

Colon, Heriberto

From: Colon, Heriberto  
Sent: Wednesday, September 14, 2011 3:53 PM  
To: 'Robert Lindsay'; 'John Esplin'  
Cc: McCoy, Sean  
Subject: RE: REQUEST FOR PROPOSAL NO. ADM-11-414 ENTITLED "FAIMIS ACQUISITION BUSINESS PROCESS IMPROVEMENT (BPI) TOOLS"  
Attachments: ACQ BPI SOW.DOCX

September 14, 2011 ☺ (Correction)

Centeva LLC  
ATTN: Jan Quan-Esplin/Robert Lindsay  
1505 Misty Fen Way  
West Jordan, UT 84088-6588

SUBJECT: REQUEST FOR PROPOSAL (RFP) NO. ADM-11-414 (Correction) ENTITLED "FAIMIS ACQUISITION BUSINESS PROCESS (BPI) TOOLS"

Good afternoon Mr. John Quan-Esplin and Robert Lindsay:

A proposal is requested to perform the work described in the attached RFP (RFP to be provided under separate cover/email) and Statement of Work (SOW). The due date for your proposal is **September 23, 2011** (1:00 p.m.) or sooner, if possible, and shall consist of **two parts**: a technical approach and a price/cost proposal. It may be helpful to provide your Price/Cost Schedule in a CLIN format similar to the "FAIMIS Transition Support Services" contract (NRC-10-10-412) to help us follow OMB guidance and reporting requirements. Note that the NRC currently has \$300K in FY2011 funds committed for this procurement, and the remaining CLIN's would be optional. (The above information is advisory and shall not be the only basis for your technical and price/cost proposals).

At a minimum, the technical approach shall substantiate your understanding of the requirements of the work, note any anticipated problem areas or deviations from the Statement of Work, identify key personnel who will perform the work, include resumes of those personnel, and any potential conflict of interest issues. **The following certification must be submitted with your proposal:**

*"I represent, to the best of my knowledge and belief that the award of a contract under **RFP No. ADM-11-414 (Correction)** does / / or does **not** / / involve situations or relationships of the type set forth in **NCAR 2009.570-3(b)**."*

(Refer to: <http://www.nrc.gov/about-nrc/contracting/48cfr-ch20.html>)

**You are also required to identify any current/former NRC employees who have or will be involved**, directly or indirectly, in developing the proposal, or in negotiating on behalf of your firm or in managing, administering or performing any purchase orders, contracts, consultant agreement or subcontract resulting from this proposal (list name, title and date individual left NRC and provide brief description of individual's role under this proposal.) **If there are no current/former NRC employees involved, a negative statement is required.**

The **second part** of your proposal shall be your price quote for the proposed effort. It is requested that your organization submit your price/ proposal by Task for each area of work to be performed as reflected under the Scope of Work and a price/cost breakdown for each Contract Line Item.

**CAUTION:** It is brought to your attention that the Contracting Officer is the only individual who can legally commit the Government to the expenditure of public funds in connection with this proposed procurement. Accordingly, work on this proposed project shall not commence without prior Contracting Officer authorization.

Your proposal shall be sent via email (**Note: The NRC has a 10Megabyte limit per email, and multiple emails may be necessary**). In addition an Original and (3) three hard copies shall be mailed to the U.S. Nuclear Regulatory Commission, ATTN: Mr. Heriberto Colón, Jr., Division of Contracts, Mail Stop: TWB-01-B10M, Washington, D.C. 20555.

Please contact me to hand deliver the proposal to me. Delivery by any express mail services or special delivery person to the NRC, should be addressed as follows:

U.S. Nuclear Regulatory Commission  
Division of Contracts - TWB-01-B10M  
ATTN: Mr. Heriberto Colón, Jr.  
ADM/DC/IMT  
11545 Rockville Pike  
Rockville, Maryland 20852

The proposal shall be signed by an official authorized to bind your organization, and it **shall contain a statement indicating the period of time the proposal is in effect (not less than 60 days)**. I would appreciate if you would e-mail a copy of your organization's proposal to me by the established due date/time and the original of your proposal shall be hand delivered on mailed and received within 24 hours.

If you have any questions regarding this RFP, please contact me.

Sincerely,

*Heriberto (Eddie) Colón, Jr.*

Contracting Officer  
U.S. Nuclear Regulatory Commission  
Division of Contracts  
ADM/DC/IMT  
Contracting Officer  
(301) 492-3620  
(301) 492-3437 (Fax)  
[Heriberto.Colon@nrc.gov](mailto:Heriberto.Colon@nrc.gov)

**Associate Directorate for Strategic Acquisition (ADSA)  
FAIMIS Acquisitions Business Process Improvement Tools  
Statement of Work (SOW)**

1.0 Background

The Nuclear Regulatory Commission's (NRC) Associate Directorate for Strategic Acquisition (ADSA) is currently in the process of implementing a 21<sup>st</sup> century strategic acquisition program. The program will apply government and commercial best practices and result in a streamlined approach to procurement that is fully integrated with financial transactions.

Approximately 40% of the agency's budget supports acquisition-related activities. Yet, there is no single authoritative master data repository that provides comprehensive visibility, transparency, and reporting capability into the agency's spending. Federal mandates for openness, transparency and data quality associated with acquisition have increased, emphasizing the need for readily accessible, accurate data.

A key objective of the strategic acquisition initiative is to modernize and standardize acquisition tools and processes within the agency through the use of a single business solution (ultimately the FAIMIS Acquisition System), concurrent with the implementation of the 21<sup>st</sup> Century Strategic Acquisition methodology. The NRC is in the pilot phase of transforming current "stove-pipe" acquisition processes into a strategic, agency wide procurement program that utilizes enterprise contracting to leverage the agency's buying power, comprehensively and proactively plan for the agency's needs, substantially reduce costs, and the administrative burden associated with procurement.

