

## 1. GENERAL INFORMATION

**Agency Name:** Department of Homeland Security  
Science & Technology Directorate  
Washington, DC 20528

**Research Opportunity Title:** DHS S&T Long Range Broad Agency Announcement

**Research Opportunity Number:** BAA 12-07

**Catalog of Federal Domestic Assistance (CFDA) Number:** 97.065

**Catalog of Federal Domestic Assistance (CFDA) Title:** Homeland Security Advanced Research Projects Agency

**Response Date:** This announcement has been extended and will remain open until December 31, 2013, 11:59PM, Eastern Standard Time (EST). White Papers are due by this response date; thus, if you are encouraged to submit a Full Proposal based on your White Paper submission, please be advised that the due date of the full proposal will be the date that is specified in the notification letter; and not the response date by December 31, 2013, 11:59PM, EST.

However, if an offeror's proposal is not encouraged based on their White Paper submission, and the offeror still opts to submit a full proposal, they may do so within 60 days of the notification letter; and not the response date by December 31, 2013, 11:59PM, EST.

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## 2. INTRODUCTION

The Department of Homeland Security (DHS) Science & Technology Directorate (S&T) reserves the right to reject submissions that do not comply with the submission instructions contained in this document. Please read these instructions carefully.

This is a Long Range Broad Agency Announcement (LRBAA), as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and 35.016. It is not a request for information (RFI). The LRBAA's submission and evaluation processes are distinct from those of conventional procurements that use Requests for Proposals (RFPs) or Requests for Quotes (RFQs).

S&T's mission is to "support basic and applied homeland security research to promote revolutionary changes in technologies; advance the development, testing and evaluation, and deployment of critical homeland security technologies; and accelerate the prototyping and deployment of technologies that would address homeland security vulnerabilities." This Announcement declares S&T's general interest in competitively funding R&D projects across a spectrum of science and engineering disciplines. S&T will focus on areas where risk inhibits mission or operational investments, and where significantly improved or increased capability payoffs can be expected.

S&T seeks R&D projects for revolutionary, evolving, and maturing technologies that demonstrate the potential for significant improvement in homeland security missions and operations. The unique contribution of your proposed research or technical concept, and how it differs from similar efforts or solutions, must be clearly articulated in your White Paper. Offerors should read the descriptions of the research topic areas of interest and identify the specific topic for which their concept will have the maximum impact. Offerors are encouraged to select the one division that most directly corresponds to their proposed subject matter.

It cannot be emphasized too strongly that all submissions must indicate significant advancement in the evolution of a topic area identified in this Announcement. The Government reserves the right to reject submissions that do not clearly articulate such advances or innovations.

This announcement is restricted to work relating to basic and applied research and that portion of advanced technology development *not* related to a specific system or hardware procurement. This announcement does *not* cover support services, such as technical services, engineering services, or other types of support services. Such submissions are considered non-compliant with this LRBAA and will be rejected without evaluation.

Fully developed products are not normally considered under this LRBAA, unless the Offeror is proposing a totally different application for the product or a modification is needed, which requires substantial research. Purchase of capital equipment will only be allowed under a given proposal if S&T deems it reasonable and necessary to conduct the particular project. No LRBAA award shall be primarily for the purchase of capital equipment.

Offerors who seek, through this LRBA, to extend work previously completed must clearly articulate where the old work ended, where the new work begins, and what new advances are expected from the work contemplated under this LRBA. Please ensure it is clear that the work now being submitted is independent of previous work (i.e. the next logical step in the research, or investigating a subject that was discovered and not funded under the previous award). Submitting existing Statements of Work and indicating which steps have been completed is not sufficient justification for an independent award under the LRBA.

DHS S&T will not issue paper copies of this Broad Agency Announcement. Oral presentations are not permitted at any point during the LRBA process.

### **3. ELIGIBILITY INFORMATION**

All responsible Offerors are eligible to submit White Papers under the LRBA, but DHS S&T particularly encourages submissions from small businesses. However, no set aside of any kind will be made.

Foreign or foreign-owned Offerors are advised that their participation is subject to foreign disclosure review procedures, applicable export control laws, and other applicable federal laws, regulations, and policies pertaining to U.S. Government business with foreign entities.

Offerors may include independent organizations, single entities, or teams from private sector organizations, Government laboratories, airport authorities, Federally Funded Research and Development Centers (FFRDCs), and academic institutions. FFRDCs, including the Department of Energy National Laboratories and Centers, are eligible to respond to this LRBA individually or as team members with eligible principal Offerors, as long as they are permitted to respond to such announcements under their applicable sponsoring agreements.

Historically Black Colleges and Universities (HBCUs), Minority Institutions (MIs), small businesses, small disadvantaged businesses, women-owned small businesses, service-disabled veteran owned small businesses, and HUBZone small businesses are encouraged to submit proposals and to join other entities as team members in submitting proposals.

Offerors must be prepared to cooperate and exchange data and technical information as requested by DHS S&T. Data rights and intellectual property terms and conditions will be addressed after Full Proposal evaluation.

The cost of preparing White Papers and Full Proposals in response to this Announcement is not considered an allowable direct cost. Offerors should consult FAR 31.205-18 when considering whether these costs may be allocated as indirect costs. The Contracting Officer will determine allowability and allocability. The Offeror may be required to submit certified cost and pricing data if the value of a prospective award exceeds the Truth in Negotiations Act threshold.

#### 4. AWARD INFORMATION

The S&T technical subject matter expert personnel shall coordinate with the Contracting Officer to identify White Papers that present “particular value” to S&T. The Division Contracting Officer will encourage the Offerors of these White Papers to submit Full Proposals consisting of detailed technical and cost information. Please note that any such encouragement does not assure an award.

DHS S&T reserves the right to select for award and fund all, some, or none of the Full Proposals received in response to this Announcement. The amount of resources made available under this BAA will depend on the quality of the proposals received and the availability of funds. A proposal may be selected, but only specific portions may be of interest. The award value and period of performance of each selected Full Proposal will be determined on a case-by-case basis.

Proposal development costs will not be reimbursed. Technical and cost proposals (or any other material) submitted in response to this BAA will not be returned. However, depending on the markings on the proposal, DHS S&T will adhere to FAR policy on handling source selection information and proprietary proposals. It is the policy of DHS S&T to treat all proposals as proprietary information and to disclose their contents only for the purposes of evaluation.

Multiple awards are anticipated through this LRBA. Award decisions will be based on a competitive selection of proposals resulting from a scientific and cost review. Awards may take the form of Cost-Reimbursement type contracts. However the Government reserves the right to award grants, cooperative agreements, Other Transaction Agreements (OTA) (if authorized by law at time of award), or interagency agreements to appropriate parties should the situation warrant.

The applicable laws and regulations governing a particular award will depend on that award vehicle. S&T will also facilitate access to laboratory and operationally relevant test and evaluation facilities, where reasonably available. In the event that an Offeror or subcontractor is an FFRDC, Department of Energy National Laboratory, or other federal entity, DHS S&T will work with the appropriate sponsoring agency to issue an interagency agreement pursuant to the Economy Act (31 USC 1531) or other appropriate authority.

In many cases, other elements of the U.S. Government are pursuing related technologies. In such cases, S&T will leverage those technology development efforts wherever it is practicable and efficient to do so.

#### 5. ETHICAL CONSIDERATIONS

*Communication During Evaluation:* Once a White Paper or Full Proposal has been submitted, the evaluation becomes active until the LRBA Contracting Officer issues an official notification letter to the Offeror. During the evaluation (White Paper or Full Proposal), **no communication shall occur** between S&T personnel and the Offeror regarding the submission or its general subject matter, except as noted below.

During the evaluation period, the LRBA Contracting Officer must be the focal point of any exchange with Offerors. After receipt of a Full Proposal, no discussion regarding the scope of work, resources required to execute the scope, etc., will be allowed during the Source Selection process. However, a Contracting Officer may initiate communications if and when specific facts in the submission require further clarification from the Offeror (such as confirmation of a delivery date).

