



Department of Homeland Security  
Science and Technology (S&T) Directorate

MISSION CAPABILITY AND SUPPORT DIVISION

BROAD AGENCY ANNOUNCEMENT (BAA)  
70RSAT21RB0000004

Public Safety and Violence Prevention (PSVP)

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## **1. GENERAL INFORMATION**

### **1.1. Introduction**

This solicitation is a Broad Agency Announcement (BAA) as contemplated in Federal Acquisition Regulations (FAR) 6.102(d)(2) and 35.016. A formal Request for Proposal (RFP) will not be issued in this matter. This announcement will be joined by an initial Call requesting white papers and proposals. This BAA is issued in support of Department of Homeland Security (DHS) Science and Technology Directorate (S&T) Mission Capability and Support Office (MCS) Public Safety and Violence Prevention (PSVP) targeted research and development (R&D) program.

This PSVP BAA will be open for five years from the date publicized on the Government's Point of Entry (GPE), [beta.sam.gov](https://beta.sam.gov) website. The strategy for a five-year BAA with the ability to make Calls throughout the life of the BAA will allow for quick and efficient delivery of practical R&D services to generate potential solutions for each Topic Area.

Periodically during the five years, individual Calls for white papers or proposals responding to the specified PSVP program capability need will be solicited in [beta.sam.gov](https://beta.sam.gov) against this BAA. Each Call will (1) identify specific details regarding the Call Topic Area, (2) identify submission instructions in addition to those outlined in this BAA, and (3) contain a common cutoff date for submissions. The Call details will be such that interested and capable contractors can tailor a response and provide a submission in response to the Call.

### **1.2. Program Mission and Objectives**

The U.S. Department of Homeland Security (DHS) is committed to using cutting-edge technologies and providing scientific expertise in its quest to make America safer. The DHS Science and Technology Directorate (S&T) mission is to enable effective, efficient, and secure operations across all homeland security missions by applying scientific, engineering, analytic, and innovative approaches to deliver timely solutions and support Department acquisitions. To fulfill this mission, the Public Safety and Violence Prevention (PSVP) program within the Office of Mission and Capability Support (MCS) aims to conduct evidence-based research to better understand an evolving threat landscape in an effort to enhance and/or build tools and techniques when it comes to enhancing public safety while preventing acts of violence from impacting our communities. The goal of the Public Safety and Violence Prevention program is to develop high quality data and evidence to better inform policy and practice by improving the effectiveness of public safety and violence prevention efforts implemented by federal, state, local, tribal, territorial and non-governmental stakeholders. This research will enable policy makers and operational end-users to make informed decision to divert vulnerable individuals, prevent potential offenders, mitigate vulnerabilities, and enhance community resilience in the face of various social and behavioral threats.

Due to the growing number of threats our nation is combating, the PSVP utilizes the tools available to access a broad set of expertise drawn from the fields of psychology, economics, criminology, political science, sociology, biostatistics, and other social and evaluation disciplines to assist in the development of novel and unique solutions as products are delivered for emerging

component capability needs. Knowledge and findings from this research will be transferred to federal, state, local, and private organizations to enable education and awareness to reinforce a whole-of-society prevention architecture. These prevention efforts will equip and empower local efforts – including peers, teachers, community leaders, and law enforcement—to minimize a threat as it evolves while enhancing emergency preparedness and response.

The primary components driving requirements for the PSVP are the Office of Targeted Violence and Threat Prevention (OTVTP), Policy Office (PLCY), Cybersecurity and Infrastructure Security Agency (CISA), Federal Emergency Management Agency (FEMA). S&T will continue to work closely with other DHS operational components such as U. S. Customs and Border Patrol (CBP), Homeland Security Investigations (HIS), U. S. Immigration and Customs Enforcement (ICE), and others to identify and incorporate their unique requirements as funding and time allows.

This BAA will support the development of new scientific data on nature of threats; both man-made and of natural causes; crimes, organizations and individuals to better understand where, when, and how to best intervene and prevent future public safety threats. This BAA supports the Departments Strategic Plan 2020-2024, the Strategic Framework for Countering Terrorism and Targeted Violence (September 2019), Presidential Policy Directive 8: National Preparedness (2011), Presidential Policy Directive 21: Critical Infrastructure Security and Resilience (2013), and the Strategic Framework to Combat Human Trafficking, Forced Labor, and Child Exploitation (January 2020). The goal of this research activity is to inform policy, strategy, tactics, techniques, and procedures at the Department and local level.

### **1.3. Foreign Government Participation**

Security is a global concern and DHS has collaborative activities with several countries. As a result, research conducted under this BAA might have foreign government participation for purposes of determining joint-funding and to include joint participation in overseeing projects throughout the contract period of performance. Foreign government participation will be determined by Topic Area for each Call based on DHS collaboration and may include any of the following international partners: (a) the United Kingdom of Great Britain and Northern Ireland; (b) the Government of Australia; (c) the Government of Canada; (d) the Kingdom of the Netherlands; (e) the European Union; (f) the Government of Germany; (g) the Government of Israel; (h) the Kingdom of Sweden; (i) the Government of New Zealand; (j) the Government of Singapore; and (k) the Government of the United Arab Emirates.

Intellectual Property Implications: Offerors should note that, in the case of individual calls where a foreign government is a participant, the technical annex or other governing document may require that the foreign government acquire the same rights as the United States.

### **1.4. Agency Name**

Department of Homeland Security  
Science & Technology Directorate  
Washington, DC 20528

### **1.5. Research Opportunity Title**

Public Safety and Violence Prevention

### **1.6. Program Name**

Public Safety and Violence Prevention

### **1.7. Research Opportunity Number**

The number on the cover page of this BAA.

### **1.8. Response Dates**

This announcement is accompanied by an individual call for proposals that will be posted in [beta.sam.gov](http://beta.sam.gov). Each individual Call will identify submission requirements for white papers or proposals.

### **1.9. Government Representatives**

Program.

Ajmal Aziz  
Public Safety and Violence Prevention (PSVP) Program Manager  
Mission and Capability Support Office  
DHS Science & Technology  
245 Murray Lane, #0200  
Washington DC, 20528

Business.

Joseph Pianese  
Contracting Officer  
Department of Homeland Security  
Office of Procurement Operations  
Science & Technology Acquisitions Division

### **1.10. Inquiries**

All contractual or technical inquiries to this BAA must be submitted to: [PSVP@HQ.DHS.GOV](mailto:PSVP@HQ.DHS.GOV). The program and technical staff will not acknowledge, forward, or respond to any inquiries received in any other manner concerning this BAA or Calls issued against this BAA. Contractual questions and answers will be posted periodically in <http://beta.sam.gov/> under the announcement for this BAA. All inquiries must be in writing and will not be answered verbally.

For inquiries regarding use of the DHS S&T BAA Portal, refer to paragraph 10.3 below for information on contacting the portal Help Desk.

## **2. RESEARCH OPPORTUNITY DESCRIPTION**

### **2.1. Anticipated Topic Areas (TAs):**

The following TAs are representative only.

- Countering Human Trafficking and Child Exploitation
- National Preparedness and Emergency Response
- Countering Foreign Influence Survey

The above TAs are provided to help interested offerors understand the potential PSVP program technical areas. A specific TA will be identified in each Call.

## **2.2. Type Classifications**

The Type Classification assigned depends on the maturity of the technology proposed. Offerors submitting white papers and proposals will be required to identify which of the following Type Classifications align with your submission. DHS S&T has the ability to use a phased or stepped approach on Calls, as needed, for various technology levels, e.g., progressing from Type I to Type II, then to Type III.