The NRC's acquisition function is both centralized and decentralized. The Division of Contracts (DC) provides a centralized acquisition office for the NRC commercial acquisition function. It develops and implements agency-wide contracting policies and procedures; directs and coordinates contracting, simplified acquisition, grant and financial assistance activities for NRC, including contractor/grantee selection, negotiation, administration, and closeout; provides advice and assistance to NRC program officials relative to procurement regulations, requirements and methods of meeting program objectives consistent with such requirements. Decentralized acquisition functions are delegated to NRC regional offices for commercial acquisitions less than \$25,000 and GSA schedule orders less than \$100,000. Specific technical program offices have also been delegated acquisition authority related to interagency agreements with other agencies and Department of Energy DOE laboratories. DC also provides oversight for the decentralized functions, and develops and administers overall agency guidance for contracting activities with the DOE laboratories and other agencies.

The Division of Contracts (DC) currently uses Distributed Solutions, Inc.'s commercial-off-the-shelf (COTS), Windows-based software package entitled, the Automated Acquisition Management System (AAMS), for the preparation of pre-award and post-award contractual documents, as well as some Federal and NRC-specific reporting requirements. This COTS software currently resides on the Division of Contracts' LAN server and consists of a logic-based program in which Contract Specialists (CS) provide input through a question and answer or matrix format. The data provided by the CS prompts the program to compile a document that includes all regulatory clauses and

provisions for which the data was entered. AAMS is primarily being used as DC's document generation system.

The NRC currently utilizes a SQL Server 2005 database to house a consolidated universe of commercial and interagency agreement acquisition data. A contractor is currently on-board developing and maintaining the database on a separate contract. This database, known as "CRISP", will be utilized for the work described in this Statement of Work whenever storage and retrieval of acquisition data is required.

## 2.0 NRC Roles and Responsibilities

The work description in this document involves numerous roles. All references to the Acquisitions Business Process Improvement (BPI) Tools contractor shall be indicated as "the Contractor." In cases where another contractor is referenced, the nature of their contract will be indicated, for example the contractor integrating the Acquisition System will be referred to as the "system integrator". In addition, the NRC Project Officer will be referred to as the PO.

## 3.0 Objective

The strategic vision for the agency's 21<sup>st</sup> Century Strategic Acquisition program is to automate and streamline workflows, consolidate functions, reduce interfaces and develop a central repository of budgetary and acquisition data, ensuring alignment among agency stakeholders. While the FAIMIS Acquisition System will ultimately provide an "Agency View" of complete and accurate procurement data, there remains an immediate need to supplement existing capabilities in support of the Agency's acquisition activities. The expected outcome of the work described in this Statement of Work (SOW) is to streamline staff efforts and minimize the risk of errors through increased transparency and visibility into various phases of the acquisition life cycle, reduce overlapping and duplicative data, and reduce redundant and manually-intensive processes.

## 4.0 Scope

The Contractor shall provide the necessary management, personnel, and equipment/supplies to implement the BPI Tools. The Contractor shall provide qualified professionals to support the development, implementation and operations and maintenance of the BPI Tools. These professionals should understand the agency's current BPI technology suite that will be leveraged to develop these enhancements.

The BPI Tools shall be used to 1) support internal and external reporting needs and maximize data integrity, while enabling the NRC to standardize agency procurement practices, prior to and following implementation of the Acquisition System, 2) integrate the new procurement activities and related financial events with an automated, streamlined and efficient processing, management reporting capability which is an essential part of the overall Agency effort to integrate NRC contracting with both budget formulation and execution, and 3) institutionalize agency procurement knowledge to enhance decision making by leveraging the Agency's existing BPI technology suite to develop enhancements in the following functional areas:

1. Customer portal (Section 8.1)
2. Acquisition and financial data reconciliation tool (Section 8.2)
3. Acquisition and financial data reconciliation (Section 8.3)
4. Enterprise reporting – *Optional* (Section 8.4)
5. Requisitioning workflow – *Optional* (Section 8.5)
6. Department of Energy Laboratory agreement (DOE) and interagency agreement (IAA) management – *Optional* (Section 8.6)
7. Document distribution – *Optional* (Section 8.7)
8. Grants Processing- *Optional* (Section 8.8)
9. Funds Utilization – *Optional* (Section 8.9)

These tools shall be developed and implemented prior to the implementation of the agency's new Acquisition System. The tools shall integrate seamlessly with the agency's selected Acquisition System and be implemented agency wide.

#### 5.0 Government Furnished Materials

The NRC is prepared to provide a number of products for the contractor to utilize in order to carry out the tasks listed in this Statement of Work:

- (1) HandySoft BizFlow
- (2) Microsoft Project/Project Professional 2007
- (3) Microsoft Office Suite including Word, Excel, PowerPoint, InfoPath and Visio
- (4) Microsoft SharePoint
- (5) Microsoft SharePoint Designer
- (6) Microsoft SQL Server
- (7) Microsoft BizTalk
- (8) Rational Enterprise Suite (Jazz)

#### 6.0 Period of Performance

The base period of performance is 1 year from the date of award. There are two (2) twelve month option periods with the first beginning after the end of the base period.

#### 7.0 Scope of Work

The Contractor shall provide qualified personnel to fulfill the scope of the requirements which include but are not limited to: developing a customer portal, developing and implementing an enterprise digital requisitioning workflow, developing and deploying enterprise acquisition reporting capability, developing tools to aid in the management of Department of Energy (DOE) Laboratory Agreements and Interagency (IA) Agreements, developing financial and acquisition reconciliation functionality, developing a solution to make use of enterprise tools for acquisition document distribution, developing a solution to manage the creation and submission of grants, and developing a tool to help the agency with funds utilization. The Contractor shall work with NRC's acquisition system integrator to interface the functionality with the acquisition system and provide operations and maintenance (O&M) support for all enhancements. The Contractor shall also provide the NRC with a centralized data repository for all of the data collected through the enhancements, the acquisition system and the agency's core financial system known as the Financial Accounting and Integrated Management Information System (FAIMIS) Core Financial System (CFS).

## 8.0 Tasks

### *8.1 Customer Portal*

The contractor shall provide a “customer portal” that will provide NRC staff a means to: track their acquisitions at all stages of action – advanced procurement through post-award, capture key data elements from the agency’s acquisition and financial systems, and communicate accomplishment of important acquisition milestones. The customer portal shall also serve as a standard location for users to find acquisition materials for all commercial, DOE Lab and interagency agreements. The customer portal shall also provide users with acquisition and financial data in a reconciled state as outlined in 8.2 and 8.3.