*Conflict of Interest:* Organizational conflict of interest issues will be evaluated on a case-by-case basis as outlined below:

- (a) Disclosure. In a Full Proposal submission Offerors must represent to the best of their knowledge: (1) whether any of their current employees were previously employed by DHS S&T, and whether any of their former employees are now DHS S&T employees; (2) full disclosure of any actual, potential, or perceived organizational conflicts of interest. The Offeror shall include a mitigation plan for any actual or potential conflicts of interest, in accordance with paragraph (d) of this provision.
- (b) Determination. The Contracting Officer may determine that this effort may result in an actual, potential, or perceived conflict of interest.
- (c) If an Offeror with an actual, potential, or perceived conflict of interest believes it can be mitigated the Offeror may submit a mitigation plan to the Contracting Officer. The Contracting Officer may approve a mitigation plan; reject a mitigation plan and ask for revisions; or reject a mitigation plan, determine that the conflict of interest cannot be resolved or avoided, and find the Offeror ineligible for award.
- (d) Other Relevant Information. In addition to the mitigation plan, the Contracting Officer may require additional 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 may be made and whether the mitigation plan adequately mitigates the conflict.
- (e) Corporation Change. The successful Offeror shall inform the Contracting Officer, within 30 calendar days of the effective date of any corporate mergers, acquisitions, or divestitures that may affect this provision.
- (f) Flow-down. The contractor shall insert the substance of this clause, paragraphs (a) through (f), in each subcontract that exceeds the simplified acquisition threshold.

Offerors who have existing contract(s) with DHS S&T for scientific, engineering, technical or administrative support will receive particular scrutiny.

Note also that actual awards will incorporate Homeland Security Acquisition Regulation (HSAR) clause (deviation) 3052.209-70 Prohibition on Contracts with Corporate Expatriates.

## 6. PRE-SUBMISSION INQUIRIES

A pre-submission inquiry is optional. The LRBA web page has a submission portal specifically for pre-submission inquiries. Through this portal only, you may submit a brief statement of your idea and receive general feedback on it. Inquiries emailed directly to divisions will not be considered. S&T personnel can indicate whether an idea appears to be within the scope of the division's interests and this LRBA. S&T personnel cannot assist in the preparation of a White Paper, nor can they propose any ideas they would like Offerors to address. However, regardless of the feedback you receive, you may still submit a White Paper.

Go to <https://baa2.st.dhs.gov> and click on the following links: (1) Current Solicitations; (2) LRBA 12-07; (3) Pre-Submission Inquiry. This will take you to the online pre-submission inquiry portal. You will be asked to identify a topic area to ensure it is routed to the correct division and individual(s).

## 7. RESEARCH TOPICS

Below are brief treatments of the topic areas of interest. In your White Paper submission, you will be asked to identify the division and/or specific topic area that best fits your proposed research.

### **BORDER AND MARITIME SECURITY**

The Borders and Maritime Security division is interested in the development and evaluation of security technologies and pilot testing new surveillance, tracking, and response capabilities that cover vast expanses of remote border territories. Our focus is on technologies that improve the security of our Nation's borders and waterways without impeding the flow of commerce and travelers.

Border and Maritime Security's overarching goals are as follows:

Goal 1: Develop advanced detection, classification, and locating technologies that will enhance law enforcement officers' ability to secure the border and respond to border threats.

Goal 2: Develop advanced detection, identification, interdiction, and enforcement technologies for rapid, coordinated response to maritime threats.

#### **BMD.01 Land Border Security**

Detection of, tracking of, classifying of, and responding to all threats along the terrestrial and maritime border – specifically, technologies that can perform one of the following functions:

- Classify humans versus animals in rugged terrain, concealing foliage, water obstacles, mountains, and other environmental constraints
  - Lower false alarm rate (Pfa) with raised probability of detection (Pd); Pd should be at least 90%

- Operate at low power consumption levels (2-year battery life)
- Sensor hardware must be covert
- Ground based sensors that can detect the presence of and track human targets in remote (no grid power) heavily forested areas
- Cost-effective airborne sensors for better land border security to assist in locating illicit activities, materials, or their means of conveyances, including:
  - Runway-agnostic unmanned aerial systems that could be evaluated on their ability to provide ground operators with situational awareness and airborne imagery of areas of interest; and
  - Next-generation sensor payloads for small unmanned aerial systems

## **BMD.02 Maritime Border Security**

Improved situational awareness by tracking small boat activity(including semi- and fully-submersible) activity, detecting anomalous and/or illegal behavior, and providing timely and actionable information in support of law enforcement and port security efforts; in particular, new information sources that utilize publically available databases, data sets, data collection devices, or sensors of opportunity to increase detection/tracking accuracy and/or the field of regard surrounding inland waterways, ports, harbors, and coastal regions.

## **CYBER SECURITY**

**CSD.01** – The Cyber Security Division focuses on research for advanced cyber security and information assurance solutions to secure the Nation’s current and future cyber and critical infrastructures against persistent threats and dynamic attacks. This research is guided by the President’s National Strategy to Secure Cyberspace and Comprehensive National Cybersecurity Initiative. These solutions include secure protocols, end system security, user identity and data privacy technologies, research infrastructure, law enforcement forensic capabilities, competitions, and education.

### **CYBER SECURITY R&D AREAS OF STRATEGIC INTEREST:**

**CSD.01** – The Cyber Security Division focuses on research for advanced cyber security and information assurance solutions to secure the Nation’s current and future cyber and critical infrastructures against persistent threats and dynamic attacks. This research is guided by the President’s National Strategy to Secure Cyberspace and Comprehensive National Cybersecurity Initiative. These solutions include secure protocols, end system security, user identity and data privacy technologies, research infrastructure, law enforcement forensic capabilities, competitions, and education.

### **CYBER SECURITY R&D AREAS OF STRATEGIC INTEREST:**

**CSD.02** – Internet Infrastructure Security – including secure internet protocols including Domain Name System Security (DNSSEC) and Secure Protocols for Routing Infrastructure (RPKI and BGPSEC).

**CSD.03** – National Research Infrastructure – mimicking real-life conditions, systems and infrastructure, to enable the cyber security research community to discover, test, and analyze state-of-the-art tools, technologies and software in a scientifically rigorous and ethical manner.

**CSD.04** – Homeland Open Security Technology – Open Source Security Technology to enable implementation and deployment of open source security technologies in Federal, State, and Local environments.

**CSD.05** – Forensics support to law enforcement – including the research and development of tools and technologies that will allow investigators to visualize, analyze, share and present data derived from cell phones, GPS devices, computer hard drives, networks, and other digital media.

**CSD.06** – Identity Management (IdM) - seeking tools, technologies, credential vulnerability studies, and other efforts that improve the security of access control in both cyber and physical environments. The mission of the IdM research projects is to develop, test, and evaluate interoperable tools, technologies, standards, and protocols for the purpose of controlling user access within and outside of organizational boundaries. The foundational goal is to increase security and productivity while decreasing cost and security risks.

**CSD.07** – Data Privacy Technologies - seeking to develop a set of technologies and associated business processes, which help organizations responsibly manage personally identifiable information (PII) in a manner that protects individual privacy consistent with applicable law, policy, and mission. Data Privacy tools that inherently provide privacy are critical enablers of information sharing as they automate control of privacy data and foster confidence that personal information is being used appropriately while minimizing privacy risk. Data Privacy projects support the application of technologies to the transfer, management, and accountability of privacy data for federal, state, local, and critical infrastructure and key resource information sharing missions by exploring, refining and integrating technologies and techniques, and piloting the results.

**CSD.08** – Software Assurance – The CSD objective in the area of Software Assurance is to develop and improve Software Analysis technologies, tools, and techniques to reduce the exposures and vulnerabilities in software. The nation's critical infrastructure (energy, transportation, telecommunications, banking and finance, and others), businesses, and services are extensively and increasingly controlled and enabled by software. Vulnerabilities in software put the nation's critical resources at risk. To address this objective, CSD is seeking research in areas such as:

- a) The integration of Static Application Security Testing (SAST) with Dynamic Application Security Testing (DAST) tools and techniques to create a hybrid approach to reduce exposures and vulnerabilities in the software environments.
- b) Vulnerability correlation engine to reduce false-positives and improve detection capabilities for false-negatives.
- c) Comprehensive remediation workflow analysis
- d) Vulnerability mapping and correlation (DISA STIGS, NIST, CWE, OWASP and PCI).
- e) Integration and support with DHS Software Assurance Market Place (SWAMP)



- f) Threat and attack model simulations to cover areas such as business logic flaws, system environment, OS related exposures

**CSD.09** – The CSD objective in the area of cyber security education is to develop, demonstrate and help implement comprehensive and dynamic cyber security education models that impact our homeland and national cyber security education condition for the better. These models and associated technologies need to support cyber security competitions and education and curriculum development. To address this objective, CSD anticipates cyber security research in areas such as:

- a) the coupling of operations with education and training;
- b) abstract learning versus learning with context;
- c) Bayesian learning (prior knowledge) and where and how it might be applicable.

