

ORDER FOR SUPPLIES OR SERVICES

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IMPORTANT: Mark all packages and papers with contract and/or order numbers.

BPA NO.

1. DATE OF ORDER SEP 04 2008		2. CONTRACT NO. (If any) GS35F0522J		6. SHIP TO:	
3. ORDER NO. NRC-DR-33-08-301		4. REQUISITION/REFERENCE NO. 33-08-301		a. NAME OF CONSIGNEE U.S. Nuclear Regulatory Commission	
5. ISSUING OFFICE (Address correspondence to) U.S. Nuclear Regulatory Commission Div. of Contracts, CMB3 Attn: Manon Butt, Cont Spc, 301-492-3629 Mail Stop: TWB-01-B10M Washington, DC 20555				b. STREET ADDRESS Kenny Nguyen, OIS/IRSD/ISB Mail Stop T-2-F43 11555 Rockville Pike	
c. CITY Rockville		d. STATE MD		e. ZIP CODE 20852	
7. TO:				f. SHIP VIA	
a. NAME OF CONTRACTOR INFORMATION MANUFACTURING LLC				8. TYPE OF ORDER	
b. COMPANY NAME				<input type="checkbox"/> a. PURCHASE <input checked="" type="checkbox"/> b. DELIVERY	
c. STREET ADDRESS 310 STATE RTE 956				REFERENCE YOUR Please furnish the following on the terms and conditions specified on both sides of this order and on the attached sheet, if any, including delivery as indicated.	
d. CITY ROCKET CENTER		e. STATE WV		f. ZIP CODE 26726-9229	
9. ACCOUNTING AND APPROPRIATION DATA B&R: 810-15-5G1-348 JCN: D1874 BOC: 252A APPN: 31X0200.810 FFS # 10870841C DUNS # 013695486 OBLIGATE \$1,248,000.00				10. REQUISITIONING OFFICE CIO Office of Information Services	

11. BUSINESS CLASSIFICATION (Check appropriate box(es))				12. F.O.B. POINT Destination	
<input type="checkbox"/> a. SMALL	<input checked="" type="checkbox"/> b. OTHER THAN SMALL	<input type="checkbox"/> c. DISADVANTAGED	<input type="checkbox"/> g. SERVICE-DISABLED VETERAN-OWNED		
<input type="checkbox"/> d. WOMEN-OWNED	<input type="checkbox"/> e. HUBZone	<input type="checkbox"/> f. EMERGING SMALL BUSINESS			
13. PLACE OF		14. GOVERNMENT B/L NO.		15. DELIVER TO F.O.B. POINT ON OR BEFORE (Date) 9/6/2008 - 9/5/2010	
a. INSPECTION	b. ACCEPTANCE			16. DISCOUNT TERMS Net 30	

17. SCHEDULE (See reverse for Rejections)

See CONTINUATION Page

ITEM NO. (a)	SUPPLIES OR SERVICES (b)	QUANTITY ORDERED (c)	UNIT (d)	UNIT PRICE (e)	AMOUNT (f)	QUANTITY ACCEPTED (g)
	DUNS # 013695486 Information Manufacturing L.L.C. shall provide the U.S. Nuclear Regulatory Commission (NRC) with "Agencywide Documents Access and Management System (ADAMS) Document Processing Support Services" in accordance with the attached Statement of Work, the terms and conditions of GSA Schedule Contract GS-35F-0522J, and at the prices stated in the Price Schedule. NRC Project Officer: Kenny Nguyen, 301-415-2046, email Kenny.Nguyen@nrc.gov IMLLC Contact: Timi M. Scaletta, Director of Contracts, off 304-726-4407, fax 304-726-4768, tscaletta@infoman.com Attachments: 1. Statement of Work 2. Government Furnished Equipment 3. Billing Instructions 4. NRC Form 187					

Information in this record was deleted in accordance with the Freedom of Information Act, exemptions FOIA-
[Signature]

SEE BILLING INSTRUCTIONS ON REVERSE	18. SHIPPING POINT		19. GROSS SHIPPING WEIGHT		20. INVOICE NO.		17(h) TOTAL (Cont. pages)
	21. MAIL INVOICE TO:						
	a. NAME Department of Interior / NBC NRCPayments@nbc.gov						
	b. STREET ADDRESS (or P.O. Box) Attn: Fiscal Services Branch - D2770 7301 W. Mansfield Avenue						
	c. CITY Denver		d. STATE CO	e. ZIP CODE 80235-2230		\$15,519,774.19	

22. UNITED STATES OF AMERICA
BY (Signature)

[Signature: Eleni Jernell]

23. NAME (Typed)
Eleni Jernell
Contracting Officer
TITLE: CONTRACTING/ORDERING OFFICER

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ORDER FOR SUPPLIES OR SERVICES SCHEDULE - CONTINUATION

PAGE NO.
2

IMPORTANT: Mark all packages and papers with contract and/or order numbers.

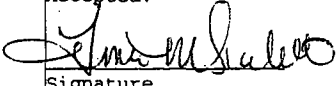
DATE OF ORDER

CONTRACT NO.

GS35F0522J

ORDER NO.

NRC-DR-33-08-301

ITEM NO. (A)	SUPPLIES OR SERVICES (B)	QUANTITY ORDERED (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)	QUANTITY ACCEPTED (G)
	<p>Please indicate your acceptance of this delivery order by having an official who is authorized to bind your organization execute three copies of this document in the space provided below and return two copies to the Contract Specialist. Please retain the third copy for your records.</p> <p>Accepted:</p> <p></p> <p>Signature</p> <p><u>Timi M. Scaletta</u></p> <p>Name</p> <p><u>Director of Contracts</u></p> <p>Title</p> <p><u>9/8/2008</u></p> <p>Date</p>					
TOTAL CARRIED FORWARD TO 1ST PAGE (ITEM 17(H))						

SECTION A, TERMS AND CONDITIONS

A.1 TYPE OF CONTRACT

This is a combination firm fixed price/time and materials type delivery order with reimbursable travel. Task 1 is firm fixed price, and Tasks 2 through 16 are time and materials, with a fixed price ceiling, for all five years of this delivery order.

A.2 PERIOD OF PERFORMANCE

The period of performance of this delivery order is September 6, 2008 through September 5, 2010 (two years) for the base period. The term of this delivery order may be extended at the option of the Government for an additional three one-year option periods, as follows:

Option Year 1: September 6, 2010 through September 5, 2011.

Option Year 2: September 6, 2011 through September 5, 2012.

Option Year 3: September 6, 2012 through September 5, 2013.

A.3 CONSIDERATION AND OBLIGATION

The total estimated amount of this delivery order (ceiling), for the two-year base period of performance, for the products/services ordered, delivered, and accepted under this delivery order is \$6,181,307.50. For all five years of this delivery order, Task 1 is firm fixed price, and Tasks 2 through 16 are time and materials with a fixed price ceiling.

The amount presently obligated with respect to this delivery order is \$1,248,000.00. This obligated amount may be unilaterally increased from time to time by the Contracting Officer by written modification to this delivery order. The obligated amount shall, at no time, exceed the delivery order ceiling specified above. 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 with respect to this delivery order. Any work undertaken by the contractor in excess of the obligated amount specified above is done so at the contractor's sole risk.

The total amount of this delivery order for the products/services ordered, delivered, and accepted, if all option years are exercised, is as follows:

Base Period, Year 1: \$3,039,388.53

Base Period, Year 2: \$3,141,918.97

Current Ceiling: \$6,181,307.50

Option Year 1: \$3,091,224.80

Option Year 2: \$3,113,040.87

Option Year 3: \$3,134,201.02

Total Five Years: \$15,519,774.19

The above amounts for each of the five years of this delivery order include not-to-exceed travel of \$10,000.00 per year, and not-to-exceed hardware maintenance of \$10,000.00 per year.

A.4 2052.215-71 PROJECT OFFICER AUTHORITY (NOVEMBER 2006)

(a) The contracting officer's authorized representative (hereinafter referred to as the project officer) for this contract is:

Name: Kenny D. Nguyen, OIS/IRSD/ISB

Address: U.S. Nuclear Regulatory Commission
Mail Stop T-2-F43
11555 Rockville Pike
Rockville, MD 20852

Telephone Number: 301-415-2046; email Kenny.Nguyen@nrc.gov

(b) Performance of the work under this contract 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 (SOW) or changes to specific travel identified in the SOW), fills in details, or otherwise serves to accomplish the contractual SOW.

(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 contract, approval of technical reports, drawings, specifications, and technical information to be delivered by the contractor to the Government under the contract.

(c) Technical direction must be within the general statement of work stated in the contract. 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 contract.

(2) Constitutes a change as defined in the "Changes" clause of this contract.

(3) In any way causes an increase or decrease in the total estimated contract cost, the fixed fee, if any, or the time required for contract performance.

(4) Changes any of the expressed terms, conditions, or specifications of the contract.

(5) Terminates the contract, settles any claim or dispute arising under the contract, or issues any unilateral directive whatever.

(d) 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 contracting officer. 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 contracting officer.

(e) 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.

(f) 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 contracting officer in writing within five (5) working days after the receipt of any instruction or direction and shall request the contracting officer to modify the contract accordingly. Upon receiving the notification from the contractor, the contracting officer shall issue an appropriate contract modification or advise the contractor in writing that, in the contracting officer's opinion, the technical direction is within the scope of this article and does not constitute a change under the "Changes" clause.

(g) 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 contract.

(h) 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.

(i) 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 contracting officer 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 contracting officer recommendations for approval, disapproval, or suspension of payment for supplies and services required under this contract.

(4) Assist the contractor in obtaining the badges for the contractor personnel.

(5) Immediately notify the Security Branch, Division of Facilities and Security (SB/DFS) (via e-mail) when a contractor employee no longer requires access authorization and return of any NRC issued badge to SB/DFS within three days after their termination.

(6) Ensure that all contractor employees that require access to classified Restricted Data or National Security Information or matter, access to sensitive unclassified information (Safeguards, Official Use Only, and Proprietary information) access to sensitive IT systems or data, unescorted access to NRC controlled buildings/space, or unescorted access to protected and vital areas of nuclear power plants receive approval of SB/DFS prior to access in accordance with Management Directive and Handbook 12.3.

(7) For contracts for the design, development, maintenance or operation of Privacy Act Systems of Records, obtain from the contractor as part of closeout procedures, written certification that the contractor has returned to NRC, transferred to the successor contractor, or destroyed at the end of the contract in accordance with instructions provided by the NRC Systems Manager for Privacy Act Systems of Records, all records (electronic or paper) which were created, compiled, obtained or maintained under the contract.

A.5 2052.215-70 KEY PERSONNEL (JAN 1993)

(a) The following individuals are considered to be essential to the successful performance of the work hereunder:

Eric Tennille
Susan Hicks

Project Manager/DPC Operations Manager
Imaging, Distribution & Database Manager

Rick Repetto

Profile and Quality Control Manager &

Asst. DPC Operations Manager

Nancy Prater

Profiling Quality Control Supervisor

The contractor agrees that personnel may not be removed from the contract work or replaced without compliance with paragraphs (b) and (c) of this section.

(b) If one or more of the key personnel, for whatever reason, becomes, or is expected to become, unavailable for work under this contract for a continuous period exceeding 30 work days, or is expected to devote substantially less effort to the work than indicated in the proposal or initially anticipated, the contractor shall immediately notify the contracting officer and shall, subject to the concurrence of the contracting officer, promptly replace the personnel with personnel of at least substantially equal ability and qualifications.

(c) Each request for approval of substitutions must be in writing and contain a detailed explanation of the circumstances necessitating the proposed substitutions. The request must also contain a complete resume for the proposed substitute and other information requested or needed by the contracting officer to evaluate the proposed substitution. The contracting officer and the project officer shall evaluate the contractor's request and the contracting officer shall promptly notify the contractor of his or her decision in writing.

(d) If the contracting officer determines that suitable and timely replacement of key personnel who have been reassigned, terminated, or have otherwise become unavailable for the contract work is not reasonably forthcoming, or that the resultant reduction of productive effort would be so substantial as to impair the successful completion of the contract or the service order, the contract may be terminated by the contracting officer for default or for the convenience of the Government, as appropriate. If the contracting officer finds the contractor at fault for the condition, the contract price or fixed fee may be equitably adjusted downward to compensate the Government for any resultant delay, loss, or damage.

A.6 52.217-9 OPTION TO EXTEND THE TERM OF THE CONTRACT (MAR 2000)

(a) The Government may extend the term of this contract by written notice to the Contractor within 20 days of the expiration date of the order; provided that the Government gives the Contractor a preliminary written notice of its intent to extend at least 30 days before the contract expires. The preliminary notice does not commit the Government to an extension.

(b) If the Government exercises this option, the extended contract shall be considered to include this option clause.

(c) The total duration of this contract, including the exercise of any options under this clause, shall not exceed five years.

A.7 52.232-19 AVAILABILITY OF FUNDS FOR THE NEXT FISCAL YEAR (APR 1984)

Funds are not presently available for performance under this contract beyond December 31, 2008. The Government's obligation for performance of this contract beyond that date is contingent upon the availability of appropriated funds from which payment for contract purposes can be made. No legal liability on the part of the Government for any payment may arise for performance under this contract beyond December 31, 2008, until funds are made available to the Contracting Officer for performance and until the Contractor receives notice of availability, to be confirmed in writing by the Contracting Officer.

A.8 OPTION PERIODS - TASK ORDER/DELIVERY ORDER UNDER A GSA FEDERAL SUPPLY SCHEDULE CONTRACT (MARCH 2007)

The Period of Performance (PoP) for this requirement may extend beyond the Offeror's current PoP on their GSA Schedule. Offerors may submit proposals for the entire PoP as long as their current GSA Schedule covers the requested PoP, or their GSA Schedule contains GSA's "Evergreen Clause" (Option to Extend the Term of the Contract), which covers the requested PoP if/when the option(s) are exercised. Offerors are encouraged to submit accurate/realistic pricing for the requirement's entire PoP, even if the proposed GSA Schedule does not include pricing for the applicable option years, etc.

For proposal evaluation purposes, the NRC assumes that applicable Evergreen Clause Option(s) will be exercised and the NRC will apply price analysis, as applicable. It is in the best interest of the Offeror to explain major deviations in escalation, proposed in any Evergreen Clause option years. Resulting GSA task/delivery order option years subject to the Evergreen Clause will be initially priced utilizing the same rates proposed under the last GSA-priced year of the subject GSA Schedule. Upon GSA's exercise of the GSA Schedule option year(s) applicable to the Evergreen Clause, the NRC will modify the awarded task/delivery order to incorporate either the proposed pricing for the option years or the GSA-approved pricing (whichever is lower).

It is incumbent upon the Offeror to provide sufficient documentation (GSA-signed schedule, schedule modifications, etc.) that shows both the effective dates, pricing and terms/conditions of the current GSA Schedule, as well as Evergreen Clause terms/conditions (as applicable). Failure to provide this documentation may result in the Offeror's proposal being found unacceptable.

A.9 52.232-33 PAYMENT BY ELECTRONIC FUNDS TRANSFER--CENTRAL CONTRACTOR REGISTRATION (OCT 2003)

(a) Method of payment. (1) All payments by the Government under this contract shall be made by electronic funds transfer (EFT), except as provided in paragraph (a)(2) of this clause. As used in this clause, the term "EFT" refers to the funds transfer and may also include the payment information transfer.

(2) In the event the Government is unable to release one or more payments by EFT, the Contractor agrees to either--

(i) Accept payment by check or some other mutually agreeable method of payment; or

(ii) Request the Government to extend the payment due date until such time as the Government can make payment by EFT (but see paragraph (d) of this clause).

(b) Contractor's EFT information. The Government shall make payment to the Contractor using the EFT information contained in the Central Contractor Registration (CCR) database. In the event that the EFT information changes, the Contractor shall be responsible for providing the updated information to the CCR database.

(c) Mechanisms for EFT payment. The Government may make payment by EFT through either the Automated Clearing House (ACH) network, subject to the rules of the National Automated Clearing House Association, or the Fedwire Transfer System. The rules governing Federal payments through the ACH are contained in 31 CFR part 210.

(d) Suspension of payment. If the Contractor's EFT information in the CCR database is incorrect, then the Government need not make payment to the Contractor under this contract until correct EFT information is entered into the CCR database; and any invoice or contract financing request shall be deemed not to be a

proper invoice for the purpose of prompt payment under this contract. The prompt payment terms of the contract regarding notice of an improper invoice and delays in accrual of interest penalties apply.

(e) Liability for uncompleted or erroneous transfers. (1) If an uncompleted or erroneous transfer occurs because the Government used the Contractor's EFT information incorrectly, the Government remains responsible for—

- (i) Making a correct payment;
- (ii) Paying any prompt payment penalty due; and
- (iii) Recovering any erroneously directed funds.

(2) If an uncompleted or erroneous transfer occurs because the Contractor's EFT information was incorrect, or was revised within 30 days of Government release of the EFT payment transaction instruction to the Federal Reserve System, and—

(i) If the funds are no longer under the control of the payment office, the Government is deemed to have made payment and the Contractor is responsible for recovery of any erroneously directed funds; or

(ii) If the funds remain under the control of the payment office, the Government shall not make payment, and the provisions of paragraph (d) of this clause shall apply.

(f) EFT and prompt payment. A payment shall be deemed to have been made in a timely manner in accordance with the prompt payment terms of this contract if, in the EFT payment transaction instruction released to the Federal Reserve System, the date specified for settlement of the payment is on or before the prompt payment due date, provided the specified payment date is a valid date under the rules of the Federal Reserve System.

(g) EFT and assignment of claims. If the Contractor assigns the proceeds of this contract as provided for in the assignment of claims terms of this contract, the Contractor shall require as a condition of any such assignment, that the assignee shall register separately in the CCR database and shall be paid by EFT in accordance with the terms of this clause. Notwithstanding any other requirement of this contract, payment to an ultimate recipient other than the Contractor, or a financial institution properly recognized under an assignment of claims pursuant to subpart 32.8, is not permitted. In all respects, the requirements of this clause shall apply to the assignee as if it were the Contractor. EFT information that shows the ultimate recipient of the transfer to be other than the Contractor, in the absence of a proper assignment of claims acceptable to the Government, is incorrect EFT information within the meaning of paragraph (d) of this clause.

(h) Liability for change of EFT information by financial agent. The Government is not liable for errors resulting from changes to EFT information made by the Contractor's financial agent.

(i) Payment information. The payment or disbursing office shall forward to the Contractor available payment information that is suitable for transmission as of the date of release of the EFT instruction to the Federal Reserve System. The Government may request the Contractor to designate a desired format and method(s) for delivery of payment information from a list of formats and methods the payment office is capable of executing. However, the Government does not guarantee that any particular format or method of delivery is available at any particular payment office and retains the latitude to use the format and delivery method most convenient to the Government. If the Government makes payment by check in accordance with paragraph (a) of this clause, the Government shall mail the payment information to the remittance address contained in the CCR database.

A.10 2052.215-81 TRAVEL REIMBURSEMENT

(a) Total expenditure for domestic travel may not exceed \$10,000.00 per year without the prior approval of the contracting officer.

(b) The contractor is encouraged to use Government contract airlines, AMTRAK rail services, and discount hotel/motel properties in order to reduce the cost of travel under this contract. The contracting officer shall, upon request, provide each traveler with a letter of identification which is required in order to participate in this program. The Federal Travel Directory (FTD) identifies carriers, contract fares, schedules, payment conditions, and hotel/motel properties which offer their services and rates to Government contractor personnel traveling on official business under this contract. The FTD, which is issued monthly, may be purchased from the U.S. Government Printing Office, Washington, DC 20402.

(c) The contractor will be reimbursed for reasonable travel costs incurred directly and specifically in the performance of this contract. The cost limitations for travel costs are determined in accordance with the specific travel regulations cited in FAR 31.205-46, as are in effect on the date of the trip. Travel costs for research and related activities performed at State and nonprofit institutions, in accordance with section 12 of Public Law 100-679, shall be charged in accordance with the contractor's institutional policy to the degree that the limitations of Office of Management and Budget (OMB) guidance are not exceeded. Applicable guidance documents include OMB Circular A-87, Cost Principles for State and Local Governments; OMB Circular A-122, Cost principles for Nonprofit Organizations; and OMB Circular A-21, Cost Principles for Educational Institutions.

(d) When the Government changes the Federal Travel Regulations, or other applicable regulations, it is the responsibility of the contractor to notify the contracting officer in accordance with the Limitations of Cost clause of this contract if the contractor will be unable to make all of the approved trips and remain within the cost and fee limitations of this contract due to the changes.

A.11 2052.215-83 TRAVEL APPROVALS

All foreign travel must be approved in advance by the NRC on NRC Form 445 and must be in compliance with FAR 52.247-63, Preference for U.S. Flag Air Carriers. Foreign travel approval must be communicated in writing through the contracting officer.

A.12 2052.204.70 SECURITY (MAR 2004)

(a) Contract Security and/or Classification Requirements (NRC Form 187). The policies, procedures, and criteria of the NRC Security Program, NRC Management Directive (MD) 12 (including MD 12.1, "NRC Facility Security Program;" MD 12.2, "NRC Classified Information Security Program;" MD 12.3, "NRC Personnel Security Program;" MD 12.4, "NRC Telecommunications Systems Security Program;" MD 12.5, "NRC Automated Information Systems Security Program;" and MD 12.6, "NRC Sensitive Unclassified Information Security Program"), apply to performance of this contract, subcontract or other activity. This MD is incorporated into this contract by reference as though fully set forth herein. The attached NRC Form 187 (See List of 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 Restricted Data or National Security Information or matter, access to sensitive unclassified information (e.g., Safeguards), access to sensitive Information Technology (IT) systems or data, unescorted access to NRC controlled buildings/space, or unescorted access to protected and vital areas of nuclear power plants.

(b) It is the contractor's duty to protect 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 protecting 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 contract 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 contract 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, safeguards information, 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 shall ensure that information protected from public disclosure is maintained as required by NRC regulations and policies, as cited in this contract or as otherwise provided by the NRC. The contractor will not 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 (DFS) and the Contracting Officer. These changes will be under the authority of the FAR Changes clause referenced in this document.

The contractor agrees to comply with the security requirements set forth in NRC Management Directive 12.1, NRC Facility Security Program which is incorporated into this contract by reference as though fully set forth herein. Attention is directed specifically to the section titled "Infractions and Violations," including "Administrative Actions" and "Reporting Infractions."

(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) Definition of Safeguards Information. Sensitive unclassified information that specifically identifies the detailed security measures of a licensee or an applicant for the physical protection of special nuclear material; or security measures for the physical protection and location of certain plant equipment vital to the safety of

production of utilization facilities. Protection of this information is required pursuant to Section 147 of the Atomic Energy Act of 1954, as amended.

(i) **Security Clearance.** 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.

(j) **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.)

(k) **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.

(l) In performing the contract 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.

A.13 SECURITY REQUIREMENTS FOR BUILDING ACCESS APPROVAL (JUL 2007)

The Contractor shall ensure that all its employees, subcontractor employees or consultants who are assigned to perform the work herein for contract performance for periods of more than 30 calendar days at NRC facilities, are approved by the NRC for unescorted NRC building access.

The Contractor shall conduct a preliminary federal facilities security screening interview or review for each of its employee, subcontractor employee, and consultants and submit to the NRC only the names of candidates for contract performance that have a reasonable probability of obtaining approval necessary for access to NRC's federal facilities. The Contractor shall pre- screen its applicants for the following:

(a) felony arrest in the last seven years; (b) alcohol related arrest within the last five years; (c) record of any military courts-martial convictions in the past 10 years; (d) illegal use of narcotics or other controlled substances possession in the past year, or illegal purchase, production, transfer, or distribution of narcotics or other controlled substances in the last seven years; (e) delinquency on any federal debts or bankruptcy in the last seven years.

The Contractor shall make a written record of its pre-screening interview or review (including any information to mitigate the responses to items listed in (a) - (e)), and have the applicant verify the pre-screening record or review, sign and date it. Two copies of the pre-screening signed record or review shall be supplied to FSB/DFS with the Contractor employee's completed building access application package.

The Contractor shall further ensure that its employees, any subcontractor employees and consultants complete all building access security applications required by this clause within ten business days of notification by FSB/DFS of initiation of the application process. Timely receipt of properly completed records of

the Contractor's signed pre-screening record or review and building access security applications (submitted for candidates that have a reasonable probability of obtaining the level of security clearance necessary for access to NRC's facilities) is a contract requirement. Failure of the Contractor to comply with this contract administration requirement may be a basis to cancel the award, or terminate the contract for default, or offset from the contract's invoiced cost or price the NRC's incurred costs or delays as a result of inadequate pre-screening by the Contractor. In the event of cancellation or termination, the NRC may select another firm for contract award.