For actions classified as Type I (New Technologies), the award will include an applied research phase and a development phase, while also including technology demonstrations in an operational environment. The emphasis for this type classification is on R&D with the technology demonstrations in an operational environment. Type I awards will have up to a three-year total period of performance, not including operational evaluation, pilot, and/or transition options.

For actions classified as Type II (Prototype Technologies), the award will include a development phase, while also including technology demonstrations in an operational environment. Type II awards will have up to a two-year total period of performance, not including operational evaluation, pilot, and/or transition options.

For actions classified as Type III (Mature Technologies), the award will follow a demonstration-upgrade/development-demonstration structure including technology demonstrations in an operational environment. Type III awards will have up to a 12-month total period of performance, not including operational evaluation, pilot, and/or transition options.

For actions classified as Type IV (Basic Research), the award will include experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts. Type IV awards will have up to a 12-24 month total period of performance.

BAA awards may consist of basic and applied research contracts, cooperative agreements and/or other transactions agreements, to include technology development and demonstration.

## **3. TESTING AND EVALUATION FACILITIES**

Performers may be required to test and evaluate their capabilities with respect to project goals. Offerors should consider the specific test and evaluation requirements of the proposed technical solutions, identify in the proposal the primary test environment to be used to conduct testing and evaluation, and include a description of the test and evaluation methodology appropriate for the

proposal.

#### **4. AWARD INFORMATION**

##### **4.1. Anticipated Funding for the Program**

Although subject to official fiscal appropriations, it is anticipated that PSVP will have a total budget of \$15M over the next 5 years to support this BAA. The estimated value is not a promise of assured funding in that amount. Funding is uncertain and is subject to change. Changes in availability may occur as a result of Government discretion.

Depending on interest in particular submissions, individual awards may be jointly funded from any of the foreign countries identified in paragraph 1.3 above.

##### **4.2. Anticipated Number of Awards**

The total number of awards under this solicitation is unknown. However, one or more awards may be made from each Call issued during the 5-year open period of this BAA.

##### **4.3. Anticipated Award Types**

It is anticipated awards made for each Call issued against this BAA will be in the form of cost reimbursement type contracts. However, the Government reserves the right to award firm-fixed price contracts, cooperative agreements, Other Transactions (OTs) (if the offeror is eligible for an OT and if OTs are authorized by law at time of award), or interagency agreements to appropriate parties should the situation warrant.

In the event an offeror or subcontractor is a Federally Funded Research and Development Center (FFRDC), Department of Energy National Laboratory, or other Federally funded entity, DHS S&T Program Manager will work with the appropriate sponsoring agency to issue an interagency agreement pursuant to the Economy Act (31 U.S.C. 1535) or other appropriate authority.

##### **4.4. Expected Amount of Individual Awards**

Individual award amounts will vary per Call. Therefore, any specified award per Type Classification will be identified on a Call by Call basis.

##### **4.5. Anticipated Period of Performance for Individual Awards**

Paragraph 2.2 above identifies the period of performance for awards made under each Type Classification. Note that submissions must propose the first year of performance as a base period with each additional year as a separate option period. Each period of performance must have a usable/meaningful deliverable(s) that should the Government be unable to obtain funds for any option period, the Government can clearly show value for the money expended to date.

#### **5. ELIGIBILITY INFORMATION**

This BAA is open to ALL responsible sources domestic or foreign. Foreign or foreign-owned offerors are advised that their participation is subject to the foreign disclosure review procedures,

applicable export control laws, and other applicable federal laws, regulations, and policies pertaining to foreign entities. It is the intent of R&D contracting to obtain a broad base of the best contractor resources from the scientific and industrial community, to include small businesses and as a result, no portion of this BAA will be set aside pursuant to FAR Part 19.502-2 Offerors may include (but are not limited to):

- Single entities or teams from private-sector organizations;
- Government laboratories;
- FFRDCs, including Department of Energy National Laboratories and Centers, are eligible to respond to this BAA, individually or as a team member of an eligible principal Offeror, so long as they are permitted under a sponsoring agreement between the Government and the specific FFRDC.
- Historically Black Colleges and Universities (HBCUs);
- Minority Institutions (MIs);
- Small & Small Disadvantaged Business concerns, including Women-Owned Small Business concerns, Veteran-Owned Small Business concerns, Service-Disabled Veteran- Owned Small Business concerns, and Historically Underutilized Business Zone (HUBZone) Small Business concerns; and
- Any academic institutions or non-profit organizations not included in the above categories.

## **6. DOWNLOAD OF THIS BAA**

This BAA should be read in its entirety by any entity considering a submission in response to any Call issued against this BAA. This BAA can be downloaded in its entirety from the website at <http://beta.sam.gov/>. A link to the direct beta.sam.gov location for this BAA can be found in the DHS S&T BAA Portal located at <https://baa2.st.dhs.gov>. Registration is not required to access the beta.sam.gov link in the DHS S&T BAA Portal to this BAA; however, registration in the portal is required to upload any submissions responding to any Calls issued against this BAA.

## **7. REGISTRATION IN DHS S&T BAA PORTAL (Must be completed prior to uploading any submissions.)**

### **7.1. Access to DHS S&T BAA Portal**

The DHS S&T BAA Portal located at <https://baa2.st.dhs.gov> offers electronic access to BAA Calls, frequently asked questions (FAQs), answers to FAQs, abstracts of previously funded projects, and hyperlinks to other useful information.

### **7.2. Company/Organization Registration**

As stated in paragraph 1.8 above, this announcement does not request any white papers or proposals at this time. Calls requesting white papers or proposals will be accomplished via solicitations posted in beta.sam.gov. The DHS S&T BAA Portal will not allow submissions (white papers or proposals) in response to Calls issued against this BAA to be uploaded for any entity that has not completed a company/organization registration in the portal.

**IMPORTANT:** Any entity responding to any Call issued against this BAA must first register your

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company or organization at <https://baa2.st.dhs.gov>. For specific information regarding how to register and regarding the submission of documents in the DHS S&T BAA Portal, refer to paragraph 10 below.

## **8. WHITE PAPER SUBMISSION REQUIREMENTS**

### **8.1. Calls May Request White Papers**

Calls issued against this BAA may request the submission of white papers. Submission requirements for white papers, when requested, shall be in accordance with this announcement unless otherwise amended in the individual Call. Offerors should be alert for any amendments to individual Calls that may permit extensions to the submission date identified in the particular Call or modify terms and conditions of a particular Call.

### **8.2. Submission Dates and Times**

Submission dates and times will be identified in each Call. White papers WILL NOT BE ACCEPTED after the established due date. There will be no exceptions to the time and date on which responses are due, unless determined otherwise by the Government.

### **8.3. No Classified Documents**

No classified white papers will be accepted.

### **8.4. No Proposal Submission Authorized Without White Paper Submission**

If a Call request a white paper submission, offerors must submit a white paper that can be evaluated in order to be considered for participation in the submission of proposals. Offerors are not eligible to submit a proposal for any white paper rejected as non-compliant. For more information regarding non-compliant white paper submissions, refer to Section 8.8 below.

### **8.5. Multiple White Papers**

Multiple white papers per Call may be submitted. Each submitted white paper must comply with the terms outlined herein.

### **8.6. White Paper Format**

White papers may include narrative, pictures, figures, tables, and charts, and must be accompanied by a one-page quad chart. Format details are:

- Paper Size: 8.5-by-11-inch paper.
- Margins: 1 inch.
- Spacing: Single or double-spaced.
- Font: Times New Roman, no smaller than 12 point. Text embedded within graphics; pictures, figures or tables in the body of the white paper or the quad chart may not be smaller than 10 point.
- Number of Pages: Unless otherwise specified in the Call, no more than twelve single-sided pages consisting of the following shall be submitted:
  - A one-page cover page (refer to paragraph 8.7 below for details regarding cover page requirements);

- Ten pages of technical content (refer to paragraph 8.7 below for details regarding technical content requirements); and
- A one-page quad chart (refer to paragraph 9.6 below for quad chart format).