**CSD.10** – Cyber-physical control and Critical Infrastructure Systems and Security – The intersections of cyber security and critical infrastructure is a growing vulnerability for the American homeland, characterized by tight coupling, coordination, and interconnections among sensing, communications, computational, control, information and physical resources. Their interconnections in particular form a complex system of systems, and the complexity of these systems and interconnections will continue to grow. The complexity of systems poses challenges in resiliency, vulnerability, threat, and recovery assessment. To address this area, CSD is interested in applied research addressing areas such as:

- a) Models, theories, methods, and tools to fully address the cybersecurity of cyber-physical systems, in a unified and integrated way;
- b) Analysis, understanding and control approaches at the intersection of security analysis and operations analysis, i.e. possible overlaps between control and critical infrastructure systems and their cyber security, industrial security and operations security capabilities;
- c) The interplay of control, business and consumer-facing systems, and the interplay between different critical infrastructure systems;
- d) Security architectures, in particular how different security approaches might best work to protect critical infrastructure systems.

**CSD.11** – Internet Measurement and Attack Modeling Techniques: Security focused measurement and attack modeling for all aspects of cyberspace. This includes the Internet (e.g., ASNs, routers) as well as other devices (e.g. medical devices) or networks (e.g. ICS) that may connect to the Internet, via a static or dynamic (possibly intermittent) connection.

**CSD.12** – Securing the mobile workforce: technologies to support flexible client side security.

**CSD.13** - Security in cloud based systems – including secure protocols to protect data flow to, within and out of the cloud; data integrity; user privacy constraints; forensics analysis to preserve digital evidence; and measurement systems to identify unauthorized activity.

**CSD.14** – Experiments and Pilots – Technologies developed through federally funded research requiring test and evaluation in experimental operational environments to facilitate transition.

**CSD.15** – Research Data Repository – Cyber security datasets of interest to the research community.

**CSD.16** – Cybersecurity Economic Incentives – Research into the areas of:

- a) Cyber insurance and insurability,
- b) Defining the boundaries between service provider empowerment and law enforcement involvement, within the context of their global legal abilities and partnerships, and
- c) The legal and technical issues and barriers involved in data sharing among service providers, both domestic and global, and developing improved models for domestic and international collaboration and cybersecurity data sharing.

**CSD.17** – Data Analytics – The exponential increase in the volume of data created daily worldwide creates new challenges for cyber security. S&T is interested in technologies and tools to support the analysis of datasets whose size is beyond the ability of commonly used software tools to capture, manage and process. These include but are not limited to:

- a) Data discovery,
- b) automated analysis techniques,
- c) machine and self-learning algorithms and
- d) data visualization.

**CSD.18** – Tailored Trustworthy Spaces – Technologies and tools supporting the concepts of tailored trustworthy spaces, including but not limited to:

- a) trust negotiation tools and data trust models to support negotiation of policy,
- b) Type-safe languages and application verification, and tools for establishment of identity or authentication as specified by the policy, and
- c) Support for application-aware anonymity to allow for anonymous web access, and platform security mechanisms and trust-in-platform.

## **EXPLOSIVES DIVISION**

**EXD.01** – Explosives Countermeasures include the detection, mitigation, and response to explosive threats including: all modes of transportation within the Transportation Systems Sector (Aviation, Maritime, Mass Transit, Highway, Freight Rail, and Pipeline); in checked and carry-on baggage; Home Made Explosives (HME); improvised explosive devices (IEDs), vehicle borne (VBIED) and person borne (PBIED); and response and defeat technologies.

**EXD.02** – Standoff Detection of Explosives: Technologies for the standoff detection of explosives and explosive devices related to Person and Vehicle Borne Improvised Explosive Devices. Explosives of interest include commercially available explosives (i.e. Ammonium Nitrate based), conventional military explosives (i.e. Composition C-4 and Semtex A/H) and homemade explosives (i.e., peroxide base). Standoff Detection implies that both the detection equipment and operator be located at some distance (>1 m up to tens of meters) away from the subject or object under interrogation. Subtopics include:

(1) Integration of both multimodal and multispectral technologies for improved detection and/or imaging metrics.

(2) Development of automated detection and/or identification capabilities associated with both imaging and spectroscopy based technologies.

**EXD.03** – Trace Detection of Explosives: Technologies for the detection of explosives trace particle and vapor signatures in aviation security, facilities protection, and mass transit security operations. Specific interests include handheld and benchtop explosives trace detection (ETD) systems, optical methods for quickly and quantitatively measuring trace contamination on a range of surfaces, and advanced explosives trace detection system concepts.

**EXD.04** – Cargo Security includes detecting intrusion or unauthorized access, positively identify cargo, and provide timely response – in particular, in containerized, palletized, parcel, or bulk/break-bulk maritime, air cargo, and freight rail.

**EXD.05** – Test and Evaluation Expertise and Facilities for Counter-IED detection technologies. Standoff, Remote, and Checkpoint based explosives detection systems, to be evaluated, most often require real explosives and local storage of said explosives. Facilities must be able to store, on-site, small amounts (< 1 pound) of various solid explosives, while achieving clean, uncontaminated facilities for equipment testing. Facilities must be able to accommodate non-eye safe laser ranges, x-ray based screening equipment, and neutron-based screening equipment. Facilities must also be able to accommodate, in certain cases, large, outdoor vehicle borne IED screening equipment.

**EXD.06** – Data Fusion and Automated Detection for aviation cargo, checked baggage, carry-on baggage, personal check points and all surface intermodal concerns. Algorithms and techniques for detection fusion and automated alerting that combines a variety of detection modalities, including but not limited to X-ray, trace chemical detection, computed tomography (CT) and video.

**EXD.07** – Advanced Detection Technologies: Development of robust, enhanced explosives detection methods such as fluorescence quenching materials, bio-inspired molecular recognition techniques and advanced sampling technologies to improve selectivity and sensitivity capabilities. Detection methods should be easily deployed, low cost and require minimum training to operate. Special attention should be paid to determining better sensing mechanisms and signal amplification mechanisms to apply to future detection improvements. Advanced image processing and data collection methods are of interest.

## **FIRST RESPONDER GROUP**

**FRG.01** – The First Responder Group identifies, validates, and facilitates the fulfillment of First Responder capability gaps through the use of existing and emerging technologies, knowledge products, and the acceleration of standards. The FRG focuses on: (1) developing tools, technologies, methodologies, standards, protocols, and guidance to enable improved communications interoperability for First Responders; (2) providing First Responder solutions for high-priority capability gaps through rapid prototyping; (3) maintaining a Web portal that enables First Responders to easily access and leverage Federal web services; and (4) overseeing

the National Urban Security Technology Laboratory, which provides a test and evaluation capability for DHS-developed technologies and systems.

## **FIRST RESPONDERS TECHNOLOGIES**

**FRG.14** – The ability to identify trends, patterns, and important content from large volumes of information from multiple sources (including non-traditional sources) to support incident decision-making. Improvements in this Capability can: (1) Prevent incident command and general staff from being overloaded with unmanageable amounts of incident data; (2) Allow incident commanders to synthesize and analyze information to make informed operational decisions. Capability Requirements: (1) Tools to analyze incoming incident data in real-time to identify trends, patterns and anomalies; (2) Policies and standards to utilize such information to inform and improve decision making.

**FRG.17** – The ability to share video from incident scene to medical services personnel in a remote location. Improvements in this Capability can: (1) Gather EMS color requirements for compressed video; (2) result in improved compression for video streaming in order to transmit it over the limited available wireless bandwidth. Capability Requirements: (1) applications must retain color truth throughout the video system.

**FRG.18** – The ability to analyze the performance of a video system's transport component. Improvements in this Capability can: (1) use different types of cameras (e.g., high definition, low definition) to identify the limits of camera use for streaming video (with or without compression) on a given network; (2) help define network bandwidth requirements for a video applications. Capability Requirements: (1) efficient use of bandwidth for a specific video application on a user's given device.

**FRG.19** – The ability to better understand how the public will respond to alert and warning messages on mobile devices. Improvements in this Capability can: (1) Improve understanding of the public's response to alerts and warnings, including how to optimize message content, message frequency, education and training, communicating to special populations, message diffusion throughout the public, and trust and validation of messages; (2) Take into consideration current Commercial Mobile Alert Service (CMAS) regulations proposed by the CMSAAC and supported by the FCC, including enhanced geo-targeting features; (3) Understand the use of social media and public participation in origination and dissemination of alerts and warnings including research and testing in the areas of standardization, aggregation and analysis, behavioral response, best practices, and privacy. Capability Requirements: (1) Consideration of current CMAS regulations as proposed by the CMSAAC and supported by the FCC.