The establishment of a customer portal for the purposes of controlling PRs, aiding in the establishment of procurement actions, and proactively communicating acquisition status will be a significant improvement over the existing process. This portal shall allow offices to track their submitted PRs and retrieve specific information and dates associated with their PR(s). The portal shall also allow offices to determine if the PR package that they sent forth is actually actionable – that is: determine whether or not a Contract Specialist can build an award from the submission. Using existing data to determine whether or not a PR can be acted upon, the contractor shall devise a feature within the portal that shall provide feedback on whether or not a PR is actually ready to move forward or not. The portal shall provide a tracking number in addition to subsequent dashboard data that will allow users to easily monitor the status of all PRs without directly contacting personnel in the Division of Contracts (DC), allowing contracting specialists to focus on executing tasks versus answering inquiries from office staff. In addition, the portal shall include a degree of business logic, allowing the tool to assess and report the progress to completion of the PR considering the normal phases of an acquisition lifecycle.

The contractor shall plan, lead and execute tactical work sessions between DC staff and select program office staff. The contractor shall develop detailed requirements for the customer portal including a data set of key requisition attributes to ensure all necessary data is being provided to DC with each new PR. This process will ensure the data required for specific customer reporting is captured. The contractor shall develop and document the process that will be followed to operate the customer portal, document the design of the customer portal, and upon approval by the NRC PO, develop, test, and deploy the customer portal to the production operation environment. The contractor shall develop training materials and train users on all aspects of the Customer Portal. Following deployment of the customer portal, the contractor shall provide operations and maintenance support for the customer portal throughout the period of performance of the contract.

The customer portal shall be constructed via currently-available NRC enterprise technologies including, but not limited to, Microsoft SharePoint, and HandySoft’s BizFlow, and Microsoft SharePoint Designer. Microsoft Sharepoint shall be at the heart of the customer portal so that staff may access it remotely. Other related technologies including, but not limited to, Microsoft InfoPath, Microsoft SQL Server, Microsoft SQL Reporting Server shall be employed at the discretion of both NRC employees and the contractor.

This work shall be done on a Firm-Fixed Price basis.

### *8.2 Financial and Acquisition Data Reconciliation Tool*

The NRC is in the unfortunate position wherein its financial and acquisition data are in two disparate software systems and entered via two disparate processes. Reconciliation is currently a manual and best-effort process. The contractor shall provide deliverables in the form of tool(s) and process improvements with the ultimate goal of achieving providing a reconciled state between financial and acquisition data as it exists at the time of delivery, as well as tools and process improvements to maintain a reconciled status.

Currently, the NRC's financial management system, FAIMIS, contains open, unliquidated financial records dated prior to Fiscal Year (FY) 2011 as well as current fiscal year (FY2011) financial records. The contractor shall provide methods for reconciling all acquisition-related data available within FAIMIS.

The contractor shall be required to use one or more data sources containing acquisition data: (1) the current software system used by the Division of Contracts to manage commercial contracts, grants, and some interagency agreements; (2) a MS SQL database housing recently-collected DOE Laboratory Agreements and Interagency Agreements dating from FY 2008; and (3) the freely-available data from the Federal Procurement Data Set (FPDS-NG).

The contractor shall provide a tool which shall provide mechanisms for automatically and manually matching acquisition records with their applicable financial system records within FAIMIS. The reconciliation shall provide correct information as it exists on executed documents – obligations and expenditures, at the least. Commitment information shall be reconciled when it exists in a usable state between the acquisition and financial systems. The reconciliation shall be done on a per-obligation basis. In the cases that obligations cannot be matched, the contractor shall provide a mechanism that clearly designates such a state, and the reasoning behind it. In addition to basic commitments, obligations and expenditures, the contractor shall provide contract-centric financial data in a format that is easily exportable to the Customer Portal and Funds Utilization deliverables. The contractor shall collect information such as un-exercised options and associated dollar values, un-obligated funding, un-obligated prior-year funding (when available from the financial system), committed carryover, and any other acquisition-centric data points that arise during requirements gathering.

The reconciled data shall be made available, at a minimum, via Microsoft SQL Server as provided by the Federal Government and denoted in Section 5.

This work shall be done on a Firm-Fixed Price basis.

### *8.3 Financial and Acquisition Data Reconciliation*

The contractor shall use the tool developed in 8.2 to perform the reconciliation between the acquisition information and FAIMIS.

The NRC estimates that the current universe of obligations to be reconciled between acquisition systems data and financial systems data at roughly 5500. The contractor

shall provide a price indicative of the level of effort necessary to reconcile obligations using the tool. The contractor shall be paid for work as they have reconciled entire acquisitions, rather than a per-obligation basis. Any acquisitions which are unable to be reconciled in-full shall be reviewed and the contractor shall be compensated appropriately.

This work shall be done on a Firm-Fixed Price basis.

#### *8.4 Enterprise Reporting (Optional)*

ADSA recognizes the need for the agency's program offices to obtain acquisition and financial data for analysis and reporting requirements. Currently many program offices do not have the tools in place to retrieve this information from the agency's current systems.

The contractor shall provide support to ADSA to develop reports to use in validating and verifying the accuracy of system functionality and all data, to include Strategic Acquisition related data, and to address emergent reporting needs throughout the life of the project. The report criteria shall be collected from and made available as needed to the NRC. The reports will be used, on an iterative basis, to formulate, evaluate, and identify issues that may require the NRC's attention. Reports may also be used to meet requirements internal and external to the NRC.

The contractor shall develop a reporting platform that will enable the program offices to obtain acquisition and financial data which currently exists in the agency's acquisition and financial systems. This platform will provide program office staff with a level of visibility into their acquisitions. This visibility is vital for project officers to plan and manage their respective projects. This tool shall include the full acquisition lifecycle including everything from RFP submission to include but not limited to the following:

- Solicitation date
- Award date
- Delivery date
- Effective date
- Renewal Date
- Completion Date

The contractor shall organize and conduct work sessions in conjunction with ADSA to gather all reporting requirements. ADSA views the following reporting areas as bringing value to the organization quickly and effectively:

- RFP progress tracking
- commitments
- acquisition renewals
- invoicing
- spending
- trending

Related to the above reporting requirements is the emergent need for consolidated acquisition reports dedicated to the needs of ADM/ADSA's Strategic Acquisitions (SA)

Spend Analysis. One pain point that the SA team has experienced over the past year is the manual effort associated with the collection and reporting of both commercial and DOE Lab acquisitions.