A Contractor, subcontractor employee or consultant shall not have access to NRC facilities until he/she is approved by FSB/DFS. Temporary access may be approved based on a favorable NRC review and discretionary determination of their building access security forms. Final building access will be approved based on favorably adjudicated checks by the Government. However, temporary access approval will be revoked and the Contractor's employee may subsequently be denied access in the event the employee's investigation cannot be favorably determined by the NRC. Such employee will not be authorized to work under any NRC contract requiring building access without the approval of FSB/DFS. When an individual receives final access, the individual will be subject to a review or reinvestigation every five years.

The Government shall have and exercise full and complete control and discretion over granting, denying, withholding, or terminating building access approvals for individuals performing work under this contract. Individuals performing work under this contract at NRC facilities for a period of more than 30 calendar days shall be required to complete and submit to the Contractor representative an acceptable OPM Form 85P (Questionnaire for Public Trust Positions), and two FD 258 (Fingerprint Charts). Non-U.S. citizens must provide official documentation to the FSB/DFS, as proof of their legal residency. This documentation can be a Permanent Resident Card, Temporary Work Visa, Employment Authorization Card, or other official documentation issued by the U. S. Citizenship and Immigration Services. Any applicant with less than two years residency in the U. S. will not be approved for building access. The Contractor shall submit the documents to the NRC Project Officer (PO) who will give them to FSB/DFS.

FSB/DFS may, among other things, grant or deny temporary unescorted building access approval to an individual based upon its review of the information contained in the OPM Form 85P and the Contractor's pre-screening record. Also, in the exercise of its authority, the Government may, among other things, grant or deny permanent building access approval based on the results of its review or investigation. This submittal requirement also applies to the officers of the firm who, for any reason, may visit the NRC work sites for an extended period of time during the term of the contract. In the event that FSB/DFS are unable to grant a temporary or permanent building access approval, to any individual performing work under this contract, the Contractor is responsible for assigning another individual to perform the necessary function without any delay in the contract's performance schedule, or without adverse impact to any other terms or conditions of the contract. The Contractor is responsible for informing those affected by this procedure of the required building access approval process (i.e., temporary and permanent determinations), and the possibility that individuals may be required to wait until permanent building access approvals are granted before beginning work in NRC's buildings.

CANCELLATION OR TERMINATION OF BUILDING ACCESS/ REQUEST

The Contractor shall immediately notify the PO when a Contractor or subcontractor employee or consultant's need for NRC building access approval is withdrawn or the need by the Contractor employee's for building access terminates. The PO will immediately notify FSB/DFS (via e-mail) when a Contractor employee no longer requires building access. The Contractor shall be required to return any NRC issued badges to the Project Officer for return to FSB/DFS within three days after their termination.

A.14 SECURITY REQUIREMENTS FOR INFORMATION TECHNOLOGY LEVEL I OR LEVEL II ACCESS APPROVAL (JUL 2007)

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 and discretion over granting, denying, withholding, or terminating IT access approvals for individuals performing work under this contract.

The Contractor shall conduct a preliminary security interview or review for each IT level I or II access approval Contractor applicant and submit to the Government only the names of candidates that have a reasonable probability of obtaining the level of IT security access for which the candidate has been proposed. The Contractor will pre-screen its applicants for the following:

(a) felony arrest in the last seven years; (b) alcohol related arrest within the last five years; (c) record of any military courts-martial convictions in the past ten years; (d) illegal use of narcotics or other controlled substances possession in the past year, or illegal purchase, production, transfer, or distribution of narcotics or other controlled substances in the last seven years; (e) delinquency on any federal debts or bankruptcy in the last seven years.

The Contractor shall make a written record of its pre-screening interview or review (including any information to mitigate the responses to items listed in (a) - (e)), and have the applicant verify the pre-screening record or review, sign and date it. Two copies of the signed Contractor's pre-screening record or review will be supplied to FSB/DFS with the Contractor employee's completed building access application package.

The Contractor shall further ensure that its employees, any subcontractor employees and consultants complete all IT access security applications required by this clause within ten business days of notification by FSB/DFS of initiation of the application process. Timely receipt of properly completed records of the pre-screening record and IT access security applications (submitted for candidates that have a reasonable probability of obtaining the level of security assurance necessary for access to NRC's facilities) is a contract requirement. Failure of the Contractor to comply with this contract administration requirement may be a basis to cancel the award, or terminate the contract for default, or offset from the contract's invoiced cost or price the NRC's incurred costs or delays as a result of inadequate pre-screening by the Contractor. In the event of cancellation or termination, the NRC may select another firm for contract award.

SECURITY REQUIREMENTS FOR IT LEVEL I

Performance under this contract 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.

A Contractor employee shall not have access to sensitive information technology systems or data until he/she is approved by FSB/DFS. Temporary IT access may be approved based on a favorable review or adjudication of their security forms and checks. Final IT access may be approved based on a favorable review or adjudication. However, temporary access authorization approval will be revoked and the employee may subsequently be denied IT access in the event the employee's investigation cannot be favorably adjudicated. Such an employee will not be authorized to work under any NRC contract requiring IT access without the approval of FSB/DFS. Where temporary access authorization has been revoked or denied, the Contractor is responsible for assigning another individual to perform the necessary work under this contract without delay to

the contract's performance schedule, or without adverse impact to any other terms or conditions of the contract. When an individual receives final IT access, the individual will be subject to a reinvestigation every ten years.

The Contractor shall submit a completed security forms packet, including the OPM Standard Form (SF) 85P (Questionnaire for Public Trust Positions), two copies of the Contractor's signed pre-screening record and two FD 258 fingerprint charts, through the PO to FSB/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. Based on FSB/DFS review of the Contractor 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.

In accordance with NRCAR 2052.204 70 "Security," IT Level I Contractors shall be subject to the attached NRC Form 187 (See Section J for List of Attachments) and SF- 85P 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 or data or other access to such systems and data; access on a continuing basis (in excess more than 30 calendar days) to NRC buildings; or otherwise requires issuance of an unescorted NRC badge.

SECURITY REQUIREMENTS FOR IT LEVEL II

Performance under this contract will involve Contractor personnel that develop and/or analyze sensitive information technology systems or data or otherwise have access to such systems or 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.

A Contractor employee shall not have access to sensitive information technology systems or data until he/she is approved by FSB/DFS. Temporary access may be approved based on a favorable review of their security forms and checks. Final IT access may be approved based on a favorable adjudication. However, temporary access authorization approval will be revoked and the employee may subsequently be denied IT access in the event the employee's investigation cannot be favorably adjudicated. Such an employee will not be authorized to work under any NRC contract requiring IT access without the approval of FSB/DFS. Where temporary access authorization has been revoked or denied, the Contractor is responsible for assigning another individual to perform the necessary work under this contract without delay to the contract's performance schedule, or without adverse impact to any other terms or conditions of the contract. When an individual receives final IT access, the individual will be subject to a review or reinvestigation every ten years.

The Contractor shall submit a completed security forms packet, including the OPM Standard Form (SF) 85P (Questionnaire for Public Trust Positions), two copies of the Contractor's signed pre-screening record and two FD 258 fingerprint charts, through the PO to FSB/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. Based on FSB/DFS review of the Contractor 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.

In accordance with NRCAR 2052.204 70 "Security," IT Level II Contractors shall be subject to the attached NRC Form 187 (See Section J for List of Attachments), SF- 85P, and Contractor's record of the pre-screening 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 or data or other access to such systems or data; access on a continuing basis

(in excess of more than 30 calendar days) to NRC buildings; or otherwise requires issuance of an unescorted NRC badge.

CANCELLATION OR TERMINATION OF IT ACCESS/REQUEST

When a request for IT access is to be withdrawn or canceled, the Contractor shall immediately notify the PO by telephone in order that he/she will immediately contact FSB/DFS so that the access review 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 by the Contractor in writing to the PO who will forward the confirmation via email to FSB/DFS. Additionally, FSB/DFS must be immediately notified in writing 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 IT access.

A.15 2052.204-71 BADGE REQUIREMENTS FOR UNESCORTED BUILDING ACCESS TO NRC FACILITIES (MAR 2006)

During the life of this contract, the rights of ingress and egress for contractor personnel must be made available, as required, provided that the individual has been approved for unescorted access after a favorable adjudication from the Security Branch, Division of Facilities and Security (SB/DFS).

In this regard, all contractor personnel whose duties under this contract require their presence on site shall be clearly identifiable by a distinctive badge furnished by the NRC. The Project Officer shall assist the contractor in obtaining badges for the contractor personnel. All contractor personnel must present two forms of Identity Source Documents (I-9). One of the documents must be a valid picture ID issued by a state or by the Federal Government. Original I-9 documents must be presented in person for certification. A list of acceptable documents can be found at http://www.usdoj.gov/crt/recruit_employ/i9form.pdf. It is the sole responsibility of the contractor to ensure that each employee has a proper NRC-issued identification/badge at all times. All photo-identification badges must be immediately (no later than three days) delivered to SB/DFS for cancellation or disposition upon the termination of employment of any contractor personnel. Contractor personnel must display any NRC issued badge in clear view at all times 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 contract work, and to assure the protection of any Government records or data that contractor personnel may come into contact with.

A.16 APPROPRIATE USE OF GOVERNMENT FURNISHED INFORMATION TECHNOLOGY (IT) EQUIPMENT AND/ OR IT SERVICES/ ACCESS (MARCH 2002)

As part of contract performance the NRC may provide the contractor with information technology (IT) equipment and IT services or IT access as identified in the solicitation or subsequently as identified in the contract or delivery order. Government furnished IT equipment, or IT services, or IT access may include but is not limited to computers, copiers, facsimile machines, printers, pagers, software, phones, Internet access and use, and email access and use. The contractor (including the contractor's employees, consultants and subcontractors) shall use the government furnished IT equipment, and / or IT provided services, and/ or IT access solely to perform the necessary efforts required under the contract. The contractor (including the contractor's employees, consultants and subcontractors) are prohibited from engaging or using the government IT equipment and government provided IT services or IT access for any personal use, misuse, abuses or any other unauthorized usage.

The contractor is responsible for monitoring its employees, consultants and subcontractors to ensure that government furnished IT equipment and/ or IT services, and/ or IT access are not being used for personal use,

misused or abused. The government reserves the right to withdraw or suspend the use of its government furnished IT equipment, IT services and/ or IT access arising from contractor personal usage, or misuse or abuse; and/ or to disallow any payments associated with contractor (including the contractor's employees, consultants and subcontractors) personal usage, misuses or abuses of IT equipment, IT services and/ or IT access; and/ or to terminate for cause the contract or delivery order arising from violation of this provision.

A.17 NRC INFORMATION TECHNOLOGY SECURITY TRAINING (AUG 2003)

NRC contractors shall ensure that their employees, consultants, and subcontractors with access to the agency's information technology (IT) equipment and/or IT services complete NRC's online initial and refresher IT security training requirements to ensure that their knowledge of IT threats, vulnerabilities, and associated countermeasures remains current. Both the initial and refresher IT security training courses generally last an hour or less and can be taken during the employee's regularly scheduled work day.

Contractor employees, consultants, and subcontractors shall complete the NRC's online, "Computer Security Awareness" course on the same day that they receive access to the agency's IT equipment and/or services, as their first action using the equipment/service. For those contractor employees, consultants, and subcontractors who are already working under contract, the on-line training must be completed in accordance with agency Network Announcements.

Contractor employees, consultants, and subcontractors who have been granted access to NRC information technology equipment and/or IT services must continue to take IT security refresher training offered online by the NRC throughout the term of the contract. Contractor employees will receive notice of NRC's online IT security refresher training requirements through agency-wide notices.

The NRC reserves the right to deny or withdraw Contractor use or access to NRC IT equipment and/or services, and/or take other appropriate contract administrative actions (e.g., disallow costs, terminate for cause) should the Contractor violate the Contractor's responsibility under this clause.

A.18 2052.209-72 CONTRACTOR ORGANIZATIONAL CONFLICTS OF INTEREST (JAN 1993)

(a) Purpose. The primary purpose of this clause is to aid in ensuring that the contractor:

(1) Is not placed in a conflicting role because of current or planned interests (financial, contractual, organizational, or otherwise) which relate to the work under this contract; and

(2) Does not obtain an unfair competitive advantage over other parties by virtue of its performance of this contract.

(b) Scope. The restrictions described apply to performance or participation by the contractor, as defined in 48 CFR 2009.570-2 in the activities covered by this clause.

(c) Work for others.

(1) Notwithstanding any other provision of this contract, during the term of this contract, the contractor agrees to forego entering into consulting or other contractual arrangements with any firm or organization the result of which may give rise to a conflict of interest with respect to the work being performed under this contract. The contractor shall ensure that all employees under this contract abide by the provision of this clause. If the contractor has reason to believe, with respect to itself or any employee, that any proposed consultant or other contractual arrangement with any firm or organization may involve a potential conflict of

interest, the contractor shall obtain the written approval of the contracting officer before the execution of such contractual arrangement.

(2) The contractor may not represent, assist, or otherwise support an NRC licensee or applicant undergoing an NRC audit, inspection, or review where the activities that are the subject of the audit, inspection, or review are the same as or substantially similar to the services within the scope of this contract (or task order as appropriate) except where the NRC licensee or applicant requires the contractor's support to explain or defend the contractor's prior work for the utility or other entity which NRC questions.

(3) When the contractor performs work for the NRC under this contract at any NRC licensee or applicant site, the contractor shall neither solicit nor perform work in the same or similar technical area for that licensee or applicant organization for a period commencing with the award of the task order or beginning of work on the site (if not a task order contract) and ending one year after completion of all work under the associated task order, or last time at the site (if not a task order contract).

(4) When the contractor performs work for the NRC under this contract at any NRC licensee or applicant site,

(i) The contractor may not solicit work at that site for that licensee or applicant during the period of performance of the task order or the contract, as appropriate.

(ii) The contractor may not perform work at that site for that licensee or applicant during the period of performance of the task order or the contract, as appropriate, and for one year thereafter.

(iii) Notwithstanding the foregoing, the contracting officer may authorize the contractor to solicit or perform this type of work (except work in the same or similar technical area) if the contracting officer determines that the situation will not pose a potential for technical bias or unfair competitive advantage.

(d) Disclosure after award.

(1) The contractor warrants that to the best of its knowledge and belief, and except as otherwise set forth in this contract, that it does not have any organizational conflicts of interest as defined in 48 CFR 2009.570-2.

(2) The contractor agrees that if, after award, it discovers organizational conflicts of interest with respect to this contract, it shall make an immediate and full disclosure in writing to the contracting officer. This statement must include a description of the action which the contractor has taken or proposes to take to avoid or mitigate such conflicts. The NRC may, however, terminate the contract if termination is in the best interest of the Government.

(3) It is recognized that the scope of work of a task-order-type contract necessarily encompasses a broad spectrum of activities. Consequently, if this is a task-order-type contract, the contractor agrees that it will disclose all proposed new work involving NRC licensees or applicants which comes within the scope of work of the underlying contract. Further, if this contract involves work at a licensee or applicant site, the contractor agrees to exercise diligence to discover and disclose any new work at that licensee or applicant site. This disclosure must be made before the submission of a bid or proposal to the utility or other regulated entity and must be received by the NRC at least 15 days before the proposed award date in any event, unless a written justification demonstrating urgency and due diligence to discover and disclose is provided by the contractor and approved by the contracting officer. The disclosure must include the statement of work, the dollar value of the proposed contract, and any other documents that are needed to fully describe the proposed work for the regulated utility or other regulated entity. NRC may deny approval of the disclosed work only when the NRC has issued a task order which includes the technical area and, if site-specific, the site, or has plans to issue a task order which includes the technical area and, if site-specific, the site, or when the work violates paragraphs (c)(2), (c)(3) or (c)(4) of this section.

(e) Access to and use of information.

(1) If in the performance of this contract, the contractor obtains access to information, such as NRC plans, policies, reports, studies, financial plans, internal data protected by the Privacy Act of 1974 (5 U.S.C. Section 552a (1988)), or the Freedom of Information Act (5 U.S.C. Section 552 (1986)), the contractor agrees not to:

(i) Use this information for any private purpose until the information has been released to the public;

(ii) Compete for work for the Commission based on the information for a period of six months after either the completion of this contract or the release of the information to the public, whichever is first;

(iii) Submit an unsolicited proposal to the Government based on the information until one year after the release of the information to the public; or

(iv) Release the information without prior written approval by the contracting officer unless the information has previously been released to the public by the NRC.

(2) In addition, the contractor agrees that, to the extent it receives or is given access to proprietary data, data protected by the Privacy Act of 1974 (5 U.S.C. Section 552a (1988)), or the Freedom of Information Act (5 U.S.C. Section 552 (1986)), or other confidential or privileged technical, business, or financial information under this contract, the contractor shall treat the information in accordance with restrictions placed on use of the information.

(3) Subject to patent and security provisions of this contract, the contractor shall have the right to use technical data it produces under this contract for private purposes provided that all requirements of this contract have been met.

(f) Subcontracts. Except as provided in 48 CFR 2009.570-2, the contractor shall include this clause, including this paragraph, in subcontracts of any tier. The terms contract, contractor, and contracting officer, must be appropriately modified to preserve the Government's rights.

(g) Remedies. For breach of any of the above restrictions, or for intentional nondisclosure or misrepresentation of any relevant interest required to be disclosed concerning this contract or for such erroneous representations that necessarily imply bad faith, the Government may terminate the contract for default, disqualify the contractor from subsequent contractual efforts, and pursue other remedies permitted by law or this contract.

(h) Waiver. A request for waiver under this clause must be directed in writing to the contracting officer in accordance with the procedures outlined in 48 CFR 2009.570-9.

(i) Follow-on effort. The contractor shall be ineligible to participate in NRC contracts, subcontracts, or proposals therefore (solicited or unsolicited), which stem directly from the contractor's performance of work under this contract. Furthermore, unless so directed in writing by the contracting officer, the contractor may not perform any technical consulting or management support services work or evaluation activities under this contract on any of its products or services or the products or services of another firm if the contractor has been substantially involved in the development or marketing of the products or services.

(1) If the contractor, under this contract, prepares a complete or essentially complete statement of work or specifications, the contractor is not eligible to perform or participate in the initial contractual effort which is based on the statement of work or specifications. The contractor may not incorporate its products or services in the statement of work or specifications unless so directed in writing by the contracting officer, in which case the restrictions in this paragraph do not apply.

(2) Nothing in this paragraph precludes the contractor from offering or selling its standard commercial items to the Government.

A.19 GOVERNMENT FURNISHED EQUIPMENT/PROPERTY (JANUARY 2001)

(a) The NRC will provide the contractor with the following items for use under this contract:

1. See attached list.

(b) The above listed equipment/property is hereby transferred from contract/agreement NRC-33-03-341.

(c) Only the equipment/property listed above in the quantities shown will be provided by the Government. The contractor shall be responsible and accountable for all Government property provided under this contract and shall comply with the provisions of the FAR Government Property Clause under this contract and FAR Subpart 45.5, as in effect on the date of this contract. The contractor shall investigate and provide written notification to the NRC Contracting Officer (CO) and the NRC Division of Facilities and Security, Physical Security Branch of all cases of loss, damage, or destruction of Government property in its possession or control not later than 24 hours after discovery. The contractor must report stolen Government property to the local police and a copy of the police report must be provided to the CO and to the Division of Facilities and Security, Physical Security Branch.

(d) All other equipment/property required in performance of the contract shall be furnished by the Contractor.

A.20 Annual and Final Contractor Performance Evaluations

Annual and final evaluations of contractor performance under this contract will be prepared in accordance with FAR 42.15, "Contractor Performance Information," normally at the time the contractor is notified of the NRC's intent to exercise the contract option. If the multi-year contract does not have option years, then an annual evaluation will be prepared. Final evaluations of contractor performance will be prepared at the expiration of the contract during the contract closeout process.

The Contracting Officer will transmit the NRC Project Officer's annual and final contractor performance evaluations to the contractor's Project Manager, unless otherwise instructed by the contractor. The contractor will be permitted thirty days to review the document. The contractor may concur without comment, submit additional information, or request a meeting to discuss the performance evaluation. The Contracting Officer may request the contractor's Project Manager to attend a meeting to discuss the performance evaluation.

Where a contractor concurs with, or takes no exception to an annual performance evaluation, the Contracting Officer will consider such evaluation final and releasable for source selection purposes. Disagreements between the parties regarding a performance evaluation will be referred to an individual one level above the Contracting Officer, whose decision will be final.

The Contracting Officer will send a copy of the completed evaluation report, marked "For Official Use Only," to the contractor's Project Manager for their records as soon as practicable after it has been finalized. The completed evaluation report also will be used as a tool to improve communications between the NRC and the contractor and to improve contract performance.

The completed annual performance evaluation will be used to support future award decisions in accordance with FAR 42.1502(a) and 42.1503(c). During the period the information is being used to provide source selection information, the completed annual performance evaluation will be released to only two parties - the

Federal government personnel performing the source selection evaluation and the contractor under evaluation if the contractor does not have a copy of the report already.

A.21 SEAT BELTS

Contractors, subcontractors, and grantees, are encouraged to adopt and enforce on-the-job seat belt policies and programs for their employees when operating company-owned, rented, or personally owned vehicles.

A.22 WHISTLEBLOWER PROTECTION FOR NRC CONTRACTOR AND SUBCONTRACTOR EMPLOYEES (JULY 2006)

(a) The U.S. Nuclear Regulatory Commission (NRC) contractor and its subcontractor are subject to the Whistleblower Employee Protection public law provisions as codified at 42 U.S.C. 5851. NRC contractor(s) and subcontractor(s) shall comply with the requirements of this Whistleblower Employee Protection law, and the implementing regulations of the NRC and the Department of Labor (DOL). See, for example, DOL Procedures on Handling Complaints at 29 C.F.R. Part 24 concerning the employer obligations, prohibited acts, DOL procedures and the requirement for prominent posting of notice of Employee Rights at Appendix A to Part 24.

(b) Under this Whistleblower Employee Protection law, as implemented by regulations, NRC contractor and subcontractor employees are protected from discharge, reprisal, threats, intimidation, coercion, blacklisting or other employment discrimination practices with respect to compensation, terms, conditions or privileges of their employment because the contractor or subcontractor employee(s) has provided notice to the employer, refused to engage in unlawful practices, assisted in proceedings or testified on activities concerning alleged violations of the Atomic Energy Act of 1954 (as amended) and the Energy Reorganization Act of 1974 (as amended).

(c) The contractor shall insert this or the substance of this clause in any subcontracts involving work performed under this contract.

A.23 AUTHORITY TO USE GOVERNMENT PROVIDED SPACE AT NRC HEADQUARTERS (JUNE 2006)

Prior to occupying any government provided space at the NRC Headquarters in Rockville, Maryland, the Contractor shall obtain written authorization to occupy specifically designated government space via the NRC Project Officer from the Chief, Space Planning and Property Management Branch, Division of Facilities and Security. Failure to obtain this prior authorization may result in one or a combination of the following remedies as deemed appropriate by the Contracting Officer.

1. Rental charge for the space occupied to be deducted from invoice amount due the Contractor
2. Removal from the space occupied
3. Contract Termination

SECTION B, PRICE SCHEDULE – NRC-DR-33-08-301, ADAMS Document Processing Support Services

For all five years of this delivery order, Task 1 is firm fixed price, and Tasks 2 through 16 are time and materials with a fixed price ceiling.

