, the Assistant Secretary for Preparedness and Response, and the Assistant Secretary of Global Affairs;
- the Secretary of Commerce, the Under Secretary of Commerce for Oceans and Atmosphere, and the Under Secretary of Commerce for Standards and Technology;
- the Secretary of the Interior and the Director of the United States Geological Survey;
- the Administrator of the Environmental Protection Agency and the Assistant Administrator for Water;
- the Administrator of the National Aeronautics and Space Administration;
- the Director of the National Science Foundation;
- the Secretary of the Treasury;
- the Secretary of Defense, the Assistant Secretary of the Army for Civil Works, and the Chief of Engineers and Commanding General of the Army Corps of Engineers;
- the Chairman of the Joint Chiefs of Staff;
- the Administrator of the United States Agency for International Development; and
- the Secretary of Transportation.

This study will use the best available risk science, principles and guidelines for evaluating the quality of a risk analysis and consider aspects of the analysis including:¹

- framing of the analysis and its interface with decision-making;
- characterization of the phenomena and processes that result in generation of risks;
- communication and engagement about risks with experts, analysts, policy and decisionmakers, and affected and interested populations;
- definition and clarification of assumptions and scope of analysis;
- creation and evaluation of courses of action, including their robustness and resilience;
- characterization of the basis and limitations of knowledge and analysis;
- characterization of uncertainty; and
- documentation, validation, and reporting of analysis and results.

Adherence to these principles helps to ensure analysis provides valid and reliable information to support risk management decision-making.

4. Task Objective(s)

To assist FEMA in meeting the challenge and outcomes described previously, HSOAC will:

- Conduct an assessment of global catastrophic and existential risk posed by severe global pandemics resulting from naturally occurring events and synthetic biology, nuclear war, asteroid and comet impacts, super volcanoes, sudden and severe changes to the climate, and intentional or accidental threats arising from the use and development of artificial intelligence.
- Coordinate a review of the report by subject matter experts and the Federal Partners outlined in the Global Catastrophic Risk Management Act.

5. Technical Approach / Analytic Methodology

To support FEMA in meeting the outcomes and objectives for this study, HSOAC will conduct the following tasks. Throughout completion of all tasks, HSOAC will maintain regular communication with DHS S&T and FEMA through regular meetings and email correspondence.

5.1 Conduct global catastrophic and existential risk assessment

HSOAC will assess the catastrophic and existential risks posed by the following threats and hazards in the next 30 years:

¹ As an example of guidelines for quality risk assessment see J. Lathrop et al (2021) *SRA Risk Analysis Quality Test Release 1.0*, Society for Risk Analysis, available online at <https://www.sra.org/resources/risk-analysis-quality-test/> as of June 8, 2023.

- severe global pandemics resulting from naturally occurring events and synthetic biology,
- nuclear war,
- asteroid and comet impacts,
- super volcanoes,
- sudden and severe changes to the climate, and
- intentional or accidental threats arising from the use and development of artificial intelligence.

The risk assessment will synthesize unclassified, non-Sensitive literature contained in peer-reviewed publications, publicly available government-issued reports, and reports produced by other private research organizations. Literature will be identified through structured keyword searches of research and scientific databases cataloguing peer-reviewed, government, and private research papers and studies. The literature search will not involve interviews with Federal Partners or subject matter experts. Drawing on these sources, HSOAC will:

1. identify catastrophic or existential scenarios associated with the assessed threats and hazards, including even those that may have very low likelihood;
2. develop estimates for the likelihood of occurrence and potential consequences of each assessed threat and hazard;
3. describe factors affecting their likelihood of occurrence and potential consequences;
4. describe factors that limit assessments of catastrophic and existential risk both cumulatively and for particular threats, and how those limitations may be overcome through future research;
5. describe if and why global catastrophic and existential risk is likely to increase or decrease significantly in the next 10 years, both qualitatively and quantitatively, as well as a description of associated uncertainties; and
6. present proposals for how the Federal Government may more adequately assess global catastrophic and existential risk on an ongoing basis in future years.

The results of the assessment will be presented in a manner that is understandable and accessible by non-experts. Products will include both government and RAND issued reports to be shared publicly in a variety of formats such as a fully cited report documenting methods and findings, summary assessments intended for wider audiences, and graphically oriented summaries of the cumulative risks for catastrophic and existential threats intended for wider audiences.

