



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

**CYBER SECURITY DIVISION  
5-YEAR  
BROAD AGENCY ANNOUNCEMENT (BAA)  
HSHQDC-14-R-B0005**

**Amendment 00003**  
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## 1. GENERAL INFORMATION

### 1.1 Introduction.

1.1.1 This solicitation is a Broad Agency Announcement (BAA), HSHQDC-14-R-B0005, 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 does not request any white papers or proposals at this time.** Solicitations (or calls) requesting white papers or proposals will be accomplished via amendments to BAA HSHQDC-14-R-B0005. BAA HSHQDC-14-R-B0005 is issued in support of Department of Homeland Security (DHS), Science and Technology (S&T), Homeland Security Advanced Research Projects Agency (HSARPA), Cyber Security Division (CSD), targeted research and development (R&D) projects.

1.1.2 CSD BAA HSHQDC-14-R-B0005 will be open for five years from the date publicized on the Government's Point of Entry (GPE), Federal Business Opportunities (FBO). 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 technical topic area.

1.1.3 Periodically during the five years, individual calls for white papers or proposals responding to the specified CSD program research and development program technical topic area will be placed (via amendment advertisement in FBO) against CSD BAA HSHQDC-14-R-B0005. Each call will (1) identify specific details regarding the call technical topic area, (2) identify submission instructions in addition to those outlined in the overarching 5-yr CSD BAA HSHQDC-14-R-B0005, and (3) contain a common cutoff date 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.

1.2.1 As stated in the November 2013 report from the President's Council of Advisors on Science and Technology (PCAST), "[c]yberthreats span the range from cybercrime (with global economic damage estimated at \$100 billion to \$1 trillion annually) to potentially devastating cyber-attacks against U.S. critical infrastructure, both civilian and military. In peacetime, cyberspace without adequate cyber security is a sanctuary from which criminal hackers, spammers, viruses, botnets, and other cyber threats prey daily and openly on U.S. individuals and organizations. In wartime, cyberspace can become another platform from which strategic attacks can be launched against the U.S. homeland and U.S. allies and interests abroad; cyber operations against U.S. forces can severely degrade military capabilities." The effects of a successful cyber-attack might include serious consequences for infrastructure elements such as electric power, and disruption of the response and communications capabilities of first responders. Thus, a critical area of focus for DHS is the development and deployment of technologies to protect the nation's cyber infrastructure, including the Internet and other critical infrastructures that depend on computer systems for their mission.

### 1.2.2 The goals of the DHS Cyber Security Division (CSD) are:

- (a) To perform research and development (R&D) aimed at improving the security of existing deployed technologies, and to ensure the security of new emerging systems;
- (b) To develop new and enhanced technologies for the detection of, prevention of, and response to cyber-attacks on the nation's critical information infrastructure; and
- (c) To assist the transfer of these technologies into the national infrastructure as a matter of urgency.

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

1.3.1 Cyber security is a global concern and CSD has collaborative activities with several countries. As a result, CSD BAA HSHQDC-14-R-B0005 intends to have foreign government participation, to include access to both white papers and proposal submissions 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 technical topic area for each call based on CSD 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; and (j) the Government of Singapore.

1.3.2 In addition, foreign government personnel from any one or more of the aforementioned countries may participate in the selection process as peer/scientific reviewers of submitted white papers and/or proposals if their respective nation has been identified in the individual call made under CSD BAA HSHQDC-14-R-B0005. In the event that foreign government personnel do participate in the selection process, DHS will effect sharing of whitepapers and proposals subject to the provisions for handling both "Controlled Unclassified Information" and "Business Confidential Information" information, as stated in each country's international agreements with the DHS, or the U.S. Government. In addition, foreign government personnel are not permitted to release any information to third parties, including others in their organization. By the act of submitting any material in response to this BAA, offerors are therewith consenting to allowing access to financial, confidential, proprietary, and/or trade secret marked information, and any other material contained therein to foreign government personnel.

### **1.4 Agency Name.**

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

### **1.5 Research Opportunity Title.** Cyber Security Research and Development

### **1.6 Program Name.** Cyber Security

## **1.7 Research Opportunity Number.** CSD BAA HSHQDC-14-R-B0005

**1.8 Response Dates.** This announcement does not request any white papers or proposals at this time. Individual calls will be made against CSD BAA HSHQDC-14-R-B0005 via amendments posted in FBO at <http://www.fbo.gov/>. Each individual call will identify submission requirements for white papers or proposals.