Order Pricing Summary

	Description	Year 1	Year 2	Year 3	Year 4	Year 5
Task 1	Project Management	\$205,070.40	\$212,252.00	\$219,678.00	\$227,367.20	\$235,319.60
Task 2	Document Receipt	\$66,006.80	\$68,319.20	\$70,706.80	\$73,188.40	\$75,745.20
Task 3	Document Preparation	\$61,700.66	\$63,866.42	\$66,098.92	\$68,408.50	\$70,803.62
Task 4	Document Scanning/Imaging/Text Processing	\$505,578.94	\$481,408.93	\$458,378.99	\$474,404.75	\$451,737.76
Task 5	Document Indexing	\$1,000,392.88	\$998,824.20	\$997,564.71	\$1,032,428.39	\$1,031,188.95
Task 6	Document Distribution	\$104,506.28	\$108,166.24	\$111,946.08	\$115,857.48	\$119,916.44
Task 7	Replicating Publicly Available Documents to ADAMS PARS	\$26,145.40	\$27,063.00	\$28,011.60	\$28,991.20	\$30,008.00
Task 8	Filing Official Agency Records in ADAMS	\$112,283.00	\$116,221.60	\$120,291.80	\$124,503.00	\$128,864.60
Task 9	ADAMS Database Maintenance	\$82,916.46	\$85,809.78	\$88,804.62	\$91,900.98	\$95,124.24
Task 10	Document/Error Tracking System (D/ETS)	\$5,295.60	\$5,480.80	\$5,672.80	\$5,871.20	\$6,076.80
Task 11	Nuclear Security and Incident Response (NSIR) ADAMS Document Processing Support Services	\$79,279.60	\$82,062.00	\$84,938.40	\$87,908.80	\$90,992.00
Task 12	Disaster Recovery Contingency Plan Operations	\$598,664.80	\$610,045.60	\$621,800.80	\$633,968.80	\$646,573.60
Task 13	Office of New Reactors (NRO) Licensing Document Processing Support Services	\$71,500.16	\$74,004.32	\$76,591.20	\$79,268.32	\$82,043.20
Task 14	High-Level Waste Document Processing Support Services - Electronic Hearing Docket (EHD)	\$56,642.52	\$143,470.32	\$74,243.08	\$850.85	\$-
Task 15	(Optional) - Document Backlog Processing	\$31,890.24	\$33,006.72	\$34,162.80	\$35,357.76	\$36,594.48
Task 16	(Optional) - ADAMS Document Retrofit	\$11,514.79	\$11,917.84	\$12,334.20	\$12,765.24	\$13,212.53
	Other Direct Costs					
	Not to Exceed Travel	\$10,000.00	\$10,000.00	\$10,000.00	\$10,000.00	\$10,000.00
	Not to Exceed Hardware Maintenance	\$10,000.00	\$10,000.00	\$10,000.00	\$10,000.00	\$10,000.00
	Total	\$3,039,388.53	\$3,141,918.97	\$3,091,224.80	\$3,113,040.87	\$3,134,201.02

Yearly Pricing:

Base Year 1

YEAR ONE BASE PERIOD: (September 6, 2008 through September 5, 2009)					
SOW	Task	Labor Category	Year One NRC Rate	Hours	Amount
4.1	Task 1	Project Management			
		Program/Project Manager III	(b)(4)		205,070.40
		Total Task 1			\$205,070.40
4.1	Task 2	Document Receipt			
		OCR Operator II / Media Specialist II			66,006.80
		Total Task 2			\$66,006.80
4.1	Task 3	Document Preparation			
		Conversion Worker II			25,116.80
		Index Specialist III			28,143.60
		Information Engineer			8,440.26
		Total Task 3			\$61,700.66
4.4	Task 4	Document Scanning/Imaging/Text Processing			
		Conversion Worker I			\$23,627.80
		Index Specialist III			56,287.20
		Index Specialist IV			61,419.60
		OCR Operator I / Media Specialist I			126,636.80
		Information Engineer			196,280.94
		Project Analyst I			41,326.60
		Total Task 4			\$505,578.94
4.5	Task 5	Document Indexing			
		Conversion Worker I			\$90,653.60
		Conversion Worker II			100,467.20
		Conversion Worker III			26,523.60
		Index Specialist IV			143,094.60
		OCR Operator II / Media Specialist II			66,006.80
		Department Manager II			263,670.00
		Information Engineer			87,994.20
		Project Analyst I			221,982.88
		Total Task 5			\$ 1,000,392.88
4.6	Task 6	Document Distribution			

YEAR ONE BASE PERIOD: (September 6, 2008 through September 5, 2009)					
SOW	Task	Labor Category	Year One NRC Rate	Hours	Amount
		Conversion Worker II	(b)(4)		9,619.20
		Conversion Worker III			10,378.80
		Index Specialist III			18,562.80
		Index Specialist IV			20,255.40
		OCR Operator I / Media Specialist I			20,881.60
		Information Engineer			16,880.52
		Project Analyst I			7,927.96
		Total Task 6			\$104,506.28
4.7	Task 7	Replicating Publicly Available Documents to ADAMS PARS			
		Project Analyst I			26,145.40
		Total Task 7			\$26,145.40
4.8	Task 8	Filing Official Agency Records in ADAMS			
		OCR Operator II / Media Specialist II			33,003.40
		Project Analyst I			79,279.60
		Total Task 8			\$112,283.00
4.9	Task 9	ADAMS Database Maintenance			
		Index Specialist IV			82,916.46
		Total Task 9			\$82,916.46
4.10	Task 10	Document/Error Tracking System (D/ETS)			
		Engineer/Scientist/Intelligence Analyst II			5,295.60
		Total Task 10			\$ 5,295.60
4.11	Task 11	Nuclear Security and Incident Response (NSIR) ADAMS Document Processing Support Services			
		Project Analyst I			79,279.60
		Total Task 11			\$79,279.60
4.12	Task 12	Disaster Recovery Contingency Plan Operations			
		Conversion Worker I			\$-

YEAR ONE BASE PERIOD: (September 6, 2008 through September 5, 2009)					
SOW	Task	Labor Category	Year One NRC Rate	Hours	Amount
		Conversion Worker II	(b)(4)		12,825.60
		Conversion Worker II			13,838.40
		Index Specialist III			14,371.20
		Index Specialist IV			31,363.20
		OCR Operator I / Media Specialist I			32,332.80
		OCR Operator II / Media Specialist II			16,852.80
		Department Manager II			67,320.00
		Information Engineer			43,099.20
		Project Analyst I			40,483.20
		Program/Project Manager III			52,358.40
		Task 12 ODCs			
		Per Diem, Arlington, TX			56,760.00
		Lodging, Arlington, TX			172,860.00
		Airfare			27,000.00
		Rental Car			17,200.00
		Subtotal Task 12 ODCs			273,820.00
		Total Task 12			\$598,664.80
4.13	Task 13	Office of New Reactors (NRO) Licensing Document Processing Support Services			
		Conversion Worker I			\$ 9,065.36
		Conversion Worker II			10,046.72
		Index Specialist III			11,257.44
		Department Manager I			7,533.16
		Department Manager II			8,789.00
		Information Engineer			16,880.52
		Project Analyst I			7,927.96
		Total Task 13			\$71,500.16
4.14	Task 14	High-Level Waste Document Processing Support Services - Electronic Hearing Docket (EHD)			
		Conversion Worker I			\$13,598.04
		Conversion Worker II			15,070.08
		Index Specialist III			11,257.44
		Department Manager II			8,789.00
		Project Analyst I			7,927.96
		Total Task 14			\$56,642.52
4.15	Task 15	(Optional) - Document Backlog			

YEAR ONE BASE PERIOD: (September 6, 2008 through September 5, 2009)					
SOW	Task	Labor Category	Year One NRC Rate	Hours	Amount
		Processing			
		Conversion Worker I	(b)(4)		\$ 1,735.34
		Conversion Worker II			2,885.76
		Conversion Worker III			1,038.00
		Index Specialist III			2,155.68
		Index Specialist IV			5,881.20
		OCR Operator I / Media Specialist I			2,424.96
		OCR Operator II / Media Specialist II			5,055.36
		Department Manager I			961.68
		Department Manager II			1,122.00
		Department Manager III			1,282.80
		Information Engineer			4,309.92
		Project Analyst I			3,036.24
		Total Task 15			\$31,890.24
4.16	Task 16	(Optional) - ADAMS Document Retrofit			
		Conversion Worker I			\$940.29
		Conversion Worker II			1,576.48
		Conversion Worker III			576.60
		Index Specialist III			1,167.66
		Index Specialist IV			3,201.66
		OCR Operator I / Media Specialist I			1,313.52
		OCR Operator II / Media Specialist II			2,738.58
		Total Task 16			\$11,514.79
		Other Direct Costs			
		Not to Exceed Travel			\$10,000.00
		Not to Exceed Hardware Maintenance			\$10,000.00
		Total ODCs			\$20,000.00
TOTAL YEAR ONE BASE PERIOD: (September 6, 2008 through September 5, 2009)					\$3,039,388.53

Base Year 2

YEAR TWO BASE PERIOD: (September 6, 2009 through September 5, 2010)					
SOW	Task	Labor Category	Year Two NRC Rate	Hours	Amount
4.1	Task 1	Project Management	(b)(4)		
		Program/Project Manager III			212,252.00
		Total Task 1			\$212,252.00
4.1	Task 2	Document Receipt			
		OCR Operator II / Media Specialist II			68,319.20
		Total Task 2			\$ 68,319.20
4.1	Task 3	Document Preparation			
		Conversion Worker II			26,000.40
		Index Specialist III			29,130.60
		Information Engineer			8,735.42
		Total Task 3			\$ 63,866.42
4.4	Task 4	Document Scanning/Imaging/Text Processing			
		Conversion Worker I			\$ 22,494.92
		Index Specialist III			53,600.30
		Index Specialist IV			58,477.78
		OCR Operator I / Media Specialist I			120,587.71
		Information Engineer			186,893.38
		Project Analyst I			39,354.84
		Total Task 4			\$481,408.93
4.5	Task 5	Document Indexing			
		Conversion Worker I			\$ 90,494.74
		Conversion Worker II			100,324.03
		Conversion Worker III			26,482.05
		Index Specialist IV			142,851.31
		OCR Operator II / Media Specialist II			65,903.39
		Department Manager II			263,268.98
		Information Engineer			87,851.05
		Project Analyst I			221,648.65
		Total Task 5			\$998,824.20
4.6	Task 6	Document Distribution			
		Conversion Worker II			9,957.60
		Conversion Worker III			10,742.40
		Index Specialist III			19,213.80

YEAR TWO BASE PERIOD: (September 6, 2009 through September 5, 2010)					
SOW	Task	Labor Category	Year Two NRC Rate	Hours	Amount
		Index Specialist IV	(b)(4)		20,962.20
		OCR Operator I / Media Specialist I			21,613.20
		Information Engineer			17,470.84
		Project Analyst I			8,206.20
		Total Task 6			\$108,166.24
4.7	Task 7	Replicating Publicly Available Documents to ADAMS PARS			
		Project Analyst I			27,063.00
		Total Task 7			\$ 27,063.00
4.8	Task 8	Filing Official Agency Records in ADAMS			
		OCR Operator II / Media Specialist II			34,159.60
		Project Analyst I			82,062.00
		Total Task 8			\$116,221.60
4.9	Task 9	ADAMS Database Maintenance			
		Index Specialist IV			85,809.78
		Total Task 9			\$ 85,809.78
4.10	Task 10	Document/Error Tracking System (D/ETS)			
		Engineer/Scientist/Intelligence Analyst II			5,480.80
		Total Task 10			\$ 5,480.80
4.11	Task 11	Nuclear Security and Incident Response (NSIR) ADAMS Document Processing Support Services			
		Project Analyst I			82,062.00
		Total Task 11			\$ 82,062.00
4.12	Task 12	Disaster Recovery Contingency Plan Operations			
		Conversion Worker II			13,276.80
		Conversion Worker III			14,323.20
		Index Specialist III			14,875.20
		Index Specialist IV			32,457.60

YEAR TWO BASE PERIOD: (September 6, 2009 through September 5, 2010)					
SOW	Task	Labor Category	Year Two NRC Rate	Hours	Amount
		OCR Operator I / Media Specialist I	(b)(4)		33,465.60
		OCR Operator II / Media Specialist II			17,443.20
		Department Manager II			69,681.60
		Information Engineer			44,606.40
		Project Analyst I			41,904.00
		Program/Project Manager III			54,192.00
		Task 12 ODCs			
		Per Diem, Arlington, TX			56,760.00
		Lodging, Arlington, TX			172,860.00
		Airfare			27,000.00
		Rental Car			17,200.00
		Subtotal Task 12 ODCs			273,820.00
		Total Task 12			\$610,045.60
4.13	Task 13	Office of New Reactors (NRO) Licensing Document Processing Support Services			
		Conversion Worker I			\$ 9,381.20
		Conversion Worker II			10,400.16
		Index Specialist III			11,652.24
		Department Manager I			7,796.36
		Department Manager II			9,097.32
		Information Engineer			17,470.84
		Project Analyst I			8,206.20
		Total Task 13			\$ 74,004.32
4.14	Task 14	High-Level Waste Document Processing Support Services - Electronic Hearing Docket (EHD)			
		Conversion Worker I			\$ 28,143.60
		Conversion Worker II			31,200.48
		Index Specialist III			23,304.48
		OCR Operator I / Media Specialist I			26,214.72
		Department Manager II			18,194.64
		Project Analyst I			16,412.40
		Total Task 14			\$143,470.32
4.15	Task 15	(Optional) - Document Backlog Processing			
		Conversion Worker I			\$ 1,797.60
		Conversion Worker II			2,986.56

YEAR TWO BASE PERIOD: (September 6, 2009 through September 5, 2010)						
SOW	Task	Labor Category	Year Two NRC Rate	Hours	Amount	
		Conversion Worker III	(b)(4)		1,074.24	
		Index Specialist III			2,231.04	
		Index Specialist IV			6,087.60	
		OCR Operator I / Media Specialist I			2,509.92	
		OCR Operator II / Media Specialist II			5,232.00	
		Department Manager I			995.28	
		Department Manager II			1,161.36	
		Department Manager III			1,327.68	
		Information Engineer			4,460.64	
		Project Analyst I			3,142.80	
		Total Task 15				\$ 33,006.72
4.16	Task 16	(Optional) - ADAMS Document Retrofit				
		Conversion Worker I				\$973.05
		Conversion Worker II				1,631.94
		Conversion Worker III				596.80
		Index Specialist III				1,208.61
		Index Specialist IV				3,313.38
		OCR Operator I / Media Specialist I				1,359.54
		OCR Operator II / Media Specialist II				2,834.52
		Total Task 16				\$ 11,917.84
		Other Direct Costs				
		Not to Exceed Travel				\$ 10,000.00
		Not to Exceed Hardware Maintenance				\$ 10,000.00
		Total ODCs				\$ 20,000.00
TOTAL YEAR TWO BASE PERIOD: (September 6, 2009 through September 5, 2010)					\$3,141,918.97	

Option Year 1

YEAR THREE OPTION PERIOD ONE: (September 6, 2010 through September 5, 2011)					
SOW	Task	Labor Category	Year Three NRC Rate	Hours	Amount
4.1	Task 1	Project Management			
		Program/Project Manager III	(b)(4)		219,678.00
		Total Task 1			\$219,678.00
4.1	Task 2	Document Receipt			
		OCR Operator II / Media Specialist II			70,706.80
		Total Task 2			\$ 70,706.80
4.1	Task 3	Document Preparation			
		Conversion Worker II			26,912.20
		Index Specialist III			30,145.80
		Information Engineer			9,040.92
		Total Task 3			\$ 66,098.92
4.4	Task 4	Document Scanning/Imaging/Text Processing			
		Conversion Worker I			\$ 21,416.97
		Index Specialist III			51,030.81
		Index Specialist IV			55,677.21
		OCR Operator I / Media Specialist I			114,823.30
		Information Engineer			177,955.16
		Project Analyst I			37,475.54
		Total Task 4			\$458,378.99
4.5	Task 5	Document Indexing			
		Conversion Worker I			\$ 90,372.51
		Conversion Worker II			100,207.79
		Conversion Worker III			26,445.84
		Index Specialist IV			142,662.66
		OCR Operator II / Media Specialist II			65,819.33
		Department Manager II			262,927.31
		Information Engineer			87,741.11
		Project Analyst I			221,388.16
		Total Task 5			\$997,564.71
4.6	Task 6	Document Distribution			
		Conversion Worker II			10,306.80
		Conversion Worker III			11,116.80

YEAR THREE OPTION PERIOD ONE: (September 6, 2010 through September 5, 2011)					
SOW	Task	Labor Category	Year Three NRC Rate	Hours	Amount
		Index Specialist III	(b)(4)		19,883.40
		Index Specialist IV			21,693.80
		OCR Operator I / Media Specialist I			22,369.60
		Information Engineer			18,081.84
		Project Analyst I			8,493.84
		Total Task 6			\$111,946.08
4.7	Task 7	Replicating Publicly Available Documents to ADAMS PARS			
		Project Analyst I			28,011.60
		Total Task 7			\$ 28,011.60
4.8	Task 8	Filing Official Agency Records in ADAMS			
		OCR Operator II / Media Specialist II			35,353.40
		Project Analyst I			84,938.40
		Total Task 8			\$120,291.80
4.9	Task 9	ADAMS Database Maintenance			
		Index Specialist IV			88,804.62
		Total Task 9			\$ 88,804.62
4.10	Task 10	Document/Error Tracking System (D/ETS)			
		Engineer/Scientist/Intelligence Analyst II			5,672.80
		Total Task 10			\$ 5,672.80
4.11	Task 11	Nuclear Security and Incident Response (NSIR) ADAMS Document Processing Support Services			
		Project Analyst I			84,938.40
		Total Task 11			\$ 84,938.40
4.12	Task 12	Disaster Recovery Contingency Plan Operations			
		Conversion Worker II			13,742.40
		Conversion Worker III			14,822.40
		Index Specialist III			15,393.60

YEAR THREE OPTION PERIOD ONE: (September 6, 2010 through September 5, 2011)					
SOW	Task	Labor Category	Year Three NRC Rate	Hours	Amount
		Index Specialist IV	(b)(4)		33,590.40
		OCR Operator I / Media Specialist I			34,636.80
		OCR Operator II / Media Specialist II			18,052.80
		Department Manager II			72,115.20
		Information Engineer			46,166.40
		Project Analyst I			43,372.80
		Program/Project Manager III			56,088.00
		Per Diem, Arlington, TX			56,760.00
		Lodging, Arlington, TX			172,860.00
		Airfare			27,000.00
		Rental Car			17,200.00
		Subtotal Task 12 ODCs			273,820.00
		Total Task 12			\$621,800.80
4.13	Task 13	Office of New Reactors (NRO) Licensing Document Processing Support Services			
		Conversion Worker I			\$ 9,708.32
		Conversion Worker II			10,764.88
		Index Specialist III			12,058.32
		Department Manager I			8,068.96
		Department Manager II			9,415.04
		Information Engineer			18,081.84
		Project Analyst I			8,493.84
		Total Task 13			\$ 76,591.20
4.14	Task 14	High-Level Waste Document Processing Support Services - Electronic Hearing Docket (EHD)			
		Conversion Worker I			\$ 14,562.48
		Conversion Worker II			16,147.32
		Index Specialist III			12,058.32
		OCR Operator I / Media Specialist I			13,566.08
		Department Manager II			9,415.04
		Project Analyst I			8,493.84
		Total Task 14			\$ 74,243.08
4.15	Task 15	(Optional) - Document Backlog Processing			
		Conversion Worker I			\$ 1,860.48
		Conversion Worker II			3,090.96
		Conversion Worker III			1,111.92

YEAR THREE OPTION PERIOD ONE: (September 6, 2010 through September 5, 2011)						
SOW	Task	Labor Category	Year Three NRC Rate	Hours	Amount	
		Index Specialist III	(b)(4)		2,309.28	
		Index Specialist IV			6,301.20	
		OCR Operator I / Media Specialist I			2,597.76	
		OCR Operator II / Media Specialist II			5,415.36	
		Department Manager I			1,030.08	
		Department Manager II			1,201.92	
		Department Manager III			1,374.24	
		Information Engineer			4,616.64	
		Project Analyst I			3,252.96	
		Total Task 15				\$ 34,162.80
4.16	Task 16	(Optional) - ADAMS Document Retrofit				
		Conversion Worker I				\$ 1,006.98
		Conversion Worker II				1,689.17
		Conversion Worker III				617.60
		Index Specialist III				1,250.73
		Index Specialist IV				3,429.02
		OCR Operator I / Media Specialist I				1,407.12
		OCR Operator II / Media Specialist II				2,933.58
		Total Task 16				\$ 12,334.20
		Other Direct Costs				
		Not to Exceed Travel				\$ 10,000.00
		Not to Exceed Hardware Maintenance				\$ 10,000.00
		Total ODCs				\$ 20,000.00
TOTAL YEAR THREE OPTION PERIOD ONE: (September 6, 2010 through September 5, 2011)					\$3,091,224.80	

Option Year 2

YEAR FOUR OPTION PERIOD TWO: (September 6, 2011 through September 5, 2012)					
SOW	Task	Labor Category	Year Four NRC Rate	Hours	Amount
4.1	Task 1	Project Management	(b)(4)		
		Program/Project Manager III			227,367.20
		Total Task 1			\$ 227,367.20
4.1	Task 2	Document Receipt			
		OCR Operator II / Media Specialist II			73,188.40
		Total Task 2			\$ 73,188.40
4.1	Task 3	Document Preparation			
		Conversion Worker II			27,852.20
		Index Specialist III			31,198.60
		Information Engineer			9,357.70
		Total Task 3			\$ 68,408.50
4.4	Task 4	Document Scanning/Imaging/Text Processing			
		Conversion Worker I			\$ 22,163.49
		Index Specialist III			52,812.99
		Index Specialist IV			57,618.51
		OCR Operator I / Media Specialist I			118,833.21
		Information Engineer			184,190.44
		Project Analyst I			38,786.11
		Total Task 4			\$ 474,404.75
4.5	Task 5	Document Indexing			
		Conversion Worker I			\$ 93,522.60
		Conversion Worker II			103,707.88
		Conversion Worker III			27,370.76
		Index Specialist IV			147,636.90
		OCR Operator II / Media Specialist II			68,129.39
		Department Manager II			272,115.07
		Information Engineer			90,815.42
		Project Analyst I			229,130.37
		Total Task 5			\$1,032,428.39
4.6	Task 6	Document Distribution			
		Conversion Worker II			10,666.80
		Conversion Worker III			11,505.60

YEAR FOUR OPTION PERIOD TWO: (September 6, 2011 through September 5, 2012)					
SOW	Task	Labor Category	Year Four NRC Rate	Hours	Amount
		Index Specialist III	(b)(4)		20,577.80
		Index Specialist IV			22,450.20
		OCR Operator I / Media Specialist I			23,150.80
		Information Engineer			18,715.40
		Project Analyst I			8,790.88
		Total Task 6			\$ 115,857.48
4.7	Task 7	Replicating Publicly Available Documents to ADAMS PARS			
		Project Analyst I			28,991.20
		Total Task 7			\$ 28,991.20
4.8	Task 8	Filing Official Agency Records in ADAMS			
		OCR Operator II / Media Specialist II			36,594.20
		Project Analyst I			87,908.80
		Total Task 8			\$ 124,503.00
4.9	Task 9	ADAMS Database Maintenance			
		Index Specialist IV			91,900.98
		Total Task 9			\$ 91,900.98
4.10	Task 10	Document/Error Tracking System (D/ETS)			
		Engineer/Scientist/Intelligence Analyst II			5,871.20
		Total Task 10			\$ 5,871.20
4.11	Task 11	Nuclear Security and Incident Response (NSIR) ADAMS Document Processing Support Services			
		Project Analyst I			87,908.80
		Total Task 11			\$ 87,908.80
4.12	Task 12	Disaster Recovery Contingency Plan Operations			
		Conversion Worker II			14,222.40
		Conversion Worker III			15,340.80
		Index Specialist III			15,931.20
		Index Specialist IV			34,761.60

YEAR FOUR OPTION PERIOD TWO: (September 6, 2011 through September 5, 2012)					
SOW	Task	Labor Category	Year Four NRC Rate	Hours	Amount
		OCR Operator I / Media Specialist I	(b)(4)		35,846.40
		OCR Operator II / Media Specialist II			18,686.40
		Department Manager II			74,635.20
		Information Engineer			47,784.00
		Project Analyst I			44,889.60
		Program/Project Manager III			58,051.20
		Per Diem, Arlington, TX			56,760.00
		Lodging, Arlington, TX			172,860.00
		Airfare			27,000.00
		Rental Car			17,200.00
		Subtotal Task 12 ODCs			273,820.00
		Total Task 12			\$ 633,968.80
4.13	Task 13	Office of New Reactors (NRO) Licensing Document Processing Support Services			
		Conversion Worker I			\$ 10,046.72
		Conversion Worker II			11,140.88
		Index Specialist III			12,479.44
		Department Manager I			8,350.96
		Department Manager II			9,744.04
		Information Engineer			18,715.40
		Project Analyst I			8,790.88
		Total Task 13			\$ 79,268.32
4.14	Task 14	High-Level Waste Document Processing Support Services - Electronic Hearing Docket (EHD)			
		Conversion Worker I			\$133.60
		Conversion Worker II			148.15
		Index Specialist III			165.95
		OCR Operator I / Media Specialist I			-
		Department Manager II			-
		Project Analyst I			-
		Total Task 14			\$850.85
4.15	Task 15	(Optional) - Document Backlog Processing			
		Conversion Worker I			\$ 1,925.76
		Conversion Worker II			3,198.96
		Conversion Worker III			1,150.80
		Index Specialist III			2,389.92

YEAR FOUR OPTION PERIOD TWO: (September 6, 2011 through September 5, 2012)						
SOW	Task	Labor Category	Year Four NRC Rate	Hours	Amount	
		Index Specialist IV	(b)(4)		6,522.00	
		OCR Operator I / Media Specialist I		2,688.48		
		OCR Operator II / Media Specialist II		5,604.48		
		Department Manager I		1,066.08		
		Department Manager II		1,243.92		
		Department Manager III		1,422.24		
		Information Engineer		4,778.40		
		Project Analyst I		3,366.72		
		Total Task 15				\$ 35,357.76
4.16	Task 16	(Optional) - ADAMS Document Retrofit				
		Conversion Worker I				\$ 1,042.08
		Conversion Worker II				1,748.17
		Conversion Worker III				639.20
		Index Specialist III				1,294.41
		Index Specialist IV				3,548.58
		OCR Operator I / Media Specialist I				1,456.26
		OCR Operator II / Media Specialist II				3,036.54
		Total Task 16				\$ 12,765.24
		Other Direct Costs				
		Not to Exceed Travel				\$ 10,000.00
		Not to Exceed Hardware Maintenance				\$ 10,000.00
		Total ODCs				\$ 20,000.00
TOTAL YEAR FOUR OPTION PERIOD TWO: (September 6, 2011 through September 5, 2012)					\$3,113,040.87	

