

**STATEMENT OF WORK FOR AGENCYWIDE DOCUMENTS ACCESS
AND MANAGEMENT SYSTEM (ADAMS) DOCUMENT PROCESSING SUPPORT**

C.1 Background

On April 1, 2000, the Agencywide Documents Access and Management System (ADAMS) became a U. S. Nuclear Regulatory Commission (NRC) official record keeping system, enabling the NRC to manage unclassified, official programmatic and administrative records of lasting business value to NRC in an electronic, rather than in a paper-based system. ADAMS software, a combination of FileNet Integrated Product Suite Services and NRC custom written software code, is used for document capture, retrieval, distribution, electronic document submittals, and the management of NRC records.

C.2 Objective

The objective of this Statement of Work (SOW) is to outline the NRC requirements for contractor support to process documents into ADAMS and perform database maintenance tasks.

C.3 Scope

The Contractor shall provide support for the following thirteen (13) tasks. Each task is subsequently delineated into subtask requirements.

Task #1 - Project Management. The contractor shall provide overall Project Management. Project Management includes, but is not limited to, coordination of Task Areas 2 through 13, administration of staff and program directives, program status reporting, quality assurance, and labor hour and cost management accounting and reporting.

Task #2 - RIDS Code Assignment. The contractor shall assign ADAMS electronic Regulatory Information Distribution System (RIDS) codes to documents received for processing into ADAMS, whether received in paper or electronic format. The RIDS interfaces with GroupWise e-mail to provide each recipient on standard RIDS lists with an electronic notification that documents have been processed and are available in ADAMS.

Task #3 - Document Preparation. The contractor shall prepare documents received in paper form for scanning and shall reassemble the documents after the scanning process has been completed. The contractor shall prepare documents submitted electronically and documents submitted with partial electronic and partial paper files, ensuring that the documents are complete and in the proper order for processing into ADAMS. The contractor shall assemble and forward all the paper copies of documents completed that day to the NRC File Center or appropriate Regional location.

Task #4 - Document Scanning/Imaging. The contractor shall generate Tagged Image File Format (TIFF) images from paper documents received for processing. The contractor shall link the TIFF images with the associated ADAMS profile and the text generated from the scanned image under Task Area #5 Optical Character Recognition (OCR) Text Conversion. During the

course of this order, the NRC may direct the contractor to switch from TIFF to a PDF format for the archival storage of images and OCR text.

Task #5 - Optical Character Recognition (OCR) Text Conversion. The contractor shall zone images for Optical Character Recognition (OCR) conversion to create searchable text for input into ADAMS. The contractor shall use the appropriate software to create American Standard Code of Information Exchange (ASCII files) format from scanned images (TIFF format).

Task #6 - Document Indexing/Linking Image, Text, Profiles. The contractor shall complete ADAMS profile and security data for both externally and internally generated documents submitted to the Headquarters Document Processing Center (DPC) or the Regional Capture/Intake Stations for processing into ADAMS.

A Document Profile must be completed for every document entered into ADAMS. ADAMS document profiles contain information about the document such as author, title, docket number, availability, etc. The profile provides consistent data fields of information needed to identify, locate, list, and manage documents.

Externally Generated Documents:

For externally generated documents received from the Document Control Desk (DCD) or via Electronic Information Exchange (EIE), the contractor shall complete the entire ADAMS profile and security data. Before forwarding documents to the DPC for final processing, the Regional Capture/Intake Station staff will create a minimum profile and add the Document Processing Center as "Owners" under Security rights. The contractor shall complete the profile, add additional security data and declare as Official Agency Records (OARs), in accordance with established guidelines and procedures.

Internally Generated Documents:

In most cases, the NRC staff will add internally generated documents to ADAMS by creating a minimum profile and adding the Document Processing Center as "Owners" under Security rights prior to submitting them to the DPC. The contractor shall complete the profile, add additional security data, and declare as OARs in accordance with established guidelines and procedures. There will be instances where internally generated documents currently exist only in paper form and are used as attachments or enclosures to internally generated documents. In these instances, the contractor shall scan the documents, complete the profile, add additional security data, and declare as OARs in accordance with established guidelines and procedures. The contractor shall also send an electronic notification to the NRC staff submitting documents, informing them when processing of their documents has been completed.

Task #7 - Document Distribution. The contractor shall perform electronic RIDS document distribution services. RIDS is used to provide NRC staff an electronic notification of the availability for specified externally and internally generated documents. The contractor shall also provide e-mail notification to the NRC staff submitting documents, informing them when processing of their documents has been completed. There will remain a requirement to distribute some externally and internally generated paper documents or objects.

Task #8 - Replicating Publicly Available Documents To ADAMS PARS. The contractor shall perform the processes required to copy publicly available documents/packages to the ADAMS Publicly Available Records Library (PARS) located on the NRC external WEB server. This includes searching the ADAMS Main Library and copying documents that meet the criteria for release to the public into the daily temporary folder for replication to PARS and copying documents processed by the DPC, from the DPC "Completed Docs for RM" folder into a daily temporary replication folder for replication to PARS.

Task #9 - Filing Official Agency Records in ADAMS. The contractor shall electronically file Day-Forward and Backlog Official Agency Record (OAR) documents and packages into the ADAMS File Plan, close-out completed and/or terminated case files in the File Plan, and add new subject and case files to the ADAMS File Plan, as needed. Filing statistics for this task shall be maintained separately from other tasks, differentiating between Day-Forward and Backlog activities, and shall be included in both the Daily Production Indicators Report and the Monthly Progress Report. The contractor shall maintain and report labor hours and other associated costs for this task separately from other tasks in its monthly invoices.

Task #10 - ADAMS Document Retrofit. The contractor shall retrofit historical documents into ADAMS as directed by the NRC Project Officer. This task shall be considered a special project under this order. Document processing statistics for this task shall be maintained separately from other tasks and shall be included in both the Daily Production Indicators Report and the Monthly Progress Report. The contractor shall maintain and report labor hours and other associated costs for this task separately from other tasks in its monthly invoices.

Task #11 - Database Cleanup. The contractor shall perform database cleanup in accordance with guidance to be provided by the NRC Project Manager. The contractor shall maintain separate statistics for this task and include in the Daily and Monthly Status Reports the total number of records that required review, the number of records reviewed during the reporting period, changes required to each record, if any, and the number of records remaining that require review. The NRC estimates that 2 FTE/4,000 staff-hours will be required during the first order year to complete this task.

Task #12 - User Support Services. The contractor shall provide User Support Services to NRC staff to assist in generating reports from NUDOCS, the ADAMS Legacy Library, and the ADAMS Main Library. In addition, the contractor shall assist in reviewing ADAMS Templates to ensure all appropriate information is incorporated into the DPC standard operating procedures (SOP) Manual and that the information presented is consistent with NRC policy and guidance related to ADAMS document processing.

Task #13 - ADAMS Database Maintenance. The contractor shall perform ADAMS database maintenance in accordance with guidance to be provided by the NRC Project Officer. Tasks associated with ADAMS database maintenance include maintaining ADAMS Controlled Value Lists (CVLs), ADAMS folders, and ADAMS enforced rules.

Task #14 - Retracting Documents from ADAMS (PARS). The contractor shall perform various tasks associated with retracting documents from the ADAMS Publicly Available Records Library (PARS) located on the NRC external WEB server.

Task #15 - Document Backlog Processing

Task #16 - On-site travel to CNWRA

Task 17.0 - Document Processing Center (DPC) Operations Improvements/Efficiencies

C.4 Statement Of Work

The contractor shall furnish qualified personnel and other services necessary to perform the requirements described in this statement of work (SOW) in accordance with NRC standard operating procedures (SOP) and policies. The NRC shall provide space in the TWFN Facility for the NRC Headquarters DPC. The NRC will also provide system documentation, routine office supplies, maintenance agreements for Government Furnished Equipment (GFE), and computer hardware and software to accomplish the initiatives under this order. It is the contractor's responsibility to remain technically competent with software and equipment used by the NRC and to provide required training for contractor personnel. If processing backlogs occur, the NRC Project Officer shall make a determination whether additional effort is required to reduce the backlog and will provide written direction to the contractor.

When directed by the NRC Project Officer, the contractor shall provide CD-ROM authoring and copying services. Upon written notification from the NRC Project Officer, the contractor shall be prepared to provide CD-ROM authoring and copying services that include, but may not be limited to, authoring CD-ROMs from paper documents, making additional CD-ROM copies required to complete distribution to recipients on RIDS standard distribution lists, and providing CD-ROM copying services to the NRC staff on an ad-hoc basis.

Travel Requirements: The contractor shall attend meetings at the NRC Headquarters and deliver and/or pick up documents from local area service providers. The contractor may be required to travel to the NRC Regional Offices to provide training for NRC staff. It is estimated that one 3-day trip for one person to each of the 4 regional offices may be required for each year of this order.

Personnel Requirements: The contractor shall provide qualified and competent personnel to perform the tasks and functional activities delineated in this SOW. The contractor's personnel shall act in a courteous, responsive, and professional manner at all times.

Personnel Security Requirements: All contractor personnel working under this task order require an ADP Security Level II Clearance.

Hours of Operation and Holiday Schedule: The NRC core business hours are from 7:30 a.m. to 4:15 p.m. daily, Monday through Friday, except Federal holidays. The contractor may propose alternative work schedules that will result in their operations having a minimal impact on use of the system by others. Proposed alternative work schedules will be evaluated and implemented if acceptable to the NRC. The holiday schedule for contractor personnel shall conform to the "Federal Holiday" schedule, unless otherwise approved in writing by the NRC Project Officer.

Transition Plan: The contractor shall provide a final Transition Plan that outlines plans and schedules for transition of the DPC support effort without interruption in service from the current contractor to the new Contractor by August 29, 2001. The Plan is due to the NRC Project

Officer within 5 workdays of the date of order award.

4.1 Task #1 - Project Management

Project Management shall encompass coordination of Tasks 2 through 12 and overall administration of staff, facility, and program directives. The contractor Project Manager shall project productivity, quality standards, and responsiveness to the NRC's requirements for all task order deliverables. The contractor Project Manager shall have ultimate responsibility for data entry and operational reporting. The contractor Project Manager shall institute cost controls, allocate resources, and provide input to the NRC Project Officer on new initiatives associated with future program direction. The contractor shall maintain all operating procedures, manuals, contingency plans, and other documentation relating to this delivery order. The contractor shall maintain a master copy of all documentation at a remote facility.

At the direction of the NRC Project Officer, the contractor Project Manager shall provide tours of the Document Processing Center (DPC) facility and demonstrations on ADAMS document processing functions. The contractor Project Manager or other contractor staff shall attend meetings associated with ADAMS document processing and meetings on ADAMS application that have a direct relationship to DPC operations as necessary. Prior to termination of this delivery order, the contractor shall provide transition support to any follow-on contractor.

4.1.1 Task Management

The contractor Project Manager shall ensure efficient day-to-day operations. The contractor shall implement contractor staff work schedules that ensure the successful performance of all tasks, and shall maintain a level of qualified personnel that are cross trained to ensure the successful performance of each task daily.

4.1.2 Processing Reviews/Technology Impact Assessments

The contractor shall provide input to the NRC on the impact of employing new technology, e.g, text and image scanning and expert systems incorporated into ADAMS by the NRC. The contractor, as requested by the NRC Project Officer, shall provide analyses of the current document processing operation, including proposed procedure changes, estimated implementation costs, and production level impact. The contractor shall perform document processing reviews related to document processing activities, document handling, quality assurance programs, etc., that are performed under the task order. The contractor shall also analyze current industry document processing methods with a view toward improving the efficiency and effectiveness of document processing operations.