## **1.9 Government Representatives.**

### 1.9.1 Science and Technology.

Douglas Maughan, Ph.D.  
Director  
Cyber Security Division  
Department of Homeland Security  
Homeland Security Advanced Research Projects Agency (HSARPA)  
Science and Technology (S&T) Directorate  
Washington DC, 20528

### 1.9.2 Business.

Cherita Thomas  
Contracting Officer  
Department of Homeland Security  
Science & Technology Acquisitions  
Washington, DC 20528

## **1.10 Inquiries.**

1.10.1 All contractual or technical inquiries to CSD BAA HSHQDC-14-R-B0005 must be submitted to: [BAA-14-R-B0005@hq.dhs.gov](mailto:BAA-14-R-B0005@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 [www.fbo.gov](http://www.fbo.gov) under the announcement for this BAA. The point of contact for CSD BAA HSHQDC-14-R-B0005 is Cathy Collins, 202-254-6814; however, all inquiries must be in writing and will not be answered verbally.

1.10.2 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 Technical Topic Areas (TTAs).** The following TTAs are representative only.

- Security for Cloud-Based Systems
- Data Privacy Technologies
- Mobile Wireless Investigations

- Mobile Device Security
- Next-Generation DDOS Defenses
- Cyber-Physical Systems
- Application Security Threat Attack Modeling (ASTAM)
- Static Tool Analysis Modernization Project (STAMP)
- Network Reputation and Risk Analysis
- Data Analytics Methods for Cyber Security
- New Models for Cyber Security Learning
- Designed-In Security
- Finance Sector Cyber Security
- Cyber Security Measures and Risk Management
- Data Provenance for Cyber Security
- Rapid Indicators for Cyber Threats
- Domain Name System Security (DNSSEC) Applications
- National Initiative for Cyber Security Education

The above TTAs are provided to help interested offerors understand the potential Cyber Security program areas. A specific TTA will be identified in each call.

**2.2. Type Classifications.** The classification Type 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 its submission.

2.2.1 Type I (New Technologies): Includes 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 research and development, with the technology demonstrations in an operational environment. Type I awards will have a three (3) year total period of performance; however, individual calls may include requests for options for pilots and/or transition options. Submissions must propose the first year of performance as a base period with each additional year as a severable option period. In order for a period of performance to be severable, 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.

2.2.2 Type II (Prototype Technologies): Includes a development phase, while also including technology demonstrations in an operational environment. Type II awards will have a two (2) year total period of performance; however, individual calls may include requests for options for pilots and/or transition options. Submissions must propose the first year of performance as a base period with the second year as a severable option period. In order for a period of performance to be severable, 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.

2.2.3 Type III (Mature Technologies): Includes technology demonstrations in an operational environment. Type III awards will have a one (1) year total period of performance; however, individual calls may include requests for options for pilots and/or

[transition options.](#)

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

Performers in the DHS S&T CSD technical program will be required to test and evaluate their technologies with respect to project goals. DHS S&T CSD has cyber security R&D infrastructure projects that can be leveraged by performers to support testing and evaluation. Performers may use the facilities of the Cyber Defense Technology Experimental Research (DETER) network (<http://deter-project.org>), the Protected Repository for the Defense of Infrastructure Against Cyber Threats (PREDICT) data repository (<https://predict.org>), and the Software Assurance market Place (SWAMP) (<http://continuousassurance.org>); however, there is not a requirement to do so. However, to further CSD's R&D infrastructure offeror's will be required to make any data, for which the offeror has ownership or redistribution rights, created or used in testing and evaluation available to PREDICT, subject to appropriate disclosure control. Accordingly, 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.**

4.1.1 Although subject to official fiscal appropriation, it is anticipated that the CSD program will have a total of \$95M over the next 5 years to support CSD BAA HSHQDC-14-R-B0005. 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.

4.1.2 Depending on interest in particular submissions, individual awards may be joint 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-yr open period of CSD BAA HSHQDC-14-R-B0005.

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

4.3.1 It is anticipated awards made for each call issued against CSD BAA HSHQDC-14-R-B0005 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 authorized by law at time of award), or interagency agreements to appropriate parties should the situation warrant.

4.3.2 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, CSD will work with the appropriate sponsoring agency

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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 may 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 severable option period. In order for a period of performance to be severable, 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**

**5.1 Open to All Responsible Sources.** CSD BAA HSHQDC-14-R-B0005 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 research and development 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 CSD BAA HSHQDC-14-R-B0005 will be set aside pursuant to FAR Part 19.502-2. Offerors may include (but are not limited to):

- a. Single entities or teams from private-sector organizations;
- b. Government laboratories;
- c. Federally Funded Research & Development Centers (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.
- d. Historically Black Colleges and Universities (HBCU);
- e. Minority Institutions (MI);
- f. 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 Businesses concerns; and
- g. Any academic institutions or non-profits organizations not included in the above categories.