Option Year 3

YEAR FIVE OPTION PERIOD THREE: (September 6, 2012 through September 5, 2013)					
SOW	Task	Labor Category	Year Five NRC Rate	Hours	Amount
4.1	Task 1	Project Management			
		Program/Project Manager III	(b)(4)		235,319.60
		Total Task 1			\$235,319.60
4.1	Task 2	Document Receipt			
		OCR Operator II / Media Specialist II			75,745.20
		Total Task 2			\$ 75,745.20
4.1	Task 3	Document Preparation			
		Conversion Worker II			28,829.80
		Index Specialist III			32,289.00
		Information Engineer			9,684.82
		Total Task 3			\$ 70,803.62
4.4	Task 4	Document Scanning/Imaging/Text Processing			
		Conversion Worker I			\$ 21,107.74
		Index Specialist III			50,286.11
		Index Specialist IV			54,868.23
		OCR Operator I / Media Specialist I			113,162.05
		Information Engineer			175,378.90
		Project Analyst I			36,934.73
		Total Task 4			\$451,737.76
4.5	Task 5	Document Indexing			
		Conversion Worker I			\$ 93,424.25
		Conversion Worker II			103,590.81
		Conversion Worker III			27,338.39
		Index Specialist IV			147,466.47
		OCR Operator II / Media Specialist II			68,041.63
		Department Manager II			271,761.21
		Information Engineer			90,700.43
		Project Analyst I			228,865.76
		Total Task 5			\$1,031,188.95
4.6	Task 6	Document Distribution			
		Conversion Worker II			11,041.20

YEAR FIVE OPTION PERIOD THREE: (September 6, 2012 through September 5, 2013)					
SOW	Task	Labor Category	Year Five NRC Rate	Hours	Amount
		Conversion Worker III	(b)(4)		11,908.80
		Index Specialist III			21,297.00
		Index Specialist IV			23,237.60
		OCR Operator I / Media Specialist I			23,963.00
		Information Engineer			19,369.64
		Project Analyst I			9,099.20
		Total Task 6			\$119,916.44
4.7	Task 7	Replicating Publicly Available Documents to ADAMS PARS			
		Project Analyst I			30,008.00
		Total Task 7			\$ 30,008.00
4.8	Task 8	Filing Official Agency Records in ADAMS			
		OCR Operator II / Media Specialist II			37,872.60
		Project Analyst I			90,992.00
		Total Task 8			\$128,864.60
4.9	Task 9	ADAMS Database Maintenance			
		Index Specialist IV			95,124.24
		Total Task 9			\$ 95,124.24
4.10	Task 10	Document/Error Tracking System (D/ETS)			
		Engineer/Scientist/Intelligence Analyst II			6,076.80
		Total Task 10			\$ 6,076.80
4.11	Task 11	Nuclear Security and Incident Response (NSIR) ADAMS Document Processing Support Services			
		Project Analyst I			90,992.00
		Total Task 11			\$ 90,992.00
4.12	Task 12	Disaster Recovery Contingency Plan Operations			
		Conversion Worker II			14,721.60
		Conversion Worker III			15,878.40
		Index Specialist III			16,488.00
		Index Specialist IV			35,980.80

YEAR FIVE OPTION PERIOD THREE: (September 6, 2012 through September 5, 2013)					
SOW	Task	Labor Category	Year Five NRC Rate	Hours	Amount
		OCR Operator I / Media Specialist I	(b)(4)		37,104.00
		OCR Operator II / Media Specialist II			19,339.20
		Department Manager II			77,241.60
		Information Engineer			49,454.40
		Project Analyst I			46,464.00
		Program/Project Manager III			60,081.60
		Per Diem, Arlington, TX			56,760.00
		Lodging, Arlington, TX			172,860.00
		Airfare			27,000.00
		Rental Car			17,200.00
		Subtotal Task 12 ODCs			273,820.00
		Total Task 12			\$646,573.60
4.13	Task 13	Office of New Reactors (NRO) Licensing Document Processing Support Services			
		Conversion Worker I			\$ 10,400.16
		Conversion Worker II			11,531.92
		Index Specialist III			12,915.60
		Department Manager I			8,642.36
		Department Manager II			10,084.32
		Information Engineer			19,369.64
		Project Analyst I			9,099.20
		Total Task 13			\$ 82,043.20
4.14	Task 14	High-Level Waste Document Processing Support Services - Electronic Hearing Docket (EHD)			
		Conversion Worker I			\$ -
		Conversion Worker II			-
		Index Specialist III			-
		OCR Operator I / Media Specialist I			-
		Department Manager II			-
		Project Analyst I			-
		Total Task 14			\$ -
4.15	Task 15	(Optional) - Document Backlog Processing			
		Conversion Worker I			\$ 1,992.96
		Conversion Worker II			3,311.28
		Conversion Worker III			1,191.12
		Index Specialist III			2,473.44

YEAR FIVE OPTION PERIOD THREE: (September 6, 2012 through September 5, 2013)							
SOW	Task	Labor Category	Year Five NRC Rate	Hours	Amount		
		Index Specialist IV	(b)(4)		6,750.00		
		OCR Operator I / Media Specialist I			2,782.56		
		OCR Operator II / Media Specialist II			5,800.32		
		Department Manager I			1,103.28		
		Department Manager II			1,287.36		
		Department Manager III			1,471.92		
		Information Engineer			4,945.44		
		Project Analyst I			3,484.80		
		Total Task 15			\$ 36,594.48		
4.16	Task 16	(Optional) - ADAMS Document Retrofit					
		Conversion Worker I				\$ 1,078.74	
		Conversion Worker II				1,809.53	
		Conversion Worker III				661.60	
		Index Specialist III				1,339.65	
		Index Specialist IV				3,673.04	
		OCR Operator I / Media Specialist I				1,507.35	
		OCR Operator II / Media Specialist II				3,142.62	
		Total Task 16				\$ 13,212.53	
		Other Direct Costs					
		Not to Exceed Travel				\$ 10,000.00	
		Not to Exceed Hardware Maintenance				\$ 10,000.00	
		Total ODCs				\$ 20,000.00	
TOTAL YEAR FIVE OPTION PERIOD THREE: (September 6, 2012 through September 5, 2013)					\$3,134,201.02		

Labor Rate Tables**Standard Labor Rates**

The table below summarizes the base labor rates proposed by IMC with labor-category specific discounts.

NRC ADAMS Document Processing Support Services (STANDARD RATE TABLE)		
		Schedule 70
Item #	Labor Category	Rate
Labor		
0001	Conversion Worker I	\$28.37
0002	Conversion Worker II	\$31.43
0003	Conversion Worker III	\$38.44
0004	Index Specialist III	\$35.22
0005	Index Specialist IV	\$38.44
0006	OCR Operator I / Media Specialist I	\$37.42
0007	OCR Operator II / Media Specialist II	\$41.30
0008	Department Manager I	\$47.14
0009	Department Manager II	\$55.00
0010	Department Manager III	\$62.88
0011	Information Engineer	\$105.63
0012	Project Analyst I	\$49.61
0013	Analyst	\$65.61
0014	Program/Project Manager III	\$128.33
0015	Engineer/Scientist/Intelligence Analyst I	\$121.15
0016	Engineer/Scientist/Intelligence Analyst II	\$147.10
0017	Engineer/Scientist/Intelligence Analyst III	\$170.33

(b)(4)

Overtime Labor Rate Table

The table below summarizes IMC's overtime adjusted labor rates, which may be utilized during the performance of tasks outside standard DPC business hours (i.e. Task 15 – Document Backlog Processing)

NRC ADAMS Document Processing Support Services (OVERTIME RATE TABLE)	
Overtime at 1 1/2 Time	
Item #	Labor Category
Labor	
0001	Conversion Worker I
0002	Conversion Worker II
0003	Conversion Worker III
0004	Index Specialist III
0005	Index Specialist IV
0006	OCR Operator I / Media Specialist I
0007	OCR Operator II / Media Specialist II
0008	Department Manager I
0009	Department Manager II
0010	Department Manager III
0011	Information Engineer
0012	Project Analyst I
0013	Analyst
0014	Program/Project Manager III
0015	Engineer/Scientist/Intelligence Analyst I
0016	Engineer/Scientist/Intelligence Analyst II
0017	Engineer/Scientist/Intelligence Analyst III

(b)(4)

Task 12 (Disaster Recovery Contingency Plan Operations) Rate Table

IMC has applied a 5% price discount to all labor supporting this specific task. The following table summarizes the proposed labor rates should this task be executed.

Task 12 - Disaster Recovery Contingency Plan Operations Rate Table			(b)(4)
Item #	Labor Category	Schedule 70 Rate	
0001	Conversion Worker I	\$28.37	
0002	Conversion Worker II	\$31.43	
0003	Conversion Worker III	\$38.44	
0004	Index Specialist III	\$35.22	
0005	Index Specialist IV	\$38.44	
0006	OCR Operator I / Media Specialist I	\$37.42	
0007	OCR Operator II / Media Specialist II	\$41.30	
0008	Department Manager I	\$47.14	
0009	Department Manager II	\$55.00	
0010	Department Manager III	\$62.88	
0011	Information Engineer	\$ 105.63	
0012	Project Analyst I	\$49.61	
0013	Analyst	\$65.61	
0014	Program/Project Manager III	\$ 128.33	
0015	Engineer/Scientist/Intelligence Analyst I	\$ 121.15	
0016	Engineer/Scientist/Intelligence Analyst II	\$ 147.10	
0017	Engineer/Scientist/Intelligence Analyst III	\$ 170.33	

U.S. NUCLEAR REGULATORY COMMISSION

STATEMENT OF WORK FOR AGENCYWIDE DOCUMENTS ACCESS AND MANAGEMENT SYSTEM (ADAMS) DOCUMENT PROCESSING SUPPORT SERVICES OIS-08-301

C.1 Background

The Agencywide Documents Access and Management System (ADAMS) is the 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, and Foremost are used for document capture, retrieval, distribution, electronic filing, and the management of NRC records.

C.2 Objective(s)

The objectives of this contract are to obtain contractor document processing support services to:

- perform tasks associated with entering both incoming and NRC staff generated documents into ADAMS and filing them electronically as NRC Official Agency Records (OARs), *→ Data Entry (Non-Section 170A)*
- perform ADAMS database cleanup tasks associated with profiles entered into ADAMS, *Data Management (Non-Section 170A)*
- perform ADAMS Database Administration activities which include maintaining the ADAMS Controlled Value Lists (CVLs), and ADAMS enforced rules,
- provide document processing support services for retrofitting older NRC document collections into ADAMS,
- maintain NRC Document/Error Tracking System (D/ETS) used to support the NRC's Document Processing Center (DPC) operations,
- develop a draft short term "Contingency Plan" for approval by the NRC Project Officer and the ADAMS Information System Security Officer (ISSO) which supports the DPC operations should there be a catastrophic incident that results in a total loss of NRC Headquarters Buildings, and *Section 170A Service*
- provide document processing support services for updating other NRC systems.

C.3 Scope

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.

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 contract.

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 contract shall require an ADP Security Level-I Clearance.

Period of Performance: September 6, 2008 through September 5, 2013 (two years base contract and three option years)

Hours of Operation and Holiday Schedule: The NRC official 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 transitioning the DPC support effort without interruption in service from the current contractor to the new contractor. The Plan is due to the NRC Project Officer within 5 workdays of the date of contract award.

Facilities and Equipment: The NRC shall provide space in its Rockville, Maryland Facility for the NRC Headquarters DPC. The contractor may be directed to provide an off-site facility to house a portion or the entire DPC operation during the contract period. 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 contract. 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. The contractor shall be responsible for procuring the equipment maintenance agreements and software licenses associated with this contract that are not otherwise purchased by the NRC.

C.4 Statement of Work

Tasks:

4.1 Task #1 - Project Management

Project Management shall encompass coordination of all Tasks and overall administration of staff, the Document Processing Center (DPC) facility, and program directives Tasks 1 through 12 shall be considered routine document processing. The contractor Project Manager shall project productivity, quality standards, and responsiveness to the NRC's requirements for all contract 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 also submit a monthly contractor costs spending plan. The contractor shall maintain all operating procedures, manuals, contingency plans, and other documentation relating to this contract. 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. The contractor shall provide transition support (Phase In/Phase out) for any vendor who is awarded the follow-on contract.

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

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 contract. 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 (Attachment 1) 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 be responsible for meeting performance objectives and measures for each task defined in the DPC Task Performance Metrics (Attachment 2). The contractor shall also be responsible for updating the manual. The contractor shall update the manual and make it available in ADAMS within thirty (30) days of the NRC Project Officer's approved change(s).

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 contract and make it available in ADAMS. 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 contract. 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 assigned will be incorporated at award of this contract.

4.2 Task #2 - Document Receipt

4.2.1 Externally Generated Documents

At Headquarters, the NRC Document Control Desk (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 or CD-ROM/DVD submittals for processing into ADAMS. 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, SECY, and the Executive Director for Operations (EDO). Detailed procedures for the receipt of externally documents are contained in the DPC SOP manual.

4.2.2 Mail Open and Sort

The contractor will have responsibilities for opening externally generated incoming mail delivered by the NRC Mail Center to the Document Control Desk (DCD), sorting the mail according to whether it will be processed into ADAMS or not, and ensuring that documents are properly "flagged" according to their level of sensitivity to facilitate appropriate DPC processing. The NRC Project Officer shall be responsible for providing guidance to the contractor when there are changes in NRC policy or guidance related to how documents are to be processed into ADAMS.

Task(s)

The contractor responsibilities shall include but not be limited to:

1. Opening and sorting incoming mail to determine if the documents are to be processed into ADAMS. Return documents that should not be added to ADAMS to the NRC Mail Center for delivery to the addressee.
2. Review each document for level of sensitivity and affix the proper form to each document as appropriate.
3. Review each document to ensure it is complete (all enclosures or attachments defined in the transmittal letter are present).
4. Notify OIS document processing staff when problems are encountered with incoming submittals, who in turn will be responsible for contacting the appropriate NRC personnel to resolve problems related to the submittal.

5. Perform a final quality control check on incoming submittals after ADAMS processing has been completed. This process involves reviewing e-RIDS sheets for each document (paper, CD-ROM/DVD, and EIE) prior to submittals being forwarded to the NRC File Center or the NRC Copy Center for reproduction and distribution.

4.2.3 Electronic Submittals

In addition, the contractor shall receive externally generated documents in electronic format from NRC stakeholders via the NRC Electronic Information Exchange (EIE) program. The contractor shall be responsible for making sure all documents submitted in electronic format from NRC stakeholders via the EIE for processing into ADAMS are submitted in accordance with EIE procedures and guidance. This includes reviewing the electronic files to ensure documents are submitted in proper formats and that they are complete. The contractor shall also be responsible for notifying NRC staff and the submitter when problems are encountered with the electronic submittals. The contractor shall be responsible for providing "User Support" services to address questions and/or problems from NRC stakeholders related to the creation of PDF files in the proper format for submittal.

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.

4.2.4 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 NRC 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 review each incoming document package 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.

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.

The contractor shall code up to 100 document packages each work day. If any document packages 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 100 production level prior to close of business, and additional document packages 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.

4.2.5 NRC Staff-Generated Documents

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 NRC staff-generated documents are contained in the DPC SOP manual.

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

Processing is complete for NRC staff-generated documents when the e-mail notification to staff is sent.

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 NRC DCD staff for resolution. Detailed procedures for preparing documents for scanning are contained in the DPC SOP manual.

On average, approximately 20 documents received daily by the contractor DCD staff will require special handling. Documents requiring special handling are those that contain or may contain sensitive 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 Recompile/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 recompiled documents to the contractor DCD staff for a final quality control review. Once this review is completed the contractor shall deliver documents to the NRC File Center, or forward them to the appropriate Regional location.

4.4 Task #4 - Document Scanning/Imaging/Text Processing

4.4.1 Scanning/Imaging/Text Processing

The NRC Document Processing Center (DPC) scanning operation uses Kofax Ascent software for document capture and Prime Recognition, Optical Character Recognition (OCR) software to output images in Adobe Acrobat, Portable Document Format (PDF) or other file formats as directed. The contractor is responsible for performing routine maintenance and update activities on DPC scanning software applications. The contractor is also responsible for working in coordination with NRC network infrastructure technical staff to support DPC scanning software applications.

The contractor shall create up to 5,000 scanned images (pages) daily from paper documents received from the DCD or the NRC staff. The contractor shall perform document scanning in accordance with DPC SOP Manual.

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 the 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 completeness and that they are acceptable for entry into ADAMS. Detailed procedures are contained in the DPC SOP Manual.

4.5 Task #5 - Document Indexing

4.5.1 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.

Externally Generated Documents:

For externally generated document packages (including CD-ROM/DVD submittals) 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 (if appropriate) 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.

The contractor shall index up to 440 unique documents (ADAMS Accession Numbers) each work day. The following is a breakdown of indexing requirements by processing flow:

Normal Routine	=	90 Accession Numbers
Submitted To DPC via NRC Form 665	=	50 Accession Numbers
EIE Documents	=	10 Accession Numbers

Submitted to DPC Folders	=	280 Accession Numbers
Normal (Routine) SECY	=	10 Accession Numbers

If the contractor meets the total 440 Accession Number 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.

4.5.2 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 ADAMS in the order defined by the NRC staff.

4.6 Task #6 - Document Distribution

4.6.1 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 send up to 100 electronic notifications 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 100 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. If backlogs occur, the contractor shall notify the NRC Project Officer who will determine whether additional effort is required to reduce the backlog and will provide written direction to the contractor.

4.6.2 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 100 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 100 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. If backlogs occur, the contractor shall notify the NRC Project Officer who will determine whether additional effort is required to reduce the backlog and will provide written direction to the contractor.

4.6.3 Paper and CD-ROM/DVD Distribution

There still remains a requirement to distribute some externally and internally generated paper documents or objects. Distributions may consist of distributing only paper or may be a combination of paper and CD-ROM/DVD or other objects. The NRC shall be responsible for reproducing the number of paper copies and burning sufficient CD-ROM/DVD for the contractor to complete the distributions. The contractor shall be responsible for distributing up to 20 paper or combination of paper and CD-ROM/DVD documents daily. Detailed procedures are contained in the DPC SOP.

4.6.4 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. Detailed procedures are contained in the DPC SOP manual.

4.7 Task #7 - Replicating Publicly Available Documents to ADAMS PARS

The process for releasing publicly available documents to the public is not automated. The contractor shall be responsible for replicating publicly available documents/packages to the ADAMS Publicly Available Records System (PARS) located on the NRC external WEB server daily. The contractor shall copy up to 380 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 System Library (PARS) located on the NRC external WEB server daily. Detailed procedures are contained in the DPC SOP manual.

4.8 Task #8 - Filing Official Agency Records in ADAMS

The contractor shall perform electronic filing of certain Official Agency Record (OAR) documents and packages into the ADAMS Records Management Application (RMA), close-out completed and/or terminated case files in the ADAMS RMA, and add new subject and case files to the ADAMS RMA, when needed, in accordance with the detailed procedures contained in the DPC Standard Operating Procedures.

The contractor shall be responsible for filing all headquarters and regional office OARs, from contract award forward and including any added to ADAMS after 4/1/2000, except for programmatic OARs of the Office of Nuclear Material Safety and Safeguards (NMSS), the Office of Nuclear Reactor Regulation (NRR), the Office of New Reactors (NRO), the Office of International Programs (OIP), the Office of Nuclear Regulatory Research (RES), and the Federal and State Materials and Environmental Program (FSME), for which the NRC Records and Archives Services Section will file the records.

Filing OARs is accomplished in ADAMS using rights provided to the Records Managers group members. A Records Manager files an OAR document or package via the records classification

scheme (ADAMS File Plan) located in ADAMS RMA which uses the ForeMost records management software that is an integrated component of ADAMS.

Filing OARs in the ADAMS RMA links them to a subject or case file folder with a File Retention Code and corresponding retention period that is based on a National Archives and Records Administration (NARA) approved records disposition schedule. All OARs are "Filed to ForeMost" to meet these NARA records management requirements. This task will not be included in the DPC disaster recovery contingency plan because file code assignment is not critical for the processing of externally generated documents and can be accomplished after normal DPC operations are restored.

4.8.1 Records to be Filed in the ADAMS RMA

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. The contractor shall file all documents and packages for all headquarters and regional offices that are not the filing responsibility of the NRC Records and Archives Services Section.

The records series for which the contractor shall have 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 131,000 new OAR documents and packages will be created annually (350 per day times 250 days). Approximately 67% of these OARs comprise the contractor's filing responsibility.

The NRC Task Manager may adjust the filing priorities, as well as the offices and/or records series in which to file, based on agency needs. NRC Task Manager adjustments will not affect the basic requirement to file 350 OARs daily. In the event that the NRC requires an adjustment to the filing requirements a contract modification will be submitted.

4.8.1.1 Obtain Documents and Packages to Be Filed

The primary method of obtaining documents and packages for filing will be by conducting various searches in ADAMS using the ADAMS Find application which will generate a list of OARs. OARs to be filed in multiple folders that have already been filed to one folder will often require separate secondary searches. Some OARs will be filed after being identified by the responsible office contact through the NRC Task Manager. In addition to these methods, 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.

4.8.1.2 Filing OARS in Folders

The contractor shall file OARs in appropriate file folders in ADAMS RMA. The folder structure is based on the ADAMS File Plan which is a hierarchical records classification scheme in the ADAMS RMA used for filing documents. The File Plan is organized by Office, Records Series, Sub-Series (if required), and specific case or subject file folder. The ADAMS File Plan is 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 the records retentions are applied by the higher level folder.

In some cases OARS will need to be placed in multiple folders as they will have different values and records retention based on agency use.

4.8.2 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 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. The contractor will then enter the information into the File Retention Code section of the ADAMS RMA case file folder.

4.8.3 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. NRC estimates that the contractor will create 500 new subject file folders and 3,500 new case file folders in ADAMS RMA annually.

4.8.4 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 RMA.

Due to the critical nature of the records involved, and the effort and difficulty involved in finding records in the event of incorrectly filed documents, the contractor shall conduct period spot checks which require viewing records to assure they have been filed correctly.

4.8.5 Reporting Requirements

The contractor shall include a full accounting of filing by accession number (ANO), 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 OAR ANOs filed daily. The daily count will be adjusted to reflect misfiles. 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 Task Manager.

4.8.6 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 sufficiently familiar with 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 RMA. 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 RMA.

4.8.7 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 will allow a new contractor a one-month learning period for 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 RMA. The contractor shall employ a hands-on approach to 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.

4.8.8 Standard Operating Procedures

Activities performed under this task will be performed according to the detailed procedures contained the DPC Standard Operating Procedures and procedures provided by the NRC Task Manager.

4.9 Task #9 - 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, ADAMS enforced rules, and database cleanup. The NRC will provide the training, if necessary, for the contractor staff performing ADAMS Database Maintenance. The NRC estimates that 2 FTE will be required to perform this task each year of the contract.

4.9.1 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. In addition, the NRC Task Manager will provide the contractor with written procedures to be used when adding new values or modifying existing values to the CVLs.

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.

4.9.2 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.

4.9.3 ADAMS Rules

ADAMS provides a facility to create "rules" that are executed upon declaring a document an Official Agency 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 Agency 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.

4.9.4 Database Cleanup

The contractor shall also perform database cleanup activities associated with profiles entered into ADAMS. Profile elements require 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 NRC Task Manager as they are developed.

4.10 Task #10 - Document/Error Tracking System (D/ETS)

The DPC D/ETS is currently scheduled to be completed prior to the issuance of this contract for use by the NRC Project Officer and contractor Project Manager. The contractor shall be responsible for maintaining the DPC D/ETS used to support the DPC operations. The NRC will provide the contractor with system documentation, source code and a user guide.

The ADAMS Information System Security Officer (ISSO) is responsible for the security posture of the system. Any changes to the system security posture must be approved by the ISSO. In

addition, any possible change to the security posture of other NRC systems, including the infrastructure or other agency systems, must go through a formal change process that includes concurrence by the owners of the systems affected and the Senior Information Technology Security Officer (SITSO). The contractor should not have the ability to make changes to the systems' security posture without the appropriate involvement and approval.

Change management must follow NRC change control policies and procedures. Code must be checked out of the configuration system, modified as necessary and documented, and checked back in through the system configuration manager to produce a new executable. All modifications must be made in the development system and the new executable tested on the test system before the change is accepted. The contractor shall keep all DPC system documentation up to date.