4.1.3 Standard Operating Procedures (SOP)

The contractor shall follow the Document Processing Center (DPC) Standard Operating Procedures and shall provide trained staff to implement these procedures, utilizing government supplied software and hardware to fulfill requirements identified by the NRC.

4.1.4 Quality Control Procedures/Quality Assurance

The contractor shall follow quality control procedures provided in the DPC SOP Manual for each task, conducting quality control inspections at various points throughout the process. These quality assurance inspections shall ensure that all pages are scanned correctly and the image quality is acceptable for viewing in ADAMS; the text file is acceptable for ADAMS term search indexing; data input are consistently input into the ADAMS document profile and security fields; RIDS distributions are correct and complete; and the PDF files retain the document integrity of the original native format.

The contractor shall also develop and implement quality control procedures for internally generated documents. This includes procedures for ensuring that documents submitted by the NRC staff in mixed format, consisting of electronic files and paper documents and documents consisting of multiple electronic files, are packaged and entered into ADAMS in the order defined by the NRC staff.

The contractor shall submit a draft QA Program Plan that includes proposed metrics to measure the contractor's performance in all Task areas. The proposed metrics must be approved by the NRC Project Officer prior to implementation. The contractor shall include the results of contractor performance for the previous month in the Monthly Progress Report. The contractor shall include corrective actions being taken to improve contractor performance where the contractor is not meeting the established metric. The contractor shall submit a proposed QA Program Plan Manual to the NRC Project Officer for review and approval within 15 workdays of the date of order award.

4.1.5 NRC Headquarters Document Processing Center (DPC) SOP

The contractor shall maintain the NRC ADAMS Document Processing Center (DPC) SOP Manual cited throughout this order and make it available in ADAMS. The contractor shall submit an updated DPC SOP within six months after order start date. When the DPC SOP Manual requires modification, the contractor shall submit the proposed changes to the NRC Project Officer for review and approval. The contractor shall update the manual and make it available in ADAMS within thirty (30) days of the NRC Project Officer's approval of the change(s) to the process.

4.1.6 Contractor Staff Training

The contractor shall provide in-house, "on the job" training to new contractor employees for all tasks under this order. The training shall employ a hands-on approach. The contractor shall institute a cross training program to ensure adequate backup personnel are available to successfully perform each task on a daily basis.

4.1.7 Managing Government Furnished Equipment (GFE)

The NRC shall provide equipment and routine office supplies required to perform the initiatives under this task order. The contractor shall establish an accounting/control system for all Government Furnished Equipment (GFE) and supplies. Reports of GFE and supply usage shall be furnished to the NRC annually or at the direction of the NRC Project Officer. A list of

GFE to be added to the order by modification after transition is completed.

4.2 Task #2 - RIDS Code Assignment

The Electronic Regulatory Information Distribution System (e-RIDS) is a subsystem of ADAMS that is used to distribute electronic notification that documents have been processed and are available for viewing in ADAMS. The RIDS interfaces with the GroupWise e-mail message system to send electronic notification to designated recipients, based on the assigned RIDS and Docket Number (if applicable). The RIDS code used to launch the electronic notification is entered into the appropriate data field during the creation of the ADAMS profile.

The contractor shall code up to 200 documents each work day. If any documents are not coded on the same day they are received by the RIDS Code Unit, the contractor shall code these documents first on the following work day. If the contractor meets the 200 production level prior to close of business, and additional documents are available for processing, the contractor shall ensure that the RIDS Code staff process as many as possible of the remaining documents during the time remaining on that work day.

In the event that a weekly volume of incoming documents exceeds the 1,000 weekly requirement, the contractor shall immediately notify the NRC Project Officer of the document backlog expected to occur, noting the approximate number of documents. If processing backlogs occur, the NRC Project Officer shall make a determination whether additional effort is required to reduce the backlog and will provide written direction to the contractor.

4.2.2 Operations

The operations subtask includes document receipt (both paper and electronic), document coding, and quality control.

4.2.2.1 Document Receipt

At Headquarters, the NRC DCD, and Office of the Secretary (SECY) shall serve as the central control points for the contractor to pick up externally generated incoming paper documents for processing. In the Regions, the Regional Capture/Intake Stations will assume that role. The contractor shall make a minimum of six pickups daily from the NRC DCD, NRC File Center, and SECY. In addition, the contractor shall receive externally generated documents in electronic format from NRC stakeholders via the NRC Electronic Information Exchange (EIE) program.

NRC staff-generated documents will be provided to the contractor as single electronic files (stand-alone documents), multiple electronic files (two or more electronic files document packages), mixed packages (combination of electronic file(s) and paper) or paper documents that are only available in paper. Detailed procedures for the receipt of externally and NRC staff-generated documents are contained in the DPC SOP manual.

There shall be two processing categories for externally generated documents received by the DPC for processing.

- “Expedited” - processing completed within three to six working hours after receipt by DPC

- “Normal” - processing completed within eight working hours after receipt by DPC

Processing is complete for an externally-generated document when the e-RIDS notification is distributed.

There shall be two processing categories for NRC staff-generated documents received by the DPC for processing.

- “Immediate Release” - processing completed within four working hours after receipt by the DPC
- “Normal” - processing completed within eight working hours after receipt by the DPC

For NRC staff-generated documents, processing is complete after document is declared “Official Agency Records” (OARs) and the e-mail notification to staff is sent.

The contractor shall track and verify the return of all paper documents provided to the contractor after processing has been completed (i.e., image processing, text processing, indexing and distribution, if appropriate). The contractor shall receive and process all documents submitted in electronic form under the NRC “Electronic Information Exchange” initiative in accordance with the DPC SOP manual. In conjunction with the NRC Project Officer, the contractor Project Manager will establish a mechanism for monitoring the turn-around requirements for documents. The results shall be included in the Monthly Progress Report.

4.2.2.2 Document Coding

The contractor shall review each incoming document submitted for ADAMS processing to determine and assign the appropriate RIDS Code. For incoming paper documents, the code is to be hand written in the lower right corner of each document. Detailed procedures are contained in the DPC SOP Manual.

The NRC Document Control Desk (DCD) staff will serve as Technical Advisors, addressing questions or resolving problems the contractor staff may encounter when assigning codes. The NRC staff shall be responsible for maintaining the RIDS distribution database.

4.3 Task #3 - Document Preparation

4.3.1 Document Preparation

The contractor shall prepare documents for scanning by removing all staples, binders, paper clips etc. The document preparation staff shall provide documents to the scanning staff for processing by processing category. The contractor shall implement procedures to review each document to ensure that all referenced enclosures or attachments are included prior to scanning and shall report any discrepancies to the DCD for resolution.

On average, approximately 5 documents received daily by the RIDS distribution staff will require special handling. Documents requiring special handling are those that contain proprietary information. The contractor shall handle, mark, protect and transmit documents containing proprietary information in accordance with procedures set forth in NRC Management

Directive 12.6 "NRC Unclassified Sensitive Information Security Program," available through the NRC Web site.

4.3.2 Document Recompilation/Final Document Disposition

After completing the scanning and quality control process, the contractor shall restore each document to its original form (assembled in the order in which it was received, stapled where appropriate, placed back in binders as received, etc.) The contractor shall deliver all completed documents to the NRC File Center, or forward them to the appropriate Regional location, by COB each day.

4.4 Task #4 - Document Scanning/Imaging

4.4.1 Scanning/Imaging

The contractor shall create approximately 5,000 scanned images (pages) daily from paper documents received from the DCD or the NRC staff. Document scanning shall result in a Tagged Image File Format (TIFF) image of the document pages to be linked with the ADAMS document profile and the text generated from the scanned image under Task #5. After the image is created, the scanning staff shall provide the image to the text processing staff for processing based on priority. The contractor shall provide various levels of scanning services. For simple scanning the contractor shall scan a document and send the scanned image (or its location in ADAMS) to the requestor. Normal scanning is performed on paper documents that are received for regular processing. For expedited scanning the contractor shall scan a document and send the scanned image (or its location in ADAMS) to the requestor within four hours from time of receipt. Complex scanning services require the contractor to scan portions of a document and package it with electronic portions of the document. Offsite commercial scanning services may be required to facilitate processing large voluminous material within specified time constraints or to meet special ad hoc requirements. The contractor may use a scanning service bureau, provided prior approval is received from the NRC Project Officer.

The contractor shall create up to 5,000 scanned images each work day. If there are any documents that are not scanned on the same day they are received by the imaging department, the contractor shall process these documents first on the following work day. If the contractor meets the 5,000 scanned image requirement prior to close of business, and additional documents are available for processing, the contractor shall ensure that the imaging staff process as many as possible of the remaining documents during the time remaining on that work day. If insufficient documents are received to allow the contractor to meet the daily requirement, the contractor shall process documents designated for processing as Special Projects by the NRC Project Officer to achieve the daily requirement.

4.4.2 Quality Control

The contractor shall perform a quality control check on all images created to ensure they are acceptable for the OCR text conversion process. Detailed procedures are contained in the DPC SOP Manual.

4.5 Task #5 - Text Processing

4.5.1 Text Conversion

Images received for text processing shall require conversion into American Standard Code of Information Exchange (ASCII) text. The contractor shall use the automated zoning features (no manual process) contained in NRC provided software to zone images for Optical Character Recognition (OCR) to create searchable text for input into ADAMS. The contractor shall perform text processing in accordance with procedures contained in the DPC SOP Manual. The contractor shall convert up to 5,000 scanned images (TIFF format) each workday. If any images are not processed on the same day they are received by the text processing department, the contractor shall process these pages first on the following work day. During the course of this delivery order the NRC may direct the contractor to switch from TIFF to PDF file format for image capture.

If the contractor meets the 5,000 image conversion requirement prior to close of business, and additional images are available for processing, the contractor shall ensure that the text processing staff convert as many as possible of the remaining images during the time remaining on that work day. If insufficient images are received to allow the contractor to meet the daily requirement, the contractor shall process documents designated for processing as Special Projects by the NRC Project Officer to achieve the daily requirement.

4.5.2 Quality Control

The contractor shall perform a minimum quality control check on the ASCII text after the OCR conversion process has been completed. This quality control check shall be limited to ensuring the general format of the resulting ASCII text is acceptable for use in building the ADAMS term search index. Detailed procedures are contained in the DPC SOP Manual.

4.6 Task #6 - Document Indexing

4.6.1 Document Indexing

ADAMS document indexing involves identifying and entering all information necessary to complete ADAMS document profiles and declaring specified documents as Official Agency Records (OARs). This includes all data elements required for document distribution, tracking, and identification. All document indexing shall be performed in accordance with the procedures contained in the DPC SOP manual. The contractor shall enter the document profile contents into the database and update and correct existing records that have not been previously declared OARs. Data entry shall be performed by the contractor using on-line access to the database (Direct Entry).

The contractor shall index up to 400 (200 external/200 internal) unique documents (ADAMS Accession Numbers) each work day. The NRC estimates that approximately 80% of NRC-generated documents received for processing will be in electronic format and the contractor shall not be required to perform scanning, or OCR conversion on these documents.

If the contractor meets the 400 production level prior to close of business, and additional documents are available for processing, the contractor shall ensure that the indexing staff process as many as possible of the remaining documents during the time remaining on that

work day. If the documents received are insufficient to allow the contractor to meet the daily requirement, the contractor shall use documents designated for processing as Special Projects by the NRC Project Officer to achieve the daily requirement.

4.6.2 Quality Control

The contractor shall perform a quality control check after each profile is completed to ensure all completed information is correct. Detailed procedures are contained in the DPC SOP Manual. The contractor shall also perform a quality control check on internally generated documents to ensure that documents submitted by the NRC in mixed format consisting of electronic files and paper documents and documents consisting of multiple electronic files are packaged and entered into to ADAMS in the order defined by the NRC staff.