### **5.2 Deleted (Amendment 0001)**

## **6. DOWNLOAD OF CSD BAA HSHQDC-14-R-B0005.**

CSD BAA HSHQDC-14-R-B0005 should be read in its entirety by any entity considering a submission in response to any call issued against this BAA. CSD BAA HSHQDC-14-R-B0005 can be downloaded in its entirety from the FBO website at <http://www.fbo.gov>. A link to the direct FBO location for CSD BAA HSHQDC-14-R-B0005 in FBO can be found in the DHS S&T BAA Portal located at <https://baa2.st.dhs.gov>. Registration is not required to access the FBO link in the DHS S&T BAA Portal to CSD BAA HSHQDC-14-R-B0005; however, registration in the portal is required to upload any submissions responding to any calls issued against CSD BAA HSHQDC-14-R-B0005.

## **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 amendments to CSD BAA HSHQDC-14-R-B0005. The DHS S&T BAA Portal will not allow submissions (white papers or proposals) in response to calls issued against CSD BAA HSHQDC-14-R-B0005 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 CSD BAA HSHQDC-14-R-B0005 must first register your 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 CSD BAA HSHQDC-14-R-B0005 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 requests a white paper submission, offerors must submit a white paper in order to be considered for participation in the submission of proposals.

**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 in a legible size, and must be accompanied by a one-page quad chart. Format details are:

8.6.1 Paper Size: 8.5-by-11-inch paper.

8.6.2 Margins: 1 inch.

8.6.3 Spacing: Single or double-spaced.

8.6.4 Font: Times New Roman, no smaller than 12 point. Text embedded within graphics or tables in the body of the white paper or the quad chart may not be smaller than 10 point.

8.6.5 Number of Pages: Unless otherwise specified in the call, no more than seven single-sided pages consisting of the following shall be submitted:

a. A cover page (refer to paragraph 8.7.1 below for details regarding cover page requirements);

b. Five pages of technical content (refer to paragraph 8.7.3 below for details regarding technical content requirements); and

c. A one-page quad chart (refer to paragraphs 8.6.6, 8.7.2, and 9.6.1 below for quad chart format).

***WHITE PAPERS EXCEEDING THE DESIGNATED PAGE LIMIT WILL BE REJECTED AS NON-CONFORMING AND WILL NOT BE EVALUATED.***

8.6.6 Quad Chart Format: Quad charts, including graphics or tables, will not use any font smaller than 10-point and will be organized as shown in paragraph 9.6.1.d below.

8.6.7 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 CSD BAA HSHQDC-14-R-B0005.

8.6.8 Export Control Marking.

a. Offerors shall identify any anticipated export compliance issues in their response to each individual call against CSD BAA HSHQDC-14-R-B0005. 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 under each individual call against CSD BAA HSHQDC-14-R-B0005 that is subject to export control restrictions.

b. To the extent that export-controlled information may be provided to DHS by offerors in response to a solicitation, 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.

c. For additional information regarding export controlled information, refer to paragraphs 8.7.5 and 12.5 below.

8.6.9 The white paper submission uploaded to the DHS S&T BAA Portal shall consist of ONE electronic file in portable document format (PDF), readable by IBM-compatible personal computers (PCs). 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:

8.7.1 Cover Page. The cover page shall include the following:

a. 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).

b. Call number, i.e., “HSHQDC-??-R-B????”, which will be located on the amendment issued against CSD BAA HSHQDC-14-R-B0005;

c. Title of white paper;

d. 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;

e. Identify whether the offeror (and each organization participating) is a US or foreign owned entity;

f. Type classification as described in paragraph 2.2 above (Type I, Type II, or Type III) that aligns with the proposed technology; and

g. 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.

8.7.2 Quad Chart. A quad chart shall be included and shall be in the format identified in paragraph 9.6.1.d below.

8.7.3 Technical Content. The remaining pages of the white paper shall consist of the following information:

a. Executive Summary. An executive summary shall be provided containing a concise description of the scientific, technical, engineering, and management approach you propose in order to address the call specific TTA, a description of the various features of the proposed technology, and relevant details about how it will meet the requirements of the call specific TTA.

b. Utility to Department of Homeland Security. The white paper shall describe the potential of the technology for meeting the desired call specific TTA attributes and requirements.

c. Technical Approach.

(1) Provide a description of the basic scientific or technical concepts that comprise the proposed solution to the problem described in the call specific TTA.

(2) 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.

(3) Describe the approach and required resources to test and evaluate the proposed technologies with respect to call specific TTA goals.

(4) 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.

(5) 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.

(6) Transition Capabilities and Plan. Provide a brief summary of the offeror's capabilities and experience in transitioning similar products to the marketplace, including previous business partnerships that can be leveraged. Describe the commercialization plan or other transition method for getting the technology into widespread use.

(7) Costs, Work, and Schedule: Provide a brief summary of the planned work, costs, and schedule required to execute your project, summarized by major task.

8.7.4 Proprietary Marking: Ensure proprietary markings as required by paragraph 8.6.7 above are appropriately identified.