**FRG.20** – The ability to better determine when more granular geo-targeting (i.e. below the County level as currently implemented) is appropriate as well as how broadly targeting should be extended from the point of incident. Improvements in this Capability can: (1) Accelerate geo-targeting standardization; (2) Enable the creation and establishment of best practices and standard operating procedures for adoption; (3) Focus on areas such as addressing messages across boundaries between targeted regions, differing coverage areas across multiple mobile carrier networks, the challenges of in-building geographies such as airports, and other

enhancements to improve the geo-targeting of mobile alerts and warnings using cell broadcast. Capability Requirements: (1) Geo Targeting (i.e., below the County level as currently implemented)

## **HSARPA/INNOVATION**

**HID.01** – HSARPA is interested ideas for novel applications of new and emerging technology that can radically alter the mission space of the Department of Homeland Security as well as the extended homeland security enterprise. With rapid changes in technology come unanticipated opportunities for DHS to advance our capabilities. For example, a new lightweight material might be used to rapidly develop a new class of micro UAV's using a 3D printing process to improve border security. These technologies should be relatively new discoveries for which experimental knowledge has been sufficiently collected to support application concepts that can be realized with modern manufacturing processes. In this topic area, we are not looking for open ended research and development.

**HID.02** – Apex was recently launched to address specific and urgent S&T needs for the Department. Apex projects are focused on enhancing DHS Operational Component partner capabilities to secure the homeland. Apex projects:

- Rapidly develop and deliver analyses and innovative technologies solutions to DHS components
- Are closely collaborated with the DHS components throughout planning and execution
- Use rigor to define the problem, needs and capabilities to enhance DHS Component's mission
- Develop a complete system that includes system analysis
- Deliver technologies that integrate in to the DHS component's operations
- Use a multidisciplinary team to leverage the breadth of S&T knowledge
- Are 24 months from project inception through operational testing

**HID.03** – The current Apex project has one technology goal: Implement new technologies to upgrade and increase the DHS Component's ability protect people and things. This includes emerging technologies that are lightweight, efficient, modular, and easily transportable. The technology solutions proposed must integrate with existing technologies used by the DHS Component, and be acceptable to the DHS Component.

**HID.04** – Information Resources: Develop, test, evaluate information systems and analytical tools to enhance preparation, facilitate decision making, and improve incident response capabilities. Develop, test, and evaluate software tools to more efficiently exploit intelligence and surveillance data.

**HID.05** – Communications, Surveillance and Reconnaissance: Develop, test, and evaluate surveillance and communication systems/sensors that enhance the protection of personnel and mitigate threats.

**HID.06** – Individual Protection: Develop, test, and evaluate enhancements to the protection of personnel during blast and ballistic events. Develop and test technologies that improve the performance of body armor by reducing weight and optimizing material performance.

**HID.07** – Mobile security: Enhance personnel protection during mobility (vehicular, etc.) operations.

**HID.08 – APX.01 Big Data Architectures and Analytics**

With increasing data sets from a variety of expanding information sources, effective capabilities to store, retrieve, manage and analyze heterogeneous collections of data in the face of privacy and security constraints are sought. HSARPA’s APEX program to address Big Data Architecture and Analytics is focused on discovering, understanding and assessing emerging technologies that can be used to create open platform solutions that enable the generation of homeland security analytics solutions and acquisitions to improve mission performance. Solutions should be robust and commercially supported with reasonably low licensing and lifecycle costs. There is little interest in solutions that become legacy systems with high switching costs, escalating licensing fees, or that require very rare technical skills. Current interests in Big Data capabilities include but are not limited to:

- Emerging commercial open standard secure scalable distributed architectures and storage solutions;
- Emerging hardware architectures for improving analytic response times to large data collections;
- Easy to use bolt-on production analytics solutions that can be easily configured, tailored and maintained by operational components;
  - High utility configurable text, tabular and visual interfaces for Big Data Analytics
- Scalable cross-language text matching for short semi-structured text fields in multiple languages;
- High accuracy entity resolution capabilities across cultures and languages;
- Performance metrics, datasets , and evaluation methodologies for assessing Big Data Architectures and Analytics;

**RESILIENT SYSTEMS DIVISION (RSD)**

RSD’s mission is to develop and deploy S&T solutions that enable the Homeland Security Enterprise and community of users to enhance preparedness, mitigate hazards, ensure effective response, execute rapid recovery, minimize risks to critical infrastructure and impact on the societal resilience and economy, and enable free flow of commerce in order to improve national resilience. RSD currently focuses on three portfolios of R&D: human factors/identification systems, physical security systems, and decision support systems. An important objective of RSD is ensure that R&D solutions yield products that will be deployed into operational environments for the user communities/

**Human Factors/Identification Systems**

This portfolio applies the social and behavioral sciences to improve detection, analysis, and understanding of threats posed by individuals, groups, and radical movements; develops novel technologies and tools to improve the recognition of individuals; supports the preparedness, response, and recovery of communities impacted by catastrophic events including support for

first responders; and advances national security by integrating human factors and public perceptions data into homeland security technologies. The identification aspects of this portfolio focus on biometric solutions that are agile, fail proof, and cost effective. The areas of interest in this portfolio are:

**RSD 1.1** – Behavior-based methods, models, trainings and technologies to enhance community resilience in the face of human- or nature-caused catastrophes through such means as better understanding of risk perception; improved risk communication by emergency responders and public officials; pre-event education and training; and applied theoretical and empirical research into the properties of resilient social networks and communities to include elements of social media and crowd sourcing..

**RSD 1.2** – Research and development to improve the detection, analysis, understanding, and mitigation of the threats posed by violent extremists. Knowledge, tools and technologies to determine when individuals, groups, and movements are likely to engage in violence, and what ideological, organizational, and contextual factors may influence violent action.

**RSD 1.3** – Methods for non-invasively identifying deceptive and suspicious behavior within a time constrained, low-base rate, screening environment, and methods for identifying interactive strategies optimal for eliciting disguise-resistant indicators of deceptive and suspicious behavior, including technologies that automate or aid in such identification. Protocols and technologies to minimize insider threats and to identify insider threat behavior when it occurs, especially in settings like transportation security or at a border are of interest as well.

**RSD 1.4** – Improvements in biometrics, including real-time positive verification of individual identity using multiple biometrics; mobile biometrics screening capabilities, high-fidelity ten print capture, non-cooperative biometric technologies for identification and the development of standards and test/evaluation protocols.

## **Physical Security Systems**

This portfolio focuses on innovative and effective solutions to reduce damage from natural hazards, minimize their impact on critical infrastructure, and provide the ability to quickly recover from disasters. Examples of hazards include hurricanes and the heat engine processes that control their intensity and resulting storm surge; solar storms resulting in geomagnetic impacts on earth; flooding and erosion, and flooding; wildfires; and processes driven by high winds and drought, including protective design and rapidly deployable protective measures; and earthquakes, including an ability to interpret signals from the earth to estimate the timing, location, and severity of an earthquake. The areas of interest in this portfolio are:

**RSD 2.1** – Surveillance Systems are of interest including video analytics, fusion algorithms, and intelligent filtering algorithms to identify, recognize, and track potential threatening events, behaviors, and individuals in a high density operational environment such as an aviation- or ground-based mass transit portal. These systems can also provide early detection and warning of earthquake, wild fire and other natural hazards to disaster management agencies, the general population and critical infrastructure owners/operators. Integrating multiple types of sensing

technologies and intelligent algorithms and processing data will allow for more efficient acquisition and interpretation of data and move complex systems towards more efficient enterprise deployments.

**RSD 2.2** – Resilient and Sustainable Infrastructure: Enhance security, resilience, and recovery of the 18 critical infrastructure sectors for retrofit applications. Develop key critical infrastructure components that can easily transition to user application, are affordable (in acquisition as well as operations and maintenance), highly transportable, and offer robust solutions for use during manmade and natural disruptions. Integrate infrastructure protection design with sustainable technologies and methodologies; reducing the consumption of energy, promote clean water, decrease pollutant emissions, and aiming to conserve resources over the life of the component. Key critical infrastructure component design should consider use of high-performance green materials that are self-monitoring, self-healing should stand the test of time; and should resist blast, earthquake, floods, and wind. Developing infrastructure that is sustainable means thinking differently about how we build, what we build, and whether we build at all. It means designing and maintaining infrastructures that are both highly efficient and all-hazard-resistant. Additionally, this portfolio addresses solutions that offer innovative risk/threat/consequence analysis processes, and methodologies to support the evaluation of national resilience against all hazard events.

### **Decision Support Systems**

This portfolio focuses on systems that will enable the nation to enhance resilience to all hazard events through collection and integration of data/information, analysis of risk and consequences, and dissemination of actionable results in a timely manner. The areas of interest in this portfolio are:

**RSD 3.1** – Agile Decision Aid Analytics to include mathematical methods, computational algorithms, and software/hardware architectures for discovering, comprehending, fusing and manipulating diverse, disparate data or information and applying the resulting knowledge to assess threats and consequences, anticipate terrorist incidents and natural or manmade catastrophic events, and guide response and recovery activities. Analytical capabilities that can operate on relatively small data sets to provide useable just-in-time response strategies (logistics, resource requirements) to improve resilience are of interest.