The D/ETS consists of the following modules:

- Document Tracking
- Error Tracking
- E-RIDS Code Assignment

Each of the modules will access a relational database back end implemented in MS SQL Server. The front end will be developed using MS VisualBasic.NET. Reports will be generated using either SQL Server tools and utilities or a report generation tool like Crystal Reports. Each of the systems will be browser-based and access the same SQL server back end. The applications will utilize Microsoft Internet Information Services (IIS) to run the application.

The applications will be accessible to registered users. An application administrator will add users and assign user rights that restrict the capabilities of the users and have further rights to administrate the system and software. The application will be able to track which users accessed the system and what changes were made.

Document Tracking

The Document Tracking Module will allow the development of standardized reports that will enable more rapid generation of supporting information for the Daily Production Indicators Report and the Monthly Progress Report as well as provide ad-hoc reporting capabilities. The system will allow the tracking of documents from the receipt through conversion process and return to the NRC and the monitoring of contractor staff performance and productivity.

Error Tracking

The purpose of the Error Tracking Module (ETM) is to allow the tracking of DPC processing errors including type and cause of errors, analysis of errors, resolution of errors, corrective actions taken to minimize errors and status. The ETM will enable statistical reporting and trend analysis of errors.

E-RIDS Code Assignment

The E-Rids Code Module will allow authorized users to search for multiple values/words for the identification of multiple E-RIDS codes for use in distributing documents in accordance with NRC

guidelines. The application is intended to increase the accuracy of e-records code assignment and reduce reliance on more experienced and costly staff to perform the work.

4.11 Task #11 - Nuclear Security and Incident Response (NSIR) ADAMS Document Processing Support Services

The contractor shall be responsible for providing ADAMS document processing support services for the Office of Nuclear Security and Incident Response (NSIR) secure ADAMS (also known as "E-Safe"). E-Safe is a separate FileNet Library component of ADAMS that will be used by NRC to manage safeguards (SGI) documents (Official Agency Records (OARs) in a secure environment. The work will be performed in secure space located in the NRC Two White Flint North (TWFN) building. The NRC will provide all the equipment required to scan and add documents to the system. This equipment shall not be considered government furnished equipment under the contract and does not need to be included in the contractor maintained GFE listing.

The contractor shall cross-train staff to ensure that effort is staffed each and every workday. The NSIR staff shall serve as Technical Advisors, addressing questions or resolving problems the contractor may encounter when processing documents. NSIR will also assign a Task Manager who shall be responsible for managing this task and approving costs associated with this effort. The NRC estimates that one staff (FTE) will be required to provide these services each and every workday. All document processing shall be performed in accordance with the DPC Standard Operating Procedures for this task. This task will not be included in the DPC disaster recovery contingency plan because the NRC IT contingency plan does not include the capability for the remote scanning/OCR of SGI documents into E-Safe.

The contractor staff assigned to this task shall be responsible for performing but is not limited to the following basic document processing tasks:

1. Document Receipt
2. Document Preparation/Recompilation
3. Scanning/Imaging/Text Processing
4. Document Indexing (Profiling/Profile Quality Control)
5. Declaring documents Official Agency Records (OARs)

Contractor staff assigned to this task including back-up staff must be approved for access to NRC sensitive information technology systems at the IT-Level-I. The contractor staff shall also be responsible for handling the information in accordance with NRC Management Directive 12.2, "NRC Classified Information Security Program", NRC Management Directive 12.5, "NRC Automated Information Security Program", and NRC Management Directive 12.6, "NRC Sensitive Unclassified Information Security Program." The contractor shall include statistics for this task in the Daily Production Indicators Report and the Monthly Progress Report.

The contractor staff assigned to this task shall also be responsible for performing the following tasks associated with document processing:

1. Document Preparation for Entry into the E-Safe Repository

- coordinate with the NSIR File Custodians who perform records management functions for the NSIR divisions related to the SGI documents contained in the lockbar safes.
- obtain source SGI documents (electronic media or paper) from the NSIR File Custodians at various Official File Stations (OFS), transport source SGI documents to the E-Safe processing center, and return the SGI source documents to the appropriate NSIR File Custodian and OFS after processing into the E-Safe repository has been completed.
- maintain the audit log which tracks the movement of the source SGI documents and provides an accountability record for the source SGI documents.
- coordinate with the NSIR File Custodians to prepare the NRC Form 665 for each source SGI document to be entered into the E-Safe Repository. Note: for related groups of documents a template NRC Form 665 is prepared and verified with the File Custodian.

2. Quality Control Checks for the E-Safe Repository

- obtain a verification signature from the NSIR File Custodian for each NRC Form 665 which confirms the correctness of the NRC Form 665 for each source SGI document.
- identify duplicate documents and work with NSIR File Custodian to prevent duplication within the E-Safe Repository.
- coordinate with NSIR File Custodian to identify search and title content needs to ensure an effective organization of NSIR SGI electronic documents.

3. Folder Management

- coordinate with NSIR File Custodians on folder management and provide support to populate appropriate folders with selected SGI electronic documents, per guidance from NSIR File Custodians, and ensure effective organization and access to groups of SGI documents.
- coordinate with staff and contractors performing records management control functions for NSIR SGI documents to ensure effective organization of NSIR SGI electronic documents according to an established File Plan.

4. Current Guidance

The contractor shall follow established guidance for preparing source documents which includes the order in which source documents are retrieved, transported, and processed into the E-Safe repository.

The contractor shall follow guidance from NSIR File Custodians for quality checks and folder management.

The contractor shall follow guidance from OIS records management staff, as needed, for folder management according to an established File Plan.

4.12 Task #12 - Disaster Recovery Contingency Plan Operations

The objective of this task is to put in place a short term "Contingency Plan" (60 workdays) in the event of a disaster or situation that renders the DPC inoperable at the NRC Headquarters Buildings. In accordance with the NRC's ADAMS Contingency Plan, in case of a catastrophic incident, the ADAMS hardware and software will be maintained and supported at the NRC's Region IV Office located in Arlington, Texas. This location already has in place an ADAMS Central Document/Intake and Capture Station that includes a high speed production scanner.

At the direction of the NRC Project Officer, the contractor shall take the necessary actions to deploy its DPC staff to the NRC's Region IV Office. In a contingency situation, deployment of DPC staff to the NRC's Region IV Office shall take place within ten workdays of notification from the NRC Project Officer. After the ten workday deployment period, the short term contingency plan period shall last an additional 60 workdays. The following are the processing volumes the contractor shall be responsible for completing each workday.

Normal Routine	=	100 Accession Numbers
Scanning	=	3,000 images
Submitted To DPC via NRC Form 665	=	25 Accession Numbers
EIE Documents	=	10 Accession Numbers
Submitted to DPC Folders	=	140 Accession Numbers
Normal (Routine) SECY	=	5 Accession Numbers

Note: The NRC does not expect Tasks 8 and 11 to be performed during the 60 workday period.

The NRC contractor shall be responsible for providing standard document processing services for both incoming (externally generated) documents and NRC staff generated documents. The contractor shall include in its contingency plan how they intend to deploy a minimum number of the DPC staff and proposed staffing levels. In addition to the DPC Operations Manager and Supervisors for each task, the NRC would expect that the individuals proposed for this operation to be those individuals that have most experience and knowledge in the processing and handling of NRC documents. These individuals would be considered "Key Personnel" under this task.

The NRC Project Officer shall be responsible for determining the priority processing for documents and which documents need to be processed during this period. The NRC shall provide the equipment required to accommodate contingency operations at this location. The contractor may include alternatives to establishing the Contingency Operations at the NRC's Region IV Office in its plan. Proposed alternatives shall include all associated costs and the reasons why the alternative would be more advantageous to the NRC.

4.13 Task #13 – Office of New Reactors (NRO) Licensing Document Processing Support Services

The U.S. Nuclear Regulatory Commission (NRC) expects to receive and generate approximately 20,000 documents (unique Accession Numbers) each contract year related to new reactor licensing activities (10 CFR Part 52) including hearing related material. This documentation also includes: Early Site Permit (ESP) applications, and Combined Construction and Operating License applications (COLAs) for standardized design certification and Design Control Documents (DCDs). The actual volumes of new reactor licensing-related documents may vary since the number of documents is dependent on the number of COLAs submitted. NRC will provide updated estimates as these numbers become available.

Processing Volumes

The NRC estimates that as many as 20,000 documents (unique Accession Numbers) could be received for processing by the DPC each contract year.

Processing Assumptions:

NRC staff generated documents:

- Approximately 55% of the 20,000 documents (11,000 unique Accession Numbers) will be NRC staff generated documents.
- Approximately 90% of the 11,000 NRC staff generated documents (9,900 unique Accession Numbers) will be added and placed into the DPC processing folders for final ADAMS processing by the NRC staff.
- Approximately 10% of the 11,000 NRC staff generated documents (1,100 unique Accession Numbers) will be in paper format and will consist of approximately 25 pages per document.
- Approximately 80% of the 9,900 NRC staff generated documents (7,920 unique Accession Numbers) added and placed into the DPC processing folders for final ADAMS processing by the NRC staff will be stand-alone documents.
- Approximately 20% of the 9,900 NRC staff generated documents (1,980 unique Accession Numbers) added and placed into the DPC processing folders for final ADAMS processing by the NRC staff will be ADAMS packages consisting of two documents.
- Approximately 80% of the 1,100 NRC staff generated documents (880 unique Accession Numbers) in paper format will be stand-alone documents.
- Approximately 20% of the 1,100 NRC staff generated documents (220 unique Accession Numbers) in paper format will be added to ADAMS as packages consisting of two documents per package.

Incoming documents (externally generated):

- Approximately 45% of the 20,000 documents (9,000 unique Accession Numbers) will be incoming externally generated documents.
- Approximately 90% of the 9,000 incoming documents (8,100 unique Accession Numbers) will be received in electronic format for final ADAMS processing.
- Approximately 10% of the 9,000 incoming documents (900) unique Accession Numbers) will be received in paper format and will consist of approximately 25 pages per document.
- Approximately 80% of the 8,100 incoming documents (6,480 unique Accession Numbers) received in electronic format will be processed into ADAMS as stand-alone documents.
- Approximately 20% of the 8,100 incoming documents (1,620 unique Accession Numbers) received in electronic format will be ADAMS packages consisting of two documents per package.
- Approximately 80% of the 900 incoming documents (720 unique Accession Numbers) will be received in paper format will be added to ADAMS as stand-alone documents.
- Approximately 20% of the 900 incoming documents (180 unique Accession Numbers) received in paper format will be added to ADAMS as packages consisting of two documents per package.

Task(s) - NRC Staff Generated Documents

The contractor shall process documents in accordance with the appropriate ADAMS Template and the DPC Standard Operating Procedures (SOP).

The contractor responsibilities for documents in electronic format placed in DPC processing folders shall include but not be limited to the following Task(s):

1. Document Prep/Add To DETS
2. Document Indexing (Profiling/Profile Quality Control/ADAMS Package (if appropriate)
3. Declaring documents Official Agency Records (OARs)
4. Filing (ForeMost) Official Agency Records (OARs)
5. E-mail Notification

The contractor responsibilities for documents received in paper format for ADAMS final processing shall include but not be limited to the following Task(s):

1. Document Pre-Prep/Add To DETS
2. Document Preparation/Recompilation

3. Scan
4. Image Inspection
5. ADAMS Add
6. Document Indexing (Profiling/Profile Quality Control/ADAMS Package (if appropriate))
7. Declaring documents Official Agency Records (OARs)
8. Filing (ForeMost) Official Agency Records (OARs)
9. E-mail Notification

Task(s) - Incoming Externally Generated Documents

The contractor shall process documents in accordance with the appropriate ADAMS Template and the DPC Standard Operating Procedures (SOP).

The contractor shall be responsible for making sure all documents submitted in electronic format from NRC stakeholders into ADAMS are submitted in accordance with NRC's guidance. This includes reviewing the electronic files to ensure documents are submitted in proper formats and that they are complete. The contractor shall also be responsible for notifying NRC staff and external stakeholders when problems are encountered with electronic submittals. The contractor shall also be responsible for providing "User Support" services to address questions and/or problems from NRC stakeholders related to the creation of PDF files in the proper format for submittal.

The contractor responsibilities for documents received in electronic format shall include but not be limited to the following Task(s):

1. Pre-flight (PDF files)
2. RIDS Code Assignment/Add To DETS
3. Document Indexing (Profiling/Profile Quality Control/ADAMS Package (if appropriate))
4. Declaring documents Official Agency Records (OARs)
5. Filing (ForeMost) Official Agency Records (OARs)
6. Document Distribution (E-RIDS)

It is anticipated that the majority of documents will be received in electronic format via the NRC's Electronic Information Exchange (EIE) and will be added to ADAMS in an automated manner.

The contractor responsibilities for documents received in paper format for ADAMS final processing shall include but not be limited to the following Task(s):

1. RIDS Code Assignment/Add To DETS
2. Document Preparation/Recompilation
3. Scan
4. Image Inspection
5. ADAMS Add
6. Document Indexing (Profiling/Profile Quality Control/ADAMS Package (if appropriate)
7. Declaring documents Official Agency Records (OARs)
8. Filing (ForeMost) Official Agency Records (OARs)
9. Distribution (E-RIDS)

Special Requirements

The contractor shall include statistics for this task in the Daily Production Indicators Report and the Monthly Progress Report. The document processing statistics for this task shall be maintained separately from other tasks and broken down by COL application. The contractor shall also maintain and report labor hours and other associated costs separately from other tasks in its monthly invoices.

4.14 Task #14 - High-Level Waste Document Processing Support Services - Electronic Hearing Docket (EHD)

The contractor shall be responsible for providing document processing support services for entering the anticipated High-Level Waste (HLW) hearing related documents into ADAMS. It is anticipated that the majority of documents will be received as electronic files via the NRC's Electronic Information Exchange (EIE) system for processing into ADAMS for subsequent upload to the NRC's Electronic Hearing Docket (EHD). The actual volumes of HLW licensing-related documents may vary since the number of documents is dependent on when DOE submits its License Application and the number of filings made during the HLW Licensing proceeding. NRC will provide updated estimates as these numbers become available.

Estimated Processing Levels			
Contract Year One 09/06/08 - 09/05/09	Contract Year Two 09/06/09 - 09/05/10	Contract Year Three (Option Year One) 09/06/10 - 09/05/11	Contract Year Four (Option Year Two) 09/06/11 - 09/05/12
14,920 Documents (unique ANOs)	27,232 Documents (unique ANOs)	14,892 Documents (unique ANOs)	72 Documents (unique ANOs)

The contractor shall process documents in accordance with the appropriate ADAMS Template and the DPC Standard Operating Procedures (SOP).

The contractor responsibilities for documents received in electronic format shall include but not be limited to the following Task(s):

1. Pre-flight (PDF files)
2. RIDS Code Assignment/Add To DETS
3. Document Indexing (Profiling/Profile Quality Control/ADAMS Package (if appropriate))
4. Declaring documents Official Agency Records (OARs)
5. Filing (ForeMost) Official Agency Records (OARs)
6. Document Distribution (E-RIDS)
7. Publication to the EHD

It is anticipated that the majority of documents will be received in electronic format via the NRC's Electronic Information Exchange (EIE) and will be added to ADAMS in an automated manner.

Special processing considerations will apply to this class of documents. These requirements have not yet been fully defined and may include expedited processing turn-around times as short as eight hours after receipt, and processing requirements that will occur outside of the regular (core) NRC work hours. Also, the flow of documents to the contractor on a daily basis might not be constant. The contractor shall be capable of handling surges up to a 20% increase in the daily processing requirements. The contractor should include in its Technical and Management Approach how they plan to meet surges in the daily document processing requirements.

4.15 Task # 15 (Optional) - Document Backlog Processing

This task is an optional task. Exercise of the option is subject to the availability of funds and management approval to commence the effort. NRC reserves the right not to exercise this option. Should this optional task be exercised, it will be done by written modification to the Contract. During the period of performance for the contract, there may be occasions in which the daily document processing levels cannot be met for reasons beyond the contractor's control, such as the unavailability of the ADAMS system, reduced ADAMS system performance, and influxes to normal document processing levels resulting in a backlog (documents that were not processed) at the end of the day. On these occasions, the contractor may be required to work during non-core hours such as Saturdays, to reduce the backlog. The NRC estimates that three such efforts will be required each contract year.

The work shall be performed in accordance with the DPC SOP. This task shall be considered a special project under this contract. Document processing statistics for this task shall be maintained separately from other tasks. The contractor shall maintain and report labor hours and

other associated costs separately from other tasks in its monthly invoices. The contractor shall issue a Daily Production Indicators Report that includes statistics for each effort. The contractor shall also include the statistics in the Monthly Progress Report.

4.16 Task #16 (Optional) - ADAMS Document Retrofit

This task is an optional task. Exercise of the option is subject to the availability of funds and management approval to commence the effort. NRC reserves the right not to exercise this option. Should this optional task be exercised, it will be done by written modification to the Contract.

During the period of performance for this contract, the contractor may be directed to perform various tasks associated with retrofitting NRC legacy paper documents into ADAMS. The NRC estimates that at least one such effort will be required each contract year. The contractor shall be responsible for preparing the paper documents for scanning, scanning the paper documents, performing 100% quality control check on images created, completing the ADAMS profile and creating a package if appropriate, performing quality control check of the ADAMS profile, declaring the documents as Official Agency Records (OAR), replicating publicly available documents to ADAMS PARS and filing the documents.

The NRC Records and Archives Services Section shall serve as the central control point for the contractor to pick up documents for processing and to deliver documents after processing has been completed. 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 accordance with the DPC SOP Manual. The NRC estimates that for each effort, the contractor shall be responsible for processing 1,000 documents (unique Accession Numbers) consisting of approximately 25,000 pages into ADAMS. This task shall be considered a special project under this contract. Document processing statistics for this task shall be maintained separately from other tasks. The contractor shall maintain and report labor hours and other associated costs separately from other tasks in its monthly invoices. The contractor shall include statistics for each effort in the Daily Production Indicators Report and the Monthly Progress Report.

4.17 IT Security Requirements

The contractor shall meet federally mandated requirements, including, but not necessarily limited to, the security clauses provided below:

- ADAMS has an overall sensitivity of high and processing using ADAMS must comply with National Institute of Standards and Technology (NIST) SP 800-53 identified high controls for operational, management, and technical controls.
- All system modifications must comply with NRC security policies and procedures for a high sensitivity system, as well as federal laws, guidance, and standards to ensure Federal Information Security Management Act (FISMA) compliance.

- All work performed at non-NRC facilities shall be in facilities, networks, and computers that have been accredited by NRC for processing information at the system sensitivity level.
- The contractor shall ensure that its employees, in performance of the contract, receive IT security training in their role (e.g. system administrators must receive training in the IT security of the operating system being used).
- The contractor shall not publish or disclose in any manner, without the contracting officer's written consent, the details of any protections either designed or developed by the contractor under this contract or otherwise provided by the government. The System Security Plan (SSP) and other information system security documentation for the contract are considered Sensitive Unclassified Information. The contractor agrees to abide by NRC regulations for handling sensitive unclassified information governed by the NRC's Sensitive Unclassified Non-Safeguards Information program (SUNSI) and NRC's Management Directive 12.5, "NRC Automated Information Security Program."
- The contractor shall only use NRC provided e-mail accounts to send and receive NRC information considered sensitive.
- Separation of duties for the systems must be enforced by the system through assigned access authorizations.
- The information system shall provide only essential capabilities and specifically prohibit and/or restrict the use of specified functions, ports, protocols, and/or services. The most restrictive set of rights/privileges or accesses needed by users (or processes acting on behalf of users) for the performance of specified tasks must be enforced by the system through assigned access authorizations.
- The contractor shall only use licensed software and in-house developed authorized code (including government and contractor developed) on the system and for processing government information. Public domain, shareware, or freeware shall only be installed after prior written approval is obtained from the NRC Designated Approving Authority (DAA). The contractor shall provide proof of licensing upon request of the Contracting Officer, the Contracting Officer's Technical Representative, the SITSOs, or the DAAs.
- All development and testing of the systems shall be performed on a network separate and isolated from the NRC operational network that is protected at the high sensitivity level.
- All system computers must be properly configured and hardened, and comply with all NRC security policies and procedures for a high sensitivity system.
- An independent tester will be required to perform the security test, evaluation, and contingency testing on the system. The contractor shall support OIS in its efforts to certify and accredit the systems under FISMA as High Impact Major Application and Networked Listed System by assisting with the completion of required security deliverables that include Memorandum of Understandings, Interconnection Security Agreements, Security

Categorization, E-Authentication Risk Assessment, Security Risk Assessment, System Security Plan, Contingency Plan, Security Test and Evaluation Plan, Security Test and Evaluation Execution Report, Contingency Scenario Execution Report, Corrective Actions Plan and Certification Letter.

- The contractor shall support the NRC in its effort to conduct security tests and evaluation, and contingency tests as needed, to ensure system certification and for continuous monitoring activities. The contractor will provide assistance to the NRC and/or security contractor responsible for developing and performing the test.
- User accounts that have system-level or administrative privileges must have a unique password from all other accounts held by that user, and general user tasks must be performed from a general user account, not from the administrative account.
- The contractor shall not hardcode any passwords into the software unless the password only appears on the server side (e.g. using server-side technology such as Active Server Page (ASP), Hypertext Preprocessor (PHP), or JavaServer Page (JSP)).
- All NRC sensitive data being transmitted over a network external to the NRC's LAN shall use Federal Information Processing Standards (FIPS) 140-2 validated encryption. The contractor shall provide the FIPS 140-2 cryptographic module certificate number and a brief description of the encryption module that includes the encryption algorithm(s) used, the key length, and the vendor of the product.
- All media produced must include appropriate markings to indicate the sensitivity of the information contained on the media and the media must be controlled according to that sensitivity.

The contractor shall meet the Continuous Monitoring requirements identified in NIST Special Publication 800-37.

Any modified code (scripts), tests performed and test results, issue resolution documentation, and updated system documentation shall follow the NRC configuration management process and shall be deliverables on the contract.

- The ADAMS Information System Security Officer (ISSO) is responsible for the security posture of the system. Any changes to the system security posture must be approved by the ISSO. In addition, any possible change to the security posture of other NRC systems, including the infrastructure or other agency systems, must go through a formal change process that includes concurrence by the owners of the systems affected and the Senior Information Technology Security Officer (SITSO). The contractor should not have the ability to make changes to the systems' security posture without the appropriate involvement and approval.
- Change management must follow NRC change control policies and procedures. Code must be checked out of the configuration system, modified as necessary and documented, and checked back in through the system configuration manager to produce

a new executable. All modifications must be made in the development system and the new executable tested on the test system before the change is accepted.

The contractor shall keep all DPC system documentation up to date.

Contract Deliverables

Deliverable	Delivery Requirement	Delivery Point and Copy Requirements
Changes to ADAMS Document Processing Center Standard Operating Procedures	Thirty (30) Days After NRC Project Officer Approves Change	NRC Project Officer: 2 copies
Changes to ADAMS Document Processing Center Task Performance Metrics	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 12:00 noon (for previous day)	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

Acceptance Criteria:

The NRC will use the following criteria to accept or reject the contractor's deliverables.

Within 2 weeks of delivery by the contractor, the NRC Project Officer will review and provide comments on the changes to the ADAMS Document Processing Center Standard Operating Procedures, Task Performance Metrics, and Monthly Progress Report. These documents will be acceptable to the NRC if they meet all requirements specified in this SOW. Within 1 week of the delivery by the contractor, the NRC Project Officer will review the ADAMS Document Processing Center Standard Operating Procedures, Task Performance Metrics, and Monthly Progress Report. These documents will be acceptable to the NRC if all comments have been incorporated.