8.7.5 Export Control: Potential offerors are reminded this BAA seeks unclassified technology solutions and that white papers may be shared with foreign government personnel from any of the countries identified in paragraph 1.3 above. As required by paragraph 8.6.8 above, white paper submissions are to identify any items that are potentially export-controlled such that dissemination to these foreign government personnel may be inhibited by United States federal laws, rules, or regulations.

## **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.**

9.5.1 Proposals will consist of two volumes:

- a. Volume 1 - Technical Proposal
- b. Volume 2 - Cost Proposal

9.5.2 For each volume, the following format shall apply:

- a. Paper Size – 8.5-by-11-inch paper.
- b. Margins – 1 inch.
- c. Spacing – Single- or double-spaced.
- d. Font – Times New Roman, 12 point. Text embedded within graphics or tables in the body of the Project Description Form should be legible and not smaller than 10 point.
- e. Number of pages. Page count limitations for the technical proposal will be identified specified in each individual call.

***PROPOSALS EXCEEDING THE DESIGNATED PAGE LIMIT IDENTIFIED IN EACH CALL WILL BE REJECTED AS NON-CONFORMING AND WILL NOT BE EVALUATED.***

9.5.3 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 CSD BAA HSHQDC-14-R-B0005.

9.5.4 Export Control Marking.

a. Offerors shall identify any anticipated export compliance issues in their response to this solicitation. 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 under this solicitation that is subject to export control restrictions.

b. To the extent that export-controlled information may be provided to DHS by offerors in response to a solicitation, 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.

c. For additional information regarding export controlled information, refer to paragraphs 9.6.1.t and 12.5 below.

9.5.5 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), readable by IBM-compatible personal computers (PCs). 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.**

9.6.1 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 issued call. Compliance with the order and content listed below is important to assure thorough and fair evaluation of proposals. The submission of other supporting materials with the proposal is strongly discouraged and, if submitted, will not be reviewed. Nonconforming proposals may be rejected without review. The technical proposal shall include the following:

a. Cover Page. Title the cover page “Volume 1 - Technical Proposal” and also ensure the following information is included:

(1) 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).

(2) Call number, i.e., “HSHQDC-??-R-B????”, which will be located on the amendment issued against CSD BAA HSHQDC-14-R-B0005;

(3) Title of proposal;

(4) Name of offeror's organization and offeror's administrative and technical points of contact, including name, address, telephone and facsimile numbers, and email addresses;

(5) Whether offeror is US or foreign owned entity;

(6) Identity of prime offeror and complete list of subcontractors or consultants, if applicable, otherwise indicate that there are no subcontractors or consultants;

(7) Type classification as described in paragraph 2.2 above (i.e., Type I, Type II, or Type III)

(8) Duration of effort. Separately identify the base effort and any options;

(9) 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.

(10) 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

(11) The signature and title of an authorized representative of the entity submitting the proposal.

b. Table of Contents.

c. Official Transmittal Letter. Provide an 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:

(1) 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.

(2) The required disclosure regarding organizational conflict of interest identified in paragraph 12.4 below.

(3) A statement that the offeror's proposal is available for award for 180 days beyond the date of proposal notification.

d. Quad Chart. A quad chart shall be included and shall be in the following format.

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>

e. **Abstract.** Provide a one-page synopsis of the entire proposal, including a listing of total anticipated costs. 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 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 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 CSD webpages in the dhs.gov domain. Therefore, the abstract should not contain any proprietary information.

f. **Performance Goals.** Describe the overall methodology and how it will meet the project goals specified in the BAA call.

g. **Detailed Technical Approach.**

(1) 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 BAA call goals. Discuss mitigation of technical risk. Provide appropriate measurable milestones (quantification is preferable) at intermediate stages of the project to demonstrate progress, and a plan for achieving the milestones.

(2) 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.

h. Statement of Work (SOW), Schedule, and Milestones. Provide an integrated display for the proposed research, showing each task with major milestones. Include a proposed schedule for the effort (estimated dates of tasks, milestones and deliverables). DHS will likely make severable awards. To support severability, 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:

(1) A general description of the objective.

(2) A detailed description of the approach to be taken to accomplish each defined task/subtask.

(3) Identification of the primary organization responsible for task execution (prime contractor, subcontractor(s), consultant(s), by name).

(4) A measurable milestone (e.g., a deliverable, demonstration, or other event/activity that marks task completion).