The contractor shall build out an Extract, Transform, and Load (ETL) tool that will deliver Commercial, DOE Lab, and Interagency Agreement acquisition information in a concise format for ADM/ADSA's Strategic Acquisition initiative. The contractor shall provide the data within Microsoft SQL Server. The ETL shall include unique business intelligence suitable to roll-up acquisition information so that users have a complete history of the acquisition's full lifecycle. Acquisitions shall not be piecemeal or provided on a per-action basis. As an example: modifications to a base award shall be reflected within the base award of the acquisition and not within a separate action.

The NRC expects to procure no more than 20 reports. For each report, the contractor shall provide a requirements document and a design document. Report development shall commence after the NRC has agreed to and signed off on both documents.

Report development and deployment shall be done on a Time and Materials basis. The documentation for each report shall be provided on a firm-fixed price basis. Operations and maintenance support shall be provided on a Time and Materials basis.

#### *8.5 Tailored Requisitioning Workflow (Optional)*

Electronic generation of the agency's RFPA is an important aspect of improving the agency's current request process. In addition to electronic generation of the RFPA, the electronic approval routing of the request is equally as important to agency's goal of 21<sup>st</sup> century strategic acquisition. The NRC is in a position to leverage the existing SharePoint/BizFlow framework in order to develop a workflow solution capable of supporting the majority of the requisition process. The contractor shall develop an electronic workflow process that will support the electronic submission of a requisition to the agency's FAIMIS CFS for the commitment of funds which could then be manually executed by a designated financial manager. The contractor shall utilize the agency's existing SharePoint, BizFlow framework and InfoPath software to develop the standard RFPA form and associated workflow based on the agency's requirements.

The contractor shall integrate the requisitioning workflow with the customer portal as outlined in 8.1. The customer portal shall provide users a way of acquiring goods and services from pre-existing acquisitions – the portal shall be the entry point to using the requisitioning workflow.

The goal of this tool is to quickly and easily develop the electronic RFPA form and to bring the majority of the remaining requisitioning process into a single controlled environment. The NRC expects this tool to provide a complete solution controlling the requisition process and allowing agency managers in both the program offices and DC to know what is being prepared for submission.

This work shall be done on a Firm-Fixed Price basis.

#### *8.6 Department of Energy (DOE) Laboratory Agreement and Interagency Agreement (IAA) Management (Optional)*

NRC is in need of a standard tool for managing DOE Lab Agreements and IAAs.

The contractor shall develop a tool, leveraging the agency's current functionality, which will enable the agency to standardize and manage the DOE lab agreement and IAAs. The tool shall include the ability to, but not be limited to, adding control numbers (unique IDs) to each agreement as one such addition.

The contractor shall be required to engage agency staff, through ADSA, to develop the requirements surrounding the management and tracking of DOE Lab and Interagency Agreements. There are a number of disparate systems developed by program offices, the contractor shall review these systems and their supporting documentation, when available, in order to provide a consolidated look at requirements across both the programmatic desires and AS-IS technical requirements. Once a standard set of requirements are developed, the contractor shall vet the requirements with a select number of Program Office users to ensure that all requirements have been captured. All requirements need to be approved by the ADSA PO prior to development.

This work shall be done on a Firm-Fixed Price basis.

#### *8.7 ADSA Document Distribution (Optional)*

ADSA recognizes the need for another program office tool that will provide immediate value to an organization that will aid in the automation and standardization of the distribution of award documents. This tool will be utilized by program officers, finance officers and Contracting Officer's Technical Representatives (COTRs).

The document distribution system shall provide an automated means of sending documents to the NRC's enterprise document storage system, ADAMS. ADAMS is an NRC-branded IBM FileNet application which provides long-term storage for NRC's important documentation. The contractor shall build an interface from the CRISP database to ADAMS which will programmatically send acquisition documentation as it is created. ADAMS provides standardized, enterprise-ready web services which the contractor shall use to complete this task.

The contractor shall obtain the requirements through working sessions with office staff and discussions with ADSA, develop the functionality, implement the functionality and train users on the functionality. The contractor shall provide flow diagrams and other design tools to ADSA for approval prior to implementation.

This work shall be done on a Firm-Fixed Price basis.

#### *8.8 Grants Processing (Optional)*

##### **Background**

A Grant is a legal instrument for transferring money, property, or services to a recipient to accomplish a public purpose of support or stimulation in which there will be no substantial involvement between the Federal agency and the recipient during performance. Whereas a Cooperative Agreement is a legal instrument for transferring money, property, or services to a recipient to accomplish a public purpose of support or stimulation in which substantial involvement between the Federal agency and the

recipient is anticipated during performance.

### **Current Business Process for Solicitation, Award and Administration of Grants and Cooperative Agreements**

The NRC Grant/Cooperative Agreement Award and Management Process reflects established Federal and NRC policies and regulations and is designed to ensure that grants serve the American public's interest in well-managed grant programs. All NRC Grants and Cooperative Agreements are awarded in accordance with NRC Management Directive 11.6, "Financial Assistance Program". The primary implementing regulations are 42 USC Sec. 2051 and 2 CFR 1.220

The contractor shall build a tool that follows the guidance outlined in the above documents which will follow a process to ensure that:

- grants/cooperative agreements are properly planned;
- the appropriate award instrument (i.e., grant, cooperative agreement, or contract) is selected;
- proper assistance programs are published and updated annually in the Catalogue of Domestic Funding Assistance (CFDA);
- funding announcements are posted on Grants.gov;
- OMB prescribed forms and instructions are used in applying for Federal Awards;
- applicant entities meet eligibility requirements;
- certifications and representations are signed by responsible officials with the authority to ensure recipients' compliance with the pertinent federal requirements;
- competition is open and fair;
- proposed budgets are carefully scrutinized;
- grant/cooperative agreement awards are negotiated and structured to protect the interests of the Government;
- OMB prescribed standards are used to review recipient financial management and administrative systems;
- payments and recipient disbursements meet the OMB standards for fund control and accountability;
- oversight is conducted to ensure recipient compliance with satisfying cost sharing and matching requirements, and accounting for program income;
- prior approvals for budget revision or program plan revisions comply with OMB requirements;
- recipient reports are submitted and reviewed in a timely manner;
- closeout procedures and other procedures for subsequent disallowances and adjustments are accomplished within specified timelines; and,
- conflicts with recipients are constructively resolved.