To meet the engagement requirements of the Global Catastrophic Risk Management Act, HSOAC will coordinate review of the draft assessment report review by subject matter experts and the Federal Partners identified in the Global Catastrophic Risk Management Act. Review by subject matter experts will be conducted using HSOAC's confidential peer review process.

Comments from Federal Partners will be collected using a comment matrix and HSOAC will document how comments have been addressed in the revised final report or rationale for not implementing revisions in response to the comments.

To assist DHS in implementing some of the recommendations for further research and proposals for on-going risk assessments, HSOAC will identify recommendations for legislative actions, as appropriate, to support the evaluation and assessment of global catastrophic and existential risk or additional requirements for resources, programs, or authorities. HSOAC will deliver these findings to DHS in the form of a memorandum or briefing intended for the Secretary of DHS and Administrator of FEMA.

5.2 OPTIONAL TASK 1: Expand scope of global catastrophic and existential risk assessment

To provide additional information upon which the Secretary of DHS is able to develop the Strategy for managing catastrophic existential risk, HSOAC will expand the risks assessment conducted in Task 5.1 by:

- Assessing up to 6 additional catastrophic or existential threats or hazards
- Filling gaps in existing literature with formal expert elicitations

HSOAC will develop a list of additional threats and hazards for consideration through consultation with subject matter experts and Federal Partners. The list could include new individual threats and hazards (e.g., severe solar storms) or combinations of threats and hazards assessed in Task 5.1 (e.g., co-occurrence of severe and rapid climate change with nuclear war). HSOAC will work with DHS S&T and FEMA to prioritize the identified additional catastrophic and existential risks and select a subset for analysis under this Task.

For the selected additional threats and hazards, HSOAC will synthesize unclassified, non-Sensitive literature contained in peer-reviewed publications, publicly available government-issued reports, and reports produced by other private research organizations. Drawing on these sources, HSOAC will assess for these new threats and hazards the dimensions of risks and options for future risk assessment covered in Task 5.1.

Based on review of the results of Task 5.1 and prioritization of additional risks in this Task, HSOAC will conduct formal elicitations with subject matter experts to fill gaps in the literature about the likelihood and consequences of catastrophic and existential risks included in the assessment. The elicitations will include validated methods for eliciting probability and other parameter estimates such as structured one-on-one protocols that use methods to correct for recognized judgment and decision-making biases, group elicitation methods such as Delphi exercises that involve deliberation among experts, and group forecasting platforms that poll estimates from large groups of participants. Outputs of this Task will improve assessments by providing information about risks where assessments are not included in the literature or those elicitations that are but do not provide a credible way to compare risks (for instance, due to differences in definitions of risks, scopes of hazards, or elicitation methods used).

The results of this Task will be documented as supplementary volumes to or revisions of the Task 5.1 reports and briefings, as appropriate. HSOAC will coordinate a review of these additional or revised documents with subject matter experts and Federal Partners in a manner similar to that used for Task 5.1.

5.3 OPTIONAL TASK 2: Enhance engagement related to risk assessment results

To increase the validity and awareness of the risk assessment results HSOAC will conduct additional engagements with Federal Partners and subject matter experts.

Additional engagements with Federal partners will involve risk assessment workshops to complement formal document reviews. The goals and agendas for these workshops will depend on the timing of the award of this optional task and the deliverable deadline for the Task 5.1 report. If the optional task is awarded concurrent with the base task, and the deadline for Task 5.1 report can be extended, initial workshops will cover topics related to the scope of hazards assessed and the dimensions of risk covered in the assessments. Subsequent workshops, or those conducted if this optional task is awarded after delivery of Task 5.1 reports, will focus on sharing results of assessments with Federal Partners and considering implications of risk assessments for development of the strategy to manage catastrophic and existential risks.

Additional engagements with Federal partners will include formally involving non-RAND subject matter experts in assessing risks and convene experts across hazard and threat domains to increase awareness of the cumulative risks from global catastrophic and existential risks. HSOAC will work with DHS S&T, FEMA, and Federal Partners to identify potential experts and organizations to engage formally or through convenings. HSOAC will also convene up to two workshops with Federal Partners and subject matter experts to present and discuss draft and final results of the assessments.