WHITE PAPERS EXCEEDING THE DESIGNATED PAGE LIMIT WILL BE REJECTED AS NON-COMPLIANT AND WILL NOT BE EVALUATED. FOR MORE INFORMATION REGARDING NON-COMPLIANT WHITE PAPER SUBMISSIONS, REFER TO SECTION 8.8 BELOW.

- Proprietary Marking. The offeror is required to appropriately mark any proprietary information contained in any white paper to be submitted in response to any Call issued against this BAA.
- Export Control Marking. See Section 12.5.
- The white paper submission uploaded to the DHS S&T BAA Portal shall consist of ONE electronic file in portable document format (PDF). The quad chart must be submitted in the same file as the white paper. The file size must be no more than 10 megabytes (MB).

### **8.7. White Paper Content**

White papers shall include, at a minimum, the following:

- Cover Page. The cover page shall include the following:
  - White Paper Registration Number (assigned when the offeror registers the white paper submission in the DHS S&T BAA Portal; therefore, if submitting more than one white paper, registration must be completed for each submission).
  - Call number, i.e., “70RSAT21RB0000004 Call 0001”, which will be identified in each individual solicitation;
  - Title of white paper;
  - Name of offeror’s organization and offeror’s administrative and technical points of contact, including name, address, telephone and facsimile numbers, and email addresses. If multiple organizations are participating, identify the above information for each organization;
  - Identify whether the offeror (and each organization participating) is a US or foreign owned entity;
  - Type Classification as described in paragraph 2.2 above (Type I, Type II, or Type III) that aligns with the proposed technology; and
  - Signature and title of an authorized representative of the entity submitting the white paper. If multiple organizations are participating, one signature from the principal/leading organization is acceptable.
- Quad Chart. A quad chart shall be included and shall be in the format identified in paragraph 9.6 below.
- Technical Content. The remaining pages of the white paper shall consist of the following information:
  - Provide a description of the basic scientific or technical concepts that comprise the proposed solution to the problem described in the Call specific TA.
  - Explain what is unique about the proposed solution and what advantages it might afford compared to other approaches that have been taken in this area. Illustrate the particular scientific, technical, or engineering issues that need to be addressed and resolved to demonstrate feasibility.

- Describe the approach and required resources to test and evaluate the proposed technologies with respect to Call specific TA goals.
- In the technical discussion, the offeror should: discuss how the proposed solution will address program requirements; demonstrate your understanding of the problem; clearly identify all risks and associated mitigation approaches; and present a clear plan and schedule to provide a solution to the problem presented by each Topic Area.
- If offerors desire to use proprietary software or technical data or both as the basis of their proposed approach, in whole or in part, the white paper must 1) clearly identify such software/data and its proposed particular use(s); 2) explain how the Government will be able to reach its goals (including transition) within the proprietary model offered; and 3) provide possible nonproprietary alternatives in any area that might present transition difficulties or increased risk or cost to the Government under the proposed proprietary solution.
- Personnel and Performer Qualifications and Experience. Briefly describe the offeror's qualifications and experience in similar development efforts. Present the qualifications of the principal technical personnel and any key personnel, who, if a resultant award is made, will be subject to any key personnel clauses included in the resultant award. Describe the extent of your team's past experience in working with or developing the technologies comprising your solution. For submissions that include multiple organizations, all organizations must be identified. Include a description of what role each organization will play in the project. Identify appropriate technical personnel for each organization and each team member's past experience in technical areas related to the white paper. In teaming situations, the lead/prime organization must remain the same on both the white paper and, if selected, the proposal.
- Costs, Work, and Schedule: Provide a brief summary of the planned work, costs, and schedule required to execute your project, summarized by major tasks.
- Company to Company Agreement with Systems Engineering and Technical Assistance (SETA) contractor. This Agreement shall be included in accordance with paragraph 11.4 and does not count against the white paper page count.

### **8.8. Non-compliant White Papers**

White papers submitted that do not comply with the white paper submission requirements outlined in this BAA as well as any additional submission requirements outlined in the respective Call under which the white paper is being submitted will result in the white paper being determined non-compliant and rejected without evaluation. Examples of non-compliant white papers include, but are not limited to:

- Total contract value proposed in the white paper is greater than the "Type Classification Ceilings" identified in the respective Call;
- Total number of pages submitted does not comply with the page count limitations identified in the respective Call; or
- Submission requirements are not met, such as the one page limitation for the cover page and the quad chart (as required by 8.7 above) is exceeded, etc., or the Company to

Company Agreement is not submitted.

## **9. PROPOSAL SUBMISSION REQUIREMENTS**

### **9.1. Submission Requirements**

Submission requirements for proposals shall be in accordance with this announcement unless otherwise amended in the individual Call. Offerors should be alert for any amendments to individual Calls that may permit extensions to the submission date identified in the particular Call or modify terms and conditions of a particular Call.

### **9.2. Submission Dates and Times**

Submission dates and times will be identified in each Call. Proposals WILL NOT BE ACCEPTED after the established due date. There will be no exceptions to the time and date on which responses are due, unless determined otherwise by the Government.

### **9.3. No Classified Documents**

No classified proposals will be accepted.

### **9.4. Multiple Proposals**

If only proposals (no white papers) have been requested by the individual Call, then multiple proposals may be submitted. When white papers are requested by the individual Call, then offerors must submit a white paper in order to be considered for participation in the submission of proposals. Each submitted proposal must comply with the terms outlined herein.

### **9.5. Proposal Format**

- Proposals will consist of two volumes:
  - Volume 1 - Technical Proposal
  - Volume 2 - Cost Proposal
- For each volume, the following format shall apply:
  - Paper Size – 8.5-by-11-inch paper.
  - Margins – 1 inch.
  - Spacing – Single- or double-spaced.
  - Font – Times New Roman, 12 point. Text embedded within graphics or tables in the body of the proposal or the quad chart should be legible and not smaller than 10 point.
  - Number of Pages: Unless otherwise specified in the Call, page limitations for each volume are as follows:
    - Volume 1, Technical Proposal: 30 single-sided pages (all parts inclusive)
    - Volume 2, Cost Proposal: No page limitation

PROPOSALS EXCEEDING THE DESIGNATED PAGE LIMIT IDENTIFIED IN EACH CALL WILL BE REJECTED AS NON-COMPLIANT AND WILL NOT BE EVALUATED. FOR MORE INFORMATION REGARDING NON-COMPLIANT PROPOSAL SUBMISSIONS, REFER TO SECTION 9.7 BELOW.

- Proprietary Marking. The offeror is required to appropriately mark any proprietary information contained in any proposal to be submitted in response to any Call issued

- against this BAA.
- Export Control Marking. See Section 12.5.
- The proposal submission uploaded to the DHS S&T BAA Portal shall consist of one electronic file for the Technical Volume and one electronic file for the Cost Volume. Electronic files will be in portable document format (PDF). The quad chart must be submitted in the same file as the Technical Volume. The file size must be no more than 10 MB.