The current NRC Grant/Cooperative Agreement Award and Management Process is provided in the "As-Is" document. It describes the steps related to the award and management of competitive grant awards. Noncompetitive awards include new awards, extensions, and continuations. The process for managing noncompetitive grant awards differs in that there is no requirement for an announcement, and the technical evaluation process is significantly abbreviated. The other steps in the Grant/Cooperative Agreement Award and Management Process, however, are still required for noncompetitive grant/cooperative agreement awards.

The Catalog of Federal Domestic Assistance (CFDA) is a government-wide compendium of Federal programs, projects, services, and activities that provide assistance or benefits to the American public. It contains financial and non-financial assistance programs administered by departments and establishments of the Federal government. Each program is assigned a unique number by agency and program that follows the program throughout the assistance lifecycle enabling data and funding transparency. The complete CFDA number is a five digit number, XX.XXX, where the first two digits represent the Funding Agency and the second three digits represent the program.

CFDA serves as the authoritative source for all CFDA numbers, and all NRC assistance programs must have a CFDA number. The CFDA number is a required data element in the [FederalReporting.gov](http://FederalReporting.gov), Recipient Reporting Data Model, the [ASAP.gov](http://ASAP.gov) payment system, and the recipient audit report form for A-133.

When the Program Office is contemplating a funding announcement for financial assistance and the office does not have a CFDA, the Division of Contracts (DC) should be involved early in the process to assure that a CFDA number is submitted through [CFDA.gov](http://CFDA.gov) for GSA review. The Agency Coordinator for CFDA is in DC. All current CFDA programs must be reviewed by the Agency annually to be included in the CFDA catalog for the next fiscal year.

Whilst satisfying the regulations listed above, the contractor shall construct a tool which allows users to complete the following actions:

(1) Post Funding Opportunity Announcement (FOA)

The Program Office uses the current Funding Opportunity Announcement (FOA) template maintained by the Division of Contracts (DC). The PO develops the FOA that accurately reflects program goals, requirements, and timetables. The Division of Contracts (DC) reviews and approves the FOAs, coordinating with other offices, as required, to ensure fair and open competition in compliance with laws and regulations, as well as with sound business management practices.

Grant/cooperative agreement applications are solicited from the potential grantees through the FOAs. These announcements describe the programmatic and business management requirements of the grant program. FOAs are published on [Grants.gov](http://Grants.gov).

(2) Review Applications

The Division of Contracts (DC) retrieves applications submitted in response to the FOA from [Grants.gov](http://Grants.gov) after the submission date. DC conducts an initial administrative review to determine that the proposal is complete and complies with the announcement's requirements. All incomplete applications, ineligible, or otherwise non-compliant applications, and applications determined to be non-responsive to funding opportunity announcement requirements will not be reviewed. Proposals that are complete and compliant are peer-reviewed and rated using the evaluation criteria provided in the FOA. Both Federal and non-Federal experts in their fields may be used in this process. The Division of Contracts oversees the review and evaluation of grant applications to ensure outside reviewers and agency personnel comply with management policies and regulations, and with sound business management practices.

The highest ranked applications are those that receive priority consideration for award within available funding. Authorized Program Officials (“selecting officials”) make final award decisions from among those applications receiving a favorable objective review. The selecting official generally recommends funding in rank order unless a proposal is justified to be selected out of rank order based on factors included in the FOA.

The Program Office (PO) initiates a Request for Payment Action (RFPA) and enters funding authorizations in FAIMIS. The PO assembles the application package (RFPA, application, review notes and negotiation recommendations) for all applications selected for funding. The application packages are forwarded to DC, OGC and SBCR for review. The Division of Contracts represents the government in all negotiations with potential grantees. The Program Office may provide information and/or participate in negotiations, in coordination with the Division of Contracts. The negotiation process conducted with the prospective recipient may be minimal or may involve negotiating all aspects of the grant/cooperative award.

### (3) Award Grant/Cooperative Agreement

The award process officially obligates funds for the grant/cooperative agreement. As part of this step, required files (usually an official grant/cooperative agreement file and an institutional file) are created and/or updated for each grant/recipient. Once all administrative and programmatic issues have been resolved, the Division of Contracts prepares and signs the grant/cooperative award, certifying that the award complies with all legal, regulatory, and internal policy requirements.

### (4) Administer Grant/Cooperative Agreement Post-Award

Post-award monitoring of recipient performance by the Division of Contracts includes: tracking receipt of required financial and progress reports; reviewing these reports to identify performance or financial deficiencies; maintaining records of all communications with the recipient, including correspondence and telephone or on-site contact; and, responding to requests for modifications to the grant. The Program Office monitors the technical progress and performance of the recipient through review and analysis of project reports and through on-site reviews.

### (5) Interact with ASAP and Monitor Draw Downs

The ASAP system is a recipient-initiated payment and information system designed to provide a single point of contact for the request and delivery of Federal funds. Award payments are made through electronic funds transfer. The ASAP system allows grant/cooperative agreement recipients to withdraw funding directly from an established ASAP account for each award. ASAP’s payment information system allows Federal agencies, payment requestors, and recipient organizations to make inquiries and request reports on the status of project accounts. DC issues notifications via email directly to the proposing institutions’ authorizing officials. NRC uses the Automated Standard Application for Payments (ASAP) for grantee payments of project costs. DC works with grantees to assure that the institution has linked their banking information with the NRC Agency Location Code in ASAP, and that funds are certified in the ASAP project account after the award is issued.

### (6) Close Out Grant/Cooperative Agreement

Closeout involves reviewing expiring grants to ensure all requirements are met, obtaining certification from the Program Office that programmatic objectives have been met, resolving any known business management issues and ensuring that the grant file is complete. The Division of Contracts takes the lead in conducting final business review of completed grants/cooperative agreement; ensures final reports are submitted and approved; makes adjustments, disallowances or other action as appropriate; and officially closes the grant/cooperative agreement. The Program Office ensures and documents that programmatic objectives are met, provides additional information and consultation to the Division of Contracts as required, and takes necessary action when requested.