(5) 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.

i. 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.

j. 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 severability, 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.

k. 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.

l. Transition Plan. Offerors must also include a description in the proposal of their plan for transitioning the proposed technology to a DHS component or commercializing the technology. Technology transition plans that include commercial partnerships are preferred, but transition into the open source community is also acceptable. This request does not entail providing a full business plan, nor does it imply that DHS views commercialization

activities as in the scope of this solicitation. The intent is for offerors to provide evidence that, as part of the technical plan development, consideration has been given to the ultimate commercialization of the outputs of DHS-funded programs. Such considerations would include expected user base, how the technology will be used, and how it will transition in to broad use. Of key importance are the identification of technology diffusion paths that are appropriate for the type and maturity of the technology involved, and any additional factors that might increase the likelihood of it being commercialized or transitioned to a DHS component.

m. 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.

n. 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.

o. Cost Summary. For each year of effort, provide the following:

- (1) Direct Labor (prime only) – total man-hours;
- (2) Direct Labor (prime only) – total costs;
- (3) Direct Material/Equipment Costs (prime only);
- (4) Total Travel Costs (prime only);
- (5) Total Other Direct Costs (prime only);
- (6) Subcontractor (if applicable) – total man-hours (if applicable);
- (7) Subcontractor (if applicable) – total of all costs (e.g., one total amount that includes direct labor, material/equipment, travel, other direct costs, indirect costs, fees/profit);
- (8) Total Indirect Costs (prime only);
- (9) Total Overhead Costs (prime only);
- (10) Total G&A (if applicable) (prime only);
- (11) Fees or Profit (if applicable) (prime only); and
- (12) Cumulative total of all above costs/

p. Resumes for Key Personnel. As an appendix, provide resumes and 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.

q. Other DHS Support. As an appendix, 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.

r. Past Performance. As an appendix, 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.

s. Proprietary Marking: Ensure proprietary markings as required by paragraph 9.5.3 above are appropriately identified.

t. Export Control: Potential offerors are reminded this BAA seeks unclassified technology solutions and that proposals may be shared with foreign government personnel from any of the countries identified in paragraph 1.3 above. As required by paragraph 9.5.4 above, proposals submissions are to identify any items that are potentially export-controlled such that dissemination to these foreign government personnel may be inhibited by United States federal laws, rules, or regulations.

u. Assertion of Data Rights. It is anticipated that the proposed Assertion of Data Rights will be incorporated in the resultant award instrument. To this end, proposals must include a severable 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**

For each deliverable listed in the below table, please identify any assertion of restriction on the Government’s Use, release or disclosure of technical data or computer software.

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

\*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.

\*\*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:

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Signature

Printed Name and Title

---

Date

v. 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).

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

a. Cover Page. The words “Price/Cost Proposal” should appear on the cover page in addition to the following information:

- (1) BAA Call number;
- (2) DHS S&T Portal Assigned Proposal Number
- (3) Title of proposal;
- (4) Name of offeror’s organization and offeror’s administrative and technical points of contact, including name, address, telephone and facsimile numbers, and email addresses;
- (5) Whether offeror is US or foreign owned entity;
- (6) Identity of prime offeror and complete list of subcontractors or consultants, if applicable, otherwise indicate that there are no subcontractors or consultants;
- (7) Type classification as described in paragraph 2.2 above (i.e., Type I, Type II, or Type III)
- (8) Duration of effort. Separately identify the base effort and any options;
- (9) 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
- (10) The signature and title of an authorized representative of the entity submitting the proposal.

b. 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 severable option period. In order for a period of performance to be severable, 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 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 severable option year period for two years of performance; base year and two severable option year periods for three years of performance). Cost categories include, at a minimum, the following:

(1) Direct Labor. Labor hours and ***unburdened*** direct labor rates for each person proposed.

(2) Indirect Costs Breakdown. Fringe Benefits, Overhead, General & Administrative (G&A), Cost of Money, etc.; ***must show amount and rate for each element.***

(3) Travel. Number of trips, destinations, durations, etc. (Travel estimate should include costs for attendance/presentation at an annual one-day Cyber Security Division Review that is held in the Washington metropolitan area.)

(4) Materials. Materials should be specifically itemized with costs or estimated costs. Where possible, indicate purchasing method, (e.g., competition, engineering estimate, market survey, etc.).

(5) 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.

(6) 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:

(a) The prime entities name which should be the same entity that is registered in the BAA portal;

(b) A POC (name and phone number) from the prime entity; and

(c) 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 offerors' 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.**

(7) Consultant(s). Provide consultant agreement or other document which verifies the proposed loaded daily/hourly rate.

(8) Fee/Profit. Identify amount and percentage of Fee/Profit if proposed.

c. 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 severable option year period for two years of performance; base year and two severable option year periods for three years of performance).

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

### **10.1 Company/Organization Registration.**

**10.1.1 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 designed 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 associated their information with the company's existing record. When registration is completed, users can submit and manage their proposals.

10.1.2 After the company/organization is registered, new users must register by associating their information with the company/organization's existing record.

10.1.3 When registration is complete, users can submit and manage white papers and proposals.

10.1.4 To access the log in/registration page of the DHS S&T BAA Portal:

- a. Go to the BAA Public Portal at <https://baa2.st.dhs.gov/>;
- b. On the home page, in the navigation menu on the far left, click on *Submissions* link;
- c. 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.