## 9.6. Proposal Content

Volume 1: Technical Proposal. Volume 1, Technical Proposal, shall be in the form of a technical volume and a cost proposal overview. Page count limitation for technical proposals will be identified in each Call issued under this BAA. Compliance with the order and content listed below as well as any additional submission requirements identified in the respective Call under which the proposal is being submitted is important to assure thorough and fair evaluation of proposals. The submission of other supporting materials with the proposal is prohibited and, if submitted, will not be reviewed. Non-compliant proposals will be rejected without review. The technical proposal shall include the following:

- Cover Page. Provide a one-page cover page. Title the cover page “Volume 1 - Technical Proposal” and also ensure the following information is included:
  - Proposal Registration Number (assigned when the offeror registers the proposal submission in the DHS S&T BAA Portal; therefore, if submitting more than one white paper, registration must be completed for each submission).
  - Call number, i.e., “70RSAT21RB0000004 Call 0001”, which will be identified in each individual solicitation;
  - Title of proposal;
  - Name of offeror’s organization and offeror’s administrative and technical points of contact, including name, address, telephone and facsimile numbers, and email addresses;
  - Whether offeror is US or foreign owned entity;
  - Identity of prime offeror and complete list of subcontractors or consultants, if applicable, otherwise indicate that there are no subcontractors or consultants;
  - Type Classification as described in paragraph 2.2 above (i.e., Type I, Type II, or Type III)
  - Duration of effort. Separately identify the base effort and any options;
  - Identify understanding and compliance with the below paragraph 12.7, Publication of Research Results. If additional internal approvals are required in order to comply with this requirement, then those approvals are to be obtained PRIOR to submission of any proposal.
  - In accordance with FAR 4.1201, prospective offerors for contracts and for OTs involving prototypes shall state the certifications in System for Award Management (SAM) database at <https://www.sam.gov> have been completed and shall provide the certification validity period; and
  - The signature and title of an authorized representative of the entity submitting the proposal.

- Official Transmittal Letter. Provide a one-page official transmittal letter with authorizing official signature. For the electronic submission, the letter can be scanned into the electronic proposal. The letter of transmittal shall include, at a minimum, the following:
  - Whether the proposal has been submitted to a Government agency other than DHS and, if so, specify which agency and the date it was submitted.
  - The required disclosure regarding organizational conflict of interest identified in paragraph 12.4 below.
  - A statement that the offeror's proposal is available for award for 180 days beyond the date of proposal submission.
- Quad Chart. A quad chart shall be included and, including graphics or tables, will not use any font smaller than 10-point and will be organized as shown in the figure below.

BAA Number: _____ Offeror Name: _____ Title: <i>(Brief/Short Title to Describe Offeror's Proposed Effort)</i> _____ Date: _____	
<p><b>Photograph or artist's concept:</b>  <i>Provide a simple but sufficiently detailed graphic that will convey the main idea of the final capability/use/system prototype demonstration in an operational environment, and its technological methodology.</i></p>	<p><b>Operational Capability:</b></p> <ol style="list-style-type: none"> <li>1. <i>Performance targets</i></li> <li>2. <i>Quantify performance for key parameters</i></li> <li>3. <i>Cost of ownership or licensing, if applicable.</i></li> <li>4. <i>Address how the proposed development addresses the goals in the BAA call.</i></li> </ol>
<p><b>Proposed Technical Approach:</b></p> <ol style="list-style-type: none"> <li>1. <i>Explain how it would meet the goals detailed in the BAA call.</i></li> <li>2. <i>Describe tasks to be performed for base period.</i></li> <li>3. <i>Describe current status of the proposed technology.</i></li> <li>4. <i>Describe any actions done to date.</i></li> <li>5. <i>Describe any related ongoing effort by the offeror.</i></li> </ol>	<p><b>Schedule, Cost, Deliverables, &amp; Contact Info:</b>  <i>Provide any milestone decision points that will be required. Describe period of performance and total costs. Include the base performance period cost and length, and estimates of cost and lengths of possible option(s).</i></p> <p><i>Deliverables:</i>  <i>Include all hardware, software and data deliverables.</i></p> <p><i>Corporate Information:</i>  <i>You must include Offeror Name, POC full name, address, phone numbers and e-mail.</i></p>

- **Abstract.** Provide a one-page synopsis of the entire proposal, including the total anticipated costs of the proposal. This page should include the proposal title and offeror name, along with a description of the scientific, technical, engineering, and management approach being proposed to address the goals of the respective BAA Call. It also should describe how the approach is unique, and provide a brief summary of the technology's anticipated performance relative to the respective BAA Call goals. This section shall be separable (i.e., it will begin on a new page and the following section shall begin on a new page). If the proposal is selected for funding, DHS may post the abstract on the EXD webpages in the dhs.gov domain. Therefore, the abstract should not contain any proprietary information.
- **Performance Goals.** Describe the overall methodology and how it will meet the project goals specified in the respective BAA Call.
- **Detailed Technical Approach.**
  - Describe the proposed design and technical issues. Identify the critical technical issues in the design and concept. Outline and address technical challenges inherent in the approach and possible solutions for overcoming potential problems. Demonstrate a deep understanding of the technical challenges and present a plan to achieve the respective BAA Call goals. The offeror should include: discussion on how the proposed solution will address program requirements; demonstrate your understanding of the problem; clearly identify all risks and associated mitigation approaches; and presents a

clear plan and schedule to provide a solution to the problem presented by each Topic Area. Provide appropriate measurable milestones (quantification is preferable) at intermediate stages of the project to demonstrate progress, and a plan for achieving the milestones.

- If offerors desire to use proprietary software or technical data or both as the basis of their proposed approach, in whole or in part, 1) clearly identify such software/data and its proposed particular use(s); 2) explain how the Government will be able to reach its goals (including transition) within the proprietary model offered; and 3) provide possible nonproprietary alternatives in any area that might present transition difficulties or increased risk or cost to the Government under the proposed proprietary solution.
- **Statement of Work (SOW), Schedule, and Milestones.** Provide the proposed research tasks, showing each task with major milestones. Include a proposed schedule for the effort (estimated dates of tasks, milestones and deliverables). These milestones shall tie directly to the proposed milestone payments defined below in Volume II *Price/Cost Proposal*, Part 3. DHS will likely make several awards. To support the program's available funding, each year of the proposal should be separately defined, and tasks identified must correlate to the tasks identified in the cost proposal submission. The SOW must not include proprietary information. For each defined task/subtask, provide:
  - A general description of the objective.
  - A detailed description of the approach to be taken to accomplish each defined task/subtask.
  - Identification of the primary organization responsible for task execution (prime contractor, subcontractor(s), consultant(s), by name).
  - A measurable milestone (e.g., a deliverable, demonstration, or other event/activity that marks task completion).
  - A definition of all deliverables (e.g., data, reports, designs, architectures, software, and user documentation) to be provided to the Government resulting from the proposed tasks/subtasks.
- **Testing and Evaluation.** Identify the primary test environment to be used to conduct testing and evaluation, and include a description of the test and evaluation methodology appropriate for the proposal.
- **Deliverables.** Provide a detailed list and description of all deliverables identified in the SOW. Include due dates (i.e., calendar days after the effective date of award, or calendar days after the effective date of award of an option). In addition, and again to support the program's available funding, there must be a usable/meaningful deliverable(s) at the end of the first period of performance (base period) and a usable/meaningful deliverable(s) at the end of each additional year of performance (option period) so that should the Government be unable to obtain funds for any option period, the Government can clearly show value for the money expended to date. All deliverables identified must be included in the Assertions Table below.
- **Management Plan.** Provide a brief summary of the management plan, including an

- explicit description of what role each participant or team member will play in the project.
- Facilities. List the location(s) where the work will be performed, and the facilities to be used. Describe any specialized or unique facilities which directly affect the effort.
- Government-Furnished Resources. Provide a brief summary of required information and data which must be provided by the Government to support the proposed work, if any.
- Resumes for Key Personnel. Provide resumes or curriculum vitae (CVs) for each of the key personnel proposed. A minimum of two key personnel must be identified. Key personnel from subcontractors may be included.
- Other DHS Support. Provide a list of any current or pending awards or proposals with DHS that pertain to this work, submitted either as a prime contractor, subcontractor/consultant, or teaming partner.
- Past Performance. Fully describe similar efforts on the part of the offeror, to include teammates, currently ongoing and completed, related to technologies sought by the BAA Call. Pertinent efforts can be academic, commercial or Government sponsored, but all sponsors should be identified as explicitly as possible.
- Assertion of Data Rights.
  - The Assertions Table completed in accordance with this section does not count against the page count for Volume 1 - Technical Proposals.
  - It is anticipated that the proposed Assertion of Data Rights will be incorporated in the resultant award instrument. To this end, proposals must include an Assertion of Data Rights (i.e., it will begin on a new page and the following section shall begin on a new page) without any proprietary restrictions, which can be removed from the proposal and attached to the contract or agreement award. After proposal submission, any changes to this information requested by an offeror may cause a proposal to be re-evaluated or deemed not selectable at the Government's discretion. The format for this section is as follows:

### Assertions Table

Identify in the table below each deliverable included in the offeror's proposal. For each deliverable listed in the below table identify any assertion of restriction on the Government's use, release or disclosure of technical data or computer software.