Results of additional engagements will be incorporated into the Task 5.1 and Task 5.2 deliverables as possible given the timing of award of this Optional Task.

6. Key Words

Type of Work

Risk analysis, Peer review, Risk assessment

Benefit of Work

Improved health and safety, Improved general welfare, Reduced catastrophic and existential risk

Subject of Interest

Catastrophic risk, Existential risk, Risk assessment

7. Focus Area and Mission Alignment

Page 7 of 19

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

FFRDC proposed total STE: Base: 1.80; Option 1: 2.75; Option 2: 0.84

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

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

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

HSOAC Focus Areas	Mission 1: Prevent Terrorism and Enhance Security	Mission 2: Secure and Manage Our Borders	Mission 3: Enforce and Administer Our Immigration Laws	Mission 4: Safeguard and Secure Cyberspace	Mission 5: Strengthen National Preparedness and Resilience	Mission 6: Maturing and Strengthening Homeland Security
1: Acquisition Studies	0%	0%	0%	0%	0%	0%
2: Preparedness, Response, and Recovery	0%	0%	0%	0%	50%	0%
3: Innovation and Technology Acceleration	0%	0%	0%	0%	0%	0%
4: Homeland Security Threat and Opportunity Studies	0%	0%	0%	0%	50%	0%
5: Personnel Policy and Management Studies	0%	0%	0%	0%	0%	0%
6: Operational Studies	0%	0%	0%	0%	0%	0%
7: Organizational Studies	0%	0%	0%	0%	0%	0%
8: Regulatory, Doctrine, and Policy Studies	0%	0%	0%	0%	0%	0%
9: Research and Development Studies	0%	0%	0%	0%	0%	0%

8. Deliverables and Schedule

The FFRDC shall provide the following deliverables (predicated in calendar days) according to Table 2 below, and the most current Project Management Plan (PMP), as approved by the Project Manager and DHS Contracting Officer or COR.

Table 2: Deliverables

Scope Ref.	Deliverable Name	Delivery Date
All	Project Management Plan (PMP) (Draft)	15 days after award
All	Project Management Plan (PMP) (Final)	30 days after award
All	Task Order Project Kickoff Briefing	Within 30 days of project award date
All	Quarterly update briefings	Every 3 months after award
5.1	Draft risk assessment report	3 months after award
5.1	Final risk assessment report	6 months after award
5.1	Briefing on recommendations to support further research and proposals for on-going risk assessment	5 months after award
5.2	Draft report for additional or revised risk assessments (OPTIONAL TASK 1)	9 months after award of the optional task
5.2	Final report for additional or revised risk assessments (OPTIONAL TASK 1)	12 months after award of the optional task
All	Final Task Completion Memo – Final documentation of deliverables and summary of work performed since final report delivered.	End of Period of Performance

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

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

9. Assumptions

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

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

10. Travel

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

Long Distance Travel

From	To	No. of Trips	No. of Days per Trip
Pittsburgh, PA	Washington, DC	10	2
Los Angeles, CA	Washington, DC	4	3
Boston, MA	Washington, DC	4	2

- Total Number of Trips (All Travelers): 18
- Total Number of Travel Days (All Travelers): 40

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

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

11. Period of Performance

The period of performance of the base task is 20 months from date of task order award assuming that the Optional tasks are awarded within three months of award of the base task.

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

12. Security Requirements.

This Task Order will require access to the following information:

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

12.1 Security requirement #2 (SBU, FOUO) – All unclassified “For Official Use Only” (FOUO) work is expected to occur at the “medium” level per the National Institute of Standards and Technology (NIST) 800-60 (Federal Information Processing Standard (FIPS) Security Categorization) and the Federal Information Security Management Act (FISMA). Any work at the “high” FOUO level per the FISMA, or any work at the classified level, shall be performed on a stand-alone computer system accredited in accordance with the FISMA and applicable DHS policies.

12.2 Security requirement # 2 (SBU, FOUO) – The FFRDC shall adhere to all applicable government laws, regulations, orders, guides, and directives pertaining to classified, Sensitive But Unclassified (SBU), FOUO, or personally identifiable information. The contractor shall safeguard SBU, FOUO information specifically in accordance with DHS Management Directive 11042.1 and in compliance with HSAR Class Deviation 15-01 Safeguarding of Sensitive Information.