NRC HQ DPC WORKSTATION GFE and SPECIFICS - September 3, 2008 (PCs refreshed 3/29 -3/31, 2006)

Workstation Location	Task Area	PC Tag #	Monitor Tag#	Other Equipment & Tag #'s	Software Status
OP1-3601	Profile QC	201848	087916	046240 (LaserJet2200D)	ADAMS 4.7, MS Office 2003, Spell Check Anywhere Adobe Acrobat 8.0 Pro, Lead Tool
OP1-3601	Profile QC	201772	087917		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OP1-3602	Ops Mgr	201674	087913	079363 (LaserJet2200D)	ADAMS 4.7, MS Office 2003, Spell Check Anywhere Adobe Acrobat 7.0 Pro, Lead Tool
OP1-3603	Profiling	201783	087627	079859 (LaserJet2200D)	ADAMS 4.7, MS Office 2003, Spell Check Anywhere Adobe Acrobat 8.0 Pro, Lead Tool, Document Security Editor, NRO Document Loader,
OP1-3603	Profiling	201765	087908		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OP1-3604	Profiling	201793	087934	19329 (HP LaserJet 4350DTN - LAN Printer)	ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OP1-3604	HP LAN Printer	-----	-----	19329 (HP LaserJet 4350DTN - LAN Printer)	LAN Printer
OP1-3605A	Profiling	201820	087826		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OP1-3605B	Profiling	202236	087915		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OP1-3606A	Database Maint	201563	087932		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OP1-3606B	Profile	202232	087910		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OP1-3607A	Profiling QC	201798	087931		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OP1-3607B	Profiling	201777	087911		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OP1-3608	Copy/Fax Machine	-----	-----	089061 Kyocera KM-2550	
OP1-3608	Chris Douthitt	200605	087947		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OP1-3608	Release Server 1	087102	088371		Ascent, Prime OCR, Adobe Acrobat 8.0 Pro, Lead Tool ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OP1-3608	Release Server 2	080492	087927		Ascent, Prime OCR, Adobe Acrobat 8.0 Pro, Lead Tool ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OP1-3608	Release Servers Support	-----	-----	081776-UPS Unit	Provides battery backup to both Ascent Release Servers
OP1-3608	HP LAN Printer	-----	-----	19330 (HP LaserJet 4350DTN - LAN Printer)	LAN Printer

NRC HQ DPC WORKSTATION GFE and SPECIFICS - September 3, 2008 (PCs refreshed 3/29 -3/31, 2006)

Workstation Location	Task Area	PC Tag #	Monitor Tag#	Other Equipment & Tag #'s	Software Status
OPI-3609	Profile QC	201789	087922	046241 (LaserJet2200D)	ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3610	Profiling Trainer	201800	087923		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3611	Profiling	201779	087918		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3612	Profiling	201837	087933		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3613	Profiling	201810	087921		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3614A	Profile QC	201797	087936		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3614B	Profile QC	201787	087935		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3615A	Profile QC	03262	087929		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3615B	Profiling QC	201788	087930	081777 (LaserJet2200D)	ADAMS 4.7, MS Office 2003, Spell Check Anywhere, Document Security Editor
OPI-3616	Profiling	201445	087912		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3617A	Profiling	201770	087914		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3617B	Enfocus Pitstop	200299	087955	Enfocus Pitstop	ADAMS 4.7, MS Office 2003, Spell Check Anywhere Enfocus Pitstop
OPI-3618A	Profiling QC	201802	087925		ADAMS 4.7, MS Office 2003, Spell Check Anywhere Adobe Acrobat 8.0 Pro, Lead Tool
OPI-3618B	Profiling	001537	087920		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3619A	Profiling	202245	087956		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3619B	Profiling	201767	087919		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3620	Database Maint	201799	087953		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3621A	ScanningSupv	201760	087954	046242 (LaserJet2200D)	ADAMS 4.7, MS Office 2003, Spell Check Anywhere Adobe Acrobat 8.0 Pro, Lead Tool
OPI-3621B	ScanningSupv	201782	087928		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3622	Profiling	201763	087950		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3623	Image Inspection	200612	087944		ADAMS 4.7, MS Office 2003, Spell Check Anywhere Adobe Acrobat 8.0 Pro, Lead Tool
OPI-3624	Image Inspection	201784	087951		ADAMS 4.7, MS Office 2003, Spell Check Anywhere, Adobe Acrobat 8.0 Pro, Lead Tool

NRC HQ DPC WORKSTATION GFE and SPECIFICS - September 3, 2008 (PCs refreshed 3/29 -3/31, 2006)

Workstation Location	Task Area	PC Tag #	Monitor Tag#	Other Equipment & Tag #'s	Software Status
OPI-3625	Image Inspection	201786	087957		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3626	Scanning	201816	087937	088159 CalComp ScanPlusV 742 HS	ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3627	Scanning	201780	087938	088431 Fujitsu 5900C Scanner	ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3628	Scanning	201791	087626	086546 Fujitsu 4099D Scanner	ADAMS 4.7, MS Office 2003, Spell Check Anywhere Adobe Acrobat 8.0 Pro, Lead Tool
OPI-3629	Scanning	201796	087924	089180 Fujitsu 5900C Scanner	ADAMS 4.7, MS Office 2003, Spell Check Anywhere Adobe Acrobat 8.0 Pro, Lead Tool
OPI-3630	Prep	201794	088372		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3631	Prep	201779	087949		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3632	Prep	201795	087942		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3633	Prep Supv	201785	087940	045287 (Laser Printer)	ADAMS 4.7, MS Office 2003, Spell Check Anywhere Adobe Acrobat 8.0 Pro, Lead Tool, NRO Document Loader
OPI-3634	Prep Supv	201768	087941		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3635	Prep	201781	087943		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3635	Prep	-----	-----	057816-Elec Paper Cutter	
OPI-3636A	Prep	201863	087939		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
OPI-3636B	Prep	201792	087952		ADAMS 4.7, MS Office 2003, Spell Check Anywhere
T2-F3	DCD	202242	19596	080638 (LaserJet2200D)	ADAMS 4.7, MS Office 2003, Spell Check Anywhere
T5-F41	File Center/ ForeMost	200723	087945		ADAMS 4.7, ForeMost, MS Office 2003, Spell Check Anywhere
T5-F47	File Center/ ForeMost	200784	087946		ADAMS 4.7, ForeMost, MS Office 2003, Spell Check Anywhere
O2-G3	DE/TS Server	080094	-----	Dell Power Edge 2650	
O2-G3	Ascent Server	080092	-----	Dell Power Edge 2650	

ATTACHMENT

BILLING INSTRUCTIONS FOR LABOR HOUR/TIME AND MATERIALS TYPE CONTRACTS (JUNE 2008)

General: During performance and through final payment of this contract, the contractor is responsible for the accuracy and completeness of data within the Central Contractor Registration (CCR) database and for any liability resulting from the Government's reliance on inaccurate or incomplete CCR data.

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

Form: Claims shall be submitted on the payee's letterhead, voucher/invoice, 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."

Number of Copies: A signed original shall be submitted. If the voucher/invoice includes the purchase of any property with an initial acquisition cost of \$50,000 or more, a copy of the signed original is also required.

Designated Agency Billing Office: The preferred method of submitting vouchers/invoices is electronically to the Department of the Interior at NRCPayments@nbc.gov

If the voucher/invoice includes the purchase of any property with an initial acquisition cost of \$50,000 or more, a copy of the signed original shall be electronically sent to: Property@nrc.gov

However, if you submit a hard-copy of the voucher/invoice, it shall be submitted to the following address:

Department of the Interior
National Business Center
Attn: Fiscal Services Branch - D2770
7301 West Mansfield Avenue
Denver, CO 80235-2230

If you submit a hard-copy of the voucher/invoice and it includes the purchase of any property with an initial acquisition cost of \$50,000 or more, a copy of the signed original shall be mailed to the following address:

U.S. Nuclear Regulatory Commission
NRC Property Management Officer
Mail Stop: O-4D15
Washington, DC 20555-0001

HAND-CARRIED SUBMISSIONS WILL NOT BE ACCEPTED

Agency Payment Office: Payment will continue to be made by the office designated in the contract in Block 12 of Standard Form 26, Block 25 of Standard Form 33, or Block 18a. of Standard Form 1449, whichever is applicable.

ATTACHMENT

BILLING INSTRUCTIONS FOR LABOR HOUR/TIME AND MATERIALS TYPE CONTRACTS (JUNE 2008)

Frequency: The contractor shall submit claims for reimbursement once each month, unless otherwise authorized by the Contracting Officer.

Format: Claims shall be submitted in the format depicted on the attached sample form entitled "Voucher/Invoice for Purchases and Services Other than Personal" (see Attachment 1). The sample format is provided for guidance only. The format is not required for submission of a voucher/invoice. Alternate formats are permissible provided all requirements of the billing instructions are addressed.

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

Final vouchers/invoices shall be marked "FINAL VOUCHER" or "FINAL 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 contract may not exceed the total U.S. dollars authorized in the contract.

Supersession: These instructions supersede any previous billing instructions.

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**BILLING INSTRUCTIONS FOR
LABOR HOUR/TIME AND MATERIALS TYPE CONTRACTS (JUNE 2008)**

**INVOICE/VOUCHER FOR PURCHASES AND SERVICES OTHER THAN PERSONAL
(SAMPLE FORMAT - COVER SHEET)**

1. Official Agency Billing Office

Department of the Interior
National Business Center
Attn: Fiscal Services Branch - D2770
7301 West Mansfield Avenue
Denver, CO 80235-2230

2. Voucher Information

- a. Payee's DUNS Number or DUNS+4. The Payee shall include the Payee's Data Universal Number (DUNS) or DUNS+4 number that identifies the Payee's name and address. The DUNS+4 number is the DUNS number plus a 4-character suffix that may be assigned at the discretion of the Payee to identify alternative Electronic Funds Transfer (EFT) accounts for the same parent concern.
- b. Payee's Name and Address. Show the name of the Payee as it appears in the contract and its correct address. If the Payee assigns the proceeds of this contract as provided for in the assignment of claims terms of this contract, the Payee shall require as a condition of any such assignment, that the assignee shall register separately in the Central Contractor Registration (CCR) database at <http://www.ccr.gov> and shall be paid by EFT in accordance with the terms of this contract. See Federal Acquisition Regulation 52.232-33(g) Payment by Electronic Funds Transfer - Central Contractor Registration (October 2003).
- c. Contract Number. Insert the NRC contract number.
- d. Voucher/Invoice. The appropriate sequential number of the voucher/invoice, beginning with 001 should be designated. Contractors may also include an individual internal accounting number, if desired, in addition to the 3-digit sequential number.
- e. Date of Voucher/Invoice. Insert the date the voucher/invoice is prepared.
- f. Billing period. Insert the beginning and ending dates (day, month, and year) of the period during which costs were incurred and for which reimbursement is claimed.
- g. Required Attachments (Supporting Documentation).** Direct Costs. The contractor shall submit as an attachment to its invoice/voucher cover sheet a listing of labor categories, hours billed, fixed hourly rates, total dollars, and cumulative hours billed to date under each labor category authorized under the contract/purchase order for each of the activities to be performed under the contract/purchase order. The contractor shall include incurred costs for: (1) travel, (2) materials, including non-capitalized equipment and supplies, (3) capitalized nonexpendable equipment, (4) materials handling fee, (5) consultants (supporting information must include the name, hourly or daily rate of the consultant, and reference the NRC approval), and (6) subcontracts (include separate detailed breakdown of all costs paid to approved subcontractors during the billing period) with the required supporting documentation, as well as the cumulative total of each cost, billed to date by activity.

**BILLING INSTRUCTIONS FOR
LABOR HOUR/TIME AND MATERIALS TYPE CONTRACTS (JUNE 2008)**

3. Definitions

- a. Non-capitalized Equipment, Materials, and Supplies. These are equipment other than that described in number (4) below, plus consumable materials, supplies. List by category. List items valued at \$1,000 or more separately. Provide the item number for each piece of equipment valued at \$1,000 or more.
- b. Capitalized Non Expendable Equipment. List each item costing \$50,000 or more and having a life expectancy of more than one year. List only those items of equipment for which reimbursement is requested. For each such item, list the following (as applicable): (a) the item number for the specific piece of equipment listed in the property schedule of the contract; or (b) the Contracting Officer's approval letter if the equipment is not covered by the property schedule.
- c. Material handling costs. When included as part of material costs, material handling costs shall include only costs clearly excluded from the labor-hour rate. Material handling costs may include all appropriate indirect costs allocated to direct materials in accordance with the contractor's usual accounting procedures.

Sample Voucher Information (Supporting Documentation must be attached)

This voucher/invoice represents reimbursable costs for the billing period
from _____ through _____.

		<u>Amount Billed</u>	
		<u>Current Period</u>	<u>Cumulative</u>
(f)	<u>Direct Costs:</u>		
	(1) Direct Labor	\$ _____	\$ _____
	(2) Travel	\$ _____	\$ _____
	(3) Materials	\$ _____	\$ _____
	(4) Equipment	\$ _____	\$ _____
	(5) Materials Handling Fee	\$ _____	\$ _____
	(6) Consultants	\$ _____	\$ _____
	(7) Subcontracts	\$ _____	\$ _____
	Total Direct Costs:	\$ _____	\$ _____

**BILLING INSTRUCTIONS FOR
FIXED PRICE CONTRACTS (JUNE 2008)**

General: During performance and through final payment of this contract, the contractor is responsible for the accuracy and completeness of data within the Central Contractor Registration (CCR) database and for any liability resulting from the Government's reliance on inaccurate or incomplete CCR data.

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

Form: Claims shall be submitted on the payee's letterhead, voucher/invoice, 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."

Number of Copies: A signed original shall be submitted. If the voucher/invoice includes the purchase of any property with an initial acquisition cost of \$50,000 or more, a copy of the signed original is also required.

Designated Agency Billing Office: The preferred method of submitting vouchers/invoices is electronically to the Department of the Interior at NRCPayments@nbc.gov

If the voucher/invoice includes the purchase of any property with an initial acquisition cost of \$50,000 or more, a copy of the signed original shall be electronically sent to: Property@nrc.gov

However, if you submit a hard-copy of the voucher/invoice, it shall be submitted to the following address:

Department of the Interior
National Business Center
Attn: Fiscal Services Branch - D2770
7301 West Mansfield Avenue
Denver, CO 80235-2230

If you submit a hard-copy of the voucher/invoice and it includes the purchase of any property with an initial acquisition cost of \$50,000 or more, a copy of the signed original shall be mailed to the following address:

U.S. Nuclear Regulatory Commission
NRC Property Management Officer
Mail Stop: O-4D15
Washington, DC 20555-0001

HAND-CARRIED SUBMISSIONS WILL NOT BE ACCEPTED

Agency Payment Office: Payment will continue to be made by the office designated in the contract in Block 12 of the Standard Form 26, Block 25 of the Standard Form 33, or Block 18a. of the Standard Form 1449, whichever is applicable.

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

**BILLING INSTRUCTIONS FOR
FIXED PRICE CONTRACTS (JUNE 2008)**

Preparation and Itemization of the Voucher/Invoice: The voucher/invoice shall be prepared in ink or by typewriter (without strike-overs). Corrections or erasures must be initialed. To be considered a proper voucher/invoice, all of the following elements must be included:

1. Contractor's Data Universal Number (DUNS) or DUNS+4 number that identifies the contractor's name and address. The DUNS+4 number is the DUNS number plus a 4-character suffix that may be assigned at the discretion of the contractor to identify alternative Electronic Funds Transfer (EFT) accounts for the same parent concern.
2. Contract number.
3. Sequential voucher/invoice number.
4. Date of voucher/invoice.
5. Payee's name and address. Show the name of the Payee as it appears in the contract and its correct address. If the Payee assigns the proceeds of this contract as provided for in the assignment of claims terms of this contract, the Payee shall require as a condition of any such assignment, that the assignee shall register separately in the Central Contractor Registration (CCR) database at <http://www.ccr.gov> and shall be paid by EFT in accordance with the terms of this contract. See Federal Acquisition Regulation 52.232-33(g) Payment by Electronic Funds Transfer - Central Contractor Registration (October 2003).
6. A description of articles or services, quantity, unit price, and total amount.
7. For contractor acquired property, list each item with an initial acquisition cost of \$50,000 or more 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.
8. Weight and zone of shipment, if shipped by parcel post.
9. Charges for freight or express shipments. Attach prepaid bill if shipped by freight or express.
10. Instructions to consignee to notify the Contracting Officer of receipt of shipment.
11. For Indefinite Delivery contracts or contracts under which progress payments are authorized, the final voucher/invoice shall be marked "FINAL VOUCHER" OR "FINAL 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 contract may not exceed the total U.S. dollars authorized in the contract.

Supersession: These instructions supersede any previous billing instructions.

CONTRACT SECURITY AND/OR CLASSIFICATION REQUIREMENTS

COMPLETE CLASSIFIED ITEMS BY
SEPARATE CORRESPONDENCE

1. CONTRACTOR NAME AND ADDRESS

A. CONTRACT NUMBER FOR COMMERCIAL
CONTRACTS OR JOB CODE FOR DOE
PROJECTS (Prime contract number must be shown
for all subcontracts.)

B. PROJECTED
START DATE

09/06/2008

C. PROJECTED
COMPLETION DATE

09/05/2013

2. TYPE OF SUBMISSION



A. ORIGINAL



B. REVISED (Supersedes all
previous submissions)



C. OTHER (Specify)

3. FOR FOLLOW-ON CONTRACT, ENTER PRECEDING CONTRACT NUMBER AND PROJECTED COMPLETION DATE

A. DOES NOT APPLY



B. CONTRACT NUMBER

NRC-03-33-341

DATE

09/05/2008

4. PROJECT TITLE AND OTHER IDENTIFYING INFORMATION

ADAMS Document Processing Support Services

5. PERFORMANCE WILL REQUIRE

A. ACCESS TO CLASSIFIED MATTER OR CLASSIFIED INFORMATION



YES (If "YES," answer 1-7 below)



NO (If "NO," proceed to 5.C.)

NOT
APPLICABLE

NATIONAL SECURITY

RESTRICTED DATA

SECRET

CONFIDENTIAL

SECRET

CONFIDENTIAL

1. ACCESS TO FOREIGN INTELLIGENCE INFORMATION



2. RECEIPT, STORAGE, OR OTHER SAFEGUARDING OF
CLASSIFIED MATTER. (See 5.B.)



3. GENERATION OF CLASSIFIED MATTER.



4. ACCESS TO CRYPTOGRAPHIC MATERIAL OR OTHER
CLASSIFIED COMSEC INFORMATION.



5. ACCESS TO CLASSIFIED MATTER OR CLASSIFIED
INFORMATION PROCESSED BY ANOTHER AGENCY.



6. CLASSIFIED USE OF AN INFORMATION TECHNOLOGY
PROCESSING SYSTEM.



7. OTHER (Specify)



B. IS FACILITY CLEARANCE REQUIRED?



YES



NO

C. ☐ UNESCORTED ACCESS IS REQUIRED TO PROTECTED AND VITAL AREAS OF NUCLEAR POWER PLANTS.

D. ☐ ACCESS IS REQUIRED TO UNCLASSIFIED SAFEGUARDS INFORMATION.

E. ☒ ACCESS IS REQUIRED TO SENSITIVE IT SYSTEMS AND DATA.

F. ☒ UNESCORTED ACCESS TO NRC HEADQUARTERS BUILDING.

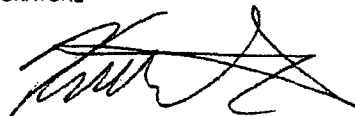
FOR PROCEDURES AND REQUIREMENTS ON PROVIDING TEMPORARY AND FINAL APPROVAL FOR UNESCORTED ACCESS, REFER TO NRCMD 12.

6. INFORMATION PERTAINING TO THESE REQUIREMENTS OR THIS PROJECT, EVEN THOUGH SUCH INFORMATION IS CONSIDERED UNCLASSIFIED, SHALL NOT BE RELEASED FOR DISSEMINATION EXCEPT AS APPROVED BY:

NAME AND TITLE

Keith R. Shaw, Sr. Information Management Analyst

SIGNATURE



DATE

09/10/07

7. CLASSIFICATION GUIDANCE

NATURE OF CLASSIFIED GUIDANCE IDENTIFICATION OF CLASSIFICATION GUIDES

8. CLASSIFIED REVIEW OF CONTRACTOR / SUBCONTRACTOR REPORT(S) AND OTHER DOCUMENTS WILL BE CONDUCTED BY:

☐

AUTHORIZED CLASSIFIER (Name and Title)



DIVISION OF FACILITIES AND SECURITY

2/7/08

9. REQUIRED DISTRIBUTION OF NRC FORM 187 Check appropriate box(es)



SPONSORING NRC OFFICE OR DIVISION (Item 10A)



DIVISION OF CONTRACTS AND PROPERTY MANAGEMENT



DIVISION OF FACILITIES AND SECURITY (Item 10B)



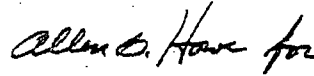
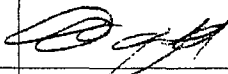
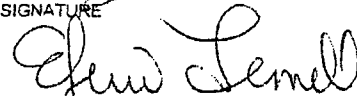
CONTRACTOR (Item 1)



SECURITY/CLASSIFICATION REQUIREMENTS FOR SUBCONTRACTS RESULTING FROM THIS CONTRACT WILL BE APPROVED BY THE OFFICIALS NAMED IN ITEMS 10B AND 10C BELOW.

10. APPROVALS

SECURITY/CLASSIFICATION REQUIREMENTS FOR SUBCONTRACTS RESULTING FROM THIS CONTRACT WILL BE APPROVED BY THE OFFICIALS NAMED IN ITEMS 10B AND 10C BELOW.

NAME (Print or type)	SIGNATURE	DATE
A. DIRECTOR, OFFICE OR DIVISION	SIGNATURE	DATE
John J. Linehan, Director, OIS/IRSD		12/12/2007
B. DIRECTOR, DIVISION OF FACILITIES AND SECURITY	SIGNATURE	DATE
Mark Lombard, Director, DFS		2/7/08
C. DIRECTOR, DIVISION OF CONTRACTS AND PROPERTY MANAGEMENT (Not applicable to DOE agreements)	SIGNATURE	DATE
Mary Lynn Scott		2/7/08

REMARKS

See attached "Security Clauses" and Statement of Work



Document Processing Center (DPC) Task Performance Metrics

Nuclear Regulatory Commission

August 29, 2007

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Nuclear Regulatory Commission

DPC Task Performance Metrics

1. Purpose

The purpose of this Task Performance Metrics Plan is to provide a methodology and metrics for evaluating the performance of the Document Processing Center (DPC). A draft version of this plan was originally submitted and accepted as a deliverable under the Statement of Work for BPA NRC-33-01-189. This document has been updated, in response to technical direction received from the NRC Project Officer, to reflect current quality control processes utilized by the DPC under contract NRC-33-03-341.

2. Methodology

The contractor uses the eight-step methodology described below to develop and manage quality assurance programs. Steps One through Five were used to develop a Task Performance Metrics Plan for the NRC Document Processing Center (DPC). On approval of the NRC Project Officer, the remaining steps will be used to implement and administer the Task Performance Metrics Plan, performance metrics, and Measurement Criteria.

Step One: Logical grouping of major responsibility areas based on:

- Analysis of the statement of work.
- History of the Document Processing Center in performing the task.
- Existing performance metrics.
- Definition of requirements.
- Ability to develop performance metrics measurable by objective criteria.
- Ability to measure those criteria.

Step Two: Development of quality objectives for each area/task.

Step Three: Documentation of existing processes and systems.

Step Four: Evaluation of the ability of existing processes, systems, and quality control techniques to meet the quality objectives.

Step Five: Development and recommendation of quality control techniques to enhance quality and the ability to measure performance.

Step Six: Implementation of approved recommendations and quality control techniques to enhance quality and the ability to measure performance.

Step Seven: Monitor and analyze performance metrics to identify problems and take corrective action as appropriate.

Step Eight: Review and adjust quality control techniques to reflect system changes, new requirements, and corrective actions required to meet quality objectives. This will be performed on a recurring basis.

3. Logical Grouping of Tasks

This section includes a summary of tasks by responsibility area.

3.1 Summary of Tasks by Responsibility Area

Project Management

- Task 1: Project Management
- Task 10: Document/Error Tracking System (DETS)

Document Processing

- Task 2: Document Receipt
- Task 3: Document Preparation/Recompilation
- Task 4: Document Scanning/Imaging/Text Processing
- Task 5: Document Indexing (Profiling and Quality Control)
- Task 6: Document Distribution
- Task 7: Replicating Publicly Available Documents To ADAMS PARS

Records Management

- Task 8: Filing Official Agency Records In ADAMS

ADAMS Database Support

- Task 9: ADAMS Database Maintenance
- Task 16: ADAMS Database Retrofit

4. Quality Objectives

This section describes and summarizes the **Quality Assurance Objectives** and **Performance Metrics** for each of the responsibility areas. Where appropriate and possible, objectively measurable performance metrics were selected. In some cases, the ability to evaluate objective performance metrics will depend on implementation of recommended process and system improvements.

4.1 Project Management

Table 4-1 Project Management Quality Assurance Objectives

	Quality Objectives	Performance Criteria
1	Project resources are managed to ensure delivery of products and services on time and within budget.	100%
2	The project is staffed with adequate levels of qualified workers to ensure timely delivery of quality products and services.	100%
3	New contract employees receive quality hands-on training that accelerates proficiency in duties and responsibilities.	100%
4	NRC SOPs are updated to reflect significant changes in processes on a timely basis.	100%
5	Process Reviews/Technology Assessments of DPC operations are periodically performed with any appropriate recommendations for DPC process improvement being submitted to the NRC for consideration.	100%
6	Government-furnished equipment is properly managed and tracked.	100%
7	Perform periodic checks of PDF files produced at the DPC for quality and conformance with NRC guidelines.	100%
8	Follow-up with procedural changes to ensure that they are recorded and appear appropriately in the DPCs Standard Operation Procedures (SOPs). Perform a review of the SOPs periodically to ensure they are complete and current.	100%

4.2 Document Error and Tracking System

DETS is a core management technology at the Document Processing Center. It provides the DPC management staff with daily, weekly, or ad-hoc reporting on document/work package tracking and status. It also supports the tracking of errors across a wide range of controls. This allows the DPC management team to identify each individual's performance against required quality standards and aids in the early identification of systemic or localized processing issues. DETS also supports the E_RIDS Code Assignment function.