Deliverable	Technical Data or Computer Software to be Furnished With Restrictions*	Basis for Assertion**	Asserted Rights Category***	Name of Person Asserting Restrictions****

*\*For technical data (other than computer software documentation) pertaining to items, components, or processes developed at private expense, identify both the deliverable technical data and each such item, component, or process. For computer software or computer software documentation identify the software or documentation. A data assertion must specify the data*

*product to be delivered to the government during or at the conclusion of performance. Identifying only a patented technology (with or without the patent number) or another pre-existing technology asset, is not sufficient for a data rights assertion.*

**\*\***Generally, development at private expense, either exclusively or partially, is the only basis for asserting restrictions. For technical data, other than computer software documentation, development refers to development of the item, component, or process to which the data pertain. The Government's rights in computer software documentation generally may not be restricted.

For computer software, development refers to the software. Indicate whether development was accomplished exclusively or partially at private expense. If development was not accomplished at private expense, or for computer software documentation, enter the specific basis for asserting restrictions.

**\*\*\***Enter asserted rights category (e.g., government purpose license rights from a prior contract, limited, restricted, or government purpose rights under this or a prior contract, or specially negotiated licenses).

**\*\*\*\***Corporation, individual, or other person, as appropriate, or enter "none" when all data or software will be submitted without restrictions.

Completed by:

\_\_\_\_\_  
Signature  
Printed Name and Title

\_\_\_\_\_  
Date

- Patents. All offerors must include documentation proving ownership or possession of appropriate licensing rights to all patented inventions to be used for the proposed project. If a patent application has been filed for an invention, but it includes proprietary information and is not publicly available, an offeror must provide documentation that includes: the patent number, inventor name(s), assignee names (if any), filing date, filing date of any related provisional application, and summary of the patent title, with either: (1) a representation of invention ownership, or (2) proof of possession of appropriate licensing rights in the invention (i.e., an agreement from the owner of the patent granting license to the offeror).
- Company to Company Agreement with SETA contractor. If white papers were not submitted for the Call, this Agreement shall be included in accordance with paragraph 11.4 and does not count against the proposal page count.

Volume 2: Price/Cost Proposal. Volume 2, Price/Cost Proposal, shall consist of a cover page and two parts, Part 1 and Part 2.

- Cover Page. The words "Price/Cost Proposal" should appear on the cover page in addition

to the following information:

- Respective BAA Call number;
  - DHS S&T Portal Assigned Proposal Number
  - Title of proposal;
  - Name of offeror's organization and offeror's administrative and technical points of contact, including name, address, telephone and facsimile numbers, and email addresses;
  - Whether offeror is US or foreign owned entity;
  - Identity of prime offeror and complete list of subcontractors or consultants, if applicable, otherwise indicate that there are no subcontractors or consultants;
  - Type Classification as described in paragraph 2.2 above (i.e., Type I, Type II, or Type III)
  - Duration of effort. Separately identify the base effort and any options;
  - In accordance with FAR 4.1201, prospective offerors for contracts and for OTs involving prototypes shall state the certifications in System for Award Management (SAM) database at <https://www.sam.gov> have been completed and shall provide the certification validity period; and
  - The signature and title of an authorized representative of the entity submitting the proposal.
  - DCAA point of contact (name, telephone number, and email address), or other 3<sup>rd</sup> party responsible for auditing.
- **Part 1.** As stated above in paragraph 4.5, submissions must propose the first year of performance as a base period with each additional year as a separate option period. Each period of performance must have a usable/meaningful deliverable(s) that should the Government be unable to obtain funds for any option period, the Government can clearly show value for the money expended to date. Therefore, Part 1 shall consist of a detailed breakdown of all costs by cost category identified by year (12 months) of performance in which it is expected the costs to occur (e.g., base year for only one year of performance; base year and one separate option year period for two years of performance; base year and two separate option year periods for three years of performance). Cost categories include, at a minimum, the following:
    - **Direct Labor.** Labor hours and unburdened direct labor rates for each person proposed.
    - Indirect Costs Breakdown. Fringe Benefits, Overhead, General & Administrative (G&A), Cost of Money, etc.; must show amount and rate for each element.
    - **Travel.** Number of trips, destinations, durations, etc. (Travel estimate should include costs for attendance/presentation at an annual one-day Explosives Division Review that is held in the Washington metropolitan area.)
    - **Materials.** Materials should be specifically itemized with costs or estimated costs. Where possible, indicate basis of estimate, (e.g., recent purchase of same or similar item, vendor quote, catalog price, engineering estimate, market survey, etc.).
    - **Other Directs Costs (ODCs).** ODCs, particularly any proposed items of equipment or facilities. Equipment and facilities generally must be furnished by the

contractor/recipient. Justifications must be provided when Government funding for such items is sought.

- Subcontract(s). A cost proposal as detailed as the Offeror's cost proposal will be required to be submitted by the subcontractor. Costs should be clearly marked as "prime" or "subcontractor" costs. If the subcontractor costs cannot be included with the above detailed cost breakdown, then the prime contractor must stipulate on the detailed cost breakdown that the costs presented only represent those from the prime and the subcontractor's costs are provided separately as an attachment to an e-mail sent to [location to be identified in each individual Call]. The subject line of the email shall say "Separate Subcontractor Cost Submission – [insert the white paper or proposal number assigned from the DHS S&T BAA Portal." The body of the email shall contain the following:
  - The prime entity's name which should be the same entity that is registered in the DHS S&T BAA Portal;
  - A POC (name and phone number) from the prime entity; and
  - For each subcontractor proposal attached, include:
    - The name of the subcontractor for the subcontractor proposal attached; and
    - A POC (name and phone number) from the subcontractor whose proposal is attached.
  - The separate subcontractor cost proposal must be as detailed as the offeror's cost proposal and must be received at the location designated in the individual Call no later than the closing date and time specified by the Call. Note that email transmission time may vary depending on the file size of the attachment(s) included in the email. Therefore, ensure there is adequate time for receipt of the email and any accompanying attachments of the subcontractor(s) cost proposal(s) by the required closing date and time. Acceptance of the email submission is dependent upon the actual date and time the e-mail and any accompanying attachment(s) is **RECEIVED** at the location designated in the Call. **NO SEPARATE SUBCONTRACTOR COST PROPOSALS RECEIVED WILL BE ACCEPTED IF RECEIVED AFTER THE CLOSING DATE AND TIME SPECIFIED IN EACH INDIVIDUAL CALL.**
- Consultant(s). Provide consultant agreement or other document which verifies the proposed loaded daily/hourly rate.
- Fee/Profit. Identify amount and percentage of Fee/Profit, if proposed.
- Part 2. Part 2 shall consist of the cost breakdown by task/sub-task using the same task numbers in the Statement of Work. In addition, the task/sub-task breakdown must be identified by year of performance in which it is expected the costs/tasks/sub-tasks to occur (e.g., base year for only one year of performance; base year and one separate option year period for two years of performance; base year and two separate option year periods for three years of performance).
- Part 3. Part 3 shall consist of a proposed schedule of milestone payments linked directly to

the offeror's proposed schedule as provided under the *Statement of Work (SOW)*, *Schedule, Milestones* submission requirements, above in Volume I *Technical Proposal*. Each milestone payment value shall be commensurate with the event associated with it and shall include sufficient detail to support and validate completion and acceptance by the Government.