4.7 Task #7 - Document Distribution

4.7.1 E-RIDS Document Distribution

There are two processing categories established under ADAMS document processing. Expedited, which requires that processing be completed within three (3) to six (6) work hours of receipt by the DPC and normal which requires that processing be completed within eight (8) work hours of receipt by the DPC.

The contractor shall distribute up to 200 documents each work day via e-RIDS. If any documents are not processed on the same day they are received by the Distribution Unit, the contractor shall process these documents first on the following work day. If the contractor meets the 200 production level prior to close of business, and additional documents are available for processing, the contractor shall ensure that the distribution staff process as many as possible of the remaining documents on that work day. In the event that a weekly volume of documents to be distributed exceeds the 1,000 weekly requirement, the contractor shall immediately notify the NRC Project Officer of the document backlog expected to occur, noting approximate number of documents. If backlogs occur, the NRC Project Officer shall make a determination whether additional effort is required to reduce the backlog and will provide written direction to the contractor.

4.7.2 E-Mail Notifications

The contractor shall notify NRC staff members when processing has been completed for their specific documents. This could result in sending out up to 200 e-mail messages each work day,. If any documents are not processed on the same day they are received by the Distribution Department, the contractor shall process these documents first on the following work day. If the contractor meets the 200 production level prior to close of business, and additional documents are available for processing, the contractor shall ensure that the distribution staff process as many as possible of the remaining documents on that work day. In the event that a weekly volume of documents to be distributed exceeds the 1,000 weekly requirement, the contractor shall immediately notify the NRC Project Officer of the document backlog expected to occur, noting approximate number of documents. If backlogs occur, the NRC Project Officer shall make a determination whether additional effort is required to reduce the backlog and will provide written direction to the contractor.

4.7.3 Quality Control

The contractor shall review each E-RIDS notification to ensure that the distribution codes and docket numbers are correct and that manual adjustments to the distribution list have been made when appropriate. The contractor shall review each e-mail notification to ensure that notifications are being sent to the appropriate NRC staff member and the appropriate document is attached to the message.

4.8 Task #8 - Replicating Publicly Available Documents To ADAMS PARS

Currently, the process for releasing publicly available documents to the public is not automated. This process will be automated in a future release of ADAMS software. Therefore, until written notification is provided to the contractor by the NRC Project Officer, the contractor shall employ the following process to replicate publicly available document/packages to the ADAMS Publicly Available Records System (PARS) located on the NRC external WEB server daily.

The contractor shall copy up to 400 publicly available documents/packages to daily temporary replication folders for subsequent copying into "Recently Released Documents" replication folders for replication to the ADAMS Publicly Available Records Library (PARS) located on the NRC external WEB server daily. Detailed procedures are contained in the DPC SOP manual.

4.8.1 Copying Documents From DPC "Completed Docs For RM" Folder

After processing has been completed on each document or package, the contractor shall copy individual publicly available documents and publicly available document packages into the DPC "Completed Docs For RM" folder. Each morning the contractor shall create a daily temporary replication folder (i.e. Rep-Temp-current date) into which it will copy individual publicly available documents or document packages from the DPC "Completed Docs For RM" folder. From the "Document Manager" window, the contractor shall navigate to the OCIO/HQ Document Processing Center/HQ DPC ADAMS Processing/Completed Docs for RM folders where the daily temporary replication folder will be created.

From the DPC "Completed Docs For RM" folder, the contractor shall sort documents by the "Date to Be Released" field. After sorting the documents by release date, the contractor shall block and copy all individual documents or document packages with the current and earlier day's release date into the daily temporary replication folder (i.e. Rep-Temp-current date). Document packages must be blocked and copied separately from individual documents.

After individual documents and document packages are copied to the daily temporary replication folder (i.e. Rep-Temp-current date), the contractor shall open another "Document Manager" window and navigate to the "Recent Released Documents/Month/Day Replication" folders. The contractor shall then block and copy all individual documents or document packages from the daily temporary replication folder (i.e. Rep-Temp-current date) into the next working day's "Recent Released Documents" replication folder. Document packages must be blocked and copied separately from individual documents.

The contractor shall unfile documents from the DPC "Completed Docs For RM" folder after the current day's documents to be released are copied to the daily temporary replication folder (i.e. Rep-Temp-current date). The contractor shall monitor the DPC "Completed Docs For RM"

throughout the work day for documents that need to be released that day.

The contractor shall follow the above process for replicating publicly available documents or packages processed into ADAMS under 4.10 - Task 10 - ADAMS Document Retrofit. The replication of publicly available retrofit documents and packages must be completed prior to searching the ADAMS Main Library for publicly available documents and packages that meet the criteria for replication.

4.8.2 Searching ADAMS Main Library

The contractor shall use ADAMS advanced search capabilities to search the ADAMS Main Library separately to identify both individual documents and document packages that meet the criteria as defined in the SOP for replication to PARS. The contractor shall perform the first search each morning and periodically throughout the day with the last search being performed at 4:30 p.m.

The contractor shall create a daily temporary search replication folder (i.e. Search-Rep-Temp-current date) into which individual publicly available documents or document packages will be copied from search results after the search has been performed. From the "Document Manager" window, the contractor shall navigate to the OCIO/HQ Document Processing Center/HQ DPC ADAMS Processing/Search-rep-Temp -(Date) where the daily temporary replication folder will be created. After creating the daily temporary search replication folder (i.e. Search-Rep-Temp-current date), the contractor shall block and copy all individual documents or document packages with the current or earlier day's release date into the daily temporary replication folder (i.e. Search-Rep-Temp-current date). Document packages must be blocked and copied separately from individual documents.

After individual documents and document packages are copied to the daily temporary replication folder (i.e. Search-Rep-Temp-current date), the contractor shall open another "Document Manager" window and navigate to the "Recent Released Documents/Month/Day Replication" folders. The contractor shall then block and copy all individual documents or document packages from the daily temporary replication folder (i.e. Search-Rep-Temp-current date) into the next working day's "Recent Released Documents" replication folder. Document packages must be blocked and copied separately from individual documents.

4.8.3 Maintaining Daily Temporary Replication Folders

The contractor shall maintain the daily temporary replication folders. The contractor shall keep the daily temporary folders for two weeks after their creation. After the two week period, the contractor shall perform a comparison of the contents of each replication folder created by the contractor against the contents of the same daily replication folders maintained on ADAMS PARS and if they contain the same number of documents, the contractor can delete the folder it created.

4.9 Task #9 - Filing Official Agency Records In ADAMS

The contractor shall perform electronic filing of certain Day-Forward and all Backlog Official Agency Record (OAR) documents and packages into the ADAMS File Plan, close-out completed and/or terminated case files in the File Plan, and add new subject and case files to the ADAMS File Plan, when needed.

The contractor shall file all office and regional OARs, from the order start date forward, except for the Day-Forward programmatic OARs of the Office of Nuclear Material Safety and Safeguards (NMSS), the Office of Nuclear Reactor Regulation (NRR), the Office of International Programs (OIP), the Office of Nuclear Regulatory Research (RES), and the Office of State and Tribal Programs (STP), for which the NRC File Center will file the records. The contractor shall also file all Backlog OARs generated from April 1, 2000, up to the order start date, including those of NMSS, NRR, OIP, RES and STP.

Filing OARs is accomplished in ADAMS using additional rights provided to the Records Managers group members. A Records Manager files an OAR document or package via the records classification tools of the ForeMost records management software that is an integrated component of ADAMS.

The ADAMS File Plan is an hierarchical records classification scheme located in the ForeMost software that is used to electronically file all OAR documents and packages. The File Plan is organized by Office, Records Series, Sub-Series (if any), and subject file area or specific case file. Documents are filed in the File Plan from the ADAMS Document Manager or the ADAMS Find result list by navigating the Plan and "choosing" the appropriate file folder. Filing a document or package in the ADAMS File Plan assigns a File Code to the document that places it under records management control. Documents often require filing in multiple file locations depending on how they are used and to whom they serve as official agency records. Files management activities, such as adding or modifying File Plan case or subject file folders, entering case file closure dates, and conducting File Code searches, are performed using various ForeMost software applications.

National Archives and Records Administration (NARA) regulations require that official records only be dispositioned (destroyed or transferred to the National Archives) in accordance with NARA-approved records disposition schedules. Filing OARs in the ADAMS File Plan links them to a subject or case file folder with a File Retention Code and corresponding retention period that is based on a NARA-approved records disposition schedule. All OARs are "Filed to ForeMost" to meet these NARA records management requirements.

4.9.1 File Documents/Packages in the ADAMS File Plan

Using ADAMS, the contractor shall retrieve OAR documents and packages to be filed, determine the correct file location and assign the appropriate File Code(s) from the ADAMS File Plan, and unfile the documents from the ADAMS Main Library RM NewRecords Folder. The contractor shall file all documents and packages for all headquarters and regional offices that are not the filing responsibility of the NRC File Center (programmatic Day-Forward records of NMSS, NRR, OIP, RES, and STP), and all Backlog OARs, including those for NMSS, NRR, OIP, RES, and STP.

Only OARs, documents and packages declared as Official Agency Records, shall be filed in the ADAMS File Plan. The contractor shall file OAR documents and packages in two categories: Day-Forward Filing - OARs dated award as of the order start date or later, and Backlog Filing - OARs dated 04/01/00 to the order start date. The contractor shall centrally file OARs from the NRC Headquarters DPC located in the TWFN Facility.

Day-Forward Filing. The contractor shall file all OAR documents and packages for all headquarters and regional offices that are not the filing responsibility of the NRC File Center. The records series for which the contractor shall have Day-Forward Filing responsibility are identified in ML010860046, "Records Filed in The ADAMS File Plan," Part 1, "Record Series Filed by the Document Processing Center." NRC estimates that 104,000 new OAR documents and packages are created annually (400 per day times 260 days). Approximately 52.5% of these OARs (54,600 items annually, or 210 items daily) comprise the contractor's filing responsibility, based on the current ratio of NRC File Center to Non-NRC File Center OARs.

Backlog Filing. The contractor shall file Backlog OAR documents and packages dated from 04/01/00 to the order start date for all headquarters and regional offices, including those for which the NRC File Center has Day-Forward Filing responsibility (ML010860046, "Records Filed in The ADAMS File Plan," Part 2, "Records Series Filed by the NRC File Center"). As of 05/01/01, the OAR Backlog consisted of 77,719 documents and packages in ADAMS that had been declared OARs since 04/01/00, but have not yet been filed to ForeMost. This represents a monthly increase in the OAR Backlog of 5,994 OARs. The contractor shall file at a minimum, 130 Backlog OARs each day. The NRC estimate for completion of the entire OAR Backlog filing into the ADAMS File Plan is three years. Accordingly, the daily Backlog filing requirement spread over three years would be 130 OARS (33,964 OARS divided by 260 days per year).

Upon completing a one-month period to become proficient with the ForeMost filing activity, the contractor shall file 340 OARs daily (210 Day-Forward plus 130 Backlog OARs). The priority shall be to file Day-Forward OARs first, then to file Backlog OARs in the order of the earliest OAR to the most recent. Sub-Tasks 4.9.1.1 through 4.9.1.3, apply to both Day-Forward Filing and Backlog Filing.

ML010860046, "Records Filed in The ADAMS File Plan," contains the list of Day-Forward records series that are filed by the contractor (Part 1) and by the NRC File Center (Part 2). Backlog OARs will span both parts. The following are the basic steps to file documents in the ADAMS File Plan.