10.1.5 For additional step-by-step information regarding registration and submission of white papers and proposals, on the DHS BAA Public 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.**

10.2.1 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.

10.2.2 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 10.1.5 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 [dhsbaa@reisystems.com](mailto:dhsbaa@reisystems.com) or by phone at (703) 480-7676. 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.**

11.1.1 Any submitted white papers and proposals that do not comply with the requirements of CSD BAA HSHQDC-14-R-B0005 and the individual call issued under the BAA may be rejected as a nonconforming proposal.

11.1.2 The evaluation of all white papers and proposals received that conform to the requirements of CSD BAA HSHQDC-14-R-B0005 and the individual call issued under the BAA will be accomplished through a peer/scientific review panel using the evaluation criteria specified below.

**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 CSD BAA HSHQDC-14-R-B0005 is identified below in descending order of importance.

**Criterion I:** Responsiveness to Technical Topic and Potential Impact. Potential of the technology/solution for meeting the project goals provided in BAA call will be assessed. Further, an assessment will be made as to both the breadth of the responsiveness to the topic area goals the solution represents, and potential impact of successful implementation of the proposed solution.

**Criterion II:** Technical and Managerial Approach. Sound technical and managerial approach to the proposed work, including a demonstrated understanding of the critical technology or engineering challenges required for achieving the project goals of the BAA call will be assessed. An assessment will be made to determine not only the technical feasibility of the proposed development, but also of how the development will be managed

including any relevant dependencies, to include milestones, to accomplish success. Furthermore, an assessment will be made to determine whether the task descriptions and associated technical elements are complete and in a logical sequence, with all proposed deliverables clearly defined such that a viable attempt to achieve project goals is likely as a result of award. The proposal identifies major technical risks and clearly defines feasible mitigation efforts.

**Criterion III:** Offeror's Capabilities and Related Experience. The offeror's prior experience in similar efforts will be assessed to determine if the offeror clearly demonstrates an ability to deliver products that meet the proposed technical performance within the proposed budget and schedule. In addition, the proposed team will be reviewed to determine whether the personnel have 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.

**Criterion IV:** Transition Approach. As technology adoption is a major DHS S&T CSD goal for R&D projects, a qualitative assessment will be made regarding how the proposed technology/solution will be transitioned to an operational user (e.g., commercialized or used by a DHS component). The assessment will determine the likelihood that the offeror will be able to deploy a technology and/or solution(s) that can be transitioned effectively to the user community either through commercialization of the technology, open source distribution, or through other means. Because intellectual property rights will impact technology transition, an assessment will be made of software/data to be included in the proposed technology for which the Government would not receive unlimited rights (as identified in the Assertion Table included with the proposal). The assessment will consider: 1) proposed use(s) of the software/data; 2) the explanation as to how the Government will be able to reach its technical goals (including transition) within the proprietary model offered; and 3) the nonproprietary alternatives in any area that might present transition difficulties or increased risk or cost to the Government under the proposed proprietary solution.

**Criterion V:** Cost.

(1) 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."

(2) Proposals. The cost evaluation factor for proposals is as follows: "Cost Reasonableness and Cost Realism. The proposed costs are reasonable (i.e., reflect a sufficient understanding of the technical goals and objectives of the solicitation, and are consistent with the offeror's technical/management approach (to include the proposed SOW)), and are based on realistic assumptions. The costs for the prime and subcontractors/consultants are substantiated by the details provided in the proposal (e.g., the type and number of labor hours proposed per task, the types and quantities of materials, equipment and fabrication costs, travel and any other applicable costs)."

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

11.3.1 The primary basis for the 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.

11.3.2 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 CSD BAA HSHQDC-14-R-B0005.

### **11.4 Evaluation Panel.**

11.4.1 Use of Support Contractor Personnel. DHS S&T intends to use contractor employees to provide administrative assistance to federal employees regarding all aspects of any actions ensuing from CSD BAA HSHQDC-14-R-B0005, including supporting federal employees involved in the evaluation of white papers and/or proposals. However, support contractor personnel will not be conducting any evaluations of white papers and proposals.

11.4.2 Foreign Government Participation. As stated in paragraph 1.3 above, DHS S&T intends to have foreign government participation in the selection process as peer/scientific reviewers of submitted white papers and/or proposals, foreign government access to white papers and proposals for purposes of determining joint-funding, and joint participation (U.S. and foreign government) in overseeing 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; and (j) the Government of Singapore.

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

11.5.1 Once the white paper peer/scientific review process is complete offerors will be notified via e-mail, or in writing, whether as a result of its white paper submission, the offeror is “encouraged” or “not encouraged” to submit full proposals.

11.5.2 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. Offerors

11.5.3 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 3 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 CSD BAA HSHQDC-14-R-B0005 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, if authorized by law at time of award, OT. Information regarding SAM registration is available at <http://sam.gov>.