#### **9.7. Non-compliant Proposals**

Proposals submitted that do not comply with the proposal submission requirements outlined in this BAA and any additional submission requirements outlined in the Call the proposal is responding to will result in the proposal being determined non-compliant and rejected without evaluation. Examples of non-compliant proposals include, but are not limited to:

- Total contract value proposed in the proposal is greater than the “Type Classification Ceilings” identified in the respective Call;
- Total number of pages submitted does not comply with the page count limitations identified in the respective Call; or
- Submission requirements are not met, such as the one page limitation for the cover page, the transmittal letter, or the quad chart is exceeded, or no separate assertions table is provided, etc.

## 10. PROCEDURES FOR SUBMITTING WHITE PAPERS AND PROPOSALS IN DHS S&T BAA PORTAL

### 10.1. Company/Organization Registration

- **IMPORTANT:** Before submitting a white paper or proposal for the first time, you must first register your company/organization in the system. Note, this registration takes some time; therefore, it is prudent to ensure company registration is completed well before the closing time for either white paper or proposals submissions. It is recommended that the Business Official or an authorized representative designated by the Business Official be the first person to register for your company. Your company’s Taxpayer Identification Number (TIN) is required during registration. (If your company is registered, other new users may register and associate their information with the company’s existing record.) When registration is completed, users can submit and manage their white papers and proposals.
- After the company/organization is registered, new users must register by associating their information with the company/organization’s existing record.
- When registration is complete, users can submit and manage white papers and proposals.
- To access the log in/registration page of the DHS S&T BAA Portal:
  - Go to the DHS S&T BAA Portal at <https://baa2.st.dhs.gov/>;
  - On the home page, in the navigation menu on the far left, click on Submissions link;
  - To begin the registration process, click either the Register link at the top of the page or the Not Registered? link at the bottom of the page.
- For additional step-by-step information regarding registration and submission of white papers and proposals, on the DHS S&T BAA Portal home page (<https://baa2.st.dhs.gov/>), in the navigation menu on the far left, click on FAQs. Once on the FAQ page, in the upper right hand corner click on the click here link to the Training Guide.

### 10.2. White Paper and Proposal Registration

- Each white paper, if requested, and proposal to be uploaded in the DHS S&T BAA Portal will be assigned a white paper and proposal registration number in the portal.
- To upload a white paper or proposal, after logging into the portal at (<https://baa2.st.dhs.gov/>), see Section 3.3 of the portal Training Guide (access information provided in paragraph 10.1 above.)

### **10.3. DHS S&T BAA Portal Help Desk**

For additional assistance with the DHS S&T BAA Portal, you can contact the DHS S&T BAA Portal Help Desk at [dhsbaahelpdesk@ttsiglobal.com](mailto:dhsbaahelpdesk@ttsiglobal.com) or by phone at (571) 446-4869. This contact information is provided in the link titled, "Contact Us" at the bottom of the screen of any page in the portal.

## **11. EVALUATION OF WHITE PAPERS AND PROPOSALS**

### **11.1. General**

Any submitted white papers and proposals that do not comply with the requirements of this BAA and the individual Call issued under the BAA will be rejected as non-compliant.

The evaluation of all white papers and proposals received that are compliant with the requirements of this BAA and the respective Call issued under this BAA will be accomplished through a peer/scientific review panel using the evaluation criteria specified below. Additionally, tailored criteria for future call may also be used, depending on the appropriateness of each call.

### **11.2. Evaluation Criteria**

The evaluation criteria to be used for the peer/scientific review of both white papers and proposals received in response to each Call issued under this BAA are identified below in descending order of importance.

#### **Criterion I: Quality and Technical Merit:**

Presentation of a sound technical and managerial approach to the proposed work that demonstrates reasonableness and responsiveness to, understanding of, as well as a clear path to provide a solution to the problem presented by each Topic Area associated with the planned 5-year BAA. DHS will assess the soundness of the Offeror's technical and managerial approach to the proposed work and whether the approach demonstrated is reasonable and responsive to the program requirements; demonstrates an understanding of the problem; clearly identifies all risks and associated mitigation approaches; and presents a clear plan and schedule to provide a solution to the problem presented by each Topic Area associated with the planned 5-year BAA.

#### **Criterion II: Capabilities and Experience:**

Demonstration of the qualifications, capabilities and experience needed to achieve the proposal objectives. DHS will make an assessment of the Offeror's qualifications, capabilities, and experience to determine if the proposed team has the expertise to perform the proposed work as well as the ability to manage the project cost and complete the project within the proposed schedule to achieve the proposed objectives.

#### **Criterion III: Cost Reasonableness and Cost Realism:**

- White Papers. The cost evaluation factor for white papers, when requested, is as follows: "Cost. White papers will be evaluated on the affordability of proposed technical work."
- Proposals. Offerors must present accurate, well-founded estimates of all costs related to

performance of the proposed effort. Costs of the proposal must be realistic and provide a high value to the Government. The proposed costs are reasonable (i.e., reflect a sufficient understanding of the technical goals and objectives of the Topic Area, and are consistent with the Offeror's technical/management approach (to include the proposed SOW)), and are based on realistic assumptions. An assessment will be made of the offeror's proposed costs as to whether or not they are reasonable and realistic for the solution proposed.

### **11.3. Basis for White Paper and Proposal Selection**

- The primary basis for identifying white papers as encouraged to submit full proposals and selecting proposals for award shall be technical, importance to agency programs, and funding availability. Cost reasonableness and completeness shall also be considered to the extent appropriate.
- DHS S&T reserves the right to select for award and to fund all, some, or none of the proposals received in response to any Calls issued against this BAA.

### **11.4. Evaluation Panel**

All properly submitted white papers and full proposals that conform to the BAA requirements will be evaluated by a review panel comprised of Government technical experts drawn from staff within DHS S&T and/or other federal agencies. All Government personnel are bound by public law to protect proprietary information.

**Important Note: DHS intends to use SETA Contractor for routine administrative support during the evaluation process of both white papers and full proposals. All Offerors, Prime Contractors only (this applies to all offerors, whether or not the offeror is a company), must submit an executed Company to Company Agreement with SETA Contractor, found in Appendix A, along with their white paper submission (or with their proposal submission if white papers are not required). The Agreement found in Appendix A shall not be altered. Submissions that do not include a fully executed Agreement will be considered non-responsive and will not be considered. To get the SETA Contractor Point of Contact information, Offerors are to send an email to [PSVP@HQ.DHS.GOV](mailto:PSVP@HQ.DHS.GOV) and indicate "NDA" in the Subject line. Offerors are encouraged to allow sufficient time to permit agreement execution.**

- Offerors are advised that employees of the SETA Contracting Company may serve as administrative support to Source Selection Evaluation Board members in the source selection process. These individuals will be authorized access to only those portions of proposal data and discussions that are necessary to enable them to perform their respective duties. SETA Contracting Company is expressly prohibited from competing on the subject acquisition and from scoring or rating white papers and proposals or recommending the selection of a proposal for funding.
- In accomplishing their duties related to the source selection process, the SETA Contracting Company employees may require access to proprietary information contained in the offerors' white papers and proposals. Therefore, pursuant to FAR 9.505-4, the SETA Contracting Company must execute an agreement with each offeror that states that they will (1) protect the offeror's information from unauthorized use or disclosure for as long as

it remains proprietary, and (2) refrain from using the information for any purpose other than that for which it was furnished. To expedite the evaluation process, each offeror must contact the SETA Contracting Company to effect execution of an Agreement prior to submission of white papers. Each offeror shall submit copies of the Agreement with its white paper.