12.3 The contractor shall use government accredited IT systems to accomplish this work, when applicable. Sensitive work is generally stored and processed within the HSOAC IT Enclave, or as otherwise noted in the Authorized IT Environment(s) and Data Overview (AIEDO). If classified work is required under this Task Order, the Task Order COR shall provide

specific guidance to the FFRDC as to which work will be conducted in a classified manner and at which classification level. Classified information shall be stored and/or processed at the locations identified below under “Safeguarding/Storage” and as identified in the IDIQ DD 254 or subsequently issued task order DD 254. If such DHS-guidance conflicts with other applicable guidelines (e.g., DOE, DOD, etc.), the FFRDC shall adhere to the more stringent guidelines as determined by the Task Order COR and DHS FFRDC PMO. The FFRDC shall also adhere to other applicable government orders, guides, and directives pertaining to classified or confidential work.

12.4 Authorized IT Environments

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

- Time reporting
- Financial management
- Contract management
- Monthly status reports
- Non-DHS Sensitive project work

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

12.5 DHS Furnished Information

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

12.6 FFRDC Furnished Information

No FFRDC Furnished Information is identified at this time.

12.7 Privacy Compliance Requirements

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

meet privacy requirements. Please have your privacy office reach out to S&T Privacy to see what documentation is available.

13. Safeguarding/Storage:

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

14. Other Contract Details

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

14.1 FFRDC Personnel

Personnel provided by the FFRDC will have the skills and technical background necessary to successfully complete the tasks described in this plan. The FFRDC shall implement and manage the technical approach, organizational resources, management, and quality controls to be employed to meet the cost, performance and schedule requirements throughout task order execution.

14.2 Food and Drink.

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

14.3 Meetings and Workshops

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

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

data and/or experts' views espoused in these meetings; and include an evaluation of the strengths and weaknesses of the various discussion points provided by individuals.

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

14.4 Inherently Governmental Functions

As defined under FAR subpart 7.503 (d) and additionally as described in the Office of Federal Procurement Policy (OFPP) Letter 11- 0 I, Performance of Inherently Governmental and Critical Functions (76 Fed Reg 56227), the FFRDC may perform certain closely associated with inherently Governmental functions. However, in accordance with Federal Acquisition Regulation (FAR) 7.503(c)(20) and Homeland Security Acquisition Manual 3037.103(e), the FFRDC shall not draft Congressional testimony, responses to Congressional correspondence, or agency responses to audit reports from the Inspector General, the Government Accountability Office, or other Federal audit entity. Furthermore, in accordance with FAR 7.503(c)(12)(ii), FFRDC employees, subcontractors, and/or consultants will not be voting members on any DHS source selections. When applicable, FAR clause 52.203-16, "Preventing Personal Conflicts of Interest," as included in the IDIQ contract, will apply to this Task Order.

14.5 Out of Scope Work

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

- Performance of any services and functions as defined under FAR Subpart 7.5 - "Inherently Governmental Functions," specifically subparts 7.503 (a), (b) and (c).
- Performance of any Systems Engineering and Technical Assistance (SETA) type work, particularly where such work is directly for staff augmentation and of a general support nature where the specific type and quantity of deliverables are undefined.
- Preparation of any Independent Government Cost Estimates (IGCEs).
- Participation in any Source Selection Evaluation or any other membership body where voting and/or ranking of proposals will lead to a subsequent monetary or contract award. The FFRDC may provide independent technical evaluation of proposals in

support to a Source Selection Evaluation body but may not provide any ranking, voting or other assigned ordering or selection criteria other than commenting on the technical merit of a particular proposal or proposal section(s). Use of the FFRDC in evaluating an offeror's proposal MUST BE DISCLOSED IN THE SOLICITATION OF PROPOSALS and the offeror(s) given the opportunity to affect non-disclosure agreements and/or withdraw their offer(s), otherwise the FFRDC may not participate.