4.3 Document Processing Standards

This section provides an overview of standard quality assurance objectives and processes for the conversion industry, their applicability to NRC document processing, and suggested quality objectives and control techniques. Discussion of each of the quality objective areas follows a summary table.

4.3.1 Conversion Industry Overview

Quality assurance objectives for the document conversion industry are directly related to:

- Physical records management and tracking.
- Image quality.
- Index accuracy and completeness.
- Accuracy/confidence and completeness of optical character recognition (OCR) of processing.
- Conformance with file output requirements for images and index information.
- Meeting delivery deadlines.

Existing conversion infrastructure is evaluated against the requirements of the job. Work processes and quality control techniques are developed that will ensure that acceptance criteria will be met. When it is determined that existing process and infrastructure are inadequate to support the requirements, consideration is made of customer price sensitivity and flexibility of the requirements listed above. Then, improved conversion hardware and software and methods of production are evaluated, purchased, and implemented.

Acceptance criteria are developed for each of these parameters based on document quality, turn time for delivery of the products, and the customer's price sensitivity.

Industry-standard quality objectives, performance metrics, and ranges of acceptable performance are documented in the following table.

Table 4-2 Industry-Standard Quality Objectives, Performance Metrics, Range of Acceptable Performance

	Quality Objective/Performance Metric	Industry Standard Range	Target DPC Range
1.	Record Management/Document Control		
a.	All documents received for processing are processed.	100%	100%
b.	All documents received for processing are returned after processing is completed.	100%	100%
c.	Documents are recompiled/reconstructed in conformance with specifications.	95-100%	98%
2.	Image Quality		
a.	Images are scanned and enhanced in conformance with customer specifications.	90% -100%	98%
b.	Images that do not meet customer acceptance criteria are reprocessed.	100%	100%
c.	Image files are viewable and readable with government-provided viewers.	100%	99.5%
3.	Index Accuracy		
a.	All documents submitted for processing are indexed in conformance with customer specifications:	90% -99.99%	95%
	• Index accuracy	90% -99.99%	95%
	• Index completeness - all fields are indexed when data is available	90% -99.99%	95%
4.	OCR Processing		
a.	OCR completeness – All documents meeting OCR selection criteria are processed.	99%	**
b.	OCR accuracy/confidence – Customer guidelines for achieved confidence level of the accuracy are met.	99%	**
5.	File Output/Replication/Distribution		
a.	All documents are distributed in accordance with customer specifications, and special instructions (i.e. ERIDS and email notifications).	N/A	99%
b.	All and only documents meeting customer specifications for public availability are replicated to the Publicly Available Records System (PARS).	N/A	99%
6.	Timeliness		
a.	All documents are processed in accordance with priorities assigned by the NRC, including general guidelines and special instructions. This includes the expedited, immediate, and normal processing turn times.	95% - 100%	99%
b.	All and only documents meeting criteria for public availability are replicated to PARS on and not before the release date for that document.	95% - 100%	99%

5. Evaluation of Existing Systems, Processes, Control Techniques, and Recommendations

This section details quality objectives, existing control techniques, recommended control techniques, and major factors/issues associated with each task area.

The format was selected for the following reasons:

- Concentration on quality objectives.
- Identification of key control techniques.
- Identification of weaknesses.
- Ease of maintenance.
- Facilitation and support of compliance audits.

Table 5-1 Task 1: Existing Project Management Evaluation

5.1 Task 1: Project Management		
Quality Objectives		Acceptance Criteria
1.	Project resources are managed to ensure delivery of products and services on time and within budget.	100%
2.	The project is staffed with adequate levels of qualified workers to ensure timely delivery of quality products and services.	100%
3.	New contract employees receive quality hands-on training that accelerates proficiency in duties and responsibilities.	100%
4.	NRC SOPs are updated to reflect significant changes in processes on a timely basis.	100%
5.	Process Reviews/Technology Assessments of DPC operations are periodically performed with any appropriate recommendations for DPC process improvement being submitted to the NRC for consideration.	100%
6.	Government-furnished equipment is properly managed and tracked.	100%
7.	Ensure accurate reporting of DPC processing status is completed at all required intervals (daily, weekly, and monthly) for all exercised, optional contract tasks: <ul style="list-style-type: none"> • Task 14: Document Backlog Processing • Task 15: Electronic Hearing Document (EHD) • Task 18: NSIR ADAMS Support Services 	100%
Existing Quality Control Techniques		
1.	The on-site Project Manager reviews the daily workload and staffing to ensure that workers are assigned to meet daily production levels specified in the statement of work. Constantly monitor production flow and staffing assignments to ensure production turnarounds times and quality requirements are consistently met, in accordance and as defined in SOW. Shift staffing assignments when needed	
2.	The contractor's Program Manager reviews hours and dollars charged to each NRC Task on a semi-monthly basis. When unplanned variations in budget occur, corrective action is taken.	

5.1 Task 1: Project Management

3.	Only candidates that pass proficiency tests in the key skill sets identified for open positions are hired.
4.	New hires receive extensive hands-on training from experienced staff and management personnel.
5.	All work performed by new staff is extensively reviewed prior to replication to the ADAMS Main Library.
6.	The on-site contractor's Project Manager and supervisors update the SOP manual within 30 days of any major change in a process or procedure.
7.	Any changes to the SOP manual are reviewed by the contractor's Program Manager and approved by the NRC Project Officer before release of the updated manual.
8.	The contractor's Program Manager and on-site contractor's Project Manager continuously review DPC processes to identify areas for technology and process improvements. Recommendations are made to the NRC Project Officer on a regular basis...
9.	The contractor's maintains a database of all GFE by location. Any movement of, additions to, or other modifications to GFE are recorded in the database as they occur.
10.	Participate in occasional working sessions with other NRC and contractor staff which may involve potential changes in procedures, upcoming events and process improvements. Provide input focusing on impact any changes may have on the DPC. Suggest alternative solutions and/or more feasible means through which DPC production activities could be accomplished.

Proposed Quality Control Techniques

1.	Daily and weekly monitoring of DPC performance levels versus contract requirements.
2.	Continued to leverage and enhance the Document Error and Tracking System (DETS).

Table 5-2 Task 2: Existing Document Receipt Evaluation

5.2 Task 2: Document Receipt		
Quality Objectives		Acceptance Criteria
1.	<p>All documents will be coded for processing according to priorities assigned by the NRC. This includes both paper and electronically submitted documents.</p> <p>Externally generated documents</p> <ul style="list-style-type: none"> • “Expedited” – within 3-6 working hours of receipt by the DPC. • “Normal” – within 8 working hours of receipt by the DPC. <p>NRC staff generated documents</p> <ul style="list-style-type: none"> • “Immediate Release” – within 4 working hours of submission to the DPC. • “Normal”- within 8 working hours of submission to the DPC. 	99%
2.	All documents are assigned the correct distribution code.	99%
Existing Quality Control Techniques		
1.	<p>Experienced staff reviews all incoming documents and assigns priorities in accordance with the SOP and/or special instructions (NRC Form 665). This includes but is not limited to:</p> <ul style="list-style-type: none"> • Attachment of the appropriate Scan ID Cover Sheet, with a pre-assigned tracking number, to identify document processing priority. • Review of special instruction contained on NRC Form 665 for completeness. • “Expedited”/ “Immediate Release” documents are immediately given to a document preparation clerk for priority processing. 	
2.	<p>Experienced staff reviews all incoming documents and assigns a distribution code where appropriate, in conformance with the SOP. Responsibilities include but are not limited to:</p> <ul style="list-style-type: none"> • Review of documents for key words associated with RIDS distribution codes. • Searching a WordPerfect document prepared by the NRC which associates key words with RIDS distribution codes. • Questions or problems regarding the appropriate distribution code are resolved with the NRC Document Control Desk 	
3.	<p>Any new staff assigned to Task 2 receives extensive hands-on training from experienced staff before starting unsupervised work. This includes, but is not limited to:</p> <ul style="list-style-type: none"> • Training aids including a copy of the SOP. • 100% review of work by experienced staff until proficiency is demonstrated. 	
4.	DPC cross-trains staff to ensure that proper classification and coding of documents occurs independent of fluctuations in volume or staff absences.	
5.	Distribution codes are reviewed for correctness during Profiling, QC, and actual Document Distribution. Any questionable coding is reviewed and corrected.	

5.2 Task 2: Document Receipt

Proposed Quality Control Techniques

	<p>A log of errors reported to the DPC is maintained and reviewed by the QC Manager. Priority-processing and distribution-coding errors are referred to the appropriate supervisor(s) for investigation and resolution. Appropriate corrective actions could include:</p>
1.	<ul style="list-style-type: none">• Update of the SOP.• Additional training of staff.• Disciplinary action.
2.	<p>Document Return forms are used to document return of documents from the DPC to the NRC Document Control Desk, File Room, or any other entity. The form would include:</p> <ul style="list-style-type: none">• A listing of the Scan ID numbers and/or ANOs of the documents being returned.• Time and location of the delivery.• Who received the documents• Barcode of the re-useable container used for transport.
3.	<p>DPC management reviews exception reports that show the status of documents submitted to the DPC for processing to ensure that documents are processed within the time frames required by contract. Any documents where the time between document receipt and declaration exceeds the processing time requirement are investigated and corrective action is taken.</p>
4.	<p>Daily and weekly monitoring of DPC performance levels versus contract requirements.</p>

Table 5-3 Task 3: Existing Document Preparation / Recompilation Evaluation

5.3 Task 3: Document Preparation / Recompilation		
Quality Objectives		Acceptance Criteria
1.	All documents submitted to the DPC will be prepared for scanning in accordance with the SOP.	99% of documents submitted
2.	<p>The DPC will process documents according to priorities assigned and the time frames required by the NRC. This includes both paper and electronically submitted documents.</p> <p>Externally generated documents</p> <ul style="list-style-type: none"> • "Expedited" – within 3-6 working hours of receipt by the DPC. • "Normal" – within 8 working hours of receipt by the DPC. <p>NRC staff generated documents</p> <ul style="list-style-type: none"> • "Immediate Release" – within 4 working hours of submission to the DPC. • "Normal"- within 8 working hours of submission to the DPC. 	99% of documents submitted
3.	All documents that have completed DPC processing will be recompiled according to NRC standards.	99% of documents submitted
4.	All documents that have completed DPC Processing and been recompiled will be returned to the NRC File Center or appropriate Regional location by the close of business each day.	99% of documents submitted
Existing Quality Control Techniques		
1.	<p>Any staff assigned to Task 3 receives extensive hands-on training from experienced staff before starting unsupervised work. This includes, but is not limited to:</p> <ul style="list-style-type: none"> • Training aids including a copy of the SOP. • 100% review of work by experienced staff until proficiency is demonstrated. 	
2.	DPC cross-trains staff to ensure that documents are properly prepared and recompiled despite fluctuations in volume or staff absences.	
Proposed Quality Control Techniques		
1.	<p>A log of errors reported to the DPC is maintained and reviewed by the QC Manager. Priority-processing and distribution-coding errors are referred to the appropriate supervisor(s) for investigation and resolution. Appropriate corrective actions could include:</p> <ul style="list-style-type: none"> • Update of the SOP. • Additional training of staff. • Disciplinary action. 	

Table 5-4 Task 4: Existing Document Scanning/Imaging/Text Processing Evaluation

5.4 Task 4: Document Scanning/Imaging/Text Processing		
Quality Objectives		Acceptance Criteria
1.	<p>The DPC will process documents according to priorities assigned and the time frames required by the NRC. This includes both paper and electronically submitted documents.</p> <p>Externally generated documents</p> <ul style="list-style-type: none"> • “Expedited” – within 3-6 working hours of receipt by the DPC. • “Normal” – within 8 working hours of receipt by the DPC. <p>NRC staff generated documents</p> <ul style="list-style-type: none"> • “Immediate Release” – within 4 working hours of submission to the DPC. • “Normal”- within 8 working hours of submission to the DPC. 	99% of documents submitted
2.	<p>All documents authorized for scanning will be digitally captured in conformance with the DPC SOPs. This will include but not be limited to:</p> <ul style="list-style-type: none"> • DPI • Format (bi-tonal/color) • File Size • Quality acceptable for OCR processing 	<p>98% of images are of the “best possible”</p> <p>See “Task 4 Discussion” for definition</p>
3.	Documents will be scanned in conformance with special instructions (simple/complex).	See “Task 4 Discussion”
4.	Create up to 4,000 scanned images each day.	99% Compliance
Existing Quality Control Techniques		
1.	Scan staff process work submitted from document preparation according to its priority. Highest priority items are processed before “normal” priority documents.	
2.	Scan staff maintains daily production logs which include logging Scan ID number and images which account for the total number of documents and images scanned each day. This also includes the Document/Error Tracking System (DETS) that would identify documents processed and the user who performed the scanning. DETS also maintains Scan ID numbers, images scanned, the amount of work required, and any documents rejected back to prep, torn pages, bindings not removed, Xerox copy needed, etc.). Scan staff maintains daily production logs which account for total number of documents scanned each day.	
3.	<p>Scan staff receives extensive hands-on training from experienced staff before starting unsupervised work. This includes but is not limited to:</p> <ul style="list-style-type: none"> • Training aids including a copy of the SOP. • Specific instructions on operation and user maintenance of all DPC scanners and related software. <p>100% review of work by experienced staff until proficiency is demonstrated.</p>	

5.4 Task 4: Document Scanning/Imaging/Text Processing

- | | |
|----|--|
| 4. | Staff in other areas is cross-trained in Scanning to ensure that adequate staff is available to accommodate fluctuations in production volume and to cover for absences in regularly assigned staff. |
| 5. | Image files are viewed for completeness and quality before being saved. The number of thumbnail images is compared to the number of pages counted in Document Preparation. Any discrepancies are investigated and resolved. |
| 6. | Scan staff adjust scanner setting to optimize image quality and to conform to SOP guidelines. This includes but is not limited to: <ul style="list-style-type: none">• Default settings on the scanner are set according to SOP guidelines for DPI and file format.• Image contrast settings are adjusted as needed to optimize OCR processing of image files.• The file size of large documents is reviewed for conformance with SOP limits before the file is saved.• Images not meeting SOP guidelines are reprocessed before being saved. |
| 7. | Scan staff review and follow "special handling" instructions regarding page rotation, color format, and other items. |
| 8. | Scan staff constantly monitor incoming work. Documents marked for "expedited" processing are given immediate priority. |

Recommended Quality Control Techniques

- | | |
|----|---|
| 1. | The contractor will continue to periodically review the latest trends in document imaging or electronic content management. If new technologies, or processes, become available, the contractor is responsible for presenting these new technologies or processes with the NRC Project Officer for possible utilization in the DPC> |
| 2. | Daily and weekly monitoring of DPC performance levels versus contract requirements. |

Table 5-5 Task 5: Document Indexing Evaluation

5.5 Task 5: Document Indexing (Profiling and Quality Control)		
Quality Assurance Objectives		Acceptance Criteria
1.	<p>The DPC will process documents according to priorities assigned and the time frames required by the NRC.</p> <p>Externally generated documents</p> <ul style="list-style-type: none"> • “Expedited” – within 3-6 working hours of receipt by the DPC. • “Normal” – within 8 working hours of receipt by the DPC. <p>NRC staff generated documents</p> <ul style="list-style-type: none"> • “Immediate Release” – within 4 working hours of submission to the DPC. • “Normal”- within 8 working hours of submission to the DPC. 	99% of documents submitted
2.	<p>Index information for documents submitted to the Document Processing Center is completely and accurately indexed, in accordance with SOP. This includes but is not limited to:</p> <ul style="list-style-type: none"> • Selection of the correct template. • Completion of all data elements in accordance with the template and 665 forms. • Correction of existing records not previously declared “Official Agency Records”. 	95% Accuracy
3.	Complete profiling activities on 380 unique documents (ANOs) each day.	99% Compliance
Existing Quality Control Techniques		
1.	<p>For externally generated document packages, received from the Document Control Desk or via EIE, contractor's staff will concentrate on completing the entry and identification of profile data in conformance with established guidelines and procedures.</p>	
2.	<p>For NRC-generated documents, the Profile/QC Manager or Profile supervisor reviews the subdirectories within the ADAMS DPC Processing Directory, then logs the documents into the Document/Error Tracking System, copying documents from the various priority subdirectories to the appropriate priority “...Docs for Profiling” directory. A log is maintained that indicates the time accepted by the DPC. The documents are checked off as Profiling and QC processing are completed. Any items that remain outstanding during the day are investigated and corrective action is taken to ensure timely processing.</p>	
3.	<p>Profiling staff reviews the availability of documents within priority-designated folders within ADAMS selecting work from the oldest dated subdirectories within the highest priority “...Docs to QC” directory. Documents with completed profiles are copied to the appropriate priority subdirectory within the “...Docs to QC” directory before being “unfiled” from the “...Docs to QC” directory.</p>	
3.	<p>Throughout the day, the Profile Supervisor and the Profile/QC Manager periodically review the “...Docs for Profiling” directories to ensure that all documents are processed based on the day and priority assigned to</p>	

5.5 Task 5: Document Indexing (Profiling and Quality Control)

	<p>the documents. Corrective actions that ensure that documents are processed according to priority include:</p> <ul style="list-style-type: none"> • Reallocation of staff to address backlogs. • Review and resolution of issues associated with documents with submitters, ADAMSIM, and the NRC Project Officer as appropriate.
4.	<p>Profiling staff receives extensive hands-on training from experienced staff before starting unsupervised profiling. This includes but is not limited to:</p> <ul style="list-style-type: none"> • Training aids. • Template selection. • 100% review of work by experienced staff until proficiency is demonstrated.
5.	Detailed instructions (Templates) of how to profile document types for particular organizations are reviewed and followed.
6.	100% of document profiles completed by index staff are reviewed by DPC Quality Control staff for template selection, completeness, and accuracy. Corrections are made as appropriate.
Proposed Quality Control Techniques	
1.	Quality Control staff maintains tracking forms that detail by accession number the fields corrected during their review. Feedback is provided to the Profile/QC Manager, Profile Supervisor and staff to prevent repetition of errors.
2.	<p>A 5% sample of profiles that have been reviewed and corrected by QC staff is selected and tested for accuracy and completeness by the QC manager or other experienced staff. Appropriate corrective action is taken that could include:</p> <ul style="list-style-type: none"> • Use of correct templates. • Reporting and resolution of issues with ADAMS IM, NRC Project Officer or other appropriate staff. • Additional training of staff. • Disciplinary action.
3.	<p>A log of errors reported to the DPC is maintained and reviewed by the Profile QC Manager. Errors are analyzed and investigated. Corrective action is taken. This could include but not be limited to:</p> <ul style="list-style-type: none"> • Update of templates. • Additional training of staff. • Disciplinary action.
4.	Daily and weekly monitoring of DPC performance levels versus contract requirements.

Table 5-6 Task 7: Existing Document Distribution Evaluation

5.6 Task 6: Document Distribution		
Quality Objectives		Acceptance Criteria
1.	<p>The DPC will process documents according to priorities assigned and the time frames required by the NRC.</p> <p>Externally generated documents</p> <ul style="list-style-type: none"> • “Expedited” – within 3-6 working hours of receipt by the DPC. • “Normal” – within 8 working hours of receipt by the DPC. <p>NRC staff generated documents</p> <ul style="list-style-type: none"> • “Immediate Release” – within 4 working hours of submission to the DPC. • “Normal”- within 8 working hours of submission to the DPC. 	98% of documents submitted
2.	All documents coded for distribution by the e-RIDS system that have completed processing are distributed by the e-RIDS system.	99.5% Accuracy
3.	All and only appropriate NRC staff are notified by email when documents submitted by that staff have been completed.	98% Accuracy
4.	Achieve daily processing targets of a minimum of 150 email notifications, of documents completed, to NRC staff members.	99% Compliance
Existing Quality Control Techniques		
1.	<p>Distribution staff receives extensive hands on training from experienced staff before starting unsupervised profiling. This includes but is not limited to:</p> <ul style="list-style-type: none"> • Training aids. • 100% review of work by experienced staff until proficiency is demonstrated. 	
2.	<p>Distribution staff reviews distribution codes for correctness before distributing the documents. Responsibilities include but are not limited to:</p> <ul style="list-style-type: none"> • Review document profiles to ensure that the correct distribution code was selected before distributing the document. • Review docket numbers for correctness. • The Supervisor of Replication and Distribution reviews questionable items for final determination before the distribution is made. • Errors are reported to the QC/Profile Manager or to the DCD for corrective actions as appropriate. 	
3.	For NRC-generated documents, the distribution clerk responsible for sending email notifications reviews the status of the official record field of documents listed in the ADAMS directory “99 emails”. If the document has been completed an email is sent according to the information included on the profile of the document. Any documents that have not been completed by the end of the day are reviewed with the supervisor who investigates and reports any issues. Once the issue is corrected, the email is sent.	
4.	The distribution supervisor reviews the document (including special instructions) and the information on the system-generated Distribution sheet. Any discrepancies or errors are investigated and corrected; a new	

5.6 Task 6: Document Distribution

Distribution sheet is generated and attached to the original document. The recompiled document with distribution sheet is put on a cart for return to the Document Control Desk.

Proposed Quality Control Techniques

1. Daily and weekly monitoring of DPC performance levels versus contract requirements.

Table 5-7 Task 8: Existing Filing Official Agency Records in ADAMS Evaluation

5.7 Task 8: Filing Official Agency Records in ADAMS

Quality Objectives		Acceptance Criteria
1.	Achieve the minimum daily processing goals of 200 day-forward filings and 130 backlog filings. The contractor should give priority to achieving all day-forward filings, unless otherwise indicated by the NRC Task Manager.	99% Compliance
2.	Under the guidance of the Task Manager, support the maintenance of the ADAMS File Plan and the development/maintenance of all required file references.	Immediately upon direction from Task Manager
Existing Quality Control Techniques		
1.	Dedicated staffing to support this task. This reduces problems associated with re-learning task requirements.	
2.	Daily management interaction with Task 8 Task Manager to ensure the appropriate priority and task expectations are being met.	
Proposed Quality Control Techniques		
1.	Daily and weekly monitoring of DPC performance levels versus contract requirements.	

Table 5-8 Task 9 & 16: Existing ADAMS Database Support

5.8 Task 9 & 16: ADAMS Database Support

Quality Objectives		Acceptance Criteria
1.	Assign a full time resource to support this task on a daily basis (subject to change at the direction of the NRC Project Officer). Daily work will include: <ul style="list-style-type: none"> • Maintenance of ADAMS Controlled Value Lists in conformance with DPC SOPs 	100% Commitment of Required Staffing

5.8 Task 9 & 16: ADAMS Database Support

- | | | |
|--|---|--|
| | <ul style="list-style-type: none">• Creation and Maintenance of ADAMS Folders in conformance with DPC SOPs• Creation and Maintenance of ADAMS Rules in conformance with DPC SOPs• Support of all required database cleanup requirements | |
|--|---|--|

Existing Quality Control Techniques

- | | |
|----|--|
| 1. | Daily, weekly and monthly reporting of project activities, |
|----|--|

Proposed Quality Control Techniques

- | | |
|----|---|
| 1. | Daily and weekly monitoring of DPC performance levels versus contract requirements. |
|----|---|

Appendix A DPC Flowcharts

Overview - The following flowcharts were developed during a detailed review of DPC operations. They are used to evaluate the adequacy and efficiency of operations.