- The SETA Contracting Company POC will only address questions relevant to the Company to Company Agreement.

### **Foreign Government Participation**

As stated in paragraph 1.3 above, DHS S&T might have foreign government participation in determining joint-funding, and joint participation (U.S. and foreign government) in overseeing collaborative RDT&E projects throughout the contract period of performance. The following foreign government participation may include the following international partners: (a) the United Kingdom of Great Britain and Northern Ireland; (b) the Government of Australia; (c) the Government of Canada; (d) the Kingdom of the Netherlands; (e) the European Union; (f) the Government of Germany; (g) the Government of Israel; (h) the Kingdom of Sweden; (i) the Government of New Zealand; (j) the Government of Singapore; and (k) the Government of the United Arab Emirates.

### **11.5. Notification to Offerors of Evaluation Findings**

Once the white paper peer/scientific review process is complete offerors will be notified via e-mail or in writing, whether the offeror is “encouraged” or “not encouraged” to submit full proposals. Offerors not encouraged to submit a full proposal are not prohibited from submitting a full proposal. All full proposals received will be included in the peer/scientific review process.

Once the proposal peer/scientific review process is complete, offerors will be notified via e-mail or in writing that its proposal has been selected, selected but not funded, or not selected for award. For those proposals that are selected but are on hold for funding, offerors will be so advised and asked to confirm that their proposals remain valid for funding for 180 days from the date of submission.

Offerors Feedback. Offerors not selected for an award may request feedback regarding the peer/scientific review findings of submitted proposals. A written request to the Contracting Officer must be received within three calendar days of notification of non-selection. Feedback will not be provided on submitted white papers, or proposals that have been selected or selected but not funded for award.

## **12. OTHER TERMS AND CONDITIONS**

### **12.1. NAICS**

The North American Industry Classification System (NAICS) code for this announcement and any Calls issued against this BAA is 541712, with a small business size standard of 500 employees.

### **12.2. System for Award Management (SAM)**

Successful offerors not already registered in the SAM will be required to register in the SAM prior to award of any contract, cooperative agreement, or OT, if authorized by law at time of award. Information regarding SAM registration is available at [System for Award Management \(sam.gov\)](https://sam.gov).

### **12.3. Information for White Paper and Proposal Respondents**

This BAA is for planning purposes only. It will not be construed as an obligation on the part of the Government to acquire any products or services.

No entitlement to payment of direct or indirect costs or charges by the Government will arise as a result of submission of responses to any Calls issued against this BAA and the Government's use of such information. Respondents to any Calls issued against this BAA may be requested to provide additional information based on their submittals. Unnecessarily elaborate responses containing extensive marketing materials are not desired.

Technical and cost proposals, or any other material, submitted in response to any Calls issued against this BAA will not be returned.

### **12.4. Organizational Conflict of Interest**

Offerors who have existing or pending contract(s) to provide scientific, engineering, technical and/or administrative support directly to DHS S&T may be considered to have actual or potential conflict of interest, resulting in one or more offerors with the potential to attain an unfair competitive advantage.

If any such conflict of interest is found to exist, the Contracting Officer may (1) disqualify the offeror, or (2) determine that it is otherwise in the best interest of the United States to contract with the offeror and include the appropriate provisions to mitigate or avoid such conflict in the contract awarded. After discussion with the offeror, the Contracting Officer may determine that the actual conflict cannot be avoided, neutralized, mitigated, or otherwise resolved to the satisfaction of the Government, and the offeror may be found ineligible for award.

Disclosure. Each offeror will be required to represent, as part of its proposal and to the best of its knowledge that: (1) It is not aware of any facts which create any actual or potential organizational conflicts of interest relating to the award of this contract; or (2) It has included information in its proposal, providing all current information bearing on the existence of any actual or potential organizational conflicts of interest, and has included the mitigation plan in accordance with the paragraph below, titled: Mitigation/Waiver.

Mitigation/Waiver. If an offeror with a potential or actual conflict of interest or unfair competitive advantage believes it can be mitigated, neutralized, or avoided, the offeror shall submit a mitigation plan to the Contracting Officer for review. Award of a contract where an actual or potential conflict of interest exists shall not occur before Government approval of the mitigation plan.

Other relevant Information. In addition to the mitigation plan, the Contracting Officer may require

further relevant information from the offeror. The Contracting Officer will use all information submitted by the offeror, and any other relevant information known to DHS, to determine whether an award to the offeror may take place, and whether the mitigation plan adequately neutralizes or mitigates the conflict.

Corporation Change. The successful offeror shall inform the Contracting Officer within 30 calendar days of the effective date of any corporate mergers, acquisitions, and/or divestures that may affect this clause.

Flow-down. The contractor shall insert the substance of this clause in each first tier subcontract that exceeds the simplified acquisition threshold.

### **12.5. Export Control**

Offerors are advised that the export of any goods or technical data from the United States, and the disclosure of technical data to foreign nationals, may require some form of export license from the U.S. Government. Failure to obtain necessary export licenses may result in criminal liability of offerors under U.S. laws.

Offerors are responsible for ensuring compliance with the International Traffic in Arms Regulations administered by the U.S. Department of State (22 C.F.R. Parts 120 to 130), Export Administration Regulations administered by the U.S. Department of Commerce (15 C.F.R. Parts 730 to 774), and Foreign Assets Control Regulations administered by the U.S. Department of Treasury (31 C.F.R. Parts 501 to 598), as warranted, and with compliance with all recordkeeping requirements under U.S. export regulations. Offerors are responsible for compliance with any applicable export license, reporting, or other preapproval requirements by the U.S. Government. DHS neither represents that a license or preapproval shall not be required nor that, if required, it shall be issued. Nothing granted herein to offerors provides any such export license or other preapproval.

Offerors shall identify any anticipated export compliance issues in their response to the Call. Specifically, offerors are advised to include information in their response regarding any known equipment, software or technical data that will be developed as a result of work to be performed that is subject to export control restrictions.

To the extent that export-controlled information may be provided to DHS by offerors in response to a Call, offerors are responsible for ensuring that such information is appropriately marked, and are responsible for complying with all applicable export controls and regulations in the process of providing such information.

### **12.6. Intellectual Property**

It is desired that all noncommercial software (including source code), software documentation, hardware designs and documentation, and technical data generated under the project be provided as a deliverable with unlimited rights for the Government, or delivered with a mutually "agreed to" open source license. DHS intends to allow and encourage offerors the opportunity to

transition their proposed technologies to the commercial marketplace or other Government entities. The reason for this position is that while DHS would prefer that an offeror commercialize or transition the technology they develop, DHS wants to ensure that it has the right to commercialize or otherwise leverage its technology investments should an offeror choose not to or not have success.

All references to "Unlimited Rights" are intended to refer to the definition set forth in the Federal Acquisition Regulation (FAR) 52.227-14, Rights in Data-General clause.