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

12.3.1 CSD BAA HSHQDC-14-R-B0005 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.

12.3.2 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 CSD BAA HSHQDC-14-R-B0005 and the Government's use of such information. Respondents to any calls issued against CSD BAA HSHQDC-14-R-B0005 may be requested to provide additional information based on their submittals. Unnecessarily elaborate responses containing extensive marketing materials are not desired.

12.3.3 Technical and cost proposals, or any other material, submitted in response to any calls issued against CSD BAA HSHQDC-14-R-B0005 will not be returned.

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

12.4.1 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 the one or more offerors with the potential to attain an unfair competitive advantage.

12.4.2 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.

12.4.3 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 paragraph 12.4.4 below, titled: Mitigation/Waiver.

12.4.4 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.

12.4.5 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.

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

12.4.7 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.**

12.5.1 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.

12.5.2 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.

12.5.3 Offerors shall identify any anticipated export compliance issues in their response to this solicitation. 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 under this solicitation that is subject to export control restrictions.

12.5.4 To the extent that export-controlled information may be provided to DHS by offerors in response to a solicitation, 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.**

12.6.1 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 or not have success. Related, to the greatest extent feasible, offerors should not include background proprietary software and technical data as the basis of their proposed approach.

12.6.2 Deleted.

12.6.3 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.

## **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 CSD BAA HSHQDC-14-R-B0005:

a. 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.

b. Publication of Research Results.

(1) 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 at least **sixty (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.

(2) 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.

(3) 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.**

12.8.1 In order to qualify for the award of a cost reimbursement contract, the offeror must have an adequate accounting system in accordance with FAR 16.301-3(a)(1). 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.

12.8.2 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.

12.8.3 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.

12.8.4 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 CSD BAA HSHQDC-14-R-B0005, 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**

12.11.1 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.

12.11.2 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 will be evaluated for allowability on a case-by-case basis. Maximum use of Government integration, test, and experiment facilities is encouraged in each of the Offeror's proposals.

12.11.3 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.

12.11.4 If any prototype, instrument or device that is produced during the period of performance of a funded project, one or more samples shall be delivered to DHS S&T CSD 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 Statement of Work.

**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 \$650,000.00, 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 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:

12.16.1 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 Statement of Work (SOW) included in the subsequent contract award.

12.16.2 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.** At a minimum there will be three types of status reports, the outlines of which are below; there will be an annual project information report, a monthly financial report and a monthly technical report. These shall be required irrespective of award mechanism.

a. Annual Project Information Report - Submit the following information within thirty (30) calendar days after award and annually thereafter.

(1) Administrative Information.

(a) Principal Investigator(s) of Record. Identify the name, business phone, and e-mail address of the principal investigator of record.

(b) Programmatic/Technical Point of Contact. If the Principal Investigator is not the point of contact (POC) for the programmatic/technical data, identify the name, business phone, and e-mail address of the individual (s) reporting programmatic information and technical status.

(c) Administrative Contact. Identify the name, business phone, and e-mail address of the administrative and contracting point of contact.

(d) Financial Data Point of Contact. Identify the name, business phone and e-mail address of the individual reporting financial data.

(e) Subrecipient (s). Identify and maintain a subrecipient list. Identify subrecipient(s) organization, CAGE code, and technical point of contact.

(2) Programmatic Information. Deliver an abstract up to two (2) pages in length that addresses the following:

(a) Project Description. Cover the following:

- Research Objectives.
- Problem Description. Provide a concise description of the problem area addressed by this research project.
- Research Goals/Contribution. Identify specific research goals of this project. Identify and quantify expected performance improvements from this research. Identify new capabilities enabled by this research. Identify and discuss salient features and capabilities of developmental hardware and software prototypes.
- Expected Impact. Describe the expected impact of the research project, if successful, to the problem area.

(b) Technical Approach. Cover the following:

- Detailed Description of Approach. Provide a detailed description of the technical approach that will be used in this project to achieve the research goals. Specifically identify and discuss innovative aspects of the technical approach.
- Comparison with Current Technology. Describe state-of-the-art approaches and the limitations within the context of the problem area addressed by this research.