**RSD 3.2** – Modeling, Simulation, and Gaming technologies: Concepts, techniques, methodologies, algorithms, and innovative tools and applications to significantly enhance the quality of system analysis and reduce the time/cost of conducting system analyses. Develop modeling tools for a wide range of decision makers, from local law enforcement to governors to the White House, to evaluate alternative policies and actions to deal with emergencies and anticipate cascading effects across interdependent systems. Tools for real-time decision support in emergencies capable of integrating and assimilating multiple types of information, processing that information, and presenting it in a manner useful to decision makers. Capabilities sought include the following:

- (1) Simulation Based Exercise, Training, Education in both real time and non-real time
- (2) Dynamic, on-Demand, and Real-time Information Processing and Visualization;



- (3) Innovative model integration technologies and standards
- (4) Simulation Based Response Doctrine, Policy/Guidance Analysis, Exercise, and Training;
- (5) Mobile, Light-weight, and portable device integration into Modeling and Simulation Environments

**RSD 3.3 – Geospatial and Remote Sensing:** Geospatial technologies enhancing situational awareness for the disaster management and protection of critical infrastructure resulting in improved incident management at the Federal, State, and local and tribal levels. Develop image processing and spatial analytical techniques that exploit remote sensing measurements resulting in improving the detection of specific phenomena of interest to public safety and first responders. Using analytics and automation software that will allow for data integration, develop mathematical methods, computational algorithms, and hardware architectures for discovering, comprehending, and manipulating diverse, diffuse data or information and applying the resulting knowledge to develop baseline assessments, assess threats and consequences, anticipate terrorist incidents and natural or manmade catastrophic events, and guide response and recovery activities. Integrate capability into web services that improves analytical capability using cloud computing or distributive architectures to provide critical products to all levels of incident command.

**RSD 3.4 – Emergency Management:** Advances to improve protection of or enhance performance of emergency responders as they carry out life-saving tasks. Develop technologies that will fully enable emergency managers and responders to effectively cope with multi-hazard emergencies— technologies such as integrated advanced materials for protective clothing that report on the health of the first responder; decision support systems that provide real-time logistical tracking and management of emergency supplies, equipment, and personnel; advanced precision indoor/outdoor tracking technologies; integrated simulation-based incident planning and response capability to analyze all-hazard disaster response and recovery operations, tactics, techniques, plans, and procedures for use in a real-time environment for simulation-based training. Advanced algorithms, tools, and infrastructures for sensor data fusion and visualization for improved situational awareness and emergency response to include wireless communications, both in secure and quasi-secure environments.

**RSD 3.5 – Information Sharing:** Supports improved situational awareness and decision making across Federal, state, local, tribal and territorial public safety organizations, as well as non-governmental agencies, private sector partners organizations and the public and communities. Seeks concepts, prototypes and technologies that improve the capability to collect, process, analyze, visualize, share, and protect information across the Homeland Security Enterprise.

## **8. SUBMISSION PROCESS AND CLASSIFIED INFORMATION**

All LRBAAs submissions must be made through the S&T BAA website at <https://baa2.st.dhs.gov>. Select *Proposal Submission* from the side menu, then *Register*. You will need to know your company's Tax Identification Number to complete the registration. Submissions will not be accepted from unregistered organizations. Once registered, log into the system and select BAA 12-07. Contact technical support for the website at [dhsbaa@reisis.com](mailto:dhsbaa@reisis.com) or (703) 480-7676.

*Oral presentations are not permitted at any point during the LRBA process. A White Paper submission is mandatory. Full Proposals will be rejected outright if they are not preceded by a White Paper. The Offeror must receive an official notification letter from the Contracting Officer regarding the White Paper's evaluation results prior to submitting the corresponding Full Proposal.*

There is no limit to the number of White Papers a particular Offeror may submit; however, if a White Paper is not encouraged, do not resubmit the same one or a slightly modified version of it.

In teaming situations, the lead organization must remain the same on both the White Paper and, if selected, the Full Proposal. Any Full Proposal submitted by an entity other than the prime at the time of the White Paper submission will be rejected.

Submissions will be protected from unauthorized disclosure in accordance with FAR 15.207, applicable law, and DHS regulations. Offerors are expected to mark appropriately each page of their submissions that contains proprietary information.

### **Classified Information**

**Only unclassified** pre-submission inquiries, White Papers, or Full Proposals may be submitted via the LRBA website. **Classified information must not be transmitted via the LRBA website.** Instructions for submitting classified information are provided below.

The Government encourages contractors to work at the unclassified level whenever possible. In situations where a project consists of classified and unclassified elements, the information shall be segregated and marked appropriately. If a project or deliverable consists of classified and unclassified elements that cannot be segregated, the contractor shall use methods and conventions appropriate for classified environments.

The contractor may be required to have access to, and may be required to receive, generate or store classified information. Any contractor facilities used would require appropriate facility clearances and have the capability to store classified material. A DD Form 254 is required prior to accessing or producing any classified information. Additionally, the contractor is required to safeguard the information labeled as proprietary. Any security concerns must be addressed to Shane Davis, Science and Technology Directorate, Department of Homeland Security; unclassified email: shane.davis@hq.dhs.gov; classified email: shane.davis@dhs.sgov.gov; office: 202-254-5749.

Offerors of classified information must first register online and submit to the website a placeholder PDF file consisting of a single page with the words "Classified Volume Forthcoming" in the center of the page. Then print out the completed cover sheet for your placeholder submission, and attach it to the classified submittal. The classified submittal must be submitted via proper classified courier or proper classified mailing procedures as described in the National Industrial Security Program Operating Manual (NISPOM). The NISPOM document is online at [http://www.dss.mil/isp/fac\\_clear/download\\_nispom.html](http://www.dss.mil/isp/fac_clear/download_nispom.html). Classified submittals must include ten (10) printed copies and one electronic copy on compact disc recordable (CD-R)

media (do not use re-writable media, e.g. CD-RW/RW-/RW+). Each copy must be accompanied by the coversheet, which does not count towards the page limitations.

The email address for *classified* submissions is shane.davis.@dhs.sgov.gov. Also, send an unclassified email alert to shane.davis@dhs.sgov.gov and S&T2012LRBAA@hq.dhs.gov **before** emailing classified information to shane.davis.@dhs.sgov.gov.

## 9. CONTENT AND FORMAT

### White Papers

- ✓ White Papers shall be no more than five (5) pages long. Offerors shall use the White Paper format included as Appendix 1 of this document. No exceptions.
- ✓ Paper Size – 8.5 x 11 inch paper
- ✓ Margins – 1 inch
- ✓ Spacing – single or double-spaced
- ✓ Font – Times New Roman, 12 point
- ✓ Convert the original document into a PDF (portable data format) file. Useful information regarding file conversions may be accessed online at the U.S. Grants website: [http://grants.gov/help/download\\_software.jsp](http://grants.gov/help/download_software.jsp).
- ✓ The submission portal will automatically generate a cover page with your identifying information.

### Full Proposals

- ✓ Full Proposals consist of two volumes: Technical (vol.1) and Cost (vol.2)
- ✓ Paper Size – 8.5 x 11 inch paper
- ✓ Margins – 1 inch
- ✓ Spacing – single or double-spaced
- ✓ Font – Times New Roman, 12 point
- ✓ Number of Pages: **The Technical Proposal is limited to no more than 40 single-sided pages.** The Cost Proposal has no page limitations; however, it shall only contain information necessary for determination of cost appropriateness. All technical information must be presented in the Technical Proposal only. The cover page, table of contents, and resumes are excluded from the page limitations. The Subcontracting Plan, if applicable, is included in the page limitation. *See description of a cover page and cover sheet below.*
- ✓ Excel files are not permitted and must be converted to a PDF file to be uploaded to the LRBAA submission portal.
- ✓ Files shall not exceed 10 megabytes in size. A Full Proposal shall consist of two (2) electronic files in PDF format.