### **12.7. Publication of Research Results**

As noted in this BAA, resultant contract awards may involve joint, United States and foreign country (as identified in paragraph 1.3 above) funding, pursuant to each country's bilateral, international agreement. To ensure the rights of these international agreements are secured, the following terms and conditions regarding publication of research results will apply to each contract awarded, where DHS plans to apply foreign co-funding, as a result of this BAA:

- Limitation on Contractor's Use of Data. For the purposes of paragraphs (b) (2) (i) and (d) of the Rights in Data-General (FAR 52.227-14) clause of this contract, the Contractor shall not use, release to others, reproduce, distribute, or publish any data first produced or specifically used in the performance of this contract for private purposes (to include publications) without the prior, written approval of the Contracting Officer.
- Publication of Research Results.
  - For publication of materials based, in whole or part, on data first produced under this contract, the Contractor shall transmit a copy to the DHS Program Manager and Contracting Officer at least 60 days prior to such desired publication for review by DHS and any other foreign government co-funding the award. In all cases, the Contractor shall supply two copies of the final publications to DHS, in accordance with the requirements of the individual contract award.
  - Any copy of material published under this clause shall contain acknowledgment of DHS's sponsorship of the research effort and a disclaimer stating that the published material represents the position of the author(s) and not necessarily that of DHS.
  - Publication under the terms of this clause does not release the Contractor from the obligation of preparing and submitting to the Contracting Officer a final report containing the findings and results of research, as set forth in the schedule of the contract.

### **12.8. Adequate Accounting System for Cost Reimbursement Type Contracts**

In order to qualify for the award of a cost reimbursement type contract, the offeror must have an adequate accounting system in accordance with FAR 16.301-3(a)(3). If a proposal is selected, the offeror will be required to provide evidence of an adequate accounting system before a cost reimbursement contract will be considered.

Evidence of an adequate accounting system would include a written opinion or other statement from the cognizant federal auditor (CFA) or the cognizant federal agency official (CFAO) that the system is approved or has been determined to be adequate. If available, the offeror will be

requested to provide the audit report number and date associated with the accounting system review. If the offeror does not have a copy of the report, the offeror may furnish a copy of the audit report number.

If the offeror does not have an accounting system that has been determined adequate by the CFA or CFAO, but believes its accounting system is adequate, the offeror shall so state in its response to the Government's request for evidence of an adequate accounting system. As part of the pre-award evaluation process, the Government will obtain the necessary review by the CFA. The offeror will be required to allow the CFA to review the accounting system and correct (or have a timely action plan to correct) any issues identified as precluding the system from being adequate. The offeror will provide the CFA name, address and telephone number and the point of contact as part of its proposal.

Offers will be rejected if the offeror does not have an adequate accounting system, unless the Government determines that the offeror's action plan for correcting the accounting system is timely and acceptable. However, no costs will be paid under the contract until the Contractor's system has been determined adequate.

#### **12.9. Certificate of Current Cost or Pricing Data**

Successful contract proposals will require the submission of a Certificate of Current Cost or Pricing Data in accordance with FAR 15.403- 4(b)(2), prior to award.

#### **12.10. Applicable Provisions and Contract Clauses**

At the time of any award resulting from any Call issued against this BAA, excluding cooperative agreements and OTs, all FAR and Homeland Security Acquisition Regulation (HSAR) provisions and clauses applicable to the resultant award will be included in the selected offeror's contract.

#### **12.11. Government Property, Government Furnished Equipment (GFE) and Facilities**

The Government may provide government-furnished equipment (GFE), resources (GFR), information (GFI), or services (GFS) under the terms of each negotiated contract or agreement. GFE, GFR, GFI, or GFS requested by an offeror must be factored into the offeror's project cost. Each offeror must provide a very specific description of any equipment or hardware it needs to acquire to perform the work. This description should indicate whether or not each particular piece of equipment or hardware will be included as part of a deliverable item under the resulting award.

In addition, this description should identify the component, nomenclature, and configuration of the equipment or hardware that it proposes to purchase for this effort. The Government wants to have the contractor purchase the equipment or hardware for deliverable items under its contract. It will evaluate case-by-case the purchase, on a direct reimbursement basis, of special test equipment or other equipment, not included in a deliverable item. Maximum use of Government integration, test, and experiment facilities is encouraged in each of the Offeror's proposals.

Government research facilities may be available, and should be considered as potential GFE. These facilities and resources are of high value, and some are in constant demand by multiple

programs. The use of these facilities and resources will be negotiated as the program unfolds. Offerors should explain which of these facilities they recommend and why.

If any prototype, instrument or device is produced during the period of performance of a funded project, one or more samples shall be delivered to DHS S&T EXD before the end of the period of performance for demonstration purposes. More specific information about the provision of a sample(s) will be incorporated in the SOW.

#### **12.12. Safety Act**

As part of the Homeland Security Act of 2002, Congress enacted the Support Anti-Terrorism by Fostering Effective Technologies Act of 2002 (the "SAFETY Act"). The SAFETY Act puts limitations on the potential liability of firms that develop and provide qualified anti-terrorism technologies. DHS S&T, acting through its Office of SAFETY Act Implementation (OSAI), encourages the development and deployment of anti-terrorism technologies by making available the SAFETY Act's system of "risk management" and "liability management." Offerors submitting proposals in response to this BAA are encouraged to submit SAFETY Act applications for their existing technologies. They are invited to contact OSAI for more information, at 1-866-788-9318 or [helpdesk@safetyact.gov](mailto:helpdesk@safetyact.gov). They also can visit OSAI's Web site at [www.safetyact.gov](http://www.safetyact.gov).

#### **12.13. Security Classification**

No classified documents will be accepted.

#### **12.14. Subcontracting Plan**

Successful contract proposals that exceed \$750,000.00, submitted by all but small business concerns, will be required to submit a Small Business Subcontracting Plan in accordance with FAR 52.219-9, prior to award. In the event an offeror required to submit a Small Business Subcontracting Plan determines there are no subcontracting possibilities, then the offeror must provide rationale as to why there are no subcontracting possibilities for any of the elements of costs identified in the offeror's proposal.

#### **12.15. Additional Deliverables**

Performers should define additional program-specific deliverables as appropriate for the proposed approach. The Government may describe additional deliverables at the time proposals are requested.

#### **12.16. Types of Changes That May Occur to Awards Under This BAA**

Types of changes that may occur to awards made under this BAA are:

Additional deliverables may be necessary once the Government develops the specific requirement based on the proposal received from the offeror. As a result, deliverables other than those identified by the offeror may be identified in the specific SOW included in the subsequent contract award.

During the performance of any contract, should the research result in the need to perform a different effort to achieve the solution due to the realization that the effort proposed will not

provide the intended end result, the contract may be modified to reflect the necessary effort to achieve the goal of the contract. It is expected this modification will result in no change to the estimated cost of the contract. However, if additional costs are necessary, the Government will make a determination whether to proceed with the requirement or to terminate the contract due to insufficient funds to achieve the contract goal.

#### **12.17. Reporting**

Specific reporting requirements will be included in each award. At a minimum, there will be three types of status reports: an annual report summarizing accomplishments and shortfalls throughout the year; a monthly financial report; and a monthly technical report providing detailed accomplishments and shortfalls throughout the previous month. These shall be required irrespective of award mechanism.

**Appendix A. Company to Company Agreement (Format and Content Mandatory)**

**COMPANY TO COMPANY AGREEMENT**

COMPANY TO COMPANY AGREEMENT: DHS BROAD AGENCY ANNOUNCEMENT (BAA)  
70RSAT21RB0000004

The Parties to the subject Agreement agree that the SETA Contracting Company may have access to proprietary information contained within the technical and cost proposals that were submitted on behalf of your company/facility solely for the purpose of performing technical advisory and/or administrative support services for the Government, in evaluating proposals submitted in response to this BAA Call.

The Parties agree to protect the proprietary information from unauthorized use or disclosure for a period of 10 years, or less if the disclosed information ceases to remain proprietary, and to refrain from using the information for any purpose other than that for which it was furnished.

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Offeror's Company Name

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Name of Offeror's Company Official (Printed)

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Signed/Dated

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Name of SETA Contracting Company Official (Printed)

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Signed/Dated