Key outputs and other tools utilized as part of the current NRC Grant/Cooperative Agreement Award and Management Process are provided as supporting documentation.

The contractor shall build the tool to interface with the following government services:

- **Grants.Gov:** All FOAs must be posted by Federal agencies on Grants.gov. Grantees are required to submit applications via Grants.gov.
- **ASAP:** The ASAP system allows grant recipients to withdraw funding directly from an established ASAP account for each award once approval for the funding is given and the recipient has enrolled in ASAP.
- **USASpending.Gov:** The Federal Funding Accountability and Transparency Act of 2006 (Transparency Act) requires a single searchable website, accessible by the public for free that includes required information for each Federal award. USASpending.gov, provides this information to the public, as collected from federal agencies. The data is largely from sources: the Federal Procurement Data System, which contains information about federal contracts; and the Federal Assistance Award Data System, and the Federal Funding Accountability and Transparency Act (FFATA), <http://www.ffata.org/ffata/>, which contains information about federal financial assistance such as grants. The Grants and Other Assistance section of USASpending.gov allows users to search for spending on the following Federal Assistance categories: grants, insurance, direct payments, and other. The assistance database is compiled from agency-provided data. Note: Grants data is currently pulled from AAMS and sent to USASpending. FAIMIS must support existing and future services that automate the process of data delivery to USASpending.gov. These services include but are not limited to web services, filedrops, and formatted data files meeting specific USASpending.gov specifications.

The contractor's tool shall meet the following minimum reporting requirements:

A critical aspect of grant/cooperative agreement management is an interactive electronic recipient reporting system that allows authorized recipients to enter expenditures on a quarterly basis in fields correlated with the SF-425, Federal Financial Report. This information is compared with data in FAIMIS and ASAP.gov to provide timely and accurate information related to the spending of grant/cooperative agreement funds, and assure data quality for quarterly reconciliation reports.

The contractor's tool shall comply with reporting and other requirements as required in the following: OMB Memorandum M-09-25, "Improving Government Acquisition",

OMB Memorandum M-09-26, "Managing the Multi-Sector Workforce", implementation of E-Government, American Recovery and Reinvestment Act of 2009 (ARRA), and OMB Open Government Directive M-10-06 (including OMB Memorandum: Open Government Directive – Federal Spending Transparency).

This work shall be done on a Firm-Fixed Price basis.

### *8.9 Funds Utilization (Optional)*

ADSA recognizes the need for another program office tool that will provide immediate value to an organization that will aid in the automation and standardization of funds utilization activities. This tool will be utilized by project managers, finance staff, and COTRs. The data and outputs from the Funds Utilization module shall be made accessible and available to program office staff up to the executive level.

The contractor shall create a system which will allow the tracking of program office budgetary allocation usage by aligning it with planning and formulation through expenditure. The contractor shall build the funds utilization module so that program offices may use current-year data to build out budgetary plans for future funds utilization. The contractor shall obtain the requirements through working sessions with office staff and discussions with ADSA, develop the functionality, implement the functionality and train users on the functionality. The contractor shall provide flow diagrams and other design tools to ADSA for approval prior to implementation.

The funds utilization module shall provide performance metrics for the following key measures: percentage of an office's advanced procurement plans, commitments, obligations, and expenditures achieved as compared with what was submitted for each within the funds utilization plan; percentage of prior-year expenditures and de-obligations achieved as compared with what was submitted for each within the funds utilization plan. Other metrics will likely surface during requirements gathering and the contractor shall build reporting capabilities to capture information for these measures.

This work shall be done on a Time and Materials basis.

This functionality includes, but is not limited to, the following tasks:

1. Gather the requirements
  - a. As-is process flow
  - b. To-be process flow
  - c. Unique functionality requirements
2. Develop the functionality
3. Perform system testing, performance testing and user acceptance testing for the functionality
4. Implement the functionality
5. Train the users
6. Provide operation and maintenance support

## 9.0 Project Management

### *9.1 Performance Requirements*

The deliverables required under this order must conform to the standards contained, or referenced, in this statement of work. All deliverables required under this order must be delivered to the NRC in electronic format (in both Microsoft Word and ADOBE Acrobat Portable Document Format PDF) on 2 CDs or in the Rational ClearCase, if the contractor has access to the NRC Rational ClearCase. Submissions must follow NRC Guidance for Electronic Submissions; see <http://www.nrc.gov/site-help/e-submittals/guide-electronic-subr5.pdf>. At the same time, the contractor shall also provide with each deliverable, any IBM Rational tool or Microsoft files (e.g., Project or Excel), if applicable, to the NRC PO and NRC TOM. The contractor shall deliver draft and final versions of all deliverables required under this order, addressing NRC comments and concerns prior to delivery of the final version of each product.

### *9.2 Project Management*

The Contractor shall be responsible for maintaining the day-to-day operations of each aspect of the project to include, but not limited to, configuration, technical documentation and support, testing, data migration (should there be any required), deployment and training, as well as operation and maintenance support. The NRC Project Management Methodology (PMM) provides guidance for developing and maintaining software application systems and this is the standard for project management. The Contractor shall manage the tasks and deliverables as to not exceed a ten (10) percent variance from baseline in cost or schedule. The Contractor shall provide full-time, on-site project management support for this project. The Contractor shall, at a minimum, complete the project management tasks, and produce the deliverables identified in this SOW.

### *9.3 Project Management Plan*

As part of the Project Management Plan, the contractor shall maintain a detailed Microsoft (MS) Project Plan for the task order, including activities, schedule and cost, and provide to the NRC PO a revised copy whenever the plan is revised, or as requested by the NRC PO. If outside resources are needed to complete the tasks specified, the NRC PO shall obtain those resources and the contractor shall consolidate them into the MS Project Plan. The Project Management Plan shall also address the Project Organization Chart. The contractor shall update the plan within two business days of a revision to the task order schedule, or a change of 15 percent or greater in the duration of a subtask. Where near term NRC task specifications permit, the contractor shall decompose the work breakdown structure, as represented by MS Project tasks, such that no task has a time span greater than 80 hours.

The PMP describes how information such as Work Breakdown Structure (WBS), assumptions and constraints, project deliverables, master schedule and budget summary, organizational structure, and roles and responsibilities which is focused on the hosting implementation and deployment activities. The PMP and project schedule are due within 30 calendar days after task order award. The contractor shall update and redeliver the project schedule on a weekly basis.