## Full Proposal Content

### Volume 1: Technical Proposal

Volume 1 of the Full Proposal must include the following sections:

- Cover Sheet is automatically generated during the submission of the White Paper to the LRBA website. *This is not the same as the Offeror's cover page.*
- Cover Page shall include the words "Technical Proposal" and the following:
  - 1) BAA number 12-07;
  - 2) Title of proposal;
  - 3) Topical area and its reference code;
  - 4) Identity of the prime Offeror, including name and address, and complete list of subcontractors, including name and address, if applicable;
  - 5) Technical contact (name, address, phone, electronic mail address);
  - 6) Administrative/business contact (name, address, phone, electronic mail address);
  - 7) Duration of effort (separately identify the basic effort and any options);
  - 8) DHS S&T point of contact, if applicable;
  - 9) Dunn & Bradstreet (DUNS) number;
  - 10) Acknowledgement that the Offeror is registered in Central Contractor registration (CCR). This can be established at the System for Award Management (SAM) website at <https://www.sam.gov/portal/public/SAM/>;
  - 11) Statement specifying compliance with FAR Clause 52.222-54 "Employment Eligibility Verification."
  - 12) Confirmation of U.S. Citizenship for those participating in the project, and the identity of any proposed personnel or subcontractors who are not U.S. citizens.
- Official Transmittal Letter with authorizing official signature. For an electronic submission, the letter can be scanned and incorporated into the electronic proposal. The letter of transmittal shall state whether this proposal has been submitted to another government agency other than DHS S&T and, if so, which one and when.
- Table of Contents
- Executive Summary of the proposed research and benefits expected from this investment.
- Landscape Assessment or Brief Literature Review: Explain why your proposal is different and superior to similar solutions already available or to the efforts of others who have been researching similar issues.
- Proposed Use for DHS S&T: A detailed explanation of how the proposed product(s) supports the targeted end user (e.g., the first responder community) in an operational context. Include quantitative specifications for how the products will improve operational performance.

- Technical Concept: A description of the technical concept, including anticipated risks and approaches to mitigate the risks. Describe the basic scientific or technical concepts that will be used in each component or subsystem comprising your proposed solution to the problem described above. What particular scientific, technical or engineering issues need to be addressed and resolved to demonstrate feasibility? What is unique about your solution and what advantages might it afford compared to alternative approaches that others have taken? What has been the extent of the principal investigator's past experience in, and qualifications or educational background for, developing the technologies in your proposal?
- Operational Concept: A description of the operational concept used in the proposed technical solution to accomplish the objectives. Explain how the performance of your proposed solution can be expected to meet or exceed and be measured against each of the specific technical attributes and/or performance enhancements. What are the key scientific, technical, or engineering challenges and the timing for each that must be met in order to successfully complete this project? Describe all required material and information, which must be provided by the Government to support the proposed work.
- Operational Utility Assessment Plan : A detailed plan for demonstrating and evaluating the operational effectiveness of the Offeror's products in exercises, including evaluation metrics. Explain your view of the requirements gap to be filled, what capability will be provided upon successful completion of the proposed effort, and what are the technical risks associated with successful maturation of the proposed effort to achieve operational utility. Explain your concept of how you will develop and demonstrate a system or system component. Identify and explain the critical path technologies or key technical challenges you will face when building this system or component and your plans for meeting these challenges. Explain how you will demonstrate the system or component performance relative to the performance or enhancement goals described in the proposal.
- Statement of Work: A Statement of Work (SOW) and a Work Breakdown Structure (WBS) that clearly detail the scope and objectives of the effort, the technical approach, and the performance goals. The SOW and WBS will be used in the development of any final award, so the proposal must include a stand-alone SOW and a stand-alone WBS without any proprietary restrictions. The WBS must include a detailed listing of the technical tasks/subtasks in hierarchical fashion for the tasks required to accomplish the effort. The WBS format must be complete to at least WBS level three. Each task in the SOW shall describe the work to be carried out, the end result of the task, the time allocated, the organization performing the task, the predecessor tasks, the performance goals of the task, and the resources (labor, materials, and services) required. The resources shall be costed to provide a baseline budgeted cost for the applicable task. The SOW shall be at a level sufficient to define the nature of the work to be carried out, measure progress, and demonstrate the relationship of the tasks to one another.
- Project Schedule and Milestones: A summary of the schedule of events and milestones. If applicable, identify the critical path.

- Deliverables: A detailed list and description of all deliverables and data deliverables the Offeror proposes to provide to the Government, the schedule for delivery, and acceptance criteria. The deliverables information must be a separate section in the Offeror's proposal and begin on a new page. Proposals must include a severable self-standing detailed list and description of all deliverables without any proprietary restrictions, which can be used to make award.
- Qualifications: A discussion of the Offeror's previous accomplishments and work in this area, or closely related area, and the qualifications of the investigators. If the proposal involves development or testing scientific and/or engineering concepts, the principal investigators must demonstrate education and/or managerial expertise in these fields. Key personnel resumes must be attached to the proposal and do not count toward the page limitations.
- Detailed Risk Mitigation Plan: Discuss in detail the technical, cost, and schedule risk(s) involved with the project and how each risk will be mitigated.
- Management Approach: A discussion of the overall approach to the management of the effort, including brief discussions of the total organization, use of personnel, project, function, and subcontractor relationships, government research interfaces, and planning, scheduling and control practice. Identify which personnel and subcontractors (if any) will be involved. Include a description of the facilities that are required for the proposed effort with a description of any Government-Furnished Equipment/Hardware/ Software/ Information required, by version and/or configuration.
- Small Business Considerations: Full Proposals that exceed \$650,000, submitted by all but small business concerns, must include a Small Business Subcontracting Plan in accordance with FAR 52.219-9. The Small Business Subcontracting Plan is included in the 40 page limit. Regardless of the proposed dollar value, all Offerors shall indicate their business size status and list all subcontractors and their business size statuses. All LRBA Offerors are encouraged to offer subcontracting opportunities to small businesses to the maximum extent practicable.
- Employment Eligibility Verification: Include a statement specifying compliance with FAR Clause 52.222-54.
- Assertion of Data Rights: Include a summary of any assertions of rights to any technical data or computer software that will be developed or delivered under any resultant award. This includes any assertions to pre-existing results, prototypes, or systems supporting or necessary for the use of the research, results, or prototype. Any rights asserted in other parts of the proposal that would impact the rights in this section must be cross-referenced. If less than unlimited rights in any data delivered under the resultant award are asserted, the Offeror must explain how these rights in the data will affect its ability to deliver research data, subsystems, and toolkits for integration as set forth below. Additionally, the Offeror must explain how the program goals are achievable in light of these proprietary and/or

restrictive limitations. If there are no claims of proprietary rights in pre-existing data, this section shall consist of a statement to that effect.

Proposals submitted in response to this Announcement shall identify all technical data or computer software that the Offeror asserts will be furnished to the Government with restrictions on access, use, modification, reproduction, release, performance, display, or disclosure. Offeror's pre-award identification shall be submitted as an attachment to its offer and shall contain the following information:

- (1) *Statement of Assertion* Include the following statement: "The Offeror asserts for itself, or the persons identified below, that the Government's rights to access, use, modify, reproduce, release, perform, display, or disclose only the following technical data or computer software should be restricted."
- (2) *Identification of the technical data or computer software to be furnished with 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 as specifically as possible (e.g., by referencing specific sections of the proposal or specific technology or components). For computer software or computer software documentation, identify the software or documentation by specific name or module or item number.
- (3) *Detailed description of the asserted restrictions.* For each of the technical data or computer software identified above in paragraph (2), identify the following information:
  - (i) Asserted rights. Identify the asserted rights for the technical data or computer software.
  - (ii) Copies of negotiated, commercial, and other non-standard licenses. Offeror shall attach to its offer for each listed item copies of all proposed negotiated license(s), Offeror's standard commercial license(s), and any other asserted restrictions other than Government purpose rights; limited rights; restricted rights; rights under prior Government contracts, including SBIR data rights for which the protection period has not expired; or Government's minimum rights.
  - (iii) Specific basis for assertion. Identify the specific basis for the assertion. For example:
    - Development at private expense, either exclusively or partially. For technical data, development refers to development of the item, component, or process to which the data pertains. For computer software, development refers to the development of the software. Indicate whether development was accomplished exclusively or partially at private expense.
    - Rights under a prior government contract, including SBIR data rights for which the protection period has not expired.

- Standard commercial license customarily provided to the public.
  - Negotiated license rights.
- (iv) Entity asserting restrictions. Identify the corporation, partnership, individual, or other person, as appropriate, asserting the restrictions.
- (4) *Previously delivered technical data or computer software.* The Offeror shall identify the technical data or computer software that are identical or substantially similar to technical data or computer software that the Offeror has produced for, delivered to, or is obligated to deliver to the Government under any contract or subcontract. The Offeror need not identify commercial technical data or computer software delivered subject to a standard commercial license.
- (5) *Estimated Cost of Development.* The estimated cost of development for that technical data or computer software to be delivered with less than Unlimited Rights.
- (6) *Supplemental information.* When requested by the Contracting Officer, the Offeror shall provide sufficient information to enable the Contracting Officer to evaluate the Offeror's assertions. Sufficient information must include, but is not limited to, the following:
- The contract number under which the data or software were produced;
  - The contract number under which, and the name and address of the organization to whom, the data or software were most recently delivered or will be delivered; and
  - Identification of the expiration date for any limitations on the Government's rights to access, use, modify, reproduce, release, perform, display, or disclose the data or software, when applicable.
- (7) *Ineligibility for award.* Failure to submit or complete the identifications and assertions required by this provision may render the Offeror ineligible for award.