1. Find/identify the documents/packages to be filed using standard ADAMS search functions.
2. Right-click on each document or package and review Properties to determine where to file. If necessary, view the document to make filing decision.
3. Click-on "File to ForeMost".
4. Enter ForeMost password (ForeMost software is activated).
5. Navigate the ADAMS File Plan to the appropriate subject or case file folder and select "Choose," or simply enter the appropriate File Code, if known.
6. "Unfile" document from ADAMS Main Library RM NewRecords Folder.

4.9.1.1 Retrieving Documents to Be Filed

ADAMS documents and packages are filed in the ADAMS File Plan ("Filed to ForeMost") from opened ADAMS folders and search result lists. Only OARs can be filed to ForeMost. The primary source of documents and packages for filing will be from performing searches against the RM NewRecords Folder. However, OARs to be filed in multiple File Plan folders that have already been filed to one File Plan folder will often be unfiled from the RM NewRecords Folder and will require separate searches. The contractor must develop various search strategies, or series of searches, to generate the necessary result lists of OARs that must be filed to ForeMost. Some OARs will be filed after being identified by the responsible office contact through the NRC Task Manager. Understanding the description of records contained in the NARA approved records disposition schedules and developing successful strategies to identify groups of OARs for filing to ForeMost are required for efficient filing operations. In addition to searching and retrieving documents to file in the ADAMS File Plan, documents may be presented to the contractor for filing in response to audits, QC reviews, changes in an office's filing requirements, and instructions from a responsible office contact.

4.9.1.2 Assign File Codes from the ADAMS File Plan

The contractor shall evaluate the ADAMS profile data, match the data to the NARA-approved records disposition schedules, and assign the proper subject or case file File Code(s) from the ADAMS File Plan.

The ADAMS File Plan is an hierarchical records classification scheme in the ADAMS records management software used for filing documents. The File Plan is organized by Office, Records Series, Sub-Series (if required), and specific case or subject file folders from which an ADAMS Record Custodian assigns a File Code to each document. The ADAMS File Plan differs from typical paper file plans in that its case file and subject file categories are only broken down to the level required to implement a records series' authorized disposition. Accordingly, there is only one case file folder for each case file within a records series, and there is only one subject file folder for each fiscal year in a subject file series. Case file and subject file folders are not broken down into sub-categories because all of the documents can be dispositioned at the same time in the higher level folder.

All OAR documents and packages are filed in either case file or subject file type folders. Documents are filed only in the lowest hierarchical level of the File Plan. Reference the descriptions of records contained in the ADAMS records schedules that have been submitted to NARA for approval. These descriptions can also be viewed in ADAMS and ForeMost within the File Plan. Also, reference the current ADAMS File Plan at ML010740286.

4.9.1.3 Unfile Documents from the RM NewRecords Folder

The contractor shall remove OAR documents and packages from the ADAMS NewRecords Folder using the "unfile" option. The contractor shall remove the OARs immediately after all File Codes are assigned, so that they and others know that the assignment task has been completed for that record. The contractor shall not remove multiple dispositioned OARs that have not yet been filed by the NRC File Center, so the File Center staff can retrieve the OARs from the RM NewRecords Folder for filing. In those instances, it is the File Center's

responsibility to remove the OAR from the RM NewRecords Folder after they file the OAR in the ADAMS File Plan.

4.9.2 Close Out Completed And/Or Terminated Case Files

The contractor shall enter the date of case file closure (event date) for each case file that closes for which it has filing responsibilities. The event date to be used is described in the authorized disposition portion of the NARA approved records disposition schedule. The event date will often be contained in a final close-out document that is created for the case file. Records series that contain vague or non-existent case file closure dates shall be identified by the contractor, so that the NRC Task Manager can coordinate requests for case file closure dates with the responsible offices and provide them to the contractor for entry into the File Retention Code section of the ForeMost case file folder. The following are the basic steps to close out case files in the ADAMS File Plan.

1. Open the ForeMost software, navigate the ADAMS File Plan to the appropriate case file.
2. Click the edit icon on the toolbar to enter the folder edit mode.
3. Click the retention code button to enter the File Retention Code edit mode.
4. Enter the date of case file closure (event date) into the 9th data field.
5. Click the "OK" button to exit the File Retention Code screen.
6. Click the "Update" button to effect the change and to exit the edit file mode.

4.9.3 Maintain the ADAMS File Plan

The contractor shall create new subject and case file folders in the ADAMS File Plan areas for which they have filing responsibility. New subject file folders for the next fiscal year shall be created annually for each organization's active subject file type series. New case file folders shall be created for each new case file required. New case files are typically added to the end of the list of existing case files.

4.9.4 Develop and Maintain File References

The contractor shall develop and maintain cross references of the file locations for different types of documents to ensure filing efficiency. The references shall reflect the ADAMS File Plan, ADAMS Templates, NARA's General Records Schedules, NRC's records schedules, NRC office filing procedures, and other files and records management guidance provided by the NRC Task Manager. Similar references documenting successful search strategies for each records series shall be created and maintained to ensure file retrieval efficiency. At a minimum, references must be maintained showing the file location by document type, and search criteria used to identify documents for filing by records series. Additional references, such as file location by Regulatory Information Distribution System (RIDS) codes, should be developed if the contractor determines them to contribute to greater efficiency of operations. The contractor shall submit to the NRC Project Officer a filing reference aid based on operational experience, ADAMS Templates, tailored searches, ADAMS records series, document types, etc., six months after delivery order award.

4.9.5 Quality Control

The contractor shall perform quality control (QC) checks of its OAR retrieving, filing, File Plan updating, and case file closing actions to ensure proper filing decisions and File Plan maintenance. QC shall include, but not be limited to, sufficient ADAMS searches and reviews of OARs to ensure that all OARs under the contractor's filing responsibility are identified and filed correctly in the File Plan. QC procedures will be incorporated in the contractor's Standard Operating Procedures for Filing Documents and Packages in the ADAMS File Plan.

4.9.6 Reporting Requirements

The contractor shall include a full accounting of OAR filing, case file closeout, and new file folder creation statistics in the Daily Production Indicators Report provided to the NRC Project Officer. The information provided shall include the total number of Day-Forward and Backlog OARs available for filing and the number of Day-Forward and Backlog OARs filed daily. The contractor shall include a summary of the work performed under task #9 and a discussion of related plans and operational problems in the Monthly Progress Report to the NRC Project Officer.

4.9.7 Personnel Requirements

The contractor shall provide personnel capable of accomplishing the filing and related files maintenance requirements that are identified in this task. The personnel must be capable of understanding Federal records management principles, Federal records management regulations, and the NRC's Records Management Program (NRC Management Directive 3.53) to determine the ownership of records, the records series to which they belong, and their proper file location(s) in the ADAMS File Plan. The personnel must be capable of understanding what constitutes an official Federal record, when the same record must be filed in multiple locations based on how it is used, the implications of ADAMS being an official record keeping system, and the basic requirements and objectives of filing OARs to the ADAMS File Plan. The personnel must become familiar with NRC record keeping practices and proficient in developing and refining ADAMS searches based on the description of records contained in the ADAMS records schedules to generate desired result lists of documents to be filed. The personnel must have sufficient analytical skills to evaluate each record and its characteristics to determine the proper filing location(s) in the ADAMS File Plan.

4.9.8 Contractor Staff Training

The NRC shall provide initial training on filing OARs in the ADAMS File Plan, entering event dates in the File Retention Codes of closed case files, creating new subject and case file folders, and using the other features of the ForeMost records management software. The NRC is allowing a one-month learning period to allow the contractor to review the pertinent references, develop searches to retrieve documents for filing, develop initial filing references and standard operating procedures, and to obtain a basic level of operational expertise. The contractor shall provide subsequent in-house, "on the job" training to new contractor employees tasked with filing OARs in the ADAMS File Plan using ForeMost. The contractor shall employ hands-on approach training and shall institute a cross training program to ensure adequate backup personnel successfully perform each filing and files maintenance task on a daily basis.

4.10 Task #10 - ADAMS Document Retrofit

The contractor shall perform document processing tasks associated with retrofitting documents into ADAMS. The purpose of this task is to continue retrofitting paper documents that require full processing into ADAMS.

This task shall be considered a special project under this order. Document processing statistics for this task shall be maintained separately from other tasks and shall be included in both the Daily Production Indicators Report and the Monthly Progress Report. The contractor shall maintain and report labor hours and other associated costs separately from other tasks in its monthly invoices.

[The period of performance for this task is 1 year from the date of order award with an option for an additional 1-year period available for exercise by written modification to the order.]

The contractor shall provide support in the following five subtask requirements.

4.10.1 Document Receipt and Preparation

The NRC File Center shall serve as the central control point for the contractor to pick up documents for processing and to deliver documents after processing. The contractor shall be responsible for tracking and verifying that documents received for processing are returned to the File Center. The contractor shall process documents in the order that they are received and shall return documents repackaged in the order and condition received from the File Center.

The contractor shall implement procedures for notifying the NRC Project Officer when documents available for processing fall below a five-day work level to ensure that the flow of documents to the contractor is sufficient for the contractor to meet daily production requirements.

4.10.1.1 Document Preparation

The contractor shall prepare documents for scanning by removing all staples, binders, paper clips etc., to enable document scanning. The contractor shall implement procedures to review each document to ensure that all referenced enclosures or attachments are included for each document prior to scanning and report any discrepancies to the File Center for resolution.

4.10.1.2 Document Recompile

After the scanning and quality control process has been completed, the contractor shall restore each document to its original form and container for return to the NRC File Center.

4.10.1.3 Final Document Disposition

Procedures for preparing documents for pickup by the contractor will require the File Center staff to insert documents into boxes, number the boxes and arrange each shipment into batches. The contractor shall develop procedures for ensuring the return of all documents in the same container and batch as received from the NRC, after processing has been completed.

4.10.2 Document Scanning/Imaging

4.10.2.1 Scanning/Imaging

The NRC estimates that the contractor shall create approximately 1,900 scanned images daily from paper documents received from the NRC File Center. Document scanning shall result in a Tagged Image File Format (TIFF) image of the document pages to be associated with the ADAMS document profile and the text generated from the scanned image under Subtask 4.10.4. If the contractor meets the 1,900 scanned image requirement prior to close of business, and additional documents are available for processing, the contractor shall ensure that the imaging staff process as many as possible of the remaining documents during the time remaining on that work day.

4.10.3 Quality Control

The contractor shall perform a quality control check on all images created to make sure they are acceptable for the OCR text conversion process. Detailed procedures are contained in the DPC SOP Manual.

4.10.4 Optical Character Recognition (OCR) Text Conversion

4.10.4.1 Text Conversion

Images received for text processing shall require conversion into American Standard Code of Information Exchange (ASCII) text. The contractor shall use the automated zoning features (no manual process) contained in NRC provided software to zone images for Optical Character Recognition (OCR) to create searchable text for input into ADAMS. The contractor shall perform text processing in accordance with procedures contained in the DPC SOP manual.

The contractor shall convert up to 1,900 scanned images (TIFF format) each workday. If any images are not processed on the same day they are received by the text processing department, the contractor shall process these pages first on the following work day. If the contractor meets the 1,900 image conversion requirement prior to close of business, and additional images are available for processing, the contractor shall ensure that the text processing staff convert as many as possible of the remaining images during the time remaining on that work day.

4.10.4.2 Quality Control

The contractor shall perform a minimal quality control check on the ASCII text after the OCR conversion process has been completed. This quality control check shall be limited to ensuring the general format of the resulting ASCII text is acceptable for use in building the ADAMS term search index. Detailed procedures are contained in the DPC SOP Manual.