### *9.4 Status Reports and Meetings*

Following the kick-off meeting, the contractor shall meet at least twice a month with the NRC PO to discuss the accomplishments during the prior period, any notable variance from anticipated support schedules, and any resource balancing issues. Meetings may be conducted via teleconference or less frequently, as determined by the NRC PO. The contractor shall attend status meetings on a monthly basis or as requested by the NRC TOM to discuss the accomplishments during the prior period, any notable variance from anticipated support schedules, and any resource balancing issues related to the TO. Meetings may be conducted via teleconference or less frequently, as determined by the NRC TOM. The contractor shall provide a monthly billing report for the TO, NRC PO and the NRC CO within 15 days of the end of the reporting period. The contractor shall provide a status report on the 1st and 15th of the month. Each status report will include, at a minimum:

- Updates to the Project Management Plan and schedule (Work Breakdown Structure), listing the reasons for changes, proposed adjustments and justification, cost and schedule impacts.
- Contract number and task order number.
- Period covered by the report.
- Summary of work performed during the reporting period for the task order, including appropriate statistics and plans for the next reporting period.
- Discussion of project plans, problems, and the proposed corrective action, and analysis of the impact on the entire project.
- Status of expenditures under each task order for the reporting period, cumulative expenditures to date, funds obligated to date, and balance of funds required to complete the task order.
- Any project risks and appropriate risk mitigation strategies, especially those which require NRC management action.
- List of any deliverables completed during the prior month as well as deliverables scheduled for completion during the next month and the schedule and cost variances, if any, for those upcoming deliverables.
- Further information on the content of the status and monthly billing reports will be provided during the kick-off meeting.

### *9.5 Configuration Management Plan*

The Contractor shall deliver a **Configuration Management Plan (CMP)**. The CMP must, at a minimum, identify the tools and describe the processes for managing and processing change requests, defects, baselines, functional and technical audits, version control, and requirement traceability matrixes. The CMP should also describe the roles and responsibilities for performing the configuration management activities. NRC staff and/or the NRC IV&V team may perform quality assurance audits. The CMP is due within 30 calendar days after task order award.

### *9.6 Quality Assurance Plan (QAP)*

The Contractor shall deliver a **Quality Assurance Plan (QAP)**. The QAP identifies the QA activities that will be conducted by the contractor. These activities will be integrated with the project plan and schedule. The level of detail contained in the QAP should be consistent with the complexity, size, intended use, program criticality, and cost of failure

of the project effort. The QAP is due no later than 30 calendar days after task order award.

#### *9.7 Deployment Planning*

The Contractor shall deliver a deployment plan no later than sixty (60) days after contract award. The deployment plan initiates the planning activities surrounding the Production Deployment, Testing, Training, and Post Production (e.g., Operational Maintenance). The deployment plan should include those activities that are required to support the Readiness Reviews. The Contractor may choose to deliver separate plans for each of these areas but at a minimum the sections identified in the NRC PMM Deployment Plan must be addressed. The deployment plan shall be updated and redelivered throughout the project from inception to project transition phase as the activities support deployment and training are further refined. As part of the Deployment Plan or as a stand-alone document, Contractor shall deliver a Testing Plan that addresses how the testing called for in the Tasks will be conducted and managed.

#### *9.8 Operations Performance Plan*

The Contractor shall deliver an **Operations Performance Plan** at least 30 days prior to the deployment into Production Stage for Release. The Operations Performance Plan describes how Contractor will monitor all aspects of the service (i.e., operational response times, problem resolution rates, customer satisfaction level, etc.). Contractor will determine additional measures that are critical to the successful performance of the work. The plan will describe the technical approach and manual or automated tool(s) to be used to monitor performance and provide a format for operational reporting. Operational performance metrics will be documented in the Monthly Status Report.

#### *9.9 Monthly O&M Status Report*

The Contractor shall deliver a **Monthly O&M Status Report** on the 5<sup>th</sup> business day of each month which contains information such as current Project Schedule, Deliverables/Milestones Completed During This Period, Deliverables/Milestones Scheduled for Next Period, Risk/Issue Log, and Operational Performance Metrics (identified in Operational Performance Plan).

#### *9.10 Acceptance of Deliverables*

Contract deliverables shall be submitted, reviewed, and accepted according to the following procedure:

- **Format.** The Contractor shall deliver their deliverables in one of the formats: Microsoft Word 2007, Excel 2007, PowerPoint 2007, Access 2007, or Project 2007, electronically. This rule applies even when Deliverables are delivered in a PDF format.
- **Submittal and Initial Review.** Upon written notification by Contractor that a deliverable is completed and available for review and acceptance, the NRC PO will use best efforts to review the deliverable no later than five (5) business days

after the deliverable is presented to the NRC PO, but in no event later than fifteen (15) business days after the deliverable is presented to the NRC PO. Within the applicable period, the NRC PO will direct the appropriate review processes, coordinate any other necessary reviews, and present results to any user committees for approval, as needed. The initial review process will be comprehensive with a view toward identifying all items which must be modified or added to enable a deliverable to be approved.

- **Notification of Acceptance or Rejection.** The NRC PO will provide the Contractor with written feedback/comments on the deliverable. The Contractor shall have five (5) business days to incorporate the comments and resubmit the deliverable for acceptance. The NRC PO will have up to five (5) business days to approve or reject the deliverable. When the deliverable is accepted, the NRC PO will issue Deliverable Acceptance Memo. If NRC PO disapproves a deliverable, NRC PO will notify Contractor in writing of such disapproval, and will specify those items which, if modified or added, will cause the deliverable to be approved.

All deliverables are required to be submitted by the Contractor to the NRC PO by Close of Business (COB) of the due date. NRC defines COB as 4:00PM Eastern Time.