**Please Note:** The section entitled "Assertion of Data Rights," must be severable, i.e. it must start on a new page. It is anticipated that the proposed Assertion of Data Rights section will be incorporated as an attachment to the resultant award instrument. Proposals must include a severable self-standing Assertion of Data Rights section without any proprietary restrictions, which can be used to make the contract or agreement award.

## **Volume 2: Cost Proposal**

- Cover Sheet: The cover sheet is automatically generated during the submission of the White Paper to the LRBA website. *This is not the same as the Offeror's cover page.*
- The cost proposal must consist of a cover page and two parts. Part 1 is a detailed breakdown of all costs by cost category by calendar and Government fiscal year. Part 2 further breaks down this information as it pertains to each task or sub-task.



- The following information must be provided for the base year and any proposed option(s) or option year(s):
  1. Part 1 must provide a detailed cost breakdown of all costs by cost category by calendar and Government fiscal year. (Provide a time-phased spend plan).
  2. Part 2 must provide a detailed cost breakdown by task/sub-task using the same task numbers in the Statement of Work. (Provide Basis of Estimates – contractor format is permitted.)
  3. Identify any cost drivers.
  4. Options must be separately priced.
- Cover Page: The use of the SF 1411 is optional. The words “Cost Proposal” must appear on the cover page in addition to the following information:
  1. BAA Number 12-07;
  2. Title of proposal;
  3. Topical area and reference code;
  4. Identity of prime Offeror, including name and address, and complete list of subcontractors, including names and addresses, if applicable;
  5. Technical contact (name, address, phone/fax, electronic mail address);
  6. Administrative/business contact (name, address, phone/fax, electronic mail address);
  7. Duration of effort (separately price out the basic effort and any options);
  8. DUNS number and CAGE code;
  9. Statement on whether or not the Offeror has been audited by a Government organization (Defense Contract Audit Agency, Office of Naval Research, etc.), and if the Offeror has a Government-approved accounting system;
  10. DCAA point of contact (name, telephone number, and email address);

### **Cost Proposal Part 1**

Part 1 of the cost proposal must include a detailed breakdown of all costs by cost category by calendar and Government fiscal year and include a summary explaining how each element is applied in the cost proposal:

- Direct Labor: Individual labor category or person, with associated labor hours and **unburdened** direct labor rates.
- Indirect Costs: Fringe Benefits, Overhead, G&A, COM, etc. (Must show base amount and rate).
- (If applicable and available) Forward Pricing Rate Agreement (FPRA) or Defense Contract Audit Agency (DCAA) approved or recommended rates. Identify if there are outstanding CAS violations.
- Travel: Separate by destinations and include number of trips, durations in number of days, number of travelers, per diem (travel costs, hotel and meals in accordance with the Federal Travel Regulations and FAR PART 31), airfare, car rental, if additional miscellaneous expense is included, list description and estimated amount, etc.

- **Subcontracts:** Subcontractors must each submit a cost proposal that is as detailed as the Offeror's cost proposal. The subcontractor's cost proposal can be provided securely in electronic submission with the Offeror's cost proposal, or will be requested from the subcontractor at a later date. The subcontractor's cost proposal must be on company letterhead and include the complete company name and mailing address, technical and administrative/business point of contacts, email address, and telephone number. Include the DUNS number. The prime Offeror must submit a copy of its subcontracting agreement(s). The Contracting Officer may elect to waive this requirement.
- **Consultants:** Provide consultant agreement or other documents which verify the proposed loaded daily/hourly rate and labor category.
- **Materials:** Materials amounts must be specifically itemized with costs or estimated costs. Where possible, indicate purchasing method (e.g., competition, engineering estimate, market survey, etc.). Include supporting documentation, i.e. vendor quotes, catalog price lists, and past invoices for similar purchases.
- **Other Directs Costs:** Other Direct Costs (ODCs), particularly including any proposed equipment or facilities. Equipment and facilities generally must be furnished by the Offeror. Justifications must be provided when Government funding for such items is sought.
- **Fee/Profit:** Must including fee percentage or, if calculated differently, amount.
- **Spend Plan:** Provide a time-phased spend plan which includes all costs proposed, i.e., labor, travel, materials, and ODCs (contractor format is acceptable).
- **Basis of Estimate:** Provide a basis of estimate (BOE) for all proposed labor. The BOE must provide the rationale for the proposed labor category(ies) and proposed labor hours for each labor category (contractor format is acceptable).

## **Cost Proposal Part 2**

Cost breakdown by task/sub-task using the same task numbers in the Statement of Work.

## **10. SIGNIFICANT DATES**

This announcement will remain open until 11:59PM, Eastern Standard Time on December 31, 2013. White Papers are due by this response date. If your White Paper is of interest, and you are encouraged to submit a Full Proposal, then the due date for your Full Proposal will be specified in your White Paper notification letter. This new due date, set by the Contracting Officer for your Full Proposal submission, supersedes the date on which this BAA expires.

Offerors who are not encouraged to submit a Full Proposal may nevertheless submit one within 60 days of receiving the White Paper notification letter.

Evaluations and awards will occur on a "rolling selection" basis. Generally, evaluations will occur within 60 days from receipt of the White Paper, and 120 days for a Full Proposal. This is not a firm commitment to 60 or 120 days, but every effort will be made to conduct reviews as expeditiously as possible.

Awards resulting from a selected Full Proposal are projected to occur within approximately 90 days after award notification (i.e. approximately 180 days after submission), contingent upon successful negotiations and/or subject to availability of funds. Full Proposals submitted should cite a validity timeframe of 180 days.

## **11. PROPRIETARY PROTECTION**

Submissions will be considered proprietary information and will be protected accordingly as long as they are appropriately marked. DHS S&T has contracted for business and staff support services, including assistance with LRBAAs submissions. Contractors will provide administrative support. Submissions will be evaluated only by authorized Government employees; only Government employees will sit on Source Selection Evaluation Boards. In submitting a White Paper or Full Proposal, Offerors consent to allow contractor access to submissions. All contractors who provide support services to S&T for LRBAAs activities have signed general non-disclosure agreements and, where applicable, organizational conflict of interest statements.

## **12. EVALUATION INFORMATION**

Due to the large number of submissions received, DHS S&T is unable to offer technical feedback to Offerors for White Papers. Offerors who receive notification that S&T has discouraged further interest in a White Paper may still proceed with the submission of a Full Proposal. DHS S&T will provide Offerors with technical feedback on all Full Proposals resulting from encouraged White Papers, regardless of whether an award is ultimately made based on the Full Proposal. DHS S&T personnel will provide this feedback as quickly as possible after examining the Full Proposals, but due to the large volume of submissions Offerors are encouraged to be patient. DHS S&T will also attempt to provide feedback on Full Proposals resulting from discouraged White Papers, but Full Proposals resulting from encouraged White Papers will be more highly prioritized.

### **Evaluation Factors and Subfactors**

White Papers and Full Proposals will be evaluated according to the following factors and subfactors. The subfactors are specified under each factor. (Factors are indicated alphabetically, and subfactors are indicated numerically. Not all factors have subfactors.)

*Evaluation factors A and B listed below are of equal importance, and more important than factors C, D, and E. Factors C, D, and E are listed in descending order of importance. Each subfactor under its factor is of equal weight within the factor; not all factors have subfactors.*

#### **A. Overall scientific and technical merits of the proposal.**

1. The degree of innovation and potential to offer a revolutionary increase in capability or a significant reduction in cost commensurate with the potential risks of the innovative approach;
2. The soundness of the technical concept;

3. The Offeror's awareness of the state-of-the-art and future technology trends;
4. The Offeror's understanding of the scope of the problem and the technical effort needed to address it;
5. The Offeror's understanding of the project's risks, and how these risks have been identified and how they are being addressed, as well as how the proposed solution compares to similar work performed.

**B. Mission relevance.**

Extent to which the work proposed applies to one of DHS's operational security environments and the needs of S&T as described beginning on page 6.