Figure A-1 Pre-Prep

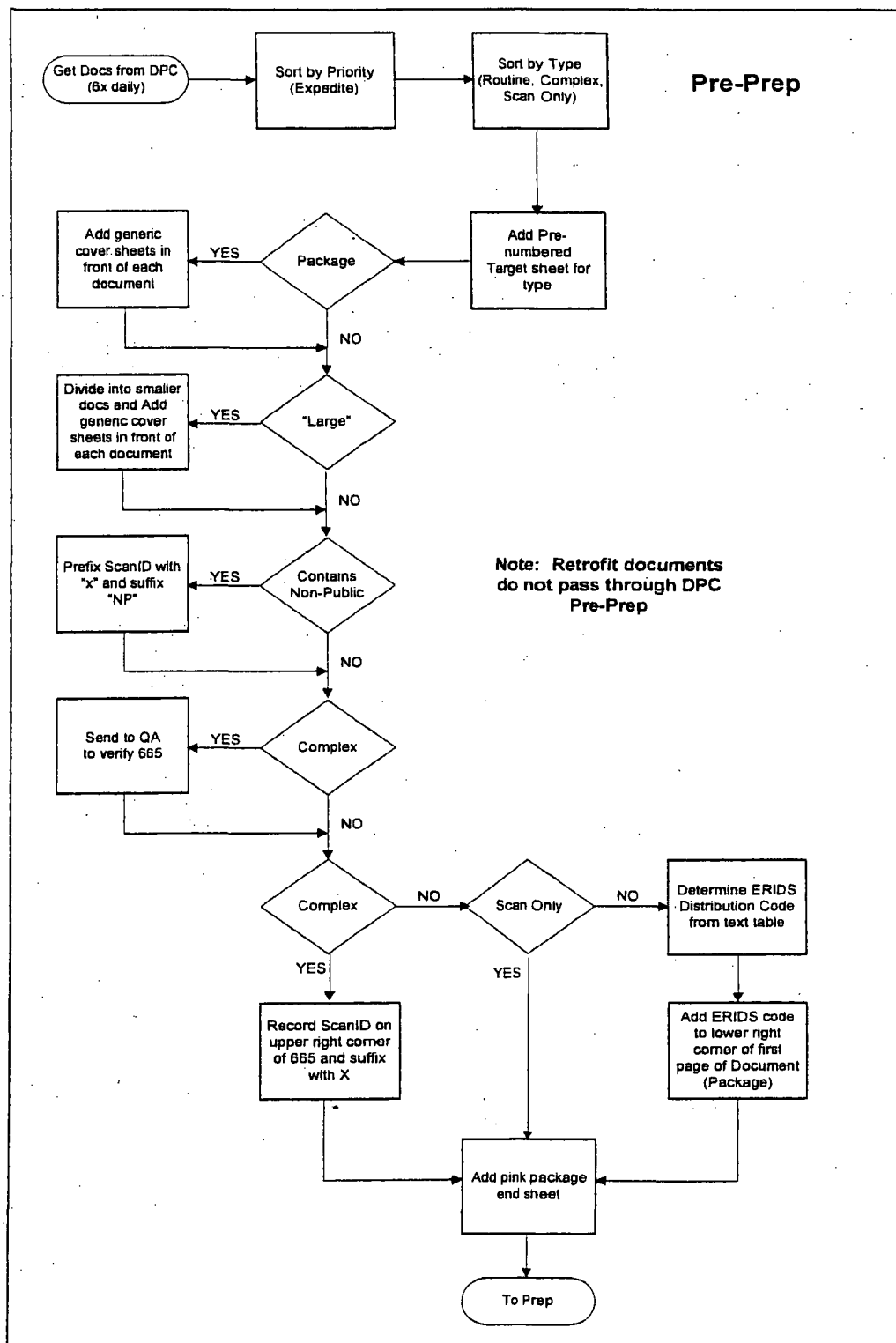


Figure A-2 Prep

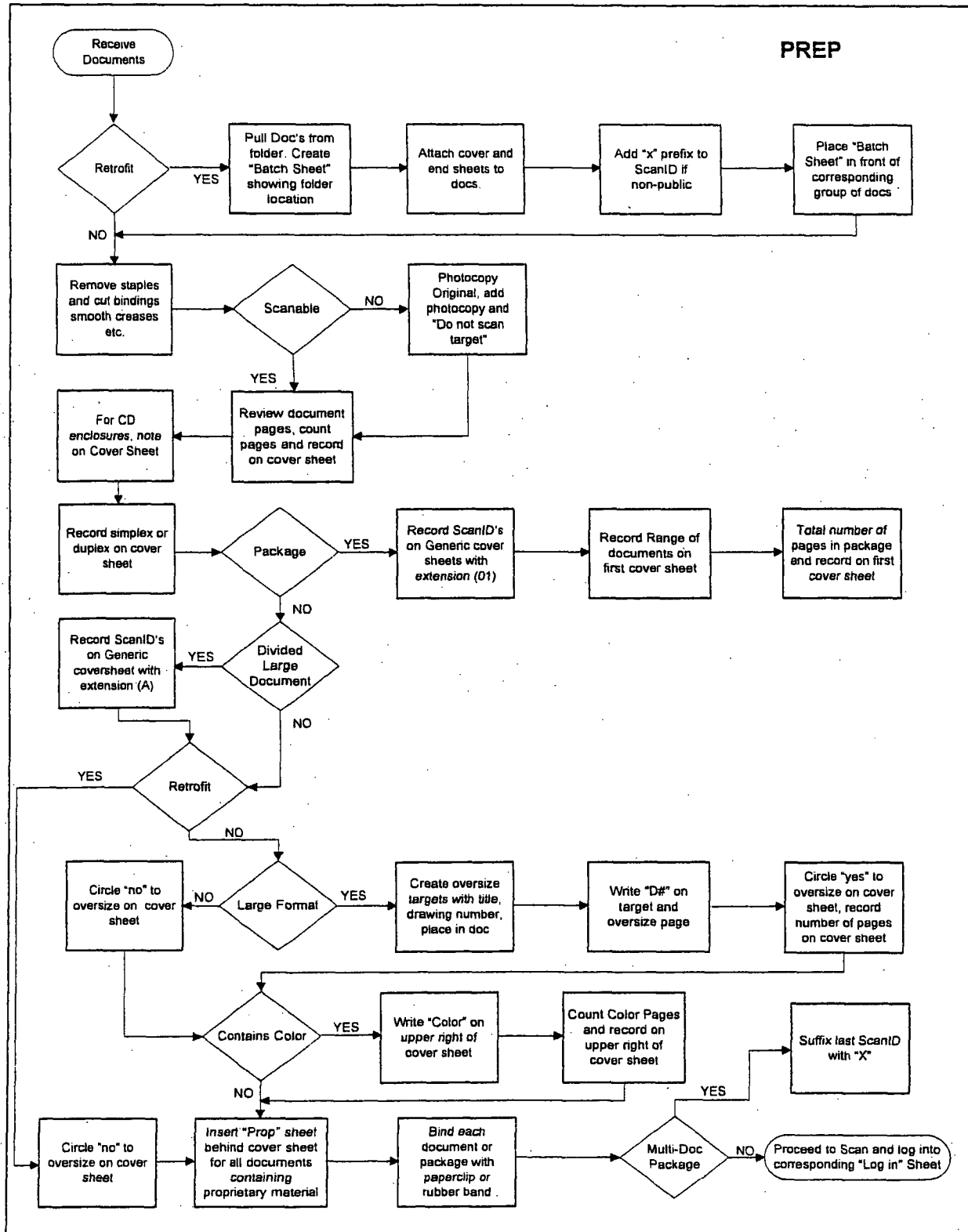


Figure A-3 Scan

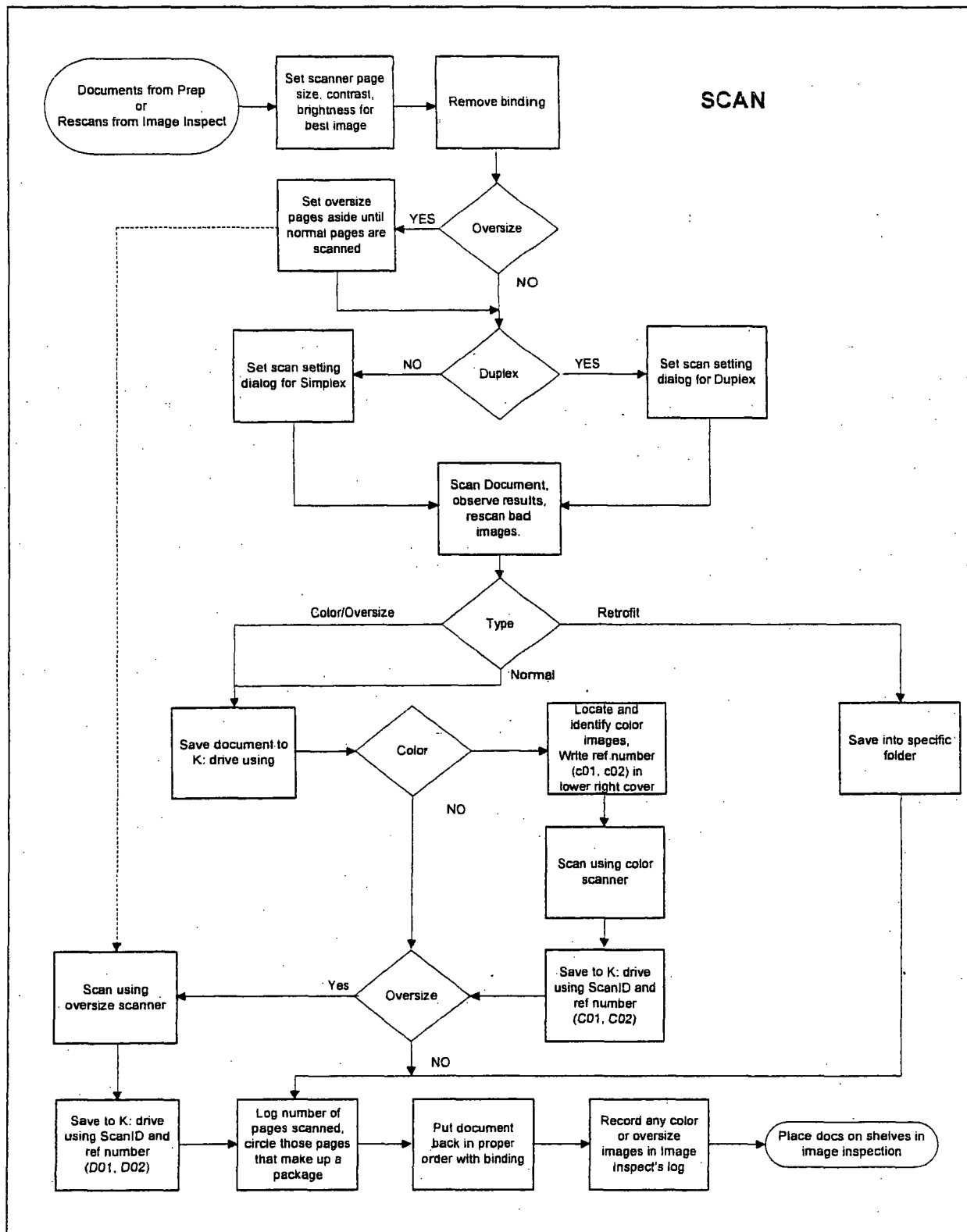


Figure A-4 Image Inspect

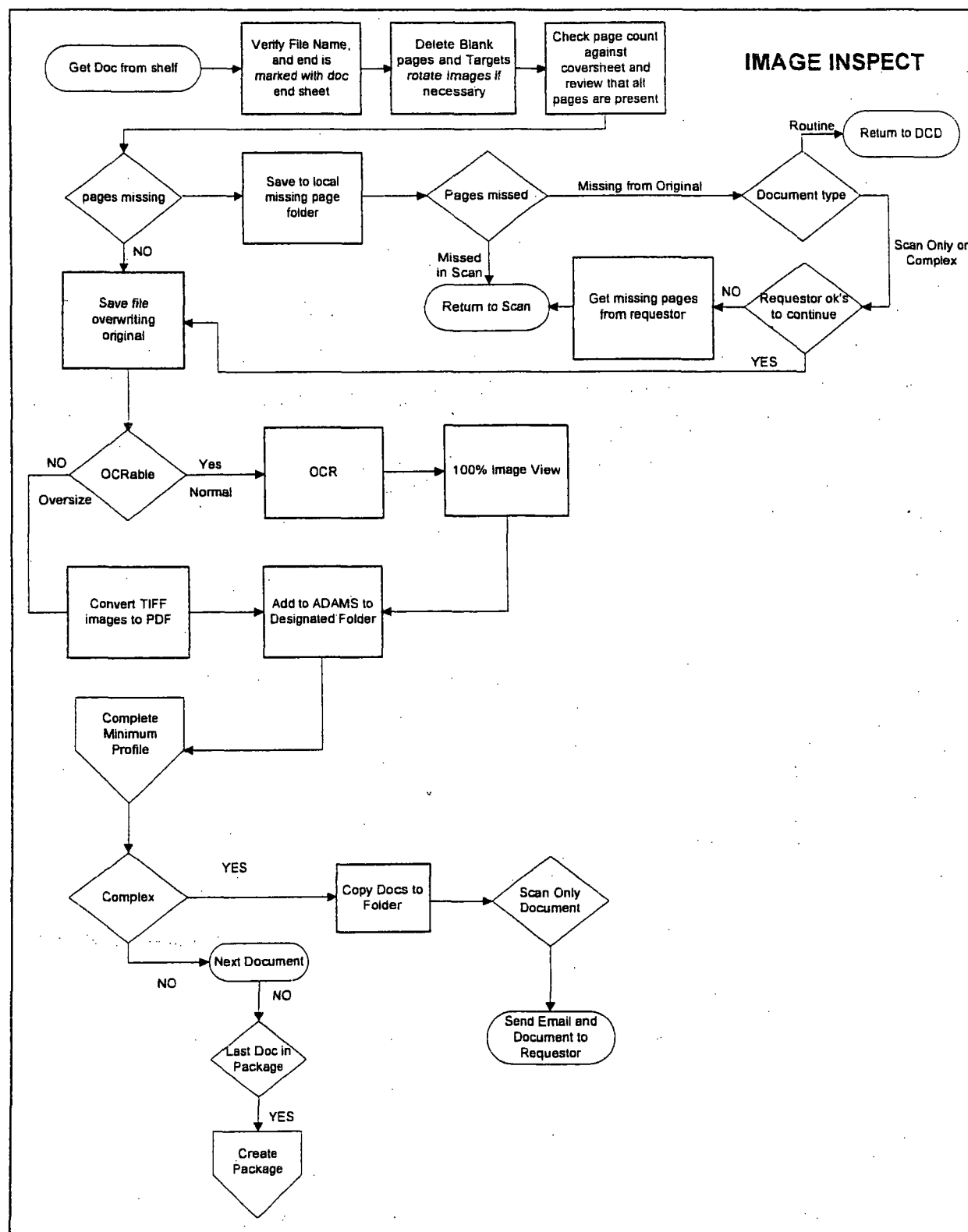


Figure A-5 Image Inspect – Minimum Profile

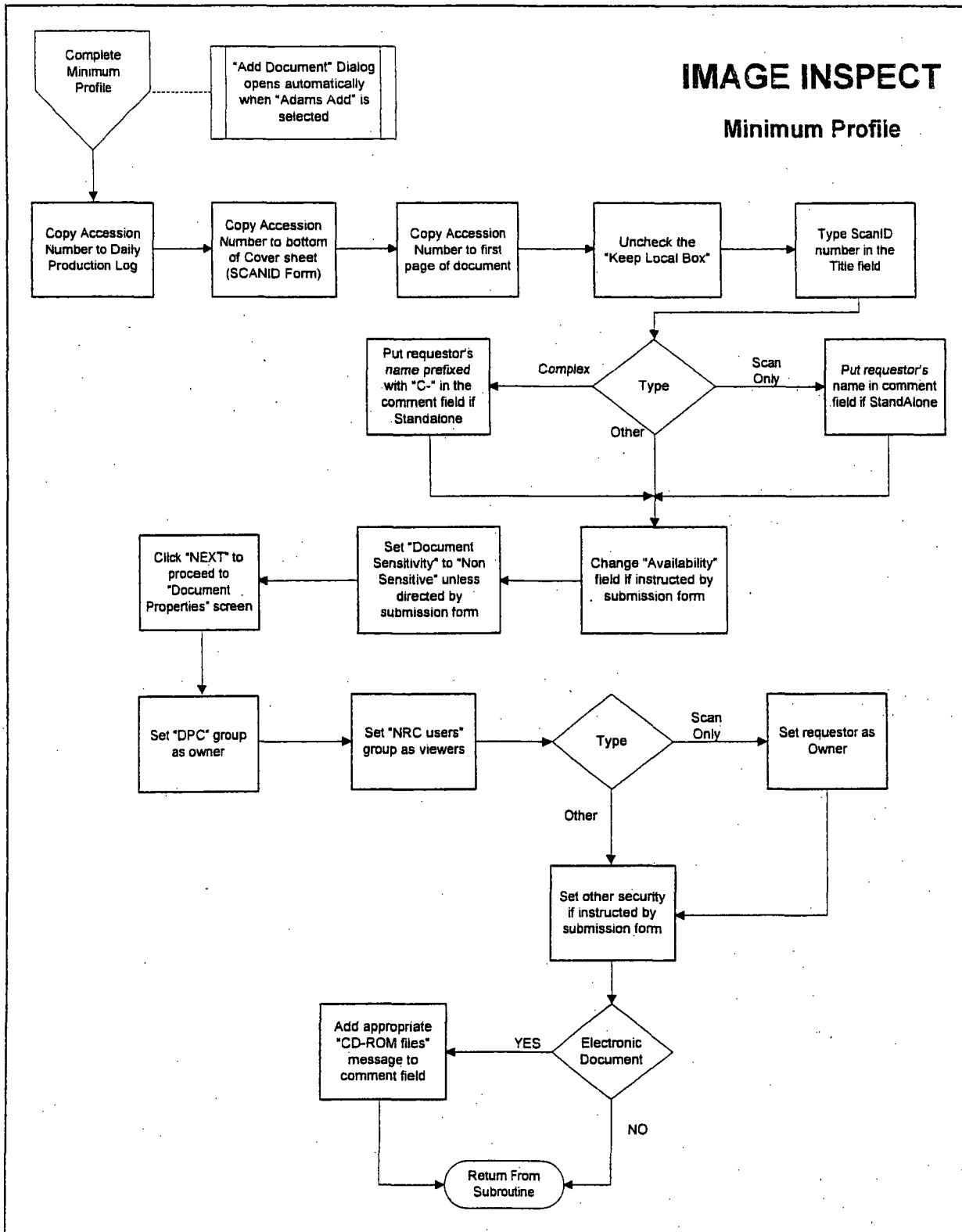


Figure A-6 Image Inspect – Create Package

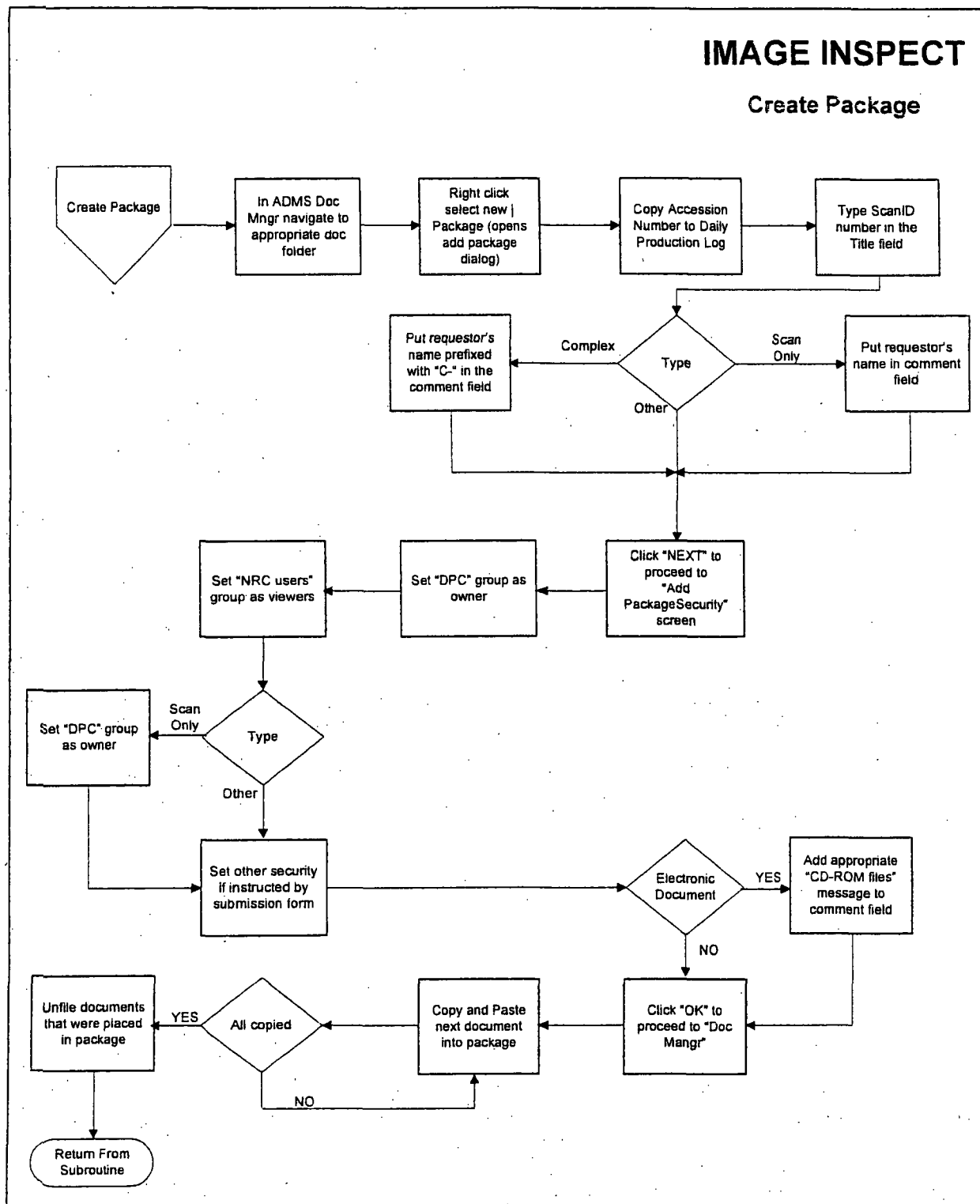


Figure A-7 Electronic NRC Submission

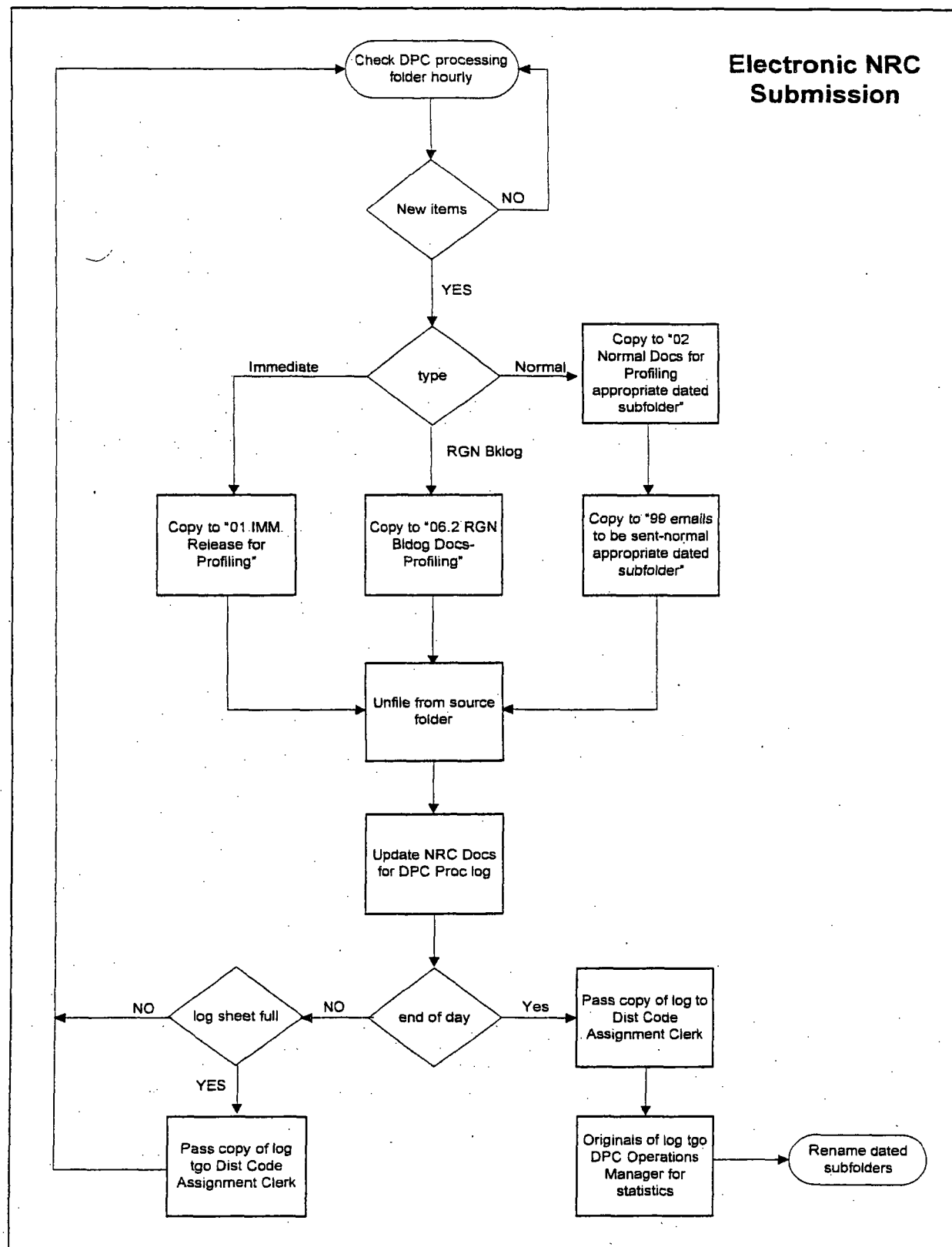


Figure A-8 Profiling