10.0 Deliverables and Schedule

Section	Activity	Schedule
8.1 Firm-Fixed Price	<ul style="list-style-type: none"><li>• Requirements documentation, test scripts, test reports, training materials &amp; FAQs, Operations and Maintenance SLA</li><li>• As-Is and To-Be process documentation</li><li>• System configuration document</li><li>• Customer Portal tool</li></ul>	3-6 months after contract award
8.2 Firm-Fixed Price	<ul style="list-style-type: none"><li>• Requirements documentation, test scripts, test reports, training materials &amp; FAQs, Operations and Maintenance SLA</li><li>• Reconciliation Plan</li><li>• Reconciliation Tool</li></ul>	3-6 months after contract award
8.3 Firm-Fixed Price	<ul style="list-style-type: none"><li>• Reconciliation Process</li><li>• Reconciled acquisitions</li></ul>	3-6 months after contract award for initial reconciliation
8.4 Firm-Fixed Price	<ul style="list-style-type: none"><li>• Requirements documentation, test scripts, test reports, training materials &amp; FAQs, Operations and Maintenance SLA</li><li>• Workflow functional requirements documentation</li><li>• Functional workflow configuration documentation</li><li>• Technical configuration documentation</li></ul>	3-6 months after option exercised

Section	Activity	Schedule
	<ul style="list-style-type: none"> <li>• BizFlow Workflow</li> </ul>	
8.5  Firm-Fixed Price	<ul style="list-style-type: none"> <li>• Requirements documentation, test scripts, test reports, training materials &amp; FAQs, Operations and Maintenance SLA</li> </ul>	3-6 months after option exercised
8.6  Firm-Fixed Price	<ul style="list-style-type: none"> <li>• Requirements documentation</li> <li>• As-Is and To-Be process documentation</li> <li>• System configuration document</li> <li>• DOE Lab / IAA Management Tool</li> <li>• System testing, performance testing and user acceptance testing</li> <li>• Training</li> <li>• Operations &amp; Maintenance</li> </ul>	6-9 months after option exercised
8.7  Firm-Fixed Price	<ul style="list-style-type: none"> <li>• Requirements documentation</li> <li>• As-Is and To-Be process documentation</li> <li>• System configuration document</li> <li>• Document Distribution Tool</li> <li>• System testing, performance testing and user acceptance testing</li> <li>• Training</li> <li>• Operations &amp; Maintenance</li> </ul>	3-6 months after option exercised
8.8  Firm-Fixed Price	<ul style="list-style-type: none"> <li>• Requirements documentation</li> <li>• As-Is and To-Be process documentation</li> <li>• System configuration document</li> <li>• Grants Management</li> <li>• System testing, performance testing and user acceptance testing</li> <li>• Training</li> <li>• Operations &amp; Maintenance</li> </ul>	6-9 months after option exercised
8.9 Funds Utilization  Time & Materials	<ul style="list-style-type: none"> <li>• Requirements documentation</li> <li>• As-Is and To-Be process documentation</li> <li>• System configuration document</li> <li>• Funds Utilization Tool</li> <li>• System testing, performance testing and user acceptance testing</li> <li>• Training</li> <li>• Operations &amp; Maintenance</li> </ul>	3-6 months after option exercised
9.0	<ul style="list-style-type: none"> <li>• Project Management Plan</li> <li>• Project Organization</li> <li>• Microsoft Project Schedule</li> <li>• Quality Assurance Plan</li> <li>• Configuration Management Plan</li> <li>• Test Plan</li> </ul>	30 days after contract award          60 days after

Section	Activity	Schedule
	<ul style="list-style-type: none"> <li>• Deployment Plan</li> <li>• Training Plan</li> <li>• Status Reports</li> </ul>	contract award  Monthly

11.0 Meetings and Travel

The contractor shall travel to NRC Headquarters and other sites in the Washington DC metropolitan (metro) area to work onsite to perform the above work which requires a physical presence at the NRC. Travel to and from the NRC Headquarters and other sites by contractor personnel in the performance of this contract shall not be reimbursed.

The Contractor may be required to travel outside the Washington DC metro area for the performance of this contract. Travel and all related expenses shall be in accordance with this PWS and approved by the NRC Project Officer (PO). Travel costs, if authorized, would be reimbursed in accordance with FAR 31.205-46, Travel costs. Prior to making any travel arrangements, the Contractor shall submit a written request to the NRC Contracting Officer (CO) detailing the purpose of the travel, the traveler's name(s), destination, dates of travel and estimated cost. Then, the Contractor shall obtain written approval from the NRC PO for that travel before making the travel arrangements. The Contractor shall deliver a travel report to the NRC PO no later than three (3) business days after last day of travel. The travel report will document, at minimum, traveler name, purpose of travel, destination, length of travel, summary of activities accomplished and a detailed breakdown of travel costs. Any approved travel to NRC facilities outside the Washington DC metro area for the performance of this contract will be reimbursed for actual expenses incurred per Federal Travel regulations not to exceed \$5,000.

There will be no foreign travel associated with this work.

12.0 NRC Furnished Materials

For contractor personnel performing work at the NRC headquarters site, the NRC will provide up to two (2) basic workstations and administrative software necessary for the contractor to work effectively in NRC's network environment, which includes the IBM Rational Software, BizFlow and WebMaker, SharePoint MS SQL Server, InfoPath, and Visio as necessary.

13.0 Technical Direction

The designated NRC PO and his/her alternate are responsible for providing technical guidance to the performing organization. All work products must be reviewed and approved by the NRC PO or his/her alternate before they are submitted as final deliverables. All technical directions given to the performing organization must be consistent with the work scope and schedule.

14.0 Project Support Contractors

~~OFFICIAL USE ONLY – SENSITIVE INTERNAL INFORMATION~~

The Government may award management, engineering, technical and other professional support service contracts (hereafter referred to as Project Support contractors) for the purpose of supporting ADSA. The types of services that the Government may obtain include, but are not limited to, Project Management support, evaluation, IV&V, and project management support. In the course of performing these services, Project Support contractors may require access to proprietary and other data relating to technical matters (including cost and schedule) concerning this contract to the same degree such access is accorded Government personnel.

Project Support contractors shall agree to not engage in the production of products (including software), to protect proprietary information of the contractor in accordance with FAR 9.505-4, and to otherwise abide by FAR Subpart 9.5, entitled "Organizational Conflicts of Interest."

The contractor shall cooperate with Project Support contractors by engaging in technical discussions with personnel, and permitting personnel of Project Support contractors access to information and data relating to technical matters (including cost and schedule) concerning this contract to the same degree such access is accorded Government personnel. Project Support contractors shall be required to directly execute non-disclosure, non-use agreements with the contractor and subcontractors if so requested by the contractor.