**C. The Offeror's capabilities, related experience, and past performance, including the qualifications, capabilities, and experience of the proposed principal investigator and personnel.**

1. The quality of technical personnel proposed and/or proposed key personnel;
2. The Offeror's experience in relevant efforts with similar resources;
3. The Offeror's ability to manage the proposed effort;
4. Provide a list of similar contracts, delivery orders, purchase orders, and/or subcontracts (hereafter referred to as "contracts") completed during the past 3 years, a list of similar contracts currently in process, or a combination of both. Similar contracts listed may include any contract entered into with the federal Government, agencies of state and local governments, and commercial customers. Offerors that are newly formed entities without prior similar contracts shall associate proposed personnel with similar current or completed contracts. Include the following information for each contract, if unclassified and possible to disclose:
  - Name of contracting activity;
  - Contract number;
  - Contract type;
  - Total contract value;
  - Description of contract work;
  - Contracting Officer name, telephone number, and email address;
  - COTR name, telephone number, and email address (if applicable);
  - Administrative Contracting Officer's name, telephone number, and email address (if different from the Contracting Officer listed above);
  - List of first-tier subcontractors.

**D. Cost/Price, including cost reasonableness.**

Each response will be reviewed for cost reasonableness and the particular value it offers to the Government. Members of the evaluation team may presume that the Offeror's technical approach serves as a rationale for the labor mix and labor hours used.

**E. Extent of subcontracting commitment.**

For proposed awards to be made as contracts to large businesses, the small business consideration section of each proposal will be evaluated based on the extent of the

Offeror's commitment to providing meaningful subcontracting opportunities for small businesses, small disadvantaged businesses, woman-owned small businesses, HUBZone small businesses, veteran-owned small businesses, service disabled veteran-owned small businesses, historically black colleges and universities, and minority institutions. All Offerors shall indicate their business size status (listed above) and list each subcontractor and its business size status. Full Proposals that exceed \$650,000, submitted by all but small business concerns, must include a Small Business Subcontracting Plan in accordance with FAR 52.219-9.

Full proposals will be selected for possible award based on a competitive selection of proposals resulting from a scientific and cost review.

### **13. AWARD ADMINISTRATION INFORMATION**

#### **Administrative Requirements**

- NAICS: The North American Industry Classification System (NAICS) code for this announcement is 541712 with a small business size standard of 500 employees.
- CCR: Successful Offerors not already registered in the Central Contractor Registry (CCR) will be required to register in CCR prior to award of any grant, contract, cooperative agreement, or other transaction agreement. Information regarding CCR registration is available at the System for Award Management (SAM) website at <https://www.sam.gov/portal/public/SAM/>.
- Certifications: In accordance with FAR 4.1201, prospective Offerors for contracts, and other transaction agreements involving prototypes, shall complete the Online Representations and Certifications Application (ORCA) at <http://orca.bpn.gov>. Offerors shall make mention of its ORCA completion in its proposal, and provide its "Certification Validity" period. Successful Offerors will be provided additional information with regards to certification for grants, cooperative agreements, or other transaction agreements (other than for prototypes) proposals.
- Subcontracting Plans: Full Proposals that exceed \$650,000, submitted by all but small business concerns, must include a Small Business Subcontracting Plan in accordance with FAR 52.219-9. The Small Business Subcontracting Plan is included in the 40 page limit.
- Federal Travel Regulations (FTR): Information on per diem rates based on travel locations are provided on [www.gsa.gov](http://www.gsa.gov). Also, refer to FAR PART 31 for information on travel costs.

## Reporting

The following are samples of data deliverables that are typically required under a research effort:

- Technical and financial progress reports;
- Test results, data, and analyses;
- Presentation materials (includes pictures);
- Other documents or reports;
- Report of demonstration;
- Monthly program report;
- Final technical report.

The following minimum deliverables will be required under traditional procurement contracts awarded to those Offerors whose Full Proposals are selected for award:

### Monthly Program Report

Brief (not more than two pages) narrative reports must be submitted, via the *Awardee Portal* section of <https://baa2.st.dhs.gov>, to the program manager within one week after the last day of each month. These reports must describe the previous calendar month's activity, technical progress achieved against goals, difficulties encountered, recovery plans (if needed), explicit plans for the next calendar month, and financial expenditures (including expenditures during the past calendar month period plus cumulative expenditures, and projected expenditures for the coming calendar month).

### Final Technical Report

For a final report, each selected Offeror must provide a technical report of work performed during the period of performance, delivered no later than the last day of the period of performance. The final report must be a cumulative, stand-alone document that describes the work of the entire test and evaluation period leading up to it. It must detail how the design prototype was refined or otherwise prepared for the test and evaluation program and, if applicable, why such refinements or preparations were undertaken. It must include any technical data gathered, such as measurements taken, models developed, simulation results, and formulations developed. The final report must include a summary of all performance goals versus performance achieved during the program (either measured or otherwise substantiated). The final report must discuss all variances from the performance goals versus performance achieved, including reasons or theories for variances. If applicable, provide a discussion of how the Offeror might meet any unmet performance goals under a future effort. This final report must also include "lessons learned" from the effort, recommendations for future research, development, or testing that would lead to success in meeting the performance goals. The final report must provide a comprehensive and detailed account of all funds expended.

## 14. OTHER INFORMATION

### Government Furnished Property (GFP), Government Furnished Equipment (GFE) and Facilities

Each Offeror must provide a specific description of any equipment/hardware that it needs to acquire to perform the work. This description must indicate whether or not each particular piece of equipment or hardware will be included as part of a deliverable item under the resulting award. This description must identify the component, nomenclature, and configuration of the equipment/hardware that it proposes to purchase for this effort. The Government strongly prefers

that contractors purchase the equipment or hardware for deliverable items under an award. Other arrangements, leading to GFP, will be considered on a case by case basis. Maximum use of Government integration, test, and experiment facilities is encouraged.

Government research facilities may be available and must be considered as potential government furnished equipment/facilities. These facilities and resources are of high value and some are in constant demand by multiple programs. It is unlikely that all facilities would be used for any one specific project or program. The use of these facilities and resources will be negotiated as the program unfolds. Offerors shall explain which of these facilities they recommend and why.

### **Project Meetings and Reviews**

Program status reviews may also be held to provide a forum for reviews of the latest results from experiments and any other incremental progress towards the major demonstrations. These meetings will be held at various sites throughout the country. For costing purposes, Offerors shall assume that 40% of these meetings will be at or near DHS S&T offices in Washington, DC and 60% at the contractor's offices or other government facilities. Interim meetings are likely, but these will be accomplished via video telephone conferences, telephone conferences, or via web-based collaboration tools.

### **SAFETY Act**

Congress enacted the Support Anti-terrorism by Fostering Effective Technologies Act of 2002 (the "SAFETY Act") as part of the Homeland Security Act of 2002. The SAFETY Act provides limitations on the potential liability of those firms that develop and provide qualified anti-terrorism technologies. DHS's Science and Technology Directorate, acting through its Office of SAFETY Act Implementation, encourage 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 on their existing technologies and are invited to contact the Office of SAFETY Act Implementation (OSAI) for more information at 1-866-788-9318 or [helpdesk@safetyact.gov](mailto:helpdesk@safetyact.gov) or visit OSAI's website at [www.safetyact.gov](http://www.safetyact.gov).

## APPENDIX 1 S&T LONG RANGE BAA 12-07 White Paper Format

Offerors shall not exceed 5 pages total using this format.

*The government reserves the right to reject  
submissions in excess of 5 pages.*

Name of Project/S&T Division
Name(s) and Contact Information of Performers
Name (Citizenship): Mailing Address: Telephone: Email:
Name and Contact Information of Financial Contact
Name (Citizenship): Mailing Address: Telephone: Email:
Overall scientific and technical merits of the Proposal /Mission Relevance
List of Tasks and Schedule (From Award Date)
Task 1: (Start to Month ___) Task 2: (Month ___ to ___) Task N: (Month ___ to ___) Total Duration of Project:
Estimated Cost of Each Task/Total Project Cost
Breakdown of Costs by Tasks: Task 1 Cost: Task 2 Cost: Task N Cost: Total Cost:
Description of Deliverable(s) and Schedule of Delivery
Deliverable 1: ___ (Award Date + ___ months) Deliverable 2: ___ (Award Date + ___ months) Deliverable N: ___ (Award Date + ___ months)
Major Milestone(s) for Task and Phase Completion as well as Follow-On Work
Task Milestone(s): <i>[Criteria for completion of particular Task(s)]</i> (Award Date + ___ months) Phase Milestone(s): <i>[Criteria for completion of particular Phase(s)]</i> (Award Date + months)
Offeror's capabilities, related experience, and past performance, including the qualifications, capabilities, and experience of the proposed principal investigator and personnel. Resumes are not requested but qualifications must be included.
Subcontracting Commitment