4.10.5 Document Indexing

4.10.5.1 Document Indexing

The contractor shall index up to 95 unique documents (ADAMS Accession Numbers) each work day. If the contractor meets the 95 production level prior to close of business, the contractor shall ensure that the indexing (profiling) staff process as many of the remaining documents as possible during the remainder of that work day. The contractor shall also use retrofit documents to meet the daily production requirements as defined in Task 4.6 - Document Indexing when an insufficient number of current documents are available to meet that requirement.

4.10.5.2 Quality Control

The contractor shall perform a quality control check after the profile is completed to ensure all completed information is correct. Detailed procedures are contained in the DPC SOP Manual.

4.10.5.3 Quality Assurance

The contractor shall perform quality assurance inspections at various points throughout the process. These quality assurance inspections shall ensure that all pages are scanned correctly and the image quality is acceptable for viewing in ADAMS, the text file is acceptable for ADAMS term search indexing, and there is consistency in data input into the ADAMS document profile.

4.11 Task #11 - Database Cleanup

The contractor shall perform database cleanup activities associated with profiles entered into ADAMS between November 1, 1999, and April 1, 2001. The NRC estimates that 2 FTE will be required to complete this task during the first order year. This is a finite collection of profiles that requires review to ensure the data adheres to the standards for profiling established with the NRC ADAMS Templates and data format requirements. Detailed steps of the database cleanup project will be provided by the ADAMS QA Program Manager in an ADAMS Database Cleanup Plan.

[The period of performance for this task is 1 year from initiation of the task.]

4.12 Task #12 - User Support Services

The contractor shall provide User Support Services to NRC Staff to assist in generating reports from NUDOCS, the ADAMS Legacy Library, and the ADAMS Main Library. The contractor shall process and maintain records of all ad hoc reports or special printout requests. The contractor shall provide statistics on requests for ad hoc reports or special printout requests in the Monthly Status Reports.

4.13 Task #13 - ADAMS Database Maintenance

The contractor shall perform ADAMS Database Administration activities in accordance with guidance to be provided by the NRC Task Manager. Tasks associated with ADAMS database maintenance include maintaining the ADAMS Controlled Value Lists (CVLs), ADAMS folders, and ADAMS enforced rules.

The NRC will provide the training necessary for the contractor to assume the responsibility for performing ADAMS Database Maintenance. In addition, the NRC will provide the contractor

with written procedures to be used when adding new values or modifying existing values to the CVLs.

4.13.1 Maintenance of ADAMS Controlled Value Lists

Controlled Value Lists provide a vehicle to define specific values that can be selected by personnel creating ADAMS profiles. The values contained in that list are the only acceptable values for populating the related field. Any value not on the list will be rejected by the system as invalid.

The contractor shall, upon direction from the NRC, add new values or modify existing values contained in specified CVLs based on changing requirements. The contractor may be authorized to add new values unilaterally to some specified CVLs (i.e., Addressee and Author Affiliations) based on formatting criteria and rules provided by the NRC. The contractor shall, within 4 work hours, provide the ADAMS IM Team with a list of new values they have added to facilitate updates to the Thesaurus posted to the NRC Website or other location.

4.13.2 ADAMS Folders

In addition to the normal process of moving documents from folders created to move documents through the production environment, there are folders created that facilitate the replication process to make documents available to the public. This process is not automated and requires a degree of effort to create and delete folders, assign security rights to folders, and manually copy and unfile documents into and from various replication folders.

The contractor shall, at the direction of the NRC, create and delete folders, and assign specified access rights to folders to facilitate the public availability of documents on the public server. The contractor shall copy and unfile documents from folder to folder in accordance with general guidance provided by the NRC to facilitate the replication of publicly available documents to the public server.

4.13.3 ADAMS Rules

ADAMS provides a facility to create "rules" that are executed upon declaring a document an Official Record. These rules perform a comparison of values included in the document profile to validate their appropriateness and report inconsistencies or conflicts that must be resolved before the system will accept the document as an Official Record.

The contractor shall, upon direction of the NRC, create additional "rules" or modify existing rules to address the document processing requirements of the agency. The contractor may propose additional rules to the NRC to address document processing issues.

Task #14: Retracting Documents From the ADAMS Publicly Available Records Library (PARS)

The U.S. Nuclear Regulatory Commission (NRC) is seeking contractor support to perform various tasks associated with retracting documents from its ADAMS Publicly Available Records Library (PARS) located on the NRC external WEB server. The contractor shall furnish qualified personnel and other services necessary to perform this task.

Processing Levels:

At this time, the NRC estimates that the contractor shall be responsible for retracting up to 4,000 documents including document packages . The contractor shall use the 4,000 document processing level as its basis for developing its initial cost proposal. The NRC Project Officer will closely monitor requests to retract documents provided to the contractor. Requirements beyond the 4,000 document limit can only be authorized by written modification to the order.

The NRC Project Officer will provide requests for retracting documents directly to the contractor's Operations Manager. The NRC Project Officer will provide the contractor's Operations Manager with listings of ADAMS Accession Numbers for documents that are to be retracted from PARS, and in conjunction with the contractor's Operations Manager establish the schedule for completing each request, and estimate the number of labor hours required to complete each request. The contractor staff proposed to perform this task shall have experience using ADAMS at a level that ensures the successful completion of the task within the established schedule. The contractor shall perform this task in a manner that shall not interrupt normal daily operations, unless otherwise directed by the NRC Project Officer, in order to meet requests for immediate retraction or requests that must be completed within short time periods.

The contractor shall update the DPC Standard Operating Procedures (SOP) to include procedures for retracting documents from PARS within thirty (30) days after the order has been modified. The contractor shall include statistics for this task in the Daily Production Indicators Report and the Monthly Progress Report.

14.1 Retracting Documents from ADAMS PARS

The first and most important task is to retract the documents from PARS. Other tasks may be completed after the documents are retracted and are no longer available for search and retrieval on PARS. The contractor shall also be responsible for performing quality control checks to ensure that each document is no longer available on PARS for search and retrieval.

The following are the basic steps that the contractor shall follow to retract documents.

7. Searching the ADAMS Main Library to identify the replication folder(s) in which the document resides.
8. Copying documents into a temporary folder residing on the ADAMS Main Library for storage and additional changes to the profile fields and "Security" rights, if applicable (documents residing in multiple folders only need to be copied to the temporary folder from one replication folder).
9. Unfiling documents from replication folders in which they reside. A document residing in more than one replication folder must be unfiled from each folder in which it resides.

14.2 Updating/Changing "Profile" Properties

The contractor shall be responsible for updating the "Keyword" and "Comment" profile fields for each document to reflect that there have been changes made to "Official Agency Records" (OARs) and the reason the documents were retracted from PARS. The contractor shall follow

the established format for updating the "Keyword" field to reflect changes made to OARs. The NRC will provide the contractor with the language to be used when updating the "Comment" field to include the reason each document was retracted from PARs. The contractor shall also be responsible for changing the Document Sensitivity property to "Sensitive" for each document and deleting the date in the "Date to be Released" property.

Task 15: Document Backlog Processing

Additional document processing support shall be provided as directed by the PO to process into ADAMS any backlog of documents resulting from the unavailability of the ADAMS system and reduced ADAMS system performance times. Work shall be performed in accordance with the SOP for the DPC, on Saturday, as directed by the NRC Project Officer (PO), to avoid interruption to normal daily document processing operations. The NRC PO will schedule each Saturday backlog processing effort after assessing workload statistics from the previous effort.

The current estimated level of effort for each backlog task effort is 184 staff-hours. The required processing levels for each backlog effort are: 270 accession numbers to be processed for e-mail notifications and E-RIDS distribution; 135 accession numbers to be processed for image inspection/OCR/ADAMS add, composed of large color documents which require merging color images into primary files; 270 accession numbers to be processed for profiling; and 270 accession numbers to be processed for profile QC and declare. It is estimated that the NRC will require a total of four backlog task efforts. One backlog task effort will be scheduled by the PO based on workload assessment and system availability, and three backlog task efforts will be available as optional tasks to be exercised by written modification to the order.

Task 17.0 - Document Processing Center (DPC) Operations Improvements/Efficiencies

Background

In the Staffing Plan submitted by Information Manufacturing Corporation (IMC) in response to RFPA No. CIO-010-179-002, IMC indicated that its IT staff are already trained in, operates and continuously reviews, tests, and applies conversion technology and processes in a high-volume production environment and would apply its real-world-knowledge during frequent reviews of the DPC conversion processes and technology.

IMC also indicated that from these reviews, it would develop practical, cost-effective recommendations for process and technology based improvements to DPC operations, and would begin the periodic reviews soon after award of the order. In addition, Section 4.1.2, Processing Reviews/Technology Impact Assessments, contained requirements for the contractor to perform such reviews, including estimated implementation costs and production level impacts.

On December 5, 2001, IMC submitted their analysis entitled NRC Document Processing Center (DPC) System and Process Upgrade Recommendations (Attachment 1). IMC proposed a phased in approach for implementing the recommended improvements/efficiencies to the DPC operations. On January 14, 2002, IMC briefed the NRC's, Chief Information Officer (CIO) on its recommendations for improvements to the DPC system and processes (Attachment 2). The CIO approved the staff's recommendations to implement the first three phases because it is a

good business decision that will result in reduced costs and a means for increasing the NRC staff's confidence in the quality of products generated in ADAMS.

Scope

The contractor shall upgrade and improve the operations of the ADAMS Document Processing Center and the four central Document Capture/Intake Stations at the NRC Regional Offices. These improvements are identified in the analysis conducted by Information Manufacturing Corporation (IMC), dated, December 5, 2001, entitled NRC Document Processing Center (DPC) System and Process Upgrade Recommendations (Attachment1). The improvements are divided into 3 phases (pages 21 through 27 of Attachment 1):

Phase 1 - Infrastructure Improvements

Phase 2 - Application Process Upgrades, and

Phase 3 - Feasibility Analysis and Testing

The contractor shall implement the first two phases to improve the operations of the ADAMS Document Processing Center and the four central Document Capture/Intake Stations at the NRC Regional Offices. Phase 3 - Feasibility Analysis and Testing, shall be optional and will be performed at the direction of the NRC Project Officer. The contractor shall include costs for performing each phase individually in its cost proposal.

The new hardware equipment and software products identified as requirements in the System and Process Recommendations document shall be furnished by the NRC. NRC technicians will install the hardware and software. The contractor shall provide assistance to the NRC technicians and shall "tune" the hardware/software products to meet the objectives identified in the IMC Recommendations document. The objectives include improving DPC processes (automated and manual) and procedures and enhancing quality assurance and control in the DPC production environment as provided for under Section 4.1.4 of the order.

Hardware and Software Requirements:

The NRC shall provide all hardware and software required to implement the recommendations for improving the DPC operations (see Attachment 3). The NRC shall also obtain the hardware maintenance agreements and agreements for vendor upgrades to software. The NRC shall also provide the facility for developing and testing system improvements. NRC technicians will install the hardware and software at the DPC and the regional Document Capture/Intake Stations. The contractor shall provide assistance to the NRC technicians and shall "tune" the hardware/software products to meet the objectives identified in the IMC Recommendations document. During the course of this task, the NRC may in agreement with the contractor, change the specific hardware or software requirements identified in the Task Order in order to take advantage of new or improved products that meet the needs of the DPC improvement effort.

Reporting Requirements:

The contractor shall include the status of each task in the Monthly Progress Report.

Implementation Plan:

The contractor shall provide an Implementation Plan that outlines the tasks and schedules for

implementing the first three phases of the plan, including recommendations for the four regional Document Capture/Intake Stations. The contractor shall submit the Implementation Plan to the NRC Task Manager within 5 days after task initiation. The implementation schedule will be partially dependent on the availability of Government furnished hardware and software that will be acquired during the duration of the task order. These acquisitions should be included as tasks in the implementation plan with the estimated completion dates provided by the NRC Project Officer. The Implementation Plan shall also include as a task the development of an Acceptance Test Plan for Phases 1 and 2 of the DPC Improvements Project. When changes to the Implementation Plan are needed, the contractor shall submit updates to the approved Implementation Plan within two days after NRC Task Manager approves changes to the plan.