(2) Quad Chart. Provide a Quad Chart as one (1) landscape-oriented page divided into four (4) quadrants and suitable for use in briefings using the following format:

Award Number: Title: <i>(Brief/Short Title of Effort)</i>		Performer Name: Date:	
<b>GRAPHIC:</b>		<b>OPERATIONAL CAPABILITY:</b>	
Photograph or artist's concept: 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.		1. Performance targets 2. Quantify performance for key parameters 3. Cost of ownership 4. Address how the proposed development addresses the goals in the BAA topic area	
<b>TECHNICAL APPROACH:</b>		<b>SCHEDULE:</b>	
1. Explain how it would meet the goals detailed in the BAA topic area. 2. Describe tasks. 3. Describe current status of the proposed technology. 4. Describe any actions done to date. 5. Describe any related ongoing effort by the offeror.		Provide any milestone decision points. Describe period of performance and total costs. Include the base performance period cost and length, and estimates of cost and lengths of possible options.  Deliverables: Include all hardware, software and data deliverables.  Note: the schedule shall be depicted on a horizontal timeline with at least Quarter resolution (3 month increments) starting with the Quarter that contains the scheduled project end. Quarters begin on 1 October, 1 January, 1 April, and 1 July. Use absolute time designations for all dates.	

b. Monthly Financial Report - The contractor shall use the following format to provide monthly financial status within fifteen (15) days of the end of the prior month:

<Month - Year>	Amount/Date
Accrued Monthly Expenses (See (b) i.)	
Cumulative Expenditures to Date	
Total Amount Invoiced for the month (See (b) ii.)	
Cumulative Invoiced to Date	
Total Amount Obligated on the Contract	
Total Amount Unexpended on the Contract	
Date Accrued/Incurred Expenses will Equal 75% of Obligated Funding (See (b) iii.)	
Date Accrued/Incurred Expenses will Equal 100% of Obligated Funding (See (b) iii.)	

(1) Accrued Expenses for Month. Specify the accrued expenses incurred during the reported month (direct and indirect costs on the awardees' accounting system including labor, overhead, G&A, equipment purchases, travel, material, and any sub-award charges known by the prime).

(2) Invoices this Period. To allow for cases when more than one invoice is submitted during the month, the cumulative amount invoiced is needed.

(3) Date Incurred Expenses will equal Obligated Funding. Specify the anticipated dates that incurred expenses will equal 75% and 100% of the obligated funding, respectively.

(4) Planned Accrued Expenses ("Spend Plan"). The contractor shall document planned expenditures from award to contract completion (contractor format is acceptable). The spend plan shall specify the monthly expenses planned for the entire period of performance.

(5) Projected Funding Increment. Specify the funding increment required for the period beginning with "Date Incurred Expenses will equal 100% of Obligated Funding" and ending with 31 December of the next calendar year. If award ends prior to 31 December of the next calendar year, specify the funding increment required up to the award end date. Obligated funding increments are additions to currently available funds, not additions to the total award value.

(6) Issues or Concerns. Summarize any funding, programmatic and other issues or concerns as well as recommended actions for Government consideration. Indicate if an anticipated funding increment has not been received.

c. Monthly Technical Report - The contractor shall use the following format to provide monthly technical status within fifteen (15) days of the end of the prior month:

(1) Project Progress.

(a) Progress Against Planned Objectives. Update the status of specific objectives identified in the last reporting period as "Specific Objectives for Next Period". For each objective, indicate if the objective was or was not accomplished. For each objective not accomplished, detail the current status of the objective.

(b) Technical Accomplishments this Period. Describe the technical accomplishments made during this reporting period.

(c) Significant Changes to Technical Approach to Date. Identify and provide a detailed description of and rationale for significant changes to the technical approach since the start of the research project. Indicate "none" if there is no change.

(d) Deliverables this Period. Report the deliverables submitted during this reporting period. List the Deliverable Name, Type of Deliverable (e.g., hardware or software item, demonstration, milestone, design study or other documentation), and Date of Submission.

(e) Technology Transition and Transfer this Period. Discuss progress against plans for technology transition and transfer. Identify specific Government and commercial organizations recipients or contacted for technology transition or transfer. Indicate “none” if there is no activity during the reporting period.

(f) Publications this Period. Provide an electronic copy of each publication sponsored fully or in part by this award during the reporting period. For each publication, specify the:

- Title
- Author(s)
- Publication date
- Publication venue (e.g. journal, conference or magazine name)
- Publication keywords and Universal Resource Locators (URLs)

(g) Meetings and Presentations this Period. List all meetings (Principal Investigator meetings, conferences, workshops, demonstrations, and other coordination meetings, and address all travel) participated in during the reporting period that were sponsored fully or in part by this award. For each meeting, specify the:

- Meeting Name
- Meeting Purpose
- Meeting Start and End Dates
- Meeting Location (place and name of facility)
- Meeting Attendees from the project
- Presentations Made

(h) Issues or Concerns. Summarize any funding, technical, programmatic, or other issues or concerns as well as recommended actions for Government consideration should be emailed to the Contracting Officer Technical Representative (COTR).

(1) Project Plans.

(a) Planned Activities. Describe the planned activities for the next reporting period. Discuss the risks and payoffs corresponding to the planned activities. Include a discussion of planned experiments, demonstrations, presentations, and technical papers.

(b) Specific Objectives for Next Period. Report the significant technical and programmatic objectives planned to be completed during the next reporting period.