- Delivering recurring compliance training to DHS employees, particularly that which could reasonably be considered staff augmentation services, is not allowed. Training associated with the transfer of skills from the FFRDC to DHS is acceptable, as long as such training is non-recurring (i.e. train the trainer) and is not intended to be part of a formal established training program. Waivers to this may be requested from the FFRDC COR. Seminars, workshops, and short-courses intended to extend the access and awareness of FFRDC research, research methods, and data sets to practitioners across the Homeland Security Enterprise to assist them in improving mission effectiveness and efficiency is permissible.
- Software and/or hardware development or other manufacturing unless such development is associated with a prototype demonstration or other proof of concept system and not intended to be a permanent solution or in response to formal requirements.

15. Publications and Communications Concerning Work Performed

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

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

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

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

Page 15 of 19

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

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

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

To increase the value of this analysis to the sponsor and DHS, the sponsor is interested in broad sharing of methodologies developed in this task to DHS components and the public. Sharing descriptions of methodologies will allow DHS and its research and analysis partners to extend and further utilize the methods developed in this task in the future. Such descriptions should not reveal DHS Sensitive Data, should not describe the results of DHS or FFRDC assessments of DHS programs or operations, and should not state DHS policy positions. Examples of mechanisms for sharing descriptions of methodologies include but are not limited to HSOAC publications, peer-reviewed journal articles, academic conference presentations, and industry events.

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

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

- Do you want an outreach event as part of the release?

To increase the benefit of the work and accompany release of results, the sponsor is interested in developing a plan to share the results with appropriate audiences. To

accomplish this, the sponsor will work with HSOAC to develop an appropriate dissemination strategy that will support accomplishment of the objectives outlined in this TEP. Examples of components of a dissemination strategy could include briefings of results to DHS leadership within the sponsor's agency, briefings of results to DHS partners or oversight organizations, HSOAC or DHS press releases to accompany release of non-DHS sensitive results or methodology developments, presentations at scientific associations or industry events, and/or HSOAC or DHS hosted meetings or symposia. The specific elements of the dissemination strategy will be determined during the planning process throughout the study.

- Would you be interested in having the PMO assist with the release of favorable results?
To increase the benefit of this work, the sponsor welcomes assistance from the PMO to complement HSOAC and sponsor dissemination of results. As dissemination planning proceeds throughout the study, the sponsor will work with HSOAC to identify opportunities to leverage the PMO to enhance the dissemination strategy and include the PMO into the planning process appropriately.

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

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

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

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

- a) Additional DHS property will not be provided to the FFRDC unless otherwise agreed. If DHS property is provided to the FFRDC for task performance, the FFRDC shall maintain property records, sending a yearly report of all items currently attached to the task order to the COR| FFRDC and the Program Manager and a disposition of the property must be completed at the end of the period of performance.

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

17. Invoices

HSOAC will submit invoices on the 20th of each month. If the 20th of a month is a weekend or federally recognized holiday, the invoice shall be submitted on the first operating business day thereafter. Invoices should be submitted to the following accounts: [REDACTED]

18. Points of Contact

Government POCs	Corresponding FFRDC POCs
Program Manager [REDACTED] Senior Science Advisor DHS S&T\OSE\TCD [REDACTED]	FFRDC Task Lead [REDACTED] Senior Policy Researcher The RAND Corporation [REDACTED]
Contracting Officer's Representative [REDACTED] FFRDC PMO Deputy Director and COR DHS S&T/OIC/FFRDC [REDACTED]	FFRDC Program Director/Portfolio Manager [REDACTED] Director, Disaster Management & Resilience Program, HSOAC Homeland Security Research Division The RAND Corporation [REDACTED]
Contract Officer [REDACTED]	FFRDC Contracts Leads [REDACTED]

Contracting Officer Office of Procurement Operations Science and Technology Acquisition Division Department of Homeland Security Washington, DC 20528 [REDACTED]	HSOAC Contract Administrator The RAND Corporation [REDACTED]
Suitability/Fitness Point of Contact [REDACTED] Security Specialist S&T/ASD/SEC [REDACTED]	FFRDC Security Staff [REDACTED]

<< Insert alternate POCs and add titles as necessary. >>

Additional Points of Contact (Optional)	Notes:
Alternate (PM, COR, etc.) Insert name Insert title Insert organization Insert phone number Insert email address	
Alternate (PM, COR, etc.) Insert name Insert title Insert organization Insert phone number Insert email address	