Attachment 3 provides the deliverables list and requirements for Task 17. Due dates for deliverables shall be based on the Implementation Plan approved by the NRC Task Manager.

17.1 Tasks

17.1.1 Phase 1 - Infrastructure Improvements

17.1.1.1 Upgrade Existing Bitonal Scanners

The NRC plans to upgrade the DPC's three (3) existing Fujitsu 3099GX scanners with KOFAX 650 SCSI Adrenaline cards. The contractor shall assist NRC technicians in installing the cards and shall set up the upgraded scanning workstations to improve the processing speed, image quality, and OCR accuracy. The contractor shall provide documentation of scanner configuration and other relevant system documentation and revise the DPC scanning procedures accordingly.

17.1.1.2 Upgrade Color Scanning Capability

The NRC plans to upgrade color scanning in the DPC by installing a Fujitsu 4750C production color scanner. The contractor shall assist NRC technicians in installing the KOFAX 650i SCSI Adrenaline cards and set up the upgraded color scanning workstation to automate the color document scanning process, improve processing speed, image quality, and OCR accuracy. The contractor shall provide documentation of scanner configuration and other relevant system documentation and revise DPC SOP accordingly.

17.1.1.3 Implement a Server-Based Conversion Software Package Using KOFAX Ascent 5.5

The NRC plans to install a server-based conversion software package using KOFAX Ascent 5.5 at the DPC. The contractor shall assist NRC technicians in installing the KOFAX Ascent 5.5 software and configuring the servers. The contractor shall also test the hardware and system integration to ensure server performance meets the requirement to support batch processing, automated image enhancement, image inspection, OCR processing and automated workflow that can be easily optimized to meet NRC requirements and tracks documents and user statistics. The contractor shall provide documentation of the software and server configuration settings, and other relevant system documentation and revise DPC SOP accordingly.

17.1.1.4 Upgrade to a More Robust OCR Package Capable of Processing Bitonal and

Color Files and Outputting in Optimized PDF with Hidden Text Format

Document Processing Center (DPC):

The NRC plans to equip the DPC scanning operation with a more robust OCR package (Prime Recognition) capable of processing bitonal and color files and outputting to various formats, including optimized PDF with hidden text. The contractor shall assist NRC technicians in installing the Prime Recognition software and shall perform system testing to ensure that hidden text created by this process is suitable for ADAMS search and retrieval. The contractor shall provide documentation of the software configuration settings and other relevant documentation.

NRC Regional Offices:

The NRC plans to upgrade the four Document Capture/Intake Stations at the NRC Regional Offices with the capability to produce optimized PDF with hidden text. The contractor shall assist the NRC technicians in installing the approved software and shall perform system testing to ensure that hidden text created by this process is suitable for ADAMS search and retrieval. The contractor shall provide documentation of the software configuration settings and other relevant documentation.

The contractor shall travel to the four NRC Regional Offices to train the regional staff on the upgrade scanning/OCR software. The contractor shall also provide a "Users Guide" for regional scanning staff.

17.1.2 Phase 2 - Application/Process Upgrades

17.1.2.1 Test and Implement a Spell Checker Application in Profiling and Quality Control

The NRC plans to install a spell checker application to improve the accuracy of profile fields, increase DPC staff quality control processing rates, and reduce costs. The contractor shall test multiple applications and provide its recommended spell checker application to the NRC Task Manager for approval. After receiving the NRC Task Manager's approval and the approved spell checker application software, the contractor shall assist NRC technicians to install the approved application. The contractor shall provide documentation guide for using the application and revise the DPC SOP accordingly.

17.1.2.2 Document Tracking System

The NRC plans to install a relational database software for a document tracking system to support the DPC operations. The system shall measure and manage: document processing turnaround times, contractor staff's performance, and the contractor's productivity. The contractor shall develop and implement processing flows and procedures to track receipt of paper documents from the point of receipt by the DPC through the processing steps and return to the NRC. The system shall be capable of generating standard reports for use by the contractor, the NRC Project Officer, and other NRC staff. The system developed and implemented shall meet all the requirements listed above. The contractor shall provide documentation of the system configuration settings and other relevant system documentation and revise SOP's accordingly.

17.1.2.3 Error Tracking and Reporting System

The NRC plans to install a relational database software capable of hosting a central error tracking and reporting system to support the DPC operations. The contractor shall develop and implement processing flows and procedures for the error tracking and reporting system to centrally track production errors and to enhance DPC quality management. The system shall provide indicators of quality compliance with NRC guidelines for document processing, provide the contractor the capability to identify and correct system, process, and worker performance issues, and provide the NRC Project Officer the capability to measure and management contractor performance. The system shall be capable of generating standard reports for use by the contractor, the NRC Project Officer, and other NRC staff. The system developed and implemented shall meet all the requirements listed above. The contractor shall provide documentation of the system configuration settings and other relevant system documentation and revise DPC SOP accordingly.

17.1.2.4 E-RIDS Code System

The contractor shall convert the existing WordPerfect file used for E-RIDS assignment to a database application that will allow the search of multiple values/words and the identification of multiple E-RIDS codes used to distribute specific documents. This upgrade will increase the quality and reliability of coding performed by the DPC staff. The system developed and implemented shall meet all the requirements listed above. The contractor shall provide documentation of the system configuration settings and other relevant system documentation and revise DPC SOP accordingly.

17.1.3 Phase 3 - Feasibility Analysis and Testing

The contractor shall perform a study and testing of the uses of Ascent conversion systems interface with the ADAMS FileNet Panagon Content Services to improve and make the DPC operations more efficient. The study shall include, but not be limited to:

10. use of Ascent index workflow to complete ADAMS minimum profile and automatically perform the ADAMS Add
11. use of Ascent "indexing" functionality to increase efficiency of profiling documents
12. use of Ascent-enabled "ADAMS Add to include multiple values for the same profile field
13. use of Ascent index look up functionality to complete profile based on "look-up" tables
14. use of Ascent workflow designed for efficient conversion and profiling of paper and electronic documents
15. use of Ascent to increase quality control capabilities

The contractor shall submit a formal report to the NRC Task Manager that includes its recommendations, implementation costs, and production level impact, including estimated reduction in costs for each recommendation.

Task 17 - Deliverables		
Task Area	Deliverable	Delivery Requirement
17.0	Final Implementation Plan	TBD
17.0	Updated Implementation Plan	2 work days after change to Plan
17.0	Acceptance Test Plan	TBD
17.1.1.1	Upgrade Existing Bitonal Scanners	TBD
17.1.1.1	System Documentation	TBD
17.1.1.1	Update DPC SOP	TBD
17.1.1.2	Upgrade Color Scanning Capability	TBD
17.1.1.2	System Documentation	TBD
17.1.1.2	Update DPC SOP	TBD
17.1.1.3	Implement Server-Based Conversion Software Package Using KOFAX Ascent 5.0 Server	TBD
17.1.1.3	System Documentation	TBD
17.1.1.3	Update DPC SOP	TBD
17.1.1.4	Document Processing Center (DPC): Upgrade to a more robust OCR package capable of processing bitonal and color files and outputting in Optimized PDF with hidden text format	TBD
17.1.1.4	System Documentation	TBD
17.1.1.4	NRC Regional Offices: – Outputting in Optimized PDF with hidden text format – System Documentation – User Guide/Procedures	TBD TBD TBD
17.1.2.1	Spell Checker Application	TBD
17.1.2.1	System Documentation/Guide	TBD
17.1.2.1	Update DPC SOP	TBD
17.1.2.2	Document Tracking System	TBD
17.2.2.2	System Documentation	TBD
17.2.2.2	Update DPC SOP	TBD

Task 17 - Deliverables (continued)		
Task Area	Deliverable	Delivery Requirement
17.1.2.3	Error Tracking and Reporting System	TBD
17.1.2.3	System Documentation	TBD
17.1.2.3	Update DPC SOP	TBD
17.1.2.4	E-RIDS Code System	TBD
17.1.2.4	System Documentation	TBD
17.1.2.4	Update DPC SOP	TBD
17.1.3	Ascent Study	TBD

D. Special Order Requirements

1. Reporting Requirements

The contractor shall maintain an accurate account of all expenditures, direct labor hours, direct labor hours per activity, other direct (non labor) charges, indirect costs, and all resources expended or projected. These records shall be maintained in a systematic manner that allows accurate prediction of future efforts and costs, and shall be available for NRC inspection without prior notice.

In addition to the deliverables required under this order, the contractor shall submit a Daily Production Indicators Report and Monthly Status Report.

Daily Production Indicators Report

The contractor shall provide a Daily Production Indicators Report to the NRC Project Officer and other designated NRC staff (see Attachment 1 Contract Deliverables) that gives a full accounting of document handling and processing statistics for each previous day's task. Document handling and processing statistics for Task 9 - File Documents/Packages In The ADAMS File Plan and Task 10 - ADAMS Document Retrofit shall be reported separately from other processing tasks.

Daily Production Indicators Report shall include but not be limited to:

- number of documents received daily by processing priority (normal or expedited);

- number of documents processed daily;

- number of accession numbers created daily;

- number of images generated daily;

- number of publicly available documents replicated to public server;

- number of documents filed electronically daily;

- and a list of rejected documents and the cause for rejection.

Monthly Status Report

The contractor shall provide a Monthly Status Report to the NRC Project Officer, Contracting Officer, and other designated NRC staff (see Attachment 1), by the 15th of each month. The report shall provide a summary of the work performed under each task, including appropriate statistics, for the previous month.

The information provided in the report shall include but not be limited to:

identification of the BPA number, order number, and task;

the period covered by the report

a summary of work performed during the reporting period for each task, including appropriate statistics and plans for the next reporting period;

a discussion of project plans, hardware problems, current operational problems, and the proposed corrective action, and analysis of the impact on other tasks within the scope of the SOW;

a prospective listing of project deliverables and their schedule;

results from Quality Assurance sampling of data elements

and a status of expenditures under the order for the reporting period, cumulative expenditures to date, funds obligated to date, and balance of funds required to complete the order.

The contractor shall provide on a monthly basis and as part of the Monthly Status Report, a section that includes the same information categories required in the Daily Production Indicators Report summarized as a monthly snapshot.

2. Delivery Order and Project Orientation

The Government will provide a Delivery Order Orientation for Contractor personnel at NRC Headquarters offices.

3. Meetings and Travel

The Contractor may be required to travel to any of the NRC sites identified in Section C of this Delivery Order. The contractor must receive prior approval from the NRC Delivery Order Manager for all travel. No foreign travel is expected or required during the duration of this Delivery Order.

4. Security

- a. Security/Classification Requirements Form. The attached NRC Form 187 (See Attachments) furnishes the basis for providing security and classification requirements to prime contractors, subcontractors, or others (e.g., bidders) who have or may have an NRC contractual relationship that requires access to classified information or matter, access on a continuing basis (in excess of 30 or more days) to NRC Headquarters controlled buildings, or otherwise requires NRC photo identification or card-key badges.
- b. It is the contractor's duty to safeguard National Security Information, Restricted Data, and Formerly Restricted Data. The contractor shall, in accordance with the

Commission's security regulations and requirements, be responsible for safeguarding National Security Information, Restricted Data, and Formerly Restricted Data, and for protecting against sabotage, espionage, loss, and theft, the classified documents and material in the contractor's possession in connection with the performance of work under this contract. Except as otherwise expressly provided in this contract, the contractor shall, upon completion or termination of this contract, transmit to the Commission any classified matter in the possession of the contractor or any person under the contractor's control in connection with performance of this contract. If retention by the contractor of any classified matter is required after the completion or termination of the delivery order and the retention is approved by the contracting officer, the contractor shall complete a certificate of possession to be furnished to the Commission specifying the classified matter to be retained. The certification must identify the items and types or categories of matter retained, the conditions governing the retention of the matter and their period of retention, if known. If the retention is approved by the contracting officer, the security provisions of the delivery order continue to be applicable to the matter retained.

- c. In connection with the performance of the work under this contract, the contractor may be furnished, or may develop or acquire, proprietary data (trade secrets) or confidential or privileged technical, business, or financial information, including Commission plans, policies, reports, financial plans, internal data protected by the Privacy Act of 1974 (Pub. L. 93-579), or other information which has not been released to the public or has been determined by the Commission to be otherwise exempt from disclosure to the public. The contractor agrees to hold the information in confidence and not to directly or indirectly duplicate, disseminate, or disclose the information in whole or in part to any other person or organization except as may be necessary to perform the work under this contract. The contractor agrees to return the information to the Commission or otherwise dispose of it at the direction of the contracting officer. Failure to comply with this clause is grounds for termination of this contract.
- d. Regulations. The contractor agrees to conform to all security regulations and requirements of the Commission which are subject to change as directed by the NRC Division of Facilities and Security and the Contracting Officer. These changes will be under the authority of the FAR Changes clause referenced in this document.
- e. Definition of National Security Information. The term National Security Information, as used in this clause, means information that has been determined pursuant to Executive Order 12958 or any predecessor order to require protection against unauthorized disclosure and that is so designated.
- f. Definition of Restricted Data. The term Restricted Data, as used in this clause, means all data concerning design, manufacture, or utilization of atomic weapons; the production of special nuclear material; or the use of special nuclear material in the production of energy, but does not include data declassified or removed from the Restricted Data category pursuant to Section 142 of the Atomic Energy Act of 1954, as amended.

- g. **Definition of Formerly Restricted Data.** The term Formerly Restricted Data, as used in this clause, means all data removed from the Restricted Data category under Section 142-d of the Atomic Energy Act of 1954, as amended.
- h. **Security Clearance Personnel.** The contractor may not permit any individual to have access to Restricted Data, Formerly Restricted Data, or other classified information, except in accordance with the Atomic Energy Act of 1954, as amended, and the Commission's regulations or requirements applicable to the particular type or category of classified information to which access is required. The contractor shall also execute a Standard Form 312, Classified Information Nondisclosure Agreement, when access to classified information is required.
- i. **Criminal Liabilities.** It is understood that disclosure of National Security Information, Restricted Data, and Formerly Restricted Data relating to the work or services ordered hereunder to any person not entitled to receive it, or failure to safeguard any Restricted Data, Formerly Restricted Data, or any other classified matter that may come to the contractor or any person under the contractor's control in connection with work under this contract, may subject the contractor, its agents, employees, or subcontractors to criminal liability under the laws of the United States. (See the Atomic Energy Act of 1954, as amended, 42 U.S.C. 2011 et seq.; 18 U.S.C. 793 and 794; and Executive Order 12958.)
- j. **Subcontracts and Purchase Orders.** Except as otherwise authorized in writing by the contracting officer, the contractor shall insert provisions similar to the foregoing in all subcontracts and purchase orders under this contract.
- k. **In performing the delivery order work,** the contractor shall classify all documents, material, and equipment originated or generated by the contractor in accordance with guidance issued by the Commission. Every subcontract and purchase order issued hereunder involving the origination or generation of classified documents, material, and equipment must provide that the subcontractor or supplier assign classification to all documents, material, and equipment in accordance with guidance furnished by the contractor.
- l. **Site Access Badge Requirements.** During the life of this contract, the rights of ingress and egress for contractor personnel must be made available, as required, provided that a badge is issued after favorable adjudication from the Personnel Security Branch, Division of Facilities and Security (PERSEC/DFS). In this regard, all contractor personnel whose duties under this delivery order require their presence on-site shall be clearly identifiable by a distinctive badge furnished by the Government. The Project Officer shall assist the contractor in obtaining the badges for the contractor personnel. It is the sole responsibility of the contractor to ensure that each employee has a proper Government-issued identification/badge at all times. All prescribed identification must be immediately (no later than three days) delivered to PERSEC/DFS for cancellation or disposition upon the termination of employment of any contractor personnel. Contractor personnel must have this identification in their possession during on-site performance under this contract. It is the contractor's duty to assure that contractor personnel enter only those work areas necessary for performance of delivery order work, and to assure the

safeguarding of any Government records or data that contractor personnel may come into contact with.

- m. **Security Requirements for Information Technology Services.** The proposer/contractor must identify all individuals and propose the level of Information Technology (IT) approval for each, using the following guidance. The NRC sponsoring office shall make the final determination of the level, if any, of IT approval required for all individuals working under this contract.

The Government shall have and exercise full and complete control over granting, denying, withholding, or terminating building access approvals for individuals performing work under this contract.

Contractor Security Requirements for Level I

Performance under this delivery order will involve prime contractor personnel, subcontractors or others who perform services requiring direct access to or operate agency sensitive information technology systems or data (IT Level I).

The IT Level I involves responsibility for the planning, direction, and implementation of a computer security program; major responsibility for the direction, planning, and design of a computer system, including hardware and software; or the capability to access a computer system during its operation or maintenance in such a way that could cause or that has a relatively high risk of causing grave damage; or the capability to realize a significant personal gain from computer access. Such contractor personnel shall be subject to the NRC contractor personnel security requirements of NRC Management Directive (MD) 12.3, Part I and will require a favorably adjudicated Limited Background Investigation (LBI).

A contractor employee shall not have access to NRC facilities, sensitive information technology systems or data until he/she is approved by Personnel Security Branch, Division of Facilities and Security (PERSEC/DFS) first for temporary access (based on a favorable adjudication of their security forms and checks) and final access (based on a favorably adjudicated LBI) in accordance with the procedures found in NRC MD 12.3, Part I. The individual will be subject to a reinvestigation every 10 years. Timely receipt of properly completed security applications is a delivery order requirement. Failure of the contractor to comply with this condition within the ten work-day period may be a basis to void the notice of selection. In that event, the Government may select another firm for award.

The contractor shall submit a completed security forms packet, including the SF-86, "Questionnaire for National Security Positions," and fingerprint charts, through the Project Officer to PERSEC/ DFS for review and favorable adjudication, prior to the individual performing work under this contract. The contractor shall assure that all forms are accurate, complete, and legible (except for Part 2 of the questionnaire, which is required to be completed in private and submitted by the individual to the contractor in a sealed envelope), as set forth in MD 12.3 which is incorporated into this delivery order by reference as though fully set forth herein. Based on PERSEC review of the applicant's security forms and/or the receipt of adverse information by NRC, the individual may be denied access to NRC facilities, sensitive information technology systems or data until a final determination is made of his/her eligibility under the provisions of MD 12.3. Any questions regarding the individual's eligibility for IT Level I approval will be resolved in accordance with the due process procedures set forth in MD 12.3 Exhibit 1 and E. O. 12968.

In accordance with NRCAR 2052.204-70 "Security," IT Level I contractors shall be subject to the attached NRC Form 187 which furnishes the basis for providing security requirements to prime contractors, subcontractors or others (e.g., bidders) who have or may have an NRC contractual relationship which requires access to or operation of agency sensitive information technology systems or remote development and/or analysis of sensitive information technology systems and data or other access to such systems and data; access on a continuing basis (in excess of 30 days) to NRC Headquarters controlled buildings; or otherwise requires NRC photo identification or card-key badges.

Contractor Security Requirements for Level II

Performance under this delivery order will involve contractor personnel that develop and/or analyze sensitive information technology systems or data or otherwise have access to such systems and data (IT Level II).

The IT Level II involves responsibility for the planning, design, operation, or maintenance of a computer system and all other computer or IT positions. Such contractor personnel shall be subject to the NRC contractor personnel requirements of MD 12.3, Part I, which is hereby incorporated by reference and made a part of this delivery order as though fully set forth herein, and will require a favorably adjudicated Access National Agency Check with Inquiries (ANACI).

A contractor employee shall not have access to NRC facilities, sensitive information technology systems or data until he/she is approved by PERSEC/DFS first for temporary access (based on a favorable review of their security forms and checks) and final access (based on a favorably adjudicated ANACI) in accordance with the procedures found in MD 12.3, Part I. The individual will be subject to a reinvestigation every 10 years. Timely receipt of properly completed security applications is a delivery order requirement. Failure of the contractor to comply with this condition within the ten work-day period may be a basis to void the notice of selection. In that event, the Government may select another firm for award.

The contractor shall submit a completed security forms packet, including the SF-86,

"Questionnaire for National Security Positions," and fingerprint charts, through the Project Officer to the NRC PERSEC/DFS for review and favorable adjudication, prior to the individual performing work under this contract. The contractor shall assure that all forms are accurate, complete, and legible (except for Part 2 of the questionnaire, which is required to be completed in private and submitted by the individual to the contractor in a sealed envelope), as set forth in MD 12.3. Based on PERSEC review of the applicant's security forms and/or the receipt of adverse information by NRC, the individual may be denied access to NRC facilities, sensitive information technology systems or data until a final determination is made of his/her eligibility under the provisions of MD 12.3. Any questions regarding the individual's eligibility for IT Level II approval will be resolved in accordance with the due process procedures set forth in MD 12.3 Exhibit 1 and E. O. 12968.

In accordance with NRCAR 2052.204-70 "Security," IT Level II contractors shall be subject to the attached NRC Form 187 which furnishes the basis for providing security requirements to prime contractors, subcontractors or others (e.g. bidders) who have or may have an NRC contractual relationship which requires access to or operation of agency sensitive information technology systems or remote development and/or analysis of sensitive information technology systems and data or other access to such systems and data; access on a continuing basis (in excess of 30 days) to NRC Headquarters controlled buildings; or otherwise requires NRC photo identification or card-key badges.

- n. Cancellation or Termination of IT Access/Request. When a request for investigation is to be withdrawn or canceled, the contractor shall immediately notify the Project Officer by telephone in order that he/she will contact the PERSEC/DFS so that the investigation may be promptly discontinued. The notification shall contain the full name of the individual, and the date of the request. Telephone notifications must be promptly confirmed in writing to the Project Officer who will forward the confirmation to the PERSEC/DFS. Additionally, PERSEC/DFS must be immediately notified when an individual no longer requires access to NRC sensitive automated information technology systems or data, including the voluntary or involuntary separation of employment of an individual who has been approved for or is being processed for access under the NRC Personnel Security Program.

5. Billing Instructions for Delivery Order No. 1

General: The contractor shall prepare vouchers or invoices as prescribed herein. FAILURE TO SUBMIT VOUCHERS/INVOICES IN ACCORDANCE WITH THESE INSTRUCTIONS WILL RESULT IN REJECTION OF THE VOUCHER/INVOICES AS IMPROPER.

Form: Claims shall be submitted on the payee's letterhead, voucher/invoices, or on the Government's Standard Form 1034, "Public Voucher for Purchases and Services Other than Personal," and Standard Form 1035, "Public Voucher for Purchases Other than Personal--Continuation Sheet." These forms are available from the U.S. Government Printing Office, 710 North Capitol Street, Washington, DC 20401.

Number of Copies: An original and three copies shall be submitted. Failure to submit all the required copies will result in rejection of the voucher/invoice as improper.

Designated Agency Billing Office: Vouchers/Invoices shall be submitted to the following address:

U.S. Nuclear Regulatory Commission
Division of Contracts and Property Management - T-7-I-2
Washington, DC 20555-0001

A copy of any invoice which includes a purchase of property valued at the time of purchase at \$5,000 or more, shall additionally be sent to:

Chief, Property Management Branch
Division of Facilities and Property Management
Mail Stop - T-7-D-27
Washington, DC 20555-0001

HAND-DELIVERY OF VOUCHERS/INVOICES IS DISCOURAGED AND WILL NOT EXPEDITE PROCESSING BY THE NRC. However, should you choose to deliver vouchers/invoices by hand, including delivery by any express mail service or special delivery service which uses a courier or other person to deliver the vouchers/invoices in person to the NRC, such vouchers/invoices must be addressed to the above Designated Agency Billing Office and will only be accepted at the following location:

U.S. Nuclear Regulatory Commission
One White Flint North - Mail Room
11555 Rockville Pike
Rockville, MD 20852

HAND-CARRIED SUBMISSIONS WILL NOT BE ACCEPTED AT OTHER THAN THE ABOVE ADDRESS

Note that the official receipt date for hand-delivered vouchers/invoices will be the date it is received by the official agency billing office in the Division of Contracts.

Agency Payment Office:

U.S. Nuclear Regulatory Commission
Division of Accounting and Finance GOV/COMM
Mail Stop T-9H4
Washington, DC 20555

Frequency: The contractor shall submit a voucher or invoice monthly only after the NRC's acceptance of services rendered or products delivered in performance of the delivery order unless otherwise specified in the contract.

Preparation and Itemization of the Voucher/Invoice: To be considered a proper voucher/invoice, all of the following elements must be included:

1. BPA/Contract number and delivery order number.
2. Sequential voucher/invoice number.

3. Date of voucher/invoice.
4. Payee's name and address. (Show the name of the contractor and its correct address. In addition, when an assignment of funds has been made by the contractor, or a different payee has been designated, include the name and address of the payee). Indicate the name and telephone number of the individual responsible for answering questions which the NRC may have regarding the voucher/invoice.
5. Description of articles or services, quantity, unit price, total amount, and cumulative amount.

For labor-hour delivery orders with a ceiling, provide a breakdown by task of labor hours by labor category, hours, fixed rate, current period dollars, and cumulative hours and dollars billed to date as authorized under the delivery order. For example:

<u>Category</u>	<u>Current Hours</u>	<u>Fixed Rate</u>	<u>Current Total Billed</u>	<u>Cumulative Hours</u>	<u>Cumulative Total Billed</u>
Sr. Scientist	100	35.00	\$3,500.	500	\$17,500.
Engineer	100	25.00	2,500.	100	2,500.
Total			\$6,000.		\$20,000.

Invoices for the DPC order shall be broken down by task. You must also provide a consolidated summary (cover sheet) of the total amount billed inclusive of all tasks. The summary must contain the cumulative amount invoiced to date.

6. For contractor acquired property list each item purchased costing \$50,000 or more and having a life expectancy of more than 1 year and provide: (1) an item description, (2) manufacturer, (3) model number, (4) serial number, (5) acquisition cost, (6) date of purchase, and (7) a copy of the purchasing document.
7. Weight and zone of shipment, if shipped by parcel post.
8. Charges for freight or express shipments. Attach prepaid bill if shipped by freight or express.
9. Instructions to consignee to notify the Contracting Officer of receipt of shipment.
10. Travel Reimbursement (if applicable)

The contractor shall submit claims for travel reimbursement as a separate item on its fixed-price invoice/voucher in accordance with the following:

Travel reimbursement. Total costs associated with each trip must be shown in the following format:

<u>Start Date</u>	<u>Destination</u>	<u>Costs</u>
From:	From:	

To: To: \$

Provide supporting documentation (receipts) for travel expenditures in excess of \$75.00 in an attachment to the invoice/voucher.

Billing of Cost After Expiration of Order: If costs are incurred during the delivery order period and claimed after the order has expired, the period during which these costs were incurred must be cited. To be considered a proper expiration voucher/invoice, the contractor shall clearly mark it "EXPIRATION VOUCHER" or "EXPIRATION INVOICE."

Currency: Billings may be expressed in the currency normally used by the contractor in maintaining his accounting records and payments will be made in that currency. However, the U.S. dollar equivalent for all vouchers/invoices paid under the order may not exceed the total U.S. dollars authorized under the order.

Supersession: These instructions supersede any previous billing instructions.

6. Customer Satisfaction Requirements

The Contractor is required to perform the effort described in this statement of work in a manner that is satisfactory to the NRC and that will ensure program success. The Performance Evaluation Plan attached to the SOW identifies the areas in which performance is critical to the success of this effort and the satisfaction of the NRC as a client, and indicates the manner in which performance will be rated.

Customer satisfaction under this order will be assessed by the NRC Project Officer on a quarterly basis as it relates to each of the areas in the Performance Evaluation Plan. The NRC PO will complete the Performance Evaluation Report to provide a rating recommendation to the CO (with a copy to the Contractor) for action. A deduction of 1 percent of the total quarterly order billing will be taken for each rating of "unsatisfactory" on the Performance Evaluation Report for up to a total deduction of 9 percent. The Contractor shall address ratings of "poor" and "unsatisfactory" in writing within 30 days of receiving a copy of the report and describe the means for improvement in any area receiving these ratings. Customer satisfaction in relation to all critical areas shall be discussed at each monthly status meeting.

7. Project Officer

The Contracting Officer's authorized technical representative hereinafter referred to as the project officer for this order is:

Name: Keith Shaw

Address: U.S. Nuclear Regulatory Commission
Mailstop O3H5
Washington, DC 20555

Telephone Number: (301) 415-3801

- a. Performance of the work under this order is subject to the technical direction of the NRC project officer. The term "technical direction" is defined to include the following:
 - 1. Technical direction to the contractor which shifts work emphasis between areas of work or tasks, authorizes travel which was unanticipated in the Schedule (i.e., travel not contemplated in the Statement of Work or changes to specific travel identified in the Statement of Work), fills in details, or otherwise serves to accomplish the contractual statement of work.
 - 2. Provide advice and guidance to the contractor in the preparation of drawings, specifications, or technical portions of the work description.
 - 3. Review and, where required by the order, approval of technical reports, drawings, specifications, and technical information to be delivered by the contractor to the Government under the order.
- b. Technical direction must be within the general statement of work stated in the order. The project officer does not have the authority to and may not issue any technical direction which:
 - 1. Constitutes an assignment of work outside the general scope of the order or associated BPA.
 - 2. Constitutes a change as defined in the "Changes" clause of the GSA contract.
 - 3. In any way causes an increase or decrease in the total fixed price or the time required for performance of any orders.
 - 4. Changes any of the expressed terms, conditions, or specifications of the order or associated BPA.
 - 5. Terminates the order, settles any claim or dispute arising under the order, or issues any unilateral directive whatever.
- c. All technical directions must be issued in writing by the project officer or must be confirmed by the project officer in writing within ten (10) working days after verbal issuance. A copy of the written direction must be furnished to the CO. A copy of NRC Form 445, Request for Approval of Official Foreign Travel, which has received final approval from the NRC must be furnished to the CO.
- d. The contractor shall proceed promptly with the performance of technical directions duly issued by the project officer in the manner prescribed by this clause and within the project officer's authority under the provisions of this clause.
- e. If, in the opinion of the contractor, any instruction or direction issued by the project officer is within one of the categories as defined in paragraph (c) of this section, the contractor may not proceed but shall notify the CO in writing within five (5) working days after the receipt of any instruction or direction and shall request the CO to modify the order or associated BPA accordingly. Upon receiving the notification from the

contractor, the CO shall issue an appropriate modification or advise the contractor in writing that, in the CO's opinion, the technical direction is within the scope of this article and does not constitute a change under the "Changes" clause.

- f. Any unauthorized commitment or direction issued by the project officer may result in an unnecessary delay in the contractor's performance and may even result in the contractor expending funds for unallowable costs under the order or associated BPA.
- g. A failure of the parties to agree upon the nature of the instruction or direction or upon the contract action to be taken with respect thereto is subject to 52.233-1 - Disputes.
- h. In addition to providing technical direction as defined in paragraph (b) of the section, the project officer shall:
 - 1. Monitor the contractor's technical progress, including surveillance and assessment of performance, and recommend to the CO changes in requirements.
 - 2. Assist the contractor in the resolution of technical problems encountered during performance.
 - 3. Review all costs requested for reimbursement by the contractor and submit to the CO recommendations for approval, disapproval, or suspension of payment for supplies and services required under orders.
 - 4. Assist the contractor in obtaining the badges for the contractor personnel.
 - 5. Immediately notify the Personnel Security Branch, Division of Facilities and Security (PERSEC/DFS) (via e-mail) when a contractor employee no longer requires access authorization and return the individual's badge to PERSEC/DFS within three days after their termination.

8. Period of Performance

This order shall be effective from August 6, 2001, through September 5, 2003.

9. Consideration and Obligation

The total estimated amount (ceiling) of this order is \$6,255,120.69 (inclusive of Phase III under Task 17).

In the event that the option to extend services to include Optional Phase III under Task 17 is exercised, the total estimated amount for Optional Phase III is \$81,968.00.

The amount presently obligated with respect to this order is \$4,566,510.08. The Contracting Officer may increase this amount from time to time by unilateral modification to the order. The obligated amount shall, at no time, exceed the order ceiling. When and if the amount(s) paid and payable to the Contractor hereunder shall equal the obligated amount, the Contractor shall not be obligated to continue performance of the work unless and until the Contracting Officer shall increase the amount obligated. Any work undertaken

by the Contractor in excess of the obligated amount specified above is done so at the Contractor's sole risk.

It is estimated that the amount currently allotted will cover performance of the effort through January 30, 2003.

10. **FAR 52.232-7, "Payments under Time-and-Material and Labor-Hour Contracts"**

FAR 52.232-7 is applicable and hereby incorporated into this order.

Attachments:

1. Deliverables
2. NRC Form 187
3. Performance Evaluation Plan

Attachment 1**Contract Deliverables
Order No. 1**

Deliverable	Delivery Requirement	Delivery Point and Copy Requirements
Updated ADAMS Document Processing Center Standard Operating Procedures	Six (6) Months After Order Start Date	NRC Project Officer: 2 copies Contracting Officer: 1 copy
Changes to ADAMS Document Processing Center Standard Operating Procedures	Thirty (30) Days After NRC Project Officer Approves Change	NRC Project Officer: 2 copies
List of Government Furnished Equipment (GFE)	Annually or at NRC Project Officer Direction	NRC Project Officer: 2 copies Contracting Officer: 1 copy
Daily Production Indicators Report	Each Morning by 10:00 am	NRC Project Officer: 2 copies
Monthly Progress Report	15 th of Each Month (for previous month)	NRC Project Officer: 2 copies Contracting Officer: 1 copy
Final Transition Plan	5 Work Days After Order Award	NRC Project Officer: 2 copies Contracting Officer: 1 copy
QA Program Plan	60 Work Days After Order Award	NRC Project Officer: 2 copies

Project Officer: Keith Shaw
U.S. Nuclear Regulatory Commission
Mailstop O3H5
Washington, DC 20555

Technical Monitors: Jimmy Blanton, Technical Monitor
Task 4.11, Task 11 Database Cleanup, Task 4.13,
and Task 13 ADAMS Database Maintenance

John Harris, Technical Monitor
Task 4.9, and Task 9 Filing Official Agency Records in ADAMS.

Contracting Officer: Mark J. Flynn
U.S. Nuclear Regulatory Commission
Mailstop T7I2
Washington, DC 20555